

Enrolment Requirements for Primary Health Organisations

Version 2.3

Published in November 2004 by the
Ministry of Health
Manatū Hauora
PO Box 5013, Wellington, New Zealand

ISBN 0-478-25762-7
HP 3798

This document is available on the Ministry of Health's website:
<http://www.moh.govt.nz>



MANATŪ HAUORA

Enrolment Parameters	Operational Policy	Requirements
<p>1. Active enrolment</p>	<ul style="list-style-type: none"> • Enrolment with a PHO or provider means that the person enrolling intends to use that PHO or provider as their preferred provider of ongoing First Level Services (as defined in the Establishment Service Specifications) and enrolment will normally be through this provider. • People can only be enrolled with any one provider at any one time. • Individuals enrolled with a provider in a PHO who seek services from another provider who is also a member of the same PHO will be considered casual (see rule 5 for a definition of a Casual User) in terms of co-payments, funding and access to First Level Services. They should be encouraged to see their regular provider for continuity of care. • DHBs will monitor PHOs to ensure that the PHO or providers within a PHO do not refuse to enrol people because of their health status and/or anticipated need for health services. 	<ul style="list-style-type: none"> • Enrolment with a PHO will normally be through a PHO provider of First Level Services (as defined in the Establishment Service Specifications). • Information must be provided to people to inform them of the implications and benefits of enrolment so they can make an informed decision about whether to enrol or not. • DHBs must establish a process to periodically audit PHOs to ensure they do not refuse to enrol people because of their health status and/or anticipated need for health services.

Enrolment Parameters	Operational Policy	Requirements
<p>2. Collecting consistent and accurate ethnicity data</p>	<ul style="list-style-type: none"> • Consistent and accurate ethnicity data must be collected by PHOs: <ul style="list-style-type: none"> – to assist PHOs with health planning and policy that are effective and properly targeted to meet the needs of their communities and particularly any population groups of high need – so that PHOs identify the needs of the Māori population enrolled with them – so that PHOs identify the needs of the Pacific population enrolled with them • PHOs must collect ethnicity data in a consistent manner that complies with the Privacy Act 1993. 	<ul style="list-style-type: none"> • PHO providers must ask people when they are enrolling to self-identify their ethnicity according to the Statistics New Zealand census 2001 ethnicity question. • PHOs are required to follow the collection process outlined in the <i>'Ethnicity Data Protocols for the Health and Disability Sector'</i>¹ • PHOs must submit ethnicity data using Statistics New Zealand classifications, as outlined in the <i>'Ethnicity Data Protocols for the Health and Disability Sector'</i> • DHBs will monitor the PHO data collection process and the quality of the ethnicity data information for consistency and accuracy. • DHBs will monitor the PHOs' enrolment communication processes to agree on effective ways to meet the needs of iwi and Māori.
<p>3. Enrolment for what services</p>	<ul style="list-style-type: none"> • PHOs must have a contract with their DHB for the essential set of services as outlined in the Establishment Service Specification for PHOs. 	<ul style="list-style-type: none"> • Enrolment is for the defined set of essential primary health care services outlined in the Establishment Service Specification for PHOs.

¹ Ministry of Health. 2004. *Ethnicity Data Protocols for the Health and Disability Sector*. Wellington: Ministry of Health

Enrolment Parameters	Operational Policy	Requirements
<p>4. Enrolment process</p>	<p>Existing enrolment with providers</p> <ul style="list-style-type: none"> • Providers may enrol people prior to the establishment of a PHO or prior to joining an existing PHO as long as the enrolment process requirements for non-PHO affiliated providers are met. • When people have enrolled with a provider through the processes outlined above, the provider needs to notify them of their affiliation to a PHO and give them the opportunity to terminate their enrolment with the provider. This notification can be a general notification to all people registered with the provider. Should an individual not choose to terminate their enrolment, that individual will be considered to be enrolled with that provider and their PHO. <p>Existing registrations with providers</p> <ul style="list-style-type: none"> • Initially, people who are already on PHO provider registers (excluding Casual Users) will be registered with the provider or PHO and will be aggregated (with enrolled individuals) to form PHO registers. Providers must inform people of the benefits of enrolment at the next convenient point of contact (within three years from the date that they were registered with the provider) so they can make a choice as to whether or not to enrol with that provider. 	<ul style="list-style-type: none"> • Enrolment process requirements for non-PHO affiliated providers are that the provider: <ul style="list-style-type: none"> a) obtains a signed enrolment form b) holds the person's clinical records (or seeks to hold them by requesting the transfer of their clinical records where the person is changing provider) c) informs the person that the provider intends to join a PHO where this information is available and the implications of this to the person d) notifies the person enrolled of subsequent establishment of or joining of a PHO. • Provider enrolment registers will initially be aggregated to form PHO enrolment registers. • Informing individuals of their change of status must be done at the next convenient point of contact (within three years from the date that they were registered with the provider).

Enrolment Parameters	Operational Policy	Requirements
<p>4. Enrolment process (continued)</p>	<p>New enrollees</p> <p>The national enrolment process occurs when a person:</p> <ol style="list-style-type: none"> 1. indicates to a provider that they intend to use that provider or PHO as their usual provider of essential primary care services 2. is provided with information about the benefits and implications of enrolment 3. is provided with information about where personal information is sent and how it is used 4. agrees to provide details for inclusion on the enrolment register or confirms details already held 5. agrees to the enrolment process by signing an enrolment form 6. is given the opportunity to request a transfer of notes from their previous provider where a change of provider occurs. <p>Dependants</p> <ul style="list-style-type: none"> • Authorised representatives and individuals can enrol dependants. 	<ul style="list-style-type: none"> • A person should not be invited to enrol on an enrolment register when they are not intending to continue to use that provider for ongoing essential primary care services. • Enrolment does not need to take place where services are normally delivered. For example, rest home residents do not need to attend a provider to enrol. This is consistent with a policy of open enrolment and reducing any barriers to enrolment. • PHOs and practices must have an auditable process to confirm details provided on patient registers. <ul style="list-style-type: none"> • In the case of a dependent child under 16 years the process can be completed for them by a parent or caregiver who has custody. • In the case of other dependants, the process can be completed for them by their authorised representative.
<p>5. Casual patients</p>	<ul style="list-style-type: none"> • Individuals seeking services from a provider within a PHO when they are not enrolled or registered with that provider are Casual Users. • Casual Users should be informed of the benefits of enrolment and encouraged to enrol with a provider/PHO of their choice at a later date. 	<ul style="list-style-type: none"> • Information must be provided to casual patients who are not enrolled in a PHO to inform them of the implications and benefits of enrolment so they can make an informed decision about whether or not to enrol.

Enrolment Parameters	Operational Policy	Requirements
<p>6. Maximum period</p>	<ul style="list-style-type: none"> • Three years is the maximum period of time a person can be enrolled without personal contact for service with formal re-enrolment. 	<ul style="list-style-type: none"> • Providers are only required to re-enrol a person if, in the previous three years, there has been no personal contact with an enrolled person for a service and during that time the person has not re-enrolled. • Reconfirmation of enrolment for a patient will be valid where an existing valid enrolment form for the patient is held by the practice and where that patient confirms in writing that she/he wishes her/his existing enrolment to continue.
<p>7. Dis-enrolment</p>	<ul style="list-style-type: none"> • Individuals are free to dis-enrol at any time. • Organisations must remove an individual from their enrolment register if the individual indicates that they wish to dis-enrol. • A person is removed from an individual enrolment register when: <ul style="list-style-type: none"> – the Ministry of Health notifies the PHO that the individual is no longer enrolled – the individual notifies their previous provider or PHO that they have enrolled with another provider or PHO (eg, the old provider receives a request for notes from the new provider) – the individual indicates that they wish to be removed from the enrolment register – there is no record on the individual's notes that within the previous three years they have either consulted with the provider or indicated that they wish to remain on the enrolment register – the individual emigrates where known – the individual dies where known – the individual otherwise becomes ineligible for services – the individual receives their long-term continuous and exclusive care through another funding agreement (eg, prison, defence force). 	<ul style="list-style-type: none"> • Where an individual has changed PHO, the Ministry of Health will inform the old PHO that the individual is no longer enrolled. Details of where the individual is enrolled will not be provided. • Auditable records must be kept regarding individuals (or their families) who advise of emigration, death or that they wish to leave a provider. • Enrolment and dis-enrolment records should be kept with the person's medical records. • Enrolment and dis-enrolment records should also be kept for the same amount of time as medical records must legally be kept.

Enrolment Parameters	Operational Policy	Requirements
<p>8. Termination and refusal of enrolment</p>	<ul style="list-style-type: none"> • The provider/PHO can only terminate an individual's enrolment if: <ul style="list-style-type: none"> – there is genuine concern that the relationship between that individual and the practitioner is severely compromised; or – fee-for-service deductions over the preceding six-month period consistently demonstrate that the provider/PHO is no longer the patient's preferred provider of ongoing First Level Services. • Individuals must be given appropriate notice of any termination of enrolment. • Individuals must be given the opportunity to consider and respond to this notice. • Individuals must be given a reason for termination of their enrolment. • An auditable trail must be present. • No individual is to be refused enrolment on the basis of health status, anticipated need for health service or any form of discrimination. 	<ul style="list-style-type: none"> • Individuals must be given appropriate notice that their enrolment is being terminated: <ul style="list-style-type: none"> – Phone call contact constitutes appropriate notice; – Where the individual is unable to be contacted by Phone, a letter sent to the last known address is deemed to constitute appropriate notice. • PHOs or providers must offer to help people find another suitable provider if enrolment has been terminated. • PHOs or providers must offer to help people find another suitable provider if enrolment has been refused.
<p>9. Information to be collected</p>	<ul style="list-style-type: none"> • The register must include up-to-date and accurate information for each person on the enrolment register in accordance with the agreed data specification (to be distributed). 	<ul style="list-style-type: none"> • Processes for access to community services card numbers and the maintenance of community services card data quality will be developed. In the meantime PHOs must comply with data specifications and business rules for management of patient registers. • People will be provided with the opportunity to update any of their enrolment information at any time.
<p>10. Transfer of patient information</p>	<ul style="list-style-type: none"> • Individuals must be told that, for funding reasons, the PHO they are enrolled with will be informed of any casual visits to other providers. (The PHO will be told only that a visit took place and the date that it took place. The provider they visited and the reasons for the visit will not be disclosed.) 	<ul style="list-style-type: none"> • Patient information must be managed and transferred in accordance with the Privacy Act 1993 and the Health Information Privacy Code 1994.

Enrolment Parameters	Operational Policy	Requirements
11. National Health Index numbers	<ul style="list-style-type: none"> The NHI will enable the Ministry of Health to check whether people are enrolled with more than one PHO. Each PHO will be required to cross-match registers within its organisation and remove duplicates. Removing duplication will also occur at the Ministry level. 	<ul style="list-style-type: none"> PHOs will ensure that NHI information relating to an individual is accurate. The Ministry will validate the accuracy of NHI information. Where inaccurate information is found by the PHO, or correct information is supplied by the Ministry, the PHO must update its register, or indicate in writing why it is declining to do so.
12. Disputes	<ul style="list-style-type: none"> There is a potential for disputes to arise regarding who is on an enrolment register. DHBs must have policies to settle disputes that arise between PHOs in their own districts. PHOs must have policies to settle disputes that arise between their providers. <p>Assigning duplicate enrolments</p> <ul style="list-style-type: none"> If an individual enrolls with a provider or PHO while registered with a different provider or PHO, they will be assigned to the provider or PHO with whom they are enrolled. If an individual is enrolled with more than one provider or PHO, for funding purposes they will be assigned to the provider or PHO with whom they enrolled most recently. If an individual is registered with more than one provider or PHO, for funding purposes they will be assigned to the provider or PHO with whom they had the last consult. 	<ul style="list-style-type: none"> DHBs will resolve disputes that arise between PHOs in their own district. PHOs will resolve disputes that arise between their providers.

Enrolment Parameters	Operational Policy	Requirements
<p>13. Provider change of affiliation</p>	<ul style="list-style-type: none"> When a provider leaves a PHO, patients must be informed of the implications of this change so they can make an informed decision about their continued care. 	<ul style="list-style-type: none"> When a provider leaves a PHO enrolees of that provider must be informed of this change by the provider. When a provider leaves a PHO, the enrolees of that provider will be given the option of: <ul style="list-style-type: none"> remaining enrolled with the provider should the provider be joining a different PHO remaining with the provider and foregoing the benefits of a PHO should the provider not be joining a different PHO enrolling with another provider to enable them to access services of a PHO of their choice. If the individual chooses to find a new provider, the provider must offer some assistance to do so. These options are consistent with the principle of consumer choice.