

DEPARTMENT OF HEALTH CARE SERVICES

# CalAIM: Population Health Management (PHM) Policy Guide

Updated: May 2023

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## I. Introduction

### A. Purpose of the Population Health Management (PHM) Policy Guide

The California Advancing and Innovating Medi-Cal (CalAIM) PHM Policy Guide is one of three key California Department of Health Care Services (DHCS) guidance documents that set forth comprehensive requirements applicable for all Medi-Cal Managed Care health plans (MCPs) for the implementation of PHM, which began on January 1, 2023.

The other two guidance documents – [All Plan Letter \(APL\) 22-024 “Population Health Management Policy Guide”](#)<sup>1</sup> and the Amended 2023 MCP Contract provide baseline DHCS’ requirements for MCPs to implement the PHM Program. The PHM Policy Guide, APL 22-024, and Amended 2023 MCP Contract build upon the vision and foundational expectations outlined in the [Final PHM Strategy and Roadmap](#), which was released in July 2022.

The PHM Policy Guide outlines the expectations that DHCS has for how MCPs operate the PHM Program. Certain requirements will be phased in between January 1, 2023, and the effective date of the new MCP contract on January 1, 2024. The PHM Policy Guide will continue to evolve to clarify and provide details on the implementation of the PHM Program and will be regularly updated. Please refer to Section II-G for a detailed implementation timeline.

### B. What Is the PHM Program?

The PHM Program is designed to ensure that all members have access to a comprehensive set of services based on their needs and preferences across the continuum of care, which leads to longer, healthier, and happier lives, improved outcomes, and health equity. Specifically, the PHM Program intends to:

- Build trust with and meaningfully engage members;
- Gather, share, and assess timely and accurate data to identify efficient and effective opportunities for intervention through processes such as data-driven risk stratification, predictive analytics, identification of gaps in care, and standardized assessment processes;
- Address upstream drivers of health through integration with public health and social services;
- Support all members in staying healthy;
- Provide care management services for members at higher risk of poor outcomes;
- Provide transitional care services (TCS) for members transferring from one setting or level of care to another;
- Reduce health disparities; and
- Identify and mitigates Social Drivers of Health (SDOH)

The launch of the PHM Program is part of a broader arc of change to improve health outcomes that is further articulated in [DHCS’ Comprehensive Quality Strategy \(CQS\)](#),

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<sup>1</sup>APL 22-024, which was published in November 2022, explains that the role of the PHM Policy Guide is to provide details of MCPs’ existing contractual requirements for the PHM Program.

which emphasizes the long-lasting impact of coupling quality and health equity efforts with prevention.<sup>2</sup>

Under the PHM Program, MCPs and their networks and partners will be responsive to individual member needs within the communities they serve while working within a common framework and set of expectations.

While the PHM Program is a statewide endeavor that interacts with other delivery systems and carved-out services, and requires meaningful engagement and partnerships with members and other stakeholders, the requirements outlined in the PHM Policy Guide apply specifically to MCPs.

### **C. What Is the PHM Service?**

Supporting the PHM roll out, DHCS will be launching a statewide PHM Service. The PHM Service will provide a wide-range of Medi-Cal stakeholders with data access and availability for Medi-Cal members' health history, needs, and risks, including historical administrative, medical, behavioral, dental, social service data, and other program information from current disparate sources. The PHM Service will utilize this data to support risk stratification, segmentation and tiering; assessment and screening processes; potential medical, behavioral, and social supports; and, analytics and reporting functions. The PHM Service will also improve data accuracy and improve DHCS' ability to understand population health trends and the efficacy of various PHM interventions and strengthen oversight.

Given the period of time between the launch of the PHM Program (January 2023) and the launch of the PHM Service, DHCS is clarifying expectations for PHM Program implementation within two distinct time periods: before and after the PHM Service is available. Prior to the launch of the PHM Service and prior to any requirements to use the PHM Service, DHCS will not require MCPs to develop new capabilities and infrastructure that would subsequently be replaced by the PHM Service. Additional guidance on how MCPs will be expected to use the PHM Service is forthcoming.

### **D. PHM Program Requirements**

On January 1, 2023, all MCPs will be required to meet PHM standards and have either full National Committee for Quality Assurance<sup>3</sup> (NCQA) Health Plan Accreditation or otherwise demonstrate to DHCS that they meet the PHM standards for NCQA Health Plan Accreditation.<sup>4</sup> By January 1, 2026, all MCPs must obtain NCQA Health Plan Accreditation and NCQA Health Equity Accreditation.

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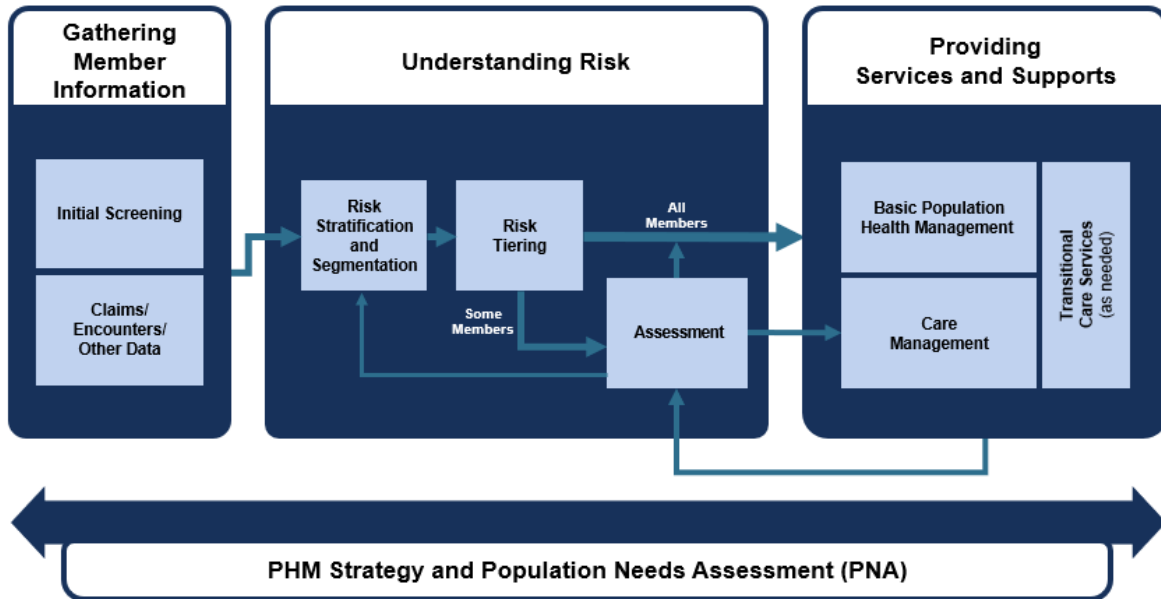
<sup>2</sup> The PHM Program is a part of CalAIM, which is a long-term commitment to transform and strengthen Medi-Cal, making the program more equitable, coordinated, and person-centered to help people maximize their health and life trajectory:  
<https://www.dhcs.ca.gov/CalAIM/Documents/CalAIM-Infographic.pdf>.

<sup>3</sup> NCQA is a nonprofit organization committed to evaluating and publicly reporting on the quality of MCPs.

<sup>4</sup> PHM standards are one component of [NCQA Health Plan Accreditation](#), which also includes standards on Quality Management and Improvement, Network Management, Utilization

## II. PHM Program

### A. PHM Framework



DHCS uses the PHM Framework above consistently to promote common terminology and communication about PHM. MCPs are encouraged to use the PHM Framework within their organizations and are required to meet requirements in each of the four domains of this framework: PHM Strategy and Population Needs Assessment, Gathering Member Information, Understanding Risk, and Providing Services and Supports.

### B. PHM Strategy and Population Needs Assessment (PNA)

DHCS is updating the requirements to the existing PNA and designing a new PHM Strategy to:

- Increase the level of meaningful community engagement and local alignment in meeting member needs
- Decrease the administrative burden and duplication.

[APL 19-011](#) "Health Education and Cultural and Linguistic Population Needs Assessment" will be superseded by a new APL on the new PHM Strategy and modified PNA requirements in early Q2, which will be followed by more detailed guidance later in 2023. Please refer to Section IV. Implementation Timeline for more details.

#### 1) PHM Strategy

The PHM Strategy as formulated by the MCPs will serve as an actionable plan that details each component of an MCP's PHM approach, prioritizes strong ties to the community, and incorporates cross-sector strategies to improve health in all

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Management, Credentialing and Recredentialing, Member' Rights and Responsibilities, Member Connections, and Medicaid Benefits and Services.

neighborhoods and communities, especially those with poor health outcomes. This new comprehensive PHM Strategy will replace the PNA Action Plan that MCPs submitted previously. As referenced in the PHM Strategy and PNA section of the Amended 2023 MCP Contract, updated requirements for the PHM Strategy align with the CQS' Clinical Focus Areas and Bold Goals and have more emphasis on community engagement. The updated requirements and a corresponding template for the PHM Strategy will be released in 2023.

#### PHM Strategy Submission Timeline:

- In October 2023, MCPs will submit their first annual PHM Strategy under a new template, which builds on their PHM Readiness Deliverable submission in October 2022 and their PHM Policies and Procedures submission in early 2023 with the release of APL 22-024.<sup>5</sup>
- MCPs will submit the PHM Strategy annually thereafter.

## **2) Updated PNA**

MCPs are already required to submit an annual PNA describing the needs of their populations, focusing on their cultural, linguistic, and health education needs, as well as health disparities. As referenced in the PHM Strategy and PNA section of the Amended 2023 MCP Contract, DHCS intends to implement a modified PNA process that will require MCPs to provide a more robust description of the population needs of their members and the communities they live in, less frequent data collection, reliance on more diverse data sources, and more meaningful and systematic community engagement. Specifically, MCPs will be required to develop the PNA in partnership and alignment with Local Health Jurisdictions' Community Health Improvement Plans (CHIPs), and hospitals' Community Health Needs Assessments (CHNAs) and processes.

#### Modified PNA Submission Timeline:

- Previously, MCPs were responsible for an annual PNA submission following guidance outlined in [APL 19-011](#). These requirements were maintained for the July 2022 submission.
- After the July 2022 PNA submission, MCPs will be required to submit a PNA every three years under modified guidance (to be released in 2023). The next full PNA submission will be due in 2025.<sup>6</sup>

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<sup>5</sup> New MCPs entering in 2024 will submit PHM Policies and Procedures in Q2 2023 to align with the requirements in APL 22-024 and submit their PHM Strategy for the first time in Q3 2024.

<sup>6</sup> New MCPs entering in 2024 will be required to include a PNA in their Readiness Deliverable submissions.

Corresponding APL Updates:

- [APL 19-011](#) will be superseded in Q2 2023 to outline at high-level the new PNA/PHM Strategy requirements.

### C. Gathering Member Information

An effective PHM approach begins with gathering accurate and robust information to understand each member’s health and social needs, as well as their health goals and preferences, to ensure that they receive the right services at the right time and right place.

#### 1) Leveraging Existing Health and Social Data

Building upon current requirements related to MCPs’ use of various data sources for internal management and reporting purposes,<sup>7</sup> MCPs will be required to leverage a broad set of data sources to support PHM Program information gathering, inform Risk Stratification and Segmentation (RSS), provide a broader understanding of the health needs and preferences of the member, and support more meaningful member engagement.

Existing APL	Upcoming Updates and Timing
<a href="#">APL 19-011</a> “Health Education and Cultural and Linguistic Population Needs Assessment”	<ul style="list-style-type: none"><li>• APL 19-011, which delineates current PNA requirements, will be superseded in early Q2 2023 with a new APL that will delineate requirements at a high-level for the new PHM Strategy and modified PNA. The new APL will also be accompanied by updates to the PHM Policy Guide that will be released later in 2023 and will provide more operational details for MCPs on how to implement both the PNA and PHM Strategy.</li></ul>

Data to be used as part of information gathering and to inform RSS include:

- Screenings and assessments;
- Managed care and fee-for-service (FFS) medical and dental claims and encounters;
- Social services reports (e.g., CalFresh; Special Supplemental Nutrition Program for Women, Infants, and Children (WIC); California Work Opportunity and Responsibility to Kids (CalWORKs); In-Home Services and Supports (IHSS));
- Electronic health records;
- Referrals and authorizations;

<sup>7</sup> Under [current requirements](#) related to Management Information System (MIS) capabilities, MCPs must utilize various data elements both for internal management use and to meet the data quality and timeliness requirements of DHCS’ Encounter Data submission.



- MCP behavioral health Screenings, Brief Interventions, and Referral to Treatment (SBIRT), medications for addiction treatment (MTOUD, also known as Medications for Opioid Use Disorder), and other substance use disorders (SUD), and other non-specialty mental health services information;<sup>8</sup>
- County behavioral health Drug Medi-Cal (DMC), Drug Medi-Cal Organized Delivery System (DMC-ODS), and Specialty Mental Health System (SMHS) information available through the Short-Doyle/Medi-Cal and California Medicaid Management Information Systems (CA-MMIS) claims system;<sup>9</sup>
- Pharmacy claims and encounters;
- Disengaged member reports (e.g., assigned members who have not utilized any services);
- Laboratory test results;
- Admissions, discharge, and transfer (ADT) data;
- Race, ethnicity, and language information;
- Sexual orientation and gender identity (SOGI) information;
- Disability status;
- Justice-involved data;
- Housing reports (e.g., through the [Homeless Data Integration System](#) (HDIS), Homelessness Management Information System (HMIS), and/or Z-code claims or encounter data); and
- For members under 21, information on developmental and adverse childhood experiences (ACEs) screenings.

DHCS understands that MCPs may have limited access to some of the required RSS data listed above and that some of these data may not be available until the PHM Service is fully operationalized. As such, during this period prior to Service launch, MCPs will be expected to make a good-faith effort to use and integrate the above data to the greatest extent possible from currently available data sources.

Once the PHM Service is available and supports access to and use of required data sources, MCPs will be required to use the PHM Service and the available data accessible through the Service – in accordance with federal and state privacy rules and regulations – to conduct RSS, screening and assessment, basic PHM, and member engagement and health education activities. DHCS anticipates only having historical data (e.g., through claims/encounters) at the time of PHM Service launch and expects MCPs to source more real-time data (e.g., ADT feeds) from local data sources even after the PHM Service is available.

Lastly, MCPs must expand their MIS capabilities to integrate these additional data sources in accordance with the MIS Capability section of the Amended 2023 MCP

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<sup>8</sup> In certain circumstances, the sharing of 42 C.F.R. Part 2 data may require a member's signed consent in accordance with state and federal law; please refer to the [2022 DHCS Data Sharing Authorization Guidance](#) for more information.

<sup>9</sup> In certain circumstances, the sharing of 42 C.F.R. Part 2 data may require a member's signed consent in accordance with state and federal law; please refer to the [2022 DHCS Data Sharing Authorization Guidance](#) for more information.

Contract and all NCQA PHM standards. MCPs must adhere to data-sharing requirements as defined by the California Health & Human Services Agency [Data Exchange Framework](#).

## 2) Streamlining the Initial Screening Process

DHCS is issuing the guidance below to streamline several initial screening processes while ensuring compliance with federal and NCQA requirements. Change is needed with respect to screening and assessment as existing mechanisms do not always cultivate member trust and are often burdensome to members and other stakeholders.

Effective on January 1, 2023, DHCS is implementing the following changes to the Health Information Form (HIF)/Member Evaluation Tool (MET) and the Individual Health Education Behavior Assessment (IHEBA)/[Staying Healthy Assessment](#) (SHA).

### Modifications to the HIF/MET, Initial Health Appointment (IHA), and the IHEBA/SHA

- The **HIF/MET** will still be required to be completed within 90 days of enrollment for new members. However, DHCS is clarifying that:
  - MCPs may contract with providers for HIF/MET. If contracted, the provider is responsible for following up on positive screening results. If the HIF/MET is not contracted to be done by providers, the MCP must either directly follow up on positive screening results or contract with the provider to complete the follow-up (and share relevant information with the provider to do so).
  - IHA<sup>10</sup> results that are completed and shared back with the MCP within 90 days of enrollment would fulfill the HIF/MET requirement and, thus, the federal initial screening requirement.
- **The IHEBA/SHAs are eliminated.** However, DHCS is preserving the following requirements:
  - The **IHA** must be completed within 120 days<sup>11</sup> of enrollment for new members and must continue to include a history of the member's physical and behavioral health, an identification of risks, an assessment of need for preventive screens or services and health education, and the diagnosis and plan for treatment of any diseases.<sup>12</sup>
  - For children and youth (i.e., individuals under age 21), Early and Periodic Screening, Diagnostic and Treatment (EPSDT) screenings will continue to be covered in accordance with the American Academy of Pediatrics (AAP) /Bright Futures periodicity schedule, as referenced in APL [23-005](#).<sup>13</sup>

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<sup>10</sup> Starting in 2023, the Initial Health Assessment is known as the "Initial Health Appointment." Current requirements for the Initial Health Assessment are contained in APL 13-017, APL 18-004, APL 20-004, PL 08-003, PL 13-001 (Rev), and PL 14-004.

<sup>11</sup> For members less than 18 months of age: within 120 calendar days of enrollment or within periodicity timelines established by the AAP Bright Futures for age 2 and younger, whichever is sooner. For adults age 21 and over: within 120 days of enrollment. Specific time frames are included in the 2022 Medi-Cal Managed Care Contracts.

<sup>12</sup> These required IHA elements are specified in 22 C.C.R. § 53851(b)(1).

<sup>13</sup> For more information about the AAP/Bright Futures initiative and to view the most recent periodicity schedule and guidelines, go to <https://brightfutures.aap.org/Pages/default.aspx>. Additional information on the periodicity schedule is available at <https://www.aap.org/en->

- MCPs should continue to hold network providers accountable for providing all preventive screenings for adults and children as recommended by the United States Preventive Services Taskforce (USPSTF) but will no longer require all of these elements to be completed during the initial appointment, so long as members receive all required screenings in a timely manner consistent with USPSTF guidelines.
- DHCS will measure primary care visits as a proxy for the IHA, leveraging Managed Care Accountability Sets (MCAS) measures specific to infant and child/adolescent well-child visits and adult preventive visits. For children, DHCS will measure both primary care visits and childhood screenings, including but not limited to screenings for ACEs, developmental, depression, autism, vision, hearing, lead, and SUD.

Corresponding APL Updates

APLs	Upcoming Updates and Timing
<b><u>PL 08-003</u> “Initial Comprehensive Assessment”</b>	<ul style="list-style-type: none"> <li>• PL 08-003 was superseded by <a href="#">APL 22-030</a></li> </ul>
<b><u>APL 13-017</u> “Staying Healthy Assessment/Individual Education Behavioral Assessment for Enrollees from Low-Income Health Program”</b>	<ul style="list-style-type: none"> <li>• APL 13-017 was superseded by <a href="#">APL 22-030</a> since the IHEBA/SHAs are eliminated.</li> </ul>

APLs	Upcoming Updates and Timing
<b><u>PL 13-001 revised</u> “Requirements for the Staying Healthy Assessment/ Individual Education Behavioral Assessment for Enrollees from Low-Income Health Program”</b>	<ul style="list-style-type: none"> <li>• PL 13-001 was superseded by <a href="#">APL 22-030</a> since the IHEBA/SHAs are eliminated.</li> </ul>
<b><u>APL 16-014</u> “Comprehensive Tobacco Prevention and Cessation Services for Medi-Cal Beneficiaries”)</b>	<ul style="list-style-type: none"> <li>• This APL will be superseded to decouple requirements from outdated IHEBA/SHA requirements</li> </ul>
<b><u>APL 18-004</u> “Immunization Requirements” <u>APL 20-004</u> “Emergency Guidance for Medi-Cal Managed Care Plans in Response to COVID-19”</b>	<ul style="list-style-type: none"> <li>• No changes to APL 18-004 and APL 20-004.</li> </ul>

In addition to the above, DHCS is considering other ways to streamline the initial

[us/professional-resources/practicetransformation/managing-patients/Pages/Periodicity-Schedule.aspx](https://www.dhcs.ca.gov/professional-resources/practicetransformation/managing-patients/Pages/Periodicity-Schedule.aspx).

screening process by leveraging the PHM Service, when available, which will help reduce member screening fatigue as well as better connect members to services and supports and improve data sharing between plans and providers via California’s Data Exchange Framework. Through design work on the PHM Service, DHCS is exploring how the PHM Service can host screening and assessment functionalities that pre-populate relevant previously collected data to further mitigate duplication and burden on members.

## D. Understanding Risk

### 1) RSS and Risk Tiers

**Risk Stratification and Segmentation (RSS)** means the process of differentiating all members into separate risk groups and/or meaningful subsets. RSS results in the categorization of all members according to their care and risk needs at all levels and intensities.

**Risk tiering** means the assigning of members to risk tiers that are standardized at the State level (i.e., high, medium-rising, or low risk), with the goal of determining the appropriate level of care management or other specific services for members at each risk tier.

In accordance with the Population RSS and Risk Tiering section of the Amended 2023 MCP Contract, DHCS is setting expectations toward greater standardization with regard to how MCPs use RSS algorithms, employ risk tiers, and connect members to services.

The PHM Service will include a single, statewide, open-source RSS methodology with standardized risk tier criteria that will place all Medi-Cal members into high-, medium-rising-, and low-risk tiers. Therefore, DHCS requirements for RSS and risk tiering across all populations are set for two distinct time periods: prior to and after the RSS and risk tiering functionalities become available.

#### [For the Period Prior to Availability of the PHM Service RSS and Risk Tiering Functionalities](#)

##### **a. RSS:**

MCPs must meet the following requirements prior to the PHM Service’s RSS functionalities becoming available:

- Utilize an RSS approach that:
  - Complies with NCQA PHM standards, including using utilization data integrated with other data sources such as findings from the PNA, clinical and behavioral data, or population and social needs data;
  - Incorporates a minimum list of data sources listed in the “Information Gathering” section to the greatest extent possible;
  - Avoids and reduces biases to prevent exacerbation of health disparities;
    - Many current RSS methodologies rely on utilization or cost data only, which may result in racial, condition, or age bias. Many RSS methodologies look only at past costs or utilization, which tends to result in prioritizing white patients over Black patients because white patients have higher medical expenses. Similarly, conditions that

generate greater health care expenditures, such as those requiring dialysis, are prioritized over those that generate fewer expenditures. Lastly, older individuals with more chronic, complex conditions tend to be prioritized over younger individuals.<sup>14</sup>

- To address these biases and improve outcomes for all of MCPs' members, MCPs are encouraged to use all relevant data, keep the information updated (e.g., through care managers), continuously evaluate key performance indicators and RSS outputs, use appropriate metrics to measure the accuracy and effectiveness of RSS model prediction of people who do or do not need help, and monitor whether RSS improves care for all populations.<sup>15,16</sup>
- Stratifies members at least annually and during each of the following time frames:
  - Upon each member's enrollment.
  - Annually after each member's enrollment.
  - Upon a significant change in the health status or level of care of the member (e.g., inpatient medical admission or emergency room visit, pregnancy, or diagnosis of depression).
  - Upon the receipt of new information that the MCP determines as potentially changing a member's level of risk and need, including but not limited to information contained in assessments or referrals for Complex Care Management (CCM), Enhanced Care Management (ECM), TCS, and Community Supports.
- Continuously reassess the effectiveness of the RSS methodologies and tools.

#### **b. Risk Tiering:**

Prior to the PHM Service's RSS and risk tiering capabilities becoming available, MCPs are **not** required to use standardized risk tiers (i.e., high, medium-rising, or low) across their members but must use their RSS approach to identify members who should be connected to available interventions and services, including care management, and ensure all members are connected to appropriate Basic Population Health Management (BPHM).

#### *After the PHM Service RSS and Risk Tiering Functionalities Are Available*

##### **a. RSS and Risk Tiers**

DHCS recognizes that some plans have developed and significantly invested in their own RSS approaches. Once the PHM Service's RSS functionality is available and vetted, DHCS will require MCP plans to use the PHM Service RSS outputs and tiers to

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<sup>14</sup> "Beyond Racial Bias: Rethinking Risk Stratification In Health Care," Health Affairs Blog, January 15, 2020. DOI: 10.1377/hblog20200109.382726.

<sup>15</sup> "Beyond Racial Bias: Rethinking Risk Stratification In Health Care," Health Affairs Blog, January 15, 2020. DOI: 10.1377/hblog20200109.382726.

<sup>16</sup> "Topic-Specific Implementation Guides." Comprehensive Primary Care. The Center for Medicare & Medicaid Innovation. June 2014. <https://downloads.cms.gov/files/cmimi/cpci-combined-implementationguide.pdf>.

support statewide standardization and comparisons; MCPs may supplement these outputs with local data sources and methodologies.

Once the PHM Service RSS and risk tiering functionalities become available, the PHM Service will use the standardized criteria for all individuals served by Medi-Cal, taking information from all delivery systems into account. The PHM Service will place each individual into a risk tier (i.e., high, medium-rising, or low). MCPs will be required to use the PHM Service risk tiers to identify and assess member-level risks and needs and, as needed, connect members to services.

The risk tiers identified through the PHM Service will set a standard to identify members who require further assessment and connection to appropriate services. DHCS acknowledges that since the PHM Service will be using historical data, MCPs may have local data sources or real-time data that could supplement these outputs and may be used for the purpose of identifying additional members for further assessments and services. For example, while an MCP must assess the needs of any member who is identified as high-risk through the PHM Service, MCPs may use additional data sources to identify other members who require an assessment that the PHM Service may not have identified.

MCPs will not be able to manually “override” a risk tier given by the PHM Service on a member, as these risk tiers will be used to ensure equity and accountability across the state; however, MCPs will be expected to work with network providers to exercise judgment and shared decision-making with the member about the services a member needs, including through use of real-time information that may be available and through the assessment/reassessment process described below. The PHM Service risk tiers are designed to be a starting point for assessment but not a requirement for or barrier to services.

DHCS will issue additional guidance on MCPs’ use of risk tiers and required reporting prior to the statewide launch of the PHM Service.

## **2) Assessment and Reassessment to Understand Member Needs**

After the RSS and risk tiering processes identify members that may need available interventions and services, additional efforts are required to better understand the members’ needs and preferences and meaningfully engage them in the most appropriate services and supports. In the context of the PHM Framework, the term “assessment” describes this process, and it involves requesting information from members about their health and individual needs. Generally, MCPs are expected to contract with providers to conduct assessment and integrate it with care and care management processes to the greatest extent possible, rather than siloed at the plan level. Either an MCP or a contracted provider, such as a Primary Care Provider (PCP), will conduct an additional assessment of members by asking them questions in a culturally and linguistically appropriate manner that builds trust with the member and seeks to define the nature of the risk factor(s) and/or problem(s) a member is experiencing; determine a member’s overall needs and preferences, health goals, and priorities; and aid in the development of specific treatment recommendations to meet the member’s needs and preferences.



Importantly, this assessment process is separate and distinct from “screening” in that it is more comprehensive, and because it occurs after members have been identified by the RSS and risk tiering processes (which is informed by screening data).

### Populations Required to Receive an Assessment and Re-assessment

Assessments vary in length and scope, and some are mandated by federal and/or state law, by NCQA, or by DHCS’ new PHM requirements. Populations required to receive an assessment include:

- Those with long-term services and supports (LTSS) needs (as required by federal and state law and waiver).<sup>17</sup>
- Those entering CCM (per NCQA).
- Those entering ECM.
- Children with Special Health Care Needs (CSHCN).<sup>18</sup>
- Pregnant individuals.<sup>19</sup>
- Seniors and persons with disabilities who meet the definition of “high risk” as established in existing APL requirements,<sup>20</sup> namely:
  - Members who have been authorized to receive:
    - IHSS greater than, or equal to, 195 hours per month;
    - Community-Based Adult Services (CBAS), and/or
    - Multipurpose Senior Services Program (MSSP) Services.
  - Members who:
    - Have been on oxygen within the past 90 days;
    - Are residing in an acute hospital setting;
    - Have been hospitalized within the last 90 days or have had three or more hospitalizations within the past year;
    - Have had three or more emergency room visits in the past year in combination with other evidence of high utilization of services (e.g., multiple prescriptions consistent with the diagnosis of chronic diseases);
    - Have a behavioral health diagnosis or developmental disability in addition to one or more chronic medical diagnoses or a social circumstance of concern (e.g., homelessness);

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<sup>17</sup> 42 C.F.R. § 438.208; CA W.I.C. § 14182(c)(12). A Standard Terms and Conditions of Federal 1115 Demonstration Waiver titled “A Bridge to Reform.”

<sup>18</sup> Aligned with [federal regulations](#), DHCS CQS states, “Each MCP is required to implement and maintain a program for [CSHCN], who are defined by the state as having, or being at an increased risk for, a chronic physical, behavioral, developmental, or emotional condition, and who require health or related services of a type or amount beyond that generally required by children. Each MCP’s CSHCN program is required to include standardized procedures for identifying CSHCN at enrollment and on a periodic basis after enrollment. Members identified as CSHCN must receive comprehensive assessment of health and related needs. The MCP must implement methods for monitoring and improving the quality and appropriateness of care for CSHCN.”

<sup>19</sup> Medi-Cal Managed Care Boilerplate Contract, Exhibit A, Attachment 10, Scope of Services, 7. Pregnant Women.

<sup>20</sup> APLs [17-012](#) and [17-013](#).

- Have end-stage renal disease, acquired immunodeficiency syndrome (AIDS), and/or a recent organ transplant;
  - Have cancer and are currently being treated;
  - Are pregnant;
  - Have been prescribed antipsychotic medication within the past 90 days;
  - Have been prescribed 15 or more prescriptions in the past 90 days;
  - Have a self-report of a deteriorating condition; and
  - Have other conditions as determined by the MCP, based on local resources.
- Prior to the statewide RSS and risk tiers becoming available through the PHM Service, MCPs will be required to assess members who are identified at high risk through their own RSS approaches (e.g., upon enrollment, annually after enrollment, based on significant change in health status or level of care, or upon receipt of new information that the MCP determines as potentially changing a member's level of risk and need).
  - Once the statewide RSS and risk tiers are available through the PHM Service, MCPs will be required at a minimum to assess members who are identified as high-risk through the PHM Service.

An annual re-assessment is required for CSHCN<sup>21</sup> and those with LTSS needs<sup>22</sup>. Prenatal, postpartum and trimester reassessments that are comparable to the [American College of Obstetricians and Gynecologists \(ACOG\)](#) and [Comprehensive Perinatal Services Program \(CPSP\)](#) standards per Title 22 C.C.R are required for pregnant individuals. There is no annual re-assessment requirement for those enrolled in ECM or CCM, and Seniors and Persons with Disabilities. However, most MCPs complete an annual re-assessment for members enrolled in ECM or CCM.

### *Changes to Assessment Requirements*

To reduce current duplicative and burdensome processes, MCPs are encouraged to contract with providers to conduct assessment and integrate it with care and care management to the greatest extent possible. Whether the assessment is performed in person, telephonically, or by telehealth, it should be conducted in a manner that promotes full sharing of information in an engaging environment of trust and in a culturally and linguistically appropriate manner.

Assessment results are also expected to be shared between MCPs and providers responsible for following up with the member, similar to the expectation to be put in place for HIF/MET screening (above). MCPs must also follow up on any positive assessment result or contract with the PCP to complete the follow-up.

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<sup>21</sup> Centers for Medicare and Medicaid Services: Medicaid and Children's Health Insurance Program (CHIP) Programs; Medicaid Managed Care, CHIP Delivered in Managed Care, and Revisions Related to Third Party Liability [Final Rule](#)

<sup>22</sup> 42 CFR § 438.208 - Coordination and continuity of care.



### **Box A: Changes to Seniors and Persons with Disabilities Health Risk Assessment (HRA) Requirements**

Effective January 1, 2023, assessment requirements for Seniors and Persons with Disabilities (which are called HRA requirements) are simplified, while specific member protections are kept in place. DHCS has consistently heard feedback that the existing HRA requirements often contribute to duplicative or otherwise burdensome processes for members, whereby the same information is taken in via one or more screening tools and by the HRA, as well as through the usual course of care at the provider level. Therefore:

Starting in 2023, MCPs are not required to retain the use of their existing HRA tools that were previously approved by DHCS under the APLs 17-012 and 17-013, although they may choose to do so. However, following federal and state law, MCPs or contract entities must continue to assess members who may need LTSS, using the existing standardized LTSS referral questions (see Appendix 3). MCPs must also comply with federal regulations that stipulate specific care plan requirements for members with LTSS needs.

Additionally, for 2023, DHCS retains the requirement that MCPs assess Seniors and Persons with Disabilities who meet the definition of “high risk” for Seniors and Persons with Disabilities as outlined above, even if they do not have LTSS needs. MCPs may alternatively leverage their ECM and/or CCM assessment tools, or components of those tools, for Seniors and Persons with Disabilities considered at “high risk.” If MCPs decide to retain existing HRA tools, they are encouraged to adapt them to allow delegation to providers.

DHCS also simplified the expected timeline for assessment of those with LTSS needs to align with NCQA’s requirements for care management assessments, which include beginning to assess within 30 days of identifying the member through RSS, referral, or other means, and completing assessment within 60 days of that identification.

Corresponding APL Updates

APLs	Upcoming Updates and Timing
<p><a href="#">APL 17-013</a> “Requirements for Health Risk Assessment of Medi-Cal Seniors and Persons with Disabilities”</p> <p><a href="#">APL 17-012</a> “Care Coordination Requirements for Managed Long-term Services and Supports”</p>	<ul style="list-style-type: none"> <li>• APL 17-013 and APL 17-012 were superseded by <a href="#">APL 22-024</a>. Specific requirements from these APLs that still apply to MCPs are outlined within this PHM Policy Guide.</li> </ul>

**E. Providing PHM Program Services and Supports**

**1) Basic Population Health Management (BPHM)**

BPHM is an approach to care that ensures needed programs and services are made available to each member, regardless of the member’s risk tier, at the right time and in the right setting. In contrast to care management, which is focused on populations with significant or emerging needs, all MCP members receive BPHM, regardless of their level of need. BPHM replaces DHCS’ previous “Basic Case Management” requirements.

BPHM includes access to primary care, care coordination,<sup>23</sup> navigation and referrals across health and social services, information sharing, services provided by Community Health Workers (CHWs) under the new CHW benefit, wellness and prevention programs, chronic disease programs, programs focused on improving maternal health outcomes, and case management services for children under EPSDT.

Although the key components of BPHM are not new, DHCS has not previously articulated them as a comprehensive package of services and supports that all MCP members can expect.

BPHM is ultimately the responsibility of the MCP. Some functions of BPHM will need to be retained by the MCP, such as authorizing specialty services in a timely manner and providing a full suite of wellness and prevention and chronic disease management programs. However, MCPs are encouraged to contract with providers to provide certain components of BPHM, as described below, while ensuring appropriate oversight in meeting required responsibilities and functions. For example:

- For members who are successfully engaged in primary care, for example, MCPs should contract with PCPs (including Federally Qualified Health Centers (FQHCs), counties, or other primary care) to be responsible for select care coordination and health education functions, whenever feasible.
- For members who have been assigned a PCP but have not yet engaged with the

<sup>23</sup> 42 CFR § 438.208

PCP (e.g., assigned but not seen or lost to follow-up), MCPs may contract with the PCP to provide outreach. If the PCP makes contact with and engages the member, the MCP may also contract with the PCP for BPHM care coordination and health education functions whenever feasible. If a member does not engage with a PCP, MCPs are fully responsible for the provision of BPHM.

- For members enrolled in ECM, and since ECM, by design, happens in the community by an ECM provider, the assigned ECM Lead Care Manager is responsible for ensuring that BPHM is in place as part of their care management.

#### Required BPHM Elements and Processes:

In accordance with the Basic Population Health Management section of the Amended 2023 MCP Contract, MCPs must comply with the following requirements:

#### **a. Access, Utilization, and Engagement with Primary Care**

To ensure all members have access to and are utilizing primary care, MCPs must:

- Ensure members have an ongoing source of primary care;
- Ensure members are engaged with their assigned PCPs (such as helping to make appointments, arranging transportation, and providing health education on the importance of primary care);
- Identify members who are not using primary care via utilization reports and enrollment data, which are stratified by race and ethnicity;
- Develop strategies to address different utilization patterns; and
- Ensure non-duplication of services.

All BPHM services should promote health equity and align with [National Standards for Culturally and Linguistically Appropriate Services](#) (CLAS), which is a U.S. Department of Health and Human Services (HHS)-developed framework of 15 standards focused on the delivery of services in a culturally and linguistically appropriate manner that is responsive to patient needs, beliefs, and preferences.

Starting in 2024, DHCS will expand reporting requirements to include reporting on primary care spending as a percentage of total spending stratified by age ranges and race/ethnicity.

#### **b. Care Coordination, Navigation, and Referrals Across All Health and Social Services, Including Community Supports**

Even though some Medi-Cal services are typically carved-out of the MCP benefit package, MCPs must ensure that members have access to needed services that address all their health and health-related needs, including developmental, physical, mental health, SUD, dementia, LTSS, palliative care, oral health, vision, and pharmacy needs.

MCPs are required to partner with primary care and other delivery systems to guarantee that members' needs are addressed. This includes ensuring that each member's assigned PCP plays a key role in coordination of care, ensuring each member has sufficient care coordination and continuity of care with out-of-network providers, and communicating with all relevant parties on the care coordination provided. MCPs must

also assist members in navigation, provider referrals, and coordination of health and services across MCPs, settings, and delivery systems.

MCPs should begin to establish relationships and processes to meet Closed Loop Referral requirements by January 2025. Closed Loop Referrals are defined in the 2024 Re-Procurement as coordinating and referring the member to available community resources and following up to ensure services were rendered. MCPs must ensure Closed Loop Referrals, in compliance with all federal and state laws, to:

- ECM;
- Community Supports;
- Services provided by CHWs, peer counselors, and local community organizations;
- Dental providers;
- California Children’s Services (CCS);
- Developmental Services (DD);
- CalFresh;
- WIC providers;
- County social service agencies and waiver agencies for IHSS and other home- and community-based services (HCBS); and
- The appropriate delivery system for specialty mental health services to ensure members receive timely mental health services (in the MCP provider network, county Mental Health Plan (MHP) network, or Medi-Cal FFS delivery system) without delay regardless of where they initially seek care, in accordance with DHCS’ “No Wrong Door” policy;<sup>24</sup> and
- The appropriate delivery system for SUD services (in DMC or DMC-ODS).<sup>25</sup>

Beginning in January 2025, MCPs are also required to coordinate warm handoffs with local health departments and other public benefits programs including, but not limited to, CalWORKs, Early Start, and Supplemental Security Income (SSI).

Starting in January 2024, MCPs are required to enter into Memorandums of Understanding (MOUs) with various programs and services, including county MHPs to facilitate care coordination and information exchange.<sup>26,27</sup>

### **c. Information Sharing and Referral Support Infrastructure**

To support effective BPHM, MCPs are required to implement information-sharing processes and referral support infrastructure. MCPs must ensure appropriate sharing and exchange of member information and medical records by providers and MCPs in accordance with professional standards and state and federal privacy laws and

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<sup>24</sup> [APL 22-005](#)

<sup>25</sup> 2024 Re-Procurement, Exhibit A, Attachment III, 5.5. This requirement will take effect in 2024.

<sup>26</sup> Amended 2023 MCP Contract.

<sup>27</sup> DHCS has launched the CalAIM Behavioral Health Quality Improvement Program (BH QIP). BHQIP has three domains, one of which focuses on data-sharing agreements among MCPs, county MHPs, and DMC-ODS plans. More information is available at <https://www.dhcs.ca.gov/bhqip>.

regulations.

#### **d. Integration of Community Health Workers (CHWs) in PHM**

MCPs will be required to describe how they will integrate CHWs in their PHM Strategy and had to attest this integration as part of their PHM Readiness Deliverable. As trusted members of the community, CHWs may be able to address a variety of health and health-related issues, including, but not limited to: supporting members' engagement with their PCP, identifying and connecting members to services that address SDOH needs, promoting wellness and prevention, helping members manage their chronic disease, and supporting efforts to improve maternal and child health. DHCS launched a new CHW benefit on July 1, 2022, which is a pathway for reimbursement for a specific set of CHW services. These reimbursable CHW services are defined by State Plan Amendment 22-0001 and Title 42 Code of Federal Regulations (C.F.R.) Section 440.130(c).<sup>28,29</sup> Even prior to the launch of this new benefit, MCPs may have already employed CHWs to implement a wide array of activities, including BPHM-related interventions, such as wellness and prevention. The new CHW benefit provides a new mechanism for providing and reimbursing for BPHM services provided by CHWs.

#### **e. Wellness and Prevention Programs**

MCPs are required to provide comprehensive wellness and prevention programs that, at minimum, meet NCQA requirements, including offering evidence-based self-management tools that provide information on at least the following areas:

- Healthy weight (BMI) maintenance
- Smoking and tobacco use cessation
- Encouraging physical activity
- Healthy eating
- Managing stress
- Avoiding at-risk drinking
- Identifying depressive symptoms

MCPs will be required to report annually, through their PHM Strategy, on how they are using community-specific information gained in the PNA to design and implement evidence-based wellness and prevention strategies to meet the unique needs of their populations, as well as to drive toward the Clinical Focus Areas and Bold Goals in the [CQS](#). The expectation is that over time, these wellness programs result in improved outcomes, such as decreasing population prevalence of chronic diseases, rates of strokes and heart attacks, and other conditions amenable to upstream risk factor modification.

#### **f. Programs Addressing Chronic Disease**

MCPs are required to offer evidence-based disease management programs in line with NCQA requirements at a minimum. These programs must incorporate health education interventions, identify members for engagement, and seek to close care gaps for the

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<sup>28</sup> See 42 C.F.R. 440.130(c). The C.F.R. is searchable, available at: <https://www.ecfr.gov/>.

<sup>29</sup> CHW SPA information is available at <https://www.dhcs.ca.gov/formsandpubs/laws/Pages/CaliforniStatePlan.aspx>.

cohorts of members participating in the interventions with a focus on improving equity and reducing health disparities. DHCS requires that these programs address the following conditions at a minimum:

- Diabetes
- Cardiovascular disease
- Asthma
- Depression

While all MCPs must offer programs that target the above conditions, MCPs' chronic disease programs should additionally be tailored to the specific needs of each plan's Medi-Cal populations and connected with the PNA and PHM Strategy, along with other community programs (e.g., local health jurisdiction chronic disease initiatives, focus areas for plan community reinvestment programs, data collection efforts by local public health and community organizations).

#### **g. Programs to Address Maternal Health Outcomes**

Improving maternal health is one of the DHCS [CQS](#)' Bold Goals, which specifically seeks to improve maternity outcomes and birth equity, including access to prenatal and postpartum care. DHCS also introduced the doula benefit on January 1, 2023, to improve culturally competent birth care. PHM programs offered by MCPs have a key role to play in improving outcomes in this area by supporting quality improvement and health disparity reduction efforts with their network providers and addressing systemic discrimination in maternity care, particularly for Black, Native American, and Pacific Islander birthing persons.

MCPs must continue to meet all requirements for pregnant individuals, including covering the provision of all medically necessary services for pregnant women, implementing and administering a comprehensive risk assessment tool that is comparable to the [ACOG](#) and [CPSP](#) standards per Title 22 C.C.R. Section 51348 developing individualized care plans to include obstetrical, nutrition, psychosocial, and health education interventions, and providing appropriate follow-ups.<sup>30,31,32</sup> Future guidance will be issued for MCPs regarding best practices to address maternal health outcomes.

#### **h. PHM for Children**

All children under the age of 21 enrolled in Medicaid are entitled under federal and state law to the EPSDT benefit, which requires that children receive all screening, preventive, and medically necessary diagnostic and treatment services, regardless of whether the

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<sup>30</sup> [2022 Medi-Cal Managed Care Contract and PL 12-001](#).

<sup>31</sup> Section 1902(e)(5) of the Social Security Act 6; 42 C.F.R. § 435.170. The Centers for Medicaid and CHIP Services, [SHO #21-007](#).

<sup>32</sup> Effective April 1, 2022, DHCS extended the postpartum care coverage period for currently eligible and newly eligible pregnant individuals. The American Rescue Plan Act (ARPA) Postpartum Care Expansion (PCE) extends the coverage period from 60 days to 365 days (one year) for individuals eligible for pregnancy and postpartum care services in Medi-Cal and the Medi-Cal Access Program (MCAP). ARPA PCE coverage includes the full breadth of medically necessary services during pregnancy and the extended postpartum period.



service is included in the Medicaid State Plan.

MCPs must meet requirements outlined in the Other Population Health Requirements for Children and the Services for Members under 21 sections of the Amended 2023 MCP Contract:

- Ensure all members under 21 receive an IHA within 120 calendar days of enrollment or within the [AAP Bright Futures periodicity timeline](#) for children age 18 months and younger, whichever is sooner.
- Provide preventive health visits, including age-specific screenings, assessments, and services, at intervals consistent with the AAP Bright Futures periodicity schedule, and immunizations specified by the Advisory Committee on Immunization Practices (ACIP) childhood immunization schedule.
- Ensure that all medically necessary services, including those that are not necessarily covered for adults, are provided as long as they could be Medicaid-covered services.
- Coordinate health and social services for children between settings of care and across other MCPs and delivery systems. Specifically, MCPs must support children and their families in accessing medically necessary physical, behavioral, and dental health services, as well as social and educational services.
- Actively and systematically promote EPSDT screenings and preventive services to children and families.

MCPs must ensure EPSDT is provided to all children and youth as part of their PHM Program, including BPHM, CCM, and ECM. Starting in 2024, as part of MCPs' annual PHM Strategy submission, MCPs are required to review the utilization of children's preventive health visits and developmental screenings and outline their strategies for improving access to those services, as well as articulate and track how BPHM may be deployed to ensure any follow-up and care coordination needs identified from screenings are delivered. For example, BPHM should ensure that all children with abnormal vision screenings receive glasses or that all children with an abnormal developmental screen receive additional required testing. As part of BPHM, MCPs continue to be required to meet all EPSDT requirements related to timely access to services.

In addition, to support children enrolled in Medi-Cal in accessing and receiving wellness and prevention programs, starting in 2024, MCPs will also be required to enter into MOUs with WIC providers. Then starting in 2025, MCPs will be required to enter into MOUs with First 5 programs and providers and every Local Education Agency (LEA) in each county within their service area for school-based services to strengthen provision of EPSDT within schools.

## **2) Care Management Programs**

### **a. Complex Care Management (CCM)**

CCM equates to "Complex Case Management," as defined by NCQA. MCPs are already required to provide CCM. MCPs will continue to be required to provide CCM in 2023, in line with the requirement that all MCPs must meet NCQA PHM standards on January 1, 2023.

CCM is a service for MCP members who need extra support to avoid adverse outcomes but who are not in the highest risk group designated for ECM. CCM provides both ongoing chronic care coordination and interventions for episodic, temporary needs, with a goal of regaining optimum health or improved functional capability in the right setting and in a cost-effective manner.

Following NCQA's requirements, MCPs must consider CCM to be an opt-out program – (i.e., members may choose not to participate in CCM if it is offered to them), and MCPs may delegate CCM to providers and other entities who are themselves NCQA-certified.

#### Required CCM Elements and Processes:

In accordance with the Care Management Programs section of the Amended 2023 MCP Contract and in line with NCQA CCM requirements, MCPs must comply with the following CCM requirements:

#### **i. Eligibility**

CCM is a service intended for higher- and medium-rising-risk members and is deliberately more flexible than ECM. MCPs are allowed to determine their own eligibility criteria (within NCQA guardrails<sup>33</sup>) based on the risk stratification process outlined above and local needs identified in the PNA.

#### **ii. Core Service Components:**

CCM must include:

##### 1) Comprehensive Assessment and Care Plan

As in ECM, CCM must include a comprehensive assessment of each member's condition, available benefits, and resources (including Community Supports), as well as development and implementation of a Care Management Plan (CMP) with goals, monitoring, and follow-up.

##### 2) Services and Interventions

CCM must include a variety of interventions for members who meet the differing needs of high and medium-/rising-risk populations, including:

- Care coordination focused on longer-term chronic conditions
- Interventions for episodic, temporary member needs
- Disease-specific management programs (including, but not limited to, asthma and diabetes) that include self-management support and health education
- Community Supports, if available and medically appropriate, and cost-effective

CCM must also include BPHM as part of the care management provided to members. For children and youth under age 21, CCM must include EPSDT; all medically necessary services, including those that are not necessarily covered for adults, must be provided as long as they could be Medicaid-covered services.

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<sup>33</sup> NCQA 2021 Health Plan Accreditation PHM Standards. PHM 5: Complex Case Management.



### iii. Care Manager Role

#### 1) Assignment of a CCM Care Manager

MCPs must assign a care manager for every member receiving CCM. Following NCQA's requirements, MCPs may delegate CCM to providers and other entities who are themselves NCQA-certified. PCPs may be assigned as care managers when they are able to fulfill all CCM requirements.

If multiple providers perform separate aspects of care coordination for a member, the MCP must:

- Identify a care manager
- Communicate the identity of the care manager to all treating providers and the member
- Maintain policies and procedures to:
  - Ensure compliance and non-duplication of medically necessary services.
  - Ensure delegation of responsibilities between the MCP and the member's providers meets all care management requirements.

MCPs must provide the member's PCP with the identity of a member's assigned care manager (if the PCP is not assigned to this role) and a copy of the member's CMP.

#### 2) Care Manager Responsibilities

CCM care managers are required to ensure all BPHM requirements and NCQA CCM standards are met. This includes conducting assessments of member needs to identify and close any gaps in care and completing a CMP for all members receiving CCM. CCM care managers must also ensure communication and information sharing on a continuous basis and facilitate access to needed services for members, including Community Supports, and across physical and behavioral health delivery systems. MCPs should provide assistance with navigation and referrals, such as to CHWs or community-based social services.

### b. Enhanced Care Management (ECM)

ECM, which went live in January 2022, is a new statewide managed care benefit that addresses the clinical and nonclinical needs of Medi-Cal's highest-need members through intensive coordination of health and health-related services.<sup>34</sup> For detailed requirements and implementation timeline for ECM, please refer to the [Finalized ECM and Community Supports MCP Contract Template](#) and [ECM Policy Guide](#).

ECM is community-based, interdisciplinary, high touch, person-centered, and provided primarily through in-person interactions. MCPs are required to contract with "ECM Providers," existing community providers such as FQHCs, Counties, County behavioral health providers, Local Health Jurisdictions, Community Based Organizations (CBOs), and others, who will assign a Lead Care Manager to each member. The Lead Care Manager meets members wherever they are – on the street, in a shelter, in their

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<sup>34</sup> ECM requirements are contained in the [ECM Policy Guide](#) and [website](#). This document does not alter or add to ECM program design or requirements.

doctor's office, or at home. ECM eligibility is based on members meeting specific "Populations of Focus" criteria. These Populations of Focus are going live in phases throughout 2022 and 2023.

For children and youth under age 21, CCM must include EPSDT; all medically necessary services, including those that are not necessarily covered for adults, must be provided as long as they could be Medicaid-covered services.

Starting in Q2 2022 and extending for at least three years, DHCS instituted MCP [quarterly reporting requirements](#) to monitor the implementation of ECM. DHCS monitors outcomes for the group served by ECM and evaluates whether and how the existing Populations of Focus definitions and policies may be improved over time to ensure that the ECM benefit continues to serve those with the highest needs.

#### *ECM and CCM Overlap Policy and Delegation*

An individual cannot be enrolled in ECM and CCM at the same time; rather, CCM is on a care management continuum with ECM. CCM can be used to support members who were previously served by ECM, are ready to step down, and who would benefit from CCM; but not all members in CCM previously received ECM, and not all members who step down from ECM require CCM. DHCS encourages MCPs to work with providers to contract for a care management continuum of ECM and CCM programs, wherever possible, including as a way to maximize opportunities for members to step down from ECM to CCM or BPHM under the care of a single provider.

#### **c. Transitional Care Services (TCS)**

Care transitions are defined as a member transferring from one setting or level of care to another, including, but not limited to: discharges from hospitals, institutions, other acute care facilities, and skilled nursing facilities (SNFs) to home- or community-based settings, Community Supports, post-acute care facilities, or long-term care (LTC) settings.

Under PHM and in line with CalAIM, MCPs are accountable for providing strengthened TCS beginning on January 1, 2023 and fully implemented for all members by January 1, 2024 across all settings and delivery systems, ensuring members are supported from discharge planning until they have been successfully connected to all needed services and supports. This is accomplished by ensuring that a single point of contact, herein referred to as a care manager,<sup>35</sup> can assist members throughout their transition and ensure all required services are complete.

The transitional care policies are consistent with the [CQS](#) and are being measured through quality reporting. At this time, this includes ensuring timely follow-up for members with emergency department (ED) visits for mental health issues or SUD. Moving forward, as future policy guidance is developed to ensure member-centered care during this critical time, additional quality and process measures and reporting will also be added to be synergistic with these transitional care policies.

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<sup>35</sup> A care manager can have a variety of experiences or credentials to support transitional care activities and does not need to be a licensed provider. However, care manager assignment should consider the level of need for each member.

### Phased TCS Implementation Timeline:

For the PHM Program launch on January 1, 2023, MCPs must develop and execute a plan to ramp up TCS implementation for all members by January 1, 2024. The plan must address how the MCPs will meet the timeline and detailed requirements set forth below.<sup>36</sup>

#### **i. By January 1, 2023**

MCPs must implement timely prior authorizations and know when members are admitted, discharged or transferred for **all members**. More detailed guidance is outlined in the “Required TCS Elements and Processes” below.

MCPs must also ensure that all TCS are complete (including assigning a care manager/single point of contact who will complete all required responsibilities) for **all high-risk members**.<sup>37</sup> For Transitional Care Services, high risk members are defined as any population listed under Section D. Understanding Risk, 2) Assessment to Understand Member Needs Section, which include the following populations:

- Any “high risk” members as identified through the MCPs’ RSS mechanisms<sup>38</sup> or through the PHM Service once the statewide RSS and risk tiers are available;
- Any other populations who require assessments, including but not limited to:<sup>39</sup>
  - Those who are in ECM or CCM (TCS must be provided by the ECM or CCM Care Manager); and
  - Those who received LTSS.

MCPs can fulfill the TCS requirements and assign a single point of contact/care manager either by using its own staff or contracting with other contracted entities (e.g., hospitals, accountable care organizations (ACOs), or PCPs etc.).<sup>40</sup>

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<sup>36</sup> MCPs will not submit the plan for DHCS review, but must provide it to DHCS upon request

<sup>37</sup> For members enrolled in multiple payors, the phased transitional care implementation policy would apply the same way as outlined in the “Required TCS Elements and Processes, ix. Guidance for Members Enrolled with Multiple Payors” section. For example, the MCP is not responsible for assigning a transitional care manager/single point of contact for those enrolled in Medicare Medi-Cal Plans (MMPs) or any other Dual-Eligible Special Needs Plans (D-SNPs).

<sup>38</sup> MCPs’ RSS approach and stratification timeframes must meet requirements outlined in the D. Understanding Risk, 1) RSS and Risk Tiers Section.

<sup>39</sup> Members who are defined as high risk include populations that require assessment as outlined in Section D. Understanding Risk, 2) Assessment to Understand Member Needs Section, including: those with LTSS needs, those entering CCM, those entering ECM, CSHCN, pregnant individuals, seniors and persons with disabilities who meet the definition of “high risk” as established in existing APL requirements, those identified through the MCP’ own RSS approaches prior to the PHM Service’s statewide RSS and risk tiers available, and those who are identified as high-risk through the PHM Service, once the statewide RSS and risk tiers are available. Those who are in ECM, CCM, and individuals receiving LTSS are spelled out here for emphasis.

<sup>40</sup> This arrangement for MCP contracted entities to provide TCS is not considered formal delegation and therefore, MCPs would not be subject to requirements outlined in [APL 17-004](#).

## ii. By January 1, 2024

MCPs must ensure all TCS (as required below) are completed for **all members**. MCPs are strongly encouraged to contract with hospitals, ACOs, PCP groups, or other entities to provide TCS, particularly for lower- and medium-risk members.

### Required TCS Elements and Processes:

MCPs are required to meet contract requirements outlined in the TCS section of the 2023 Contract and additional operational requirements listed in this Policy Guide based on the phased implementation timeline above.

## i. Admission, Discharge, and Transfer (ADT)

By January 1, 2023, MCPs are responsible for knowing, in a timely manner, when all of their members have planned admissions, and when they are admitted, discharged, or transferred, and therefore experiencing a transition, through the following mechanisms:

- MCPs are responsible for ingesting and utilizing ADT feeds when they exist. MCPs are expected to enter agreements with facilities to gain access to ADT feeds where their members are admitted.
- When ADT feeds are not available (for example, many SNFs do not create ADT data feeds), MCPs are expected to identify other mechanisms or establish other data-sharing agreements to know when members are expected to be and are admitted, discharged, or transferred. These can include but are not limited to requirements for notification by admitting facilities and institutions directly or leveraging existing prior authorization requests.
- The PHM Service will not have ADT feeds at launch, so MCPs are expected to establish infrastructure to utilize ADT feeds locally as described above.

## ii. Prior Authorizations and Timely Discharges

As referenced in the TCS section of the Amended 2023 MCP Contract, by January 1, 2023, MCPs must ensure timely prior authorizations and discharges for all members, which includes, but is not limited to, ensuring that prior authorizations required for a member's discharge are processed in a timely manner.

## iii. Care Manager Responsible for TCS

Once a member has been identified as being **admitted**, MCPs must identify the care manager, who is **the single point of contact** responsible for ensuring completion of all transitional care management services in a culturally and linguistically appropriate manner for the duration of the transition, including follow-up after discharge. This requirement applies to high-risk members starting on January 1, 2023, and to all members starting on January 1, 2024. For members enrolled in CCM or ECM, MCPs must ensure that the member's assigned ECM Lead Care Manager or CCM care manager is the care manager who must provide all TCS. For members not enrolled in ECM or CCM, this single point of contact ("care manager") does not need to be employed by the plan and can be provided by contracted entities (e.g. the primary care practice, an Accountable Care Organization or, the hospital) as long as the plan ensures that a single point of contact is assigned until needs are met and that all TCS can be completed.

Members must be offered the direct assistance of the care manager, but members may choose to have limited to no contact with the care manager. In these cases, at a minimum, the care manager must act as a liaison coordinating care among the discharging facility, the PCP, and the MCP.

#### **iv. Communication of Assignment to the Care Manager**

MCPs are required to communicate both with the responsible care manager (or contracted care manager) and with the facility where the patient is admitted (referred to as the “discharging facility”) in a timely manner so that the care manager can participate in discharge planning and support access to available services.<sup>41</sup> In line with the phased implementation timeline, this requirement applies to high-risk members starting on January 1, 2023, and to all members starting on January 1, 2024.

For members receiving TCS, their assigned care managers (including ECM and CCM) must be notified within 24 hours of admission, transfer or discharge when an ADT feed is available or within 24 hours of the MCP being aware of any planned admissions, or of any admissions, discharges or transfers for instances where no ADT feed exists (such as for SNF admissions). However, this notification time frame will not apply if the care manager responsible for TCS is notified of the admission, discharge, or transfer through an ADT feed directly.

MCPs will notify the identified responsible care manager of the assignment and of the member’s admission status, including the location of admission, and ensure that the discharging facility has the name and contact information, including phone number, of the identified care manager in the discharge planning document. The member must be given the care manager’s contact information as part of the discharge planning document, as described below.

#### **v. Care Manager Responsibilities**

The care manager responsible for TCS is responsible for coordinating and verifying that members receive all appropriate TCS, regardless of setting and including, but not limited to, inpatient facilities, discharging facilities, and community-based organizations. Hospital and nursing home staff who help with discharge plans should work with, but do not supplant the need for, a care manager unless the responsibility for TCS is fully contracted out.

The care manager is also responsible for ensuring collaboration, communication, and coordination with members and their families/support persons/guardians, hospitals, EDs, LTSS, physicians (including the member’s PCP), nurses, social workers, discharge planners, and service providers to facilitate safe and successful transitions. While the care manager does not need to perform all activities directly, they must ensure all transitional care management activities occur, including the discharge risk assessment, discharge planning documentation, and necessary post-discharge services

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<sup>41</sup> In the instance that the care manager is at the facility, the MCP’s role is to communicate with the facility.

and follow-ups, noted below.<sup>42</sup> Based on the phased implementation timeline, the care manager is responsible for completing all required responsibilities outlined below for high-risk members starting on January 1, 2023, and for all members starting on January 1, 2024.

- **Discharge Risk Assessment and Discharge Planning**

Per the Amended 2023 contract requirements, a core responsibility of the care manager is to ensure that a discharge risk assessment is complete and that a discharge planning document is created and shared with appropriate parties. This discharge risk assessment and discharge planning document may be completed by the discharging facility (and, at a minimum, should be informed by discharging providers). However, the assigned care manager must ensure that it is complete and accurately coordinated, shared with appropriate parties as listed below, and that the member does not receive two different discharge documents from discharging facility and from the care manager. Details on the discharge risk assessment and discharge planning document are below:

A **discharge risk assessment** should be completed prior to discharge to assess a member's risk of re-institutionalization, re-hospitalization, destabilization of a mental health condition, and/or SUD relapse. As part of this discharge risk assessment done prior to discharge, care managers must ensure that members are assessed to determine if they are newly eligible for ongoing care management services such as ECM or CCM. The discharge risk assessment is not required to be approved by DHCS.

Care managers must also ensure a **discharge planning document is created and shared** with the member, member's parents or authorized representatives, and the treating providers, including the PCP, the discharging facility, and the receiving facility or provider in order to facilitate communication and information sharing of the member's specific discharge plan.

The discharge planning document should use language that is culturally, linguistically, and literacy-level appropriate, and must include all items as noted in the Amended 2023 MCP Contract, such as preadmission status, predischARGE support needs, discharge location, barriers to post-discharge plans, and information regarding available care and resources after discharge.

This discharge planning document should also include the care manager's name and contact information and a description of TCS.

- **Necessary Post-Discharge Services and Follow-Ups**

As outlined in the Transitional Care Services section of the contract, MCPs and their assigned care managers must ensure needed post-discharge services are provided, and follow-ups are scheduled, including but not limited to follow-up provider

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<sup>42</sup> The care manager must also ensure non-duplication of services provided by other team members (including facility or PCP-based care managers if care management is not fully contracted out).



appointments, SUD and mental health treatment initiation, medication reconciliation, referrals to social service organizations, and referrals to necessary at-home services.

#### **vi. End of TCS**

TCS will end once the member has been connected to all the needed services, including but not limited to all that are identified in the discharge risk assessment or discharge planning document. As noted above, if the MCP has delegated TCS, the MCP must ensure that the delegate follows and coordinates services for the member until all aforementioned activities are completed. For those who have ongoing unmet needs, eligibility for ECM or CCM should be reconsidered.

If the member is enrolled in ECM or CCM, and if the care manager responsible for TCS will not continue as their ECM or CCM Lead Care Manager, the member should be connected to their new care manager through a referral.

#### **ix. Guidance for Members Enrolled with Multiple Payors**

Consistent with the policy that the MCP is responsible for coordinating whole-person care, even for services or benefits carved-out of Medi-Cal managed care, the MCP or its contracted care manager is responsible for ensuring transitional care coordination for its members as outlined above. This also applies in instances where the MCP is not the primary source of coverage for the triggering service (e.g., hospitalization for a Medicare FFS dual-eligible member, or an inpatient psychiatric admission covered by a County MHP).

For all members enrolled with multiple payors undergoing any transition, MCPs must know when their members are admitted, discharged, or transferred; MCPs must notify existing Medi-Cal care managers (ECM or CCM) of admissions, discharges, and transfers; and MCPs must conduct prior authorizations and coordinate, in a timely manner, for any Medi-Cal covered benefits where Medi-Cal is the primary payor.<sup>43</sup> However, there are specific modifications to the assignment of a care manager and care manager responsibilities as follows:

#### **Requirements for Members Dual-Eligible for Medi-Cal and Medicare in Medicare Medi-Cal Plans or Dual-Eligible Special Needs Plans (D-SNPs):**

For admissions, transfers and discharges involving dually eligible members enrolled in Medicare Medi-Cal Plans (MMPs), or members enrolled in any other D-SNP, the MMP/D-SNP is responsible for coordinating the delivery of all benefits covered by both Medicare and Medi-Cal, including services delivered via Medi-Cal Managed Care and Medi-Cal FFS. Thus, the Medi-Cal MCP is not responsible for assigning a transitional care manager or any transitional care manager responsibilities for dually eligible beneficiaries enrolled in MMPs or D-SNPs. However, if a member has an existing ECM

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<sup>43</sup> Examples of services where MCP is the primary payor for individuals dually eligible for Medicare and Medi-Cal include but are not limited to CBAS, LTC services, transportation to medical appointments, hearing aids and routine eye exams (when not covered by a Medicare Advantage (MA) plan), Community Supports, and ECM.

or CCM care manager, the MCP is responsible for notifying that care manager of the admission, discharge or transfer

For admissions, transfers and discharges involving MCP members dually eligible for Medi-Cal and Medicare enrolled in Medicare FFS or MA plans (except D-SNPs), MCPs remain responsible for ensuring all transitional care requirements are complete, including assigning or delegating a care manager.

*Requirements for When County MHPs or DMC-ODS Are the Primary Payors:*

For members who are admitted for an acute psychiatric hospital, psychiatric health facility, adult residential, or crisis residential stay, where the county MHP is the primary payor, and for members who are admitted for residential SUD treatment, including residential withdrawal management, where DMC-ODS is the primary payor, MHPs or DMC-ODS are primarily responsible for coordination of care with the member upon discharge. However, MHPs and DMC-ODS have limited access/ability to coordinate across the MCP or physical health care needs, therefore:

- In addition to the core MCP responsibilities noted above, MCPs will also be required to assign or contract with a care manager to coordinate with behavioral health or county care coordinators, ensure physical health follow-up needs are met, and assess for additional care management needs or services such as CCM, ECM, or Community Supports.
- As outlined in the BPHM section above, in 2024, MCPs are required to have MOUs with required entities, including County MHPs, to facilitate care coordination and ensure non-duplication of services. MCPs are also required to have MOUs with additional entities, including local alcohol and SUD treatment services.

*Additional Requirements for Inpatient Medical Admission with Transfer to Inpatient Psychiatry or Residential Rehab:*

For members who are admitted initially for a medical admission and transferred or discharged to a behavioral health facility, including a SUD psychiatric or a residential rehab facility (including intra-hospital transfers to a psychiatric-distinct unit of a hospital):

- MCPs are responsible for all TCS during the transfer/discharge to the behavioral health facility.
- TCS for this transfer/discharge end once the member is admitted to the behavioral health facility and connected to all needed services, including care coordination. In these instances, this likely will be after the member arrives at the behavioral health facility, medication reconciliation has occurred, and all information sharing between institutions is complete.
- After the member's treatment at the behavioral health facility is complete and the member is ready to be discharged or transferred, MCPs must follow the same transitional care requirements as either psychiatric admission or residential SUD treatment facility admission listed above.



### III. Monitoring Approach for Implementation of the PHM Program

The purpose of DHCS’ PHM Program monitoring approach is to assess the overall implementation, operations, and effectiveness of each MCP’s PHM program and understand the impact on outcomes and health equity over time.

To monitor MCPs’ PHM programs, DHCS will review the holistic performance of PHM Program implementation at each MCP through monitoring performance across multiple PHM categories. These categories are organized by the following monitoring domains: PHM program areas/themes, populations, and cross-cutting priorities. Core aspects of the PHM program areas include basic population health, RSST, CCM, ECM, and TCS. Specific populations for which DHCS will be monitoring the implementation of the PHM Program in 2023 include Children and Youth, Birthing Populations, and Individuals with Behavioral Health Needs, which align with the clinical focus areas in DHCS’s [CQS](#). DHCS anticipates monitoring the implementation of the PHM Program for seniors and dual-eligible members as a population of focus in the future. In 2023, DHCS will also be monitoring equity across all monitoring domains and categories. The monitoring domains and detailed categories are found in Table 1.

**Table 1. PHM Monitoring Domains and Categories**

Monitoring Domains	Categories
<b>PHM Program Areas/Themes</b>	Basic Population Health Management (BPHM)
	<ul style="list-style-type: none"> <li>Prevention Services</li> </ul>
	<ul style="list-style-type: none"> <li>Primary Care Engagement/ Appropriate Utilization</li> </ul>
	<ul style="list-style-type: none"> <li>Chronic Disease Management</li> </ul>
	<ul style="list-style-type: none"> <li>CHW Integration</li> </ul>
	Risk Stratification Segmentation and Tiering (RSST)
	Complex Care Management (CCM)
	Enhanced Care Management (ECM)
	Transitional Care Services (TCS)
<b>Populations</b>	Children and Youth
	Birthing Populations
	Individuals with Behavioral Health Needs
<b>Cross Cutting Priorities</b>	Equity (include all stratified measures)

Within each category, DHCS will identify and review a set of quality measures, and where needed to supplement these quality measures, DHCS will also review key performance indicators (KPIs). Existing quality and performance improvement processes, such as the Medi-Cal Managed Care Accountability Set (MCAS) and the CalAIM Incentive Payment Program (IPP), assess each measure individually and, as applicable, applies rewards or penalties against individual measure performance within a specific time period. For PHM monitoring, DHCS will not be reviewing each measure individually, but will instead review the overall picture revealed by the performance across all the measures within a category to understand if core aspects of a MCP's PHM program are working as intended. The intent is also to look over time — using early measure performance as a baseline and looking for improvements, as well as identifying outliers. By reviewing each monitoring category, DHCS will be able to spot priority issue areas that require direct DHCS follow-up with MCPs and identify areas in the PHM Program requirements that need additional DHCS guidance or clarifications.

DHCS will conduct routine engagement with MCPs throughout each year on MCPs' PHM programs to ensure regular, bidirectional communication on implementation challenges and successes. DHCS will use these meetings to discuss PHM monitoring data, gather additional information about how the MCP is doing on PHM, and deliver key messaging around expectations for the PHM Program. In addition, DHCS expects that MCPs will use its own monitoring approaches to regularly assess its own PHM program.

The PHM monitoring approach will evolve over time and add KPIs and quality measures to monitoring categories. DHCS may also add additional populations or cross cutting priorities. Once the PHM Service is fully implemented, the monitoring strategy will change to leverage its reporting and analytics functionalities.

### [Monitoring Measures](#)

To take a more holistic view across PHM while also minimizing reporting burden on MCPs, DHCS identified existing quality measures to monitor MCPs' PHM Programs' impact on outcomes and access to services. DHCS is leveraging existing data that DHCS already has from MCAS and Consumer Assessment of Healthcare Providers and Systems (CAHPS) quality measures reported through the annual quality and performance improvement process as well as through its Core Set reporting processes.

Where quality measures by themselves were insufficient to fully monitor a category, DHCS identified a limited number of new high-priority KPIs. MCPs will be required to report these KPIs at the plan level on a quarterly basis.

PHM Program monitoring will begin in Q3 2023. MCPs will submit their first KPIs in August 2023 from Q1 and Q2 2023. While audited 2023 quality measure data will not be available until 2024, DHCS will begin looking at quality measures in 2023, using 2022 data.

## A. Quality Measures

DHCS will review existing data from a subset of MCAS and CAHPS quality measures reported through the existing annual quality and performance improvement process to monitor MCPs' PHM Programs. See Table 2 below for a list of the quality measures DHCS will review for PHM monitoring; the table also indicates which quality measures will be used for the children and youth, birthing populations, and individuals with behavioral health needs population-level analyses. MCPs will not need to report any additional quality measure data at this time.

Under the existing quality process, MCPs must stratify certain quality measures per NCQA by race and ethnicity (as noted in Table 2 below); DHCS will review MCPs' stratified performance on these measures as part of its PHM monitoring approach.

MCPs currently submit quality measure data to DHCS at the reporting unit level<sup>44</sup> in January-May, and audited measure data are released to DHCS in July for internal validation. For PHM monitoring, DHCS will aggregate the existing data from the below quality measures to be able to review at the plan level. For more details about the quality measures, please see Appendix 5: List of Quality Measures and Descriptions for PHM Monitoring Approach. DHCS may review additional existing MCAS and CAHPS measures in the future.

**Table 2. PHM Monitoring Quality Measures**

Quality Measures to be Reviewed for PHM Monitoring Starting in August 2023	Stratified by race/ethnicity per NCQA categorizations	Reviewed for Children and Youth population analysis	Reviewed for Birthing population analysis	Reviewed for Individuals with Behavioral Health Needs population analysis
Depression Screening and Follow-Up for Adolescents and Adults	✓	✓		✓
Depression Remission or Response for Adolescents and Adults		✓		✓
Well-Child Visits in the First 30 Months of Life – 0 to 15 Months – Six or More Well-Child Visits	✓	✓	✓	
Well-Child Visits in the First 30 Months of Life – 15 to 30 Months – Two	✓	✓		

<sup>44</sup> DHCS defines a “reporting unit level” as a single county, a combined set of counties, or a region as determined and pre-approved by DHCS.

Quality Measures to be Reviewed for PHM Monitoring Starting in August 2023	Stratified by race/ethnicity per NCQA categorizations	Reviewed for Children and Youth population analysis	Reviewed for Birthing population analysis	Reviewed for Individuals with Behavioral Health Needs population analysis
or More Well-Child Visits				
Child and Adolescent Well-Care Visits	✓	✓		
Developmental Screening for the First Three Years of Life		✓		
Lead Screening for Children		✓		
Childhood Immunization Status: Combination 10	✓	✓		
Immunizations for Adolescents: Combination 2	✓	✓		
Topical Fluoride for Children		✓		
Prenatal Depression Screening and Follow Up			✓	✓
Postpartum Depression Screening and Follow Up			✓	✓
Colorectal Cancer Screening	✓			
Chlamydia Screening in Women				
Breast Cancer Screening	✓			
Cervical Cancer Screening				
Ambulatory Care: Emergency Department (ED) Visits		✓		
Adults' Access to Preventive/Ambulatory Health Services				
Asthma Medication Ratio	✓			

Quality Measures to be Reviewed for PHM Monitoring Starting in August 2023	Stratified by race/ethnicity per NCQA categorizations	Reviewed for Children and Youth population analysis	Reviewed for Birthing population analysis	Reviewed for Individuals with Behavioral Health Needs population analysis
Controlling High Blood Pressure	✓			
Hemoglobin A1c Control for Patients With Diabetes – HbA1c Poor Control (>9%)	✓			
Antidepressant Medication Management: Acute Phase Treatment				✓
Antidepressant Medication Management: Continuation and Maintenance Phase				✓
Follow-Up Care for Children Prescribed ADHD Medication: Initiation Phase		✓		✓
Follow-Up Care for Children Prescribed ADHD Medication: Continuation and Maintenance Phase		✓		✓
Pharmacotherapy for Opioid Use Disorder	✓			✓
Follow-Up After ED Visit for Mental Illness – 30 days	✓			✓
Follow-Up after ED Visits for Substance Use – 30 days	✓			✓
Plan All-Cause Readmissions	✓			
Potentially Preventable 30-day Post-Discharge Readmission	✓			

Quality Measures to be Reviewed for PHM Monitoring Starting in August 2023	Stratified by race/ethnicity per NCQA categorizations	Reviewed for Children and Youth population analysis	Reviewed for Birthing population analysis	Reviewed for Individuals with Behavioral Health Needs population analysis
Prenatal and Postpartum Care: Postpartum Care	✓		✓	
Prenatal and Postpartum Care: Timeliness of Prenatal Care	✓		✓	
Nulliparous, Term, Singleton, Vertex (NTSV) Cesarean Birth Rate			✓	
CAHPS: Getting Needed Care (Adult and Child)		✓		
CAHPS: Getting Care Quickly (Adult and Child)		✓		

**B. KPIs**

DHCS will also review a set of high-priority KPIs for more frequent, active, and real-time monitoring of program operations and effectiveness. KPIs are intended to be indicators that plans should already track internally to manage their own performance. MCPs must report KPIs at the plan level on a quarterly basis. DHCS may request more granular county or member-level data if any issues arise during the plan-level review. Additional KPIs may be added in the future once the PHM Service is implemented. Data that MCPs already report on for the ECM Quarterly Implementation Monitoring Reporting (QIMR) and the CalAIM Incentive Payment Program (IPP) will be leveraged for some KPIs to decrease MCP reporting burden. **Therefore, MCPs will only be required to report on five new KPIs specific to PHM monitoring.**

While MCPs are required to report the five new KPIs to DHCS at the plan level on a quarterly basis, DHCS expects that MCPs calculate all of the KPIs at the member-level on a monthly basis to monitor their own performance and have a real-time understanding of the operations and effectiveness of their PHM program.

DHCS will calculate the KPIs at a plan level using existing data from DHCS where possible and match against what MCPs submit on a quarterly basis. If there are inconsistencies, DHCS will probe further and request member-level data from MCPs if needed.

See Table 3 below for a list of the KPIs DHCS will review for PHM monitoring; the table also indicates which KPIs will be used for the children and youth, birthing populations, and individuals with behavioral health needs population-level analyses. KPIs for the RSST PHM monitoring category will not be implemented until the PHM Service RSST functionalities are available. For more details about the KPIs, please see Appendix 4: List of KPIs and Technical Specifications for PHM Monitoring Approach.

**Table 3. PHM Monitoring KPIs**

<b>PHM Monitoring Categories</b>	<b>KPIs to be Reported Starting in August 2023</b>	<b>For Children and Youth Population Analysis</b>	<b>For Individuals with Behavioral Health Needs population analysis</b>	<b>Included in IPP Measure Set</b>	<b>Included in ECM QIMR</b>
<b>BPHM – Primary Care Engagement /Appropriate Utilization</b>	Percentage of members who had more ED visits than primary care visits within a 12-month period	✓			
	Percentage of members who had at least one primary care visit within a 12-month period	✓			
	Percentage of members with no ambulatory or preventive visit within a 12-month period	✓			
<b>BPHM – CHW Integration</b>	Percentage of members who received CHW benefit			✓	
<b>Complex Care Management (CCM)</b>	Percentage of members eligible for CCM who are successfully enrolled in the CCM program	✓			

PHM Monitoring Categories	KPIs to be Reported Starting in August 2023	For Children and Youth Population Analysis	For Individuals with Behavioral Health Needs population analysis	Included in IPP Measure Set	Included in ECM QIMR
<b>Enhanced Care Management (ECM)</b>	Percentage of members enrolled in ECM				✓
	Percentage of members enrolled in ECM "Individuals Experiencing Homelessness" Population of Focus (POF)				✓
	Percentage of members enrolled in ECM "Individuals At Risk for Avoidable Hospital or ED Utilization" POF				✓
	Percentage of members enrolled in ECM "Individuals with Serious Mental Health and/or Substance Use Disorder (SUD) Needs" POF		✓		✓
	Percentage of members enrolled in ECM "Individuals Transitioning from Incarceration" POF				✓
	Percentage of members enrolled in ECM "Adults Living in the				✓



PHM Monitoring Categories	KPIs to be Reported Starting in August 2023	For Children and Youth Population Analysis	For Individuals with Behavioral Health Needs population analysis	Included in IPP Measure Set	Included in ECM QIMR
	Community and At Risk for LTC Institutionalization " POF				
	Percentage of members enrolled in ECM "Adult Nursing Facility Residents Transitioning to the Community" POF				✓
	Percentage of members enrolled in all ECM Children and Youth POFs	✓			✓
	Percentage of members enrolled in ECM "Homeless Families or Unaccompanied Children/Youth Experiencing Homelessness" POF	✓			✓
	Percentage of members enrolled in ECM "Children and Youth At Risk for Avoidable Hospital or ED Utilization" POF	✓			✓
	Percentage of members enrolled in ECM "Children and Youth with	✓			✓

PHM Monitoring Categories	KPIs to be Reported Starting in August 2023	For Children and Youth Population Analysis	For Individuals with Behavioral Health Needs population analysis	Included in IPP Measure Set	Included in ECM QIMR
	Serious Mental Health and/or SUD Needs” POF				
	Percentage of members enrolled in ECM “Children and Youth Transitioning from Incarceration” POF	✓			✓
	Percentage of members enrolled in ECM “Children and Youth Enrolled in California Children’s Services (CCS) or CCS Whole Child Model (WCM) with Additional Needs Beyond the CCS Condition” POF	✓			✓
	Percentage of members enrolled in ECM “Children and Youth Involved in Child Welfare” POF	✓			✓
<b>Transitional Care Services (TCS)</b>	Percentage of contracted acute care facilities from which MCPs receive ADT notifications			✓	
	Percentage of contracted skilled			✓	

PHM Monitoring Categories	KPIs to be Reported Starting in August 2023	For Children and Youth Population Analysis	For Individuals with Behavioral Health Needs population analysis	Included in IPP Measure Set	Included in ECM QIMR
	nursing facilities from which MCPs receive ADT notifications				
	Percentage of transitions for high-risk members that had at least one interaction with their assigned care manager within 7-days post discharge				
	Percentage of acute hospital stay discharges which had follow-up ambulatory visit within 7 days post hospital discharge			✓	

MCPs will be required to stratify and report these five new KPIs by race, ethnicity, language, and age on a plan-level as specified in Appendix 5: PHM Monitoring KPI Technical Specifications:

- Percentage of members who had more ED visits than primary care visits within a 12-month period;
- Percentage of members who had a primary care visit within a 12-month period;
- Percentage of members with no ambulatory or preventive visit within a 12-month period;
- Percentage of members eligible for CCM who are successfully enrolled in the CCM program; and
- Percentage of transitions for high-risk members that had at least one interaction with their assigned care manager within 7 days post discharge.

While MCPs are required to report these stratified KPIs to DHCS at the plan level on a quarterly basis, DHCS expects that MCPs stratify the KPIs at the member-level on a monthly basis to monitor their own performance particularly with regard to health equity.

For the three KPIs that DHCS has internal data on (percentage of members who had more ED visits than primary care visits within a 12-month period; percentage of members who had a primary care visit within a 12-month period; and percentage of members with no ambulatory or preventive visit within a 12-month period), DHCS will calculate stratifications using the same technical specifications in Appendix 5: List of KPIs and Technical Specifications for PHM Monitoring Approach. Then DHCS will match these internal stratifications with what MCPs submit on a quarterly basis. If there are inconsistencies, DHCS will probe further and request member-level data from MCPs if needed.

MCPs will not be required to adjust stratification approaches for KPI data reported through IPP reporting or ECM QMIR.

Starting in 2024, DHCS will begin to measure referrals made by the members' assigned transitional care managers resulting in enrollment into CCM as well as the ECM "Adults Living in the Community and At Risk for LTC Institutionalization" POF, "Adult Nursing Facility Residents Transitioning to the Community" POF and "Individuals At Risk for Avoidable Hospital or ED Utilization" POF. MCPs should already be monitoring these KPIs internally given the 2023 contractual requirement for assigned transitional care managers to make appropriate referrals for high-risk members. Also starting in 2024, DHCS will measure vision screening and dental care/coordination for children. Once the PHM Service is live, DHCS will monitor the percentage of eligible members enrolled in WIC and CalFresh. DHCS envisions evolving and updating the KPIs as appropriate as new policy requirements go into effect, such as providing transitional care services for all populations in 2024 or completing closed-loop referrals in 2025.

### **C. How DHCS will Monitor MCPs' PHM Programs and Conduct Enforcement When Needed**

As stated above, DHCS will review the overall picture revealed by both KPIs and quality measures in each PHM monitoring domain and category, including patterns, trends, and outliers, to gain a holistic perspective on PHM Program implementation and operations at each MCP.

DHCS will review quality measures and KPIs in each PHM domain and monitoring category by examining the following:

- How MCPs performed compared to each other, with special attention to which plans are outliers (both above and below average performance);
- Whether MCPs made year-to-year improvements or maintained their performance if they were already high performers; and
- For quality measures only, whether MCPs performed below benchmarks such as Minimum Performance Levels (to the extent benchmarks exist). DHCS is not instituting benchmarks for KPIs at this time.

If any concerns arise in any PHM monitoring category, DHCS will engage in the following activities to drive improvement in MCPs' PHM programs:

- Meeting with MCPs to learn more and ask questions about their PHM Program, such as:
  - How does your PHM program support this monitoring category? What specific program initiatives address improvements in the category?
  - What changes have you made to your PHM program in the last year?
  - What internal monitoring do you have in place to manage your PHM program performance?
  - What challenges does your MCP face in addressing member's health in this category?
  - How is your PHM program addressing equity within this category?
- Requesting additional policies and procedures, or more granular data, including member-level data, if appropriate
- Via the technical assistance mechanisms already provided to MCPs by the Quality and Health Equity Transformation team to improve program implementation, operations, effectiveness, or outcomes. The Quality and Health Equity Transformation Branch staff will provide guidance throughout the year.

Existing quality and performance improvement enforcement requirements associated with MCAS measure performance will not change; PHM monitoring will be distinct, and in alignment with, these current requirements, as described above.

DHCS will also meet with high-performing outliers to understand and share best practices among MCPs in various PHM domains to support scaling and spread of promising practices.

Over time, if MCPs do not meet the PHM program requirements and achieve successful PHM outcomes, DHCS may impose Corrective Action Plans (inclusive of Quality Improvement Assessment and Strategic Plan), sanctions, and/or liquidated damages, as set out in the MCP contract, for MCPs' failure to comply with the PHM program requirements, the MCP contract, and/or applicable state and federal laws.<sup>45</sup>

For questions and additional information, please email [PHMSection@dhcs.ca.gov](mailto:PHMSection@dhcs.ca.gov).

#### **D. Illustrative Example of DHCS Review of PHM Monitoring Category/Populations**

Table 4 provides an example of which quality measures and KPIs DHCS will review to monitor how a MCP is performing on primary care engagement/appropriate utilization and how it is implementing its PHM program for children and youth.

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<sup>45</sup> Welfare and Institutions Code, § 14197.7

**Table 4. Illustrative Example of PHM Monitoring for BPHM – Primary Care Engagement/Appropriate Utilization and for Children and Youth**

PHM Monitoring Category	KPIs	Quality Measures
<b>BPHM: Primary Care Engagement/ Appropriate Utilization</b>	<ul style="list-style-type: none"> <li>• Percentage of members who had more ED visits than primary care visits within a 12-month period</li> <li>• Percentage of members who had at least one primary care visit within a 12-month period</li> <li>• Percentage of members with no ambulatory or preventive visit within a 12-month period</li> </ul>	<ul style="list-style-type: none"> <li>• Ambulatory Care: ED Visits</li> <li>• Adults’ Access to Preventive/Ambulatory Health Services</li> <li>• Well-Child Visits in the First 30 Months of Life – 0 to 15 Months – Six or More Well-Child Visits</li> <li>• Well-Child Visits in the First 30 Months of Life - 15 to 30 Months – Two or More Well-Child Visits</li> <li>• Child and Adolescent Well-Care Visits</li> <li>• CAHPS: Getting Needed Care</li> <li>• CAHPS: Getting Care Quickly</li> </ul>
<b>Children and Youth Population<sup>46</sup></b>	<ul style="list-style-type: none"> <li>• Percentage of members under 21 eligible for CCM who are successfully enrolled in the CCM program</li> <li>• Percentage of members who had more ED visits than primary care visits in within a 12-month period</li> <li>• Percentage of members enrolled in all ECM Children and Youth POFs</li> <li>• Percentage of members enrolled in ECM “Homeless Families or Unaccompanied Children/Youth Experiencing Homelessness” Children and Youth POFs</li> </ul>	<ul style="list-style-type: none"> <li>• Depression Screening and Follow-Up for Adolescents</li> <li>• Depression Remission or Response for Adolescents</li> <li>• Well-Child Visits in the First 30 Months of Life-0 to 15 Months-Six or More Well-Child Visits</li> <li>• Well-Child Visits in the First 30 Months of Life-15 to 30 Months-Two or More Well-Child Visits</li> <li>• Child and Adolescent Well-Care Visits</li> <li>• Developmental Screening for the First Three Years of Life</li> <li>• Lead Screening for Children</li> <li>• Childhood Immunization Status: Combination 10</li> <li>• Immunizations for Adolescents: Combination 2</li> </ul>

<sup>46</sup> These KPIs and quality measures are not additional measures; they are categorized in “Table 2. PHM Monitoring Quality Measures” and “Table 3. PHM Monitoring KPIs” above but are included here for a population-level analysis.

PHM Monitoring Category	KPIs	Quality Measures
	<ul style="list-style-type: none"> <li>• Percentage of members enrolled in ECM “Children and Youth At Risk for Avoidable Hospital or ED Utilization” POF</li> <li>• Percentage of members enrolled in ECM “Children and Youth with Serious Mental Health and/or SUD Needs” POF</li> <li>• Percentage of members enrolled in ECM “Children and Youth Transitioning from Incarceration” POF</li> <li>• Percentage of members enrolled in ECM “Children and Youth Enrolled in California Children’s Services (CCS) or CCS Whole Child Model (WCM) with Additional Needs Beyond the CCS Condition” POF</li> <li>• Percentage of members enrolled in ECM “Children and Youth Involved in Child Welfare” POF</li> </ul>	<ul style="list-style-type: none"> <li>• Topical Fluoride for Children</li> <li>• Ambulatory Care: Emergency Department (ED) Visits</li> <li>• Follow-Up Care for Children Prescribed ADHD Medication: Initiation Phase</li> <li>• Follow-Up Care for Children Prescribed ADHD Medication: Continuation and Maintenance Phase</li> <li>• CAHPS: Getting Needed Care (Child)</li> <li>• CAHPS: Getting Care Quickly (Child)</li> </ul>

## IV: Implementation Timeline

The most recent PHM Program implementation timeline is outlined below. It includes the timeline for anticipated DHCS policy/guidance, MCP deliverable due dates, and general PHM Program go-live dates. For more information about key milestones and go-live dates for all CalAIM initiatives, please refer to the DHCS [CalAIM Timelines webpage](#).

Quarter	DHCS Policy/Guidance	MCP Deliverables	Program Go-Live Dates
<b>2023</b>			
<b>Q1</b>	<ul style="list-style-type: none"> <li>▪ <b>January 1:</b></li> </ul>		<ul style="list-style-type: none"> <li>▪ <b>January 1: PHM Program Goes Live</b></li> </ul>



Quarter	DHCS Policy/Guidance	MCP Deliverables	Program Go-Live Dates
	<ul style="list-style-type: none"> <li>▪ Elimination of IHEBA/SHA and Replacement of Individual Health Assessment with Individual Health Appointment</li> <li>▪ APLs 17-012 and 17-013 were superseded by <a href="#">APL 22-024</a>.</li> <li>▪ <b>Early Q2:</b> Release new APL that will supersede APL 19-011 regarding PNA/PHM Strategy requirements</li> <li>▪ <b>Q2:</b> Publish DHCS Monitoring Approach for Implementation of the PHM Program</li> </ul>		<p><b>statewide with the following requirements, to the extent not already met:</b></p> <ul style="list-style-type: none"> <li>▪ NCQA PHM accreditation or show equivalent</li> <li>▪ Good-faith effort to use DHCS-listed data sources to perform RSS</li> <li>▪ Wellness/prevention as required by NCQA</li> <li>▪ Initiatives to improve pregnancy outcomes</li> <li>▪ CCM as defined by NCQA</li> <li>▪ TCS requirements</li> </ul> <p>▪ <b>January 1: ECM goes live in all counties for LTC Populations of Focus</b></p>
Q2		<ul style="list-style-type: none"> <li>▪ <b>May: PHM Policies and Procedures due for new plans</b> to align with requirements in <a href="#">APL 22-024</a><sup>47</sup></li> </ul>	

<sup>47</sup> To align with requirements in APL 22-024, PHM Policies and Procedures are required to cover NCQA PHM accreditation or equivalent; readiness to use diverse data sources to guide RSS; approach to screening and assessment within revised 2023 requirements; approach to assessing for care management within revised 2023 requirements; and approach to BPHM, CCM, and TCS.

Quarter	DHCS Policy/Guidance	MCP Deliverables	Program Go-Live Dates
Q3		<ul style="list-style-type: none"> <li>▪ <b>August:</b> MCPs to submit first set of data on KPIs for PHM monitoring</li> <li>▪ <b>October: PHM Strategy due</b> for current plans under revised requirements. Annual submission thereafter.</li> </ul>	<ul style="list-style-type: none"> <li>▪ <b>July 1: ECM goes live in all counties for Children and Youth Populations of Focus</b></li> </ul>
<b>2024</b>			
Q1	<ul style="list-style-type: none"> <li>▪ <b>January 1: New MCP Contract Goes Live</b></li> </ul>		<ul style="list-style-type: none"> <li>▪ <b>January 1: ECM goes live in all counties for Birth Equity Population of Focus</b></li> </ul>
Q2			
Q3		<ul style="list-style-type: none"> <li>▪ <b>October: PHM Strategy due</b> for the first time for new plans and annually thereafter</li> </ul>	
<b>2025</b>			
Q1-Q4	<ul style="list-style-type: none"> <li>▪ CQS Bold Goals must be met</li> </ul>	<ul style="list-style-type: none"> <li>▪ The first modified PNA under the new approach per updated DHCS requirements and guideline</li> </ul>	
<b>2026</b>			
Q1-Q4		<ul style="list-style-type: none"> <li>▪ MCPs must obtain NCQA Health Plan Accreditation and NCQA Health Equity Accreditation</li> </ul>	

## Appendix 1: Key Terminology

1. **Admission, discharge, and transfer (ADT) feed** is a standardized, real-time data feed sourced from a health facility, such as a hospital, that includes members' demographic and healthcare encounter data at time of admission, discharge, and/or transfer from the facility.
2. **Assessment** is a process or set of questions for defining the nature of a risk factor or problem, determining the overall needs or health goals and priorities, and developing specific treatment recommendations for addressing the risk factor or problem. Health assessments can vary in length and scope.
3. **Basic Population Health Management (BPHM)** is an approach to care that ensures that needed programs and services are made available to each member, regardless of their risk tier, at the right time and in the right setting. BPHM includes federal requirements for care coordination (as defined in 42 C.F.R. § 438.208).
4. **Care manager** is an individual identified as a single point of contact responsible for the provision of care management services for a member.
5. **Care Management Plan (CMP)** is a written plan that is developed with input from the member and/or their family member(s), guardian, authorized representative, caregiver, and/or other authorized support person(s), as appropriate, to assess strengths, risks, needs, goals, and preferences, and make recommendations for service needs.
6. **Complex Care Management (CCM)** is an approach to care management that meets differing needs of high-and rising-risk members, including both longer-term chronic care coordination and interventions for episodic, temporary needs. Medi-Cal Managed care plans (MCPs) must provide CCM in accordance with all National Committee for Quality Assurance (NCQA) CCM requirements.
7. **Early and Periodic Screening, Diagnostic, and Treatment (EPSDT)** is a federal entitlement that states are required to provide to all children under age 21 enrolled in Medicaid. This includes any Medicaid-coverable service in any amount that is medically necessary, regardless of whether the service is covered in the state plan.<sup>48</sup>
8. **Enhanced Care Management (ECM)** is a whole-person, interdisciplinary approach to care that addresses the clinical and nonclinical needs of high-cost and/or high-need members who meet ECM Populations of Focus eligibility criteria through systematic coordination of services and comprehensive care management that is community-based, interdisciplinary, high-touch, and person-centered.
9. **Health Information Form (HIF)/Member Evaluation Tool (MET)** is a screening tool that is required to be completed within 90 days of MCP enrollment for new members. It fulfills the federal initial screening requirement.<sup>49</sup>
10. **Health Risk Assessment (HRA)** is an assessment required for Seniors and Persons with Disabilities. Effective January 1, 2023, HRA assessment requirements

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<sup>48</sup> EPSDT in Medicaid. Medicaid and CHIP Payment and Access Commission.

<https://www.macpac.gov/subtopic/epsdt-in-medicaid/>. DHCS specific requirements on EPSDT is outlined in [APL 19-014](#).

<sup>49</sup> 42 CFR 438.208(b)(3)-(4)

for Seniors and Persons with Disabilities are simplified, while specific member protections are kept in place.

11. **Initial Health Appointment (IHA)**, previously called Initial Health Assessment, is an assessment required to be completed within 120 days of MCP enrollment for new members and must include a history of the member's physical and behavioral health, an identification of risks, an assessment of need for preventive screens or services and health education, and the diagnosis and plan for treatment of any diseases.<sup>50</sup>
12. **Long-Term Care (LTC)** includes specialized rehabilitative services and care provided in a Skilled Nursing Facility, subacute facility, pediatric subacute facility, or Intermediate Care Facilities (ICFs).<sup>51</sup>
13. **Long-Term Services & Supports (LTSS)** includes services and supports designed to allow a member with functional limitations and/or chronic illnesses the ability to live or work in the setting of the Member's choice, which may include the Member's home, a worksite, a Provider-owned or controlled residential setting, a nursing facility, or other institutional setting. LTSS includes both LTC and HCBS, and includes carved-in and carved-out services.<sup>52</sup>
14. **Risk stratification and segmentation (RSS)** is the process of separating member populations into different risk groups and/or meaningful subsets using information collected through population assessments and other data sources. RSS results in the categorization of members with care needs at all levels and intensities.
15. **Risk tiering** is the assigning of members to standard risk tiers (i.e., high, medium-rising, or low), with the goal of determining appropriate care management programs or specific services.
16. **Population Health Management (PHM)** is a whole-system, person-centered, population-health approach to ensuring equitable access to health care and social care that addresses member needs. It is based on data-driven risk stratification, analytics, identifying gaps in care, standardized assessment processes, and holistic care/case management interventions.
17. **The Population Health Management (PHM) Service** collects and links Medi-Cal beneficiary information from disparate sources and performs risk stratification and segmentation (RSS) and tiering functions, conducts analytics and reporting, identifies gaps in care, performs other population health functions, and allows for multiparty data access and use in accordance with state and federal law and policy.
18. **Population Health Management Strategy (PHM Strategy)** is a comprehensive plan of action for addressing member needs across the continuum of care, based on Population Needs Assessment (PNA) results, data-driven risk stratification, predictive analysis, identifying gaps in care, standardized assessment processes, and holistic care/case management interventions. Each MCP would be required to include, at a minimum, a description of how it will:

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<sup>50</sup> These required IHA elements are specified in 22 C.C.R. § 53851(b)(1).

<sup>51</sup> 2024 Re-Procurement. Exhibit A, Attachment I, Definitions and Acronyms

<sup>52</sup> 2024 Re-Procurement. Exhibit A, Attachment I, Definitions and Acronyms

- Keep all members healthy by focusing on wellness and prevention services;
  - Identify and manage care and services for members with high and rising risk;
  - Ensure effective transition planning across delivery systems or settings, through care coordination and other means, to minimize patient risk and ensure appropriate clinical outcomes for the member; and
  - Identify and mitigate member access, experience, and clinical outcome disparities by race, ethnicity, and language to advance health equity.
19. **Screening** is a brief process or questionnaire for examining the possible presence of a particular risk factor or problem to determine whether a more in-depth assessment is needed in a specific area of concern.
20. **Social drivers of health (SDOH)** are the environments in which people are born, live, learn, work, play, worship, and age that affect a wide range of health functioning and quality-of-life outcomes and risk factors.
21. **Transitional care services (TCS)** are services provided to all members transferring from one institutional care setting or level of care to another institution or lower level of care (including home settings).
22. **Wellness and prevention programs** are programs that aim to prevent disease, disability, and other conditions; prolong life; promote physical and mental health and efficiency; and improve overall quality of life and well-being.

## Appendix 2: Upcoming Updates to All Plan Letters (APLs)

Topic Within PHM Framework	Existing APLs	Upcoming Updates and Timing
<p><b>PNA and forthcoming PHM Strategy</b></p>	<p><a href="#">APL 19-011</a> “Health Education and Cultural and Linguistic Population Needs Assessment”</p>	<ul style="list-style-type: none"> <li>• APL 19-01, which delineates current PNA requirements, will be superseded in early Q2 2023 with a new APL that will delineate requirements at a high-level for the new PHM Strategy and modified PNA. The new APL will also be accompanied by updates to the PHM Policy Guide that will be released later in 2023 and will provide more operational details for MCPs on how to implement both the PNA and PHM Strategy.</li> </ul>
<p><b>HRA/Risk Stratification/Care Management Plans</b></p>	<p><a href="#">APL 17-013</a> “Requirements for Health Risk Assessment of Medical Seniors and Persons with Disabilities”</p> <p><a href="#">APL 17-012</a> “Care Coordination Requirements for Managed Long-term Services and Supports”</p>	<ul style="list-style-type: none"> <li>• APL 17-013 and APL 17-012 were superseded by <a href="#">APL 22-024</a>. Specific requirements from these APLs that still apply to MCPs are outlined within this PHM Policy Guide.</li> </ul>
<p><b>Initial Health Assessment and IHEBA/SHA</b></p>	<p><a href="#">PL 08-003</a> “Initial Comprehensive Assessment”</p>	<ul style="list-style-type: none"> <li>• PL 08-003 was superseded by <a href="#">APL 22-030</a>.</li> </ul>
	<p><a href="#">APL 13-017</a> “Staying Healthy Assessment/ Individual Education Behavioral Assessment for Enrollees from Low-</p>	<ul style="list-style-type: none"> <li>• APL 13-017 was superseded by <a href="#">APL 22-030</a> since the IHEBA/SHAs are eliminated.</li> </ul>

Topic Within PHM Framework	Existing APLs	Upcoming Updates and Timing
	Income Health Program”	
	<p><a href="#">PL 13-001 revised</a>  “Requirements for the Staying Healthy Assessment/ Individual Education Behavioral Assessment for Enrollees from Low-Income Health Program”</p>	<ul style="list-style-type: none"> <li>• PL 13-001 was superseded by <a href="#">APL 22-030</a> since IHEBA/SHAs are eliminated.</li> </ul>
	<p><a href="#">APL 16-014</a>  “Comprehensive Tobacco Prevention and Cessation Services for Medi-Cal Beneficiaries”</p>	<ul style="list-style-type: none"> <li>• This APL will be superseded to decouple requirements from outdated IHEBA/SHA requirements.</li> </ul>
	<p><a href="#">APL 18-004</a>  “Immunization Requirements”</p> <p><a href="#">APL 20-004</a>  “Emergency Guidance for Medi-Cal Managed Care Plans in Response to COVID-19”</p>	<ul style="list-style-type: none"> <li>• No changes to APL 18-004 and APL 20-004.</li> </ul>



## Appendix 3: Standardized Long-Term Services and Supports (LTSS) Referral Questions

These standardized LTSS referral questions from APL 17-013 will continue to be required for MCPs or their delegates to use to assess members who may need LTSS. The questions are organized in the following two tiers, and MCPs must take a holistic view of questions in both tiers and identify members in need of follow-up assessment:

- Tier 1 contains questions directly related to LTSS eligibility criteria and should trigger a follow-up assessment to determine if the beneficiary is eligible for LTSS services.
- Tier 2 contains questions that identify contributory risk factors, which would put a beneficiary at higher risk for needing LTSS services when combined with risk factors identified in Tier 1.

The headings in italics are not part of the questions but provide the intent of the questions.

### Tier 1 LTSS Questions:

*Activities of Daily Living Functional Limitations/Instrumental Activities of Daily Living Limitations/Functional Supports (Functional Capacity Risk Factor)*

Question 1: Do you need help with any of these actions? (Yes/No to each individual action)

- a) Taking a bath or shower
- b) Going up stairs
- c) Eating
- d) Getting dressed
- e) Brushing teeth, brushing hair, shaving
- f) Making meals or cooking
- g) Getting out of a bed or a chair
- h) Shopping and getting food
- i) Using the toilet
- j) Walking
- k) Washing dishes or clothes
- l) Writing checks or keeping track of money
- m) Getting a ride to the doctor or to see your friends
- n) Doing house- or yardwork
- o) Going out to visit family or friends
- p) Using the phone
- q) Keeping track of appointments

If yes, are you getting all the help you need with these actions?

*Housing Environment/Functional Supports (Social Determinants Risk Factor)*

Question 2: Can you live safely and move easily around in your home? (Yes/No) If no, does the place where you live have: (Yes/No to each individual item)

- a) Good lighting
- b) Good heating
- c) Good cooling
- d) Rails for any stairs or ramps
- e) Hot water
- f) Indoor toilet
- g) A door to the outside that locks
- h) Stairs to get into your home or stairs inside your home
- i) Elevator
- j) Space to use a wheelchair
- k) Clear ways to exit your home

*Low Health Literacy (Social Determinants Risk Factor)*

Question 3: "I would like to ask you about how you think you are managing your health conditions"

- a) Do you need help taking your medicines? (Yes/No)
- b) Do you need help filling out health forms? (Yes/No)
- c) Do you need help answering questions during a doctor's visit? (Yes/No)

*Caregiver Stress (Social Determinants Risk Factor)*

Question 4: Do you have family members or others willing and able to help you when you need it? (Yes/No)

Question 5: Do you ever think your caregiver has a hard time giving you all the help you need? (Yes/No)

*Abuse and Neglect (Social Determinants Risk Factor)*

Question 6a: Are you afraid of anyone, or is anyone hurting you? (Yes/No)

Question 6b: Is anyone using your money without your okay? (Yes/No)

*Cognitive Impairment (Functional Capacity, Medical Conditions, Behavioral Health Condition Risk Factor)*

Question 7: Have you had any changes in thinking, remembering, or making decisions? (Yes/No)

Tier 2 LTSS Questions:

*Fall Risk (Functional Capacity Risk Factor)*

Question 8a: Have you fallen in the last month? (Yes/No)

Question 8b: Are you afraid of falling? (Yes/No)

*Financial Insecurity or Poverty (Social Determinants Risk Factor)*

Question 9: Do you sometimes run out of money to pay for food, rent, bills, and medicine? (Yes/No)

*Isolation (Social Determinants Risk Factor)*

Question 10: Over the past month (30 days), how many days have you felt lonely?  
(Check one)

- None – I never feel lonely
- Less than five days
- More than half the days (more than 15)
- Most days – I always feel lonely

## Appendix 4: List of Quality Measures and Descriptions for PHM Monitoring Approach

NQF# / Measure Acronym	Steward	Quality Measures	Descriptions (Please Refer to NCQA for Detailed Technical Specifications)
NA (DSF-E)	NCQA	<b>Depression Screening and Follow-Up for Adolescents and Adults</b>	<p>The percentage of members 12 years of age and older who were screened for clinical depression using a standardized instrument and, if screened positive, received follow-up care.</p> <ul style="list-style-type: none"> <li>• Depression Screening. The percentage of members who were screened for clinical depression using a standardized instrument.</li> <li>• Follow-Up on Positive Screen. The percentage of members who received follow-up care within 30 days of a positive depression screen finding.</li> </ul>
1392 (W30-6+)	NCQA	<b>Well-Child Visits in the First 30 Months of Life – 0 to 15 Months – Six or More Well-Child Visits</b>	Assesses children who turned 15 months old during the measurement year and had at least six well-child visits with a primary care physician during their first 15 months of life.
1392 (W30-2+)	NCQA	<b>Well-Child Visits in the First 30 Months of Life - 15 to 30 Months – Two or More Well-Child Visits</b>	Assesses children who turned 30 months old during the measurement year and had at least two well-child visits with a primary care physician in the last 15 months.
1516 (WCV)	NCQA	<b>Child and Adolescent Well-Care Visits</b>	Assesses children 3–21 years of age who received one or more well-care visit with a primary care practitioner or an OB/GYN practitioner during the measurement year.
1448 (DEV)	OHSU	<b>Developmental Screening for the First Three Years of Life</b>	For members 1-3 years of age, percentage of children screened for risk of developmental, behavioral, and social delays

NQF# / Measure Acronym	Steward	Quality Measures	Descriptions (Please Refer to NCQA for Detailed Technical Specifications)
			using a standardized screening tool in the 12 months preceding or on their first, second or third birthday.
NA (LSC)	NCQA	<b>Lead Screening for Children</b>	The percentage of children 2 years of age who had one or more capillary or venous lead blood test for lead poisoning by their second birthday.
0038 (CIS-10)	NCQA	<b>Childhood Immunization Status: Combination 10</b>	The percentage of children 2 years of age who had a four diphtheria, tetanus and acellular pertussis (DTaP); three polio (IPV); one measles, mumps and rubella (MMR); three haemophilus influenza type B (HiB); three hepatitis B (HepB), one chicken pox (VZV); four pneumococcal conjugate (PCV); one hepatitis A (HepA); two or three rotavirus (RV); and two influenza (flu) vaccines by their second birthday. The measure calculates a rate for each vaccine and nine separate combination rates.
1407 (IMA-2)	NCQA	<b>Immunizations for Adolescents: Combination 2</b>	Assesses adolescents 13 years of age who had one dose of meningococcal vaccine, one Tdap vaccine and the complete human papillomavirus vaccine series by their 13th birthday.
2528 (TFL-CH)	DQA	<b>Topical Fluoride for Children</b>	Percentage of enrolled children ages 1 through 20 who received at least two topical fluoride applications as: (1) dental or oral health services, (2) dental services, and (3) oral health services within the measurement year.
NA (PND-E)	NCQA	<b>Prenatal Depression Screening and Follow Up</b>	The percentage of deliveries in which members were screened for clinical depression while pregnant and, if screened positive, received

NQF# / Measure Acronym	Steward	Quality Measures	Descriptions (Please Refer to NCQA for Detailed Technical Specifications)
			<p>follow-up care. Two rates are reported.</p> <ul style="list-style-type: none"> <li>• <b>Depression Screening:</b> The percentage of deliveries in which members were screened for clinical depression during pregnancy using a standardized instrument.</li> <li>• <b>Follow-Up on Positive Screen:</b> The percentage of deliveries in which members received follow-up care within 30 days of screening positive for depression.</li> </ul>
NA (PDS-E)	NCQA	<b>Postpartum Depression Screening and Follow Up</b>	<p>The percentage of deliveries in which members were screened for clinical depression during the postpartum period, and if screened positive, received follow-up care. Two rates are reported.</p> <ul style="list-style-type: none"> <li>• <b>Depression Screening:</b> The percentage of deliveries in which members were screened for clinical depression using a standardized instrument during the prenatal period.</li> <li>• <b>Follow-Up on Positive Screen:</b> The percentage of deliveries in which members received follow-up care within 30 days of a positive depression screen finding.</li> </ul>
0034 (COL-E)	NCQA	<b>Colorectal Cancer Screening</b>	<p>Assesses adults 50–75 who had appropriate screening for colorectal cancer with any of the following tests: annual fecal occult blood test, flexible sigmoidoscopy every 5 years, colonoscopy every 10 years, computed tomography</p>

NQF# / Measure Acronym	Steward	Quality Measures	Descriptions (Please Refer to NCQA for Detailed Technical Specifications)
			colonography every 5 years, stool DNA test every 3 years.
0033 (CHL)	NCQA	<b>Chlamydia Screening in Women</b>	The percentage of women 16–24 years of age who were identified as sexually active and who had at least one test for chlamydia during the measurement year.
NA (BCS-E)	NCQA	<b>Breast Cancer Screening</b>	Assesses women 50–74 years of age who had at least one mammogram to screen for breast cancer in the past two years.
0032 (CCS)	NCQA	<b>Cervical Cancer Screening</b>	Assesses women who were screened for cervical cancer using any of the following criteria: <ul style="list-style-type: none"> <li>• Women 21–64 years of age who had cervical cytology performed within the last 3 years.</li> <li>• Women 30–64 years of age who had cervical high-risk human papillomavirus (hrHPV) testing performed within the last 5 years.</li> <li>• Women 30–64 years of age who had cervical cytology/high-risk human papillomavirus (hrHPV) cotesting within the last 5 years.</li> </ul>
NA (AMB-ED)	NCQA	<b>Ambulatory Care: Emergency Department (ED) Visits</b>	Assesses ED utilization, which tracks the number of ED visits.  ED visits is defined as: each visit to an ED is counted once, regardless of the intensity or duration of the visit. Count multiple ED visits on the same date of service as one visit. Identify ED visits using either of the following: <ul style="list-style-type: none"> <li>• An ED visit (ED Value Set).</li> </ul>



NQF# / Measure Acronym	Steward	Quality Measures	Descriptions (Please Refer to NCQA for Detailed Technical Specifications)
			<ul style="list-style-type: none"> <li>• A procedure code (ED Procedure Code Value Set) with an ED place of service code (ED POS Value Set).</li> </ul>
NA (AAP)	NCQA	<b>Adults' Access to Preventive/Ambulatory Health Services</b>	The percentage of members 20 years and older who had an ambulatory or preventive care visit.
NA (DRR)	NCQA	<b>Depression Remission or Response for Adolescents and Adults</b>	<p>The percentage of members 12 years of age and older with a diagnosis of depression and an elevated PHQ-9 score, who had evidence of response or remission within 4–8 months of the elevated score.</p> <ul style="list-style-type: none"> <li>• Follow-Up PHQ-9. The percentage of members who have a follow-up PHQ-9 score documented within 4–8 months after the initial elevated PHQ-9 score.</li> <li>• Depression Remission. The percentage of members who achieved remission within 4–8 months after the initial elevated PHQ-9 score.</li> <li>• Depression Response. The percentage of members who showed response within 4–8 months after the initial elevated <b>PHQ-9 score</b>.</li> </ul>
1800 (AMR)	NCQA	<b>Asthma Medication Ratio</b>	Assesses adults and children 5–64 years of age who were identified as having persistent asthma and had a ratio of controller medications to total asthma medications of 0.50 or greater during the measurement year.

NQF# / Measure Acronym	Steward	Quality Measures	Descriptions (Please Refer to NCQA for Detailed Technical Specifications)
0059 (HBD)	NCQA	<b>Hemoglobin A1c Control for Patients With Diabetes – HbA1c Poor Control (&gt;9%)</b>	Assesses adults 18–75 years of age with diabetes (type 1 and type 2) who had each of the following: HbA1c poor control (>9.0%).
0018 (CBP)	NCQA	<b>Controlling High Blood Pressure</b>	Assesses adults 18–85 years of age who had a diagnosis of hypertension and whose blood pressure was adequately controlled (<140/90 mm Hg).
0105 (AMM-Acute)	NCQA	<b>Antidepressant Medication Management: Acute Phase Treatment</b>	Assesses adults 18 years of age and older with a diagnosis of major depression who were newly treated with antidepressant medication and remained on their antidepressant medications. <i>Effective Acute Phase Treatment:</i> Adults who remained on an antidepressant medication for at least 84 days (12 weeks).
0105 (AMM-Cont)	NCQA	<b>Antidepressant Medication Management: Continuation Phase Treatment</b>	Assesses adults 18 years of age and older with a diagnosis of major depression who were newly treated with antidepressant medication and remained on their antidepressant medications. <i>Effective Continuation Phase Treatment:</i> Adults who remained on an antidepressant medication for at least 180 days (6 months).
0108 (ADD-Init)	NCQA	<b>Follow-Up Care for Children Prescribed ADHD Medication: Initiation Phase</b>	<i>Initiation Phase:</i> Assesses children between 6 and 12 years of age who were diagnosed with ADHD and had one follow-up visit with a practitioner with prescribing authority within 30 days of their first prescription of ADHD medication.
0108 (ADD-C&M)	NCQA	<b>Follow-Up Care for Children Prescribed ADHD Medication: Continuation and Maintenance Phase</b>	<i>Continuation and Maintenance Phase:</i> Assesses children between 6 and 12 years of age who had a prescription for ADHD medication and remained on the medication for at least 210 days

NQF# / Measure Acronym	Steward	Quality Measures	Descriptions (Please Refer to NCQA for Detailed Technical Specifications)
			and had at least two follow-up visits with a practitioner in the 9 months after the Initiation Phase.
NA (POD)	NCQA	<b>Pharmacotherapy for Opioid Use Disorder</b>	Assesses the percentage of opioid use disorder (OUD) pharmacotherapy treatment events among members age 16 and older that continue for at least 180 days (6 months).
3489 (FUM)	NCQA	<b>Follow-Up after ED Visit for Mental Illness - 30 days</b>	Assesses emergency department (ED) visits for adults and children 6 years of age and older with a diagnosis of mental illness or intentional self-harm and who received a follow-up visit for mental illness within 30 days.
3488 (FUA)	NCQA	<b>Follow-Up after ED Visit for Substance Use - 30 day</b>	Assesses emergency department (ED) visits for members 13 years of age and older with a principal diagnosis of alcohol or other drug (AOD) abuse or dependence, who had a follow up visit for AOD. <ul style="list-style-type: none"> <li>ED visits for which the member received follow-up within 30 days of the ED visit (31 total days).</li> </ul>
1768 (PCR)	NCQA	<b>Plan All-Cause Readmissions</b>	Assesses the rate of adult acute inpatient and observation stays that were followed by an unplanned acute readmission for any diagnosis within 30 days after discharge among commercial (18 to 64), Medicaid (18 to 64) and Medicare (18 and older) health plan members. As well as reporting observed rates, NCQA also specifies that plans report a predicted probability of readmission to account for the prior and current health of the member, among other factors. A separate readmission rate for hospital stays discharged to a

NQF# / Measure Acronym	Steward	Quality Measures	Descriptions (Please Refer to NCQA for Detailed Technical Specifications)
			skilled nursing facility among members aged 65 and older is reported for Medicare plans. The observed rate and predicted probability is used to calculate a calibrated observed-to-expected ratio that assesses whether plans had more, the same or less readmissions than expected, while accounting for incremental improvements across all plans over time. The observed-to-expected ratio is multiplied by the readmission rate across all health plans to produce a risk-standardized rate which allows for national comparison.
NA (PPR)	CMS	<b>Potentially Preventable 30-day Post-Discharge Readmission</b>	Assesses readmissions during a 30-day period after discharge from the post-acute care provider (LTC reporting only)
1517 (PPC-Pst)	NCQA	<b>Prenatal and Postpartum Care: Postpartum Care</b>	<i>Postpartum Care.</i> The percentage of deliveries in which women had a postpartum visit on or between 7 and 84 days after delivery.
1517 (PPC-Pre)	NCQA	<b>Prenatal and Postpartum Care: Timeliness of Prenatal Care</b>	<i>Timeliness of Prenatal Care.</i> The percentage of deliveries in which women had a prenatal care visit in the first trimester, on or before the enrollment start date or within 42 days of enrollment in the organization.
NA (NTSV CB)	The Joint Commission (TJC)	<b>Nulliparous, Term, Singleton, Vertex (NTSV) Cesarean Birth Rate</b>	Identifies the proportion of live babies born at or beyond 37.0 weeks gestation to women in their first pregnancy, that are singleton (no twins or beyond) and in the vertex presentation (no breech or transverse positions), via cesarean birth
0006	Agency for Healthcare	<b>CAHPS: Getting Needed Care (Adult and Child)</b>	The survey asked enrollees how often it was easy for them to get appointments with specialists and

NQF# / Measure Acronym	Steward	Quality Measures	Descriptions (Please Refer to NCQA for Detailed Technical Specifications)
	Research and Quality		get the care, tests, or treatment they needed through their health plan.
0006	Agency for Healthcare Research and Quality	<b>CAHPS: Getting Care Quickly (Adult and Child)</b>	The survey asked enrollees how often they got care as soon as needed when sick or injured and got non-urgent appointments as soon as needed.

## Appendix 5: List of KPIs and Technical Specifications for PHM Monitoring Approach

KPIs to be reported starting in August 2023	PHM Program Area	Definitions
Percentage of members who had more ED visits than primary care visits within a 12-month period	BPHM - Primary Care Engagement/ Appropriate Utilization	<b>Numerator:</b> The number of members who have more ED visits than primary care visits within a 12-month period. <b>Denominator:</b> The total number of enrolled members in the MCP.
Percentage of members who had at least one primary care visit within a 12-month period	BPHM - Primary Care Engagement/ Appropriate Utilization	<b>Numerator:</b> The number of members who had at least one PCP visit within a 12-month period. <b>Denominator:</b> The total number of enrolled members in the MCP.
Percentage of members with no ambulatory or preventive visit within a 12-month period	BPHM - Primary Care Engagement/ Appropriate Utilization	<b>Numerator:</b> The number of members who no ambulatory or preventive visit within a 12-month period. <b>Denominator:</b> The total number of enrolled members in the MCP.
Percentage of members who received CHW benefit	BPHM - CHW Integration	<b>Numerator:</b> The number of unique members who had at least one CHW benefit encounter during the reporting period. <b>Denominator:</b> The total number of enrolled members in the MCP during the reporting period.
Percentage of members eligible for CCM who are successfully enrolled in the CCM program	CCM	<b>Rate A Numerator:</b> The number of members who are enrolled in CCM for 1 or more days during the Measurement Period. <b>Rate A Denominator:</b> The number of members eligible for CCM for 1 or more days during the Measurement Period.  <b>Rate B Numerator:</b> The number of members who are enrolled in CCM for 1 or more days during the Measurement Period, excluding those members who were enrolled in CCM for 1 or more days during the previous Measurement Period. <b>Rate B Denominator:</b> The number of members eligible for CCM for 1 or more days

KPIs to be reported starting in August 2023	PHM Program Area	Definitions
		during the Measurement Period, excluding those members who were enrolled in CCM for 1 or more days during the previous Measurement Period.
Percentage of members enrolled in ECM	ECM	<b>Numerator:</b> The number of members who are enrolled in ECM. <b>Denominator:</b> The total number of enrolled members in the MCP.
Percentage of members enrolled in ECM "Individuals Experiencing Homelessness" Population of Focus (POF)	ECM	<b>Numerator:</b> The number of members who are enrolled in ECM "Individuals Experiencing Homelessness" POF. <b>Denominator:</b> The total number of enrolled members in the MCP.
Percentage of members enrolled in ECM "Individuals At Risk for Avoidable Hospital or ED Utilization" POF	ECM	<b>Numerator:</b> The number of members who are enrolled in ECM "Individuals At Risk for Avoidable Hospital or ED Utilization" POF. <b>Denominator:</b> The total number of enrolled members in the MCP.
Percentage of members enrolled in ECM "Individuals with Serious Mental Health and/or Substance Use Disorder (SUD) Needs" POF	ECM	<b>Numerator:</b> The number of members who are enrolled in ECM "Individuals with Serious Mental Health and/or Substance Use Disorder (SUD)" POF. <b>Denominator:</b> The total number of enrolled members in the MCP.
Percentage of members enrolled in ECM "Individuals Transitioning from Incarceration" POF	ECM	<b>Numerator:</b> The number of members who are enrolled in ECM "Individuals Transitioning from Incarceration" POF. <b>Denominator:</b> The total number of enrolled members in the MCP.
Percentage of members enrolled in ECM "Adults Living in the Community and At Risk for LTC Institutionalization" POF	ECM	<b>Numerator:</b> The number of members who are enrolled in ECM "Adults Living in the Community and At Risk for LTC Institutionalization" POF. <b>Denominator:</b> The total number of enrolled members in the MCP.



KPIs to be reported starting in August 2023	PHM Program Area	Definitions
Percentage of members enrolled in ECM "Adult Nursing Facility Residents Transitioning to the Community" POF	ECM	<p><b>Numerator:</b> The number of members who are enrolled in ECM "Adult Nursing Facility Residents Transitioning to the Community" POF.</p> <p><b>Denominator:</b> The total number of enrolled members in the MCP.</p>
Percentage of members enrolled in all ECM Children and Youth POFs	ECM	<p><b>Numerator:</b> The number of members who are enrolled in all ECM "Children and Youth" POFs.</p> <p><b>Denominator:</b> The total number of members under 21 enrolled in the MCP.</p>
Percentage of members enrolled in all ECM "Homeless Families or Unaccompanied Children/Youth Experiencing Homelessness" POF	ECM	<p><b>Numerator:</b> The number of members who are enrolled in all ECM "Homeless Families or Unaccompanied Children/Youth Experiencing Homelessness" Children and Youth POFs.</p> <p><b>Denominator:</b> The total number of members under 21 enrolled in the MCP.</p>
Percentage of members enrolled in ECM "Children and Youth At Risk for Avoidable Hospital or ED Utilization" POF	ECM	<p><b>Numerator:</b> The number of members who are enrolled in ECM "Children and Youth At Risk for Avoidable Hospital or ED Utilization" POF.</p> <p><b>Denominator:</b> The total number of members under 21 enrolled in the MCP.</p>
Percentage of members enrolled in ECM "Children and Youth with Serious Mental Health and/or SUD Needs" POF	ECM	<p><b>Numerator:</b> The number of members who are enrolled in ECM "Children and Youth with Serious Mental Health and/or SUD Needs" POF.</p> <p><b>Denominator:</b> The total number of members under 21 enrolled in the MCP.</p>
Percentage of members enrolled in ECM "Children and Youth Transitioning from Incarceration" POF	ECM	<p><b>Numerator:</b> The number of members who are enrolled in ECM "Children and Youth Transitioning from Incarceration" POF.</p> <p><b>Denominator:</b> The total number of members under 21 enrolled in the MCP.</p>
Percentage of members enrolled in ECM "Children and Youth Enrolled in California Children's	ECM	<p><b>Numerator:</b> The number of members who are enrolled in ECM "Children and Youth Enrolled in California Children's Services (CCS) or CCS Whole Child Model (WCM) with Additional Needs Beyond the CCS Condition" POF.</p>

KPIs to be reported starting in August 2023	PHM Program Area	Definitions
Services (CCS) or CCS Whole Child Model (WCM) with Additional Needs Beyond the CCS Condition” POF		<b>Denominator:</b> The total number of members under 21 enrolled in the MCP.
Percentage of members enrolled in ECM “Children and Youth Involved in Child Welfare” POF	ECM	<b>Numerator:</b> The number of members who are enrolled in ECM “Children and Youth Involved in Child Welfare” POF. <b>Denominator:</b> The total number of members under 21 enrolled in the MCP.
Percentage of contracted acute care facilities from which MCPs receive ADT notifications	Transitional Care Services	<b>Numerator:</b> The number of general contracted acute facilities from which MCPs receive ADT feeds. <b>Denominator:</b> The total number of contracted general acute facilities.
Percentage of contracted skilled nursing facilities from which MCPs receive ADT notifications	Transitional Care Services	<b>Numerator:</b> The number of contracted skilled nursing facilities from which MCPs receive ADT feeds. <b>Denominator:</b> The total number of contracted skilled nursing facilities. <b>Skilled Nursing Facilities exclude intermediate care facilities/developmentally disabled (ICF/DD)</b>
Percentage of transitions for high-risk members that had at least one interaction with their assigned care manager within 7 days post discharge	Transitional Care Services	<b>Numerator:</b> The number of transitions for high-risk members during the Intake Period followed by at least one interaction with their assigned care manager within 7 days of post discharge. <b>Denominator:</b> The number of transitions for high-risk members during the Intake Period.
Percentage of acute hospital stay discharges who had follow-up ambulatory visits within 7 days post hospital discharge	Transitional Care Services	<b>Numerator:</b> The number of acute care hospital live discharges among enrolled MCP members during the measurement period with an ambulatory visit within 7 days post hospital discharge. <b>Denominator:</b> The number of live discharges from acute care hospitals among enrolled MCP members during the measurement period.

DHCS will leverage data that MCPs already report on where possible for PHM monitoring. Below are the KPIs DHCS will leverage from IPP and [ECM QMIR](#):

**IPP:**

- Percentage of members who received CHW benefit
- Percentage of contracted acute care facilities from which MCPs receive ADT notifications
- Percentage of contracted skilled nursing facilities from which MCPs receive ADT notifications
- Percentage of acute hospital stay discharges which had follow-up ambulatory visits within 7 days post hospital discharge.

**ECM:**

- Percentage of members enrolled in ECM
- Percentage of members enrolled in ECM "Individuals Experiencing Homelessness" Population of Focus (POF)
- Percentage of members enrolled in ECM "Individuals At Risk for Avoidable Hospital or ED Utilization" POF
- Percentage of members enrolled in ECM "Individuals with Serious Mental Health and/or Substance Use Disorder (SUD) Needs" POF
- Percentage of members enrolled in ECM "Individuals Transitioning from Incarceration" POF
- Percentage of members enrolled in ECM "Adults Living in the Community and At Risk for LTC Institutionalization" POF
- Percentage of members enrolled in ECM "Adult Nursing Facility Residents Transitioning to the Community" POF
- Percentage of members enrolled in ECM "Homeless Families or Unaccompanied Children/Youth Experiencing Homelessness" POF
- Percentage of members enrolled in ECM "Children and Youth At Risk for Avoidable Hospital or ED Utilization" POF
- Percentage of members enrolled in ECM "Children and Youth with Serious Mental Health and/or SUD Needs" POF
- Percentage of members enrolled in ECM "Children and Youth Transitioning from Incarceration" POF
- Percentage of members enrolled in ECM "Children and Youth Enrolled in California Children's Services (CCS) or CCS Whole Child Model (WCM) with Additional Needs Beyond the CCS Condition" POF
- Percentage of members enrolled in ECM "Children and Youth Involved in Child Welfare" POF
- Percentage of members enrolled in all ECM Children and Youth POFs

**MCPs are required to submit data for the five new KPIs following the technical specifications outlined below.**

## PHM KPI 1: Members Utilizing Emergency Department Care More than Primary Care

### Description

The number and percentage of members who had more emergency department (ED) visits than primary care visits within a 12-month period.

### Definitions

<b>Measurement Period</b>	The 12-month period beginning 15 months prior to the time of reporting. For instance, if submitting on August 15, 2023, the measurement period would start on May 15, 2022, and end on May 14, 2023.
<b>ED Visit</b>	An ED visit as defined by the NCQA <a href="#">ED Value Set</a> .
<b>Primary Care Provider</b>	<p>Primary care is defined by DHCS as care usually rendered in ambulatory settings by Primary Care Providers (PCP) and emphasizes the Member's preventive health needs, general health needs, and chronic disease management.</p> <p>A PCP is a Provider responsible for supervising, coordinating, and providing initial and primary care to Members, for initiating referrals, for maintaining the continuity of Member care, and for serving as the Medical Home for Members. The PCP is a general practitioner, internist, pediatrician, family practitioner, non-physician medical practitioner, or obstetrician-gynecologist (OB-GYN).</p>
<b>Primary Care Visit</b>	A primary care visit is defined as an ambulatory or preventive visit delivered by a Primary Care Provider, as identified in the methodology below. For the purposes of this KPI, a primary care visit does not have to be with a member's assigned PCP.

### Eligible Population

<b>Ages</b>	Report total rate and age stratifications as required for all PHM KPI submissions. The total rate is calculated by considering members of all ages.
<b>Continuous Enrollment</b>	There are no continuous enrollment criteria for this measure. The count of members for the measure should be a point-in-time count at the time of submission.
<b>Required Exclusion</b>	Members in hospice or using hospice services anytime during the Measurement Period.

### Administrative Specification

<b>Denominator</b>	<p>The total number of enrolled members in the Managed Care Plan at the time of submission.</p> <p>To exclude members in hospice or using hospice services during the measurement period, use the following NCQA value sets:</p> <ul style="list-style-type: none"> <li>• <a href="#">Hospice Encounter Value Set</a></li> </ul>
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	<ul style="list-style-type: none"> <li>• <u>Hospice Intervention Value Set</u></li> </ul>												
<b>Numerator</b>	<p>The number of enrolled members who have had more ED visits than Primary Care Visits within a 12-month period.</p> <p>For each member, determine:</p> <p><u>ED Visits:</u> Use the NCQA <u>ED Value Set</u> to calculate the number of ED visits in the Measurement Period for each member.</p> <p><u>Primary Care Visits</u> Use the following steps to calculate the number of <u>Primary Care Visits</u> in Measurement Period for each member.</p> <p><u>Step 1:</u> Use the following NCQA value sets to identify ambulatory or preventive care visits in the last 12 months for each member:</p> <ul style="list-style-type: none"> <li>• <u>Ambulatory Visits Value Set.</u></li> <li>• <u>Other Ambulatory Visits Value Set.</u></li> <li>• <u>Telephone Visits Value Set.</u></li> <li>• <u>Online Assessments Value Set.</u></li> <li>• <u>Well-Care Value Set</u></li> </ul> <p><u>Step 2:</u> Of these visits, identify those visits conducted by primary care providers based on National Provider Identifier (NPI) information. Exclude all visits that do not meet <b>either</b> of these NPI attributions for primary care providers:</p> <ul style="list-style-type: none"> <li>• The NPI of the rendering <b>or</b> billing provider of the visit is flagged as a primary care provider on at least one of the monthly <u>274 Provider Files</u> that the Managed Care Plan submits to DHCS during the Measurement Period.</li> </ul> <p style="text-align: center;"><b>OR</b></p> <ul style="list-style-type: none"> <li>• The NPI of the rendering <b>or</b> billing provider of the visit is represented in the <u>National Plan and Provider Enumeration System (NPPES)</u> as being a primary care provider, as defined by the following provider types by the first four digits of their taxonomy codes in the claim or encounter data for the visit:</li> </ul> <table border="1" data-bbox="508 1625 1416 1892"> <thead> <tr> <th data-bbox="508 1625 1036 1703">Provider Type</th> <th data-bbox="1036 1625 1416 1703">First Digits of Taxonomy</th> </tr> </thead> <tbody> <tr> <td data-bbox="508 1703 1036 1738">General practitioner</td> <td data-bbox="1036 1703 1416 1738">207D</td> </tr> <tr> <td data-bbox="508 1738 1036 1774">Internist</td> <td data-bbox="1036 1738 1416 1774">207R</td> </tr> <tr> <td data-bbox="508 1774 1036 1810">Pediatrician</td> <td data-bbox="1036 1774 1416 1810">2080</td> </tr> <tr> <td data-bbox="508 1810 1036 1845">Family practitioner</td> <td data-bbox="1036 1810 1416 1845">207Q</td> </tr> <tr> <td data-bbox="508 1845 1036 1892">Non-physician medical practitioner</td> <td data-bbox="1036 1845 1416 1892">363L, 363A</td> </tr> </tbody> </table>	Provider Type	First Digits of Taxonomy	General practitioner	207D	Internist	207R	Pediatrician	2080	Family practitioner	207Q	Non-physician medical practitioner	363L, 363A
Provider Type	First Digits of Taxonomy												
General practitioner	207D												
Internist	207R												
Pediatrician	2080												
Family practitioner	207Q												
Non-physician medical practitioner	363L, 363A												

	Obstetrician-gynecologist (OB-GYN)	207V																												
<p><b>Step 3:</b> Of remaining visits, identify visits delivered in a primary care setting. is a site of usual delivery of primary care, as defined the taxonomy code for Service Setting within the visit. Include only visits that have the following Service Settings:</p>																														
<table border="1"> <thead> <tr> <th data-bbox="506 487 1036 562">Service Setting</th> <th data-bbox="1036 487 1417 562">First Digits of Taxonomy</th> </tr> </thead> <tbody> <tr> <td data-bbox="506 562 1036 600">Community Health</td> <td data-bbox="1036 562 1417 600">261QC1500</td> </tr> <tr> <td data-bbox="506 600 1036 638">Corporate Health</td> <td data-bbox="1036 600 1417 638">261QC1800</td> </tr> <tr> <td data-bbox="506 638 1036 676">Health Service</td> <td data-bbox="1036 638 1417 676">261QH0100</td> </tr> <tr> <td data-bbox="506 676 1036 714">Migrant Health</td> <td data-bbox="1036 676 1417 714">261QM1000</td> </tr> <tr> <td data-bbox="506 714 1036 751">Primary Care</td> <td data-bbox="1036 714 1417 751">261QP2300</td> </tr> <tr> <td data-bbox="506 751 1036 789">Public Health, State or Local</td> <td data-bbox="1036 751 1417 789">261QP0905</td> </tr> <tr> <td data-bbox="506 789 1036 827">Student Health</td> <td data-bbox="1036 789 1417 827">261QS1000</td> </tr> <tr> <td data-bbox="506 827 1036 865">Critical Access Hospital</td> <td data-bbox="1036 827 1417 865">261QC0050</td> </tr> <tr> <td data-bbox="506 865 1036 903">Medical Specialty</td> <td data-bbox="1036 865 1417 903">261QM2500</td> </tr> <tr> <td data-bbox="506 903 1036 940">Multi-Specialty</td> <td data-bbox="1036 903 1417 940">261Q1300X</td> </tr> <tr> <td data-bbox="506 940 1036 1016">Clinic/Center Not Otherwise Specified</td> <td data-bbox="1036 940 1417 1016">261Q00000</td> </tr> <tr> <td data-bbox="506 1016 1036 1054">Federally Qualified Health Center</td> <td data-bbox="1036 1016 1417 1054">261QF0400</td> </tr> <tr> <td data-bbox="506 1054 1036 1094">Rural Health</td> <td data-bbox="1036 1054 1417 1094">261QR1300</td> </tr> </tbody> </table>			Service Setting	First Digits of Taxonomy	Community Health	261QC1500	Corporate Health	261QC1800	Health Service	261QH0100	Migrant Health	261QM1000	Primary Care	261QP2300	Public Health, State or Local	261QP0905	Student Health	261QS1000	Critical Access Hospital	261QC0050	Medical Specialty	261QM2500	Multi-Specialty	261Q1300X	Clinic/Center Not Otherwise Specified	261Q00000	Federally Qualified Health Center	261QF0400	Rural Health	261QR1300
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<p><b>Step 4:</b> Sum the identified primary care visits, representing the total number of <u>Primary Care Visits</u> during the measurement period for each member.</p>																														
<p><b>Step 5:</b> identify the number of members for whom the number of <u>ED Visits</u> is greater than the number of <u>Primary Care Visits</u> during the Measurement Period.</p>																														

**Data Elements for Calculation and Reporting**

Report at the plan-level both the count and percentage of total enrolled members, including by the required stratifications below, for whom the number of ED visits is greater than the number of Primary Care Visits within a 12-month period.

Stratify data by:

(1) Age:

- a. Birth-5 years, 6-11 years, 12-20 years, 21-64 year, 65 years and older
 

*Note:* For age-based stratification, use the member’s age at the end of the measurement period. For example, if someone turns 12 years old before the end of the reporting period, they would be stratified in the “12-20 years” group. If someone turns 12 years old after the end of the reporting period, they should be stratified in the “6-11 years” group.

- (2) Race: Report only one of the following 9 categories for race
  - a. White
  - b. Black or African American
  - c. American Indian and Alaska Native
  - d. Asian
  - e. Native Hawaiian and Other Pacific Islander
  - f. Some Other Race
  - g. Two or More Races
  - h. Asked but No Answer
  - i. Unknown
- (3) Ethnicity: Report only one of the following 4 categories for ethnicity per member
  - a. Hispanic/Latino
  - b. Not Hispanic/Latino
  - c. Asked but No Answer
  - d. Unknown
- (4) Language: Report on the member's primary spoken language (one language per member)
  - a. English
  - b. Spanish
  - c. Most prevalent language spoken by Managed Care Plan members other than English or Spanish (Managed Care Plan to Identify)
  - d. Other languages

For the Total Rate and each reporting stratum, specify both the absolute number of members in the numerator and denominator and the percentage calculated by dividing the numerator by the denominator.

#### **Notes; Alignment with Other DHCS Reporting Initiatives**

This KPI aligns with value sets used in other measures required for reporting to DHCS as referenced above, especially the NCQA Value Sets:

- ED Value Set
- Ambulatory Visits Value Set
- Other Ambulatory Visits Value Set
- Telephone Visits Value Set
- Online Assessments Value Set
- Well-Care Value Set

DHCS will calculate this measure independently to compare with Managed Care Plan-reported rates. If there are discrepancies between Managed Care Plan-calculated and DHCS-calculated rates, DHCS will work with the MCP to obtain member-level data, meet with MCPs to learn more and ask questions about their PHM Program, or request to review additional policies and procedures.

## PHM KPI 2: Members Engaged in Primary Care

### Description

The number and percentage of members who had at least one primary care visit within a 12-month period.

### Definitions

<b>Measurement Period</b>	The 12-month period beginning 15 months prior to the time of reporting. For instance, if submitting on August 15, 2023, the measurement period would start on May 15, 2022, and end on May 14, 2023.
<b>Primary Care Visit</b>	An ambulatory or preventive visit delivered by a general practitioner in a general care setting, as defined by health care service categorization codes and place of service codes.
<b>Primary Care Provider</b>	<p>Primary care is defined by DHCS as care usually rendered in ambulatory settings by Primary Care Providers (PCP), and mid-level practitioners, and emphasizes the Member's general health needs as opposed to Specialists focusing on specific needs.</p> <p>A PCP is a Provider responsible for supervising, coordinating, and providing initial and primary care to Members, for initiating referrals, for maintaining the continuity of Member care, and for serving as the Medical Home for Members. The PCP is a general practitioner, internist, pediatrician, family practitioner, non-physician medical practitioner, or obstetrician-gynecologist (OB-GYN).</p>
<b>Primary Care Visit</b>	A primary care visit is defined as an ambulatory or preventive visit delivered by a Primary Care Provider, as identified in the methodology below. For the purposes of this KPI, a primary care visit does not have to be with a member's assigned PCP.

### Eligible Population

<b>Continuous Enrollment</b>	There are no continuous enrollment criteria for this measure. The count of members for the measure should be a point-in-time count at the time of submission.
<b>Ages</b>	Report total rate and age stratifications as required for all PHM KPI submissions. The total rate is calculated by considering members of all ages.
<b>Required Exclusion</b>	Members in hospice or using hospice services anytime during the Measurement Period.

### Administrative Specification

<b>Denominator</b>	The total number of enrolled members in the Managed Care Plan at the time of submission.
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<p>Numerator</p>	<p>The number of members who had one or more Primary Care Visit(s) within a 12-month period.</p> <p>Use the following steps to calculate the number of <u>Primary Care Visits</u> in Measurement Period for each member.</p> <p><u>Step 1:</u> Use the following NCQA value sets to identify ambulatory or preventive care visits in the last 12 months for each member:</p> <ul style="list-style-type: none"> <li>• <u>Ambulatory Visits Value Set.</u></li> <li>• <u>Other Ambulatory Visits Value Set.</u></li> <li>• <u>Telephone Visits Value Set.</u></li> <li>• <u>Online Assessments Value Set.</u></li> <li>• <u>Well-Care Value Set</u></li> </ul> <p><u>Step 2:</u> Of these visits, identify those visits conducted by primary care providers based on National Provider Identifier (NPI) information. Exclude all visits that do not meet <b>either</b> of these NPI attributions for primary care providers:</p> <ul style="list-style-type: none"> <li>• The NPI of the rendering <b>or</b> billing provider of the visit is flagged as a primary care provider on at least one of the monthly <u>274 Provider Files</u> that the Managed Care Plan submits to DHCS during the Measurement Period.</li> </ul> <p style="text-align: center;"><b>OR</b></p> <ul style="list-style-type: none"> <li>• The NPI of the rendering <b>or</b> billing provider of the visit is represented in the <u>National Plan and Provider Enumeration System (NPPES)</u> as being a primary care provider, as defined by the following provider types by the first four digits of their taxonomy codes in the claim or encounter data for the visit:</li> </ul> <table border="1" data-bbox="506 1329 1414 1669"> <thead> <tr> <th>Provider Type</th> <th>First Digits of Taxonomy</th> </tr> </thead> <tbody> <tr> <td>General practitioner</td> <td>207D</td> </tr> <tr> <td>Internist</td> <td>207R</td> </tr> <tr> <td>Pediatrician</td> <td>2080</td> </tr> <tr> <td>Family practitioner</td> <td>207Q</td> </tr> <tr> <td>Non-physician medical practitioner</td> <td>363L, 363A</td> </tr> <tr> <td>Obstetrician-gynecologist (OB-GYN)</td> <td>207V</td> </tr> </tbody> </table> <p><u>Step 3:</u> Of remaining visits, identify visits delivered in a primary care setting. is a site of usual delivery of primary care, as defined the taxonomy code for Service Setting within the visit. Include only visits that have the following Service Settings:</p>	Provider Type	First Digits of Taxonomy	General practitioner	207D	Internist	207R	Pediatrician	2080	Family practitioner	207Q	Non-physician medical practitioner	363L, 363A	Obstetrician-gynecologist (OB-GYN)	207V
Provider Type	First Digits of Taxonomy														
General practitioner	207D														
Internist	207R														
Pediatrician	2080														
Family practitioner	207Q														
Non-physician medical practitioner	363L, 363A														
Obstetrician-gynecologist (OB-GYN)	207V														

	<b>Service Setting</b>	<b>First Digits of Taxonomy</b>
	Community Health	261QC1500
	Corporate Health	261QC1800
	Health Service	261QH0100
	Migrant Health	261QM1000
	Primary Care	261QP2300
	Public Health, State or Local	261QP0905
	Student Health	261QS1000
	Critical Access Hospital	261QC0050
	Medical Specialty	261QM2500
	Multi-Specialty	261Q1300X
	Clinic/Center Not Otherwise Specified	261Q00000
	Federally Qualified Health Center	261QF0400
	Rural Health	261QR1300

**Data Elements for Reporting**

Report at the plan-level both the count and percentage of total enrolled members, including by the required stratifications below, who had at least one visit with a primary care provider within a 12-month period.

Stratify data by:

- (1) Age:
  - a. Birth-5 years, 6-11 years, 12-20 years, 21-64 year, 65 years and older  
*Note:* For age-based stratification, use the member’s age at the end of the measurement period. For example, if someone turns 12 years old before the end of the reporting period, they would be stratified in the “12-20 years” group. If someone turns 12 years old after the end of the reporting period, they should be stratified in the “6-11 years” group.
- (2) Race: Report only one of the following 9 categories for race
  - a. White
  - b. Black or African American
  - c. American Indian and Alaska Native
  - d. Asian
  - e. Native Hawaiian and Other Pacific Islander
  - f. Some Other Race
  - g. Two or More Races
  - h. Asked but No Answer
  - i. Unknown
- (3) Ethnicity: Report only one of the following 4 categories for ethnicity per member
  - a. Hispanic/Latino
  - b. Not Hispanic/Latino
  - c. Asked but No Answer

- d. Unknown
- (4) Language: Report on the member's primary spoken language (one language per member)
  - a. English
  - b. Spanish
  - c. Most prevalent language spoken by Managed Care Plan members other than English or Spanish (Managed Care Plan to Identify)
  - d. Other languages

For the Total Rate and each reporting stratum, specify both the absolute number of members in the numerator and denominator and the percentage calculated by dividing the numerator by the denominator.

#### **Notes; Alignment with Other DHCS Reporting Initiatives**

This KPI aligns with value sets used in other measures required for reporting to DHCS as referenced above, especially the NCQA Value Sets:

- ED Value Set
- Ambulatory Visits Value Set.
- Other Ambulatory Visits Value Set.
- Telephone Visits Value Set.
- Online Assessments Value Set.
- Well-Care Value Set

DHCS will calculate this measure independently to compare with Managed Care Plan-reported rates. If there are discrepancies between Managed Care Plan-calculated and DHCS-calculated rates, DHCS will work with the MCP to obtain member-level data, meet with MCPs to learn more and ask questions about their PHM Program, or request to review additional policies and procedures.

**PHM KPI 3: Members Not Engaged in Ambulatory Care**

**Description**

The percentage of members with no ambulatory or preventive visit within a 12-month period.

**Definitions**

<b>Measurement Period</b>	The 12-month period beginning 15 months prior to the time of reporting. For instance, if submitting on August 15, 2023, the measurement period would start on May 15, 2022, and end on May 14, 2023.
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**Eligible Population**

<b>Ages</b>	Report total rate and age stratifications as required for all PHM KPI submissions. The total rate is calculated by considering members of all ages.
<b>Continuous Enrollment</b>	There are no continuous enrollment criteria for this measure. The count of members for the measure should be a point-in-time count at the time of submission.

**Administrative Specification**

<b>Denominator</b>	The total number of enrolled members in the Managed Care Plan at the time of submission.
<b>Numerator</b>	<p>The number of members who had no (zero) ambulatory or preventive visits within a 12-month period.</p> <p>Use the following value sets to identify ambulatory or preventive care visits within a 12-month period for each member:</p> <ul style="list-style-type: none"> <li>• <u>Ambulatory Visits Value Set.</u></li> <li>• <u>Other Ambulatory Visits Value Set.</u></li> <li>• <u>Telephone Visits Value Set.</u></li> <li>• <u>Online Assessments Value Set.</u></li> <li>• <u>Well-Care Value Set</u></li> </ul>

**Data Elements for Reporting**

Report at the plan-level both the count of and percentage of total enrolled members, including by the required stratifications below, who had no (zero) ambulatory or preventive visits within a 12-month period.

Stratify data by:

(1) Age:

- a. Birth-5 years, 6-11 years, 12-20 years, 21-64 year, 65 years and older  
Note: For age-based stratification, use the member’s age at the end of the measurement period. For example, if someone turns 12 years old before the end of the reporting period, they would be stratified in the “12-20

years” group. If someone turns 12 years old after the end of the reporting period, they should be stratified in the “6-11 years” group.

- (2) Race: Report only one of the following 9 categories for race
  - a. White
  - b. Black or African American
  - c. American Indian and Alaska Native
  - d. Asian
  - e. Native Hawaiian and Other Pacific Islander
  - f. Some Other Race
  - g. Two or More Races
  - h. Asked but No Answer
  - i. Unknown
- (3) Ethnicity: Report only one of the following 4 categories for ethnicity per member
  - a. Hispanic/Latino
  - b. Not Hispanic/Latino
  - c. Asked but No Answer
  - d. Unknown
- (4) Language: Report on the member’s primary spoken language (one language per member)
  - a. English
  - b. Spanish
  - c. Most prevalent language spoken by Managed Care Plan members other than English or Spanish (Managed Care Plan to Identify)
  - d. Other languages

For the Total Rate and each reporting stratum, specify both the absolute number of members in the numerator and denominator and the percentage calculated by dividing the numerator by the denominator.

#### **Notes; Alignment with Other DHCS Reporting Initiatives**

This KPI aligns with value sets used in other measures required for reporting to DHCS as referenced above, especially the NCQA Value Sets:

- Ambulatory Visits Value Set
- Other Ambulatory Visits Value Set
- Telephone Visits Value Set
- Online Assessments Value Set
- Well-Care Value Set

DHCS will calculate this measure independently to compare with Managed Care Plan-reported rates. If there are discrepancies between Managed Care Plan-calculated and DHCS-calculated rates, DHCS will work with the MCP to obtain member-level data, meet with MCPs to learn more and ask questions about their PHM Program, or request to review additional policies and procedures.

## PHM KPI 4: Percentage of Eligible Members enrolled in Complex Care Management

### Description

The number and percentage of members eligible for Complex Care Management (CCM) who are successfully enrolled in the CCM program.

This measure has two rates:

- **KPI 4 Rate A:** CCM enrollment among all eligible members
- **KPI 4 Rate B:** CCM enrollment among eligible members who were not already enrolled during the previous reporting period

Rate B looks at the subset of members that who were not enrolled in CCM in the last reporting period and identifies new enrollment into CCM.

### Definitions

<b>Measurement Period</b>	The 90-day period starting 135 days prior to the submission date and ending 45 days preceding the submission date. For instance, if submitting on August 15, 2023, the measurement period would start on March 15, 2022, and end on May 14, 2023.
<b>Complex Care Management Program</b>	Complex Care Management in this measure equates to “Complex Case Management,” as defined by NCQA and described by Plans in their submissions to the Department of Health Care Services. Further details on CCM are located in the <a href="#">Population Health Management Policy Guide</a> .
<b>Eligible for Complex Care Management</b>	Eligibility criteria for Complex Care Management varies by Managed Care Plan. Each Managed Care Plan should use its most current criteria when analyzing this measure.

### Eligible Population

<b>Ages</b>	Report total rate and age stratifications as required for all PHM KPI submissions. The total rate is calculated by considering members of all ages.
<b>Continuous Enrollment</b>	There are no continuous enrollment criteria for this measure. The count of members for the measure should be a point-in-time count at the time of submission.

### Administrative Specifications

<b>Rate A Denominator</b>	The number of members eligible for CCM for 1 or more days during the Measurement Period.
<b>Rate A Numerator</b>	The number of members who are enrolled in CCM for 1 or more days during the Measurement Period.

Rate B identifies enrollment in CCM among members who are eligible but were not already receiving CCM services during the previous reporting period. This rate assesses new uptake of CCM services.

<b>Rate B Denominator</b>	The number of members eligible for CCM for 1 or more days during the Measurement Period, excluding those members who were enrolled in CCM for 1 or more days during the previous Measurement Period.
<b>Rate B Numerator</b>	The number of members who are enrolled in CCM for 1 or more days during the Measurement Period, excluding those members who were enrolled in CCM for 1 or more days during the previous Measurement Period.

### Data Elements for Reporting

Report at the plan-level both the count and percentage of members eligible for CCM who are successfully enrolled in the CCM program.

Stratify data by:

(1) Age:

- a. Birth-5 years, 6-11 years, 12-20 years, 21-64 year, 65 years and older
- Note: For age-based stratification, use the member’s age at the end of the measurement period. For example, if someone turns 12 years old before the end of the reporting period, they would be stratified in the “12-20 years” group. If someone turns 12 years old after the end of the reporting period, they should be stratified in the “6-11 years” group.

(2) Race: Report only one of the following 9 categories for race

- a. White
- b. Black or African American
- c. American Indian and Alaska Native
- d. Asian
- e. Native Hawaiian and Other Pacific Islander
- f. Some Other Race
- g. Two or More Races
- h. Asked but No Answer
- i. Unknown

(3) Ethnicity: Report only one of the following 4 categories for ethnicity per member

- a. Hispanic/Latino
- b. Not Hispanic/Latino
- c. Asked but No Answer
- d. Unknown

(4) Language: Report on the member’s primary spoken language (one language per member)

- a. English
- b. Spanish
- c. Most prevalent language spoken by Managed Care Plan members other than English or Spanish (Managed Care Plan to Identify)

d. Other languages

For the Total Rate and each reporting stratum, specify both the absolute number of members in the numerator and denominator and the percentage calculated by dividing the numerator by the denominator.

**Notes; Alignment with Other DHCS Reporting Initiatives**

DHCS requires current Managed Care Plans to submit Policies and Procedures on CCM Models of care to align with requirements in [APL 22-024](#). Because CCM eligibility criteria vary by Managed Care Plan, DHCS will compare submitted rates with each Managed Care Plan's eligibility criteria for context. Because CCM is not captured in claims and encounter data, DHCS reserves the right to ask Plans to submit member-level CCM enrollment in the future.



## PHM KPI 5: Care Management for High-Risk Members after Discharge

### Description

The number and percentage of transitions for high-risk members that had at least one interaction with their assigned care manager within 7 days post discharge.

This measure's denominator includes events experienced by members who both:

- Are identified as being high-risk, as defined below
- Meet the definition for acute and non-acute care stays, as defined below

### Definitions

<b>Intake Period</b>	The 12-month period starting 15 months and 7 days prior to the time of reporting. For instance, if submitting on August 15, 2023, the intake period would start on May 8, 2022, and end on May 7, 2023.
<b>Measurement Period</b>	The 12-month and 7-day period beginning 1 day after the beginning of the Intake Period and ending 7 days after the end of the Intake Period. For instance, if submitting on August 15, 2023, the measurement period would start on May 8, 2022, and end on May 14, 2023.
<b>Transitions</b>	Defined as the end of <b>Inpatient and observation stays and Nonacute inpatient stays.</b> <ul style="list-style-type: none"> <li>• <b>Inpatient and observation stay</b> is defined by combining the NCQA <a href="#">Inpatient Stay Value Set</a> and NCQA <a href="#">Observation Stay Value Set</a></li> <li>• <b>Nonacute inpatient stay</b> is defined by the NCQA <a href="#">Nonacute Inpatient Stay Value Set</a></li> </ul>
<b>Assigned care manager</b>	Defined in the <a href="#">Population Health Management Policy Guide</a> as “the single point of contact responsible for ensuring completion of all transitional care management services in a culturally and linguistically appropriate manner for the duration of the transition, including follow-up after discharge.” MCPs can assign members to a care manager either by using its own staff or contracting with other contracted entities (e.g., hospitals, ACOs, PCPs, etc.)”
<b>Day post discharge</b>	Day is defined as calendar days, irrespective of whether the day falls on a weekend or holiday.  A post-discharge occurs after the date of discharge. This definition excludes both interactions that occur while the member is still in an inpatient setting and interactions that occur on the same calendar day of discharge.
<b>High-risk</b>	Defined below as a subset of populations identified in the <a href="#">Population Health Management Policy Guide</a> as “Populations Required to Receive an Assessment and Re-assessment.” Members with these risk factors should receive transitional care services starting January 1, 2023.

	<p>These high-risk groups include:</p> <ul style="list-style-type: none"> <li>• Members receiving long-term services and supports (LTSS)</li> <li>• Members eligible for Complex Care Management</li> <li>• Members eligible for Enhanced Care Management. This criterion includes all active populations of focus at the time of measurement.</li> <li>• Members enrolled in the California Children’s Services (CCS) program</li> <li>• Members who are pregnant</li> <li>• Members assessed to be high-risk by the Plan’s risk stratification and segmentation approaches prior to PHM Service RSST functionality is live.</li> </ul>
<b>Interaction</b>	An interaction is a synchronous interaction involves the use of in-person, telephonic, or audio-visual communication in real time. This definition excludes asynchronous communication such as leaving voicemails or portal-based communications.
<b>Long Term Supports and Services</b>	Long Term Supports and Services (LTSS) are defined in the <a href="#">Population Health Management Policy Guide</a> as services and supports designed to allow a member with functional limitations and/or chronic illnesses the ability to live or work in the setting of the Member’s choice, which may include the member’s home, a worksite, a Provider-owned or controlled residential setting, a nursing facility, or other institutional setting. LTSS includes both Long Term Care (LTC) and Home and Community Based Services (HCBS) as well as carved-in and carved-out services. A subset of these services are operationalized for this measure.

**Eligible Population**

<b>Ages</b>	Report total rate and age stratifications as required for all PHM KPI submissions. The total rate is calculated by considering members of all ages.
<b>Continuous Enrollment</b>	There are no continuous enrollment criteria for this measure.

**Administrative Specification**

<b>Denominator</b>	The number of transitions for high-risk members during the Intake Period
<b>Numerator</b>	<p>The number of transitions for high-risk members during the Intake Period followed by at least one interaction with their assigned care manager within 7 days post discharge.</p> <p>If members have multiple transitions of care involving discharge from an acute care setting, count these episodes separately.</p>

To identify denominator-qualifying events, identify admissions in both acute inpatient and non-acute inpatient admissions during the Intake Period using the following NCQA Value Sets:

- [Inpatient Stay Value Set](#)
- [Observation Stay Value Set](#)
- [Nonacute Inpatient Stay Value Set](#)

These value sets include admissions in acute inpatient, skilled nursing, and residential treatment settings. Among these events, exclude any events not experienced by members who meet the following operationalized definition of “High Risk”:

High Risk Group	Data Source and Process
Eligible for Complex Care Management	Internal Managed Care Plan Data and Identification Process.
Eligible for Enhanced Care Management	For guidance on Aid-Code-based methods on identifying youth currently or formerly engaged with the foster care system, see the <a href="#">Enhanced Care Management Policy Guide</a> , pg. 97.
Assessed to be high-risk by the Plan’s risk stratification and segmentation approaches	
Enrolled in the California Children’s Services (CCS) program	
Members who are pregnant	Use the <a href="#">NCQA Pregnancy Value Set</a> to identify members who are pregnant during care episode of the discharge event or through any other care episode in the 30 days prior to the discharge event.
Receiving Long Term Supportive Services	<p>Internal Managed Care Plan Data and Identification Processes.</p> <p>LTSS is defined above, and Plans should specifically include the following groups:</p> <ul style="list-style-type: none"> <li>• Those who received Home Health (HH) services in the 30 days prior to the admission date of the discharge event, as identified by Vendor Code (44)</li> <li>• Those who received In-Home Supportive Services (IHSS) in the 30 days prior to the admission date of the discharge event (data as available to Plan)</li> <li>• Those who had one or more long-term care (LTC) stay in the 30 days prior to</li> </ul>

	the admission date of the discharge event
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For numerator compliance, evaluate each denominator-qualifying event using the following steps:

Step 1: Identify the date of discharge of the denominator-qualifying event experienced by a member in a high-risk group.

Step 2: Count all synchronous post-discharge interactions between an Assigned Care Manager and the member experiencing the denominator-qualifying event occurring during the period starting on the calendar day after discharge and ending seven calendar days after discharge.

For this measure, the calendar date of discharge can be considered Day 0. Numerator-compliant interactions should occur on Days 1 to 7 after the discharge event.

Step 3: Identify numerator compliance by excluding all denominator-qualifying events for which the number of contacts calculated in Step 2 is zero.

Treat each denominator-qualifying event separately, meaning that each individual member can have multiple transitions of care during the measurement period.

### Data Elements for Reporting

Report at the plan-level both the count of and percentage of transitions experienced by high-risk members followed by an assigned care manager visit within 7 days after discharge.

Stratify data by:

(1) Age:

- a. Birth-5 years, 6-11 years, 12-20 years, 21-64 year, 65 years and older  
Note: For age-based stratification, use the member's age at the end of the measurement period. For example, if someone turns 12 years old before the end of the reporting period, they would be stratified in the "12-20 years" group. If someone turns 12 years old after the end of the reporting period, they should be stratified in the "6-11 years" group.

(2) Race: Report only one of the following 9 categories for race

- a. White
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- d. Asian
- e. Native Hawaiian and Other Pacific Islander
- f. Some Other Race
- g. Two or More Races
- h. Asked but No Answer

- i. Unknown
- (3) Ethnicity: Report only one of the following 4 categories for ethnicity per member
  - a. Hispanic/Latino
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- (4) Language: Report on the member's primary spoken language (one language per member)
  - a. English
  - b. Spanish
  - c. Most prevalent language spoken by Managed Care Plan members other than English or Spanish (Managed Care Plan to Identify)
  - d. Other languages

For the Total Rate and each reporting stratum, specify both the absolute number of members in the numerator and denominator and the percentage calculated by dividing the numerator by the denominator.

**Notes; Alignment with Other DHCS Reporting Initiatives**

This measure presumes utilization of ADT feeds or other methods to identify member discharges. Care manager contact information should be obtained from Plans' internal care management information systems.