

402 MEMBER TRANSITION FOR ANNUAL ENROLLMENT CHOICE AND ELIGIBILITY CHANGES

EFFECTIVE DATES: 08/01/95, 09/01/14, 07/01/16, 10/01/16, 06/16/17, 10/01/17, 10/01/18,
XX/XX/XX¹

REVISION

APPROVAL DATES: 02/01/03, 08/07/14, 12/29/14, 08/04/16, 04/06/17, 10/18/17, 04/05/18,
05/16/19²

I. PURPOSE

This Policy applies to AHCCCS Complete Care (ACC), ALTCS E/DP, DCS/CMDP (CMDP), DES/DDD (DDD), and RBHA Contractors. This Policy establishes requirements, criteria, and timeframes for the transition of members between AHCCCS Contractors and outlines the notification process for Annual Enrollment Choice (AEC) and eligibility changes. This Policy delineates the rights, obligations, and responsibilities of the member's current (relinquishing) Contractor and the requested (receiving) Contractor.

This Policy does not include requirements for the following transitions:

1. Member transitions due to Contractor Award, Contractor Termination, or material change to the Contractor's network.
2. Member transitions due to member request for Contractor change outside of Contractor choice offered upon initial enrollment and the AEC period (See ACOM Policy 401).
3. Members enrolled with an ALTCS E/DP Contractor that are transitioning due to enrollment choice in a county with choice and change of Contractor (See ACOM Policy 403).
4. Member transitions between ALTCS E/DP and DDD Contractors. Members may be transitioned between ALTCS E/DP Contractors or between an ALTCS E/DP Contractor and DDD. Transfers between ALTCS E/DP Contractors generally occur as a result of the member moving out of one Contractor's service area into another. Transfers between an ALTCS E/DP Contractor and DDD are the result of a change in DDD eligibility, as determined by DDD. AMPM Policy 520 and AMPM Policy 1620-M discuss Contractor responsibilities related to these transitions.

¹ Data Policy is effective

² Date Policy is approved

II. DEFINITIONS

ALTCS TRANSITIONAL PROGRAM

A program available for eligible ALTCS members who, at the time of medical reassessment, have improved either medically, functionally or both, to the extent that they no longer need institutional care, but who still need significant Long-Term Services and Supports (LTSS). The eligible member will continue to require some LTSS, but at a lower level of care. The ALTCS Transitional program allows those members who meet the lower level of care, as determined by the Pre-Admission Screening (PAS), to continue to receive all ALTCS covered services that are medically necessary.

ANNUAL ENROLLMENT CHOICE (AEC)

The opportunity for a member to change Contractors every 12 months.

ANNIVERSARY DATE

The anniversary date is 12 months from the date the member enrolled with the Contractor and annually thereafter. In some cases, the anniversary date will change based on the last date the member changed Contractors or the last date the member was given an opportunity to change.

CONTRACTOR CHANGE

Members who have been granted a change in Contractor pursuant to ACOM Policy 401 or [ACOM Policy 403](#).

DAY

A calendar day, unless otherwise specified.

ENROLLMENT TRANSITION INFORMATION (ETI)

Member specific information the Relinquishing Contractor must complete and transmit to the Receiving Contractor for those members requiring coordination of services as a result of transitioning to another Contractor. (See AMPM, Chapters 500 and 1600).

GEOGRAPHIC SERVICE AREA (GSA)

An area designated by AHCCCS within which a Contractor of record provides, directly or through subcontract, covered health care service to a member enrolled with that Contractor of record, as defined in 9 A.A.C.22, Article 1.

LONG-TERM SERVICES AND SUPPORTS (LTSS)

Services and supports provided to members of all ages who have functional limitations and/or chronic illnesses that have the primary purpose of supporting the ability of the member to live or work in the setting of their choice, which may include the individual's home, a provider-owned or controlled residential setting, a nursing facility, or other institutional setting [42 CFR 438.2].

MEMBER TRANSITION	The process during which members change from one Contractor to another.
POTENTIAL PLAN LISTING (PPL)	A file which provides the Contractor with the basic demographic information of all members who may be joining or leaving.
RECEIVING CONTRACTOR	The Contractor with which the member will become enrolled as a result of annual enrollment choice, open enrollment, a Contractor change or a change in eligibility.
RELINQUISHING CONTRACTOR	The Contractor in which the member will be leaving as a result of annual enrollment choice, open enrollment, a Contractor change or a change in eligibility.
SPECIAL HEALTH CARE NEEDS	Serious and chronic physical, developmental, or behavioral conditions requiring medically necessary health and related services of a type or amount beyond that required by members generally; that lasts or is expected to last one year or longer and may require ongoing care not generally provided by a primary care provider.

III. POLICY

A. TRANSITIONS

The Contractors and AHCCCS shall work collaboratively to ensure the smooth transition of members from one Contractor to another. –Continuity and quality of care are the overriding considerations for member transitions.

1. AEC
 - a. Members residing in GSAs with choice of Contractor may change enrollment once a year. However, AEC is not available for the following:
 - i. Members designated as meeting the criteria for the Serious Mental Illness (SMI) program³ and who are enrolled with a RBHA for provision of both physical and behavioral health services,
 - ii. Members enrolled in CMDP, or
 - iii. Members enrolled in DDD,
 - b. AHCCCS provides notice to members regarding annual enrollment 60 days prior to the member's AEC date,
 - c. The member may choose a new Contractor by contacting AHCCCS to complete the enrollment process,
 - d. Members who notify AHCCCS of their choice of Contractor prior to the anniversary month will transition to the requested Contractor (receiving Contractor) on the first day of the month of the member's anniversary date.

³ Rephrased SMI language throughout Policy

Members will receive services from their requested Contractor (receiving Contractor) on the first day of the month in which their anniversary date occurs,

- e. If members do not notify AHCCCS of choice of Contractor before the last day of the month in which the anniversary date occurs, the member will not transition to the requested Contractor (receiving Contractor) until the first day of the month following the anniversary month. Members will continue to receive ~~—~~medical care from their current Contractor (relinquishing Contractor) through the end of the month of the anniversary date,
- f. If the member does not participate in the AEC, no change of Contractor will be made during the new anniversary year except for changes approved under ACOM Policy 401, [and](#)
- g. Members must maintain eligibility as a condition of enrollment in the AHCCCS Program,
 - i. If a member loses eligibility after making an AEC and regains eligibility within 90 days, the member's AEC will be honored,
 - ii. If the member regains eligibility after 90 days, members who make a choice of Contractor will be enrolled with the Contractor of choice, if a choice is not made, the member will be auto-assigned to an available Contractor, and
 - iii. If the member is auto-assigned, AHCCCS sends a choice notice to the member, allowing the member 90 days to choose an available Contractor in the GSA.

2. Eligibility Changes

Member transitions due to eligibility changes include, but are not limited to, the following:

a. ALTCS E/PD to ACC Member Transition

Members determined through Pre-Admission Screening (PAS) reassessment to no longer be eligible to receive LTSS through ALTCS E/PD or the ALTCS Transitional Program, and are determined eligible for ACC enrollment, will be transitioned to an ACC Contractor,

b. ACC to ALTCS E/PD or DDD

Members who become eligible for ALTCS E/PD or DDD will be transitioned as outlined in this Policy, ACOM Policies 401 and 403, and AMPM Chapter 500 and 1600, and

c. ACC to RBHA

- i. Members who are enrolled with an ACC Contractor, and who are subsequently [designated](#) as SMI, will be transitioned to a RBHA to receive both physical and behavioral health services.
- ii. Members enrolled with an ACC Contractor that transition to CMDP for physical health services will transition to a RBHA to receive behavioral health services.

d. RBHA to ACC⁴

- i. ~~—~~SMI Decertification: [SMI designated m](#)Members ~~;~~ who are enrolled with a RBHA, and who complete the SMI decertification process, are

⁴ [Added for clarity](#)

transitioned to an ACC Contractor for the provision of physical and behavioral health services. —See AMPM Policy 320-P for more information regarding the criteria, process, and timeframes for SMI Decertifications.

- i.
- ii. SMI Opt-Out: Members who are enrolled with a RBHA for both physical and behavioral health services and are approved to opt-out of receiving physical health services from the RBHA are transitioned to an ACC Contractor for physical health services—See ACOM Policy 442 for more information regarding the criteria, process, and timeframes for opt-out transfers.

B. AHCCCS NOTIFICATION TO CONTRACTORS

See Figure 1 below for a matrix outlining transition notification activity.

1. Annual Enrollment Potential Plan Listing
 - a. AHCCCS provides the Contractors with a Potential Plan Listing (PPL), and
 - b. The PPL is preliminary information only, based on the member's choice during the annual enrollment period, and is subject to change.⁵
2. Enrollment Notification
 - a. Final notification data containing the member's choice of Contractor is provided via the Potential Transitional Listing (PTL)⁵ file,
 - b. Enrollment notification data is provided daily and monthly as follows:
 - i. Daily Enrollment Notification (834 File) is completed by AHCCCS between 8:00 p.m. and 11:59 p.m. each night for that day's activity, and
 - ii. Monthly Enrollment Notification (834 File) occurs three days before the first of the next month for each AHCCCS Contractor.

See the AHCCCS 834/820 Enrollment and Capitation Companion Guide for more information pertaining to the 834 Enrollment Notifications.

C. TRANSITION COORDINATOR

The Contractor shall identify a representative to serve as Transition Coordinator. The individual appointed to this key staff⁶ position must be a health care professional or an individual who possesses the appropriate education and experience and is supported by a health care professional to effectively coordinate and oversee all transition issues, responsibilities, and activities.

The role of the Transition Coordinator includes:

⁵ Corrected to align with updated the process

⁶ Added to align with Contract

1. Ensuring that transition activities are accomplished in accordance with AHCCCS and Contractor policies and procedures.
2. Acting as an advocate for members leaving and joining the Contractor.
3. Facilitating communication between Contractors and with AHCCCS.
4. Assisting Primary Care Providers (PCPs), internal Contractor departments, and other contracted providers with the coordination of care for transitioning members.
5. Ensuring that continuity of care is maintained during transitions.
6. Participating in AHCCCS transition meetings.

D. RELINQUISHING CONTRACTOR RESPONSIBILITIES

The relinquishing Contractor shall complete and transmit ETI to the appropriate parties no later than 10 days of receipt of the AHCCCS notification described in Section B above, for each member who has special circumstances, as described in the AMPM Chapter 500 and AMPM Chapter 1600, as appropriate.- Additionally, Contractors must comply with the notification requirements specified in this Policy for all member transitions.

The relinquishing Contractor shall:

1. Coordinate care for members with special health care needs with the receiving Contractor to ensure that services are not interrupted.
2. Be responsible for the provision of services during the transition period as specified in AMPM Policy 520.
3. Be responsible for members designated as SMI who are transitioning to a RBHA to receive both physical and behavioral health services.
4. Be responsible for timely notification to the receiving Contractor of pertinent information related to any special needs of transitioning members.
5. Notify the receiving Contractor as specified in AMPM Policy 520.

Relinquishing Contractors, who fail to notify receiving Contractors about members that meet the AHCCCS transition notification requirements specified in AMPM Policy 520, will be responsible for the cost of medically necessary services received

by the member for the first 30 days. The scope and responsibility for such cases will be reviewed and determined by ~~the AHCCCS, Administration~~⁷.

In cases where AHCCCS determines that the relinquishing Contractor is responsible for payment of services following the transition date, AHCCCS will require the receiving Contractor to provide AHCCCS with information about all costs incurred by the member during the period determined by AHCCCS. Failure to timely provide the requested information to AHCCCS will void the receiving Contractor's claim to reimbursement in that case.

6. Notify the hospital prior to transitioning a member who is hospitalized on the date of transition and comply with the requirements of the AMPM, Policy 520.
7. Be responsible for ensuring that a transitioning member's medical records and historical utilization data are copied and transmitted when requested by the member's new PCP or designated office staff. In cases where additional information is medically necessary but is exceptionally lengthy, the Relinquishing Contractor is responsible for the cost of copying and postage.

Under no circumstances is the member required to pay fees or costs associated with the copying and/or transfer of medical records to the receiving Contractor.

8. Ensure coverage and provision of medically necessary services to their assigned members through the date of transition.

Under no circumstances may a Contractor cancel, postpone, or deny a service based on the fact that a member will be transitioning to another Contractor.

9. Be responsible for ensuring that all staff involved with the coordination and/or authorization of services between members and providers are aware of the relinquishing Contractor's duties and obligations to deliver medically necessary services to transitioning members through the date of transition.

10. Remain responsible for adjudicating all pending member grievances and appeals that are filed prior to the member's transition.

E. RECEIVING CONTRACTOR RESPONSIBILITIES

Receiving Contractors ~~that which~~ fail to timely act upon enrollment transition information, or fail to timely coordinate or provide the necessary covered services to transitioning members after being properly notified, will be subject to sanctions as outlined in contract and ACOM Policy 408.

The receiving Contractor shall:

⁷ The agency is no longer referencing the term AHCCCS Administration, only AHCCCS.

1. Coordinate care for members with special health care needs with the relinquishing Contractor to ensure that services are not interrupted, and provide the new member with Contractor and service information, emergency numbers and instructions about how to obtain services.
2. Not delay the timely process of a transition ~~because of~~ due to missing or incomplete information. —If notification of a transition is received prior to a relinquishing Contractor's ETI, the receiving Contractor shall begin care coordination efforts immediately upon notification.
3. Extend previously approved prior authorizations for a minimum period of 30 days from the date of the member's transition unless a different time period is mutually agreed to by the member or member's representative.
4. Provide at a minimum a 90-day transition period, for children and adults with special healthcare needs who have an established relationship with a PCP that does not participate in the Contractor's provider network, during which the member may continue to seek care from their established PCP while the member/guardian/designated representative, the Contractor care manager and/or ALTCS Contractor case manager or Provider case manager ~~identifies~~ an alternative PCP within the Contractor's provider network.
5. Allow members who are in active treatment for a serious chronic physical, developmental, or behavioral health condition (including but not limited to chemotherapy, pregnancy, drug regime or a scheduled procedure) with a non-participating/non-contracted provider to continue receiving treatment from the non-participating/non-contracted provider through the duration of their prescribed treatment.
6. For members who transition to a RBHA from an ACC Contractor and who have an established relationship with a PCP that does not participate in the RBHA's provider network, the RBHA shall provide, at a minimum, a six-month transition period in which the member may continue to seek care from their established PCP while the member, the RBHA and/or case manager finds an alternative PCP within the RBHA's provider network as specified in AMPM Policy 520.⁸
7. Provide new members with member information within timeframes outlined in ACOM Policy 404 and ACOM Policy 406.
8. Ensure that transitioning members are assigned to a PCP and can obtain routine ~~and~~ , urgent, ~~and immediate~~ medical care ~~in accordance with~~ as specified in⁹ AHCCCS standards and ACOM Policy 417.

⁸ Added reference to align with the content

⁹ added for referencing consistency throughout policy

8.9. For newly designated SMI members, ensure behavioral health appointment standards are met in accordance with the timeframes as specified¹⁰ in ACOM Policy 417.¹¹

10. Be responsible for the payment of obstetrical and delivery services when a pregnant woman who is considered high-risk, is in her third trimester, or is anticipated to deliver within 30 days of transition, elects to remain with her current physician through delivery as specified in AMPM Policy 410¹². If the member's current physician and/or facility selected as her delivery site are not within the receiving Contractor's provider network, the receiving Contractor must negotiate for continued care with the member's provider of choice for payment of obstetrical services even if delivery is scheduled to occur outside of the receiving Contractor's contracted network.

¹⁰ Changed "outlined" to "as specified in" for consistency

¹¹ Added language specifying timeframes for the receiving contractor to establish services for newly determined SMI members

¹² Added reference to align with the content

FIGURE 1: TRANSITION NOTIFICATION MATRIX ¹³

<u>TRANSACTION ACTIVITY</u>	<u>RELINQUISHING CONTRACTOR</u>	<u>RECEIVING CONTRACTOR</u>	<u>NOTIFICATION LAYOUT</u>	<u>NOTIFICATION SUBMITTED VIA</u>	<u>NOTIFICATION SUBMITTED TIMEFRAME</u>
<u>ANNUAL ENROLLMENT CHOICE</u>					
<u>AHCCCS provides the Contractor with the basic demographic information of all members who may be joining or leaving. This is only preliminary information based on the member's choice during the annual enrollment period-</u>	<u>ACC</u> <u>ALTCS E/PD</u>	<u>ACC</u> <u>ALTCS E/PD</u>	<u>PPL and 834-PTL File</u>	<u>FTP Server</u>	<u>Created by the 10th of the month following the Member's Annual Enrollment Period</u>
<u>AHCCCS provides the Contractor with Daily Enrollment notifications for New members to a Contractor, disenrolled or deceased, member demographic changes, other changes (rate code change)</u>	<u>ACC</u> <u>ALTCS E/PD</u>	<u>ACC</u> <u>ALTCS E/PD</u>	<u>Daily 834 File</u>	<u>FTP Server</u>	<u>Completes between 8:00 p.m. and 11:59 p.m. each night for the day's activity</u>
<u>AHCCCS provides the Contractor with Monthly totals of active population for each Contractor as of the first of the next month</u>	<u>ACC</u> <u>ALTCS E/PD</u>	<u>ACC</u> <u>ALTCS E/PD</u>	<u>Monthly 834 File</u>	<u>FTP Server</u>	<u>Completes three days before the first of the next month</u>

¹³ Updated the formatting and some of the content in the Table as recommended, and to align with the policy with respect to AEC and enrollment changes

<u>TRANSACTION ACTIVITY</u>	<u>RELINQUISHING CONTRACTOR</u>	<u>RECEIVING CONTRACTOR</u>	<u>NOTIFICATION LAYOUT</u>	<u>NOTIFICATION SUBMITTED VIA</u>	<u>NOTIFICATION SUBMITTED TIMEFRAME</u>
<u>ELIGIBILITY CHANGES</u>					
<u>AHCCCS provides the Contractor with the basic demographic information of all members who have left-</u>	<u>ACC</u> <u>ALTCS E/PD</u> <u>CMDP</u> <u>DDD</u> <u>RBHA SMI (if SMI ends)</u>	<u>ALTCS E/PD</u> <u>ACC</u> <u>RBHA SMI</u> <u>DDD</u> <u>CMDP</u>	<u>PPL</u>	<u>FTP Server</u>	<u>Created the date of notification of the member disenrollment-</u>
<u>AHCCCS provides the Contractor with Daily Enrollment notifications for New members to a Contractor, disenrolled or deceased, member demographic changes, other changes (rate code change)</u>	<u>ACC</u> <u>ALTCS E/PD</u> <u>CMDP</u> <u>DDD</u> <u>RBHA SMI</u> <u>ACC</u>	<u>ALTCS E/PD</u> <u>ACC</u> <u>RBHA SMI</u> <u>DDD</u> <u>CMDP</u>	<u>Daily 834 File</u>	<u>FTP Server</u>	<u>Completes between 8:00 p.m. and 11:59 p.m. each night for the day's activity-</u>
<u>AHCCCS provides the Contractor with Monthly totals of active population for each Contractor as of the first of the next month</u>	<u>ACC</u> <u>ALTCS E/PD</u> <u>CMDP</u> <u>DDD</u> <u>RBHA SMI</u>	<u>ALTCS E/PD</u> <u>ACC</u> <u>RBHA SMI</u> <u>DDD</u> <u>CMDP</u>	<u>Monthly 834 File</u>	<u>FTP Server</u>	<u>Completes three days before the first of the next month</u>

FIGURE 1: TRANSITION NOTIFICATION MATRIX¹⁴

TRANSACTION ACTIVITY	RELINQUISHING CONTRACTOR	RECEIVING CONTRACTOR	NOTIFICATION LAYOUT	NOTIFICATION SUBMITTED VIA	NOTIFICATION SUBMITTED TIMEFRAME
<u>ANNUAL ENROLLMENT CHOICE</u> Provides the Contractor with the basic demographic information of all members who may be joining or leaving. This is only preliminary information based on the member's choice during the annual enrollment period.	<u>ACC</u>	<u>ACC</u>	PPL and 834 File	FTP Server	Created by the 10th of the month following the Member's Annual Enrollment Period
			PPL and 834 File	FTP Server	
<u>DAILY ENROLLMENT NOTIFICATION</u> New members to a Contractor, disenrolled or deceased, member demographic changes, other changes (rate code change)	All	All	834 File	Dial in to AHCCCS computer system and download the data file for batch processing.	Completes between 8:00 p.m. and 11:59 p.m. each night for the day's activity.

¹⁴ Table is deleted and replaced with the above Table, which reflects the revisions made

<p>MONTHLY ENROLLMENT NOTIFICATION Files identify the total active population for each Contractor as of the first of the next month</p>	All	All	834 File	FTP Server	
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OPEN UNTIL 06/30/19