



Subject Delegation Oversight for Care Coordination (MSHO/MSC+ and SNBC)	Attachments <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Key words Delegation, Oversight, Care Coordination, Delegate, MSHO/MSC+, SNBC	AD 004
Category Business Practices (BP)	Effective Date 9/1/2017
Manual HealthPartners Administrative Manual	Last Review Date June 1, 2023
Issued By Provider Relations and Network Management	Next Review Date June 1, 2024
Applicable Programs/ Staff All Primary Care Providers All Specialty Care Providers All Facilities and Providers Care systems, agencies, and counties that subcontract with HealthPartners to provide care coordination for MSHO, MSC+ and/or SNBC members	Origination Date 9/1/2017
	Retired Date
Review Responsibility Florence Okoampa, Carolyn Koch, Mary Holland, Bev Vacinek, Donald Bechtle, Jennifer House and Laurena Lockner	Contact Ashley Horak

HP Product Categories:

- Commercial Fully Insured
 Commercial Self-Insured
 Medicare Advantage
 Medicare Cost
 Medicaid/PMAP
 MSHO
 MSC+ EW
 MSC+ Non EW
 SNBC

HPUPH Product Categories:

- Commercial Fully Insured
 Commercial Self-Insured
 Medicare Advantage

I. PURPOSE

Define delegation oversight activities conducted for those delegates contracted by HealthPartners to provide care coordination services for MSHO/MSC+/SNBC members and to define HealthPartners expectations of those delegates.

II. **POLICY**

HealthPartners oversees contracted delegates in order to ensure delegated partners provide care coordination to HealthPartners members according to our Care Coordination administrative policy. The oversight occurs at time of initial contracting, ongoing throughout the year and annually.

PROCEDURE(S)

Initial Oversight (Training Plan)

HealthPartners conducts delegation oversight activities at the time of initial contracting with each new delegate. Initial training plan includes the necessary information to assure the training of the delegate's care coordinators is completed per HealthPartners expectations.

The initial oversight includes the completion of Annual Delegate Review/Attestation form, which serves as the comprehensive training plan. Upon completion of the attestation form, the delegate attests that the delegate and its care coordinators have completed all necessary training to perform appropriate care coordination services.

The training, as stated in the attestation, includes but is not limited to the review of:

1. Delegation Oversight Policy
2. Care Coordination for MSHO/MSO+ and Care Coordination for SNBC policies, as appropriate
3. Care Coordination Work aids and Training Webinar/Presentations
4. Care Coordination Clinical Resources, found on the CC web pages, which includes but not limited to:
 - a. Screening & Care Plan Tools for Care Coordination
 - b. Letter Templates for Care Coordination
 - c. Forms for Care Coordination
 - d. Resources such as Clinical Guides
 - e. Training Materials from past Webinar/Presentations
 - f. Behavioral Health Resources
 - g. Ride Care Resources
 - h. Policies and audit protocols

Ongoing and Annual Oversight

HealthPartners conducts delegation oversight activities throughout the year and expects delegated partners to adhere to regulatory requirements issued by the Center for Medicare and Medicaid Services (CMS), Minnesota Department of Human Services (DHS) and HealthPartners. Contracted delegates are also expected to participate in quality improvement activities initiated by HealthPartners, to utilize reports provided by HealthPartners to effectively manage care coordination of assigned members, and to provide HealthPartners with key care coordination metrics on a routine basis.

A. HealthPartners conducts delegation oversight activities throughout the year and includes, but is not limited to, the following activities:

- 1) Annual Delegate Review/Attestation (Annual)

HealthPartners reviews each delegate's performance annually regarding compliance with CMS, DHS, and HealthPartners requirements as part of its Annual Delegation Review/Attestation. Delegates are expected to complete an attestation regarding the review and understanding of care coordination policies, procedures, and workflows. Review will include but is not limited to:

- a. Use of sub-delegates
 - b. Use of licensed and non-licensed (SNBC only) professionals as care coordinators
 - c. Monthly membership reconciliation
 - d. Caseload ratios for care coordinators
 - e. Continuing education and training of care coordinators
 - f. Review and attestation of required HealthPartners policy and procedures
- 2) Health Risk Assessment and Care Plan Audit (includes EW/Non-EW Audit for MSHO/MS C+ members) to meet DHS requirements

HealthPartners conducts an annual or bi-annual audit of Health Risk Assessments (HRAs) and Individualized Care Plans (ICPs) for a sampling of members assigned to each delegate. HealthPartners uses the MN DHS MSHO/MS C+ Elderly Waiver Care Plan and Non-Elderly Waiver Audit Protocols for MSHO/MS C+ membership and the MN DHS SNBC Audit Protocol for SNBC membership. The auditor conducts the chart review, calculates a compliance score, and shares findings with each delegate. A corrective action plan (CAP) is required for any element not reaching a 95% or higher score. Delegate audits are conducted by the HealthPartners Comprehensive Care Advocacy (CCA) department. Bi-annual audits occur for High Performing Delegates per criteria set forth by MN DHS. High Performing Delegates are those delegates who have met all audit protocols and requirements for two consecutive years and can bypass the next year's audit cycle. Delegates can maintain high performer status, being audited every other year, if all protocols and requirements continue to be met.

- 3) Health Risk Assessment and Care Plan Audit to meet CMS Model of Care requirements for MSHO Only (Annual)

HealthPartners conducts an annual audit, or a bi-annual audit, of Health Risk Assessments (HRAs) and Individualized Care Plans (ICPs) for a sampling of members assigned to each delegate serving MSHO members. HealthPartners uses the CMS Program Audit protocols. The auditor conducts the chart review, calculates a compliance score, and shares findings with each delegate. A corrective action plan (CAP) is required for any sample not meeting audit requirements. The audits are completed annually by CCA.

- 4) Health Outcome Survey (HOS) (Annual) and Consumer Assessment of Health Care Providers and Systems (CAHPS) (Annual)

HealthPartners administers two Medicare surveys to its MSHO members which are HOS, a patient-reported outcomes measure, and CAHPS, a patient experience measure. Although delegate specific results are not available, the performance of the delegates' care coordinators may influence the outcomes of the surveys and HealthPartners expects delegates to provide appropriate clinical and customer services.

- 5) Liaison – HealthPartners Primary Contact (Daily Availability)

HealthPartners assigns a liaison to each delegate as their primary contact. The role of the liaison is to provide guidance to the delegate regarding care coordination. The liaison can be

reached by phone, email, or fax. HealthPartners also provides a webpage for delegates which contains forms, training materials, templates, and other resources.

6) Monthly Expectations (Monthly)

HealthPartners requires each delegate to complete monthly tasks including those stated below:

- a. Review their monthly census list for accuracy
- b. Ensure each member has an assigned care coordinator
- c. Complete and return the HRA Log with the requested information including assessment status, method of assessment, care plan completion dates and unable-to-reach/refusal information.

The information provided allows HealthPartners to monitor delegate performance and meet regulatory requirements. HealthPartners CCA department monitors the delegate's completion of these tasks.

7) Patient Satisfaction Survey

HealthPartners completes surveys of its MSHO/MSO+ and SNBC members to allow members to share feedback about their experience. The surveys evaluate the care provided by its care coordinators and the member's satisfaction with the provided services. The performance of the delegates' care coordinators influence the outcomes of the surveys and HealthPartners expects delegates to provide appropriate clinical and customer services. The SNBC surveys are conducted in the fall, every other year and the results are shared with CCA leadership.

8) Site Visit and/or Meetings (minimum one per year)

HealthPartners Care Coordination leaders will meet with delegates during the year, whether in-person, at the delegate's site or by conference call, to discuss the contractual relationship, clinical services, administrative policies, and opportunities for improvement to better meet the needs of the members. Site visits for delegate audits and conference calls for discussing audit results may serve as the annual meeting. Delegates can also request a meeting when desired.

9) Training of Delegate Providers and Staff (ongoing)

HealthPartners provides multiple training opportunities throughout the year for the delegates' care coordinators, providers, and staff. Training will occur when necessary to communicate regulatory or other changes in a timely manner. MSHO Model of Care (MOC) training is required to be completed for care coordinators and providers serving HealthPartners MSHO members. Delegates are required to maintain attendance records including sign in sheets of all staff who complete MOC training throughout the calendar year. The delegate should be prepared to produce a staff roster and training log upon request.

B. HealthPartners expects its delegates to participate, as requested, in regulatory reviews, audits and ad-hoc reporting by CMS and DHS including but not limited to:

1) CMS Audit of Health Plan including Model of Care for MSHO only (per CMS schedule)

For those delegates who serve MSHO members, HealthPartners expects delegates to provide the necessary information needed for a CMS Audit of Health Plan, also called CMS Program

Audit of the MSHO product. The CMS Program Audit includes an audit of the MSHO Model of Care. The audits are unscheduled and can occur at any time. The CMS Program Audit includes a chart review and delegates will be required to provide member chart information under a very short turnaround time, less than two business days, and also need to have a designated care coordination representative available for additional requests during the audit. CCA team members will notify and communicate with the delegates prior to and during the audit. HealthPartners expects delegates to maintain a constant state of audit readiness.

2) CMS Part C Element #04 Special Needs Plans Care Management for MSHO only (Annual)

For those delegates who serve MSHO members, HealthPartners expects delegates to provide the necessary information needed for the Medicare Part C Plan Reporting Requirements, specifically Element 04 Special Needs Plans Care Management. Delegates are expected to complete the monthly HRA Log, as described as part of Monthly Expectations. At calendar year end, delegates are expected to submit the December HRA Log and any outstanding HP Unable to Reach forms promptly, in early January, to ensure HealthPartners meets the CMS reporting deadline in February.

3) DHS EW/Non-EW and SNBC Care Plan Audit Summaries (Annual)

Each year, HealthPartners submits a summary report of the MSHO/MS C+ EW and non-EW Care plan audit and SNBC audit results to DHS. HealthPartners completes the summary reports in the fall of each year in accordance with DHS audit protocols and may require additional input from the delegate when completing the summary.

4) DHS Audit of Health Plan – Quality Assurance Examination and Triennial Compliance Assessment (every three years)

The DHS Audit of Health Plan typically conducted by the MN Department of Health (MDH), includes the MDH Quality Assurance Examination and the DHS Triennial Compliance Assessment. The audits occur every three years to ensure compliance with MN law and DHS contract requirements. The Triennial Compliance Audit includes a HRA Care Plan audit using the MN DHS Elderly Waiver audit protocols for MSHO/MS C+ members and MN DHS SNBC audit protocols. The audits include a chart review and delegates are required to provide member chart information under a very short turnaround time and also need to be available for additional requests during the audit period. The Quality Assurance Examination includes a review of oversight of delegates. CCA team members will communicate with the delegates prior to and during the audit. HealthPartners expects delegates to maintain a constant state of audit readiness.

5) Healthcare Effectiveness Data and Information Set (HEDIS) and STARS Data Collection (Annual)

HealthPartners expects the delegate to provide upon request, information for select MSHO members regarding HEDIS and/or STARS measures to ensure HealthPartners meets reporting requirements. Delegates receive a list of members and are expected to return the requested documentation within the prescribed time frame.

C. HealthPartners expects its delegates to support and to participate, as requested, in HealthPartners quality improvement initiatives including:

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- 1) Quality Improvement Activities and Measures (ad hoc)
HealthPartners establishes quality initiatives, with measures, benchmarks, and goals, for our Triple Aim, Model of Care and other regulatory related initiatives as needed. HealthPartners Triple Aim initiatives include improving health, providing a better member experience, and making health care more affordable. HealthPartners expects its delegates to participate in activities such as reporting clinical data or implementing new procedures when requested.

D. HealthPartners expects its delegates to review and utilize reports provided to the delegate by HealthPartners regarding the delegate's assigned members and the member's utilization of services including but not limited to:

- 1) Census reports (monthly)
HealthPartners delivers, through its secure provider portal, monthly reports about the members assigned to the delegate. Census information includes newly assigned members as well as current or future membership changes. HealthPartners expects delegates to use the reports to manage their members and reconcile the lists to ensure accuracy and care coordination assignments.
- 2) Utilization reports (daily)
HealthPartners delivers, through its secure provider portal, daily hospital admission reports for members assigned to the delegate. HealthPartners expects delegates to use the reports to support members throughout each transition of care. Delegates are expected to emphasize post-discharge support to decrease the member's likelihood of experiencing an avoidable readmission.
- 3) Utilization reports (monthly)
HealthPartners delivers, through its secure provider portal, ongoing reports about the members assigned to the delegate. Information includes inpatient admissions, emergency room visit claims, members with chronic conditions and other key metric reports. HealthPartners expects delegates to use the reports to manage their members and ensure safe, timely, effective, efficient, equitable, and patient centered healthcare to those members.

E. Delegates are expected to remain compliant and complete the delegation oversight activities, expectations, and requirements in a responsive, professional, and timely manner throughout the year.

Delegates are expected to maintain appropriate communication with HealthPartners including a centralized intake phone and fax number and centralized email address with secure encryption capabilities with HealthPartners.

Delegates are expected at a minimum to complete each activity or request within the requested time frame. HealthPartners leadership will notify the delegate when they are delinquent in their responsibilities. When a delegate is considered delinquent in their responsibilities, the delegate will be subject to an escalating corrective action process. The escalating corrective action process includes, but is not limited to, the following:

- 1) Additional requests by HealthPartners for missing or improved participation and/or documentation
- 2) Meeting between leadership to discuss issues/deficiencies and written corrective action plan completed by the delegate
- 3) Follow-up review and interaction with delegate, as needed, by appropriate staff

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- 4) Decision by HealthPartners' leadership to require delegate to complete additional corrective action. Corrective action may include additional audits, suspension of new enrollment and recommendation to terminate the delegate's contract for providing care coordination services.
 - 5) Participation in complex medical rounds as requested
 - 6) Completion of care coordination functions such as completing and submitting Service Authorization and Benefit Exception forms.
 - 7) Promptly contacting their HealthPartners liaison when any legal or media situations arise involving a HealthPartners member
 - 8) Communication with HealthPartners regarding any contractual or restrictive changes incurred impacting care coordination

IV. DEFINITIONS

Care Coordination: The assignment of an individual who coordinates the provision of all Medicare and Medicaid health and long-term care services for MSHO/MSC+ and/or SNBC members. The care coordinator is responsible for completing the health risk assessment and person-centered care plan with the member and for providing support and coordination of care between member, health professional and care settings.

Care Transitions

Care Transitions, or Transitions of Care, refers to the movement of members between health care settings and home as the member's condition and care needs change. The goals are to improve safe transitions, improve quality of care, and reduce avoidable readmissions.

Comprehensive Care Advocacy (CCA)

A department within HealthPartners with the mission to improve the health and care of HealthPartners high risk members while serving as good stewards of health care resources. Care Coordination services for MSHO/MSC+ and SNBC products are housed in CCA.

Delegate

A care coordination entity providing services to members of a HealthPartners' MSHO/MSC+ and/or SNBC product. Care Coordination entities are typically Counties, Agencies, and/or Care Systems, but could be other types of organizations as well.

Delegation Oversight

The process by which the health plan contracts with another entity (agency, county, and/or care system) to perform care coordination services to the health plans member on behalf of the health plan, while the health plan retains final authority. The health plan establishes and implements an effective system for routine monitoring and identification of compliance risk with its delegates.

Health Risk Assessment (HRA)

The Health Risk Assessment tool meets DHS and HealthPartners requirements. For MSHO/MSC+ members, the tool used is the state's Long Term Care Consultation tool. The health risk assessment shall include questions designed to identify health risks and chronic conditions, including but not limited to: 1) activities of daily living, 2) risk of hospitalizations, 3) need for primary and preventive care, 4) mental health needs, 5) rehabilitative services, and 6) protocols for follow up to assure that physician visits, additional assessments or Case Management interventions are provided when indicated.

Minnesota Senior Care Plus (MSC+)

The Minnesota mandatory Prepaid Medical Assistance Plan (PMAP) for enrollees' age sixty five (65) and over. MSC+ used § 1915 (b) waiver authority for State Plan services, and § 1915 (c) waiver

authority for Home and Community-based Services. MSC+ includes Elderly Waiver services for Enrollees who qualify, and one hundred and eighty (180) days of Nursing Facility care.

Minnesota Senior Health Options (MSHO)

The Minnesota prepaid managed care program, pursuant to Minnesota Statutes, § 256B.69, subd. 23, that provides integrated Medicare and Medicaid services for Medicaid eligible seniors, age sixty-five (65) and over. MSHO includes Elderly Waiver services for Enrollees who qualify and one hundred and eighty (180) days of Nursing Facility care.

Model of Care (MOC)

In accordance with CMS regulations, the Model of Care (MOC) provides the basic framework under which a special needs plan (including MSHO) will meet the needs of its enrollees. The MOC is a vital quality improvement tool and integral component for ensuring that the unique needs of each enrollee are identified and addressed through the plan’s care management practices. It provides the foundation for promoting quality, care management, and care coordination processes.

Post Discharge

See Care Transitions

Special Needs BasicCare

The Minnesota prepaid managed care program, pursuant to Minnesota Statutes, § 256B.69, subd.28, that provides Medicaid services and/or integrated Medicare and Medicaid services to Medicaid eligible people with disabilities who are ages eighteen (18) through sixty-four (64).

V. COMPLIANCE

Failure to comply with this policy or the procedures may result in disciplinary action, up to and including termination.

VI. ATTACHMENTS

None

VII. OTHER RESOURCES

HealthPartners Code of Conduct
HealthPartners Oversight of First Tier, Downstream, and Related Entities’ (FDRs’) Compliance Related Activities Policy
HealthPartners Assessing, Monitoring and Auditing First Teir, Downstream, and Related Entities’ (FDRs’)
HealthPartners Comp-03 Preventing, Detecting and Reporting Fraud Waste and Abuse Policy
HealthPartners AC 011 Care Coordination for MSHO Policy
HealthPartners AC 010 Care Coordination for SNBC Policy
2023 DHS Contract for Seniors (MSHO/MSK+), 9.2, 9.4,. and 11.5
2023 DHS Contract for SNBC, 9.2, 9.4 and 11.5

VIII. APPROVAL(S)

Sue Oestreich
Director, Comprehensive Care Advocacy

IX. ENDORSEMENT