




# CORPORATE POLICY & PROCEDURE

	Policy Name: Member Assignment and Reassignment
Department: Member Services	Policy Number: MS1
Version: 3	Creation Date: 4/26/2017
Revised Date: 10/16/18, 8/28/19	Review Date:
Line of Business: <input type="checkbox"/> All <input checked="" type="checkbox"/> Umpqua Health Alliance <input type="checkbox"/> Umpqua Health Management <input type="checkbox"/> Umpqua Health - Newton Creek <input type="checkbox"/> Physician eHealth Services <input type="checkbox"/> UHA Community Activities <input checked="" type="checkbox"/> Umpqua Health Network <input type="checkbox"/> Professional Coding and Billing Services <input type="checkbox"/> ACE Network	
Signature:  Approved By: Michael von Arx, Chief Operating Officer <span style="float: right;">Date: 1/30/2020</span>	

## POLICY STATEMENT

Umpqua Health Alliance (UHA) is dedicated in ensuring its members have timely and adequate access to primary care providers (PCP). Additionally, UHA is dedicated in ensuring that its network providers have a fair approach to request member reassignment, while taking into consideration barriers, coordination of care, and a timely transition for impacted members.

## PURPOSE

The purpose of the policy is to outline the decision making process and necessary steps to assign and reassign a member from a provider.

## RESPONSIBILITY

Member Services, Provider Network, Credentialing

## DEFINITIONS

Closed PCP: PCPs are closed if any of the following situations are met:

1. Provided communication to UHA that they are no longer accepting new members.
2. PCP has a screening or approval process prior to member assignment.
3. PCP is unable to meet UHA's PN8 - Monitoring Network Availability policy.
4. PCP is closed due to the number of member assignments reaching capacity.
5. To facilitate the building of a new provider's panel, the assignment of 150 members begins upon the completion of the credentialing process. Member Services will contact the PCP to obtain capacity initially and again once the PCP's set capacity is met, giving the provider the opportunity to raise or lower capacity as needed.

FKA: Formerly known as.

Initial Assignment: UHA's internal process to assign a newly enrolled member to a PCP.

Open PCP: PCPs are considered open if all of the situations below are met:

1. Provides care in accordance with Oregon Administrative Rule (OAR) 410-141-3515 (fka 410-141-3220) and UHA's PN8 - Monitoring Network Availability policy.



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2. Accepts all members assigned, unless reassignment granted through UHA’s MS1 - Member Assignment and Reassignment policy.
3. Patient-Centered Primary Care Home (PCPCH) attested with the Oregon Health Authority (UHA); Tier 3 or higher with the exception of a new practice/Tax identification number (TIN) that is within the first 1 ½ year of business.
4. Willing to accept new members without prior approval or screening.
5. Provides UHA with the patient capacity that allows for assignment. A PCP will remain open until capacity is met.
  - a. Example; provider capacity is 500 with 400 patients/members currently assigned. The provider will remain on an open status until 500 members are assigned.

Patient-Centered Primary Care Home (PCPCH): A health care team or clinic as defined in Oregon Revised Statute (ORS) 414.655, which meets the standards pursuant to OAR 409-055-0040, and has been recognized through the process pursuant to OAR 409-055-0040.

Primary Care Provider (PCP): An enrolled medical assistance provider who has responsibility for supervising, coordinating, and providing initial and primary care within their scope of practice for identified members. PCPs are health professionals who initiate referrals for care outside their scope of practice, consultations, and specialist care, and assure the continuity of medically appropriate member care. PCPs include:

- (a) The following provider types: physician, naturopath, nurse practitioner, physician assistant or other health professional licensed or certified in this state, whose clinical practice is in the area of primary care;
- (b) A health care team or clinic certified by the Oregon Health Authority (OHA) as a PCPCH as defined in OAR 409-027-0005 and OAR 410-120-0000.

Reassignment: The internal process UHA takes to redistribute members to a new PCP under certain scenarios.

Termination: Process in which a PCP request a member be reassigned from its practice.

## PROCEDURES

### Initial PCP Member Assignment

1. All UHA members are assigned to an open PCP upon becoming eligible with UHA.
2. Initial assignments are made within the first week of enrollment for all members, including:
  - a. Members newly enrolled to UHA.
  - b. Members newly re-enrolled to UHA.
  - c. Members transferring from fee-for-service or from another Coordinated Care Organization (CCO).



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- i. UHA will assign a member to a closed PCP if there was a previous relationship and the provider has capacity.
- ii. If an incoming member is transferring from fee-for-service or another CCO, UHA will honor and assign the member to their former PCP.
- iii. If that PCP is out-of-network, UHA will approve the out-of-network PCP for up to 90 days or until a new open PCP is established and have been able to review the member’s treatment plan in accordance with OAR 410-141-3850(5) (fka 410-141-3061(5)).
  - 1. A separate process is available for members with Special Health Care needs (see Transfer of Care section).
- 3. For all initial assignments (with the exception noted above in 2.c.i), UHA’s Member Service Department will attempt to contact the member and/or family by phone during the first week of enrollment to obtain the member’s preferred choice of an open PCP.
- 4. In the event UHA is unable to contact the member and to prevent a disruption in service, members will be assigned to an open PCP using the following algorithm.
  - a. If a member has been enrolled with UHA before:
    - i. UHA will look for and assign the member to the open PCP that has a past relationship with a member as defined by the PCP who performed the plurality of visits in the last 24 months, or most recent office visit.
    - ii. Open PCP with the same TIN as a mental health provider with whom the member has a current relationship (seen in the last 15 months).
  - b. No prior enrollment with UHA:
    - i. Closest open PCP office to member’s home.
    - ii. Open PCP that can accommodate certain member needs (e.g. age, special needs, language, disabilities, other family members assigned etc).

## Member Reassignments from a PCP

- 1. The Member Services Department may have to reassign members to a new PCP.
- 2. Such common reasons for reassignment include:
  - a. Provider chooses to relinquish all of their UHA assigned members.
    - i. Provider is no longer contracted.
    - ii. Provider leaves and the practice/office closes or does not have another provider who is open to new patients/member assignments.
  - b. Member exceeds the standard for travel time of 30 minutes urban/60 minutes rural or the distance of 30 miles urban/60 miles rural.
- 3. In the event members needs to be reassigned from their PCP, the Member Services Department will follow the process below:
  - a. Member Services will contact the members impacted and advise them about the need to reassign them from their current PCP.



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- i. Members will be given an option to select a new open PCP within the network. Member choice is top priority.
- b. In the event a PCP is not selected, UHA will reassign an open PCP to a member using the following algorithm.
  - i. Reassigned to the same practice/TIN, but to a different open PCP within the practice.
    1. Ensures the promotion and continuation of care for members by maintaining the medical record by their previous PCP's clinic. This is especially important in scenarios where a provider moves to a new practice or moves out of the area.
      - a. Practice must have capacity and providers who are open to new patient/member assignments.
      - b. If the practice has a related TIN (e.g. at a different office location), members may be reassigned to the other location so as long as there is capacity, providers are open to new membership and the member's travel time does not exceed 30 minutes urban/60 minutes rural or 30 miles urban/60 miles rural.
    - ii. Open PCP with the same TIN as a mental health provider with whom the member has a current relationship (seen in the last 15 months).
    - iii. An open PCP has a past relationship with a member as defined by the PCP who performed the plurality of visits in the last 24 months, or most recent office visit.
    - iv. Closest open PCP office to member's home.
    - v. Open PCP that can accommodate certain member needs (e.g. age, special needs, language, disabilities, other family members assigned etc).

### Request for Member Assignment

1. Members are allowed to select their own PCP or change PCP's at any time.
2. Member choice for PCP assignment is encouraged and, at any time, the member may call UHA to change PCPs. However, to facilitate accurate and convenient member assignments, a provider can request a PCP change on behalf of a member.
  - a. The change can be made by phone or by using the PCP Change Request form attached.

### Transfer of Care

1. The OHA requires UHA to coordinate care for members with special health care needs who are transferring to or from another CCO. Qualifying members will be allowed to continue receiving treatment from an established non-participating PCP. To accommodate this, transferring members will be exempt from PCP assignment for the



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first 90 days of UHA eligibility. These members will be notified in writing of the requirement to choose an in-network PCP within 14 days of enrollment. Once the 90 days has ended, the member will be treated as an initial assignment and assigned to an open PCP the first day following the 90-day transition period.

### Request for Member Termination

1. Providers may request a member to be terminated and reassigned to another provider.
2. In the event a provider seeks a member termination, the provider office must contact UHA's Member Services Department for approval prior to termination.
  - a. Prior approval is not needed for:
    - i. Aggressive, assaultive, and/or disruptive behavioral that is not due to a member's special needs.
    - ii. Illegal or fraudulent activities (e.g., illegal conduct on clinic property, tampering or forging prescriptions or medical records).
    - iii. Providers are still expected to notify UHA's Member Services Department about the incident and termination, in which UHA may ask for additional documentation such as medical records and police reports.
3. Depending on the nature for termination, UHA expects providers to consider, on an individual basis, whether termination would be appropriate for the member.
4. If possible and safe to do so, providers should attempt to mitigate any behavior in order to maintain the relationship. Such activities may include:
  - a. Counseling or educating the member on the concern.
  - b. Contacting UHA for care coordination needs.
  - c. Communication with the member that any future events will result in termination.
    - i. Example: Speaking to the member by phone, during an appointment, and/or by letter. Documentation of the discussion should be noted in the member's medical record.
5. UHA will authorize a request for termination for frequent missed appointment only if the following has occurred:
  - a. Member was given a copy of the provider's policy at intake.
  - b. The policy allows no less than four missed appointments over a six-month period.
  - c. The provider has made documented attempts to remind the member of upcoming appointments.
  - d. The provider has attempted to reduce barriers (e.g., transportation needs).
  - e. The provider has previously reached out to UHA's Member Services Department regarding the member, requesting a care coordination referral to assist with member engagement.
6. UHA will not approve a termination request for the following reasons:
  - a. Because of a physical, intellectual, developmental, or mental disability.
  - b. Because of an adverse change in the member's health.



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- c. Excessive or lack of utilization.
  - d. Member requests a second opinion.
  - e. Member requests a hearing.
  - f. Member exercises his or her option to make decisions regarding their medical care.
  - g. Member utilizes too much of clinic's staff time and/or resources.
  - h. Member has an unpaid account.
  - i. Member exercises any of their rights under OAR 410-141-3320.
7. Upon receipt of the request, UHA's Member Services Department will render a decision within five business days on whether the request has been approved.
8. Member Services will also inform the Provider Network Department of any potential termination requests that do not align with this policy.
- a. The Provider Network Department will then contact the provider for remediation strategies.

### Coordination of Termination

1. Once a request for termination has been approved, providers are expected to assist in the coordination of care process.
2. Upon approval of termination, the provider office must inform the member by mail of the termination within two business days of approval.
3. Content of the letter to the member should include:
  - a. Reason for termination, if appropriate.
  - b. Timeline for termination.
    - i. If possible and safe to do so, providers should attempt to provide a 30-day or more transition period.
      1. In certain situations, a longer transition may be warranted if it is feasible and safe to do so.
      2. Shorter transitions may be necessary specifically in situations where safety is a concern (e.g., immediate reassignment).
    - ii. Provider availability during the transition, such as being willing to see the member during the transition timeframe for routine and/or urgent appointments.
  - c. Prescriptions.
    - i. If member is currently using prescription prescribed by the provider, a dialogue of future refills (if applicable) is needed during the transition.
  - d. Referrals, labs, and/or imaging studies follow up.
    - i. If member currently has open referrals, labs, imaging studies, etc. that were referred by the provider, the letter must discuss the process for follow up of these services during the transition period.
  - e. Name, address, and phone number for new provider (if known).



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- f. Language that member’s medical records will be available for ten years.
- 4. If there are any barriers during the transition process, providers should contact UHA’s Member Services and/or Care Coordination team for assistance.

### Monitoring for Compliance

1. UHA will routinely monitor provider compliance with this policy. Potential problematic activities include:
  - a. Failure to timely schedule an appointment with new members.
  - b. Not responding to UHA’s access to care surveys.
  - c. Using screening or applications processes on members.
  - d. Providers who are frequently requesting termination.
  - e. Inability to address barriers to care.
  - f. Lack of coordination during the termination process.
2. In the event a provider is found to be engaging in practices incongruent with this policy, administration sanctions may be imposed, including:
  - a. Corrective action plans.
  - b. Suspension of new member assignment.
  - c. Reassignment of current members.
  - d. Termination of provider agreement.

### Weekly Assignment Roster

1. To assist UHA’s PCPs with identifying their newly assigned members and to establish care, a weekly list is sent.
2. The member list is delivered weekly on the last business day after assignment. Or, on the next business day if Friday was a holiday.
  - a. Member Services sends the list to PCP’s via secure email.
  - b. Sign up or unsubscribe to the weekly PCP list by emailing [UHAMemberServices@UmpquaHealth.com](mailto:UHAMemberServices@UmpquaHealth.com).

### Quarterly Member Reconciliation Process

1. To ensure that UHA members are accurately assigned, UHA will institute a quarterly reconciliation process.
  - a. On the first business day of the quarter, a list of all assigned members will be sent to all PCP’s.
  - b. The PCP’s office has 15 calendar days to verify the accuracy of the assignment list and may add or remove members as needed.
  - c. Any response received after the 15<sup>th</sup> day will be disregarded.
  - d. No response will be interpreted as an admission that the list sent was accurate with no changes necessary.
2. On the 16<sup>th</sup> day, UHA will reconcile the updated lists received from each office.



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- a. For any unassigned, removed, or disputed members (e.g. multiple offices declare assignment), UHA will use the algorithm for assignment described above in this policy.

Department	Standard Operating Procedure Title	SOP Number	Effective Date	Version Number
N/A	N/A	N/A	N/A	N/A





You can have this in large print, another language, or any way that works for you. You can have a language interpreter if you need one. Please call us at 541-229-4UHA (541-229-4842).

## Primary Care Physician Change Request Form

To Physician: With the patient’s consent, please fill out the entire form, ask your patient or their representative to sign it, and send it to UHA. We will not process incomplete or unsigned forms. Incomplete forms will be returned (if possible). Assignment requests must be for PCPs in UHA’s network.

### Important

- Any prior approvals may no longer be valid with the new PCP.
- If the member goes into the hospital before the change takes effect, the member will remain with the existing PCP until the episode of care is complete.
- If a mother requests a PCP assignment for her newborn, we will process the request or change after the baby has an Oregon Health ID card.
- Most changes will take effect the date UHA receives this form.

### Option for member to self-select PCP by phone

You also can change to a different PCP by calling Umpqua Health Alliance Member Services at 541-229-4842. We are open Monday – Friday 8:00 am – 5:00 pm.

### Option for member to select PCP in physician’s office

**Please fill out all sections highlighted in BLUE**

Patient name: \_\_\_\_\_ Date of birth: \_\_\_\_\_

UHA member ID: \_\_\_\_\_ Phone number: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

*Member or authorized representative*



**Current PCP (if any)**

PCP Name: \_\_\_\_\_ Group/location: \_\_\_\_\_

Reason for change from assigned PCP – Choose all that apply. **Select** at least one.

- New member - first-time selection
- Member moved
- Already patient with requested PCP
- PCP hours didn't fit member need
- ADA Accessibility
- Established relationship w/another
- Availability to get appointment, access to care
- Quality of care
- Member preference
- Provider request to disenroll member
- Wait time in provider office
- Provider left network
- Requested PCP already sees family member
- Provider Location
- Language / Communication barriers / Cultural Considerations
- Other: \_\_\_\_\_

**This section is for Providers Office only**

**New PCP**

Requesting PCP Name: \_\_\_\_\_

NPI: \_\_\_\_\_ Tax ID: \_\_\_\_\_

Address: \_\_\_\_\_

Preparer name: \_\_\_\_\_ Phone number: \_\_\_\_\_

Preparer signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Submit the form**

Please submit the completed form to UHA by fax at 541-677-6038, or by mail to Umpqua Health Alliance 500 SE Cass St, Suite 101, Roseburg OR 97470.