

**ARIZONA DEPARTMENT OF HEALTH SERVICES  
DIVISION OF BEHAVIORAL HEALTH SERVICES  
DIVISION DOCUMENT REVISION NOTICE**

The Arizona Department of Health Services/Division of Behavioral Health Services has revised the below referenced document(s), indicated by **BOLD** print and the symbol **[X]**. The attached matrix includes a detailed description of the changes impacting the selected document(s). The revised document(s) will be posted to the ADHS/DBHS website on or around the effective date. Please direct any questions regarding this Division document revision notice to Margaret Russell at (602) 364-4658 or via electronic mail at [russelm@azdhs.gov](mailto:russelm@azdhs.gov).

<b>DIVISION DOCUMENT</b>	ADHS/DBHS PROVIDER MANUAL	<b>ADHS/DBHS POLICY AND PROCEDURES MANUAL</b>	ADHS/DBHS PROGRAM SUPPORT PROCEDURES MANUAL	ADHS/DBHS COVERED BEHAVIORAL HEALTH SERVICES GUIDE
<b>REVISION [X]</b>		<b>[X]</b>		
<b>DIVISION DOCUMENT</b>	CLIENT INFORMATION SYSTEM (CIS) FILE LAYOUT AND SPECIFICATIONS MANUAL	OFFICE OF GRIEVANCE AND APPEALS DATABASE MANUAL	ADHS ACCOUNTING AND AUDITING PROCEDURES MANUAL	FINANCIAL REPORTING GUIDE FOR REGIONAL BEHAVIORAL HEALTH AUTHORITIES
<b>REVISION [X]</b>				
<b>DIVISION DOCUMENT</b>	ADHS/DBHS QUALITY MANAGEMENT/UTILIZATION MANAGEMENT PLAN	ADHS/DBHS PREVENTION FRAMEWORK FOR BEHAVIORAL HEALTH	AHCCCS MEDICAL POLICY MANUAL-CHAPTERS 900 AND 1000	ADHS/DBHS STRATEGIC PLAN
<b>REVISION [X]</b>				
<b>DIVISION DOCUMENT</b>	ADHS/DBHS CULTURAL COMPETENCE PLAN	ADHS/DBHS CLINICAL GUIDANCE DOCUMENTS	TITLE XIX CHILDREN'S BEHAVIORAL HEALTH ANNUAL ACTION PLAN	
<b>REVISION [X]</b>				

**ADHS/DBHS POLICY & PROCEDURES MANUAL SECTION  
CO 1.1, Inter-T/RBHA Coordination of Services**

<b>Policy #</b>	<b>TITLE</b>	<b>DESCRIPTION OF CHANGE</b>	<b>Last Revision Effective Date</b>
CO 1.1, Inter-T/RBHA Coordination of Services	CO 1.1 General	<ul style="list-style-type: none"> <li>The title of the Policy includes revision to the word "Inter-RBHA" to "Inter-T/RBHA" to include the Tribal Regional Behavioral Health Authorities as well as the RBHAs.</li> <li>In each occurrence where Clinical Liaison appeared in this policy, the term has been replaced with the words "Behavioral Health Provider".</li> <li>Throughout the document the word "shall" has been changed to "must"</li> </ul>	1/15/10
	CO 1.1 B. Scope	Addition of the phrase "This policy is applicable to all behavioral health recipients experiencing a transition in care, regardless of funding source or behavioral health category"	1/15/10
	CO 1.1 D. References	All references updated and hyperlinks verified and/or added.	1/15/10
	CO 1.1 E. Definitions	Clinical Liaison – removed	1/15/10
	CO 1.1 F. Procedures 1. General Provisions	<ul style="list-style-type: none"> <li>1.c.(2)(c) New paragraph added: When an Arizona Long Term Care System (ALTCS)/DDD member is placed temporarily in a group home while a permanent placement is being developed in the home T/RBHA service area, covered services remain the responsibility of the home T/RBHA.</li> <li>1.c.(4) – Paragraph deleted and section renumbered.</li> </ul>	1/15/10
	CO 1.1 F. Procedures 2. Out-of-Area Provision	<ul style="list-style-type: none"> <li>2.a.(2)(a)iii, Addition of: Persons who are unable to live independently but clearly express an intent/desire to permanently relocate to another service area can be transferred. However, the home T/RBHA must make arrangements for housing and consider this a temporary placement for three months. After three months, if the person continues to clearly express an intent/desire to remain in this new service area, the inter-T/RBHA transfer can</li> </ul>	1/15/10

		<p>proceed</p> <ul style="list-style-type: none"> <li>• 2.a.(2)(c), Addition of:</li> </ul> <p>If the person is not enrolled with any T/RBHA and lives outside of the service area of the T/RBHA at which the person presented for services, the T/RBHA must enroll the person, provide needed crisis services and initiate the inter-T/RBHA transfer.</p>	
	<p>CO 1.1 F. Procedures 3. Inter-T/RBHA Transfer</p>	<ul style="list-style-type: none"> <li>• 3.a.(1)a, Addition of:</li> </ul> <p>Persons who are unable to live independently but clearly express an intent/desire to permanently relocate to another service area can be transferred. However, the home T/RBHA must make arrangements for housing and consider this a temporary placement for three months. After three months, if the person continues to clearly express an intent/desire to remain in this new service area, the inter-T/RBHA transfer can proceed</p> <p>AND</p> <ul style="list-style-type: none"> <li>• 3.a.(1)b, Addition of:</li> </ul> <p>Persons who are unable to live independently and are involved with the ADES/DDD can be transferred to another T/RBHA. Persons involved with ADES/DDD who are permanently placed and reside in a supervised setting are the responsibility of the T/RBHA in which the supervised setting is located. This is applicable regardless of where the adult guardian lives.</p> <p>AND</p> <ul style="list-style-type: none"> <li>• 3.b, Addition of:</li> </ul> <p>Inter-T/RBHA transfers are not to be initiated when a person is under pre-petition screening or court ordered evaluation (see <u>Provider Manual Section 3.18, Pre-petition Screening, Court Ordered Evaluation and Court Ordered Treatment</u>)</p> <p>AND</p> <ul style="list-style-type: none"> <li>• 3.c, Revision and renumbering of the statements in this section for clarity and consistency with PM 3.17, Transition of Persons.</li> </ul>	<p>1/15/10</p>

		<ul style="list-style-type: none"> <li>• AND</li> <li>• 3.g. Addition of new language: When a person presents for crisis services, providers must first deliver needed behavioral health services and then determine eligibility and T/RBHA enrollment status. Persons enrolled after a crisis event may not need or want ongoing behavioral health services through the T/RBHA. Providers must conduct re-engagement efforts as described in <u>PM Section 3.8, Outreach, Engagement, Re-engagement and Closure</u>, however; persons who no longer want or need ongoing behavioral health services must be disenrolled (i.e., closed in the CIS) and an inter-T/RBHA transfer must not be initiated. Persons who will receive ongoing behavioral health services will need to be referred to the appropriate T/RBHA and an inter-T/RBHA transfer initiated, if the person presented for crisis services in a GSA other than where the person resides.</li> </ul> <p>AND</p> <ul style="list-style-type: none"> <li>• 3.h. Addition of new language: Timeframes specified in <u>Section F.3</u> cover circumstances when behavioral health recipients inform their provider or T/RBHA prior to moving to another service area. When behavioral health recipients inform their provider or T/RBHA less than 30 days prior to their move or do not inform their provider or T/RBHA of their move, the designated T/RBHA must not wait for all of the documentation from the previous T/RBHA before scheduling services for the behavioral health recipient.</li> </ul>	
	CO 1.1 F. Procedures 4. Complaint Resolution	<ul style="list-style-type: none"> <li>• 4.e. Procedure for Emergency Disputes, addition to the first paragraph of: The home T/RBHA must ensure that medically necessary behavioral health services continue pending the resolution of an emergency dispute between T/RBHAs</li> </ul>	1/15/10
	G. APPROVED BY:	Signature lines revised to contain correct information.	1/15/10
	Attachment A	<ul style="list-style-type: none"> <li>• Clinical Liaison changed to Behavioral Health Provider</li> </ul> <p>AND</p>	1/15/10

		<ul style="list-style-type: none"><li>• Check boxes added lines added for clarification purposes in coordinating information.</li></ul>	
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<b>ADHS/DBHS POLICY AND PROCEDURE SECTION GA 3.6 Complaints Resolutions</b>			
<b>Policy #</b>	<b>TITLE</b>	<b>DESCRIPTION OF CHANGE</b>	<b>Last Revision Effective Date</b>
GA 3.6	Policy	Second paragraph: "General questions or requests for information...."  Changed "shall" to "are"	1-15-10
GA 3.6	Policy	<u>Added fourth paragraph</u> which refers SMIs and N-XIX persons to Section 5.5 Notice and Appeal Requirements (SMI and Non-SMI/Non-Title XIX/XXI); and SMIs for rights violations to PM 5.3, Grievance and Requests for Investigations for SMIs  Added fifth paragraph stating that complaints may still be handled through the appeal, SMI grievance processes as applicable in the event the person is not satisfied with the resolution.	1-15-10
GA 3.6	References	<u>Added:</u> 42 CFR 438.240 R9-20-203 R9-20-701 GA 3.5 Notice and Appeal Requirements (SMI-Non-SMI/Non-TXIX/XXI) GA 3.1, Conduct of Investigations Concerning SMIs PM 3.2.3, Cultural Competence  <u>Deleted:</u> 42 CFR 438.210	1-15-10
GA 3.6	Definition	<u>Added:</u> Action; Behavioral Health Professional  <u>Deleted:</u> Health Care Professional	1-15-10
GA 3.6	Procedures	1. First paragraph – Added first sentence and also referenced GA 3.3 TXIX/XXI Notice and Appeal Requirements and GA 3.5 Notice and Appeal Requirements for SMI/Non-SMI/Non-TXIX/XXI and GA 3.1 Conduct of Investigations Concerning SMIS at end of paragraph.	1-15-10
GA 3.6	Procedures	1. a. Added language stating that providers are not precluded from attempting to resolve issues and that providers must ensure that BH recipients understand that they are not required to use provider – they can use TRBHA complaint process at any time.	1-15-10
GA 3.6	Procedures	1. b. Deleted last sentence in paragraph.  1. c. Added RBHA contracts and TRBHA IGAs as authorities articulating complaint process.	1-15-10

		<ol style="list-style-type: none"> <li>1. d. Added more specific language describing the requirements for a written summary.</li> <li>1. f. Referenced PM 3.23 for requirements concerning LEP communication needs – interpretation, translation, etc.</li> <li>1. f. (2) Added words “written materials, or” to that paragraph.</li> <li>1. g. Added the words “to the T/RBHA” to paragraph.</li> <li>1. h. Changed “shall” to “must” and added last sentence concerning acknowledgement of oral complaints.</li> <li>1. i. Added timeframe for acknowledgement of written complaints.</li> <li>1. j. Added language regarding method of responding to written complaints (specifics for resolution letter).</li> <li>1. k. Added language requiring T/RBHA to advise complainant that they can contact ADHS/DBHS for review if they are not satisfied with T/RBHA resolution.</li> <li>1. l. Reformatted for clarity.</li> <li>1. m. Reformatted and clarified that individuals who make decisions concerning complaints must be BH professionals.</li> <li>1. n. Added section that describes what must be included in the complaint file.</li> <li>1. n. (2) deleted “Attachment A” as the Complaint Log will no longer be attached to the policy.</li> </ol>	
GA 3.6	Procedures	<ol style="list-style-type: none"> <li>2. ADHS/DBHS Requirements for Handling Complaints:  Clarified that complaints are made to DBHS Resolution Staff and will be referred to T/RBHA staff designated to respond to complaints according to this policies procedure. Deleted language regarding who is making the complaint (i.e. eligible or enrolled persons, their families, guardians, etc.)</li> </ol>	1-15-10
GA 3.6	Complaint Field	F. <u>Any identified communication need:</u>	1-15-10

	Log	Deleted 7 <sup>th</sup> row entitled "Request for Special Assistance"  Revised category entitled "Possible Need for Special Assistance" to update the criteria for Special Assistance in accordance with <u>PM 5.4 Special Assistance for persons determined to have a serious mental illness.</u>	
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**ADHS/DBHS POLICY AND PROCEDURE SECTION GA 3.7 Review of Deaths of All Behavioral Health Recipients**

<b>Policy #</b>	<b>TITLE</b>	<b>DESCRIPTION OF CHANGE</b>	<b>Last Revision Effective Date</b>
GA 3.7	References	<p>Added:</p> <p>42 U.S.C. § 10805; ADHS/DBHS Policy and Procedure CO 1.4 Confidentiality</p> <p>Deleted:</p> <p><a href="#">A.A.C. R9-20-111</a> (repealed)</p>	1-15-10
GA 3.7	Definitions	<p>Revised the definition of :</p> <p>Behavioral Health Recipient; Neglect; Protected Health Information.</p>	1-15-10
GA 3.7	F. Procedures	Revised name of "Performance Improvement Specification Manual No. 10" to "Performance Improvement Specification Manual No. XVII"	1-15-10
GA 3.7	F. Procedures	3. Replaced the word "should" with "must"	1-15-10
GA 3.7	F. Procedures	<p>4. b.</p> <p>Added two references: " 42 U.S.C. § 10805; and 42 C.F.R § 2.15"</p>	1-15-10

**ADHS/DBHS POLICY AND PROCEDURE SECTION QM 2.5 Reports of Incidents, Accidents and Deaths**

<b>Policy #</b>	<b>TITLE</b>	<b>DESCRIPTION OF CHANGE</b>	<b>Last Revision Effective Date</b>
QM 2.5	Title of Policy	Changed the title to "Reporting of Incidents, Accidents and Deaths" from "Reports...of I/A/D"	1/15/10
QM 2.5	Policy	Added sentence at end of paragraph: "For reporting requirements concerning seclusion and restraint events, see <u>Section 7.3, Seclusion and Restraint Reporting</u> "	1/15/10
QM 2.5	References	<u>Added:</u> 42 C.F.R. 483.352 42 C.F.R. 483.374 42 C.F.R. 51.2 Policy and Procedure CO 1.4, Confidentiality Policy and Procedure QM 2.4, Reporting and Monitoring the Use of Seclusion and Restraint Policy and Procedure GA 3.7, Review of Deaths of All Behavioral Health Recipients  <u>Deleted:</u> Section 4.1, Disclosure of Behavioral Health Information	1/15/10
QM 2.5	Definitions	<u>Revised definition of:</u>  Abuse; Behavioral Health Recipient; Human Rights Committees; Special Assistance	1/15/10
QM 2.5	Procedure	Replaced the word "shall" with "must" or "will" throughout this subsection.	1/15/10