

STATE OF NEW YORK  
DEPARTMENT OF HEALTH  
THE GOVERNOR NELSON A. ROCKEFELLER EMPIRE STATE PLAZA  
CORNING TOWER  
ALBANY, NEW YORK 12237

*Newborns*

Antonia C. Novello, M.D., M.P.H., Dr.P.H.  
Commissioner

Dennis P. Whalen  
Executive Deputy Commissioner

October 23, 2001

Dear WMS/CNS Coordinator:

The purpose of this WMS/CNS Coordinator Letter is to update districts on the status of implementation of Chapter 412 of the Laws of 1999. Chapter 412 mandates timeframes for establishing Medicaid eligibility for newborns. Since July 1, 2000, the State Department of Health (SDOH) has been manually processing hospital reports of births to women in receipt of Medicaid. However, SDOH will now be performing most of this processing through automated computer systems, including the Welfare Management System (WMS). This letter describes that new process, identifies any substantive changes which result from that process, and identifies any changes in local district responsibilities or actions that will be required because of the move to an automated process.

The most significant changes are as follows:

- o Implementation of an automated process which will update unborns on a woman's case with newborn demographics when there is a "match" on the mother's Client Identification Number (CIN) or demographics. The automated process will also add a newborn to a case or open an MA-Only case (where appropriate). Both of these functions previously had been performed manually.
- o Receipt by districts of a new report on the results of the newborn matching process via BICS;
- o An automated client notice will be generated for most upstate recipients.

Effective 10/29/01 WMS will automatically enroll newborns into the Medicaid program, if the Automated Newborn criteria is met. For questions regarding these enhancements, please contact Karen E. Thompson at (518)402-6745.

Sincerely,



Dennis DiMuria  
Manager, Upstate Eligibility Systems  
Office of Medicaid Management  
Division of Information Technology

Enclosure

cc: Commissioners  
MA Directors  
PA Directors

WMS will automatically enroll newborns to the Medicaid program, if the following criteria is met:

I. Newborn Data Received

Since July 1, 2000, births have been reported by hospitals through an Electronic Birth Certificate (EBC) process. This information has been used to create a hardcopy report, the Newborn Input Form (NIF), to manually update WMS, and to return information to the local departments of social services (LDSS) and hospitals about the results of the updating process. The manual processing has been performed by the SDOH Interim Newborn Enrollment Process (INEP) units, located in Albany and in New York City.

II. Match Criteria

SDOH has made system changes that permit the newborn cases previously processed manually to be updated through automated systems. SDOH Electronic Birth Certificate (EBC) file will transmit to WMS this information and WMS will use the data needed to match the mother on Medicaid and identifying information on the newborn. When a match based on the mother's CIN or demographics is found, the new automated process will convert an existing unborn on a woman's case to a newborn, add a newborn to a woman's Medicaid case if there is no unborn, or open a new MA-Only case for the newborn whenever appropriate.

Consequently, the LDSS is no longer responsible for "converting" the unborn to a newborn, to the extent this function is performed by the automated system. However, there will be instances in which there is a match on the mother's CIN, but WMS will not be updated, e.g., if the newborn is already on the mother's case or the case is in pending status. The LDSS will be required to take WMS action, where appropriate.

III. Matching Results

- A. If there is no match found on the mother, no processing will be done in WMS and the LDSS will not be notified of this newborn.
- B. If there is a match on the CIN or demographics, a determination is made as to whether or not there is an active MA record for the mother, or if the mother's closed case was closed in the last three months. (An active Medicaid record for the mother is - The newborn's DOB is within the mother's Medicaid Coverage Period and the Individual Status Code is 07, 10 or 15.)
- C. If there are multiple matches on the mother, the information from EBC will be sent to the LDSS for processing, where appropriate.

#### IV. Newborn Processing

- A. If there is a Medicaid eligibility record for the mother, then a second level check must be made to determine if an unborn or newborn is already included on the case.
- B. If there is an unborn on the mother's WMS case, the existing WMS record for the unborn will be updated with the newborn's demographics with the correct date of birth; sex; and if available, the newborn's first name. If there is evidence through a comparison of demographic data that the newborn has already been added, no action will be taken and this information will be on a daily BICS report sent to the LDSS.
- C. If there is no unborn record on the mother's WMS case, the newborn should be added to the mother's case or a separate case for the newborn will be opened.
- D. If the mother is inactive within three months prior to the birth month on an active case, then the newborn will be added to the active case.
- E. If the mother is in an active PA case without MA coverage and is also active on a case type 22, then the newborn will be added to the active PA case.
- F. If the mother's case is closed within three months prior to the birth month, then a separate case for the newborn will be opened.
- G. If the mother's case is in lockdown closing status and there is a match, then a separate case for the newborn will be opened.
- H. If the mother's case is MA/SSI (Case Type 22), Foster Care (Case Type 13) or Family Health Plus (Case Type 24), a separate MA case (Case Type 20) for the newborn will be opened.
- I. If the mother's case has the maximum number of people on the case, a separate case for the newborn will be opened.
- J. If the mother's case is in active status, but the Authorization TO Date has expired (lapsed), a separate case for the newborn will be opened.
- K. If the mother's case is active in district 97 (OMH) or 98 (OMR), a separate case for the newborn will be opened in either 97 or 98.
- L. If the mother's case is in pending/error status, the newborn enrollment process will not be done. The information will be sent to the LDSS for processing.
- M. If the EBC file on the newborn shows newborn deceased, the newborn enrollment process will not be done. The information will be sent to the LDSS for processing.

V. Opening a new case for the Newborn

A State-assigned case number [NE(CIN Number)] will be generated for new MA-Only cases. This case number can be changed while the case is in pending status. (One day before Batch Update). After the case goes through Batch Update, use normal procedures to make any changes.

The residence address on EBC will be used to open this case.

The fiscal responsibility will be given to the closed case county so the case will be opened in the closed case county using the EBC address (which may not be in the closed case county).

VI. WMS Entry

WMS eligibility information will be updated to create coverage for the newborn beginning with the first day of the month of birth until the WMS "Authorization TO-Date". Coverage codes, categorical codes and other necessary data will be created for the infant from system defaults using information on the mother which is already in WMS.

Under automated processing, when the infant is added to the Medicaid case, or an unborn is converted to a newborn, or a new case for the newborn is created, a Medicaid card will be sent to the appropriate address. An automated notice to the mother will be generated using the Client Notice System (CNS).

The following is a chart of the WMS elements and newborn default data that need to have an entry when WMS does an unborn conversion, adds a newborn to an existing case or opens a new case.

Upstate WMS Element Name	Data Element #	Recommendation: Policy Impact Systems Impact
Screen 2: Last Name	03-030	Filled with name (EBC)
Screen 2: Sex Code	03-050	From EBC - Filled with "M" or "F" (if EBC has Unknown), WMS will fill with "M"
Screen 2: SSN Account Code	03-200	Code will be set to "2" (SSN applied for).
Screen 3: Relationship Code	03-090	If Newborn sex (EBC) is male, then the Code will be "04". If Newborn sex (EBC) is female, then the Code will be "05".
Screen 3: Categorical Code	03-110	If Case Type (01060)=11,12,13,14,16,17, then newborn Cat Code=41. Else: If Mother's Cat Code is, then Child's is:  <u>Mom:</u> 01-03, 05-09,13,15,16,26,32,34,37, 41,48,53,56,57,58,59 <u>Then child:</u> 01  <u>Mom:</u> 10-12,17,18,21,22,25,33,39,42,44, 47,54 <u>Then child:</u> 44  <u>Mom:</u> 35,36,40,43,45,46,55 <u>Then child:</u> 45  <u>Mom:</u> None of the above <u>Then Child:</u> 01
Screen 3: Mother's Line Number	03-004 Required for PA	Added to PA case for Newborn
Screen 3: PA/MA Individual Reason Code	04-007	Unborn Conversion 921 Add to Case 920

Upstate WMS Element Name	Data Element #	Recommendation: Policy Impact Systems Impact
Screen 3: Employability Code	03-190 Required for PA	Default to "30", Child under 16
Screen 3: Race Code	09-303 Required for PA	Default to Mother's Race Code
Screen 3: Education Code	09-304 Required for PA	Default to 00
Screen 3: Highest Degree Code	03-029 Required for PA	Default to 0
Screen 3: Citizenship Code	03-180	Default to C
Screen 5: Individual Status Code	03-120	Default to 07, active
Screen 5: PA/MA Individual Effective Date	03-118 Required for PA	Default to Newborn's Date of Birth
Screen 5: MA Coverage Code	21-090	Default to 01 (may change to 30 after PCP enrollment. See Section VII - Procedure to Automatically Establish a Newborn in a PCP)
Screen 5: Card Code	21-620	Default to: "N", Non-photo

Upstate WMS Element Name	Data Element #	Recommendation: Policy Impact Systems Impact
Screen 5: MA Coverage Dates	21-110	MA FROM Date: First day of birth month. MA TO Date: Openings - Add 13 months to FROM Date. Undercare - Generate Author- ization TO Date.

VII. Procedure to Automatically Establish a Newborn in a PCP

Once a newborn child has been automatically added to the Mother's case the following procedure will be to also add the child to the same PCP situation as the Mother: If the SSI Indicator (low birth weight) from EBC is set, WMS will not process PCP enrollment. If the Mother's Benefit Package Code is equal to '97', WMS will not process PCP enrollment. And if the mother is enrolled with certain Providers (special needs) WMS will not process PCP enrollment.

1. If the Mother in the case has a Coverage Code of 01 (Full Coverage), 16 (HR Coverage), 30 (PCP-Full Coverage), 31 (PCP-Guarantee), 32 (PCP HR Coverage), 33 (PCP/HR Guarantee Coverage), 34 (Family Health Plus) or 36 (Family Health Plus/Guarantee); check to see if the mother has an active PCP record (Prepaid Capitation Plan Subsystem "CAP" Code of 3 - Individual Enrollee).
  
2. If the Mother is enrolled, then an active PCP record will be established for the newborn and the MA Coverage Code generated will be 30. If the mother is enrolled in an FHP plan that is participating in both Medicaid Managed Care and FHP, then an active PCP record will be established for the newborn in the Medicaid Managed Care plan equivalent to the mother's FHP plan, and the MA coverage generated will be 30. If the mother is enrolled in an FHP plan that does not participate in the Medicaid Managed Care program, no PCP record will be established for the newborn - they will be MA fee for service. The child will also appear on the next month's or subsequent month's roster. The following fields will be system generated to establish a new PCP record.

<u>Field</u>	<u>Data Element #</u>	<u>System Generate</u>
Client Identification Number	03010	Newborn's CIN from case
Case Number	01050	Newborn's WMS case
Name	03030	Newborn's Name from case
Date	02020	Date the PCP record is established
District	01010	Local District of the case
Worker	01040	"NYSNU"
PCP ID	21068	The same Provider ID on the Mother's PCP record

<u>Field</u>	<u>Data Element #</u>	<u>System Generate</u>
From Date (PCP From Date)	21703	First Day of the Month of the Child's Date of Birth or Prospective Start Date
BP (PCP Benefit Package)	21700	Same benefit package as the Mother
CAP (PCP Cap Code)	21701	"3" - Individual Enrollee
Reason Code		"07" - Newborn Auto Enroll*
Guarantee Eligibility Thru Date	21704	6 months from the PCP Effective From Date

3. A daily report will be produced to inform the Local Districts and the Prepaid Capitation Plan that a PCP record has been established. The report will include Case Number, CIN, Name, Effective Date and other information on the Input Line. The Local District Report will be sorted by Local District, Worker.

#### VIII. Reports

- A. The LDSS will receive a daily report via BICS if the mother was matched on WMS. This report will include mother and newborn information on the automated newborn enrollment process. This report will also list "ALERT NUMBERS" for the mother and newborn. Depending on the "ALERT NUMBER", the LDSS may need to review the process and if appropriate, make changes to the mother and/or newborn's case.

The BICS Report is WINR5225-Newborn Daily Update Report. This report is sorted by Office, Unit, Worker. The following is the report layout and a list of the definitions of the ALERT NUMBERS.

NOTE: LDSS will receive hardcopy NIFs in these instances in which cases are processed manually by the SDOH.

#### WMS Report WINR5225

<u>Case No.</u>	<u>Client Name</u>	<u>CT</u>	<u>CIN</u>	<u>Birthdate</u>	<u>Sex</u>	<u>Processing</u>	<u>Alerts</u>
MOM NBT122	Marion West	22	AX49434X	01/01/1978		WMSUPDATED	MOTHER ON SSI
NB NEAX50929U	Adam West	20	AX50929U	01/18/2001	M		OPEN CASE DOH-ADDR

ALERTS

PROCESSING CODES: WMS NOT UPDATED (2)  
WMS UPDATED (1)

MOTHER'S ALERTS

01	Mom inac cl<3 mo	Mother inactive-closed in less than 3 months	Update
02	Moth clockdwn stat	Mother in clockdown status	Update
03	Mother on SSI	Mother on SSI	Update
04	CIN match-sex=male	Mother CIN matches, sex is M on WMS	Update
05	CIN match-sex='U'	CIN Match Sex="U"	Update
06	Expired Auth	Expired Authorization	Update
07	Clients in case>20	Too many people in case	Update
08	Auth expires 3 mo	Authorization expires within 3 months	Update
09	Case Pending	Case Pending/Error	Not Update
10	Mother deceased	Mother Deceased Prior to NB DOB	Not Update

BABY'S ALERT CODES

20	Open Case/DOH-Addr	Open Case/DOH Address	Update
21	MA Case Re-opened	MA Case Re-opened	Update
22	Unborn Converted	Unborn Converted	Update
23	Added to Case	Added to Case	Update
24	Infant less 1200 grams	Infant less than 1200 grams	Update
25	NB already on case	Match found, NB previously added	Not Update
26	Baby Deceased	Baby Deceased	Not Update

B. Managed Care Reports

1. Managed Care BICS Report for LDSS is  
"001-X-99\*PCPNWBRNU-99" (99 is the Specific County Code)
2. Managed Care Bulletin Board for LDSS and Managed Care Plans  
is "mpcna999.txt" (999 is the day of the year)
3. Managed Care Bulletin Board EMEVS Enrollment Report is  
"mpcea999.txt" (999 is the day of the year)
4. Managed Care BICS EMEVS Enrollment Report is  
"001-X99PCPEMEVSU-99" (99 is the Specific County Code)

C. As other reports are added for this process, the LDSS will be notified.

IX. CNS

The following are the new CNS codes for automated newborn enrollment:

<u>Paragraph #</u>	<u>Case Level</u>	<u>Individual Level</u>	
N0004	I96	921	Unborn Name Conversion (System generated) (PA & MA)
N0003	I98	920	Newborn added to case (System generated) (PA & MA)
N0007	923		Case opened for Newborn (System generated) (MA)
N0012	E98		Newborn Case opened in error (Worker generated) (MA)
N0008	I89	E97	Newborn added to case in error (Worker generated) (MA)
			NOTE: Newborns added in error to a PA Case should be deleted using Reason Code Y99.
N0005	E99/I89	E99	Newborn Deceased

X. Newborn System Conversion

Below is a chart of the Newborn System conversion from the manual phase to an automated process.

Upstate Newborn System Conversion Chart

	<u>INEP (Manual)</u>	<u>Automated</u>
WMS		
Add Newborn	Update	Auto Update
Open Newborn	Update	Auto Update
Convert Newborn	No Update	Auto Update
Co-op Case Nos.	No Update	Auto Update
Reason Code	Generic	CNS
Notice	Generic Notice	CNS
RFI	No Update	Auto Update
Managed Care	Update	Auto Update
Enrollment		
BICS Reports	NIFS Sent to LDSS	Sent to LDSS

NEWBORN ENROLLMENT  
 UNBORN NAME CONVERSION  
 TEMPLATE FOR WMS ENTRY ELEMENTS

Upstate WMS Element Name	Data Element #	Recommendation: Policy Impact Systems Impact
Screen 1: Transaction Type	02-010	Default to: "05", Change for Add "02", Open for Opening
Screen 1: Notice Indicator	04-001	Default to: "A", Adequate Notice
Screen 1: Authorization Period	01-100	Add: No Change Open: Thirteen months of coverage starting first day of DOB month.
Screen 1: Case Number	01-050	Add: No Change Open: State Assigned [NE(CIN Number)]
Screen 1: Co-Op Case field	01-110	Add: No Change Open: Mother's case number
Screen 1 Case Reason Code	02-050	A system generated value used as a case reason code when an individual reason code is used for some or all individuals in a case. Unborn Conversion: I96 Add: I98 Open: 923
Screen 2: Date of Birth	03-060	Filled with newborn's DOB (EBC)
Screen 2: First Name	03-030	Unborn: Change to name (EBC) Add: Filled with name (EBC) Open: Filled with name (EBC) No name given, default to "child1", "child2", etc.