

**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, 12/13/10, 12/27/11

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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<b>Coordination of Care – Referral and Service Delivery</b>	
<b>NARBHA/Provider Responsibilities</b>	<b>ADC Responsibilities</b>
1. The Criminal Justice Coordinator will act as a point of contact for ADC and NARBHA providers for any questions, concerns or issues that arise.	1. If it is determined that an offender has an issue of substance abuse or mental health, the parole officer will make a referral to RA (if there is multiple providers, offender will choose) along with the following:  <div style="display: flex; justify-content: space-between;"> <div style="width: 40%;">Directive</div> <div style="width: 60%;">                     Referral/Release of Information/Written                       Pre-sentence Report (if available)                      AZSAHI-DI93                      Conditions of Supervision                 </div> </div>
2. Upon receipt of the referral from ADC, the RA will offer an initial assessment to the member within 7 days of the referral.	2. ADC will notify RA if there is a change in status: A warrant has been issued Petition to revoke Offender has absconded Offender has been arrested/jailed  *The clinician will keep confidential the offender's change in status until there is agreement with the assigned parole officer regarding the therapeutic value of the information.
3. The Criminal Justice Coordinator will monitor NARBHA providers to ensure compliance.	3. ADC will notify RA if an offender has 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.	
5. The RA shall review ADC documentation when considering placing offenders in programming.	

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<b>Mechanisms for Information Sharing – Coordination of Care</b>	
<b>NARBHA/Provider Responsibilities</b>	<b>ADC Responsibilities</b>
<p>1. The RA's will maintain a current roster of offender referrals, placements and case status. The RA will provide ADC (Per ADC request) with:</p> <ul style="list-style-type: none"> <li>Individualized Service Plan</li> <li>Certificates of Completion</li> <li>Monthly Attendance</li> </ul>	<p>1. ADC 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).</p>
<p>2. The RA will notify ADC within 10 business days (for low &amp; medium risk levels, but for high risk level offenders notifications should be reported within 72 hrs) of an incident of:</p> <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> <li>• Behaviors that present a risk to self or public safety</li> </ul>	<p>2. ADC 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 summary (as permitted by law), and any known history of violence or sex offense. The FROST will be completed every 6 months and forwarded to the provider.</p>
<p>3. The RA will invite the ADC to Adult Recovery Team meetings (ART's), per pursuant to offenders terms and conditions of parole.</p>	<p>3. ADC will consult with the RA regarding any recommendation for a change in service or service coordination.</p>
<p>4. The RA will review ADC documents on an on-going basis.</p>	

**Information Sharing – Member Privacy**

Verbal or non-electronic information may be exchanged between NARBHA and ADC without release of information forms.

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<b>NARBHA Responsibilities</b>	<b>ADC Responsibilities</b>
1. NARBHA and RA's will send encrypted emails to ADC when discussing specific client information.	1. Faxes can be sent directly to RA fax line.
2. NARBHA will be required to provide some basic security information and to alert ADC of the pass phrase they must use to open and process the encrypted email.	2. Secured Email
3. Faxes must be sent only to secured fax machines as required by HIPAA.	
4. Compliance with all other HIPAA requirements	
5. Compliance with the Release of Information	

<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's provide community supervision of offenders.
2. NARBHA providers will communicate and collaborate as needed with ADC regarding member progress (at a minimum once a month).	2. ADC contribute information regarding offenders to ensure appropriate behavioral health services are received.
3. NARBHA offers the comprehensive array of covered behavioral health services detailed in the Arizona Department of Health Services/ Division of Behavioral Health Services <u>Covered Services Guide</u> .	3. ADC will communicate and collaborate with NARBHA providers to increase the member's participation in treatment services.

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<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>
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<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 and coordinate annual meetings or as needed with ADC. RA identified staff will forward meeting roster to Criminal Justice Coordinator at NARBHA.</p>	<p>1. ADC staff will attend 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 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 member 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</li> </ul>	<p>1. Attempts to resolve issues at the local level should include working through the AFT 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</p>

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<p>for filing complaints in a manner that is understandable.</p> <ul style="list-style-type: none"> <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>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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<b>Mechanisms for Identification of Joint Training Needs</b>	
<b>NARBHA/Provider Responsibilities</b>	<b>ADC Responsibilities</b>
1. The Criminal Justice Coordinator will schedule trainings as needed or requested with RA's and ADC's.	1. ADC will attend and participate in 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 is 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.	
4. Joint trainings on Evidence Based Practice will occur as needed or requested with RA's and ADC's.	