

POLICY MI 5.1 ADHS/DBHS DOCUMENT DEVELOPMENT, MAINTENANCE AND DISSEMINATION

- A. PURPOSE: To describe the development, maintenance and distribution of all Arizona Department of Health Services/Division of Behavioral Health Services (ADHS/DBHS) documents designed to communicate behavioral health system requirements to Tribal and Regional Behavioral Health Authorities (T/RBHAs) and T/RBHA contracted providers.
- B. SCOPE: ADHS/DBHS and T/RBHAs.
- C. POLICY: ADHS/DBHS is responsible for ensuring that applicable requirements governing Arizona's public behavioral health system are articulated clearly and accurately to T/RBHAs and T/RBHA contracted providers.
- D. REFERENCES: [42 CFR 431.10](#)
[A.A.C. R9 21-210](#)
[AHCCCS/ADHS Contract](#)
[ADHS/RBHA Contracts](#)
[ADHS/TRBHA Intergovernmental Agreements \(IGAs\)](#)
[ADHS/DBHS Interagency Service Agreements](#)
[ADHS/DBHS Memorandums of Understanding](#)
[ADHS/DBHS Manuals and Guides](#)
[ADHS/DBHS Clinical Practice Protocols with Required Elements](#)
[ADHS/DBHS Clinical Practice Protocols without Required Elements](#)
[National Clinical Practice Guidelines](#)
[ADHS/DBHS Plans](#)
[Demographic and Outcome Data Set User Guide](#)
- E. DEFINITIONS:
- [ADHS/DBHS Documents](#)
- [ADHS/DBHS Medical Policies](#)
- [ADHS/DBHS Policy Committee](#)
- [ADHS/DBHS Public Comment](#)

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F. GENERAL REQUIREMENTS

1. ADHS/DBHS must:
 - a. Develop, maintain, post and distribute comprehensive policies.
 - b. Ensure T/RBHAs are provided copies of all applicable policies and provide prompt and accurate communication of any revisions to T/RBHAs.
 - c. Ensure that policies, manuals and standards contain detailed specifications for all operational, fiscal, program and administrative procedures applicable to the T/RBHAs.
 - d. Ensure that policies, manuals and standards pertaining to Title XIX and/or Title XXI members are consistent with AHCCCS policy requirements.

G. ADHS/DBHS Documents

ADHS/DBHS documents are published in various formats including, but not limited to, those listed below:

1. Contracts and Tribal Intergovernmental Agreements (IGAs)
 - a. RBHA contracts and Tribal IGAs articulate or reference supporting ADHS/DBHS documents that describe behavioral health system requirements.
2. Manuals and Guides

Manuals and Guides provide detailed information concerning the administrative, organizational or operational requirements associated with a specific function (See [ADHS/DBHS Guides and Manuals Web page](#)).

Examples include:

- a. The [ADHS/DBHS Covered Behavioral Health Services Guide](#) is directed to ADHS/DBHS, T/RBHAs and T/RBHA subcontracted providers and describes covered behavioral health services, provider types, and service codes that allowable provider types may use to submit encounters/claims.
- b. The [ADHS/DBHS and T/RBHA Provider Manuals](#) are directed to the

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T/RBHAs and T/RBHA contracted providers regarding requirements for the direct provision of behavioral health services.

- c. The [ADHS/DBHS Policy and Procedures Manual](#) is directed to ADHS/DBHS, T/RBHAs, and T/RBHA contracted providers for certain policies, and pertains to administrative and organizational requirements.
- d. The [ADHS/DBHS Office of Program Support Operations and Procedures Manual](#) is directed to ADHS/DBHS and the T/RBHAs and is a reference guide describing the procedural requirements for the submission of encounters and includes all data processing requirements.
- e. The [ADHS/DBHS Client Information System \(CIS\) File Layout and Specifications Manual](#) is a reference guide intended to assist each T/RBHA with ensuring the accuracy of data and in the development and/or maintenance of programming and other processes. The manual is also intended to assist each potential T/RBHA with understanding what would be required in an information services relationship with ADHS/DBHS. This manual includes file record layouts, specifications, and data definitions for each file passing between ADHS/DBHS, CIS, and each T/RBHA, as well as formats of informational reports created by ADHS/DBHS for the T/RBHAs' use.
- f. The [ADHS/DBHS Office of Grievance and Appeals Database Manual](#) is a user's guide designed to create, maintain and track the history of dockets for grievances, investigations and appeals. Each process type is detailed according to whether it occurs at the RBHA level or with ADHS/DBHS, and for which program it involves (children, general mental health, substance abuse, Serious Mental Illness (SMI), or provider concerns.).
- g. The [ADHS/DBHS Accounting and Auditing Procedures Manual](#) is a reference guide for contractors of ADHS/DBHS' funded programs. This manual details the financial responsibilities of contractors under ADHS/DBHS contracts, Interagency Service Agreements (ISAs), and Intergovernmental Agreements (IGAs). This manual also specifies Federal Financial Guidelines, Internal Controls, Accounting, System Records and Procedures, Cost Allocation, Matching Guidelines, Expenditure Reporting, Performance Accounting and Audit Procedures.
- h. The [ADHS/DBHS Financial Reporting Guide](#) is directed to ADHS/DBHS

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and T/RBHAs. The purpose of this reporting guide is to identify the monthly, quarterly and annual financial reporting requirements for contracted T/RBHAs and to ensure that financial resources are managed appropriately. The primary objectives of the reporting guide are to establish consistency and uniformity in financial reporting among the T/RBHAs and to provide guidelines to assist the T/RBHAs in meeting contractual reporting requirements.

- i. The [ADHS/DBHS BQMO Specifications Manual](#) is directed to ADHS/DBHS and T/RBHAs. This manual specifies performance measures, minimum performance standards, the methodology used to measure the performance, whether sampling is appropriate, data collection techniques, quality control requirements, reporting specifications and error rate calculations.
- j. The [ADHS/DBHS Demographic and Outcome Data Set User Guide](#) provides detailed information for the completion and submission of the demographic data set, which is a set of data elements that T/RBHAs are required to collect and submit to ADHS/DBHS. The demographic data set is reported to ADHS/DBHS through the ADHS/DBHS (CIS) and is used to:
 - Monitor and report on enrolled persons' outcomes;
 - Comply with federal and state funding and/or grant requirements to ensure continued funding for the behavioral health system;
 - Assist with financial-related activities, such as budget development and rate setting;
 - Support quality management and utilization management activities; and
 - Respond to requests for information.

3. Clinical Guidance Documents

Clinical guidance documents provide guidance to ADHS/DBHS, T/RBHAs and T/RBHA contracted providers by identifying best practices and endorsing specific approaches when providing covered behavioral health services. ADHS/DBHS endorses certain national Clinical Practice Guidelines and develops two types of ADHS/DBHS Clinical Practice Protocols:

- a. [Clinical Practice Protocols with Required Elements](#) are derived from clinical best practice for improving clinical outcomes for individuals served in Arizona's

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behavioral health system. Implementation of the selected best practices is monitored by the Tribal and Regional Behavioral Health Authorities (T/RBHAs) through the use of ADHS/DBHS standardized tools to ensure that service delivery is consistent with the service expectations outlined in the practice protocols.

- b. [Clinical Practice protocols without Required Elements](#) outline guidelines that promote best practices specific to services provided within Arizona's Behavioral Health System.
- c. [National Clinical Practice Guidelines](#) are existing national guidelines (e.g., American Psychiatric Association, American Academy of Child and Adolescent Psychiatry, National Association of State Alcohol and Drug Abuse Directors) pertaining to specific behavioral health conditions and treatment approaches that address psychiatric disorders in children, adolescents, and adults.

4. Plans

ADHS/DBHS plans are developed and used to describe business structure and processes and to identify organizational goals related to ADHS/DBHS' core business practices.

Examples include:

- a. The [ADHS/DBHS Quality Management \(QM\) Plan](#) describes the ADHS/DBHS QM structure, process and quality improvement initiatives. The QM/UM Plan is directed to ADHS/DBHS and the T/RBHAs and ensures that information and data are utilized to improve behavioral health system performance.
- b. The [ADHS/DBHS Medical Management/Utilization Management \(MM/UM\) Plan](#) describes the ADHS/DBHS MM/UM structure and organization. Additionally, the MM/UM plan describes the monitoring and evaluation of ADHS/DBHS and T/RBHA service delivery activities, including over- and under-utilization of services, clinical reviews and care management. The MM/UM plan is directed to ADHS/DBHS and the T/RBHAs.
- c. The [ADHS/DBHS Cultural Competency Plan](#) is directed to ADHS/DBHS and T/RBHAs and identifies and promotes practices that recognize, respect, and accommodate for the cultural and linguistic needs of behavioral health

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recipients.

- d. The [ADHS/DBHS Strategic Plan](#) is directed to ADHS/DBHS and includes an organized, measurable and accountable approach to accomplishing identified organizational goals related to ADHS/DBHS' core business practices.
- e. The [ADHS/DBHS Annual Network Development and Management Plan](#) outlines the process to identify and enhance the capacity of the T/RBHA's behavioral health provider networks.
- f. The ADHS/DBHS Business Continuity and Recovery Plan describe steps to ensure the continuance of clinical information systems and financial business functions in the event of a disaster.
- g. The [Title XIX ADHS Children's System of Care Plan](#) describes progress made during a year, as the progress relates to the objectives and goals of the 12 Principles laid out in the Jason K (JK) Settlement Agreement with ADHS/DBHS and the Arizona Health Care Cost Containment System (AHCCCS).

5 Internal ADHS/DBHS Desktop Protocols

ADHS/DBHS' internal desktop protocols are designed to describe specific implementation steps for performing an assigned departmental function. Internal desktop protocols are directed to the individual ADHS/DBHS department responsible for the identified task or activity.

H. Development and Revision of ADHS/DBHS Documents

- 1. [ADHS/DBHS Policy and Procedures Manual](#) and the [ADHS/DBHS Provider Manual](#)
 - a. Timeframes

All medical policies are reviewed and updated at least annually or more frequent if necessary, by the ADHS/DBHS Medical Director or designee. ADHS/DBHS' operational, fiscal, programmatic and administrative policies are reviewed at least every two years or more frequently to reflect new requirements or changes to existing requirements.
 - b. The process for development and revision of policy content for the

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[ADHS/DBHS Policy and Procedures Manual](#) and the [ADHS/DBHS Provider Manuals](#) includes the following steps:

- (1) Identify the policy content area and applicable sources/references (e.g. contracts, federal regulations, agency rules);
 - (2) Conduct research and incorporate relevant requirements and updates into policy;
 - (3) Secure feedback and recommendations from ADHS/DBHS functional area representatives;
 - (4) Review policy and solicit recommendations via ADHS/DBHS Policy Committee;
 - (5) Distribute draft policy to external stakeholders and solicit any comments;
 - (6) Review external stakeholder comments with ADHS/DBHS Policy Committee, as needed;
 - (7) Forward revised policy for approval;
 - (8) Secure appropriate signatures, if applicable;
 - (9) Disseminate to the T/RBHAs at least 30 days prior to the effective date;
 - (10) Develop and implement policy training, as necessary;
 - (11) As applicable, T/RBHAs will add geographic service area (GSA) specific information to content areas within the [ADHS/DBHS Provider Manual](#). ADHS/DBHS reserves the right to require changes to T/RBHA Provider Manuals; and
 - (12) T/RBHAs disseminate final policies to its providers before the effective date of the policy.
2. Other ADHS/DBHS Documents (excluding the [ADHS/DBHS Policy and Procedures Manual](#) and the [ADHS/DBHS Provider Manual](#))

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a. Timeframes

All other ADHS/DBHS documents are reviewed and updated as necessary or at least every two years. Each document will indicate the date of the last review.

b. Process for development and revision of content for other ADHS/DBHS documents:

- (1) Identify the content area and applicable sources/references;
- (2) Conduct research and incorporate relevant requirements and updates into policy;
- (3) Secure feedback and recommendations from ADHS/DBHS functional area representatives;
- (4) Review content and solicit recommendations from applicable internal staff and external stakeholders; and
- (5) Ensure that new document (s) pertaining to Title XIX or Title XXI eligible persons are consistent with AHCCCS required policy content, processes or business practices.


I. Posting and Distribution of ADHS/DBHS Documents

1. ADHS/DBHS documents are distributed to the T/RBHAs when new documents are developed and when current documents are revised.
2. The T/RBHAs will ensure that all applicable documents are made available to all T/RBHA contracted providers including the prompt and accurate communication of applicable ADHS/DBHS document revisions.
3. ADHS/DBHS documents are posted on the [ADHS/DBHS Web site](#) as appropriate.
4. The ADHS/DBHS web based edition of ADHS/DBHS documents are updated upon revision. T/RBHAs will receive prompt notification of all changes pertaining to ADHS/DBHS documents posted on the [ADHS/DBHS Web site](#).

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5. The T/RBHAs must post the most current T/RBHA specific edition of the Provider Manual on the T/RBHA Web site. T/RBHAs must ensure prompt notification to contracted providers of all changes posted on the T/RBHA Web site. The T/RBHAs must ensure that hard copy versions of the T/RBHA Provider Manual are distributed to all contracted providers that do not have internet access.

J. APPROVED BY:



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