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NC Medicaid Managed Care

Requirements for LME-MCOs to Share Transition of Care Information to support Continuity of Care for Members transitioning between LME-MCOs & Standard Plans

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| **Change Log** | | |
| **Version** | **Date** | **Updates/Change Made** |
| 2.0 |  | Initial Publication |
| 3.0 | 2/8/2021 | * Updating PHP to LME-MCO Format * Clarifying process based Warm Handoff Updates |
| 4.0 | 2/18/2021 | * Updated LME-MCO PA DED |
| 5.0 | 5/14/2021 | * Added PHP to LME-MCO Transition Requirements * Updating LME-MCO to PHP ongoing TOC requirements |

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# LME-MCOs to PHPs: Prior Authorization Files

**Scope:**

* All approved Prior Authorizations approved by LME-MCOs for members who are transitioning from Medicaid Direct to Standard Plans with PA end date greater than the Standard Plan coverage effective date
  + At Crossover, Outpatient Behavioral Health Service PAs Provided by Directly-Enrolled Providers are excluded from the transfer
* All Prior Authorizations closed within 60 days of the member’s standard plan coverage effective date
* Prior to the Standard Plan Effective Date, daily full files will include any new, updated or modified prior authorizations for members with prior authorizations previously sent, along with any prior authorization data for newly assigned members identified on the GEF. After a member’s Standard Plan Effective Date, the daily full file will only need to contain any newly approved Prior Authorizations that were not previously sent.
* In order to comply with 42 CFR Part 2, LME-MCO will remove PAs that meet the 42 CFR Part 2 criterion unless consent is secured. LME-MCOs are not required to send SUD related PAs where a consent would be required to send such PA.

**Data Source:** LME-MCO

**Data Target(s):** PHPs

**PA File Layout:** The Department has established attached file layout for LME-MCOs to send PA data from LME-MCOs to PHPs. There will be a zipped file that will be sent between LME-MCOs and PHPs for Prior Authorizations. Within the zipped file there will be a flat file containing Prior Authorizations from LME-MCOs. The DED supporting the file layout is also attached with this document.



**Documents Supplementing the PA File:** In addition to the Prior Authorization flat file identified above, the LME-MCOs will include corresponding Consent Forms, if consent is secured to share a PA within the scope of 42 CFR Part 2. Also, a consent spreadsheet should be included with each Prior Authorization submission to identify members where consent was gained. If PAs to be sent are not under the scope of 42 CFR Part 2, the consent forms and consent ID spreadsheet do not need to be included. The consent form is under review and will be added below once finalized.

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**File Naming Convention:**

LME-MCOs should zip the 3 underlying files for each PHP: Prior Authorization Flat File, Consent Forms and Consent Spreadsheet (if gathered) according to the following naming conventions:

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**Transmission Type:** Secure File Transfer through NCMT MFT Platform

**NCMT MFT Platform Connection and Attestation Process:** With each daily submission to NCMT MFT Platform, the LME-MCOs should zip all 5 PHP zips along with a .JSON attestation form and submit to NCMT MFT Platform. The User Manual for connecting the NCMT MFT Platform and the Attestation process can be found below:



Structure of the Daily Submissions Should Be As Follows:

\*These files should not be included if the .txt file does not contain PAs that meet the 42 CFR Part 2 criterion

* Wrapper Zip File for Daily Submission
  1. JSON Attestation Form for the Daily Submission
  2. PHP 1 Zip
     1. PA .txt File
     2. Consent Forms\*
     3. Consent ID Spreadsheet\*
  3. PHP 2 Zip
     1. PA .txt File
     2. Consent Forms\*
     3. Consent ID Spreadsheet\*
  4. PHP 3 Zip
     1. PA .txt File
     2. Consent Forms\*
     3. Consent ID Spreadsheet\*
  5. PHP 4 Zip
     1. PA .txt File
     2. Consent Forms\*
     3. Consent ID Spreadsheet\*
  6. PHP 5 Zip
     1. PA .txt File
     2. Consent Forms\*
     3. Consent ID Spreadsheet\*

**File Delivery Frequency and Rules:** Daily Full files

1. Prior to Standard Plan Launch a full file for members moving to Standard Plan shall be developed for each PHP. Prior to the Standard Plan Effective Date when a member moves from an LME-MCO to a PHP the LME-MCOs shall develop a full file for each PHP the member is assigned to. This will be followed by a daily full file for the PHP the member is assigned to.
2. Prior to Standard Plan Launch when a member switches from PHP 1 to PHP 2 the LME-MCOs shall prepare a one-time full file for PHP 2 upon eligibility change. This will be followed by a daily full file for PHP 2.
3. From Standard Plan Launch onward LME-MCOs will continue to prepare full files for PHPs on a daily basis. For members who have already switched to a Standard Plan, LME-MCOs only need to include newly approved prior authorizations in their full file updates, updates based on previously sent Prior Authorizations only need to be sent up until the Standard Plan Effective Date.
4. From Standard Plan Launch onward, if a member switches from PHP 1 to PHP 2, PHP 1 is responsible for sending historical data while LME-MCOs will prepare daily full files for former members whose LME-MCO authorized PAs that had not been sent to PHP 1.
5. From Standard Plan Launch onward, if a new member enrolls in a PHP, LME-MCOs will prepare a full file for the PHP the member is assigned to upon eligibility change. This will be followed by a daily full file for the PHP the member is assigned to containing updates on existing approved prior authorizations up until the Standard Plan effective date. After the Standard Plan effective date only newly, approved Prior Authorizations need to be included in their full file updates.
6. Prioritize securing consent *if required* under 42 CFR Part 2 prior to transitioning any PA under the scope of 42 CFR Part 2
7. If PHPs are unable to ingest certain prior authorizations due to conflicting systems, they have been instructed to contact the LME-MCOs or providers to get the needed information to pay future claims.
8. Both Transferring and Receiving systems/entities are expected to report integration monitoring and incident/defect reporting data for this interface based on the requirements of the Department’s Technology Operations team.

**Dependencies:**

* Member assignments: LME-MCOs receive information on members assigned to Standard Plans through the daily Global Eligibility Files. LME-MCOs are expected to read off of the Global Eligibility file to determine which members should have their Prior Authorizations Transferred. The GEF guidance document to assist in this capability is located below:



# LME-MCOs to PHPs: Warm Handoff Summaries/Care Plans/Transition Summary

**Scope:**

* At crossover, LME-MCO warm handoff summary sheet or at the LME-MCO’s discretion, a current care plan, transfer is limited to those members requiring a warm handoff as determined by LME-MCO. A warm handoff summary sheet will be provided for every member identified for a warm handoff. The LME-MCO at its discretion may substitute a warm handoff summary sheet with an active care plan.
* For Ongoing Transition of Care, for each Tailored Plan eligible beneficiary disenrolling from an LME-MCO to a PHP, the LME-MCO will send a Transition Summary Page (modified version of warm handoff summary), and consent as applicable.
* In order to comply with 42 CFR Part 2, LME-MCOs shall ensure that 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 PHPs.
* LME-MCOs will reflect members requiring a warm handoff on a warm handoff information spreadsheet, in alignment with Crossover and Ongoing Transition of Care requirements. This spreadsheet will also 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
  + 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)
  + 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)
  + Comments
* LME-MCOs will also include the consent form for any Warm Handoff Summary Sheets/Care Plans/Transition Files that have SUD detail in which the LME-MCO was able to obtain consent to share the Warm Handoff Summary Sheet/Care Plan/Transition File

**Data Source:** LME-MCOs

**Data Target(s):** PHPs

**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, which will begin approximately 3 weeks prior to MCL. The file will be updated weekly, as needed to reflect additional members requiring a warm handoff session.

**File Frequency (Ongoing):** The file will be sent on an ad hoc basis as needed for Tailored Plan eligible beneficiaries disenrolling from LME-MCO to PHP 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 a Warm Handoff Information Spreadsheet along with any Consent Forms if consent was necessary to provide warm handoff information. The Warm Handoff Information Spreadsheet will follow the below layout as defined by the Department. The consent form and warm handoff summary sheet are under review and will be added below once finalized. For Ongoing, the Warm Handoff Spreadsheet can be used for the Transition Summary Submission.

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**File Naming Convention:**

LME-MCOs should zip the underlying files for each PHP: Care Plan PDFs, Warm Handoff Summary/Transition Summary PDFs, Consent Forms and Warm Handoff Spreadsheet according to the following naming conventions:

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**Transmission Type:** Secure File Transfer through NCMT MFT Platform

**NCMT MFT Platform Connection and Attestation Process:** With Care Plan submission to the NCMT MFT Platform, the LME-MCOs should zip all 5 PHP zips along with a JSON attestation form and submit to NCMT MFT Platform. The User Manual for connecting the NCMT MFT Platform and the Attestation process can be found below:



\*These files should not be included if the Warm Handoff Summary Sheet and/or Care Plan files do not contain information that meets the 42 CFR Part 2 criterion

\*\*At Crossover, for each member requiring a warm handoff, a Care Plan can be included, a Warm Handoff Summary Sheet can be included, or both can be included. For Ongoing TOC, each Tailored Plan-eligible member will receive a warm handoff and LMe/MCOs will include minimally a Transition Summary Sheet (which is a modified version of the Warm Handoff Summary Sheet used at Crossover).

Structure of the As Needed Care Plan Submissions should be as follows:

* Wrapper Zip File for Daily Submission
  1. JSON Attestation Form for the Daily Submission
  2. PHP 1 Zip
     1. Care Plan PDF\*\*
     2. Warm Handoff Summary Sheet PDF\*\*
     3. Consent Forms\*
     4. Warm Transfer Spreadsheet
  3. PHP 2 Zip
     1. Care Plan PDF\*\*
     2. Warm Handoff Summary Sheet PDF\*\*
     3. Consent Forms\*
     4. Warm Transfer Spreadsheet
  4. PHP 3 Zip
     1. Care Plan PDF\*\*
     2. Warm Handoff Summary Sheet PDF\*\*
     3. Consent Forms\*
     4. Warm Transfer Spreadsheet
  5. PHP 4 Zip
     1. Care Plan PDF\*\*
     2. Warm Handoff Summary Sheet PDF\*\*
     3. Consent Forms\*
     4. Warm Transfer Spreadsheet
  6. PHP 5 Zip
     1. Care Plan PDF\*\*
     2. Warm Handoff Summary Sheet PDF\*\*
     3. Consent Forms\*
     4. Warm Transfer Spreadsheet
* Member assignments: LME-MCOs receive information on members assigned to Standard Plans through the daily Global Eligibility Files. LME-MCOs are expected to read off of the Global Eligibility file to determine if any members should have their Care Plans transferred. The GEF guidance document to assist in this capability is located below:



# PHPs to LME-MCOs: Prior Authorization Files

**Scope:**

* All Behavioral Health Prior Authorizations approved by the PHPs for members who are transitioning from Standard Plans to Medicaid Direct after Standard plan go-live date, with PA end date greater than Medicaid Direct coverage effective date
* Services included in the attached document will be used by PHPs to parse out LME-MCO prior authorizations.

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* PHPs are not required to send incremental updates after the Medicaid Direct effective date to previously approved PAs. The PHPs should only send newly approved PAs (within 14 calendar days of Medicaid Direct effective date) after Medicaid Direct effective date. These post effective date newly approved PAs constitute the incremental file.
* In order to comply with 42 CFR Part 2, PHPs will be required to scrub appropriate data fields with null values for PAs that meet the 42 CFR Part 2 criterion unless they have received consent from the member to share that data.

**Data Source:** PHPs

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

**File Layout:** The Department has established the attached file layout to send Behavioral Health PA data from PHPs to LME-MCOs that will be used to support continuity of care when members move from a Standard Plan to Medicaid Direct.



**Documents Supplementing the PA File:** In addition to the Prior Authorization flat file identified above, the PHPs will include corresponding Consent Forms, if consent is secured to share a PA with SUD detail under the scope of 42 CFR Part 2. Also, a consent spreadsheet should be included with each Prior Authorization submission to identify members where consent was gained. If no PAs being sent meet the 42 CFR Part 2 criterion, consent forms and the consent ID spreadsheet do not need to be included.

 

**File Naming Convention:** PHPs will send Behavioral Health Prior Authorization files using the following naming conventions on the NCMT MFT PLATFORM.



**File Type:** Fixed width flat file

**Transmission Type:** Secure File Transfer through NCMT MFT Platform

**NCMT MFT Platform Connection and Attestation Process:** With each daily receipt from the NCMT MFT PLATFORM, the LME-MCOs should expect a zipped file from each PHP (as needed).

Structure of the receipt should be as follows from each PHP folder location:

\*These files should not be included if the .txt file does not contain PAs that meet the 42 CFR Part 2 criterion

* LME-MCO 1 Zip
  + PA .txt File
  + Consent Forms\*
  + Consent ID Spreadsheet\*

**File Delivery Frequency & Creation Rules:** Full files followed by daily incremental files

1. PHPs will send a full Behavioral Health PA file to the LME-MCO the day before the member’s new Medicaid Direct effective date. After the Medicaid Direct effective date, if a PHP approves a new prior authorization then the PHP will send the newly approved PA in an incremental file. This incremental file will not include any updates to Prior Authorizations previously sent.
2. LME-MCOs are expected to pick up these files daily, process and load this data for all members that are assigned to them, in their respective systems that allows them to meet all the contractual obligations and requirements related to Prior Authorizations that are outlined in the LME-MCO contract.
3. LME-MCOs will be expected to load prior authorizations even if there are data fields that are not easily translated into their operation systems.
4. Both Source & Target systems/entities are expected to report integration monitoring and incident/defect reporting data for this interface based on the requirements of the Department’s Technology Operations team.

**Dependencies:**

* Member assignments: LME-MCOs receive information on members assigned to them through the daily Global Eligibility Files. LME-MCOs are expected to read off of the Global Eligibility file to be able to load these prior authorizations into their systems.



# PHPs to LME-MCOs: Transition File

**Scope:**

* PHP’s Transition file transfer will occur for all members who are disenrolling due to Tailored Plan eligibility PHP.
* In order to comply with 42 CFR Part 2, PHPs shall ensure that 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.
* PHPs will reflect disenrolling members requiring a warm handoff on a Transition File spreadsheet. This spreadsheet will also 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
* PHPs will also include the consent form for applicable Transition File content that have SUD detail in which the PHP was able to obtain consent

**Data Source:** PHPs

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

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

**Documents Included in Transition File Submission:** As a part of Transition File, the PHP shall include a Transition File Spreadsheet along with any Care Needs Screening, Care Plan, Adverse Determination Disposition Summary. The Transition File Spreadsheet will follow the below layout as defined by the Department.

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**File Naming Convention:** PHPs 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 following naming conventions:

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**Transmission Type:** Secure File Transfer through NCMT MFT Platform

**NCMT MFT PLATFORM Connection and Attestation Process:** With Transition File submission to the NCMT MFT PLATFORM, the PHPs should zip all 5 PHP zips along with a JSON attestation form and submit to NCMT MFT PLATFORM. The User Manual for connecting the NCMT MFT PLATFORM and the Attestation process can be found below:



Structure of the As Needed Care Plan Submissions should be as follows:

* Wrapper Zip File for Daily Submission
  1. JSON Attestation Form for the Daily Submission
  2. LME-MCO 1 Zip
     1. Consent Forms
     2. Transition Summary Sheet
     3. Care Needs Screening
     4. Care Plans
     5. Adverse Determination Disposition Summary
     6. Transition File Spreadsheet
  3. LME-MCO 2 Zip
     1. Consent Forms
     2. Transition Summary Sheet
     3. Care Needs Screening
     4. Care Plans
     5. Adverse Determination Disposition Summary
     6. Transition File Spreadsheet
  4. LME-MCO 3 Zip
     1. Consent Forms
     2. Transition Summary Sheet
     3. Care Needs Screening
     4. Care Plans
     5. Adverse Determination Disposition Summary
     6. Transition File Spreadsheet
  5. LME-MCO 4 Zip
     1. Consent Forms
     2. Transition Summary Sheet
     3. Care Needs Screening
     4. Care Plans
     5. Adverse Determination Disposition Summary
     6. Transition File Spreadsheet
  6. LME-MCO 5 Zip
     1. Consent Forms
     2. Transition Summary Sheet
     3. Care Needs Screening
     4. Care Plans
     5. Adverse Determination Disposition Summary
     6. Transition File Spreadsheet
  7. LME-MCO 6 Zip
     1. Consent Forms
     2. Transition Summary Sheet
     3. Care Needs Screening
     4. Care Plans
     5. Adverse Determination Disposition Summary
     6. Transition File Spreadsheet
  8. LME-MCO 7 Zip
     1. Consent Forms
     2. Transition Summary Sheet
     3. Care Needs Screening
     4. Care Plans
     5. Adverse Determination Disposition Summary
     6. Transition File Spreadsheet

**Dependencies:**

Member assignments: PHPs receive information on members assignment through the daily 834 file.

