

## **NC Medicaid Managed Care**

Requirements for Sharing Care Plans and Assessments to Support Continuity of Care for Beneficiaries Transitioning between NC Medicaid Direct and Health Plans

Change Log		
Version	Date	Updates/Change Made
3.1.1	##/##/###	Unknown
4.0	2/4/2022	<ul style="list-style-type: none"> <li>Removed embedded documents and replaced with reference to their new file names and paths within PCDU.</li> <li>Minor formatting changes/fixes</li> <li>Updated page numbers for documents table</li> </ul>
4.1	4/27/2022	<ul style="list-style-type: none"> <li>Added description above documents table on page 3.</li> <li>Loaded new documents to PCDU</li> </ul>
5.0	7/15/2022	<ul style="list-style-type: none"> <li>Updated document to account for PIHPs and references to documents in PCDU</li> </ul>
5.1	8/24/2022	<ul style="list-style-type: none"> <li>Removed reference to JSON attestation form through NCMT platform as this is no longer required</li> </ul>
5.2		<ul style="list-style-type: none"> <li>Added section for PHP to TO</li> </ul>
6.0	8/29/2023	<ul style="list-style-type: none"> <li><i>Replace all instances of 'PHP' with 'Health Plan'</i></li> <li><i>Replace all instances of 'PIHP' with 'LME/MCO'</i></li> </ul>

**Below is a list of the external references identified in this document and stored/maintained in PCDU**

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**\*MMDDYYYY in file names denotes the most recent date when the file was updated.**

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## Care Plans and Warm Handoffs:

### (1) CCNC to Health Plans: Care Plans and Warm Handoff Spreadsheet

#### Scope:

- All existing care plans identified by Community Care of North Carolina (CCNC) for beneficiaries transitioning from NC Medicaid Direct to a health plan at the health plan's managed care launch.
- To comply with 42 CFR Part 2, CCNC will ensure substance use disorder (SUD) details are scrubbed from care plans sent to health plans using data suppression logic authorized or provided by the Department.
- CCNC will include a care plan file transfer spreadsheet which notes all care plans included in the transition and indicate if beneficiary necessitates a warm handoff. The spreadsheet will include the following fields:
  - MID
  - First Name
  - Last Name
  - Date of Birth
  - Confirmation of Care Plan File Attached
  - Name of Care Plan File
  - Warm Handoff Required indicator (Y/N)
  - Comments

**Data Source:** CCNC

**Data Target(s):** Health Plans

**File Layout:** Care plans do not have a set layout. However, the Warm Handoff Spreadsheet should follow the layout defined by the Department. This file is maintained on the [PCDU](#) at the paths below.

File Name: *CP\_TOCCCNCPH\_CCNCCarePlanFileTransfer\_MMDDYYYY.xlsx*

#### [Standard Plan Path:](#)

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#### [Tailored Plan Path:](#)

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**File Naming Convention:** The Department defined the file naming convention of the Zip file sent to health plans. In addition, the underlying file naming conventions are defined – Care Plan and Warm Handoff Spreadsheet. This file is maintained in [PCDU](#) at the paths below.

File Name: *CP\_TOCCCNCPH\_CQCCNFileNamingConvention\_MMDDYYYY.xlsx*

#### [Standard Plan Path:](#)

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**File Type:** Health plans will receive care plans in .pdf format along with a .csv Warm Handoff Spreadsheet as identified above. These files will be zipped into one file per health plan.

**Transmission Type:** CCNC sFTP Site

**File Delivery Frequency & Processing Rules:** One-time transfer at the health plan's managed care launch, followed by ad hoc transfers at beneficiary transition.

1. Prior to the health plan's managed care launch, health plans will receive care plans from CCNC for all beneficiaries assigned to them. Additional ad hoc transfers will be sent as needed.
2. Health plans should pick up the zipped file from the CCNC sFTP site and store the care plan's file transfer spreadsheet for future use. Outlined below are key functions health plans are to use to support this information:
  - a. Support care management functions to ensure continuity of care for beneficiaries.
  - b. Contact CCNC to initiate warm handoff knowledge transfer sessions for beneficiaries with a warm handoff indicator by CCNC on the Warm Handoff Spreadsheet

**Dependencies:**

Beneficiary assignments: Health plans will receive information on beneficiaries assigned to them through the daily 834 files. Health plans are to use the information provided in care plans to ensure continuity of care.

*(2) CCNC to Tribal Option: Care Plans and Warm Handoff Spreadsheet*

**Scope:**

- All existing care plans identified by CCNC for beneficiaries transitioning from NC Medicaid Direct to Tribal Option at health plan managed care launch.
- To comply with 42 CFR Part 2, CCNC will ensure SUD details are scrubbed from care plans sent using data suppression logic authorized or provided by the Department.
- CCNC will include a care plan file transfer spreadsheet which notes all care plans included in the transition and indicate whether a beneficiary necessitates a warm handoff as per the Transition of Care Policy. The spreadsheet will include the following fields:
  - MID
  - First Name
  - Last Name
  - Date of Birth
  - Confirmation of Care Plan File Attached
  - Name of Care Plan File
  - Warm Handoff Required indicator (Y/N)
  - Comments

**Data Source:** CCNC

**Data Target(s):** Tribal Option

**File Layout:** Care plans do not have a set layout. However, the Warm Handoff Spreadsheet will follow the layout as defined by the Department. This file is maintained in [PCDU](#) at the paths below.

File Name: *CP\_TOCCCNCTO\_CCNCCarePlanFileTransferSpreadsheet\_MMDDYYYY.xlsx*

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**File Naming Convention:** The Department defined the file naming convention of the Zip file sent to the Tribal Option. In addition, the underlying file naming conventions are defined – Care Plan and Warm Handoff Spreadsheet. This file is maintained in [PCDU](#) at the paths below.

File Name: *CP\_TOCCCNCTO\_CQCCNFileNamingConvention\_MMDDYYYY.xlsx*

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**File Type:** The Tribal Option will receive care plans in .pdf format along with a .csv Warm Handoff Spreadsheet as identified above. These files will be zipped into one file for the Tribal Option.

**Transmission Type:** CCNC sFTP Site

**File Delivery Frequency & Processing Rules:** One-time transfer at health plan managed care launch. Additional ad hoc transfers will be sent at beneficiary transitions.

1. Prior to health plan managed care launch, the Tribal Option will receive care plans from CCNC for all beneficiaries assigned to them. Additional ad hoc file transfers will be sent as needed.
2. The Tribal Option is expected to pick up their zipped file from the CCNC sFTP site and store the care plan's file transfer spreadsheet for future use. Outlined below are key functions the Tribal Option is to use to support using this information:
  - c. Support care management functions to ensure continuity of care for beneficiaries.
  - d. Contact CCNC to initiate warm handoff knowledge transfer sessions for beneficiaries with a warm handoff indicator by CCNC on the Warm Handoff Spreadsheet

**Dependencies:**

Beneficiary assignments: The Tribal Option will receive information on beneficiaries assigned to them through the daily 834 files. The Tribal Option is to use the information provided on care plans to ensure continuity of care for those beneficiaries.

*(3) Viebridge to Health Plans: Care Plans, Assessments and Care Plan Transfer Spreadsheet*

**Scope:**

- All existing care plans and/or assessments identified by Viebridge for beneficiaries transitioning from NC Medicaid Direct to a health plan at managed care launch.
- Viebridge will include a Care Plan Transfer Spreadsheet with the following fields:
  - MID
  - First Name
  - Last Name
  - Date of Birth
  - Care Plan/Assessment File Attached
  - Name of Care Plan File
  - Name of Assessment File (if applicable)
  - Comments

**Data Source:** Viebridge

**Data Target(s):** Health Plan

**File Layout:** The care plans and assessments do not have a set layout. However, the Care Plan File Transfer Spreadsheet should follow the layout as defined by the Department. This file is maintained in [PCDU](#) at the paths below.

File Name: *CP\_TOCVIEBRIDGEPH\_CQViebridgeCarePlanFileTransferSP\_MMDDYYYY.xlsx*

**Standard Plan Path:**

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**File Naming Convention:** The Department defined the file naming convention of the Zip file that will be sent to health plans. In addition, the underlying file naming conventions are defined – Care Plan, Assessments and Care Plan Transfer Spreadsheet. This file is maintained in [PCDU](#) at the paths below.

File Name: *CP\_TOCVIEBRIDGEPH\_CQViebridgeCarePlanFileNamingConvention\_MMDDYYYY.xlsx*

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**File Type:** Health plans will receive care plans and assessments in .pdf format along with a .csv Care Plan File Transfer Spreadsheet as identified above. These files will be zipped into one file per health plan.

**Transmission Type:** Secure File Transfer through NC Managed File Transfer– Health Plan Contract Data Utility

**File Delivery Frequency & Processing Rules:** One-time transfer at health plan managed care launch, followed by ad hoc transfers at beneficiary transitions.



1. Prior to health plan managed care launch, health plans will receive care plans from Viebridge for all beneficiaries assigned to them. Additional ad hoc transfers will be sent as needed.
2. Health plans are to pick up their zipped file off the NC MFT and store the care plans, assessments and the Care Plan Transfer Spreadsheet for future use. Outlined below are key functions health plans are to use to support this information:
  - a. Support care management functions to ensure continuity of care for beneficiaries.

**Dependencies:**

Beneficiary assignments: Health plans will receive information on beneficiaries assigned to them through the daily 834 files. Health plans are to use the information provided in the care plans to ensure continuity of care for those beneficiaries.

*(4) Health Plans to CCNC: Transition file*

**Scope:**

- Health plan’s transition file transfer will occur for beneficiaries disenrolling to NC Medicaid Direct.
- To comply with 42 CFR Part 2, health plans shall ensure appropriate consent is secured prior to transferring transition file content containing SUD details. In cases where consent is not secured, the impacted transition file content will be removed from the file transfer to CCNC.
- Health plans will reflect disenrolling members requiring a warm handoff on a transition file spreadsheet. This spreadsheet will include a consent indicator to confirm compliance with 42 CFR Part 2 requirements, as applicable. The spreadsheet will include the following fields:
  - MID
  - First Name
  - Last Name
  - Date of Birth
  - Warm Handoff Required Indicator (Y/N) Note: this anticipated to be “Y” for all listed members.
  - SUD Consent Attached Indicator (Y/N)
  - SUD Consent File Name (If record is impacted by SUD Consent)
  - Transition Summary Sheet File Indicator (Y/N)
  - Name of Transition Summary Sheet File
  - Care Needs Screening Attached (Y/N)
  - Name of Care Needs Screening File
  - Care Plan File Attached Indicator (Y/N)
  - Name of Care Plan File (if applicable)
  - Adverse Determination Disposition Summary Attached Indicator (Y/N)
  - Name of Adverse Determination Disposition Summary
  - Comments
- Health plans will include the consent form for applicable transition file content that has SUD detail where the health plan was able to obtain consent.

**Data Source:** Health Plans

**Data Target(s):** CCNC

**File Frequency:** The file will be sent for beneficiaries disenrolling from a health plan to NC Medicaid Direct on a one-time basis.

**Documents Included in Transition File Submission:** As a part of transition file, the health plan will include a Transition File Spreadsheet along with a Transition Summary Sheet, most recent Care Needs Screenings, Care Plans and Adverse Determination Disposition Summaries, as applicable, created by the health plan. The Transition File Spreadsheet will follow the layout as defined by the Department. This file is maintained in [PCDU](#) at the paths below.

File Name: *CP\_TOCPHCCNC\_CCNCTransitionFileTemplate\_MMDDYYYY.xlsx*

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**File Naming Convention:** Health plans should zip the underlying files: Transition Summary Sheet, Care Needs Screening, Adverse Decision Disposition Summary (if applicable), Care Plan PDFs, Warm Handoff Summary PDFs, Consent Forms and Transition File Spreadsheet according to the naming conventions maintained in [PCDU](#) at the paths below.

File Name: *CP\_TOCPHCCNC\_CCNCTransitionFileNaming\_MMDDYYYY.xlsx*

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**Transmission Type:** CCNC sFTP site

Structure of the ss needed Care Plan Submissions should be as follows:

- Wrapper Zip File
  - Consent Forms
  - Transition Summary Sheet
  - Care Needs Screening
  - Care Plans
  - Adverse Determination Disposition Summary
  - Transition File Spreadsheet

**Dependencies:**

Beneficiary assignments: Health plans will receive information on beneficiary assignment through the daily 834 file. This file is maintained in [PCDU](#) at the paths below.

File Name: *CP\_TOCGEGuidanceForCrossover\_MMDDYYYY.pdf*

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### *(5) Health Plans to Health Plans: Transition file*

Health plans are to coordinate the transfer of care plans amongst themselves for beneficiaries transitioning between plans.

### *(6) Health Plans to Tribal Option: Transition file*

**Scope:**

- Health plan's transition file transfer will occur for **beneficiaries** disenrolling to MC Medicaid Direct.
- To comply with 42 CFR Part 2, health plans will ensure appropriate consent is secured prior to transferring transition file content containing SUD details. In cases where consent is not secured, the impacted transition file content will be removed from the file transfer to **CCNC**.
- Health plans will reflect disenrolling **beneficiaries** requiring a warm handoff on a transition file spreadsheet. The spreadsheet will include a consent indicator to confirm compliance with 42 CFR Part 2 requirements, as applicable. The spreadsheet will include the following fields:
  - MID
  - First Name
  - Last Name
  - Date of Birth
  - Warm Handoff Required Indicator (Y/N) Note: this anticipated to be "Y" for all listed members.
  - SUD Consent Attached Indicator (Y/N)
  - SUD Consent File Name (If record is impacted by SUD Consent)
  - Transition Summary Sheet File Indicator (Y/N)
  - Name of Transition Summary Sheet File
  - Care Needs Screening Attached (Y/N)
  - Name of Care Needs Screening File
  - Care Plan File Attached Indicator (Y/N)
  - Name of Care Plan File (if applicable)
  - Adverse Determination Disposition Summary Attached Indicator (Y/N)
  - Name of Adverse Determination Disposition Summary
  - Comments
- Health plans will include the consent form for applicable transition file content that has SUD detail where the health plan was able to obtain consent.

**Data Source:** Health Plans

**Data Target(s):** Tribal Option

**File Frequency:** The file will be sent for beneficiaries disenrolling from health plan to **CCNC** on a one-time basis.

**Documents Included in Transition File Submission:** As a part of the transition file, the health plan will include a Transition File Spreadsheet along with a Transition Summary Sheet, most recent Care Needs Screenings, Care Plans and Adverse Determination Disposition Summaries, as applicable, created by the health plan. The Transition File Spreadsheet will follow the layout as defined by the Department. This file is maintained in [PCDU](#) at the paths below.

File Name: *CP\_TOCPHCCNC\_CCNCTransitionFileTemplate\_MMDDYYYY.xlsx*

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**File Naming Convention:** Health plans should zip the underlying files: Transition Summary Sheet, Care Needs Screening, Adverse Decision Disposition Summary (if applicable), Care Plan PDFs, Warm Handoff Summary PDFs, Consent Forms and Transition File Spreadsheet according to the naming conventions maintained in [PCDU](#) at the paths below.

File Name: *CP\_TOCPHCCNC\_CCNCTransitionFileNaming\_MMDDYYYY.xlsx*

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**Transmission Type:** CCNC sFTP site

Structure of the as needed Care Plan Submissions should be as follows:

- Wrapper Zip File
  - Consent Forms
  - Transition Summary Sheet
  - Care Needs Screening
  - Care Plans
  - Adverse Determination Disposition Summary
  - Transition File Spreadsheet

**Dependencies:**

**Beneficiary** assignments: Health plans will receive information on **beneficiary** assignment through the daily 834 file. This file is maintained in [PCDU](#) at the paths below.

File Name: *CP\_TOCGEGuidanceForCrossover\_MMDDYYYY.pdf*

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## *(7) LME/MCOs to Health Plans: Care Plans and Warm Handoff Summaries/Care Plans*

### **Scope:**

- At crossover, LME/MCO warm handoff summary sheet or at the LME/MCO's discretion, a current care plan, transfer is limited to **beneficiaries** requiring a warm handoff as determined by LME/MCO. A warm handoff summary sheet will be provided for each **beneficiary** identified for a warm handoff. The LME/MCO, at its discretion, may substitute a warm handoff summary sheet with an active care plan.
- For an ongoing transition of care, each beneficiary disenrolling from an LME/MCO to a health plan, the LME/MCO will send a transition summary page (a modified version of warm handoff summary) and consent as applicable.
- To comply with 42 CFR Part 2, LME/MCOs will ensure appropriate consent is secured prior to transferring any information covered under the scope of 42 CFR Part 2. In cases where consent is not secured, the transition summary page and any additional information the LME/MCO would otherwise elect to transfer will be removed from the file transfer to health plans.
- LME/MCOs will reflect **beneficiaries** requiring a warm handoff on a warm handoff information spreadsheet, in alignment with Crossover and Ongoing Transition of Care requirements. This spreadsheet will include a consent indicator to confirm compliance with 42 CFR Part 2 requirements. The spreadsheet will include the following fields:
  - MID
  - First Name
  - Last Name
  - Date of Birth
  - Gender
  - Warm Handoff Required Indicator (Y/N) Note: this anticipated to be "Y" for all listed members.
  - Warm Handoff Summary Sheet File Indicator (Y/N) (Mark as Y/N for ongoing Transition File)
  - Name of Warm Handoff Summary Sheet File/ (Name of Transition File for Ongoing)
  - Care Plan File Attached Indicator (Y/N)
  - Name of Care Plan File (if applicable)
  - List of Medications
  - List of Current Diagnoses
  - List of Current PAs
  - List of Current Providers
  - List of known upcoming appointments
  - Foster Care Information (if applicable)
    - Child Welfare Worker name
    - Child Welfare Worker Name phone number
    - Child Welfare Worker County
    - Foster Placement name
    - Foster Placement number
  - Foster Care Permanency Status
  - Comments

- LME/MCOs will include the consent forms for any Warm Handoff Summary Sheets/Care Plans/Transition Files that have SUD detail where the LME/MCO obtained consent to share the Warm Handoff Summary Sheet/Care Plan/Transition File.

**Data Source:** LME/MCOs

**Data Target(s):** Health Plans

**File Frequency (Crossover):** The first full file transfer will occur on a date to be determined by the Department, provided in advance of warm handoff sessions, to begin approximately three weeks prior to managed care launch. The file will be updated weekly, as needed to reflect additional [beneficiaries](#) requiring a warm handoff session.

**File Frequency (Ongoing):** The file will be sent on an ad hoc basis as needed for beneficiaries disenrolling from LME/MCO to a health plan on a one-time basis.

**Documents Included in Warm Handoff Summary/Care Plan/Transition Summary Submission:** As a part of crossover and ongoing submissions, the LME/MCOs shall include warm handoff transition information. Below are the minimum data elements to be included in the warm handoff/transition summary submissions.

- Patient identifying demographic information.
- Care Management/Care Coordination/Reason for Warm Handoff
- List of any behavioral health/IDD services currently being received and providers.
- List of active diagnoses (including known allergies)
- Date of Service/Last Care coordination contact
- List of medications and any issues/concerns
- Barriers to service
- Discharge plan
- Any follow-up needed/additional information.
- Supporting care plan should be included, when applicable

Example “Consent to Share Confidential Health Information,” “Ongoing TOC Transition Summary Page” and “TOC Warm Handoff Summary” forms can be found at the paths below:

File Names:

*CP\_TOCPHPPH\_Crossover42CFRPart2ConsentForm\_07272022.docx*

*CP\_TOCPHPPH\_OngoingTOCTransitionSummaryPage\_07272022.docx*

*CP\_TOCPHPPH\_WarmHandoffSummary\_07272022.docx*

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**File Naming Convention:** LME/MCOs should zip the underlying files for each health plan: Care Plan PDFs, Warm Handoff Summary/Transition Summary PDFs, Consent Forms and Warm Handoff Spreadsheet according to naming conventions found in the following file maintained in PCDU at the paths below.

File Name: *CP\_TOCLMEMCOPH\_CQLMEFileNamingConvention\_MMDDYYYY.xlsx*

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**Transmission Type: SFTP**

- **Beneficiary** assignments: LME/MCOs receive information on **beneficiaries** assigned to a health plan through the daily global eligibility files (GEF). LME/MCOs are to read off the GEF to determine if any **beneficiaries** should have their care plans transferred. More information is available in the GEF guidance document in [PCDU](#) at the paths below.

File Name: *CP\_TOCGEGFGuidanceForCrossover\_MMDDYYYY.pdf*

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[Tailored Plan Path:](#)

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**(Note: The 834 will replace the GEF and plans should be prepared to use the 834 for this information in 2023. Exact dates will be communicated with the plans once established.)**

*(8) Health Plans to LME/MCOs: Transition Files*

**Scope:**

- Health plan's transition file transfer will occur for **beneficiaries** disenrolling from a health plan.
- To comply with 42 CFR Part 2, health plans will ensure appropriate consent is secured prior to transferring transition file content containing SUD details. In cases where consent is not secured, the impacted transition file content will be removed from the file transfer to LME/MCOs.
- Health plans will reflect disenrolling **beneficiaries** requiring a warm handoff on a transition file spreadsheet. This spreadsheet will include a consent indicator to confirm compliance with 42 CFR Part 2 requirements, as applicable. The spreadsheet will include the following fields:
  - MID
  - First Name
  - Last Name
  - Date of Birth
  - Warm Handoff Required Indicator (Y/N) Note: this anticipated to be "Y" for all listed members.
  - SUD Consent Attached Indicator (Y/N)
  - SUD Consent File Name (If record is impacted by SUD Consent)
  - Transition Summary Sheet File Indicator (Y/N)



- Name of Transition Summary Sheet File
  - Care Needs Screening Attached (Y/N)
  - Name of Care Needs Screening File
  - Care Plan File Attached Indicator (Y/N)
  - Name of Care Plan File (if applicable)
  - Adverse Determination Disposition Summary Attached Indicator (Y/N)
  - Name of Adverse Determination Disposition Summary
  - Comments
- Health plans will include the consent form for applicable transition file content that has SUD detail where the health plan was able to obtain consent.

**Data Source:** Health Plans

**Data Target(s):** LME/MCOs

**File Frequency:** The file will be sent for beneficiaries disenrolling from health plan to LME/MCO on a one-time basis.

**Documents Included in Transition File Submission:** As a part of transition file, the health plan will include a Transition File Spreadsheet along with Care Needs Screening, Care Plan and Adverse Determination Disposition Summary. The Transition File Spreadsheet will follow the layout as defined by the Department. This layout file is maintained in [PCDU](#) at the paths below.

File Name: *CP\_TOCPHLMEMCO\_WarmHandoffLMEMCOTransferTemplate\_MMDDYYYY.xlsx*

**Standard Plan Path:**

[Home](#) / Library Documents / Standard Plan / Guidance Documents / C\_Benefits\_and\_Care\_Management

**Tailored Plan Path:**

[Home](#) / Library Documents / Tailored Plan / Guidance Documents / B.2- Medicaid - Benefits

**File Naming Convention:** Health plans should zip the underlying files for each LME/MCO: Transition Summary Sheet, Care Needs Screening, Adverse Decision Disposition Summary (if applicable), Care Plan PDFs, Warm Handoff Summary PDFs, Consent Forms and Transition File Spreadsheet according to the naming conventions found in the following file maintained in PCDU at the paths below.

File Name: *CP\_PHLMEMCO\_CQLMEFileNamingConvention\_MMDDYYYY.xlsx*

**Standard Plan Path:**

[Home](#) / Library Documents / Standard Plan / Guidance Documents / C\_Benefits\_and\_Care\_Management

**Tailored Plan Path:**

[Home](#) / Library Documents / Tailored Plan / Guidance Documents / B.2- Medicaid - Benefits

**Transmission Type:** Secure file transfer through SFTP

Structure of the as needed Care Plan Submissions should be as follows:

- Wrapper Zip File for Daily Submission
  - LME/MCOs Zip




- Consent Forms
- Transition Summary Sheet
- Care Needs Screening
- Care Plans
- Adverse Determination Disposition Summary
- Transition File Spreadsheet

**Dependencies:**


[Beneficiary](#) assignments: Receive information on [beneficiary](#) assignment through the daily 834 file, found in [PCDU](#) at the paths below.

File Name: *CP\_TOCGEGuidanceForCrossover\_MMDDYYYY.pdf*

[Standard Plan Path:](#)

 / [Library Documents](#) / [Standard Plan](#) / [Guidance Documents](#) / [C\\_Benefits\\_and\\_Care\\_Management](#)

[Tailored Plan Path:](#)

 / [Library Documents](#) / [Tailored Plan](#) / [Guidance Documents](#) / [B.2- Medicaid - Benefits](#)