

**Protocol for the Definition of Roles and Responsibilities in the Coordination of Service Delivery  
Between Northern Arizona Regional Behavioral Health Authority (NARBHA) and  
Arizona Department of Corrections (ADC)**

Effective 01/01/2005

Revised 12/31/06, 12/31/07, 12/31/08, 12/07/09

Northern Arizona Regional Behavioral Health Authority (NARBHA) and the Arizona Department of Corrections (ADC) agree to coordinate care in the areas of referral, intake and assessment, and treatment planning for those enrolled in any treatment programs within the NARBHA Network. NARBHA and ADC believe that it is paramount to join efforts and form a partnership for the purpose of helping parolees who are being released from incarceration access behavioral health services upon discharge. In order to ensure effective service delivery, both agencies agree to coordinate the roles and responsibilities outlined below.

\*Links for this protocol can be located on the NARBHA website ([www.narbha.org](http://www.narbha.org)) or in Provider Policy 4.4 'Coordination of Care with Other Government Entities'

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Coordination of Care – Referral and Service Delivery	
NARBHA/Provider Responsibilities	ADC Responsibilities
1. The Criminal Justice Coordinator will act as a single point of contact for ADC parole officers and NARBHA providers for any questions, concerns or issues that arise.	1. If it is determined that a parolee has an issue of substance abuse or mental health, the parole officer will make a referral to RA.
2. Upon receipt of the referral from the ADC parole officer, the RA will offer an initial assessment to the member within 7 days of the referral.	2. ADC parole officer will notify RA if a warrant has been issued for member.
3. The Criminal Justice Coordinator will monitor NARBHA providers to ensure compliance.	3. ADC parole officer will notify RA if a parolee has been transferred out of the NARBHA area.
4. The Criminal Justice Coordinator will monitor NARBHA providers to ensure that the first treatment service occurs within 23 days of receiving the referral for eligible members.	

Mechanisms for Information Sharing – Coordination of Care	
NARBHA/Provider Responsibilities	ADC Responsibilities
1. The RA's will maintain a current roster of offender referrals, placements and case status, including individuals returned to the prison system.	1. ADC parole officers shall ensure that all necessary informed consents are obtained to allow for coordination of care pursuant to federal confidentiality of substance abuse treatment patient information (42CFR Part 2).
2. The RA will notify parole officers within 10 business days of an incident of: <ul style="list-style-type: none"> <li>• Offender missing/no-showing for intake appointment</li> <li>• Offender refusing service</li> <li>• Sub-contracted provider's inability to reach offender by phone or mail</li> <li>• Offender non-compliance.</li> </ul>	2. Parole officers will provide case documentation to assist in appropriate treatment placement, including a brief history of critical facts, known substance abuse history, mental health issues, prior treatment and criminal justice history, and any known history of violence or sex offense.

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	3. Parole officers will consult with the RA regarding any recommendation for a change in service or service coordination.
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<b>Information Sharing – Member Privacy</b> Verbal or non-electronic information may be exchanged between NARBHA and CPS without release of information forms.	
<b>NARBHA Responsibilities</b>	<b>ADC Responsibilities</b>
1. NARBHA and RA's will send encrypted emails to ADC when discussing specific client information.	
2. NARBHA will be required to provide some basic security information and to alert ADC staff of the pass phrase they must use to open and process the encrypted email.	
3. Faxes must be sent only to secured fax machines as required by HIPAA.	1. Faxes can be sent directly to RA fax line.
4. Compliance with all other HIPAA requirements	

<b>Resources Contributed to the Care and Support of Persons Mutually Served</b>	
<b>NARBHA/Provider Responsibilities</b>	<b>ADC Responsibilities</b>
1. NARBHA providers shall conduct financial screening for Title XIX eligibility and assist in the application process.	1. ADC parole officers contribute community supervision of offenders.
2. NARBHA providers will coordinate Adult Team meetings for members and ADC parole officers will be invited to attend if member chooses.	2. ADC parole officers contribute information regarding offenders to ensure appropriate behavioral health services are received.
3. NARBHA providers will communicate and collaborate as needed with ADC parole officers regarding member progress.	3. ADC parole officers will communicate and collaborate with NARBHA providers to increase the member's participation in treatment services.

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<p>4. NARBHA offers the comprehensive array of covered behavioral health services detailed in the Arizona Department of Health Services/ Division of Behavioral Health Services <u><a href="#">Covered Services Guide</a></u>.</p>	
<p>For more information:</p> <ul style="list-style-type: none"> <li>☞ DBHS Covered Services Guide: <a href="http://www.azdhs.gov/bhs/covserv.htm">http://www.azdhs.gov/bhs/covserv.htm</a></li> <li>☞ The NARBHA Provider Listing is available on the home tab/resources on the NARBHA website <a href="http://www.narbha.org">www.narbha.org</a></li> </ul>	

<b>Mechanisms for Resolving Problems</b>	
<b>NARBHA/Provider Responsibilities</b>	<b>ADC Responsibilities</b>
<p>1. The RA identified staff will act as the single point of contact for ADC parole officers and coordinate bi-annual meetings or as needed with ADC parole officers.</p>	<p>1. ADC staff will attend bi-annual meetings or as needed with RA identified staff.</p>
<p>2. The Criminal Justice Coordinator will attend meetings as needed with NARBHA providers.</p>	<p>2. ADC parole officers will contact the Criminal Justice Coordinator as necessary if problems arise that can not to be resolved at the RA level to discuss possible problem resolutions.</p>

<b>Mechanisms for Resolving Member/Consumer Complaints</b>	
<p>All persons enrolled with NARBHA have access to a complaint process for expression of dissatisfaction with any aspect of their care. Complaints about behavioral health services are encouraged to be resolved at the lowest possible level, yet it is equally important that persons understand that a formal complaint process is also available when needed.</p>	
<p><b>Complaints:</b> A complaint is defined as an expression of dissatisfaction. Possible subjects for complaints include, but are not limited to, the quality of care or services provided, and aspects of interpersonal relationships such as rudeness of a provider or employee or failure to respect the enrollee's rights.</p>	
<b>NARBHA/Provider Responsibilities</b>	<b>ADC Responsibilities</b>
<p>1. NARBHA staffs a customer services unit which is responsible to coordinate communications with eligible and enrolled persons and acts as, or coordinates with advocates, behavioral health providers and others to resolve issues. This unit:</p> <ul style="list-style-type: none"> <li>• Educates and notifies persons about their rights and the process for filing complaints in a manner that is understandable.</li> <li>• Resolves complaints in an expeditious and equitable manner and with due regard for the dignity and rights of all persons. NARBHA is required to dispose of each complaint and provide oral or written notice within 14 calendar days.</li> <li>• Maintains confidentiality and privacy of complaint matters and records at all times.</li> <li>• Communicates, timely information on matters and decisions related to the complaint to affected parties.</li> <li>• Involves the active cooperation and participation as deemed appropriate of providers with a direct interest in the matter under review.</li> </ul>	<p>1. Attempts to resolve issues at the local level should include working through the CFT or AT process and may elevate to include contacting the RA Clinical Director. Consultation is available at the regional level by the NARBHA Criminal Justice Coordinator as needed. (See Mechanisms for Resolving Problems above)</p> <p>Complaints pertaining to member specific situations can be reported to NARBHA by utilizing their toll free telephone number: 1-800-640-2123. To submit a written complaint, mail the complaint to NARBHA Member Services at 1300 S. Yale Street, Flagstaff, AZ 86001.</p> <p>If issues cannot be resolved at these levels, see the DBHS Provider Policy Manual Section 5 for more information regarding grievance and appeal rights. Reports called "Complaint Resolutions" may additionally be reported to the ADHS/Division of Behavioral Health Services.</p>

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Mechanisms for Identification of Joint Training Needs	
NARBHA/Provider Responsibilities	ADC Responsibilities
1. The Criminal Justice Coordinator will schedule trainings as needed or requested with RA's and ADC.	1. ADC will attend and participate in bi-annual meetings at their specified RA and training needs shall be identified at that time.
2. NARBHA providers receive trainings relevant to substance abuse issues. ADC parole officers are also welcome to attend these trainings.	
3. Training on this Protocol is mandatory for all adult behavioral health employees (providing services or receiving ADC referrals) and ADC employees within six months of employment and updates must be reviewed annually. Overview training is available through Essential Learning.	