



Department
of Health

Office of
Mental Health

Office of Alcoholism and
Substance Abuse Services

ANDREW M. CUOMO
Governor

HOWARD A. ZUCKER, M.D., J.D.
Acting Commissioner, DOH

ANN MARIE T. SULLIVAN, M.D.
Commissioner, OMH

ARLENE GONZALEZ-SANCHEZ, M.S., L.M.S.W.
Commissioner, OASAS

NEW YORK REQUEST FOR QUALIFICATIONS FOR ADULT BEHAVIORAL HEALTH BENEFIT ADMINISTRATION:

Managed Care Organizations and Health and Recovery Plans

July 3, 2015

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Introduction

The New York State Offices of Mental Health (OMH) and Alcoholism and Substance Abuse Services (OASAS), and the Department of Health (DOH) are accepting applications to qualify New York State Medicaid Managed Care Plans to manage Medicaid behavioral health services. Plans operating as a Medicaid Managed Care Plan in NYS as of March 1, 2014 and on the start-up dates discussed in this RFQ are eligible to participate in the application process. This document establishes the program requirements and required Plan qualifications.

Legal Authority

Section 364-j of the NYS Social Services Law authorizes the commissioner of the Department of Health, in cooperation with the commissioners of the Office of Mental Health and the Office of Alcoholism and Substance Abuse Services to establish managed care programs under the medical assistance program (Medicaid). Section 365-m of the NYS Social Services Law authorizes the commissioners of the Office of Mental Health, the Office of Alcoholism and Substance Abuse Services and the Department of Health to designate special needs managed care plans to manage the behavioral and physical health needs of medical assistance enrollees with significant behavioral health needs.

Important Notice Regarding NYS Freedom Of Information Law (FOIL).

The State of New York is required to provide public access to certain documents it maintains. The Freedom of Information Law, however, Section 87.2 (d) of the Public Officers Law, allows exception for trade secret information which, if disclosed, could cause substantial injury to the competitive position of the Contractor's enterprise.

The content of each Plan's submission will be held in strict confidence during the evaluation process, and details of any submission will not be discussed outside the evaluation process. Should a Plan believe that certain portions of its submission qualify for trade secret status; the Plan must submit in writing, accompanying its proposal, explicit justification and cite the specific portions of the submission for which an exemption is being requested. Plans requesting an exemption for trade secret status will be notified in writing of the agency's determination of their request.

Requests for exemptions for entire submissions are not permitted, and may be grounds for considering the submission to be non-responsive to this RFQ and for disqualification of the Plan.

Designated Contact Agent

The State has designated a Contact Agent who shall be the exclusive contact from the time of issuance of this RFQ until the issuance of final Designation for counties outside NYC. Plans may not initiate any communication with any other personnel of the State (DOH, OMH or OASAS) regarding their submission to this RFQ during the restricted time period. Any information received as a result of such prohibited communications is not official and may not be relied upon. The initiation of such prohibited communications may result in the disqualification of the Applicant for designation. The designated contact agent is:

Susan Penn
bho@omh.ny.gov

Communications initiated by the State for purposes of clarifying a Plan's submission and/or working with Plans to modify its submission to meet the standards in the RFQ shall not be considered a violation of the provisions of this paragraph.

Inquiries Related to the RFQ

Any questions or requests for clarification about this RFQ must be received in writing by 5:00 p.m. (EDT) on July 15, 2015. All questions must be directed to the designated contact agent referenced above. All inquiries must be typed and include your name, organization, mailing address, email address, and fax number. Please reference the: NEW YORK REQUEST FOR QUALIFICATIONS FOR ADULT BEHAVIORAL HEALTH BENEFIT ADMINISTRATION. To the degree possible, each inquiry should cite the RFQ section to which it refers. Inquiries may be submitted only by e-mail (bho@omh.ny.gov). The State will not entertain inquiries via telephone, inquiries made to anyone other than the designated contact agent, or inquiries received after the deadline date. Inquiries will not be answered on an individual basis. Written responses to inquiries submitted by the deadline date will be posted on the DOH, OMH and OASAS websites.

Applicant's Conference

A non-mandatory Applicant's Conference will be announced shortly after the release of the RFQ. The State will notify all potential applicants of meeting details when scheduled. Applicants (Managed Care Plans) must preregister by a date to be determined. Each applicant may pre-register no more than 3 individuals. Non-applicants will be allowed to attend to the extent there is space available. Non-applicants must also pre-register and may be limited to no more than 1 individual per organization.

During this meeting, the State will provide an overview of the RFQ and will be available to answer questions related to this RFQ. If an applicant is unable to attend the meeting in person, the State will make arrangements for participation via conference call. Such applicants should contact the Designated Contact Agent for details.

Addenda to the RFQ

In the event that it becomes necessary to revise any part of the RFQ an addendum will be posted on the DOH, OMH and OASAS websites.

Submission Process

Proposals to serve counties outside of New York City must be submitted in a sealed package and received before 5:00 p.m. (EDT), on September 18, 2015 to the address below:

Susan Penn, Contract Manager
Attn: MCO and HARP RFQ
Office of Mental Health, 7th floor
44 Holland Avenue
Albany, NY 12229

Submission of proposals in a manner other than as described in Section 4.0 will not be accepted.

Reserved Rights

The State of New York reserves the right to:

1. Prior to the due date, amend or modify the RFQ specifications to correct errors or oversights, to make revisions required by CMS or to supply additional information, as it becomes available.
2. Make additional revisions to specifications at any time, as necessitated by negotiations with CMS.
3. Change any of the scheduled dates.
4. Prior to the due date, direct Plan to submit modifications addressing subsequent RFQ amendments.
5. Withdraw the RFQ at any time, at the States sole discretion.
6. Disqualify any Plan whose conduct and/or proposal fails to conform to the requirements of this RFQ.
7. Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective plans.
8. Seek clarifications and revisions of Plan proposals; including conducting interviews and conferences with Plans to assure the State has a complete and accurate understanding of a Plans proposal.
9. Reject any and all Plan proposals received in response to this RFQ.
10. Make inquiries, at the State's sole discretion and by any means it may choose, into a Plan's background or statements made in the submission to determine the truth and accuracy of statements made by a Plan.
11. Require clarification at any time during the RFQ process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a Plan's proposal and/or to determine a Plan's compliance with the requirements of the RFQ.
12. Request any additional information pertaining to the Plan's ability, qualifications, and procedures used to accomplish all work under any contract as the State deems necessary to ensure safe and satisfactory work.

13. Use proposal information obtained through site visits, management interviews and the state's investigation of Plan's qualifications, experience, ability or financial standing, and any material or information submitted by the Plan in response to the State's request for clarifying information in the course of qualification under the RFQ.
14. Waive any requirement that is not material.
15. Disqualify any Plan whose conduct and/or submission fails to conform to the requirements of the RFQ.
16. Disqualify a Plan if such Plan has previously failed to perform satisfactorily in connection with public bidding or contracts.

Changes and Notification

In the event it becomes necessary to revise any part of this RFQ document prior to the scheduled submission date for proposals, an addendum will be posted on the OMH, OASAS and DOH websites. It is the proposing organization's responsibility to periodically review these websites to learn of revisions or addendums, as well as to view the official questions and answers. No other notification will be given.

Key Events Timeline

Key Events	Date
RFQ Release	July 3, 2015
Deadline for Submission of Questions prior to Applicant's Conference ¹	July 15, 2015
Applicant's Conference	TBD early August, 2015
Questions and Answers Posted on OMH/OASAS/DOH Websites	TBD early-August, 2015
Proposals Due for Counties Outside NYC	September 18, 2015
Notice of Conditional Designation	Late October 2015
Plan Readiness Reviews	November 2015-February 2016
Final Designation	March 2016
Implementation Date	Adults in Rest of State on July 1, 2016

¹ Questions submitted prior to the Applicant's Conference will be addressed at the Applicant's Conference.

1.0 Background

1.1 Vision

New York seeks to create an environment where managed care plans, service providers, peers, families, and government partner to help members prevent chronic health conditions and recover from serious mental illness and substance use disorders. The partnership will be based on the following values:

1. *Person-Centered Care:* Care should be self-directed whenever possible and emphasize shared decision-making approaches that empower members, provide choice, and minimize stigma. Services should be designed to optimally treat illness and emphasize wellness and attention to the entirety of the person.
2. *Recovery-Oriented:* The system should include a broad range of services that support recovery from mental illness and/or substance use disorders. These services support the acquisition of living, vocational, and social skills, and are offered in settings that promote hope and encourage each member to establish an individual path towards recovery.
3. *Integrated:* Service providers should attend to both physical and behavioral health needs of members, and actively communicate with care coordinators and other providers to ensure health and wellness goals are met. Care coordination activities should be the foundation for care plans, along with efforts to foster individual responsibility for health awareness.
4. *Data-Driven:* Providers and plans should use data to define outcomes, monitor performance, and promote health and wellbeing. Plans should use service data to identify high-risk/high-need members in need of focused care management. Performance metrics should reflect a broad range of health and recovery indicators beyond those related to acute care.
5. *Evidence-Based:* The system should incentivize provider use of evidence-based practices (EBPs) and provide or enable continuing education activities to promote uptake of these practices.² NYS intends to partner with plans to educate and incentivize network providers to deliver EBPs. The NYS Office of Mental Health provides technical assistance through entities such as the Center for Practice Innovations at Columbia University/New York State Psychiatric Institute as well as the Managed Care Technical Assistance Center (a partnership between McSilver Center at NYU and CASA Columbia) Additionally, the Northeast Addition Technology Transfer Center provides technical assistance with EBP's for Substance Use Disorder programs.

1.2 The Current System of Care

The Mental Health System: The past 30 years have seen a transformation of the public mental health system. The State operated adult psychiatric hospital census has declined from over 20,000 to under 2,900. Access to outpatient treatment, community supports, rehabilitation, and general hospital psychiatric inpatient services have dramatically

² For review of EBPs for individuals with serious mental illness see: Dixon LD, Schwarz EC: Fifty years of progress in community mental health in US: the growth of evidence-based practices. *Epidemiology and Psychiatric Sciences*, published on-line November 12, 2013, DOI: 10.1017/S2045796013000620

expanded. More than 38,000 units of state supported community housing for people living with mental illness have been developed. These community based resources have created a safety net which has helped the mental health system to evolve from a primarily hospital focused system to one of community support. The emergence of the peer recovery and empowerment movement in the 1990s has stimulated the shift in focus from support to recovery. The legal system's expansion of civil rights to include people with mental illness, as part of Olmstead Legislation and Americans with Disabilities Act, has begun to move policy from the concept of least restrictive setting to full community inclusion.

As a result of the growth in community services, OMH now funds and licenses more than 2,500 mental health programs serving 700,000 people annually. These programs are operated by the State, local governments, not-for profit agencies and for profit organizations. They provide outpatient and inpatient treatment, rehabilitation, emergency services, housing, community support and vocational services. The majority of services are delivered to individuals with a serious mental illness (SMI) or children and adolescents who have a serious emotional disturbance (SED). These individuals suffer from the most difficult and complex mental health conditions and often have co-morbid physical health and substance use ailments.

Funding for the system's array of services is a complex mix of Medicaid, State aid, county support, other funding, and private insurance. The Medicaid program is the State's largest payor for mental health services, and accounts for 48% of the public mental health system. Inpatient psychiatric services in discrete psychiatric units of general hospitals, private psychiatric hospitals and OMH-operated psychiatric centers represent \$3.67 billion of total mental health spending.

As a result of history, population, funding, and local priorities, the structure and content of mental health services vary considerably by region and county. For a more complete overview of the New York Mental Health System, follow the links to OMH documents:

1. [2012 OMH 5.07 Plan](#)
2. [OMH Statistics and Reports](#)

The Substance Use System: OASAS plans, develops and regulates the State's system of substance use disorder and gambling treatment agencies. This includes the direct operation of 12 Addiction Treatment Centers, which provide inpatient rehabilitation services to approximately 10,000 persons per year. In addition, the Office licenses, funds, and supervises nearly 1,000 community-based substance use disorder treatment programs, which serve about 100,000 persons on any given day and 245,000 unique individuals annually in a wide range of comprehensive services. The agency inspects and monitors these programs to guarantee quality of care and to ensure compliance with State and national standards.

Substance Use Disorders are chronic health conditions that often co-occur with associated mental health and physical health problems. Treatment is focused on life-long recovery and disease management skills including management of co-occurring disorders and a holistic plan for regaining health. Peer support, housing, family, social and spiritual supports are integral to successful treatment. Patients should receive care that is evidence-based

including addiction and/or psychotropic medications when indicated by their history and symptoms.

Too many patients with SUD are re-admitted to crisis or inpatient services within a 12 month period because they were not connected to effective community based clinical and recovery services. In 2011, 91,734 people were admitted to a crisis level of service and 39,126 were admitted to an inpatient program. Of the 130,860 inpatient and detox admissions in CY 2011, 16,027 (12.3%) were linked to a community service within 14 days of discharge and 57,717 (44.1%) were readmitted to an inpatient or detox within 12 months. We need to build care coordination and recovery supports in the community to reduce unnecessary readmissions and improve outcomes for patients in SUD treatment.

For a more complete overview of the New York Substance Use Disorder System, follow the link to OASAS Planning Documents:

1. [OASAS Statewide Comprehensive Plan](#)
2. [OASAS Planning Resources](#)

1.3 Medicaid Redesign: Many Challenges Remain

While much progress has been made, achieving NY's vision for improved behavioral health and physical health, recovery, and community integration requires that public policy continue to be redesigned and resources reallocated. For many adults with serious mental illness and substance use disorder, the broad array of treatment options is difficult to navigate. The current service system does not always ensure priority access to individuals with the highest needs. Services provided by different clinicians are not always well-coordinated, and payments for services provided are not always structured to provide incentives that promote recovery.

Data collected through New York State's BHO I initiative shows that despite the efforts of many committed professionals, the connectivity from inpatient psychiatric care and/or inpatient detoxification to outpatient care – both behavioral health and physical health – remains low and hospital readmission rates remain high (see [Attachment F](#) for summary of BHO Phase I concurrent review activities and findings). Medicaid's behavioral health resources are still largely unmanaged and services are paid through a fee for service model which lacks accountability for outcomes and leads to fragmentation of care. A listing of system problems illustrates this.

- i. More than 20% of people discharged from general hospital psychiatric units are readmitted within 30 days. The majority of these readmissions are to a different hospital.
- ii. Discharge planning often lacks strong connectivity to outpatient aftercare and there is a lack of assertive engagement and accountability in ambulatory care. This weak accountability and proactive engagement contributes to readmissions, overuse of emergency rooms, poor outcomes, and public safety concerns.
- iii. There is a lack of care coordination for people with serious SUD problems which leads to poor linkage to care following a crisis or inpatient treatment.
- iv. A significant percentage of the homeless singles population has serious mental illness and/or substance use disorder.

- v. People with mental illness and/or substance use disorders are over-represented in jails. For example, approximately 42% of individuals in NYC jails have a primary substance use disorder and 33% have a mental health diagnosis. Of those with a mental health diagnosis, about 50% have a co-occurring substance use disorder diagnosis.
- vi. The unemployment rate for people with serious mental illness is 85%.
- vii. 33% percent of people entering detox were homeless and 66% were unemployed in 2011.
- viii. People with serious mental illness die about 25 years sooner than the general population, mainly from preventable chronic health conditions.
- ix. People with serious mental illness and/or substance use disorder frequently have poor access to primary care due to stigma and other factors.
- x. The prevalence of smoking and tobacco use remains high for people with serious mental illness and substance use disorders despite public health efforts that have resulted in significant decline for the general population ([Attachment G](#)).³
- xi. Poor management of medication and pharmacy contributes to inappropriate poly-pharmacy, inadequate medication trials, inappropriate formulary rules, poor monitoring of metabolic and other side effects, and lack of a person centered approach to medication choices. In SUD treatment, patients often lack access to appropriate medications due to lack of management and inadequate number of certified physicians or programs that provide medication services.
- xii. Depression and other mental disorders are common and disabling, yet only about 25 percent of individuals with these disorders receive effective care.
- xiii. Only 20 percent of adults with mental health disorders are seen by mental health specialists and many prefer and receive treatment in primary care settings.

Governor Cuomo, recognizing these problems, has called for “a fundamental restructuring of (the) Medicaid program to achieve measurable improvement in health outcomes, sustainable cost control, and a more efficient administrative structure”. The Governor appointed a broadly representative Medicaid Redesign Team (MRT) to review and provide recommendations to achieve these objectives.

An MRT Behavioral Health (BH) work group was created in 2011 to guide the restructuring of behavioral health Medicaid services. This work group was co-chaired by Linda Gibbs, then Deputy Mayor of New York City and Michael Hogan, then Commissioner of the Office of Mental Health (OMH). The 22 members of the work group included Commissioner Arlene González Sánchez of the Office of Alcoholism and Substance Abuse Services (OASAS),

³Tobacco use is a serious public health concern given its associated economic burden and role as a preventable risk factor for other health conditions. The complexity and insidious nature of this problem demands comprehensive, targeted and sustainable strategies to produce better health outcomes.

advocates, providers, insurers, and other stakeholders from the New York behavioral health community.

The work group produced a series of recommendations concerning BH system transformation. These recommendations served as a guide in the design of this managed care initiative⁴.

1.4 Legal Authority

Section 364-j of the NYS Social Services Law authorizes the Commissioner of the Department of Health, in cooperation with the Commissioners of the Office of Mental Health and the Office of Alcoholism and Substance Abuse Services to establish managed care programs under the medical assistance program (Medicaid). Section 365-m of the NYS Social Services Law authorizes the commissioners of the Office of Mental Health, the Office of Alcoholism and Substance Abuse Services and the Department of Health to designate special needs managed care plans to managing the behavioral and physical health needs of medical assistance enrollees with significant behavioral health needs.

1.5 Program Design

- A. New York is taking a multi-pronged approach to the incorporation of behavioral health services for adults in Medicaid managed care. This approach is as follows:
- i. **Qualified Mainstream MCOs:** For all adults served in mainstream MCOs throughout the State, the qualified MCO will integrate all Medicaid State Plan covered services for mental illness, substance use disorders (SUDs), and physical health (PH) conditions. Plans must meet the criteria contained in this RFQ to qualify to administer the BH benefit. Premiums for mainstream Plans will be adjusted to reflect the additional BH benefits of mainstream enrollees.
 - ii. **Health and Recovery Plans (HARPs):** For adult populations meeting the serious mental illness (SMI) and SUD targeting criteria and risk factors, the State will enroll individuals in specialty lines of business within the mainstream MCOs statewide. These distinct specialty lines of business will be called HARPs. Note: for adults meeting targeting and risk criteria already enrolled in an HIV Special Needs Plan, the individual will remain in the SNP. Within the HARPs and HIV SNP, an enhanced benefit package of Behavioral Health Home and Community Based Services (BH HCBS)⁵, in addition to the existing mainstream benefit package and carve-in Medicaid State Plan BH services will be offered for enrolled individuals who meet both targeting and needs-based criteria for functional limitations. The needs based criteria are in addition to any targeting and risk factors required for HARP eligibility. The enhanced benefit package will help maintain participants in home and community-based settings. These enhanced benefit

⁴ See http://www.health.ny.gov/health_care/medicaid/redesign/docs/mrt_behavioral_health_reform_recommend.pdf

⁵ For the purposes of accessing BH HCBS, HARP eligible individuals enrolled in an HIV Special Needs Plan (SNP) will be treated as if they are in a HARP. They must follow the same process and meet the same standards required for HARP enrollees to access BH HCBS. BH HCBS for HARP eligibles enrolled in an HIV SNP will be reimbursed on the same “non-risk” basis for as for those in a HARP.

packages will be provided by the qualified full-benefit HARPs and HIV SNPs. The qualified HARP and HIV SNP will contract with Health Homes to develop a person-centered care plan and provide care management for all services within their care plan, including the BH HCBS in compliance with home and community-based standards.

The general expectation is that:

- a. Health Homes, wherever possible, will provide care coordination services, including comprehensive care management and the development of person centered plans of care; health promotion, comprehensive transitional care; patient and family support; and referral and connection to community and social support services, including to non-Medicaid Services.
- b. Plans will use data to identify individuals in need of high touch care management; identify patients disconnected from care, notify Health Homes when members show up in ERs and inpatient settings; and, monitor Health Home performance.

HARPs will have an integrated premium established for this behavioral health population. They will have specialized staffing requirements and qualifications along with focused behavioral health performance metrics and incentives to achieve health, wellness, recovery, and community inclusion for their members.

For the purposes of this RFQ, HIV SNPs must complete all HARP only questions (in addition to the mainstream questions) in Section 4 of this RFQ and qualify as a HARP in order to manage the BH HCBS benefits for their members.

- iii. **Children in Mainstream MCOs:** Children's specialty BH services, including all four BH HCBS waivers operated by OMH and the Office of Children and Family Services, will be included in the mainstream MCOs at a later date. Plans will need to meet additional standards and contract requirements for the management of children's services at that time. The process for integrating children's BH services will be specified by New York State at a later date.
- iv. **Integration of State Operated Psychiatric Services:** OMH is making several changes to the State operated psychiatric system. As many of the individuals using these beds at admission or upon discharge will be enrolled in managed care, MCOs will be responsible for participating in discharge planning for their members and providing access to and overseeing aftercare services.

Medicaid managed care excludes reimbursement for inpatient care for persons aged 21-64 in state operated psychiatric inpatient hospitals. This means that MCOs are not financially responsible for their enrollees who are admitted to or transferred to OMH psychiatric centers. OMH envisions a consumer-oriented model where Plans will be responsible for managing admissions and discharges from State hospitals, in addition to providing assistance in moving people with long stays out of State operated facilities. To begin this process, OMH is identifying historic and current admissions and lengths of stay at OMH inpatient facilities for adults enrolled in Medicaid Managed Care. OMH and DOH will work with the MCOs to make the plans accountable financially and programmatically for continuing admissions/transfers of their members to the State facilities.

1.6 Purpose of the Request for Qualifications (RFQ)

- A. The movement of the Medicaid behavioral health funding to managed care presents both challenges and opportunities. Carving behavioral health into mainstream Plans offers the opportunity to address the full range of health care needs. The integrated health premium will allow Plans to more effectively help members manage their behavioral and physical health needs in an integrated manner. Additionally, a managed system can purposefully reinvest savings from a decrease in unnecessary and expensive hospital stays into recovery services and housing rehabilitation supports.

However, Medicaid Managed Care Plans in NYS currently manage a limited range of behavioral health services. Many Plans do not have experience managing the complex behavioral health needs of the populations that will be coming into care management. Many of these individuals require a broader array of services to support functioning in the community, often over long periods of time.

Plans must therefore submit applications to New York State demonstrating that they have the organizational capacity and culture to ensure the delivery of effective behavioral health care and facilitate system transformation. These applications will be reviewed against new behavioral health specific administrative, clinical, program, and fiscal standards.

Because Plans do not have the expertise to manage specialty BH benefits, they will need to either:

- i. Hire staff with appropriate expertise; or
- ii. Subcontract with a BH organization that meets the qualifications.

Plans are encouraged to develop a governance model that includes the experience of their expanded behavioral health network. However, these relationships cannot substitute for the Plan requirements included in this RFQ.

- B. The purpose of this RFQ is to qualify:
- i. Current mainstream Medicaid MCOs in NYS to administer the full continuum of MH and SUD services covered under the Medicaid State Plan for adults who do not meet HARP eligibility criteria or who qualify but choose not to enroll; and
 - ii. Current mainstream Medicaid MCOs seeking to become HARPs in NYS to administer the full continuum of MH, SUD, and PH services covered under the Medicaid State Plan as well as the enhanced Home and Community Based Service benefit package (BH BH HCBS rehabilitation and recovery services) for adults with serious mental illness (SMI) and/or SUDs who meet HARP targeting and risk factors and/or BH HCBS functional eligibility criteria defined in [Section 1.8](#), Article B through D of the RFQ.
- C. NYS is qualifying MCOs and HARPs to serve adults in 2 rounds based on geographic region. The first round was in New York City (NYC). The second round is for the rest of the state. **THIS RFQ DOCUMENT IS FOR PLANS THAT HAVE NOT BEEN THROUGH THE NYC ADULT BEHAVIORAL HEALTH DESIGNATION PROCESS. An expedited application process will be released for Plans that have already been qualified for NYC.** RFQ applications for Plans serving counties outside of NYC are due by September 18, 2015. Additionally this RFQ for the rest of the state has been modified based upon

experience obtained during the NYC qualification process. A list of changes to the RFQ will be posted to the OMH, OASAS, and DOH websites shortly after the release.

The process for integrating children's BH services into managed care will be specified by New York State at a later date.

Plan management of all integrated BH and PH benefits for adults outside of NYC will take place beginning July 1, 2016.

1.7 System Goals, Operating Principles, Requirements and Outcomes

- A. **Goals:** The qualification process for MCOs and HARPs is necessary to ensure each has adequate capacity to assist NYS in achieving system reform goals including:
- i. Improved health outcomes and reduced health care costs through the use of managed care strategies and technologies including, but not limited to BH-specific protocols for:
 - a. Member services (intake, referral, crisis response);
 - b. Utilization management;
 - c. Clinical management;
 - d. Network management;
 - e. Quality management;
 - f. Data management; and
 - g. Reporting and Financial management.
 - ii. Transformation of the BH system from an inpatient focused system to a recovery focused outpatient system of care.
 - iii. Improved access to a more comprehensive array of community-based services that are grounded in recovery principles including:
 - a. Person centered care management;
 - b. Patient/consumer choice;
 - c. Member and family member involvement at all system levels; and
 - d. Full community inclusion.
 - iv. Integration of physical and behavioral health services and care coordination through program innovations that address workforce development; risk screening; data integration and data analytics; and specialized case management and care coordination protocols.
 - v. Effective innovation through the use of evidence-based practices.
 - vi. Improved cross system collaboration with State and local resources, including LGUs, State and locally funded MH and SUD services, housing subsidies and supports, the judicial system, welfare programs, and other local resources necessary to promote recovery outcomes.
 - vii. Delivery of culturally competent services.
 - viii. Assurance of adequate and comprehensive networks with timely access to appropriate services.
 - ix. Continuity of care during the transition from fee-for-service (FFS) to managed care.

- B. Principles/Requirements:** These goals will be realized in both new and existing programs through the application of the following:
- i. Earlier identification and intervention through the use of validated screening tools, where available, for common conditions such as anxiety, depression, and alcohol misuse.
 - ii. Person-centered treatment that integrates attention to behavioral and physical health care and to social needs within a framework that is strengths-based; culturally relevant; incorporates natural supports; and promotes hope, empowerment, mutual respect, and full community inclusion.
 - iii. Use of integrated care models such as the Collaborative Care model for treating BH conditions in primary care.
 - iv. An inclusive culturally competent provider network that contains a wide range of providers with expertise in treating and managing SMI and SUD consumers including community based providers of behavioral health and substance use services and peer delivered services.
 - v. Efficient and timely service delivery, care coordination, and care management with minimal duplication across providers and between providers and the Plan.
 - vi. Access to care management and clinical management from a Health Home and/or MCO as appropriate.
 - vii. Enhanced discharge planning and follow-up care between provider visits.
 - viii. Reliance on specialized expertise for the assessment, treatment, and management of special populations, including older adults, transition age youth, individuals with co-occurring disorders (e.g. high risk medical populations), individuals experiencing a first episode psychosis (FEP), individuals with SMI and criminal justice or assisted outpatient treatment (AOT) involvement, and individuals with SMI and/or functionally limiting SUDs.
 - ix. Service delivery within a culturally competent comprehensive system of care, which emphasizes the most appropriate, least restrictive settings to promote and maintain the highest practical level of functioning.
 - x. Medical necessity determinations that consider level of need as well as environmental factors, available resources and psychosocial rehabilitation standards.
 - xi. For behavioral health, Level of Care and clinical guidelines approved by the State.
 - xii. For SUD, Level of Care determinations based on the OASAS LOCADTR tool.
 - xiii. Use of national data regarding evidence-based and promising practices as well as data from NYS regarding utilization and unmet needs to guide network enhancements and the allocation of resources to support individuals in achieving wellness and recovery.
 - xiv. Use of data-driven approaches to performance measurement, management, and improvement with regular reporting of results on key performance indicators to stakeholders (e.g., consumers, providers, other member serving systems).
 - xv. Heightened monitoring of the quality of behavioral health care and medical care for all members (those with mild and moderate conditions and those with high BH needs) with

the use of ongoing outcome measurements intended to raise expectations for improvement in access, utilization, care coordination, health and recovery outcomes.

- xvi. Regular and ongoing technical support and training and workforce development with network BH and PH providers as well as managed care staff to achieve system transformation and to develop competency in current and emerging EBPs and other best practices.
- xvii. Promotion of operational policies and procedures that support these principles across healthcare providers, managed care Plans and other State and local agencies.
- xviii. Use of financial structures that support and/or incentivize achieving system goals.
- xix. Separate tracking of BH expenditures and administrative costs to ensure adequate funding to support access to appropriate BH services.
- xx. Medical Loss requirements for HARPs and BH services in mainstream MCOs.
- xxi. Reinvestment of behavioral health savings to improve services for behavioral health populations.
- xxii. Enhanced pharmacy management for individuals with co-occurring complex health, MH and SUD challenges.

C. **Outcomes:** Achievement of system goals are expected to result in the following outcomes:

- i. Improved individual health and behavioral health life outcomes;
- ii. Improved social/recovery outcomes including employment;
- iii. Improved member's experience of care;
- iv. Reduced rates of unnecessary or inappropriate emergency room use;
- v. Reduced need for repeated hospitalization and re-hospitalization;
- vi. Reduction or elimination of duplicative health care services and associated costs; and
- vii. Transformation to a more culturally competent community-based, recovery-oriented, person-centered service system.

1.8 Covered Populations and Eligibility Criteria

This RFQ covers the inclusion of Medicaid BH services for adults in mainstream MCOs. Dual-eligibles (persons who are both Medicaid and Medicare enrolled) are not included at this time but may be at a later date. Specific eligibility is as follows:

- A. **Qualified Mainstream Managed Care Organization:** All mainstream Medicaid eligible and enrolled individuals 21 and over requiring behavioral health services.
- B. **HARPs:** Adult Medicaid beneficiaries 21 and over⁶ who are eligible for mainstream MCOs are eligible for enrollment in the HARP if they meet either:
 - i. Target criteria and risk factors as defined below (Individuals meeting these criteria will be identified through quarterly Medicaid data reviews by Plans and/or NY State); or

⁶ One exception: individuals in nursing homes for long term care will not be eligible for enrollment in HARPS.

- ii. Service system or service provider identification of individuals presenting with serious functional deficits as determined by:
 - a. A case review of individual's usage history to determine if Target Criteria and Risk Factors are met; or
 - b. Completion of HARP eligibility screen.
- C. **HARP Target Criteria:** The State of New York has chosen to define HARP targeting criteria as:
- i. Medicaid enrolled individuals 21 and over;
 - ii. SMI/SUD diagnoses;
 - iii. Eligible to be enrolled in Mainstream MCOs;
 - iv. Not Medicaid/Medicare enrolled ("duals");
 - v. Not participating or enrolled in a program with the Office for People with Developmental Disabilities (OPWDD) (i.e., participating in an OPWDD program).
- D. **HARP Risk Factors:** For individuals meeting the targeting criteria, the HARP Risk Factor criteria include any of the following:
- i. Supplemental Security Income (SSI) individuals who received an "organized"⁷ MH service in the year prior to enrollment.
 - ii. Non-SSI individuals with three or more months of Assertive Community Treatment (ACT) or Targeted Case Management (TCM), Personalized Recovery Oriented Services (PROS) or prepaid mental health plan (PMHP) services in the year prior to enrollment.
 - iii. SSI and non-SSI individuals with more than 30 days of psychiatric inpatient services in the three years prior to enrollment.
 - iv. SSI and non-SSI individuals with 3 or more psychiatric inpatient admissions in the three years prior to enrollment.
 - v. SSI and non-SSI individuals discharged from an OMH Psychiatric Center after an inpatient stay greater than 60 days in the year prior to enrollment.
 - vi. SSI and non-SSI individuals with a current or expired Assisted Outpatient Treatment (AOT) order in the five years prior to enrollment.
 - vii. SSI and non-SSI individuals discharged from correctional facilities with a history of inpatient or outpatient behavioral health treatment in the four years prior to enrollment.
 - viii. Residents in OMH funded housing for persons with serious mental illness in any of the three years prior to enrollment.
 - ix. Members with two or more services in an inpatient/outpatient chemical dependence detoxification program within the year prior to enrollment.
 - x. Members with one inpatient stay with a SUD primary diagnosis within the year prior to enrollment.

⁷ An "organized" MH service is one which is licensed by the NYS Office of Mental Health.

- xi. Members with two or more inpatient hospital admissions with SUD primary diagnosis or members with an inpatient hospital admission for an SUD related medical diagnosis-related group and a secondary diagnosis of SUD within the year prior to enrollment.
- xii. Members with two or more emergency department (ED) visits with primary substance use diagnosis or primary medical non-substance use that is related to a secondary substance use diagnosis within the year prior to enrollment.
- xiii. Individuals transitioning with a history of involvement in children's services (e.g., RTF, HCBS, B2H waiver, RSSY).

E. Behavioral Health Home and Community Based Services (BH HCBS) Service

Eligibility and Assessment Process: HARP members who meet Targeting Criteria and Risk Factors as well as Need-Based Criteria (below), will have access to an enhanced benefit package of BH HCBS.

- i. **Need-based Criteria:** Individuals meeting one of the Needs-Based Criteria identified below will be eligible for BH Home and Community Based Services:
 - a. An individual with at least "moderate" levels of need as indicated by a State designated score on a tool derived from the interRAI Assessment Suite.
 - b. An individual with need for BH HCBS services as indicated by a face to face assessment with the interRAI Assessment Suite and a risk factor of a newly-emerged psychotic disorder suggestive of Schizophrenia herein called individuals with First Episode Psychosis (FEP). Individuals with FEP may have minimal service history.
 - c. A HARP enrolled individual who either previously met the needs-based criteria above or has one of the needs based historical risk factors identified above; AND who is assessed and found that, but for the provision of BH HCBS for stabilization and maintenance purposes, would decline to prior levels of need (i.e., subsequent medically necessary services and coordination of care for stabilization and maintenance is needed to prevent decline to previous needs-based functioning).⁸
- ii. All individuals in the HARP will be evaluated for eligibility for BH HCBS.
 - a. Once an individual is enrolled in the HARP, a Health Home (or other State-designated entity) will initiate an independent person-centered planning process to determine a plan of care.
 - b. This will include the completion of an evaluation for BH HCBS eligibility.
 - c. This process will comply with federal conflict-free case management requirements.
- iii. Individuals determined eligible for the BH HCBS services based on the brief evaluation using the interRAI will receive a conflict-free functional assessment from an appropriately qualified individual.

⁸ Individuals with historical risk factors for BH HCBS may continue to receive these BH HCBS if they need them to maintain their level of functioning.

- a. The assessment determines eligibility for BH HCBS and is used to establish a written, person-centered, individualized plan of care.
 - b. Assessments are conducted using the interRAI, a standardized clinical and functional assessment tool consistent with the State's approved Balancing Incentive Payment Program⁹.
- iv. The results of the functional assessment will be incorporated into the individual's person-centered plan of care.
 - v. These plans must be approved by the HARP or their designee.
 - vi. Reassessment of the plan of care (including need for BH HCBS) must be done at least annually; when the individual's circumstances or needs change significantly; or at the request of the individual. Plans may require more frequent reviews of plans of care to evaluate progress towards goals, determine if goals have been achieved or whether the plan of care requires revision.

1.9 HARP Enrollment

- A. New York will phase-in enrollment to HARPs (i.e., New York City versus the rest of the state).
- B. New York estimates that statewide there are initially approximately 140,000 Medicaid Managed Care enrollees – 80,000 in New York City and 60,000 in the rest of the state - meeting targeting criteria and risk factors that will be enrolled in the HARPs.
- C. Individuals will be identified as potentially needing HARP services on the basis of historical service use or completion of a HARP eligibility screen.
 - i. For planning purposes, the State will provide rosters to MCOs of their members whose service use histories indicate a need for HARP.
- D. Once a member is identified as HARP eligible, they can enroll in a HARP at any point, so long as they continue to meet the criteria for HARP eligibility.
- E. A key goal in this managed care design is to avoid disrupting access to physical health care for individuals already enrolled in a mainstream Plan. Therefore, individuals initially identified as HARP eligible who are already enrolled in an MCO with a HARP will be passively enrolled in that Plan's HARP. This will ensure that Plan members will continue to have access to the same network of physical health services as the new BH benefits are brought into the Plan.
 - i. HARP eligible members will be passively enrolled in a HARP if they are enrolled in a Plan which offers a HARP.
 - ii. As part of the passive enrollment process, these individuals will be informed about HARP benefits as well as their ability to stay in their existing mainstream Plan or choose another HARP.

⁹ See: http://www.health.ny.gov/health_care/medicaid/redesign/balancing_incentive_program.htm

- iii. Once enrolled in a HARP, members will be given 90 days to choose another HARP or return to Mainstream before they are locked into the HARP for 9 additional months (after which they are free to change Plans at any time).
- F. Individuals initially identified as HARP eligible who are already enrolled in an MCO **without** a HARP will be notified by the State of their HARP eligibility and referred to an enrollment broker to help them decide which Plan is right for them.
- G. Individuals initially identified as HARP eligible **but not** currently enrolled in managed care will be referred to enrollment broker to help them decide which Plan is right for them.
- H. HARPs must notify members of their Health Home eligibility within a timeframe to be specified by the State.
- I. The Plans and Health Homes will operate under the terms of the Administrative Health Home Services Agreement, State-issued guidance entitled, “Health Home Standards and Requirements for Health Homes, Care Management Providers and Managed Care Organizations” and other policy and programmatic guidance that may be developed by NYS with input from the Health Plan Associations and other stakeholders.

1.10 Covered Services

- A. The MCO and HARP contracts for enrolled beneficiaries will cover all current physical health services and pharmacy benefits covered under mainstream managed care.
- B. The MCO and HARP contracts will cover Medicaid BH services including inpatient and outpatient hospital services and community-based rehabilitation and clinic services.
 - i. [Table 1](#) summarizes the core benefit package available to the adults enrolled in the MCO/HARP as of the start-up date.
- C. HARP contracts will also cover the provision of BH Home and Community Based Services.
 - i. [Table 2](#) summarizes the enhanced benefit package available as of the start-up date to Medicaid eligible adults meeting targeting, risk and needs based criteria and enrolled in a HARP. Definitions of these services may be found in [Attachment C](#).
- D. In first two years of HARP operation, the HARP capitation payment will not include BH Home and Community Based Services. These will be paid on a non-risk basis with the HARP acting as an Administrative Services Organization (ASO).
- E. NYS has provided guidance for Plans and providers on BH Home and Community Based Services. Bh HCBS rates for counties outside of NYC still need to be developed. BH [HCBS guidance](#) includes:
 - i. Service definitions;
 - ii. Service components;
 - iii. Service limits;
 - iv. Admission/Eligibility Criteria;
 - v. Settings (Location of Services);
 - vi. Provider Qualifications;
 - vii. Plan of Care Development and Approval Mechanisms;
 - viii. Billing procedure codes; and

- ix. Service pricing
- F. NYS has developed a process for State designation of Home and Community Based Service providers.
- G. Rehabilitation services for residents of community residences will not be included in the initial benefit package and capitation rate.
- H. Concurrent with the Demonstration Amendment, NYS requested a State Plan Amendment (SPA) to move SUD clinic services to the rehabilitation option to provide services in a more recovery-oriented model and to add residential SUD services to ensure that Medicaid individuals have a full array of SUD services available to them.
- I. New York State has added two new Medicaid Managed Care services (available in mainstream managed care and the HARP) as part of New York State's 1115 Managed Care waiver. These include crisis intervention and Licensed Behavioral Health Practitioners (see [Attachment J](#))
- J. Cost-sharing will be unchanged from the current Medicaid FFS-approved State Plan. There is no nominal Medicaid cost-sharing approved in the State Plan for mental health or SUD services.
- K. The Plan will ensure that the member is offered all eligible benefits.
- L. Medicaid covered services will be available throughout the service area covered by the Plan and provided by the Plan's contracted providers, using the NYS Medicaid definition of "medically necessary services". As part of the RFQ review process, Plans will need to submit their proposed BH utilization review criteria to NYS for review and approval.¹⁰ Plans must describe and submit criteria for inpatient (MH) and clinic (OMH and OASAS); the State Plan specialty services moving into the benefit; and the new Home and Community Based Services. NYS will provide a date by which all proposed utilization review criteria (including State Plan rehabilitation and BH HCBS) must be submitted.
- M. For all modalities of care, the duration of treatment will be determined by the member's needs and his or her response to treatment. All services, for which a member is eligible, will, at a minimum, cover:
- i. The prevention, diagnosis, and treatment of health impairments;
 - ii. The ability to achieve age-appropriate growth and development; and
 - iii. The ability to attain, maintain, or regain functional capacity.
- N. During the term of the contract, the Plan may provide cost-effective alternative services ("in-lieu of") that are in addition to those covered under the Medicaid State Plan as alternative treatment services and programs for enrolled members under 42 CFR 438.6(e).

¹⁰ A full definition for FFS medical necessity can be found at the following link:
[http://public.leginfo.state.ny.us/LAWSSEAF.cgi?QUERYTYPE=LAWS+&QUERYDATA=\\$\\$SOS365-A\\$\\$@TXSOS0365-A+&LIST=SEA2+&BROWSER=EXPLORER+&TOKEN=57024166+&TARGET=VIEW](http://public.leginfo.state.ny.us/LAWSSEAF.cgi?QUERYTYPE=LAWS+&QUERYDATA=$$SOS365-A$$@TXSOS0365-A+&LIST=SEA2+&BROWSER=EXPLORER+&TOKEN=57024166+&TARGET=VIEW)

- i. The Plan must perform a cost-benefit analysis for any new services it proposes to provide, as directed by NYS, including how the proposed service would be cost-effective compared to the State Plan services.
 - ii. The Plan can implement cost-effective alternative (“in-lieu of”) services and programs only after approval by NYS.
 - iii. The Plan is encouraged to assist NYS to develop cost-effective alternatives for services where it is beneficial to the recipient.
- O. MCOs may utilize telemedicine (including telepsychiatry) to the extent that it is medically appropriate and complies with all State and federal requirements.

1.11 Rates

- A. All capitation payments are subject to actuarially soundness per 42 CFR 438.6(c).
- B. For individuals enrolled in mainstream MCOs, a distinct BH rate calculation will be applied for each existing premium group.
- C. For individuals enrolled in a HARP, NYS will establish an appropriate premium group and an integrated BH/PH capitation payment will be determined.
- D. As discussed in [Section 1.10 D](#), the HARP capitation payment does not include BH HCBS services in first two years.
- E. Treatment of health home payments in HARP will be no different from mainstream.
- F. As discussed in [Section 1.10 G](#), the HARP capitation payment does not include payment for rehabilitation services for residents of community residences.
- G. Historical eligibility, FFS claims and health plan encounter data were considered in developing appropriate base data for rate setting during the initial rating periods. As health plan experience emerges and is deemed to be sufficiently credible and reasonable, the base data for rate-setting will increasingly rely on actual health plan experience data.
- H. In order to develop capitation rates, the rate setting base data will be adjusted for factors including, but not limited to:
 - i. Program changes occurring between the beginning of the base data period and the end of the contract period.
 - ii. Utilization and unit cost trend between the base period and the contract period.
 - iii. Differences in expected costs associated with the transition from FFS to managed care and/or expectations around managed care efficiencies (as applicable).
 - iv. Non-medical expenses, including costs associated with administrative functions, care management and underwriting gain.
- I. Final capitation rates will also be adjusted to account for any applicable withholds or risk sharing mechanisms that are a part of the program.
 - i. New York State will be replacing the current behavioral health stop-loss program for Medicaid Managed Care with a psychiatric (MH) inpatient specific stop-loss program. SUD detox and inpatient rehabilitation services will be included in the existing “acute care” inpatient stop loss program. See details in [Attachment I](#).

- J. Until such time as actual health plan experience is available and meets credibility/ reasonability standards for rate-setting, the cost of “in-lieu of”/cost effective alternative services per 42 CFR 438.6(e) will not be included in capitated rate calculations. NYS will only factor the State Plan services into the rates. Once health plan experience that inherently reflects the cost of “in-lieu of” services is integrated into rate-setting, these costs will be allowed to remain in the base so long as they are determined to be cost effective.
- K. A preliminary HARP rate for counties outside of NYC is included in the RFQ package. This rate applies to HARP plans only and does not include premium information for individuals enrolled in mainstream MCOs as noted in B above.
- L. HIV Special Needs Plans (SNPs) are eligible to apply to manage the HARP benefit for the population enrolled in HIV SNPs. The HIV SNP premium will be based on the historical experience of HARP eligibles in all HIV SNPs. The premium will be calculated if one or more HIV SNPs intends to apply for the HIV SNP HARP designation.

1.12 Historical Utilization and Cost

Data on utilization can be found in the behavioral health databook. If there are any discrepancies between the databook and the RFQ, the language in the RFQ prevails. January 2014 databook is posted on the OMH, OASAS, and DOH websites.

Table 1. Benefits in Mainstream MCOs for all Medicaid Populations 21 and over

Services	Current State Plan	SPA Change Submitted Separately from this 1115 Demonstration Amendment but for Inclusion in This Demonstration	Currently in NYS 1115 Benefit Package	Current delivery System (Either MCO or FFS)	Future MCO Benefit Package
Medically supervised outpatient withdrawal (OASAS services)	Yes	Rehabilitation option per 42 CFR 440.130	Yes	Managed care for MCO enrollees; FFS for non-MCO enrollees	Yes for MCO enrollees
Outpatient clinic and opioid treatment program (OTP) services (OASAS services)	Yes — clinic option per 42 CFR 440.90	Move to rehabilitation option per 42 CFR 440.130	Outpatient clinic and OTP is FFS for all Medicaid enrollees	FFS under clinic option	Yes for MCO enrollees
Outpatient clinic services (OMH services)	Yes — clinic option per 42 CFR 440.90		Temporary assistance to needy families (TANF) and safety net assistance (SNA) only;	Managed care for TANF and SNA; FFS for SSI and duals	Yes for MCO enrollees
Comprehensive psychiatric emergency program	Yes — outpatient hospital service (42 CFR 440.20)		TANF and SNA only; FFS for all SSI Medicaid recipients	Managed care for TANF and SNA; FFS for SSI and duals	Yes for MCO enrollees
Continuing day treatment	Yes — clinic option per 42 CFR 440.90		No	FFS only	Yes for MCO enrollees
Partial hospitalization	Yes — clinic option per 42 CFR 440.90		No	FFS only	Yes for MCO enrollees
PROS	Yes — rehabilitation option per 42 CFR 440.130		No	FFS only	Yes for MCO enrollees
ACT	Yes — rehabilitation option per 42 CFR 440.130		No	FFS only	Yes for MCO enrollees
Intensive case management/ supportive case management	Yes — TCM is being phased out; now using Health Home SPA authority		No	FFS only	Yes for MCO enrollees
Health Home Care Coordination	Yes — Health Home per 1945 of Social Security Act		No	Managed care for MCO enrollees;	Yes for MCO enrollees

Services	Current State Plan	SPA Change Submitted Separately from this 1115 Demonstration Amendment but for Inclusion in This Demonstration	Currently in NYS 1115 Benefit Package	Current delivery System (Either MCO or FFS)	Future MCO Benefit Package
				FFS for non-MCO enrollees	
Inpatient hospital detoxification (OASAS service)	Yes — inpatient 42 CFR 440.10		Yes	Managed care for MCO enrollees; FFS for non-MCO enrollees	Yes for MCO enrollees
Inpatient medically supervised inpatient detoxification (OASAS Service)	Yes — inpatient 42 CFR 440.10		Yes	Managed care for for MCO enrollees; FFS for non-MCO enrollees	Yes for MCO enrollees
Inpatient treatment (OASAS service)	Yes — inpatient 42 CFR 440.10		TANF and SNA only; FFS for all SSI Medicaid recipients	Managed care for TANF and SNA; FFS for SMI, SSI and duals.	Yes for MCO enrollees
Inpatient psychiatric services (OMH service)	Yes — inpatient 42 CFR 440.10		TANF and SNA only; FFS for all SSI Medicaid recipients	Managed care for TANF and SNA; FFS for SSI and duals	Yes for MCO enrollees
Rehabilitation services for residents of community residences	Yes — rehabilitation option per 42 CFR 440.130		No	FFS	Not initially in the MCO benefit
Crisis Intervention	No	No	Proposed (see Attachment J for service definition)	No	Yes
Community Mental Health Services Licensed Behavioral Health Practitioner Services	No	No	Proposed (See Attachment J for service definition)	No	Yes for enrollees

Services	Current State Plan	SPA Change Submitted Separately from this 1115 Demonstration Amendment but for Inclusion in This Demonstration	Currently in NYS 1115 Benefit Package	Current delivery System (Either MCO or FFS)	Future MCO Benefit Package
Community Based Outpatient Addiction Services	No	Yes	Proposed (see Attachment J for service definition)	No	Yes for enrollees
Residential Addiction Services (OASAS Services)	No	Yes	Proposed (see Attachment J for service definitions)	No	Yes for MCO enrollees

Table 2: BH HCBS Services for Adults Meeting Targeting and Functional Needs

Services	Currently in the Medicaid State Plan	Proposed Under this 1115 Demonstration Amendment as a HCBS Service	Future HARP Benefit Package for Adults Meeting Targeting and Functional Criteria
BH HCBS Assessment <ul style="list-style-type: none"> BH HCBS Eligibility Brief Assessment BH HCBS Full Assessment 	No	Yes	Yes
Rehabilitation <ul style="list-style-type: none"> Psychosocial Rehabilitation Community Psychiatric Support and Treatment (CPST) 	No	Yes	Yes
Peer Supports	No	Yes	Yes
Habilitation <ul style="list-style-type: none"> Habilitation 	No	Yes	Yes
Respite <ul style="list-style-type: none"> Short-term Crisis Respite Intensive Crisis Respite 	No	Yes	Yes
Non-Medical Transportation	No	Yes	Yes
Family Support and Training	No	Yes	Yes
Employment Supports <ul style="list-style-type: none"> Pre-vocational Transitional Employment Intensive Supported Employment On-going Supported Employment 	No	Yes	Yes
Education Support Services	No	Yes	Yes
Supports for self-directed care [phased in as a pilot; see details below] <ul style="list-style-type: none"> Information and Assistance in Support of Participation Direction Financial Management Services 	No	Yes	Yes (pending CMS approval)

2.0 Definitions

ACA — Affordable Care Act.

ACT — Assertive Community Treatment.

AOT— Assisted Outpatient Treatment is court-ordered participation in outpatient services for certain people with serious mental illness who, in view of their treatment history and present circumstances, are unlikely to survive safely in the community without supervision.¹¹

Adults — Individuals age 21 and over.

BH — Behavioral health, which is inclusive of mental health and substance use disorder benefits and/or conditions.

BHO — Behavioral health organization.

BH professional (BHP) — An individual with an advanced degree in the mental health or addictions field who holds an active, unrestricted license to practice independently or an individual with an associate's degree or higher in nursing who is a registered nurse with three years of experience in a mental health or addictions setting. Throughout the request for qualifications, the BHP will be specified as either a New York State or U.S. BHP. When specified as a New York State BHP, the individual must hold an active, unrestricted license to practice independently in New York State or be a registered nurse in New York State. When specified as a U.S. BHP, the individual may meet the licensure requirement with an active, unrestricted license to practice independently or be a registered nurse in any state in the U.S.

BH Service — Any or all of the services identified in [Table 1](#) and [Table 2](#) of this RFQ.

Business Associate—a contractor to a Plan with delegated management functions not otherwise prohibited in the Public Health Law.

Business day — Traditional workdays include Monday, Tuesday, Wednesday, Thursday, and Friday. State holidays are excluded and traditional work hours are 8 am–6 pm.

Care coordination — Deliberate organization of member care activities by a person or entity (e.g., Health Homes) formally designated as primarily responsible for coordinating services furnished by providers involved in a member's care. This coordination may include care provided by network or non-network providers. Organizing care involves the marshaling of personnel and other resources needed to carry out all required member care activities; it is often facilitated by the exchange of information among participants responsible for different aspects of the member's care.

Care management — Overall system of benefit package service/management administered by the Plan and which encompasses utilization management, care coordination, facilitating continuity of care during care transitions (i.e., changes in levels of care, aging out of the Children's System of Care or member relocation), management of the quality of care, chronic condition management, and independent peer review.

¹¹<http://bi.omh.ny.gov/aot/about>

CASAC — Credentialed Alcoholism and Substance Abuse Counselor as defined by OASAS in 14 NYCRR Part 853.

Case management — A network service delivered by a Health Home provider or Targeted Case Manager as defined in the State Plan.

CEO — Chief executive officer.

CI — Confidence interval.

Clinical practice guidelines — Systematically developed statements regarding assessment and intervention practices to assist practitioner and patient/consumer decisions about appropriate health care for specific circumstances. The goals of clinical practice guidelines are to describe appropriate care based on the best available scientific evidence and broad consensus; reduce inappropriate variation in practice; provide a more rational basis for referral; provide a focus for continuing education; promote efficient use of resources; and act as a focus for quality control.¹²

CMO — Chief medical officer.

CMS — The Centers for Medicare and Medicaid Services.

Collaborative Care — The collaborative care model is an evidence-based approach for integrating physical and behavioral health services that can be implemented within a primary care-based setting.¹³ It is a multicomponent, system-level intervention that includes care coordination and care management; regular and proactive monitoring using validated clinical rating scales; and routine, systematic caseload reviews and monitoring by psychiatrists who are also available to consult with individuals who do not show improvement. Many randomized controlled trials have shown collaborative care for common mental disorders such as depression to be more effective and cost-effective than usual care. Collaborative care has been shown to improve symptoms, treatment adherence, quality of life/functional status, and satisfaction with care for individuals with depression.

Community Inclusion — The full participation by an individual living with mental illness and/or substance use disorders in living arrangements, activities, organizations and groups of his/her choosing in the community.

Consumer — A member who is receiving or has received mental health/substance use disorder services under the Contract.

Cultural Competence — Having the capacity to function effectively within the context of the cultural beliefs, behaviors, and needs presented by consumers and their communities.¹⁴

¹² Source: <http://www.openclinical.org/guidelines.html> Source.

¹³ <http://medicaid.gov/State-Resource-Center/Medicaid-State-Technical-Assistance/Health-Homes-Technical-Assistance/Downloads/HH-IRC-Collaborative-5-13.pdf>.

¹⁴<http://nyspi.org/culturalcompetence/what/documents/WhitePaperonEnsuringCulturalCompetencyinNYHealthCareReform>

Delegated entity — Any parent, subsidiary, affiliate, or other related organization, with which the responder intends to partner or subcontract for administrative or management services required under the request for qualifications.

DOH — The State Department of Health.

Evidence-based practice (EBP) — Clinical interventions that have demonstrated positive outcomes in several research studies to assist individuals in achieving their desired goals of health and wellness.

ED — Emergency department.

First Episode Psychosis (FEP) — First Episode Psychosis (FEP) -- Members with FEP are individuals who have displayed psychotic symptoms suggestive of recently-emerged schizophrenia. FEP generally occurs in individuals age 16-35. For this RFQ, FEP includes individuals whose emergence of psychotic symptoms occurred within the previous 2 years, who remain in need of mental health services, and who have a diagnosis of schizophrenia, schizoaffective disorder, schizophreniform disorder, psychotic disorder NOS (DSM-IV), or other specified/unspecified schizophrenia spectrum and other psychotic disorder (DSM-5). The definition of FEP excludes individuals whose psychotic symptoms are due primarily to a mood disorder or substance use.

FFS — Fee-for-service.

FHPlus — Family Health Plus.

FTE — Full-time Equivalent Employee.

HARP — Health and Recovery Plan.

HCBS — Home and community based services.

I/DD — Intellectual and developmental disability.

IDDT— Integrated Dual Disorder Treatment

Integrated Treatment — The care that results from a practice team of primary care and behavioral health clinicians, working together with patients and families, using a systematic and cost-effective approach to provide patient-centered care for a defined population. This care may address mental health and substance abuse conditions, health behaviors (including their contribution to chronic medical illnesses), life stressors and crises, stress-related physical symptoms, and ineffective patterns of health care utilization.¹⁵

Key Personnel — Plan senior staff hired to oversee behavioral health benefits for individuals enrolled in Medicaid managed care.

Level of care guidelines — Written criteria designed for use by qualified BH professionals in making level of care decisions based on an individual's symptoms, history, likelihood of treatment response, available resources and other relevant clinical information. The purpose of the level of care determination is to assure that a Plan member in need of service is placed in

¹⁵ <http://integrationacademy.ahrq.gov/sites/default/files/Lexicon.pdf>

the least restrictive, but most clinically appropriate level of care available, consistent with NYS medical necessity criteria. May also be called placement criteria.

LGU — Local Governmental Unit as defined under Article 41 of the NYS Mental Hygiene Law. Each LGU has a Director of Community Services responsible for, among other things, the oversight and planning of the local (county/NY city) mental hygiene system. This includes mental health, substance use, and developmental disability services.

LOC — Level of care.

LOCADTR — “Level of care for alcohol and drug treatment referral” is the patient placement criteria system required for use in making SUD level of care decisions in NYS.

LON — Level of need.

LTC — Long term care.

Managed Care Plans — Includes the Mainstream MCO, Managed Care Organizations, and Health and Recovery Plans.

Mainstream MCO — Qualified Mainstream Managed Care Organization that meets the qualifications established by this RFQ to manage behavioral health services for Medicaid beneficiaries.

Medical Necessity — New York law defines “medically necessary medical, dental, and remedial care, services, and supplies” in the Medicaid program as those “necessary to prevent, diagnose, correct, or cure conditions in the person that cause acute suffering, endanger life, result in illness or infirmity, interfere with such person's capacity for normal activity, or threaten some significant handicap and which are furnished an eligible person in accordance with state law” (N.Y. Soc. Serv. Law, § 365-a).

CMS requires that managed care contracts specify what constitutes medically necessary services in a manner that is no more restrictive than the State Medicaid program and addresses the extent to which the plan is responsible for covering services related to:

- The prevention, diagnosis, and treatment of health impairments
- The ability to achieve age-appropriate growth and development
- The ability to attain, maintain, or regain functional capacity

MH — Mental health.

MLR — Medical Loss Ratio (MLR) is the percent of premium an insurer spends on claims and expenses that improve health care quality. New York State will determine what qualifies as an eligible claim and expense for determining medical loss ratios.

Natural supports — Relationships that occur in everyday life in the community where a consumer lives and works. Natural supports can include, but are not limited to family members, friends, neighbors, clergy, and other acquaintances. Such supports help consumers develop a sense of social belonging, dignity, and self-esteem.

NYC — New York City.

NYS — New York State.

OASAS — The Office of Alcoholism and Substance Abuse Services.

OMH — The Office of Mental Health.

OPWDD — The Office for People with Developmental Disabilities.

OTP — Opioid treatment program.

P&P — Policy and procedure.

PCP — Primary care provider.

Peer Specialist — Individuals who hold a credential from a certifying authority recognized by the commissioner of OASAS or OMH. Peer specialists are supervised by a credentialed or licensed clinical staff member to provide peer support services or other authorized services based on clinical need as identified in the patient's treatment/recovery plan.

Permanent Supportive Housing (PSH) — Housing with continued occupancy for a qualified tenant as long as the tenant's household pays the rent and complies with the lease or applicable landlord/tenant laws. The tenants are linked with supportive services that are: flexible and responsive to their individualized needs; available when needed by tenants; and accessible where the tenant lives, if necessary. Housing meets the U.S. Department of Housing and Urban Development housing quality standards and is made available by New York State, or its designee, or directly with other qualified housing organizations. Housing is affordable to the eligible target population (monthly rent and utilities do not exceed 30% of monthly income).

PH — Physical health.

PIP — Performance improvement project.

The Plan — For the purposes of this request for qualifications, the term Plan refers to the managed care organization (MCO) and Health and Recovery Plan (HARP) collectively. Any requirement under the request for qualifications that references the Plan shall apply to both the HARP and the managed care organization. Requirements that reference only the HARPs shall apply only to the HARPs.

PMPM — Per member per month.

PROS — Personalized Recovery Oriented Services.

Psychiatric Advance Directive — A legal document giving instructions for future mental health treatment or appointing an agent to make future decisions about mental health treatment. The document is used when the person who created the document experiences acute episodes of psychiatric illness and becomes unable to make or communicate decisions about treatment.¹⁶

QARR — Quality Assurance Reporting Requirements.

QM — Quality management.

¹⁶ <http://www.nrc-pad.org/faqs/what-is-a-psychiatric-advance-directive-pad>

Recovery Focus — A process of change through which individuals improve their health and wellness, live a self-directed life, and strive to reach their full potential.

RPC — Regional BH planning Consortiums (RPC) comprised of each LGU in a region, and representatives of mental health and substance use disorder service providers, child welfare system, peers, families, Health Home leads, and Medicaid MCOs. The RPC would work closely with State agencies to guide behavioral health policy in the region, problem solve regional service delivery challenges, and recommend provider training topics.

RFQ — Request for Qualifications.

SAMHSA — Substance Abuse and Mental Health Services Administration.

SBIRT — Screening, Brief Intervention and Referral to Treatment is a screening and intervention procedure conducted in primary care, ED or in some specialty care settings to screen for risky substance use and provide a brief intervention or when indicated, a referral to treatment.

Semi-annual — Twice yearly.

Serious mental illness (SMI) — A diagnosable mental disorder experienced by an adult that is sufficiently severe and enduring to cause functional impairment in one or more life areas and a recurrent need for mental health services.

SMA — The State Medicaid Agency. In NYS this is the NYS Department of Health.

SNA — Safety net assistance.

Start-up date — The date the managed care organization or Health and Recovery Plan providers begin providing behavioral health services identified in the request for qualifications.

SPA — State Plan Amendment.

SSI — Social Security Income.

State — State of New York.

SUD — Substance use disorder.

TANF — Temporary Assistance to Needy Families.

Transition age youth (TAY) — Individuals under age 23 transitioning into the adult system from any OMH, OASAS or OCFS licensed, certified, or funded children's program. This also includes individuals under age 23 transitioning from State Education 853 schools (These are operated by private agencies and provide day and/or residential programs for students with disabilities).

TCM — Targeted case management.

Utilization management (UM) — Procedures used to monitor or evaluate clinical necessity, appropriateness, efficacy, or efficiency of behavioral health care services, procedures, or settings and includes ambulatory review, prospective review, concurrent review, retrospective review, second opinions, care management, discharge planning, and service authorization.

Utilization review (UR) — Utilization review means the review to determine whether health care services that have been provided, are being provided or are proposed to be provided to a

patient, whether undertaken prior to, concurrent with or subsequent to the delivery of such services are medically necessary.

Wellness Recovery Action Plan (WRAP®)— A self-management recovery system designed to decrease symptoms, increase personal responsibility and improve the quality of life for people who experience psychiatric symptoms. This self-designed plan teaches individuals how to keep themselves well, to identify and monitor symptoms and to use simple, safe, personal skills, supports, and strategies to reduce or eliminate symptoms. WRAP is not meant to replace, but to complement, professional health support and medications, though in more and more cases people are able to shift the balance of care to this self-management approach over time.¹⁷

¹⁷ <http://www.mentalhealthrecovery.com/wrap/appendixa.php>. WRAP is a registered trademark.

3.0 Performance Standards

- A. Plans must meet the qualifying criteria in this RFQ to manage the delivery of Medicaid behavioral health services. This may be done independently, or by subcontracting with a BH organization. Plans are encouraged to develop a governance model that includes the experience of their expanded behavioral health network. However, these relationships cannot substitute for the Plan requirements included in this RFQ.
- B. This document lists criteria that are in addition to present MCO requirements as delineated by the MCO Model Contract. These existing requirements remain in place and must be met unless explicitly modified per this document.
- C. In the sections that follow, the requirements for all managed care plans are specified. Additional qualifying criteria must also be met to operate a HARP and administer the Home and Community Based Services benefits.

3.1 Organizational Capacity

The Plan must meet the following minimum requirements:

- A. The Plan must be operating as a Medicaid MCO in NYS as of June 1, 2014 and on the start-up date¹⁸.
- B. Plans that are unable to meet the experience requirements must partner with a Behavioral Health Organization to manage the BH benefit.
- C. HIV SNPs are eligible to apply to manage the BH HCBS benefit for its HARP eligible enrollees.
- D. The Plan or its business associates may not have current, unsatisfied charges or orders outstanding against it by any State or the federal government related to administration of BH services.
- E. The Plan or its business associates may not have had a contract to manage BH services discontinued, cancelled or non-renewed by any State or the federal government for lack of performance or non-performance within the prior three years.
- F. The Plan must demonstrate that it has processes and procedures to accommodate the service needs of people with both BH and PH conditions.
- G. In addition to current MCO operations, the Plan must expand its service center operations in NYS by the start-up date to accommodate the additional BH management responsibilities.
- H. The MCO shall participate in the State's efforts to promote and ensure the delivery of services in a culturally competent manner to all Enrollees, including but not limited to those with limited English proficiency and diverse cultural and ethnic backgrounds as well as Enrollees with diverse sexual orientations, gender identities and members of diverse faith communities.

¹⁸ A Plan merger creating a new Plan will not disqualify that new Plan from managing the behavioral health benefits.

- I. The Plan shall provide and/or manage the functions listed below. Unless otherwise noted, functions shall be available during business hours (8 am to 6 pm) in the NYS service center location. Functions allowed out of state must still be provided in the United States.
 - i. 7 days a week, 365 days a year live toll-free line to provide information and referral on BH benefits and services. This function may be operated out-of-state with the approval of NYS. The Plan must demonstrate that the member service line staff has knowledge of:
 - a. Covered services;
 - b. NYS managed care rules;
 - c. Approved BH UM criteria;
 - d. Approved BH HCBS rules and requirements (for HARPs); and
 - e. Provider networks
 - ii. 24 hour, 7 days a week, 365 days a year person staffed toll-free line to provide crisis referral. This function may be operated out-of-state with the approval of NYS. Plans must demonstrate the efficacy of the linkage between the crisis line and local crisis responder's. Plans must also modify their staff training program to include NY specific rules and responsibilities.
 - iii. BH network development, care management, and provider relations activities. The Plan must demonstrate an adequate NYS presence of trained staff to ensure that BH network development, care management, and provider relations activities are sufficient to accomplish Plan Behavioral Health Goals outlined below in [Section 3.3.E](#).
 - iv. BH contracting, credentialing/re-credentialing. This function may be located out of state.
 - v. BH provider relations with staff access to a claims reporting and payment reporting platform (claims may be administered at another location).
 - vi. BH utilization reviews with 24 hour, 7 days a week, 365 days a year access to appropriate personnel to conduct prior authorization. Per federal guidelines, the MCO must respond to prior authorization requests for post stabilization services within 1 hour (24 hours a day).¹⁹ This service may be provided out-of-state but Plan staff must demonstrate knowledge of:
 - a. Covered services
 - b. NYS managed care rules
 - c. Approved BH UM criteria
 - d. Approved BH HCBS rules and requirements (for HARPs)
 - vii. BH care management consistent with requirements at 42 CFR 438.208(c).
 - viii. BH clinical and medical management as specified in [Sections 3.9](#) and [3.10](#).

¹⁹ [See State Medicaid Director letter dated 8/5/98](#).

- ix. Education and training on topics required under this RFQ for medical and BH providers, State staff and other member serving agencies, except for specialized training where the Plan engages trainers with specialized expertise. Whenever possible, training and education for providers should be provided in coordination with the Regional Planning Consortiums (RPCs).
 - x. BH resources to assist with BH-specific quality management (QM) initiatives, financial oversight, reporting and monitoring, and oversight of any subcontracted or delegated function.
- J. The Plan must have an established technology platform that provides technology support to comply with requirements under this RFQ, including demonstrated success in:
- i. Data exchange with any business associate that will perform activities required under the RFQ.
 - ii. Provision of web-based portals with appropriate security features that allow BH providers and State agencies to submit and receive responses to BH referrals, requests for prior authorizations for BH services, and claims.
 - iii. Data-driven approaches to monitor requirements described in the RFQ, by eligibility group when appropriate, including BH network adequacy, crisis plans, psychiatric advance directives, and BH-specific reporting requirements for UM, QM, and financial management as well as administrative and clinical performance metrics.

3.2 Experience Requirements

- A. The Plan or its business associate must have more than five (5) years of experience with Medicaid BH managed care programs. If a Plan is unable to demonstrate the experience required below, it can hire an adequate complement of experienced staff or contract with a Behavioral Health Organization. Plans choosing to hire experienced staff must submit the names, experience, and resumes of senior employees to be assigned to manage the BH benefit who have the required expertise including a minimum of five years of experience in the areas required below. Experience must include the following:
- i. Demonstrated success with the implementation of complex public sector BH (managed care or fee-for-service) programs in an efficient and effective manner. Plans will be expected to submit detailed information on the current management of their membership with BH needs, particularly those with complex conditions.
 - a. Plans will be expected to describe their experience managing care for other high need populations or complex benefits in NYS or elsewhere. For example:
 - i. Managed Long Term Care (MLTC)
 - ii. HIV SNP
 - iii. Homeless
 - iv. Forensic BH

- ii. Experience and demonstrated success with waiver services, peer supports, or community rehabilitation for disabled populations.
- iii. Experience coordinating non-Medicaid funded care for Medicaid BH service recipients including coordination with local, State, and federal/other grant funded BH programs and supports (e.g., Substance Abuse Prevention and Treatment and Community Mental Health Services Block Grants).
- iv. Experience and demonstrated success in building and/or transforming a network delivery system to embrace principles of wellness and recovery, as demonstrated by:
 - b. The development of a qualified culturally competent provider network that emphasizes evidence-based and promising practices.
 - c. The incorporation of the preferences of members and their families in the design of services and supports (person-centered care planning).
 - d. The incorporation of a holistic approach in the design and delivery of services and supports, including assisting the member with obtaining and maintaining stable, safe, permanent housing; meaningful employment; social networks; and health and wellness.
 - e. Collaborating with consumer and/or family-run services, demonstrated by incorporating peer-run services into the provider network.
 - f. The use of self-management and relapse prevention skills, Wellness Recovery Action Plans (WRAPs), and psychiatric advance directives.
 - g. Operating a utilization and care management program for a comprehensive array of BH programs and services similar to those covered under the core benefit package described in this RFQ.
 - i. Success includes a demonstrated reduction of inappropriate admissions and readmissions to the emergency room, inpatient, or other 24-hour levels of care for psychiatric or addiction disorders.
 - ii. Plans should describe their success in reducing behavioral health readmissions and increasing connectivity from inpatient to outpatient services (both BH and PH).
 - iii. Plans should provide their current readmission rates for mental health inpatient and substance use rehabilitation and detox.
 - iv. Plans should provide their current utilization of the BH clinic and inpatient benefits.
- v. Experience in providing services to other Medicaid or government-sponsored Plans for members and populations similar to the covered members under this RFQ as demonstrated by:
 - a. Expertise managing the full range of services for individuals with primary or co-occurring SUDs, including experience managing methadone and buprenorphine and other addiction medications.

- b. Expertise with the management and oversight of behavioral health pharmacy including polypharmacy, anti-psychotics, smoking cessation medications, and injectable antipsychotics.
 - c. Expertise managing BH care for special populations including, but not limited to adults with co-occurring I/DD and/or chronic medical conditions or transition-aged youth.
 - d. Experience and demonstrated success in implementing BH medical integration as evidenced by documented improvements in clinical and financial outcomes across the health care spectrum and communication/coordinated Plan of care development between medical and behavioral providers.
 - e. Experience in implementing BH-specific performance improvement projects and valid, reliable performance metrics, including examples of successful achievement of performance thresholds or guarantees that embody the system goals and operating principles outlined in this document.
- B. In addition to the above minimum organizational and experience requirements, Plans proposing to manage a HARP product line must meet the following requirements:
- i. The Plan or its staff shall have a proven track record in providing services to Medicaid or other government-sponsored Plans for members and populations similar to those described under the Home and Community Based Services component of the Demonstration Amendment as demonstrated by:
 - a. Experience and demonstrated success managing BH care for special populations including, but not limited to adults with SMI, adults with functionally limiting SUD, individuals experiencing a first episode psychosis, individuals with SMI and criminal justice involvement, adults residing in permanent supportive housing (PSH) or other types of community housing and homeless adults.
 - b. Experience and demonstrated success in operating a comprehensive care management program for HARP like populations.
 - ii. The Plan shall have a reasonable plan and sufficient internal resources with the relevant expertise or plan to hire an adequate complement of experienced staff to customize their technology platform to support compliance with federal HCBS requirements under the component of the 1115 waiver Demonstration Amendment. This includes evaluating the adequacy of plans of care compared to assessed needs and that services are delivered consistent with the plan of care.
 - iii. A reasonable plan and sufficient internal resources to review external functional assessments, service eligibility determinations, and plans of care for SMI and/or SUD populations.
 - iv. The Plan shall have a BH advisory subcommittee (for each region corresponding with RPCs) reporting to the MCO's governing board. The subcommittee will include peers, providers, local government and other key stakeholders.

- C. Experience in managing mainstream BH benefits, MLTC, HIV SNP, Homeless, and Home and Community Based waiver services for non-SMI/SUD populations does not in and of itself demonstrate the ability to manage care for individuals with serious behavioral health disorders. Plans will be expected to provide details on how their experience qualifies them to manage BH benefits and networks in NYS, including BH HCBS benefits and network providers. Plans shall note the unique challenges to working with individuals with serious behavioral health conditions; local and system-wide barriers to effective care management; and their approach to addressing these challenges and barriers. Plans will be expected to describe how current processes and procedures will be augmented or changed to meet the needs of people with serious behavioral health conditions.
- D. **Alternative Demonstration of Experience:** As stated in 3.2 above, Plans that cannot demonstrate the required experience can: a) contract with a Behavioral Health Organization (BHO); or b) recruit new Plan BH leadership, managers and staff with experience that meet the requirements in 3.2.A. and 3.2.B. above.

3.3 Contract Personnel

- A. The purpose of these staffing requirements is to ensure the Plans have required BH, PH, pharmacy, utilization management, quality management, and care management expertise to meet the needs of individuals with mental illness, addictions, and co-occurring physical health challenges. NYS expects that Plan staff will work as an integrated team with Health Homes, providers, and RPCs regardless of each Plan's organizational structure.
- B. This section establishes minimum requirements for key personnel, managerial staff, and operational staff for the Mainstream MCO and HARP product lines, including requirements for staff to be dedicated to NYS Medicaid.
- C. Detailed functional responsibilities for required positions are described below. Unless otherwise noted, these positions shall be located in the NYS service center location.
- D. The Plan shall have BH resources sufficient to meet all contract requirements and performance standards and shall require that all staff have the training, education, experience, orientation, and credentials, as applicable, to perform assigned job duties.
- E. Proposals must contain specific details on how functions will be assigned within the Plan and to subcontractors, where applicable, and how Plans will ensure these functions are achieved in ways that ensure effective services are provided to people with serious behavioral health conditions.
- F. Plans are required to submit staff orientation and training plans as part of the RFQ process. Regardless of how functions are assigned within the Plan, all staff must be trained on the requirements of the NYS BH system.
- G. The Plan shall maintain current organization charts and written job descriptions for each functional area consistent in format and style.

- i. These organization charts and job descriptions must be submitted for review and approval by NYS. If applicable, organization chart should also clearly show how the Plan will manage subcontractors.
 - ii. The Plan shall hire employees for the required BH positions specified throughout Section 3.3 of this RFQ.
 - iii. Consultants shall not fill these positions without the approval of the State.
 - iv. The Plan shall develop and maintain a human resources and staffing plan that describes how the Plan shall maintain the staffing level and staff training to ensure the successful accomplishment of all duties outlined in the RFQ. The key personnel and required personnel listed in the RFQ are mandatory positions.
 - v. Subject to the limitations described below, the Plan may propose a staffing plan that combines positions and functions outlined in the RFQ, so long as the Plan describes how the table of organization and staff roles delineated in the RFQ will be addressed. The proposal must show the FTE percent allocated to the required functions. (Note: Key positions described in 3.3L require full time staff dedicated to the HARP unless the HARP has fewer than 4,000 State identified HARP eligibles.)
 - vi. Submission of draft organizational charts and job descriptions will be due to the State at the time of RFQ submission. Final versions will be due during the NYS Readiness Review process.
- H. All personnel necessary to carry out the terms, conditions, and obligations of this Contract are the responsibility of the Plan. The Plan shall recruit, hire, train, supervise and, if necessary, terminate such professional, paraprofessional, and support personnel as necessary to carry out the terms of this Contract.
- I. **Plan Behavioral Health Leadership Goals:** The Plan shall establish and describe an organizational culture and leadership approach that supports a partnership amongst Plans, providers, government, members and advocates, and embraces the NYS vision of a system that is person-centered, recovery-oriented, integrated, and outcomes-driven. Plan behavioral health executive leadership shall have experience in transforming systems from fee-for-service (FFS) to managed care and from institutional based care to community-based alternatives. Plan behavioral health oversight should aim to achieve the following goals:
- i. Increase use of prevention and early intervention strategies for common behavioral and physical health conditions;
 - ii. Improve access to community-based behavioral health services, including services designed to improve/maintain independent functioning and quality of life;
 - iii. Increase individuals' engagement and retention in community-based services;
 - iv. Ensure that high-need individuals receive appropriate and timely care management;
 - v. Promote community inclusion of individuals with serious behavioral health conditions;
 - vi. Increase provider implementation of evidence based practices that integrate behavioral and physical health services;

- vii. Increase adherence to evidence based practices for pharmacotherapy of substance use, mood, anxiety, and psychotic disorders, as well as common general medical conditions; and
 - viii. Reduce avoidable behavioral health and medical inpatient admissions/readmissions.
- J. **Plan Strategy and Staffing Proposal to Achieve Goals:** The Plan shall describe its Behavioral Health administrative structure and operational strategy to achieve the goals stated in 3.3.I. above. The Plan must describe how it will organize to meet the objectives of the RFQ; how it will ensure that there is adequate qualified leadership to meet the behavioral and physical health needs of enrollees; and how Plan key personnel will manage staff and services to achieve program goals. Plans that propose to manage behavioral health benefits internally (for either Mainstream MCO or HARP product line) shall describe their plans to recruit additional staff with the necessary expertise to meet the expectations and goals noted above in Sections [3.2.A](#), [3.2.B](#), and 3.3.I.
- K. **Mainstream MCO Key Staff Requirements:** The Plan shall employ key leadership personnel with the following responsibilities:
- i. **BH Medical Director:** The Plan shall identify a Behavioral Health Medical Director to have overall accountability for behavioral health services for mainstream Plan enrollees. This individual must hold a NYS license as a physician and shall have a minimum of 5 years of experience working in BH managed care settings or BH clinical settings (at least 2 years must be in a clinical setting). The Plan Behavioral Health Medical Director shall have appropriate training and expertise in general psychiatry and/or addiction disorders (e.g., board certification in general psychiatry and certification in addiction medicine or certification in the subspecialty of addiction psychiatry). This individual must be located in NYS.
 - ii. **BH Clinical Director:** The Plan must designate a Behavioral Health Clinical Director. This position must be reflected in the Plan's organizational chart and the identified individual must have appropriate managerial experience. The individual shall hold a NYS license as a BH professional (BHP) and have at least seven years of experience in a BH managed care setting or BH clinical setting, including at least 2 years of managed care experience (preferably Medicaid managed care). This individual must be located in NYS.
 - iii. The Plan Behavioral Health Medical Director and Clinical Director shall be involved in the following functions:
 - a. Development, implementation, and interpretation of clinical-medical policies and procedures that are specific to BH or can be expected to impact the health and recovery of BH consumers.
 - b. Ensuring strong collaboration and coordination between physical and behavioral health care.
 - c. Clinical peer review recruitment and supervision.
 - d. Provider recruitment, education, training, and orientation.

- e. Decision-making process for BH provider credentialing decisions.
- f. BH provider quality profile design and data interpretation.
- g. Development and implementation of the BH sections of the QM/UM Plan, including having the BH medical director serve as the chairperson of BH committees for QM/UM and peer review.
- h. Administration of all BH QM/UM and performance improvement activities, including grievances and appeals.
- i. Attendance at regular (at least quarterly) Plan leadership and medical director meetings designated by the State BH contract manager.
- j. Attendance at Regional Planning Consortium meetings.

L. HARP Key Staff Requirements

- i. **BH Medical Director:** The HARP shall identify a full time Behavioral Health Medical Director for HARP enrollees (see exceptions for small HARPs in Section vi below). This individual must hold a NYS license as a physician and shall have a minimum of 5 years of experience working in BH managed care settings or BH clinical settings (at least 2 of which are in a clinical setting). The Plan Behavioral Health Medical Director(s) shall have appropriate training and expertise in general psychiatry and/or addiction disorders (e.g., board certification in general psychiatry and certification in addiction medicine or certification in the subspecialty of addiction psychiatry).
- ii. **HARP Clinical Director:** The HARP must designate a full time Clinical Director for the HARP product line. This individual shall be responsible for managing all HARP contract requirements in compliance with federal and State laws and the requirements set forth in the RFQ including all documents incorporated by reference. This position must be reflected in the Plan's organizational chart and the identified individual must have appropriate managerial experience. The individual shall be a NYS licensed BHP with at least seven years of experience in the management of BH services in a BH managed care setting or BH clinical setting, including at least 2 years of managed care experience (preferably Medicaid managed care) This individual must be located in NYS.
- iii. **HARP Medical Director for General Medicine:** The HARP will identify a General Medicine Medical Director who, in collaboration with the BH Medical Director, shall oversee the integration of general medicine with behavioral health services, including a focus on pharmacy benefits and health risks of psychotropic drugs. The HARP Medical Director for General Medicine shall hold a NYS license as a physician and should be board certified in general medicine or family practice. If this position is filled on less than a full time basis, the Plan will identify the FTE percent of time devoted to the HARP and provide their rationale for this allocation.
- iv. The Plan Behavioral Health Medical Director and Clinical Director shall have all of the responsibilities for HARP members that are listed in 3.31(iii).

v. Plans must designate either the Behavioral Health Medical Director or the Clinical Director to be head of the HARP.

vi. **Small HARP Flexibility**

- a. For Plans with fewer than 4,000 State identified HARP eligibles, the Behavioral Health Medical Director may be shared between the Mainstream MCO and HARP and have overall BH accountability for both product lines. The Plan shall ensure that the Behavioral Health Medical Director full time equivalent (FTE) percent allocations are adequate to meet the needs of its Mainstream MCO and HARP product lines. The Plan must note and provide a rationale for the FTE percent effort dedicated to this role.
- b. For Plans with fewer than 4,000 State identified HARP eligibles, the Behavioral Health Clinical Director may be shared between the Mainstream MCO and HARP. The Plan will need to describe how this individual will oversee services and managerial staff, and what resources will be available to ensure adequate management given the estimated numbers of Mainstream MCO and HARP enrollees. The Plan must provide the percent of time allocated to the Mainstream MCO and the HARP.
- c. Regardless of HARP population size, the HARP leads may report to an individual in the Plan who has overall responsibility for behavioral health.

M. **Changes in Plan Behavioral Health Medical Director and/or Clinical Director Key**

Personnel: The Plan shall verbally inform the State BH contract manager immediately and provide written notice within seven days after the date of a resignation or termination of any of the key personnel listed above, including the name of the interim contact person that will be performing the key personnel member's duties. In addition, the Plan shall submit a written Plan for replacing key personnel, including expected timelines. If key personnel will not be available for work under the RFQ for a continuous period exceeding 30 days, or are no longer working full-time in the key position, the Plan shall notify the State BH contract manager within seven days after the date of notification by the key personnel of the change in availability or change in full-time employment status. NYS must review and approve the qualifications of individuals to serve in key staff positions and maintains the right to review and approve individuals filling these positions.

N. **Managerial Staff:**

The Plan shall describe its overall management strategy and staffing plan to achieve the goals listed in Section 3.3.G. above.

The Plan shall employ managerial personnel to oversee and provide the functions listed below. **Managerial staff may be shared between the Mainstream MCO and HARP.** If managerial staff is shared, the Plan must describe what management resources will be available to the HARP and Mainstream MCO to ensure adequate management given the estimated numbers of Mainstream MCO and HARP enrollees. The Plan must provide the percent of time allocated to the Mainstream MCO and the HARP.

- i. Some of the managerial positions are required to work full-time at sites located in NYS, with their work dedicated solely to the performance of work under the RFQ. For other positions as specified, the Plan may employ staff located outside NYS (must be in the U.S.) or not solely dedicated to work under this RFQ. In such instances, the location and proportion of time dedicated to perform work related to the performance of this contract must be specified and approved by the State. In all cases a plan for staff training related to the requirements of the RFQ will need to be approved by NYS.
 - ii. **Mental Health Services:** All managerial staff must demonstrate knowledge (or describe a plan to recruit individuals with knowledge) of the full range of NYS MH services, programs, and requirements. Ideally, the Plan should employ manager(s) with experience working in NYS behavioral health settings that provide recovery-oriented services to individuals with serious behavioral health conditions (e.g., Personalized Recovery Oriented Services, peer services, housing supports, ACT, and supported employment). Managers should have knowledge of or experience with delivering research-based and EBP for adults in clinical and/or recovery oriented settings.
 - iii. **Addictions Services:** Plans shall demonstrate managerial knowledge (or describe a plan to recruit individuals with knowledge) of the full range of SUD services available to NYS Medicaid enrollees in one or more of the departments listed below. Ideally, the Plan should employ an individual at the manager level who meets the requirements for a Credentialed Alcoholism and Substance Abuse Counselor (CASAC) in good standing with OASAS and who has at least three years of experience in behavioral health and a Master's degree. Additionally, expertise is required in the special needs of adults with a serious SUD with or without co-occurring mental illness. Managers should have knowledge of or experience with delivering research-based and EBP for adults in clinical and/or recovery oriented settings.
- O. Managerial Staff Requirements:** For each department listed below, the Plan shall describe:
- a) its plan to ensure managerial expertise to meet the needs of individuals with serious behavioral health conditions; and b) whether and how the manager will oversee services for both Mainstream MCO and HARP (if applicable) product lines.
 - i. **BH care management:** Plans shall provide care management to individuals with SMI, SUD, co-occurring physical health, co-occurring disorders of MH and SUD, and co-occurring MH and/or SUD disorders and I/DD in collaboration with Health Homes when appropriate. The individual responsible for oversight of care management must be a U.S. BHP with experience working in a BH managed care setting or BH clinical setting and must work at sites located in NYS. The Plan must note and provide a rationale for the number of full time equivalent (FTE) managers dedicated to this role and the percent of FTE time allocated to the Mainstream MCO and the HARP. Knowledge and experience working with Health Homes is recommended.
 - ii. **BH utilization management:** Plans shall provide utilization management to individuals with SMI, SUD, co-occurring physical health, co-occurring disorders of MH and SUD, and co-occurring MH and/or SUD disorders and I/DD. The individual responsible for oversight

of utilization management must be a U.S. BHP with experience working in a BH managed care setting or BH clinical setting and knowledge of BH rehabilitation and recovery services. This position may work at sites located outside NYS. The Plan must note and provide a rationale for the number of full time equivalent (FTE) managers dedicated to this role and the percent of FTE time allocated to the Mainstream MCO and the HARP.

iii. **BH network development:** Plans shall assure:

- a. Network adequacy;
- b. Appointment access;
- c. Appropriate penetration rates;
- d. Development of network resources in response to unmet needs;
- e. New service development as specified in the benefit package;
- f. Adequacy of the provider network (integrated BH/PH providers) to offer members choice of providers; and
- g. Contracting with qualified service providers in compliance with federal and State laws and the requirements set forth in this Contract, including all documents incorporated by reference.

The individual(s) providing oversight for network development should have experience working in a BH managed care setting or BH clinical setting, and demonstrated expertise in network development for MH and SUD services for:

- a. Adults;
- b. Transition age youth;
- c. High risk groups such as individuals with SMI, co-occurring major mental disorders and SUDs and those involved in multiple services systems (education, justice, medical, welfare, and child welfare);
- d. Individuals with I/DD in need of BH services;
- e. Individuals with a MH condition or a SUD and co-occurring chronic physical health conditions; and
- f. Individuals with a SUD in need of medication-assisted treatment, including methadone and buprenorphine for opioid dependence.

Experience shall include knowledge of integrated physical health and behavioral health, recovery-oriented practices and development of EBPs recognized by the Substance Abuse and Mental Health Services Administration (SAMHSA) and other national registries. EBPs include but are not limited to wellness self-management, supported employment, family psychoeducation, ACT, AOT, and IDDT.

The individual(s) shall be responsible for network development, contracting, credentialing, and provider communications. The Plan must note and provide a rationale

for the FTE percent effort dedicated to BH network development oversight. If the position is split between the Mainstream MCO and the HARP, the Plan must identify the percent of FTE time allocated to the Mainstream MCO and the HARP. This position must work at sites located in NYS.

- iv. **BH provider relations:** The Plan is responsible for assuring timely inter-provider referrals and associated appointment access; assisting in resolving provider grievances, disputes between providers and the investigation of member grievances regarding providers; coordinating provider site visits, reviewing provider profiles, and implementation and monitoring of corrective action plans, as needed; and assuring accuracy of provider service delivery reports (i.e., encounter information verification). The individual(s) providing oversight for these functions should have experience working in a BH managed care setting or BH clinical setting and expertise in the management of provider BH services for:
- a. Adults;
 - b. Transition age youth;
 - c. High risk groups such as individuals with SMI, co-occurring major mental disorders and SUDs and those involved in multiple services systems (education, justice, medical, welfare, and child welfare);
 - d. Individuals with I/DD in need of BH services;
 - e. Individuals with a MH condition or a SUD and co-occurring chronic physical health conditions; and
 - f. Individuals with a SUD in need of medication-assisted treatment, including methadone and buprenorphine for opioid dependence.

Experience shall include knowledge of recovery-oriented practices and development of EBPs recognized by the SAMHSA and other national registries. EBPs include but are not limited to wellness self-management, supported employment, family psychoeducation, ACT, and IDDT ([see EBP list](#)).

The Plan must note and provide a rationale for the FTE percent effort dedicated to provider relations activities. If the position is split between the Mainstream MCO and the HARP, the Plan must identify the percent of FTE time allocated to the Mainstream MCO and the HARP. Personnel responsible for these functions must work at sites located in NYS.

- v. **BH Training:** Plans must ensure development and implementation of training programs for Plan staff, network providers and staff of other State agencies that deliver, coordinate, or oversee services to enrolled persons. Plans must work closely with RPCs as well to ensure regional provider training priorities are met. The individual(s) responsible for BH training should have significant experience and expertise in developing training programs related to BH systems and familiarity with recovery-oriented services. This individual shall oversee subcontracted trainers, design and

implement training programs, and monitor training program effectiveness. The Plan must note and provide a rationale for the FTE percent effort dedicated to BH training oversight. If the position is split between the Mainstream MCO and the HARP, the Plan must identify the percent of FTE time allocated to the Mainstream MCO and the HARP.

- vi. **BH Quality Management:** Plans are responsible for the development of the BH section of the Plan's QM/UM Plan and its effective implementation in collaboration with the Plan's clinical and utilization/care management leadership, and also in compliance with federal and State laws and the requirements set forth in this Contract, including all documents incorporated by reference. The individual(s) responsible for BH Quality Management should have familiarity with recovery-oriented services as well as experience and expertise in quality improvement in the public sector MH and addictions programs and publicly funded managed BH care delivery systems. The Plan must note and provide a rationale for the FTE percent effort dedicated to BH Quality Management oversight. If the position is split between the Mainstream MCO and the HARP, the Plan must identify the percent of FTE time allocated to the Mainstream MCO and the HARP. This position may be located at a site outside NYS.
- vii. **BH information systems:** Plans must oversee all data interfaces and support the reporting requirements required by this Contract, provide oversight of the management information systems requirements, and ensure compliance with federal and State laws and the requirements set forth in this Contract, including all documents incorporated by reference. The individual(s) responsible for oversight should have significant experience and expertise in Medicaid data analytics and BH data systems. The Plan must note and provide a rationale for the FTE percent effort dedicated to BH IT oversight. If the position is split between the Mainstream MCO and the HARP, the Plan must identify the percent of FTE time allocated to the Mainstream MCO and the HARP. This position can be located outside NYS.
- viii. **Governmental/community liaison:** to work with New York State, county behavioral health leadership, and RPCs within its service area. Plan representatives should attend relevant stakeholder, planning, and advocacy meetings and communicate/coordinate with other staff in the Plan as necessary to ensure that the Plan is aligned with NYS and local BH initiatives. The Plan must note and provide a rationale for the FTE percent effort dedicated to this position. If the position is split between the Mainstream MCO and the HARP, the Plan must identify the percent of FTE time allocated to the Mainstream MCO and the HARP. The manager must be located in New York State.

P. Additional HARP Managerial Staff Requirements: Plans proposing to manage a HARP:

- i. Shall demonstrate managerial knowledge (or describe a plan to recruit individuals with knowledge) of BH HCBS or behavioral health rehabilitation services ([see Table 2](#)) and familiarity with HCBS regulatory requirements.
- ii. Shall ensure that manager(s) oversee processes that ensure: a) timely completion of BH HCBS needs assessments and plans of care for enrollees eligible for BH HCBS; b)

development of procedures for determining medical necessity for ongoing BH HCBS; and c) monitoring of progress of individuals receiving BH HCBS.

- iii. Shall describe how it will; a) ensure that staff in each department have expertise related to the needs of and services for HARP enrollees (BH and PH); and b) how department managers will convene Plan and network partner staff with HARP expertise as needed to consult on a care plans for individuals with the most complex care coordination needs, participate in continuing education activities, and problem solve around individual and system level problems relevant to the HARP population.
- iv. May describe ways to leverage the BH staffing requirements for its Mainstream MCO and HARP to maximize efficiency and value. Proposals must contain specific details on how the functions will be assigned to assure sufficient dedicated resources are available for both HARP populations and individuals in the Mainstream MCO, and how the Plan will ensure effective networks are developed and managed and services are provided to people with serious behavioral health and co-occurring chronic conditions. Proposals must identify the number of FTEs for each function. Proposals must also allocate the FTE percent for each function between the Mainstream MCO and the HARP.

Q. Operational Staff: In addition to the key and managerial personnel, the Plan shall have a sufficient number of qualified operational staff to meet the responsibilities of this RFQ. These staff must work at sites located within NYS, with the exception of claims staff, UM staff, and BH clinical peer reviewers. BH clinical peer reviewers may be located outside NYS.

For each department, the Plan shall describe its plan to ensure staff expertise to manage services for individuals with serious behavioral health conditions. The plan must contain the number of FTE staff devoted to each function. The Plan shall have a sufficient number of staff, at a minimum, in the following categories (see [Section 4.0.B.](#)):

- i. **Utilization/care management staff.** Utilization management staff may be located outside of NYS and must be available, seven days per week/24 hours per day to conduct prior authorization, concurrent review and retrospective review²⁰ and to provide related authorization of BH care when medically necessary and to provide ongoing care management for members.

Care management staff must be located in NYS and be available during normal business hours. All utilization/care management staff must be U.S. licensed BHPs. Some of these staff should include individuals who are Certified Alcohol and Substance Abuse Counselors for concurrent review of SUD services.

Utilization/care management staff shall have experience and expertise in managing care for one or more of the following populations:

²⁰ Plan choosing not to do prior authorization/concurrent review must provide the State with their plan for outlier data analysis or other approach to ensure that providers are providing medically necessary services in an efficient manner.

- a. Adults with behavioral health needs;
 - b. Transition age youth with behavioral health needs;
 - c. Older adults with a MH condition or a SUD;
 - d. High risk groups such as individuals with SMI, co-occurring major mental disorders and SUDs and those involved in multiple services systems (education, justice, medical, welfare, and child welfare);
 - e. Individuals with I/DD in need of BH services;
 - f. Individuals with a MH condition or a SUD and co-occurring chronic physical health conditions;
 - g. Individuals with a SUD in need of medication-assisted treatment, including methadone and buprenorphine for opioid dependence.
- ii. **BH clinical peer reviewers**, who meet the criteria for one of the following categories, to conduct denial and appeal reviews, peer review on psychological testing or complex case review and other consultation on member strengths and treatment needs:
- a. Physicians who are board certified in adult psychiatry.
 - b. Physicians who hold a Certification in Addiction Medicine or a Certification in the Subspecialty of Addiction Psychiatry.
 - c. Licensed doctoral level psychologists.
- Any BH clinical peer reviewer who is subcontracted or works in a service center other than Plan's NYS service center shall be subject to the same supervisory oversight and quality monitoring as staff located in the NYS service center to include participation in initial orientation and at least annual training on NYS specific benefits, protocols and initiatives including:
- a. The Medicaid BH service array and associated medical necessity criteria with inter-rater reliability testing.
 - b. Network transformation initiatives.
 - c. Special populations.
- iii. **BH QM specialists** to implement the BH section of the QM/UM Plan and to track, review, and investigate critical incidents and accidents, morbidities, mortalities, and other quality of care issues. QM staff must have relevant regulatory, QM, managed care or clinical BH experience and may include licensed BHPs and CASACs. QM staff may be located outside NYS.
- iv. **Provider relations staff** to meet requirements under this RFQ for appropriate provider education about network participation requirements, provider training, provider profiling, and provider performance improvement or problem resolution. Plans need to indicate how many provider relations FTE staff will be employed and where they will be located.

- v. **Additional staff, as needed**, to provide liaison with other member-serving systems including, but not limited to:
 - a. OMH;
 - b. OASAS;
 - c. OPWDD;
 - d. County administrators or staff;
 - e. NYC Department of Health and Mental Hygiene;
 - f. State and local criminal justice agencies;
 - g. State and local foster care agencies for foster care involved Transition Age Youth;
 - h. Juvenile justice for justice involved Transition Age Youth;
 - i. State and local housing and homeless services and local housing administrators; and
 - j. Vocational Administration.
- vi. A sufficient number of qualified staff to meet both new contract requirements and increased volume including administrative and support staff, member services staff, grievance and appeal staff, claims staff, encounter processing staff, data analysts, and financial reporting analysts.

R. Additional HARP Operational Staff Requirements:

- i. HARP utilization/care management staff shall have experience and knowledge with BH treatment, rehabilitation programs, supported housing, supported employment, vocational rehabilitation resources, and welfare to work programs. Experience should include knowledge of recovery oriented practices and development of EBPs as recognized by the SAMHSA and other national registries for these populations. Among other topics, training will be required in BH HCBS requirements, supportive housing and services for individuals with FEP.
- ii. All admission and continued stay authorization decisions are made by a U.S. BHP with a minimum of three years of clinical experience in a BH setting.

3.4 Member Services

- A. The Plan shall ensure its call center operations respond to BH inquiries and conduct triage to BH services 24 hours per day/7 days per week/. Member services call center operations may be located out-of-state provided staff are adequately trained on NYS requirements.
- B. The Plan shall staff its call center with a sufficient number of trained member service representatives to answer the phones within telephone response standards defined in the MCO Model Contract. The Plan shall provide member service staff with access to appropriately qualified clinicians to assist with triaging callers who may be in crisis.
- C. The Plan shall revise its member service policies and procedures to address the following:

- i. Information on the expanded array of Medicaid covered BH benefits and services (including BH HCBS for HARPs), including where and how to access them;
 - ii. Authorization requirements for BH services;
 - iii. Requirements for responding promptly to family members and for supporting linkages to other member-serving systems including, but not limited to social services, OPWDD, and State or federally funded non-Medicaid BH services, NYS Justice Center, law enforcement, and the criminal justice system;
 - iv. Protocols for assisting and triaging callers who may be in crisis by accessing a qualified clinician to take the call without placing the caller on hold. The qualified clinician shall assess the crisis and shall warm transfer the call to the crisis provider, call 911, refer the individual for services, refer the caller to his or her provider, or resolve the crisis over the telephone as appropriate.
- D. The Plan shall revise the member handbook to include information on the expanded array of Medicaid BH benefits and services, including where and how to access them and related authorization requirements.
- i. Plans will distribute the revised member handbook to all enrollees.
 - ii. Member handbooks shall clearly delineate the core benefits and the HARP enhanced benefit package. It should clearly identify the HARP eligibility requirements and the HARP application process.
 - iii. The Plan shall train all existing and any new member service representatives on the revised policies and procedures. The revision and training shall incorporate NYS' vision, mission, and system goals and operating principles for BH managed care programs and services.
- E. The Plan shall submit its member services policies to NYS for review as part of the State's Readiness Review process. The Plan shall also amend its member handbook to incorporate the NYS BH changes to the model member handbook.

3.5 Network Service Requirements

- A. The Plan's network service area shall consist of the county(ies) described in the Plan's current Medicaid managed care contract with NYS.
- i. Such service area is the specific geographic area within which eligible persons must reside to enroll in the MCO/HARP.
 - ii. Plans must contract with BH providers who serve five or more of the Plan's members as discussed in [Section 3.6.A](#).
- B. Members may choose the provider they prefer from a list of Plan contracted providers.
- C. In establishing the network, the Plan must consider the following:
- i. Anticipated enrollment in Mainstream Plans and HARPs, and enrollment from other Plans;
 - ii. Expected utilization of services by the population to be enrolled;

- iii. The number and types of providers (including new BH providers) necessary to furnish the services in the benefit package;
 - iv. The number of providers who are not accepting new patients;
 - v. The geographic location of the providers and enrollees; and
 - vi. The language and mobility/accessibility of providers.
- D. In addition to the requirements in Section 21 of the MCO Model Contract, the Plan shall:
- i. Develop a BH network based on the anticipated needs of special populations, including but not limited to:
 - a. Transition age youth with behavioral health needs;
 - b. Adults and transition age youth identified with First Episode Psychosis (FEP);
 - c. High risk groups such as individuals with SMI, co-occurring major mental disorders and SUDs and those involved in multiple services systems (e.g., education, justice, medical, welfare, and child welfare);
 - d. Individuals with I/DD in need of BH services;
 - e. Individuals with a MH condition or a SUD and co-occurring chronic physical health condition;
 - f. Individuals with a SUD in need of medication-assisted treatment, including methadone and buprenorphine for opioid dependence;
 - g. Homeless individuals;
 - h. Individuals in Supportive Housing or other types of community housing;
 - i. Adults transitioning from State Operated Psychiatric facilities and other inpatient and residential settings;
 - j. Individuals with SMI/SUD transitioning from jail/prison/courts; and
 - k. Individuals in AOT status.
 - ii. Maintain a network of physical health providers that:
 - a. Meets the physical health needs of people with SMI/SUD. The network of physical health providers is expected to be the same for the Mainstream MCO and the HARP;
 - b. Provides primary care screening for depression, anxiety, and SUD.
- E. To be considered accessible, the network must contain a sufficient number and array of providers to meet the diverse needs of the member population. This includes:
- i. Being geographically accessible (meeting time/distance standards), culturally competent, and being physically accessible for people with disabilities;
 - ii. Providing BH services for members in their entire service area;

- iii. Ensuring a sufficient number of culturally competent providers in the network to assure accessibility to benefit package services provided by OMH or OASAS licensed programs and clinics and/or individual, appropriately licensed practitioners.
 - iv. Ensuring sufficient physical health network capacity to meet the needs of people with SMI and/or SUD.
 - v. Sufficient primary care providers who provide screening for depression, anxiety disorders, and substance use with the capacity to treat or refer to appropriate specialty providers as necessary.
- F. Minimum network standards for each service type are shown in Table 3. Plans must meet the network requirements in Section 3.5 as well as the requirements in [Section 3.6](#). If contracting with required providers does not meet the minimum network standards, the Plan must contract with additional providers to meet the standard. After the 24 month period specified in [Section 3.6A](#) has passed, plans must continue to meet the standards established in Section 3.5 of this RFQ.

Table 3. Minimum Network Standards by Service Type

Note: Plans are obligated to have a network sufficient to meet the needs of their members. In many areas, these minimum standards will not be adequate to meet your members' need for access. NYS reserves the right to modify the minimum network standards. Where minimum network standards in Table 3 are not adequate to meet your members' need for access and/or to meet appointment access standards in Table 4, the MCO shall be required to exceed the minimum network standards in Table 3.

Service	Urban Counties	Rural Counties ²¹
OMH		
Outpatient Clinic	50% of clinics or a minimum of two clinics per county, whichever is greater. ²²	50% of clinics or a minimum of two clinics per county, whichever is greater. ²²
State Operated Outpatient Programs	All in county	All in region
PROS, IPRT or Continuing Day Treatment ²³	50% of all such providers or two	50% of all such providers or two

²¹ NYS public health law defines a rural county as any county having a population of less than 200,000.

²² To ensure Enrollee choice, such clinics must be operated by no fewer than two distinct provider agencies, if available in the MCO's service area. The network must include clinic providers that offer urgent and non-urgent same day, evening and weekend services. Where an authorized integrated outpatient service provider is in the MCO's network, the MCO shall contract for the full range of integrated outpatient services provided by such provider.

²³ PROS contracts should be at least two per county/region. In counties/region without two PROS programs, IPRT or CDT can be substituted for one.

Service	Urban Counties	Rural Counties ²¹
	providers per county, whichever is greater	providers per county, whichever is greater
ACT	2 per county	2 per region
Partial Hospitalization	2 per county	2 per region
Inpatient Psychiatric Services	2 per county	2 per region
Comprehensive Psychiatric Emergency Program & 9.39 ERs	2 per county	2 per region
Crisis Intervention	in accordance with the State issued "Guidelines for Behavioral Health Network Adequacy See 3.6.G	in accordance with the State issued "Guidelines for Behavioral Health Network Adequacy See 3.6.G
Community Mental Health Services	TBD	TBD
OASAS		
Opioid Treatment Programs	All per county and for NYC – all in the City	All per region
Inpatient Treatment	2 per county	2 per region
Detoxification (including Inpatient Hospital Detoxification, Inpatient Medically Supervised Detoxification, and Medically Supervised Outpatient Withdrawal)	2 per county	2 per region
Outpatient Clinic	50% of clinics or a minimum of two clinics per county, whichever is greater. ²²	50% of clinics or a minimum of two clinics per county, whichever is greater. ²²
Residential Addiction Services	2 per county	2 per region
Buprenorphine prescribers	All authorized prescribers serving Medicaid patients	All authorized prescribers serving Medicaid patients
OMH/OASAS		

Service	Urban Counties	Rural Counties ²¹
Behavioral Health Home and Community Based Services ²⁴ (HARPs Only)	Minimum of two providers of each HCB service per region.	Minimum of two providers of each HCB service per region.

G. The MCO shall comply with the appointment availability standards and definitions in the MCO Model Contract. These are general standards and are not intended to supersede sound clinical judgment as to the necessity for care and services on a more expedient basis, when judged clinically necessary and appropriate. Table 4 illustrates how appointment availability standards apply to each BH service type.

²⁴ The HARP shall contract with all State-operated providers of Behavioral Health Home and Community Based Services.

Table 4. Appointment Availability Standard by BH Service Type

Service Type	Emergency	Urgent	Non-urgent MH/SUD	BH Specialist	Follow-up to emergency or hospital discharge	Follow-up to jail/prison discharge
MH Outpatient Clinic/PROS Clinic		Within 24 hrs of request	Within 1 wk		Within 5 days of request	Within 5 days of request
ACT		Within 24 hrs of request			Within 5 days of request	
PROS		Within 24 hrs of request		Within 2 wks	Within 5 days of request	Within 5 days of request
Continuing Day Treatment				2-4 wks		Within 5 days of request
IPRT				2-4 wks		
Partial Hospitalization					Within 5 days of request	
Inpatient Psychiatric Services	Upon presentation					
CPEP	Upon presentation					
Crisis Intervention	Upon presentation	Within 24 hours for short term respite			Immediate	
Community Mental Health Services (These are 599 clinic services offered in the community)		Within 24 hrs of request	Within 1 wk		Within 5 days of request	Within 5 days of request
OASAS Outpatient Clinic		Within 24 hrs of request	Within 1 wk of request		Within 5 days of request	Within 5 days of request
Detoxification	Upon presentation					
SUD Inpatient Rehab	Upon presentation	Within 24 hrs of request				
Opioid Treatment Program		Within 24 hrs of request			Within 5 days of request	

Service Type	Emergency	Urgent	Non-urgent MH/SUD	BH Specialist	Follow-up to emergency or hospital discharge	Follow-up to jail/prison discharge
Residential Addiction Services		Within 24 hrs of request		2-4 wks	Within 5 days of request	
Behavioral health Home and Community Based Services						
Psychosocial Rehabilitation, CPST, Habilitation, and Family Support and Training	n/a	n/a	Within 2 weeks of request		Within 5 days	
Short Term and Intensive Crisis Respite	Immediately	Within 24 hours	n/a		Immediate	
Educational and Employment Support Services	n/a	n/a	Within 2 weeks of request		n/a	
Peer Supports	n/a	Within 24 hours for symptom management	Within 1 week of request		Within 5 days	

H. Additional HARP Network Requirements:

- i. A Plan’s HARP must cover all counties in which their Mainstream MCO Plan operates.
- ii. The HARP’s network shall consist of the full range of physical health providers available through its Mainstream MCO Plan.
- iii. The HARP will ensure an adequate network of behavioral health Home and Community Based Services (HCBS) with a choice of qualified providers.
- iv. NYS will be providing guidance on BH HCBS and will designate providers that meet BH HCBS qualifications.
- v. The HARP shall develop and manage a continuum of supported education/employment services to assist members, including members with FEP and Transition Age Youth, to achieve their employment/education goals.

3.6 Network Contracting Requirements

- A. The Plan will be required to contract with BH agencies licensed or certified by OMH or OASAS who currently serve five or more Medicaid managed care enrolled beneficiaries. MCOs/HARPs must contract with these current behavioral health agencies for at least the first 24 months of operation so long as quality of care is monitored and maintained consistent with 42 CFR 438.230(b)(4) and OASAS or OMH regulations. The State will make available the necessary data to allow Plans to determine the appropriate providers.

- B. The Plan will be required to contract with and maintain contracts with NY State determined essential community BH providers (at this time these include State operated behavioral health programs) so long as quality of care is monitored and maintained consistent with 42 CFR 438.230(b)(4).
- C. The Plan will be required to contract with all Opioid Treatment programs in their service area (see [Table 3](#)) to ensure regional access and patient choice where possible so long as quality of care is monitored and maintained consistent with 42 CFR 438.230(b)(4).
- D. The Plan will be required to contract with OASAS residential programs and pay their allied clinical service providers on a single case or contracted basis for members who are placed in OASAS certified residential programs to ensure continuity of care for patients placed outside of the MCO/ HARP's service area.
- E. The Plan will be required to contract with an adequate number of behavioral health clinic providers that offer urgent and non-urgent same day, evening, and weekend services.
- F. The Plan will be required to contract with crisis service providers and comply with standards to be determined by the State. Plans will monitor the performance of crisis service providers.
- G. MCOs will be required to contract with behavioral health crisis intervention programs as they are developed by the State, to prevent or divert institutionalizations. The MCO must reimburse any behavioral health crisis intervention program, regardless of network status, at least the State-determined fee schedule.
- H. Plans that contract with clinics holding a state integrated license shall contract for the full range of services available pursuant to that license.
- I. MCO's will be required to reimburse OMH-licensed and OASAS-certified behavioral health providers including ambulatory service providers, CPEP and EOB programs, and Residential Addiction Services at the medicaid FFS rates for at least 24 months after the effective date of the transition.
- J. Additional HARP Requirements**
 - i. All HARP enrollees will be enrolled, with their consent, in Health Homes. The Health Home will serve as the care manager for all services including the Home and Community Based Services provided under the 1115 Waiver authority. If an eligible individual is not already enrolled in a Health Home, the HARP will work with the individual to select a Health Home. Health Homes and Plans will collaborate around data sharing and management of high need HARP members.
 - ii. To preserve continuity of care, HARP enrollees will not be required to change Health Homes at the time of the transition.
 - iii. HARPs will be required to pay on a single case basis for individuals enrolled in a Health Home when the Health Home is not under contract with the HARP.

3.7 Network Monitoring Requirements

- A. Plans must conduct geographic access analyses per the standards in Section 15.5.c of the MCO Model Contract specific to each BH category of service listed in [Tables 1](#) and [2](#) of this

RFQ and/or as updated through future amendments to the State Plan or 1115 Demonstration. Travel time/distance to specialty care, hospitals, and behavioral health providers shall not exceed thirty (30) minutes/thirty (30) miles from the member's residence. Transport time and distance in rural areas to specialty care, hospitals, and mental health providers may be greater than thirty (30) minutes/thirty (30) miles from the member's residence if based on the community standard for accessing care or if by member's choice.

- B. Plans must submit a detailed network plan for review and approval as part of the required Readiness Review Desk Audit. The Plan shall include, but is not limited to the following components:
- i. A listing of contracted providers, by county/by specialty and explanation of how it meets network adequacy standards.
 - ii. Strategies to ensure uninterrupted services to members and that major components of the current network delivery system are not adversely affected by the transition to managed care.
 - iii. An orderly and timely process for the transition of the current network from FFS to managed care. This will include:
 - a. Establishing contracts at no less than Medicaid fee-for-service rates for a minimum of two years with any OMH or OASAS licensed or certified provider with five or more active Plan members in treatment according to a list determined by NYS.
 - b. Plans must guarantee payment at FFS rates for continuous ongoing episodes of care, up to 24 months, for medically necessary ambulatory services provided to Plan members by any OMH or OASAS licensed or certified provider regardless of their contract status. Plans may use State approved UM protocols, in compliance with parity laws and NYS policy, to review duration and intensity of this episode of care. These may be applied after the first 90 days following the transition of Behavioral Health benefits to managed care.
 - c. For continuity of care purposes Plans must allow members to continue with their care provider for the current episode of care, up to 24 months. This requirement will be in place for the first 24 months of the contract. It applies only to episodes of care that were ongoing during the transition period from FFS to managed care.
- C. Plans shall submit to the State an Annual BH Network Plan to address unmet needs 12 months after the implementation date and then annually thereafter. The Plan shall contain specific action steps and measurable outcomes that are aligned with system goals and operating principles outlined in this RFQ and the accompanying contract.
- i. The Annual Network Plan shall include an analysis of Behavioral Health network adequacy that shall be derived from data on enrollment, utilization, prevalent diagnoses, member demographics, appointment availability, geographic access, out-of-network utilization (i.e., single case agreements), outcomes (when available), grievances, appeals, BH member satisfaction, and provider issues that were significant or required corrective action during the prior year.

- ii. The Annual Network Plan will identify any current material gaps in the BH network, priorities for network development for the following year and a work plan with goals, action steps, timelines, performance targets, and measurement methodologies for addressing the gaps and priorities.
 - iii. The Annual Network Plan will be developed with the participation of consumers, family members/caretakers, providers (including State-operated providers), LGUs, and other community stakeholders and be guided by the input/priorities of RPCs.
 - iv. The Plan's work plan shall be submitted to the State for approval. The Plan shall submit quarterly progress reports as requested by the State.
- D. Plans shall document adequate capacity and services, as specified by the State in this RFQ, as often as necessary but no less frequently than:
- i. By the implementation date for the work pursuant to this RFQ.
 - ii. At any time there is a significant change in the Plan's operations that would affect adequate capacity for BH services and supports.
 - iii. Any time there are changes in services, benefits, geographic service area, or payments.
 - iv. At any time there is enrollment of a new population under the Contract.
- E. Plans shall submit electronically to the Health Commerce System (HCS) an updated provider network report on a quarterly basis. The Plan shall submit an annual notarized attestation that the providers listed in each submission have executed an agreement with the Plan to serve the Plan's HARP or MCO members as applicable. The report submission must comply with the Managed Care Provider Network Data Dictionary. Networks must be reported separately for each county in which the Plan operates and separately for HARPs. The Plan shall prepare the network inventory, including licensure, to quantify the number of network providers. At the request of the State, the Plan shall also provide an inventory of BH services for specific special populations identified in [Section 3.5.D](#) of this RFQ.
- F. Plans shall maintain a database of providers that tracks clinical specialty or other areas of expertise, skills, and training consistent with the system goals and operating principles outlined in this RFQ. The database shall be available online to providers, consumers, family members and other community stakeholders. Plan staff will be available to conduct provider searches based on geographic, clinical specialty, provider discipline, and available languages search criteria.
- G. Plans shall update and maintain the Plan's provider manual to include all relevant information on BH services and BH-specific provider requirements that are being added through this RFQ. MCOs qualified to operate both a Mainstream and a HARP shall develop two separate provider manuals for distribution to participating providers of each product line.
- H. Plans shall credential OMH and OASAS licensed or certified programs and the license or certification will suffice for the Plan's credentialing process. Plans contracting with OMH or OASAS licensed or certified programs may not separately credential individual staff members in their capacity as employees of these programs and must contract for the full range of services offered under their license.

I. Additional HARP Network Requirements:

- i. Plans shall contract with State-designated BH HCBS providers and such designation will suffice for the Plan's credentialing process. Plans contracting with New York State designated BH HCBS providers may not separately credential individual staff members in their capacity as employees of these programs. Plans must still ensure that BH HCBS provider staff are not disbarred from Medicaid or any other way excluded from Medicaid reimbursement.
- ii. The HARP, in coordination with the RPC, will conduct a BH HCBS needs assessment to identify unmet service needs in its service delivery system within nine months after the start-up date. The Plan shall submit a plan to the State to meet the unmet service needs as part of its required Annual Network Plan within 12 months after the implementation start date.
- iii. The HARP shall develop and submit to NYS for approval a separate BH HCBS provider manual (for inclusion in the MCO provider manual) that includes BH HCBS operational policies and procedures consistent with federal waiver requirements and relevant State policies and procedures.
- iv. The HARP shall develop a Health Home and provider profiling system that includes outcomes and compliance with HCBS assurances and sub-assurances.
- v. The HARP shall comply with all federally funded and State funded housing requirements as directed by OMH/OASAS.
- vi. The HARP shall support the State in building capacity in Health Homes for management and care of individuals with a) SMI or b) a co-occurring MH disorder and SUD or c) either a MH disorder or SUD and one other chronic medical condition or at risk of a chronic medical condition. Requirements include:
 - a. Performing network analyses to identify the Health Homes and providers best suited for managing individuals with SMI or functionally limiting SUD.
 - b. Developing a process for identifying, assigning and tracking high risk members, based on clinical risk management standards, to an appropriate Health Home for engagement in Health Home services. Plans will use risk assessment and data modeling tools to identify individuals in need of intensive Health Home care management.
 - c. Promoting integrated care through Health Home, provider and member education, use of electronic records, decision support tools, consumer registries, data sharing, care coordination, and prevention-oriented interventions.
 - d. Establishing standard reporting measures on cost and quality that tie BH and medical financial, clinical and member satisfaction outcomes together.

3.8 Network Training

- A. Plans will develop and implement a comprehensive provider training and support program for network providers to gain appropriate knowledge, skills, and expertise and receive technical assistance to comply with the requirements under managed care. To the extent

practical provider training and the Plan's annual training plan should be coordinated through the RPCs.

- B. The training program shall meet the following minimum requirements:
- i. An annual training plan shall be developed that addresses all training requirements. The training shall be accessible to all network providers at alternate times and days of the week with sufficient opportunities available to reach all providers. A schedule of training shall be available on the Plan's website and updated as needed but at least annually.
 - ii. Members and family members shall be included in the development and delivery of trainings;
 - iii. A cultural competency component shall be included in each provider training topic.
 - iv. An initial orientation and training shall be provided for all BH providers new to the Plan's network, including OMH licensed and OASAS certified providers.
 - v. Training and technical assistance shall be provided to BH network providers on billing, coding, data interface, documentation requirements, and UM requirements.
 - vi. BH network providers shall be informed in writing regarding the information requirements for UM decision making, procedure coding, and submitting claims.
 - vii. BH network providers shall be educated and encouraged to use evidence-based and promising practices and to incorporate recovery principles into their service provision as well as into their policies and procedures.
 - viii. Contracted primary care providers and Health Homes shall be offered training on:
 - a. The BH service array available to Medicaid beneficiaries;
 - b. Screening, Brief Intervention, Referral and Treatment;
 - c. Screening for depression in primary care settings and collaborative care;
 - d. Identification of individuals with FEP and referral to appropriate FEP services. Plans will provide training and technical assistance on meeting the needs of individuals with FEP in conjunction with an entity designated by NYS;
 - e. The application of clinical practice guidelines and EBPs for BH conditions commonly treated in primary care settings;
 - f. OMH will collaborate with Plans and RPCs on trainings for providers and Health Homes.
 - ix. BH and medical providers shall be offered training on addressing co-occurring conditions, such as behavioral health and physical health and behavioral health and intellectual and developmental disabilities.
 - x. Plans will offer continuing medical and clinical education. When appropriate, continuing education unit credits will be offered to its network providers who complete attendance requirements for contractually required training.
- C. Plans will provide technical assistance in other areas, such as claim submission, as indicated by provider performance identified through the Plan's QM and provider profiling programs. Plans will ensure providers receive prompt resolution to their problems.

D. Additional HARP Network Requirements:

- i. The HARP shall offer training, in coordination with the RPCs, to all BH providers and Health Homes regarding BH HCBS requirements.
- ii. The HARP shall offer training and technical assistance to develop primary care provider capacity to successfully engage and work with individuals with SMI and functionally limiting SUD.
- iii. The HARP shall offer training to all contracted providers regarding common medical conditions and medical challenges in working with individuals with SMI and functionally limiting SUD.

3.9 Utilization Management

- A. The Plan will use Medical Necessity Criteria (MNC) to determine appropriateness of new and ongoing services. NYS supports a person-centered approach to care in which each enrollee's needs, preferences, and strengths are considered in the development of a service plan. Plan care managers should view each authorization for a specific level of care within the larger context of the enrollee's needs to support sustained recovery from a serious mental illness or substance use disorder. When an enrollee no longer meets MNC for a specific service, the Plan should work with providers to ensure that an appropriate new level of care is identified (if needed), necessary referrals are made, and the enrollee successfully transitions without disruption in care. Plans should also have processes for monitoring an enrollee's need for new care management services, including defined triggers for referrals to Health Homes and HARP services.
- B. The Plan shall establish prior authorization and concurrent review protocols that comport with NYS Medicaid medical necessity standards, federal and State parity requirements, the New York State Model Medicaid Managed Care Contract, and other related standards that may be developed by OASAS and OMH, for the services listed in [Table 1](#).
- C. Plans that choose not to do prior authorization or concurrent review for specific ambulatory levels of care or for services for which prior authorization is not permitted, will need to provide NYS with their data-driven plan to identify and work with providers who are outliers regarding national standards of care and service utilization.
- D. In the event BH services are added to the Medicaid State Plan or utilization of BH services significantly deviates from expected levels or national norms, the Plan shall modify prior authorization and concurrent review requirements to appropriately manage utilization and cost in consultation with the State.
- E. The Plan shall develop and implement BH-specific UM protocols, including policies and procedures (P&Ps) and level of care guidelines that comply with the following requirements:
 - i. UM protocols and level of care guidelines shall be specific to NYS levels of care and consistent with the State's medical necessity criteria and guidance.
 - ii. OASAS will identify the level of care guidelines that all Plans must use for SUD services. The LOCADTR 3.0 tool will be used for making prior authorization and continuing care decisions for all SUD services.

- iii. UM protocols and guidelines, as well as any subsequent modifications to the protocols and guidelines, shall be submitted to the State for prior review and approval.
- iv. The Plan's UM system shall follow national and state standards and guidelines, promote quality of care, and adhere to standards of care, including protocols that address the following:
 - a. Review of clinical assessment information, treatment planning, concurrent review, and treatment progress to a) ensure the clinical appropriateness of care based on the consumer's current condition, effectiveness of previous treatment, environmental supports, and desired outcomes and b) to address gaps in care, including appropriate use of EBPs and request changes to service plans to address unmet service needs that limit progress toward treatment and quality of life goals.
 - b. Promotion of recovery principles through the use of certified peer or family support services, natural supports, and other services that promote self-reliance including wellness recovery action plans.
 - c. Promotion of relapse/crisis prevention planning that goes beyond crisis intervention to include development and incorporation of advance directives in treatment planning and the provision of treatment for individuals with a history of frequent readmissions or crisis system utilization.
- F. The Plan shall require that all BH admission and continued stay authorization decisions are made by a U.S. BHP with a minimum of three years of clinical experience in a BH setting.
- G. The Plan shall educate members and providers about its UM protocols and level of care guidelines, including admission, continued stay, and discharge criteria. The Plan shall provide the State with its processes and procedures for communicating UM requirements.
- H. The Plan shall educate UM staff in the application of UM protocols, clearly articulating the criteria to be used in making UM decisions and describing specific care management functions. The Plan shall demonstrate that all UM staff who are making service authorization decisions and/or conducting care management have been trained and are competent in working with the specific area of service for which they are authorizing and managing including, but not limited to: co-occurring MH and SUDs, co-occurring BH and medical diagnoses, and co-occurring BH and I/DD.
- I. The Plan shall ensure consistent application of review criteria regarding requests for initial and continuing stay authorizations. At a minimum, on an annual basis, all staff performing initial and continuing stay authorizations and denial reviews shall participate in inter-rater reliability testing to assess consistency in the application of level of care guidelines. Staff performing below acceptable thresholds for inter-rater reliability shall be retrained and monitored until performance exceeds the acceptable threshold. The inter-rater reliability testing, including test scenarios and processes, shall be customized to address all Medicaid BH services subject to prior authorization or concurrent review under the Contract, as defined in [Section 3.9](#) of this RFQ. Results shall be reported the State annually.
- J. The Plan shall establish criteria to identify quality issues, other than medical necessity, that result in referral to BH clinical peer reviewer for review and consultation. The Plan will

develop a reasonable method, including automated online flags and UM documentation audits, for confirming that criteria are consistently applied during the UM process.

- K. The Plan shall establish protocols for addressing discharge planning during initial and continued stay reviews. Protocols shall include, but are not limited to:
- i. Identifying comprehensive discharge plans that address not only treatment availability, but also community supports necessary for recovery including but not limited to: housing, financial support, medical care, transportation, employment and/or educational concerns, social supports, and a crisis prevention/wellness recovery action plan;
 - ii. Identifying and reducing barriers to access to and/or engagement with post-discharge ambulatory appointments, medication, and other treatment(s);
 - iii. Confirming post-discharge appointment availability and adherence and in the absence of adherence, offering appointment options;
 - iv. Procedures for concurrent review for enrollees requiring extended inpatient care due to poor response to treatment and/or placement limitations, to ensure that these enrollees are not inappropriately denied services;
 - v. Corrective action expectations for ambulatory providers who do not follow up on people discharged from inpatient settings, when appointments are missed; and
 - vi. Timeframes for each of the above.
- L. The Plan shall comply with NYS Medicaid guidance including managed care policy documents, relevant performance improvement specification documents or manuals, and policies governing prior authorization, concurrent or retrospective review. Specifically, Plans must incorporate the following into their guidance:
- i. OMH Clinic Standards of Care: (www.omh.ny.gov/omhweb/clinic_standards/care_anchors.html) and OASAS Clinical Guidance (<http://www.oasas.ny.gov/treatment/documents/ClinicalGuidance-Final.pdf>)
- M. The Plan shall utilize information acquired through QM/UM activities to make annual recommendations to the State on the continuation or adoption of different practice guidelines and protocols, including measures of compliance, fidelity, and outcomes. The identification of evidence-based or promising practices shall consider cultural appropriateness. The Plan shall comply with the MCO Model Contract, Section 16.2, in implementing practice guidelines.
- N. Plans should follow the grievance and fair hearings process as per the NYS Medicaid managed care contract.
- O. The Plan shall ensure that decision makers on BH denials, grievances, and appeals meet the requirements in [Section 3.3](#) for clinical peer reviewers and have clinical expertise in treating the member's condition or disease, stratified by age, if any of the following apply:
- i. An appeal of a denial based on lack of medical necessity.
 - ii. A grievance regarding the Plan denial of a request for an expedited resolution of an appeal.
 - iii. Any grievance or appeal involving clinical issues.

iv. An appeal of a decision to authorize a service in an amount, duration, or scope that is less than requested.

P. In general, denials, grievances, and appeals must be peer-to-peer — that is, the credential of the licensed clinician denying the care must be at least equal to that of the recommending clinician for any denials. In addition, the reviewer should have clinical experience relevant to the denial (for example, a denial of rehabilitation services must be made by a clinician with experience providing such service or at least in consultation with such a clinician, and a denial of specialized care for a child cannot be made by a geriatric specialist). In addition:

- i. A physician board certified in general psychiatry must review all inpatient level of care denials for psychiatric treatment.
- ii. A physician certified in addiction treatment must review all inpatient level of care denials for SUD treatment.

Q. HARPs must meet the following additional UM requirements:

- i. NYS will review and approve all Plan level of care guidelines for Home and Community Based Services.
- ii. Plans offering a HARP shall develop concurrent review protocols for the Home and Community Based Services listed in [Table 2](#).
- iii. Plans establishing concurrent review protocols for Home and Community Based Services ([Table 2](#)) must consider the following factors:
 - a. Life goals – Services should target life goals such as educational; social; vocational; and self-maintenance;
 - b. Person-directed services – Services should relate to individualized goals within a major life domain;
 - c. Recovery focus – Services should incorporate a recovery focus, e.g.: “A process of change through which individuals improve their health and wellness, live a self-directed life, and strive to reach their full potential.”²⁵;
 - d. Admission criteria - Admission eligibility criteria should not restrict access to only individuals who have active symptoms. Individuals with functional impairments that substantially interfere with or limit one or more major life activities are eligible for these services;
 - e. Utilization of rehabilitation services and supports - As enrollees achieve recovery goals, the Plan shall ensure that person-centered planning focuses on titrating services to individualized needs so that improvements in functional impairments can be maintained when there is a reasonable expectation that withdrawal or premature reduction of services may result in loss of rehabilitation gains or goals attained by the enrollee. The person-centered planning process should also include approaches that assist the enrollee with achieving recovery to the fullest extent possible without unnecessary reliance on services and supports; and

²⁵ SAMHSA Definition of Recovery, 02/12

- f. Need for off-site services - Plans shall ensure that mobile psychosocial rehabilitation services and housing related supports are available to promote recovery in the community where enrollees live and work, as well as promote access to community services.
- iv. BH HCBS will be managed in compliance with new CMS HCBS rule (42CFR Parts 430, 431, 435, 436, 440, 441, and 447).
- v. The HARP shall develop a data driven approach to identify service utilization patterns that deviate from any approved HCBS plan of care and conduct outreach to review such deviations and require appropriate adjustments to either service delivery or the plan of care.
- vi. Prior authorization of the BH HCBS plan of care is required to determine medical necessity. UM requirements for BH HCBS must ensure that a person-centered plan of care meets individual needs.
- vii. Implementation of psychiatric advance directives consistent with the MCO Model Contract item 13.7.a.

3.10 Clinical Management

- A. The integration of behavioral health in primary care is critical to improve both health and behavioral health outcomes. Over the next few years New York State DOH, OMH and OASAS will work with the Plan Association and Plans to develop steps to achieve integration in primary care settings.
- B. Each plan will be required to design and implement a quality project to increase the screening and treatment for behavioral health conditions in primary care.
 - i. The Plan will implement a primary care screening and follow-up program for depression, anxiety disorders, and substance use disorders (including tobacco use) within one year after implementation and for the duration of the contract.
 - ii. This program shall include such follow-up methods as treatment in primary care for less complex conditions and referral to specialty care for complex cases, Collaborative Care and SBIRT.
 - iii. The Plan shall disseminate clinical practice guidelines to contracted primary care providers regarding EBPs for BH conditions that are commonly treated in primary care settings. The Plan shall comply with the MCO Model Contract, Section 16.2, in implementing practice guidelines.
 - iv. The Plan shall establish a process for screening individuals in high-risk medical populations for BH conditions and/or psychosocial stressors that may impact their medical condition or adherence to related treatment regimens. Unless the individual refuses such assistance, the Mainstream MCO shall ensure an assessment is completed to identify BH service needs and expedite referral to the appropriate services.
- C. The Plan shall meet the following BH-medical integration requirements within six months after implementation and for the duration of the contract:
 - i. The Plan shall deliver orientation and ongoing training to educate its BH and medical staff about co-occurring BH and medical disorders, and integrated care management

principles. The training objective is to strengthen the knowledge, skill, expertise, and coordination efforts within the respective outreach, UM, care management, pharmacy, and provider relations workforce. NYS will review all staff training plans related to this RFQ.

- ii. The Plan shall implement programs to manage complex and high-cost co-occurring BH and medical conditions that include the following elements:
 - a. Identification processes, including claims-based analyses and predictive modeling, to identify high risk members;
 - b. Stratification of cases according to risk, severity, co-morbidity, and level of need for targeted outreach;
 - c. Outreach, engagement, and intervention strategies based on stratification (in partnership with Health Homes);
 - d. Care coordination or linkage to Health Home care coordination as appropriate;
 - e. Appropriate referral and use of community supports;
 - f. Provider collaboration;
 - g. Individualized, person-centered care plans; and
 - h. Engagement monitoring, outcome monitoring and reporting at the individual, program and Health Home level.
- iii. The Plan shall analyze ED encounters and inpatient admission to identify inappropriate ED and inpatient use by BH recipients and develop and implement strategies to reduce inappropriate use of the ED and inpatient care.
- iv. The Plan shall establish business rules regarding screening, referral, and co-management of high risk individuals with both BH and medical conditions. The protocols shall include the following components:
 - a. Processes to encourage sharing clinical information among providers as needed for coordinated care.
 - b. Training and monitoring staff on compliance with the protocols.
 - c. Tracking and reporting to NYS of high risk member identification, referral, and engagement rates.
 - d. Profiling network providers in regard to proper handoffs across levels of care, proper ambulatory engagement, assertive outreach for high need patients who disengage from care, and corrective action protocols for providers who do not perform to these standards.
- v. The Plan shall develop data exchange protocols prior to initiation of services with any subcontracted BH management entity. Protocols must support BH-medical coordination including sharing of claims and pharmacy data, care plans and advance directives necessary to coordinate service delivery, and care management for each member in accordance with applicable privacy laws, including HIPPA and 42 CFR Part 2.

- vi. The Plan shall provide information systems resources to its care managers to ensure access to up-to-date medical information such as medications, services provided (claims), service plans and crisis plans for their assigned members. The Plan's care management P&Ps shall outline medication management and monitoring requirements, as well as documentation responsibilities by care managers.
- D. The Plan shall have the capacity to create Behavioral Health clinical practice guidelines for the identification and appropriate referral of individuals as required and shall implement these guidelines in the settings where such individuals are most likely to present, including but not limited to contracted primary care providers, hospitals, and outpatient clinics.
- E. The Plan shall include the BH medical director in the evaluation of BH medications and other emerging technologies for the treatment of BH conditions and related decisions.
- F. The Plan shall have the capacity to develop and implement a defined pharmacy management program for BH drug classifications within 12 months of implementation. At a minimum, this capacity must include the following areas:
- i. Specialized pharmacy management policies for BH, primary care provider (PCP), and other specialty provider types including but not limited to polypharmacy, metabolic and cardiovascular side effects of psychotropic medications.
 - ii. Availability of multiple drug classes for various BH conditions.
 - iii. Use of data to identify opportunities for intervention that address safety, gaps in care, utilization, and cost.
 - iv. Provider outreach strategies that include telephonic and in-person outreach to outlier prescribers by qualified personnel (pharmacists, physicians) including SUD providers who see patients with alcohol and opioid disorders where there are no claims for addiction medications.
 - v. Member outreach strategies (to be reviewed and approved by the OMH and OASAS) to promote medication adherence.
 - vi. Reports that include statistics on the impact of interventions on outcomes and/or cost by drug class.
- G. The Plan shall develop definitive strategies to promote BH-medical integration. Considerations include:
- i. Co-location of BH practitioners in primary care settings;
 - ii. Co-location of primary care physicians in BH settings;
 - iii. The availability of a primary care supervising physician to provide consultation on complex health issues for the psychiatrist, medical nurse practitioner, and/or nurse care manager;
 - iv. The availability of a psychiatrist to provide consultation on complex behavioral health issues for the primary care physician, medical nurse practitioner, and/or nurse care manager;
 - v. Plan referral of individuals with high PH/ BH needs to clinics with a State integrated delivery license where available; and

- vi. The Plan will institute monitoring mechanisms to measure the effectiveness of its strategy. The results of such monitoring shall be reported to the State on an annual basis.

H. In addition to the clinical management requirements above, HARPs shall meet the following additional requirements:

- i. For HARP enrollees, the HARP shall provide care coordination and care management services directly through Health Homes wherever possible or other State-designated entities. The MCO shall ensure that the Health Home or other assigned care coordinator shall assist the member with accessing medical and BH services, provide member education and coaching to facilitate adherence to recommended treatment, develop plans of care in accordance with applicable State and Federal regulations and guidance, and monitor member outcomes. MCOs and Health Homes will collaborate on information sharing and care coordination for high need HARP enrollees. Nothing in this requirement shall be construed to limit, in any way, the member's right to refuse treatment.
- ii. The enrollment of all HARP members in Health Homes will be facilitated by the HARP. The HARP will need to send a letter to notify the member of Health Home eligibility within a timeframe to be determined by the State. The Plans and Health Homes will operate under the terms of the Administrative Health Home Services Agreement, policy and programmatic guidance developed by NYS or which may be developed in the future .
- iii. HARPs will use data analytics and other tools to facilitate the assignment of HARP enrollees into appropriate levels of intensity of care management.
- iv. In the first six months after start-up, the HARP shall collaborate with the State and providers to develop a protocol for screening for unmet medical needs in HARP enrollees. The protocol will be based on the interRAI platform.
 - a. Enrollees screening positive for co-morbid medical conditions are required to receive a provider referral and a follow-up contact from the member's Health Home within seven days to facilitate a referral to needed medical services. For members already in an established primary care relationship, the Health Home will monitor for adherence to recommended medical treatment.
- v. The Plan shall incorporate the following elements into its approach to integrated health care delivery for HARP enrollees:
 - a. Integration and coordination of care management responsibilities with the member's assigned Health Home.
 - b. A single point of contact for the Health Home. The Plan will provide a dedicated 800 number to facilitate Plan/Health Home coordination.
 - c. A treatment team that includes a psychiatrist or equivalent BH medical professional and an assigned primary care contact.
 - d. Whole-person oriented care.

- e. Health education, nicotine replacement therapy and health promotion services including assistance and education regarding health risk-reduction and healthy lifestyle choices, screening and referral for tobacco cessation services, the Plan's nurse-line, maternity care programs and services for pregnant women, appropriate use of health care services, self-care, management of health conditions, and wellness coaching.
- vi. The Plan shall adopt, disseminate, and implement the State selected clinical practice guidelines listed below as well as nationally recognized clinical practice guidelines, including other evidence-based and promising practices.
 - a. SAMHSA's ACT
 - b. SAMHSA's Illness Management and Recovery
 - c. SAMHSA's Integrated Dual Disorder Treatment for co-occurring disorders
 - d. SAMHSA's Supported Employment (Individual Placement and Support)
 - e. SAMHSA's Family Psychoeducation
 - f. Tobacco cessation
 - g. OMH FEP practice guidelines
 - h. Seeking Safety
 - i. Motivational Enhancement Therapy
 - j. Twelve- Step Facilitation
 - k. Cognitive Behavioral Therapy for SUD
 - l. Medication Assisted Recovery for SUD
 - m. Other SUD EBP as recognized by SAMHSA
- vii. Dissemination should be done in collaboration with the RPCs as appropriate.

3.11 Cross System Collaboration

- A. Plans shall meet with New York State (DOH, OMH, OASAS) on behavioral health managed care issues at least quarterly.
- B. At a minimum, Plans will meet quarterly with the RPCs in their respective regions. RPCs will be comprised of each LGU in a region, and representatives of mental health and substance use disorder service providers, peers, families, Health Home leads and Plans etc... The RPC will work closely with State agencies to guide behavioral health policy in the region, problem solve regional service delivery challenges, and recommend priorities for reinvestment of Medicaid savings.
- C. The Plan will need to sign a standardized Memorandum Of Agreement (MOA) with RPCs covering the counties they serve for purposes of:
 - i. Data sharing;
 - ii. Service system planning;
 - iii. Facilitating Medicaid linkages with social services and criminal justice/courts and providers under contract with the county or State;

- iv. Coordinating provider and community training;
 - v. Ensuring support to primary care providers, ED, and local emergency management (fire, police) when BH emergent and urgent problems are encountered.
- D. The Plan shall work with the State to ensure that Transition Age Youth are provided continuity of care without service disruptions or mandatory changes in service providers. Plans will be asked to describe the policies and procedures they have in place to address the needs of Transition Age Youth.
- E. Within six months of the start-up date, the Plan shall reach agreement and develop written policies and procedures with OMH and OASAS for the coordination of care for individuals served by both Plans and non-Medicaid funded services and programs, including OMH/OASAS programs. The Plan shall facilitate a process to review/update written protocols on an annual basis. The NYS Conference of Local Mental Hygiene Directors will be involved to the extent that these programs are funded through counties. The collaboration agreement, which will be standardized across Plans, shall address, at a minimum:
- i. Mechanisms for resolving problems;
 - ii. Information sharing;
 - iii. Procedures to identify and address joint training needs.

F. Additional HARP requirements:

- i. The HARP shall collaborate with the Local Governmental Unit /Single Point of Access (SPOA), other community stakeholders, State agency partners, federal agencies, and other entities that manage access to housing to assist:
 - a. Members who are homeless or otherwise in need of Supportive Housing in obtaining and maintaining housing through supportive services targeted to promote housing stability.
 - b. High needs Plan members in receiving priority access to housing.
 - c. Existing OMH/OASAS housing programs in transitioning to a Supportive Housing model, where individuals can obtain supportive services tailored to their needs separately from their housing.
- ii. The HARP, through a Health Home wherever possible or other State-designated entity, shall promote access to other social and behavioral health resources necessary to promote recovery outcomes and wellness, public benefits, including housing subsidies, meaningful employment, social networks and legal services for Enrollees determined to be in need of such services, through the care coordination processes.

3.12 Quality Management

- A. The MCO shall amend its quality assurance program as required in Section 16.1 of the MCO Model Contract to address BH-specific monitoring requirements outlined throughout this RFQ.
- B. The MCO shall maintain an active BH QM sub-committee which shall include in an advisory capacity, members, family members, peer specialists, and provider representatives. It will

be responsible for carrying out the planned activities of the BH QM program and be accountable to and report regularly to the governing board or its designee concerning BH QM activities. The Plan's BH QM administrator shall lead quarterly BH QM subcommittee meetings and maintain records documenting attendance by members, family members, and providers, as well as committee's findings, recommendations, and actions.

C. The MCO shall implement an active BH UM subcommittee that is chaired by the BH medical director and is charged with implementing a process to collect, monitor, analyze, evaluate, and report utilization data consistent with the reporting requirements defined in [Section 3.13](#) of this RFQ. The BH UM subcommittee shall review and analyze data in the following areas, interpret the variances, review outcomes, and develop and/or approve interventions based on the findings:

- i. Under and over utilization of BH services and cost data;
- ii. Readmission rates, trends, and the average length of stay for all MH inpatient, SUD inpatient and residential levels of care facilities;
- iii. Inpatient civil commitments;
- iv. Outpatient civil commitments (AOT);
- v. Follow up after discharge from MH inpatient, SUD inpatient and residential levels of care facilities;
- vi. SUD initiation and engagement rates;
- vii. ED utilization and crisis services use;
- viii. BH prior authorization/denial and notices of action;
- ix. Psychotropic medication utilization;
- x. Rates of initiation and engagement of individuals with FEP in services;
- xi. Addiction medication utilization.

The MCO shall ensure intervention strategies have measurable outcomes and are recorded in the UM/clinical management committee meeting minutes.

D. The Plan shall develop and maintain mechanisms to:

- i. Monitor service quality and develop quality improvement initiatives.
- ii. Solicit feedback and recommendations from key stakeholders to improve quality of care and member outcomes.
- iii. At a minimum, these mechanisms shall include the involvement of consumer and other stakeholder advisory boards and key stakeholders. Key stakeholders shall include members, family members, subcontracted Plans, RPCs, and other member serving agencies.

E. HARPs shall meet the following additional QM requirements:

- i. The HARP shall have a quality assurance program that is separate and distinct from the Mainstream MCO quality assurance program and that meets all of the requirements contained in this RFQ and Section 16 of the MCO Model Contract as well as all terms and conditions of the 1115 Partnership Plan relating to HCBS quality assurance

performance measure reporting. This shall include a behavioral health quality management subcommittee as described in 3.12(B).

- ii. The HARP will have a UM subcommittee that shall address:
 - a. Any UM committee requirements from the mainstream managed care requirements;
 - b. Requirements in [Section 3.12\(C\)](#) above;
 - c. Avoidable hospital admissions and readmission rates and the average length of stay for all MH, SUD, residential levels of care, and medical inpatient facilities;
 - d. Use of crisis diversion services;
 - e. Follow up after discharge from inpatient care, and residential levels of care;
 - f. Prior authorization/denial and notices of action;
 - g. Pharmacy utilization including physical health, psychotropic and addiction medications;
 - h. BH HCBS utilization;
 - i. BH HCBS quality assurance performance measure reporting;
 - j. All physical health measures required by the MCO Model Contract;
 - k. Rates of initiation and engagement of individuals with FEP in services; and
 - l. Health Home engagement rates for HARP populations.
- iii. In addition to the quality assurance program described above, the HARP shall develop and maintain an overall quality management plan and procedures to oversee the subcommittees described above, review and adopt performance standards and measure outcomes.

3.13 Reporting and Performance Measurement

- A. The performance measurement approach will build from existing Quality Assurance Reporting Requirements (QARR) measures with the addition of HEDIS, HEDIS-like, and National Quality Forum measures based on claims and encounters. Performance measures beyond QARR will be developed and tested starting in Year 1. These measures include behavioral health readmission, engagement in mental health care, SBIRT screening, continuity of care for SUD, and medication assisted treatment for SUD.
- B. The Plan shall prepare and submit the standard reports to the State as specified in the Behavioral Health Addendum to the Quality Assurance Reporting Requirements (QARR) (see [Attachment A](#)) within the timeframes listed in Section 18.2 of the MCO Model Contract. Performance measures shall be audited per the terms of the MCO Model Contract, Section 18.5.v.
- C. The State will produce managed care transition performance measures (similar to BHO Phase 1 Medicaid performance measures) for a limited duration. These measures may be used to monitor plan performance during the transition phase.
- D. The Plan will participate in New York State sponsored focused clinical studies on select topics or initiatives affecting people with BH and conduct internal performance improvement projects (PIPs) on priority BH topic areas of its choosing, with approval by the State.

Focused clinical studies and PIPs will meet the requirements of Section 18.5.x of the MCO Model Contract.

- E. The Plan will separately track, trend, and report BH complaints, grievances, appeals, and denials in a format to be determined by the State.
- F. The MCO shall report to OMH and OASAS any deficiencies in performance and corrective action taken with respect to OMH and OASAS licensed, certified or designated providers.
- G. **HARPs shall meet the following additional requirements:**
 - i. The HARP shall prepare and submit the standard reports to the State as specified in the BH Addendum to the Quality Assurance Reporting Requirements (QARR) (see [Attachment B](#)) within the timeframes listed in Section 18.2 of the MCO Model Contract. Performance measures shall be audited per the terms of the MCO Model Contract, Section 18.5.v. Compliance with federal HCBS quality assurance performance measure reporting requirements will be required for persons receiving BH HCBS consistent with the 1115 Standard Terms and Conditions.
 - a. The Home and Community-Based assurances and sub-assurances in [Attachment B](#) are typical for programs such as this program and are required by CMS and its quality management contractor for demonstrating compliance with these assurances and sub-assurances. The State will negotiate the metrics and calculation of those metrics with CMS and work with the Plans to streamline all requirements associated with these quality assurance requirements.
 - ii. Reporting on new recovery outcome measures in areas such as employment, housing, criminal justice status, and functional status will be required. These social outcome measures will be based on BH HCBS eligibility evaluations, ongoing re-evaluations, and consumer self-reports.
 - iii. The HARP will conduct New York State mandated focused clinical studies on select topics or initiatives affecting people with BH. Additionally, HARP members should be included in MCO focused clinical studies as applicable.
 - iv. The HARP will conduct an internal PIP on a priority topic area of its choosing each year, with approval by the State. The PIP should be on a topic affecting people with BH.
 - v. The HARP focused clinical studies and PIPs are separate from those done by the MCO and must meet the requirements of Section 18.5.a.x of the MCO Model Contract.
 - vi. The HARP must conduct an annual consumer perception survey (supplementary to CAHPS).
- G. The HARP shall track and report on compliance with:
 - i. HCBS assurances and sub-assurances²⁶ (see [Attachment B](#));

²⁶ The State will negotiate HCBS assurances and sub-assurances with CMS and work with the Plans to streamline all requirements associated with these quality assurance requirements. Guidance from NYS will be issued on this after negotiations with CMS are complete.

- ii. Protocols for expedited and standard appeals regarding plan denials for HCBS services.
- iii. Protocols for the identification and prompt referral of individuals with FEP to programs and services, preferentially referring such individuals to OMH designated FEP services to the extent such services are available within a reasonable distance.

3.14 Claims

- i. The Plan shall meet the requirements for claiming, including timely and accurate payment of claims, as specified in NYS law and required by DOH.
- ii. The Plan shall have an automated claim and encounter processing system that will support the requirements of this RFQ and ensure the accurate and timely processing of claims and encounters and allow the Plan to verify services actually provided. The Plan shall offer its providers an electronic payment option including a web-based claim submission system.
- iii. The Plan shall support both hardcopy and electronic submission of claims and encounters for all claim types.
- iv. The Plan must support hardcopy and electronic submission of claim inquiry forms, and adjustment claims and encounters.
- v. The Plan shall have a system to support additional BH services, including additional provider types, and provider specialties not covered under the PH services.
- vi. The Plan shall have the capability to track and pay Health Homes to administer care coordination.

3.15 Information Systems and Website Capabilities

- A. The Plan shall have information systems that enable the paperless submission of prior authorization and (if applicable) other UM related requests, and when applicable, the automated processing of said requests. These systems shall also provide status information on the processing of said requests.

Plan information systems shall be interfaced as needed to care coordination systems to facilitate care coordination across providers and systems and provide guidance on appropriate services.

- B. The Plan shall maintain BH content on a website that meets the following minimum requirements:
 - i. Public and secure access via multi-level portals (such as providers and members) for providing web-based training, standard reporting, and data access as needed for the effective management and evaluation of the performance of the Plan and the service delivery system as described under this RFQ.
 - ii. The Plan shall organize the website to allow for easy access of information by members, family members, network providers, stakeholders, and the general public in compliance with the Americans with Disabilities Act. The Plan shall include on its website, at a minimum, the following information or links:

- a. Hours of operations for the Plan.
- b. How to access services, including BH and crisis contact information, and toll-free crisis telephone numbers.
- c. Telecommunications device for the deaf/text telephone numbers.
- d. Information on the right to choose a qualified BH service provider.
- e. An overview of the new range of behavioral health services being provided. For HARPs, this should include descriptions of the new BH HCBS and the process for accessing these services.
- f. A provider directory that includes BH provider names, locations, telephone numbers, service types, non-English languages spoken for current network providers in the member's service area, providers that are not accepting new patients and, at a minimum, information on specialists and hospitals. This directory should include a list of buprenorphine providers and methadone providers.
- g. Access to BH-medical integration tools and supports to support provider integration initiatives.
- h. Access to information for Transition Age Youth and members with FEP.
- i. A library for providers and members containing comprehensive information and practical recommendations related to mental illness, addiction and recovery, life events, and daily living skills.
- j. The Plan's member handbook and provider manual.
- k. Information regarding community forums, volunteer activities, and workgroups/committees that provide involvement opportunities for members receiving services, family members, providers, and stakeholders.
- l. Information regarding advocacy organizations, including how members and other family members may access advocacy services.
- m. Hyperlinks to the DOH, OMH, OASAS and county/New York City mental hygiene department websites.
- n. Opportunities, including surveys, for BH members, family members, network providers, and other stakeholders to provide satisfaction/complaint feedback.
- o. Other documents as required by OMH, OASAS, or DOH.

C. Additional HARP requirements.

- i. HARPs shall have information systems for the collection of data elements for BH HCBS such as assessment elements, plan of care elements, and amount, duration, and scope of services.
- ii. The Plan IT system (See Attachment E for details) will include functionality for all HCBS required reporting including level of care, plan of care, qualified provider, health and welfare, and fiscal accountability monitoring for the BH HCBS program for individuals in the HARP program. The application will provide the Plan management staff with the

tools needed to perform all the Federal reporting required by the Home and Community Based Services Program under the 1115 demonstration amendment including:

- a. The system should ensure that the BH HCBS programs have the analytical capability to: calculate performance indicators; detect data redundancy; measure data quality; and document compliance with State and federal regulations.
- b. The system should be flexible enough to accommodate the requirements as stated in the standard terms and conditions (STCs) and accommodate the normal changes that are identified through the quality improvement process.
- c. The system will have, at a minimum, the capability to house assessment data and electronic versions of the Recovery Plan to serve as the prior authorization for any HCBS in the Plan's claims management system.
- d. The ability to create reports on any date, timely completion indicator, etc. for quality of care monitoring related to BH HCBS quality assurance measures.²⁷

3.16 Financial Management

- A. The Plan shall adhere to the financial reporting and solvency requirements as outlined in the MCO Contract.
- B. The Plan shall amend its financial reporting requirements as required in Section 18.5 a) i, ii and iii of the MCO Model Contract to address BH-specific medical and administrative expenditures outlined throughout this RFQ and as determined by the State. This includes, but is not limited to, separate reporting for all behavioral health categories of aid, as defined by NYS, for which a capitation rate is paid.
 - i. Capitation payments made to the Mainstream MCOs for behavioral health services for adult Medicaid recipients will be monitored by NYS and compared to the expenditure target. Plans that fail to perform up to the requirements in this RFQ may be subject to statements of deficiency and/or funding take-backs. This proposal is still under discussion and NYS will continue to work with Plans to finalize the minimum BH medical loss.
- C. Plans and providers wishing to negotiate alternative payment methodologies for the first 24 months following implementation may do so pending State approval and subject to compliance with State and federal law. Guidance from NYS will be issued at a later date.
- D. Plans may, subject to State review and approval, enter into shared savings or incentive payment arrangements with providers to incentivize access to and coordination of care and to provide improved outcomes resulting from the integration of BH and PH services.
 - i. The calculation of medical loss ratio may be adapted to account for these arrangements. Any provider incentives shall be consistent with the limitations on physician incentives outlined in the MCO Model Contract Sections 18.11 and 22.14 and consistent with 42 CFR 438.6(h).

²⁷ Guidance from NYS will be issued on this after negotiations with CMS are complete.

- ii. Administrative expenses associated with any shared savings or incentive payment arrangements, including subcapitation, will not be considered medical expenses for purposes of calculating medical loss ratios.
- E. Incentives shall promote BH medical integration or behavioral health recovery outcomes by addressing performance including, but not limited to the following areas:
- i. Submitting the screening results described in [Section 3.10](#) to the Plan.
 - ii. Developing care coordination capacity for members with co-occurring chronic medical conditions and BH disorders.
 - iii. Implementation of embedded/co-located primary care and Behavioral Health practitioners.
 - iv. Meeting the primary care needs of individuals with serious mental disorders.
 - v. Identification, referral, and treatment of individuals with FEP.
 - vi. Meeting specialized training or credentialing requirements.
 - vii. Consultation and referrals to specialty care settings (onsite consultations for rapid care).
 - viii. Increased employment or educational outcomes.
 - ix. Increased housing stability in integrated settings.
 - x. Reduction in incarceration rates.
 - xi. Reductions in smoking.
- F. Risk Mitigation
- i. New York State is modifying the current 30 day psychiatric stop loss provision. Over time, NYS will eliminate the unique provision for psychiatric care without creating incentives to shift risks to hospitals for patients who require extended stays for medical and other reasons. NYS will institute a multi-year progression toward a 100 day mental health inpatient stop loss, with cost sharing changes over time (See [Attachment I for details](#)). SUD inpatient and detox services will be covered under the existing inpatient acute stop loss program.
 - ii. New York State is simultaneously considering a total individual stop-loss with cost sharing at an amount to be determined.

G. Additional HARP requirements

- i. The minimum medical loss ratio in HARPs will be approximately 90% and encompass both Behavioral Health and Physical Health. Plans that fail to perform up to the requirements in this RFQ may be subject to statements of deficiency and/or funding take-backs. Plans may also be subject to a withholding of pay for performance funds (P4P). This proposal is still under discussion and NYS will continue to work with Plans to finalize the MLR.

3.17 Performance Incentives

- A. For Mainstream MCOs, the present structure for quality incentives will be maintained but with a greater emphasis on behavioral health performance metrics. It is possible that the award may be bifurcated between physical health and behavioral health.

- B. For HARPs, the present quality incentive program will be modified significantly and financed using a premium withhold to create a pool for creating quality incentives.
 - i. During year one there will be no withhold or quality incentive.
 - ii. During year two there will be up to a 1% withhold to pay a quality incentive.
 - iii. During year three there will be up to a 2.0% withhold to pay a quality incentive.
 - iv. During year four and each year thereafter the quality incentive program will continue at the year three rate or greater.

3.18 Implementation planning

- A. Within one week of confirmation of qualification, the Plan must be available to meet with the State to work toward benefit management by July 1, 2016. At this meeting, the Plan shall:
 - i. Define the project management team, the communication paths, and reporting standards between the State and the Plan.
 - ii. Define expectations for content and format of contract deliverables.
- B. The Plan must develop an implementation team designed to ensure the implementation progresses according to the required timelines to established by the State.
- C. The Plan must designate a full time implementation manager within one week of selection/designation. The manager shall have overall responsibility for successful completion of the Plan's implementation responsibilities.
- D. The implementation manager and appropriate staff shall meet with and/or hold weekly status calls with the State. The purpose of these meetings and reports is for the Plan to communicate progress, identify issues, recommend courses of action, and obtain approval (if necessary) for making modifications to the implementation plan. This status report must include:
 - i. An updated implementation plan and responsibility matrix;
 - ii. A list of tasks that are behind schedule;
 - iii. Issues requiring the State's attention, current status, and plans for resolution; and
 - iv. Anticipated staffing changes requiring State approval.
- E. The Plan shall be responsible for documenting all implementation meetings with the State. Written minutes from all meetings are to be provided to the State no later than three business days after the date of the meeting.
- F. Prior to start-up the State will determine the Plan's readiness to provide the services identified in this RFQ. The Plan must cooperate fully with this review and develop and implement a corrective action plan in response to deficiencies. The Plan can commence operations only if all corrective action requirements due on or before the effective date are met to the satisfaction of the State.

4.0 Request for Qualifications (RFQ)

Proposals shall be prepared using a font size of no less than 12 points on 8 ½ x 11 paper, single spaced, double-sided, subject to the required response format and any page limits specified in each individual question. For multi-part questions please organize responses accordingly (e.g., A.1, A.2.a, A.2.b, etc.). **Include a table of contents and number all pages in a consistent manner. Proposal materials shall be organized into 4 3-ring binders with tab dividers corresponding to headings A through K.** Please also include a collated PDF file of the entire proposal (as one document) and one Word file of the proposal response on four (4) USB flash drives. Submissions will not be accepted by email.

For any question that pertains to a function that will not be delegated, the response should reflect only the experience and capability of the Plan. For any question that pertains to a function that will be delegated, the response may and should reflect the experience or capability of the organization to which that function will be delegated. On any item where “the responder” includes a delegated entity, clearly identify the role of the Plan as distinct from the role of any delegate(s) and the name of the delegate(s) within the response.

When a customer reference is requested on an individual question, provide the contact person’s name, title, phone number, and email address.

All questions apply to the Plan, as defined in [Section 2.0](#), unless otherwise noted as a HARP only question. Response to HARP only questions should follow the same rules stated above.

Plans requesting qualification as a HARP should provide a two part response that clearly distinguishes: 1) the mainstream MCO and 2) the HARP. If you are proposing to use Plan staff to meet experience requirements as discussed in [Section 3.3](#), be sure to address the questions in ways that reflect how the experience of the staff meet the requirements set forth in this RFQ.

Approved Plans must comply with all existing DOH contract requirements. While some questions below may duplicate existing Plan submission requirements, the information requested will be used in evaluating Plan qualifications to manage Behavioral Health services.

Note to designated NYC Plans: This RFQ IS NOT for Plans that have been designated for behavioral health management in NYC. NYS will issue a separate expedited application for Plans previously designated for behavioral health management in NYC.

A. Organization, Experience, and Performance

1. Indicate for which lines of business you are seeking to qualify:
 - a. Mainstream MCO only
 - b. The Mainstream MCO and the HARP
2. Provide the following information regarding your Plan:
 - a. Plan name.
 - b. Plan State and federal tax identification numbers.
 - c. Name, address, and phone number of principal officer.
 - d. Name and address for purpose of issuing checks and/or drafts.

3. Identify any entity, including a parent, subsidiary, affiliate, or other related organization, with which the responder intends to delegate, through a partnership or subcontract, any administrative or management services required under the RFQ. Submit the following information regarding each proposed partner or subcontractor:
 - a. Name, address, and telephone number of the organization.
 - b. Ownership of the organization.
 - c. Specific management service(s) that will be delegated.
 - d. The effective date of any contractual relationship with this organization for comparable services.
 - e. The proposed compensation arrangement (i.e., full risk, shared risk, administrative services only).
 - f. The responder's plan for obtaining the delegate's acceptance of all delegated contract requirements.
 - g. The responder's plan and related monitoring protocols for conducting oversight of all delegated activities.
 - h. Two references for the delegate (including name, title, organization, address, telephone number, email address, scope of services provided to reference, and time period that services were provided).
 - i. An attestation signed and dated by an officer of the delegate, stating that the organization, its employees and consultants have never been debarred, suspended, or excluded from any federal or State program.
 - j. Indicate whether the delegate organization or its key personnel have been arrested, charged with or convicted of a felony in the most recent five (5) calendar years. If yes, identify the key personnel or organization and describe the arrest, charges, or type of felony, and the outcome.
 - k. Indicate whether the delegate organization filed for bankruptcy in the most recent five (5) calendar years.
 - l. Provide a copy of the delegate organization's Business Continuity, Disaster Recovery and Emergency Response Plan. It does not need to be NYS specific, but it must address the requirements under the RFQ. The Plan must also address how the organization will participate in disaster recovery when a disaster occurs and a state of emergency is declared by the governor.

Page limit: five (5) pages per subcontractor or partnership arrangement, excluding the attestations.

4. Identify the year in which the responder first managed BH care services for government/public sector eligible members. Identify any year(s) in which the responder did not provide managed BH care services to government/public sector clients between that first year and 2013 and explain any gaps in service. Respond separately for the Plan and any relevant delegate(s).

Page limit: one (1).

5. List the government/public sector customers for which the responder has managed the BH care services in the most recent three (3) calendar years. Provide the following information separately for each customer listed. Respond separately for the Plan and any relevant delegate(s).
 - a. The customer name.
 - b. The type of contract (i.e., BH carve-out vs. carve-in and name of health Plan).
 - c. Brief summary of the services provided.
 - d. The Medicaid populations served under the contract (e.g., Titles XIX, Title XXI).
 - e. The number of eligible Medicaid members- child, adult, and total.
 - f. The annual value of the contract for the most recent year the contract was active.
 - g. The geographic area covered under the contract (e.g., statewide, single county, urban, rural).
 - h. Whether the contract was non-risk, partial risk, or full risk.
 - i. List any administrative services that were delegated or administered by an organization other than the responder (i.e., claims administration).
 - j. Number of years the responder has held the contract.
 - k. If the contract is active or terminated; if terminated, the termination date and reason for the termination.

Page limit: one (1).

6. NYS will review subcontracts to ensure all functions and responsibilities are clearly accounted for and adequately staffed for the population being served. Additionally, NYS will look to ensure that the technology and claims infrastructure of the Plan and the subcontractor are appropriately integrated. For Plans subcontracting out their BH services clearly identify the following:
 - a. The roles delegated to the subcontractor and the functions Plans will keep as direct responsibility;
 - b. How a Plan will assure they are notified of and are in agreement with subcontractor denials for service and UM criteria; and
 - c. How integrated care planning and treatment will be assured. For example:
 - i. Between the behavioral health organization and the MCO/HARP staff, including any other MCO/HARP subcontractors who administer member service, care management or utilization management functions. Within physical health settings
 - ii. Within behavioral health settings.

Page limit: one (1).

7. If the responder is relying on the experience of key and managerial BH staff as described in [Section 3.3\(l\)](#), please provide:
 - a. A list of these staff with their respective roles and responsibilities in your Plan. Provide an organizational chart showing their organizational reporting relationships.

- b. For each key and managerial staff person identified, describe their role in the delivery of BH managed care services for government/public sector (managed care or fee-for-service) clients (directing, supervising, monitoring). Please include:
 - i. Brief summary of the services provided;
 - ii. The Medicaid populations served under the contract (e.g., Titles XIX, Title XXI);
 - iii. The geographic area covered under the contract (e.g., statewide, single county, urban, rural);
 - iv. Number of years of experience of the individual related to the requirements of this RFQ; and
 - v. Resumes.
- c. Description of how the Plan will use these key staff to build internal capacity to manage BH services.

Page limit: three (3).

8. Submit detailed information on the current management of the responder's membership with BH needs, particularly those with complex conditions. Also submit information regarding the responder's experience managing care for other high need populations or complex benefits in NYS or elsewhere including:
 - a. Managed long term care (MLTC)
 - b. HIV SNP
 - c. Homeless
 - d. Forensic BH
 - e. Waiver services, peer supports, or community rehabilitation for disabled populations

Page limit: three (3).

9. If key and managerial staff are being used to meet the experience requirements of this RFQ, describe how these staff meet the requirements in [Section 3.2](#) and how the experience will be used by the Plan to build institutional capacity to meet the requirements of the RFQ.

Page limit: two (2).

10. Describe the unique challenges of working with individuals with serious behavioral health conditions; local and system-wide barriers to effective care management; and the responder's approach to addressing these challenges and barriers.

Page limit: one (1).

11. Describe how current Plan processes and procedures will be augmented or changed to:
 - a. Meet the needs of people with serious behavioral health conditions; and
 - b. Integrate physical and behavioral health for this complex population.

Page limit: one (1).

12. Provide the total government/public sector managed BH care revenue and the percentage of the responder's managed BH care revenue attributed to government/public sector customers in calendar years 2013 and 2014 using the format provided below. Complete a separate table for the Plan and any delegate(s).

Government/Public Sector Managed BH Revenue		
Plan or Subcontractor Name		
	CY 2013	CY 2014
Total Managed BH Revenue		
Government/Public Sector Managed BH Revenue		
% of Total Attributable to Government/Public Sector		

13. Indicate whether the responder had funds withheld and not released, funds recouped, or funds paid as a penalty related to BH performance guarantees under a managed care contract with a government/public sector customer in the most recent three (3) calendar years (i.e., penalties paid in 2012 through 2014 for performance in 2011 through 2013). This should include in state and out of State sanctions or penalties.

If yes, list each government/public sector customer(s) to whom penalties were paid and provide the following information:

- a. The date of the penalty.
- b. The penalty amount.
- c. The reason for each penalty.
- d. The actions taken to improve performance.
- e. The time period elapsed to correct the deficiency that precipitated the penalty.

Page limit: one (1).

14. Other than those reported in the prior item, indicate whether the responder has had any financial sanctions, corrective actions, notices to cure, or other written notifications that the responder's performance for a public sector, managed care contract required correction in the most recent three (3) calendar years (i.e., sanctions paid in 2011 through 2014 for performance in 2011, through 2013). If yes, list each government/public sector customer to whom sanctions were paid and provide the following information:

- a. The date of the sanction.
- b. The sanction amount.
- c. The reason for each sanction.
- d. The actions taken to improve performance.
- e. The time period elapsed to correct the deficiency that precipitated the sanction.

Page limit: one (1).

15. Submit an attestation, signed and dated by the individual signing the responder's proposal, that the responder, its employees, subcontractors, and consultants have never been debarred, suspended, or excluded from any federal or State program.

Page limit: one (1).

16. List the proposed location(s) to administer the required services (see [Section 3.0](#)) under this RFQ. Identify all required services and administrative functions by location. Include any subcontractors or partnerships or administrative functions that will be performed all or in part (e.g., after hours, credentials verification, corporate legal) at other locations. Repeat the grid if multiple locations will be used.

Service Center Location (Please number each location as 1,2,3, etc)

Name of Location

City, State, Zip

Type(s) of Service(s)

Areas covered

Date Operational

17. Indicate hours of operation for each service center proposed in A.15. Repeat the grid if multiple locations will be used.

Hours of Operation			
Day	From	To	
Monday through Friday		am/pm	am/pm
Saturday/ Sunday/Holidays		am/pm	am/pm
<u>Service Center Location</u>			

18. Plans wishing to have out-of-state crisis response must submit a description that demonstrates crisis response line staff has knowledge of requirements such as:

- a. Covered services;
- b. NYS Managed Care;
- c. Approved BH UM criteria;
- d. Approved HCBS rules and requirements (for HARPs); and
- e. Provider Networks

Further, Plans must demonstrate the efficacy of the linkage between the out-of-state crisis line and in-state crisis responders. Plans must also modify their out of state staff training program to include NY specific rules and responsibilities. (For guidance see Behavioral Health In-State and Out-of State Requirements attachment.)

Page limit: one (1).

19. Provide an organizational table that reflects your planned committee structure. Please describe the following:

- a. How this structure will be used to meet the requirements under this RFQ, including stakeholder advisory, credentialing, QM, and UM committees as well as interfacing with LGUs and RPCs. Clearly delineate when a committee or sub-committee is BH-specific or integrated with medical.
- b. For each committee, please describe proposed staffing, lines of accountability, and areas of responsibility, including whether the committee includes stakeholder participation.

Page limit: two (2).

20. Please provide a detailed description of the Responder's strategies for instilling cultural competence into all aspects of the organization. The Responder should describe its approach to:

- a. Obtaining current data on the Plan's service users and target community that enable identification of cultural and demographic information, as well as linguistic needs;
- b. Recruiting and training providers;
- c. Ensuring cultural competence is integrated into the quality management process;
- d. Hiring and retaining staff who are from or who have had experience working with the predominant cultural groups of the Plans service users;
- e. Offering staff educational activities in which cultural issues are addressed and require staff to have an adequate amount of specific training on cultural competence (ex. how to use interpreters);
- f. Accommodating persons with limited English proficiency including:
 - i. Having staff who speak the predominant languages of their membership;
 - ii. Translating service descriptions, key documents and forms into languages used by members;
 - iii. Providing service descriptions or educational materials for persons with limited reading proficiency.
- g. Reviewing the provider network and adapting services suitable to the predominant cultural groups of service users.

Page limit: three (3).

HARP Only Organization, Experience and Performance Questions

21. Provide an overview of the role of the HARP that reflects your understanding of the system goals, operating principles, and desired outcomes outlined in [Section 1.7](#). Please relate this to members who meet targeting and functional criteria for BH [HCBS benefits](#).

- a. Specific areas to address include:
 - i. Sufficiency of Plan staffing and training to meet RFQ requirements;
 - ii. Integration of cultural competence into current Plan operations; and
 - iii. Utilization Management for behavioral health and BH HCBS.

Page limit: two (2).

B. Personnel

*Plans wishing to be HARPs should respond to all questions in Section 4.0 B for both the Mainstream MCO BH component and the HARP product line. **In each response please provide a two part response that clearly distinguishes: 1) the Mainstream MCO and 2) the HARP.***

Plans wishing to be HARPs may propose ways to leverage the BH staffing requirements for Mainstream MCOs and HARPs to maximize their cost effectiveness and value. Proposals must comply with the restrictions in [Section 3.3](#). Plans not applying for a HARP do not need to respond to questions regarding HCBS and compliance.

1. Submit the responder's organizational charts that show:
 - a. Departments and reporting structure for all key personnel, managerial staff, qualified operational staff (see [Section 3.3](#)) and subcontracted Behavioral Health Organizations (BHO) where applicable, including lines of responsibility and authority for all functions under this RFQ. Organizational charts should describe all NYS MCO mainstream and HARP activities. Key personnel and managerial staff positions should be individually reflected in the organizational chart while qualified operational staff should be rolled up by functional area. Include all Plan positions, responsibilities and reporting relationships specific to RFQ requirements in each of the following functional areas:
 - i. Customer/member services.
 - ii. Care management.
 - iii. Utilization management.
 - iv. Network development, management, and provider relations.
 - v. Training.
 - vi. Quality management.
 - vii. Information technology.
 - viii. Government/Community Liaison.
 - ix. Clinical management.
 - x. HCBS compliance.
 - b. Identify which key personnel will have overall accountability for BH in the Mainstream MCO.
 - c. Identify which key personnel will have overall accountability for the HARP product line.
 - d. If any services will be delegated, reflect the primary individuals responsible for oversight of each delegated entity.
2. Provide the planned FTE for key personnel, managerial staff and operational staff positions using the excel file provided by NYS titled: HARP and Mainstream Personnel Requirements Table. Follow the directions in the spreadsheet and submit the excel file as an attachment to the RFQ response.

- a. For reference purposes, provide staff FTE levels for behavioral health services in the Plan’s current NYS Medicaid Mainstream MCO product.
 - b. If positions will be shared between the Mainstream MCO and the HARP, allocate FTE based on projected time spent on Mainstream MCO BH vs. HARP functions.
 - c. When estimating numbers of FTEs, please assume a higher call volume and demand for service based on this high need population.
3. Provide the following information regarding your organizational structure:
- a. For key personnel and managerial positions identified in the HARP and Mainstream Personnel Requirements Table please indicate which staff members will be shared between the HARP and Mainstream MCO (include position title and FTE % allocation).
 - b. For any key personnel or managerial staff positions that are less than full-time, provide the rationale for the FTE percent allocated to each position.
 - c. Describe the responder’s proposed approach to coordination between the Mainstream MCO and HARP including coordination between the BH and PH Medical Directors.
 - d. For any positions identified in the HARP and Mainstream Personnel Requirements Table:
 - i. For each category of operational staff listed, provide a rationale that justifies how the proposed number of FTEs meet the requirements established in [Section 3.3](#). Specifically justify the number of member services and UM staff FTEs devoted to the HARP.
 - ii. For Plans that propose to manage a HARP and have staff allocated across both the HARP and Mainstream MCO, describe how the Plan will ensure a sufficient number of FTE hours are assigned to the HARP and enrollees receive a specialized integrated care management focus.
 - iii. Describe how you plan to adjust the staff-to-member ratio based on the higher anticipated needs of the BH population (both PH and BH). Please address this separately for the Mainstream MCO and the HARP population.
 - iv. Identify the number of provider relations FTEs that will be dedicated to network activities in NYS and justify the adequacy of this number.

Page limit: two (2).

4. Please complete the following chart. Fill in service center column as appropriate for your Plan. Add additional columns if needed. Report data for all centers that provide services to NYS counties in your service area.

Function	Service Center Name and Location 1 (# of FTEs)	Service Center Location 2 (# of FTEs)	Service Center Location 3 (# of FTEs)
Member Services			
Crisis Intake and Referral			

Function	Service Center Name and Location 1 (# of FTEs)	Service Center Location 2 (# of FTEs)	Service Center Location 3 (# of FTEs)
Utilization Management			
Care Management			
Clinical Peer Review			
Network Development/ Management			
Provider Relations			
QM Specialist			
Claims Encounter Processing			
Grievance and Appeals			
Data Reporting and Analysis			
Financial Reporting and Analysis			
HCBS Compliance			
Other (add rows as necessary)			

- Submit current resumes of all known proposed key and managerial personnel, as defined in [Section 3.3](#) of the RFQ, documenting their education, certifications/licensure, career history, and special skills or other qualifications. If proposed key or managerial personnel are not yet identified, submit job descriptions outlining a) the minimum qualifications of the position(s), including education, certifications/licensure, experience, special skills and b) responsibilities for the position. New York State reserves the right to disapprove key personnel based on character, competence, or qualifications.

Page limit: three (3) pages per resume or job description.

- Describe clinical peer reviewer resources by discipline and clinical specialty area and how these resources will be expanded to address increased responsibilities under the RFQ.

Page limit: one (1).

- Describe the human resources and staffing plan for ensuring the successful accomplishments of all duties outlined in the RFQ including the key personnel, managerial

personnel, and operational staff. Include a discussion of the responder's staff recruitment, orientation, and training plans (including ongoing training plan). Specifically address:

- a. Plan for ensuring all assigned staff, regardless of how functions are assigned within the MCO, are trained on the NYS BH system including services, local service systems, local populations, and crisis services.
- b. For managerial staff, describe the plan to ensure managerial expertise to meet the needs of individuals with serious behavioral health conditions.

Page limit: four (4).

8. Similar to the description provided for Mainstream MCO staff above, describe how HARP staff will be oriented to the NYS BH system including local service systems, local populations, and crisis services. In addition, describe:
 - a. For managerial staff, how the Plan will ensure appropriate expertise in MH rehabilitation and treatment services, addictions services and BH HCBS as described in [Section 3.3](#).
 - b. For operational staff, how the Plan will:
 - i. ensure that staff in each department has expertise related to the needs of and services for HARP enrollees;
 - ii. have department managers convene staff with interdisciplinary HARP related expertise as needed to consult around care plans for individuals with the most complex care coordination needs (BH and PH, including pharmacy), participate in continuing education activities, and problem solve around individual and system level issues relevant to the HARP population.

Page limit: two (2).

9. Submit an orientation and training plan that ensures all relevant staff will receive training on:
 - a. Care coordination needs of the population whose behavioral health services are being carved into Plans;
 - b. Outreach and engagement strategies for individuals who are disengaged from care or have difficulty adhering to treatment recommendations;
 - c. The types and availability of specialty behavioral health services being added to the Plan benefit;
 - d. For Plans offering a Health and Recovery Plan: The types and availability of Home and Community Based Services being added to the Plan benefit;
 - e. Using the Level of Care for Alcohol and Drug Treatment Referral (LOCADTR) to support authorization decisions for substance use disorders services;
 - f. Roles and responsibilities of health homes; and
 - g. Assisted Outpatient Treatment program.

The training plan must include a list of training topics/curriculum covering at a minimum the above areas, and should distinguish between training activities to be completed prior to July 1, 2016 (the scheduled ROS go-live date for the behavioral health carve-in for Mainstream Plans and the start date for HARPS), as well as ongoing training activities. To ensure integrated oversight of services, the training plan must separately note whether each

orientation and training activity will be required for its behavioral health staff and/or general medical staff, and whether the training will be regularly scheduled for new staff.

Page limit: two (2).

10. Provide details on how the functions of key or required personnel will be assigned between the Mainstream MCO and the HARP in ways that assure sufficient dedicated resources are available for both HARP populations and individuals in Mainstream MCOs. Include how the Plan will ensure effective services are provided to people with serious behavioral health conditions, including those with co-occurring chronic health conditions.

Page limit: one (1).

11. Describe how you will monitor the sufficiency of your staffing assumptions. Describe your process for determining how you will adjust your actual staffing based on the experience of members and providers after implementation of the new BH benefits. The Plan should propose measures of quality of services received by beneficiaries to be included in metrics for monitoring the sufficiency of its staffing assumptions.

Page limit: one (1).

C. Member Services

1. Describe how the required member services toll-free call line will be organized to provide screening and referral to BH services (see [Section 3.4](#)). Address the following:
 - a. How the Plan will augment member services to address the anticipated higher and more complex call volume related to the intensive needs of individuals with serious behavioral health conditions.
 - b. How the Plan will be staffed 24 hours a day, 7 days a week and 365 days a year.
 - c. For Plans with member service call center operations located out-of-state, please distinguish functions between NYS staff and those located outside of NYS. Please differentiate your answers between business hours and after hours.
 - d. How the Plan will ensure staff understands the NYS system?
 - e. Describe the telephone system backup plan to cover calls to the toll-free line in the event of an emergency (i.e., main phone lines go down).
 - f. Describe call wait time standards.
 - g. Describe how the line is supervised and standards are maintained.

Page limit: two (2).

2. Describe the qualifications of member services staff and supervisors who will be handling BH calls.

Page limit: one (1).

3. Describe the responder's plan to train member service staff on the requirements under this RFQ and ensure they understand the NYS system. Please submit this plan to NYS for review and approval. (see [Section 3.4](#))

Page limit: two (2) not including attached training plan.

4. Describe how behavioral health emergency calls will be managed by customer/member services, during regular business hours and during after-hours (see [Section 3.4.C](#)). Address the following:
 - a. How it is determined that an emergency exists.
 - b. How the caller is connected with an individual or service that can help.
 - c. The proposed interface with mobile crisis teams and/or 911/fire/rescue.
 - d. The licensure requirements for those responsible for call resolution and required follow up.
 - e. How member services staff will be trained to address emergencies.
 - f. How member services staff will be trained to ensure warm hand-offs to properly trained crisis clinicians.

Page limit: two (2).

5. Describe how the responder will refer members requesting BH services to contracted providers. Address how:
 - a. The responder will match members to contracted providers.
 - b. The responder proposes to ensure choice of providers.
 - c. The responder will track and manage requests for out-of-network and out-of-state providers.
 - d. The responder will track and manage member's requests to change providers.
 - e. The responder will assure contracted providers are accepting new referrals.
 - f. The responder will confirm the individual was seen in a timely manner.

Page limit: five (5).

6. Describe how the responder will ensure a comprehensive communication program to provide all eligible members, not just those members accessing services, with appropriate information about BH benefits and services, including how to access BH services, available providers, and member rights.
 - a. Include a description of the standard materials to be included in the communications program at no additional cost to the State.
 - b. Include the process for complying with annual notification of member rights; Federal/State confidentiality protections and concerns.
 - c. Address how your process reflects the transient lifestyle of some BH consumers.
 - d. Plans wishing to be HARPs should respond to this question for both behavioral health and physical health including eligibility for Health Homes and availability of Behavioral Health Home and Community Based Services.

Page limit: three (3).

7. Provide an example of the responder's member communications that best reflect the system goals and operating principles outlined in the RFQ.

Page limit: two (2) plus up to five (5) pages of sample communication materials.

D. Network Management

1. Describe the specific service area [county or counties] in the responder's current Medicaid managed care contract with NYS including anticipated enrollment and utilization, and the cultural, linguistic and other demographic information that will influence network development.

Page limit: one (1)

2. Identify what counties or underserved areas where providing access to behavioral health or speciality services can be challenging. Include in your response:
 - a. What approach the Plan proposes for building network adequacy in underserved areas
 - b. How the Plan can use in-lieu of services and other licensed practitioners to address access issues in mainstream and HARP
 - c. What type of alternative payment arrangements the Plan would consider to help address the shortage of network services
 - d. How the Plan's UM and CM practices will be modified to manage rural or underserved areas

Page limit: one (2).

3. Describe the responder's organizational strategies to foster collaboration and coordination between network development, provider relations, and QM.

Page limit: two (2).

4. Describe the responder's current BH network in the NYS counties served.

Page limit: one (1).

5. Provide an overview of the responder's plan for network development to meet the needs outlined in this RFQ (see [Section 3.5](#)), including timelines for contracting. Identify strategies for contracting with BH providers not currently in the BH network to ensure access to current and planned Medicaid BH benefits as defined in [Tables 1](#) and [2](#) of the RFQ. Address the following:

- a. Geographic location of the providers and enrollees;
- b. Physical accessibility for people with disabilities;
- c. Use of New York State OMH and OASAS licensed/certified programs and clinics;
- d. Use of providers who have integrated licenses (where and when available);
- e. Needs of cultural and linguistic communities;
- f. Use of individual, appropriately licensed practitioners;
- g. Plans for tracking providers who are not accepting new patients; and
- h. How the Plan will ensure that its PH provider network services HARP enrollees.

Page limit: two (2).

6. Discuss network strategies to ensure continuity of care for members during the implementation and start-up period. Describe how the responder will conduct a needs

assessment and develop a network plan to identify and close network gaps prior to the implementation date of July 1, 2016.

Page limit: two (2).

For Plans wishing to become a HARP, please address the addition of BH HCBS and the need for Health Home capacity.

7. Describe how the responder will approach network development to ensure the Plan's network includes providers that reflect the cultural diversity of its members in geographically specific areas (see [Section 3.5.E](#)).

Page limit: one (1)

8. Describe how the responder has developed or will develop BH services specifically tailored to the needs of special populations described in the RFQ (including, but not limited to, Transition Age Youth, individuals with co-occurring medical conditions and I/DD in need of BH services). Provide an example of a state contract where the responder has had success in tailoring BH services to these populations and identify the customer reference(s) that can verify the experience described. Please relate this experience to your plan for BH in NYS. (See [Section 1.7.vii](#))

Please note in your response if staff experience is being claimed as discussed in [Section 3.2](#) and fill out the response accordingly. Include the specific staff that meet the experience requirement and their role in the Mainstream MCO and HARP.

Page limit: two (2).

9. Family psychoeducation and family support have an evidence base demonstrating better outcomes when families are educated on a family member's illness and approaches to supporting recovery.
 - a. What approaches will your Plan take to ensure family psychoeducation and family support is widely available in your network?
 - b. How will you develop expectations within your network to assure family involvement is achieved in the individual assessment and the development of the plan of care?
 - c. How will you engage local National Alliance on Mental Illness (NAMI) Chapters in your network as a resource for family members?

Page limit: two (2).

10. Describe at least one (1) goal, strategy, and measureable outcome, from a public sector client, where improvements occurred in the availability of and member engagement in culturally appropriate BH services (as defined in [Section 2.0](#) of the RFQ). Identify the customer reference(s) that can verify this experience.

Please note in your response if staff experience is being claimed as discussed in [Section 3.2](#) and fill out the response accordingly. Include the specific staff that meet the experience requirement and their role in the Mainstream MCO and HARP.

Page limit: two (2).

11. Describe the responder's process to expedite temporary (or provisional) credentialing and privileging to add specialty providers (including OMH and OASAS licensed and certified

providers) and ensure network sufficiency. Please include how data on credentialing and network sufficiency will be tracked, trended, and used to identify and close network gaps (see [Section 3.5](#)).

Page limit: one (1).

12. Describe how, during the period of network development, the responder addresses the risks associated with early stages of credentialing process and has training available to providers. The Plan should describe:

- a. Timelines for provider training in credentialing and re-credentialing procedures;
- b. Specific guidelines regarding requirements for provider completion of cultural competency training necessary for credentialing;
- c. Delineation of specific assessment domains and data elements that are documented in the provider credentialing and re-credentialing processes; and
- d. If provider attestations are used in credentialing/re-credentialing procedures, the Plan must provide details regarding the content and purpose of the attestation.

Plans shall credential OMH and OASAS licensed or certified programs, and these licenses or certifications will suffice for the Plan's credentialing process. Plans contracting with OMH or OASAS licensed or certified programs may not separately credential individual staff members in their capacity as employees of these programs and must contract for the full range of services offered under their license.

Page limit: two (2)

13. Provide an example of a typical or likely provider training schedule for a public sector BH customers, BH providers, or similar providers and describe how provider training needs were determined. (see [Section 3.8](#)).

Page limit: two (2)

14. Describe strategies the responder has used to assist providers with limited Medicaid billing experience. Provide an overview of the training strategies you would use in NYS and describe how this would be coordinated with RPCs. Provide a reference for the responder's experience assisting providers with Medicaid billing. (see [Section 3.8](#)).

Page limit: one (1).

15. Describe the responder's process for evaluating providers and making a determination to retain providers. Describe the performance and quality improvement data and the strategies utilized to address performance improvement during the re-credentialing process.

Page limit: two (2).

16. Provide an example of how the responder has assisted another government/public sector managed BH or similar client to successfully move from fee-for-service to managed care/capitation or to implement payment reform with network providers. Include the challenges and strategies to overcome those challenges. Identify the customer reference(s) that can verify the experience described.

Page limit: two (2).

17. Describe the responder's provider profiling system (see [Section 3.10](#)) and how it will be modified for the new BH services and BH provider network added by this RFQ.

- a. List typical profiling elements.
- b. Provide one sample BH ambulatory provider profiling report and one sample BH inpatient provider profiling report.
- c. Indicate how profiling elements differ by provider type or level of care.
- d. Describe the process for collecting accurate baseline data that engenders provider confidence and the time table for development of accurate baseline data.
- e. Include a description of the parties who will have access to the provider profile and how the information will be utilized.

Page limit: four (4).

18. Describe the responder's experience with or strategies for evaluating provider performance based on an array of quality metrics. Discuss any experience or strategies for establishing provider quality tiers that are tied to differential reimbursement or preferred status for non-financial incentives (such as higher volume of referrals or less hands-on utilization review). Describe experience using incentives to reward high performing providers. Identify the customer reference(s) that can verify the experience described.

Page limit: two (2).

19. Describe the responder's approach to implementing a comprehensive crisis screening, diversion, stabilization, and referral system with access to telephonic, mobile, and site-based services for Medicaid members. Address mental health and SUD crisis intervention. Keep in mind that where they exist, the State will require the Plan to contract with the existing crisis providers that serve both Medicaid and non-Medicaid populations and monitor the performance of crisis providers on access, quality, and cost effectiveness for Medicaid members. For Mainstream and HARPs guidance on the new crisis services will be developed through a State and Plan partnership.

Page limit: three (3).

20. Provide an example of the responder's success in developing, implementing, and managing crisis diversion and response programs, including use of peers or recovery focused crisis approaches, such as WRAP and advanced directives (see [Section 3.2](#)). Identify a customer reference that can verify the experience described. Alternatively, describe the responder's plans to use peers or recovery focused crisis strategies, such as WRAP and advanced directives in developing, implementing, and managing crisis diversion and response services.

Please note in your response if staff experience is being claimed and fill out the response accordingly. Include the specific staff that meets the experience requirement and their role in the Mainstream MCO and HARP.

Page limit: two (2).

21. Discuss the responder's strategies to develop BH service alternatives to reduce unnecessary inpatient utilization for adults and Transition Age Youth, including those with SUDs. Discuss the information utilized by the responder to inform the need for development of BH service alternatives. Provide an example from another client/State or population

served of an alternative service that was developed and effective in preventing unnecessary inpatient utilization.

Page limit: two (2).

22. Discuss evidence-based or best practice approaches the responder may adopt to prevent unnecessary inpatient utilization. Please include the responder's approach to training providers on EBPs for BH conditions ([See Attachment H](#) for more information on EBPs).

Page limit: two (2).

23. Describe how the responder will comply with the Mental Health Parity and Addiction Equity Act (MHPAEA)²⁸ in establishing its network of behavioral health providers.

Page limit: one (1).

HARP Only Network Questions

24. Describe how the responder will ensure that their Mainstream physical health network is available in the HARP product line.

Page limit: two (2).

25. Describe the strategies the responder will use to ensure that new BH HCBS facilitate inpatient to ambulatory connections and help to maintain recipients in the community.

Page limit: two (2).

26. Provide an example of how the responder has developed or transformed another public sector MH and SUD provider network to successfully achieve system goals and operating principles similar to those outlined in the RFQ. Include the challenges and strategies to overcome those challenges. Please relate this experience to your plan for BH in NYS. Identify the customer reference(s) that can verify the experience described.

Please note in your response if staff experience is being claimed and fill out the response accordingly. Include the specific staff that meets the experience requirement and their role in the Mainstream MCO and HARP.

Alternatively, if you do not have this experience, describe your planned approach to achieve the systems goals in this RFQ and describe the anticipated challenges.

Page limit: two (2).

27. Please describe how the Plan will work with RPCs and use the tools available to managed care to help transform the BH service delivery system to achieve the objectives identified in [Section 1.7](#).

Page limit: two (2).

E. Utilization Management

1. Attach the responder's proposed utilization review criteria for all levels of BH care.

²⁸ <http://beta.samhsa.gov/health-reform/parity>

2. Describe how the responder will organize and implement the utilization/care management program for BH services. Address the following:
 - a. Describe the workflow for the authorization of care. Address how the process will differ for acute, ambulatory, and rehabilitation levels of care and/or for special populations.
 - b. Describe the workflow and processes for the denial of care.
 - c. Describe how the responder will use data and clinical decision support tools to streamline and support utilization/care management decisions. This should include a discussion of how provider and member data will be used to ensure a quality network of services. Include the following:
 - i. Specify the types of data to be used.
 - ii. Specify which levels of care or populations will be targeted.
 - iii. List the edits that will identify cases for review and/or clinical intervention, by level of care or category of service.
 - iv. Describe the interventions that will be utilized with any case or provider outliers.
 - v. Estimate the percent of cases that will be touched by live care manager intervention.
 - d. Describe the methodology for identifying over- and under-utilization of services. Provide sample reports and how the information in those reports would be used.
 - e. Provide an example from another contract for which the responder has detected under-utilization of services (across providers), what was done to impact the utilization, and how the effectiveness of the strategy was measured. Identify the customer reference(s) that can verify the experience described.

Page limit: ten (10) exclusive of report samples.

3. Regarding UM criteria for rehabilitative or recovery services: These services support long-term recovery. Plans should provide a rationale for UM for these services as well as processes to ensure collaboration with providers around plan reviews. Since typical medical necessity criteria may not apply, the policy for management of these benefits should clearly articulate the purpose of the services, criteria for access, and the frequency of utilization management activities. Utilization management criteria should account for individual preferences; risk of relapse or regression to previous levels of functioning if services are not in place; and a process for determining the likelihood of negative outcomes resulting from denial of services. NYS has posted a Provider Manual for Home and Community Based Services that defines many (but not all) of the rehabilitative and recovery-oriented services. The manual includes guidance regarding agency and provider credentials, billing codes, and procedures for service authorization. Plans should review this manual to ensure their UM procedures are consistent with the guidance.

Plans should also describe:

- a. The approach for ACT, CDT, and other rehabilitation services being considered;
 - a. The Plan association and NYS are developing uniform criteria for PROS and BH HCBS that will be applied across all Plans.

- b. The status of UM development for each of these services and when UM criteria development will be complete;

All criteria must be submitted to NYS for review prior to implementation.

Page limit: one (1).

4. Describe the level of care guidelines utilized by the responder's organization in making level of care/medical necessity determinations for mental health services and programs.
 - a. List the source of the level of care guideline with which the responder has experience.
 - b. List the BH services that are currently covered by the guidelines.
 - c. Describe how a provider has or will adapt current practice to state specific standards and to address all MH levels of care requiring prior authorization and concurrent review under the RFQ in [Section 3.9](#).
 - d. Describe how you will update the guidelines to include NYS specific services that are not currently addressed by the guideline, including, PROs, ACT, and enhanced services under the HARP.

NOTE: In responses to the Request for Information, some responders indicated that they might propose to use an innovative approach to level of care and utilization management for rehabilitation and recovery oriented services, i.e., approval of a person-centered plan of care that links rehabilitation goals to services and describes initial approved service intensity, with subsequent periodic monitoring of progress and revision of plan of care as indicated. The responder must submit any such utilization management approaches for these services for review and approval by NYS.

Page limit: one (1).

5. Describe how the LOCADTR tool will be implemented to make level of care/medical necessity determinations for SUD services, including the training of UM and clinical management staff.

Page limit: one (1).

6. Describe the BH clinical practice/evidence based practice guidelines utilized by the responder's organization in managing care. Address the following:
 - a. List the BH clinical practice guidelines required under the RFQ in [Section 3.10](#) with which the responder has experience. Include the source of each guideline.
 - b. Describe any clinical practice/evidence based practice guidelines that the responder proposes to use in addition to those required in [Section 3.10](#). Describe how evidence based practice guidelines will be disseminated within the network to encourage access to a range of EBP for members.
 - c. Describe your organization's experience and/or planned approach for disseminating and monitoring fidelity to clinical practices guidelines in the network.

Page limit: five (5).

7. Describe your organization's proposed approach to training BH utilization/care managers and clinical peer reviewers, including after-hours clinicians to address the following:

- a. The application of the level of care guidelines, including how UM and inter-rater reliability protocols will be adapted to address all covered services under the RFQ.
- b. The incorporation of recovery principles into the care management process.
- c. The incorporation of Evidence Based Practices in the utilization review/care management process (see [Section 3.9](#) and [Attachment H](#)).
 - a. Describe how you train (initial and ongoing training) your care management and UR staff and what, if any, clinical tools are utilized to support this training.
- d. How training be modified to reflect the BH services covered by this RFQ.

Page limit: one (1).

8. Describe the ongoing monitoring protocols for BH utilization/care managers and clinical peer reviewers. Include the nature and frequency of supervision, documentation audits, call monitoring, inter-rater reliability training, and other oversight activities for assuring the level of care guidelines are properly and consistently applied in the utilization review, care management, and clinical management process.

Page limit: two (2).

9. List the clinical quality triggers (i.e., frequent readmissions) for which consultation by a physician or psychologist Clinical Peer Reviewer for reasons other than medical necessity will be required and describe how you will ensure that such consultation consistently occurs.

Page limit: two (2).

10. Describe your plan for conducting inpatient post-discharge follow up. Address staff qualifications and training, the timing of the outreach, and the nature of the follow-up interventions ([See Attachment F](#) for background from BHO 1 on the challenges related to post-discharge follow up care.)

Page limit: one (1).

HARP Only Utilization Management Questions

11. Describe the resources and infrastructure that the respondent will use to monitor HARP enrollees and how core benefits and BH HCBS benefits will be integrated into the plan of care for HARP members.

Page limit: three (3).

12. Describe how you use risk stratification and predictive modeling to identify and manage high needs, high cost, or disconnected populations. Please describe:
 - a. How these tools will be applied to BH in the HARP.
 - b. How individuals will be identified for different intensities of Health Home care management.
 - c. How this information will be shared with Health Homes.
 - d. How the Plan will monitor Health Home performance.

Page limit: two (2).

F. Clinical Management

1. Please attach your proposed clinical management guidelines for all levels of BH care.
2. Plans routinely make screening tools available on-line or via provider or member toolkits and offer training programs as indicated, but these interventions alone will not ensure systemic transformation of provider practice. Plans should develop and implement procedures to incentivize providers' adoption of integrated behavioral - general medical health practices. Describe the responder's experience with and/or planned approach to implementing BH-medical integration initiatives. Both HARPs and Qualified Mainstream Plans should describe:
 - a. Processes for tracking individuals with disabling physical co-morbidities;
 - b. Approaches to training Health Homes, primary care, and BH providers in BH and PH screening and appropriate care coordination and integrated plans of care;
 - c. Data exchange protocols, if you plan to use a partner/delegated entity;
 - d. Data sharing (e.g., pharmacy, medical, and BH claims) and communication protocols with providers and Health Home care managers to improve care coordination and health outcomes;
 - e. How the Plan will improve rates of physical health ambulatory referrals when a physical health problem is identified on a mental health or SUD inpatient unit (see Attachment F, 7.C).
 - f. Proposal to address the lack of connections between inpatient and ambulatory care to reduce inpatient readmission ([see BHO Phase 1 Attachment F](#)).
 - g. Integrated treatment practice requirements that will be included in provider contracts for inpatient and outpatient general medical providers to ensure adequate assessment, treatment, and referral for behavioral health conditions;
 - h. Plans to identify and train UM/CM staff who will have a specialty focus on managing recipients with complex co-occurring behavioral and general medical conditions;
 - i. Provider performance reports related to rates of screening and referral for specific follow-up services;
 - j. Which providers (both inpatient and outpatient) will receive performance reports and how often;
 - k. The Plan's procedures for developing and following up on corrective action plans;
 - l. Resources the Plan will make available to assist providers' performance improvement activities related to integrated treatment approaches;
 - m. Consumer engagement and intervention strategies, including how you will use Health Homes, Peers, and families in the engagement process.
 - n. Financial incentives the Plan will consider to improve provider integrated treatment practices; and
 - o. Other incentives the Plan will consider to improve provider integrated treatment practices.

In addition, HARPs should describe:

- a. Policies and procedures that ensure that Plan UM/CM staff managing behavioral health services have regular and ongoing contact with colleagues managing general medical conditions, and that all staff are oriented and trained on common behavioral and general medical care coordination needs;
- b. Policies and procedures for ensuring the involvement of Health Home care managers in integrated treatment initiatives;

Page limit: six(6).

3. The integration of behavioral health in primary care is critical to improve both health and behavioral health outcomes. Please describe what your plan currently does to encourage the identification of behavioral health conditions and follow up treatment in primary care settings.

Page limit: one (1).

4. Describe the responder's strategy to ensure the pharmacy management program requirements indicated in [Section 3.10F](#) (Clinical Management) are met (to be presented at Readiness Review). Plans should have specific policies and procedures for identifying and addressing pharmacotherapy quality of care issues. At a minimum procedures should include but not be limited to:
 - a. Poly-pharmacy and inappropriate indications, and should include guidance for Plan staff regarding case and provider-specific interventions;
 - b. Medication side effects, especially in the areas of metabolic and weight gain. Procedures must address:
 - i. How this will be monitored;
 - ii. How communication will occur with physical health providers; and
 - c. What network services will be in place around patient education and service plan development to offset these potential life threatening side effects.

Page limit: one (1).

5. Based on the data in Attachment G, describe the responder's strategy to address the high prevalence of smoking in the BH population. (see [Attachment G](#)). Plans are expected to have policies and procedures for:
 - a. Identification of smokers and tracking of routine, standardized smoking assessments with offered assistance;
 - b. Care managers to ensure that inpatient providers assess tobacco use for all inpatient admissions and, for individuals who use tobacco, offer tobacco medication and brief counseling on inpatient stay as well as appropriate referrals at discharge;
 - c. Referral to brief interventions and medication assistance through "any available door", i.e. NY Quitline, PCP, behavioral health provider or SUD provider;

- d. Tracking use of tobacco medications (Varenicline; NRT and/or bupropion), including comparisons with the incidence of smoking in the plan population and evaluation of adequacy of treatment.
- e. Monitoring encounter data for brief and intensive tobacco cessation counseling.
- f. Incorporating tobacco cessation prevention services into their provider networks and monitoring usage.

Page limit: two (2).

6. Plans typically do not have experience managing services specific to chronic and/or severe SUD including methadone treatment and residential services. The members who access these services may have significant functional deficits and may require frequent access to detoxification services, long-term clinical treatment and rehabilitative services to return to or maintain functioning. Please describe any experience you have managing these services, or describe your approach to managing these benefits. Separately address the following:
 - a. Use of methadone clinics and/or mobile methadone delivery models.
 - b. Use of office-based medication assisted therapies (e.g., buprenorphine, naltrexone, acamprosate, disulfiram).
 - c. Use of residential and other outpatient levels of care to successfully support members in their recovery from SUDs.

Page limit: four (4).

7. Describe the Plan's requirements for inpatient providers to complete appropriate discharge planning, including timely behavioral health and (when appropriate) physical health referrals. (See [Attachment F, 7.A., 7.D.](#)). Plan UM/CM staff are expected to be part of the discharge planning team that includes the individual's direct service provider(s) and (if enrolled in a Health Home) Health Home care manager. Plan UM/CM staff will participate in the discharge planning process and ensure that the team:
 - Creates a comprehensive discharge plan addressing not only treatment availability, but also community supports necessary for recovery;
 - Identifies and reduces barriers to access and/or engagement with post-discharge ambulatory appointments for both physical and behavioral health, medication, and other treatment(s); and
 - Confirms post-discharge appointment availability and adherence, and in the absence of adherence, offers appointment options or other outreach/engagement strategies.

The Plan should describe how it will monitor/ensure transitions from inpatient to community-based care, specifically:

- a. Contract requirements for inpatient and outpatient provider discharge planning responsibilities. These requirements should address ambulatory follow up of behavioral and physical health needs;
- b. Process for inclusion of the recipient and his or her family member or chosen advocate;
- c. Provider practice and transition outcomes metrics that the Plan will track;

- d. Which providers (both inpatient and outpatient) will receive performance reports and how often;
- e. Procedures for developing and following up on corrective action plans;
- f. Resources the Plan will make available to assist providers' performance improvement activities related to discharge planning;
- g. How the Plan will ensure involvement of Health Home care managers in discharge planning and other transition management initiatives;
- h. How and under what circumstances the Plan will recommend and help arrange for peer and/or other bridger services;
- i. Financial incentives that the Plan will consider to improve provider practices and rates of successful transitions; and

Page limit: two (2).

8. Describe the Plan's procedures for monitoring inpatient provider readmission rates. Describe the Plan's approach to lowering readmission rates for mental health and substance use disorder providers ([see Attachment F, 7.F](#)). Include in your response the success your Plan has had in reducing behavioral health readmission to hospitals. Include your 2011 through 2014 annual 30 and 90 day readmission rates for mental health and separately for substance use.

Page limit: one (1).

9. When BH services are moved into managed care, what is your plan to ensure
 - a. That the AOT treatment plan is being met?
 - b. That AOT reporting requirements are being met?
 - c. That people with an AOT court order are assigned to the proper level of care management?
 - d. Plans should also describe procedures to ensure individuals on AOT orders are appropriately tracked in the Plan's electronic record such that AOT status is immediately available to all Plan care management and utilization management staff.

Page limit: one (1).

HARP Only Clinical Management Questions

10. Describe the responder's approach to implementing a single plan of care for HARP enrollees that integrates physical health, BH core benefits, BH enhanced benefits and non-Medicaid funded services.
 - a. Differentiate the responder's approach for those enrolled in a Health Home and those who are not.
 - b. Describe in your response procedures for collaboration and information sharing with Health Homes, and Plan oversight of Health Home care coordination activities.
 - c. Describe the responder's plan to ensure that Health Home care managers are notified when a Health Home enrollee is admitted to an inpatient unit, and that the Health Home

care manager works with the inpatient clinical team to ensure care coordination (see [Attachment F, 7. B](#)).

Page limit: two (2).

11. Describe strategies the HARP would use to assist members to obtain and maintain housing other than at the recipient level. Discuss the responder's experience collaborating with providers and other agencies in managing access to housing and supportive services including actions, strategies taken, and results. If the responder has experience with Supportive Housing, describe the responder's role in collaborating with housing organizations, including details of how members accessed housing and services and the responder's role in collaborating with housing organizations. Identify the customer(s) that can verify this experience. If the responder does not have experience with Supportive Housing, describe how this experience will be obtained.

Page limit: three (3).

12. Describe how the responder will meet clinical management requirements (see [Section 3.10](#)) for HARP members including but not limited to individuals with SMI, individuals with FEP, individuals residing in Supportive Housing or other types of community housing, homeless adults, individuals with criminal justice involvement, members receiving methadone or other medication assisted therapies due to substance use disorders, and individuals in need of habilitative and rehabilitative services in the community. Discuss specific regional housing issues in the NYS areas you serve and how Plan care management will include attention to these issues.

Describe the responder's experience in these areas, including the actions and strategies taken and results. Identify the customer(s) that can verify this experience.

Page limit: four (4).

13. Describe the responder's strategy to develop and implement the protocol for screening for unmet medical needs in HARP enrollees as required in [Section 3.10K](#).

Page limit: one (1).

14. In year two, recovery performance metrics will focus on employment and educational improvements. In year three, the pay for performance program will incentivize these recovery goals. How does your Plan, from day one, propose to organize your network, and work with providers to improve these recovery outcomes?

Page limit: one (1).

G. Cross System Coordination

1. Describe the strategies the responder will use to facilitate cross agency systems collaboration. Separately address the following:
 - a. Collaboration with OMH, OASAS, and SDOH and LGUs to coordinate Medicaid and State funded or administered non-Medicaid services.
 - b. Collaboration with RPCs.
 - c. Collaboration between contracted BH providers and PCPs.

- d. Collaboration with other member serving agencies (e.g., criminal justice, social service system).
- e. Describe the responder's experience in at least two (2) actual examples of collaboration including the actions and strategies taken and results. Identify the customer(s) that can verify this experience.

Page limit: three (3).

2. Describe the responder's experience with implementing coordination strategies to assist Transition Age Youth transitioning from the children's specialty managed care system. Discuss strategies to collaborate with social services and educational systems as well as other involved payors and agencies. Identify the customer reference(s) that can verify the experience described. In addition please describe how your policies and procedures will be augmented to:
 - a. Ensure seamless transitions for TAY moving from the child/adolescent provider system to the adult provider system;
 - b. Ensure referrals to Health Homes including those designated to serve children when appropriate;
 - c. Identify Plan staff responsible for navigating the transition from the Child/Adolescent system to the Adult system;
 - d. Identify training needs and develop a training plan for staff responsible for navigating the transition from the Child/Adolescent system to the Adult system;
 - e. Screen for HARP eligibility as a youth approaches 21 years of age and how the the Plan will develop a transition plan to ensure continuity of care until age 23 or until the youth is stabilized in the adult system, whichever is later;
 - f. Identify potential legal issues (consent, etc.) related to TAY transitions and develop action plans;
 - g. Identify which service models will be adapted to meet the specialized needs of TAY in the adult system;
 - h. Ensure there are adequate services within network to meet the needs of TAY;
 - i. Recommend and help arrange for specialized, age appropriate, Bridger services for defined high-need TAY subgroups;
 - j. Engage families/legal guardians as part of discharge planning and transition management services; and
 - k. Ensure warm handoffs between departing case managers from the child/adolescent service system and receiving case managers in the adult system.

Page limit: two (2).

H. Quality Management

1. Describe how the QM Plan ([see Section 3.12](#)) will be revised to address BH requirements under the Contract. Address the following:
 - a. Committee structure, responsibility, and membership.
 - b. Necessary data sources.

- c. Monitoring activities (e.g., performance measures, PIPs, surveys, studies, profiling, audits, etc.).
- d. Feedback loops.

Page limit: five (5).

- 2. Describe how the responder will involve BH consumers, family members, BH network providers, and other stakeholders in the development and ongoing work of the QM system specific to the requirements under this RFQ ([see Section 3.12](#)).

Page limit: one (1).

- 3. Describe how the UM Plan will be revised to address BH requirements under the RFQ. Address the following:
 - a. Committee structure, responsibility, and membership.
 - b. Quality metrics.
 - c. Necessary data sources.
 - d. Monitoring activities.

Page limit: five (5).

- 4. Describe how the responder will identify quality of care concerns during care management for BH recipients and how this information will be used to improve the quality of care provided to BH recipients at both the consumer and system level.

Page limit: two (2).

- 5. Accountability for your networks in the identification of member rehabilitation and recovery goals and the demonstration that progress in achieving these goals is occurring, is critical to the success of the vision New York State has outlined in the [MRT Behavioral Health Report](#) and in this RFQ.

For BH State Plan services, focusing on rehabilitation and recovery (eg., PROS, ACT, CDT), please address:

- a. How your network contracts, policies and procedures for medical necessity and utilization management criteria hold (or will hold) your network partners accountable for identifying member rehabilitation and recovery goals and making progress towards these goals.
- b. How you will determine if improvement in symptoms, functioning and cognition is occurring in a rehabilitation program. If this is not occurring, describe the utilization management methods you will use with your network partners to periodically evaluate plans of care and determine when the plan should be revised.
- c. How you will determine when a member requires ongoing support to maintain functioning at current levels or to retain the gains achieved from rehabilitation.
- d. The training and experience your UM staff will have to effectively manage the psychiatric/SUD focused rehabilitation and recovery benefit.
- e. The measures you will use to determine and evaluate access and penetration rates for the rehabilitation and recovery services in your provider network.

Page limit: three (3).

HARP Only QM Questions

6. Describe how the Plan will utilize a person-centered approach with regards to length of stay and individual choice to receive treatment in a desired facility within or outside of geographic regions.

Page limit: three (3).

7. Describe the responder's experience, if any, with implementing BH HCBS quality assurance performance measures and the information system infrastructure that the HARP needs to support the required BH HCBS quality assurance reporting. If staff experience is claimed, please note this and answer accordingly.

Page limit: two (2).

8. For the HARP BH State Plan and Home and Community Based services, please address (Only address State Plan services if the answers are different from question 5 above):
 - a. How your network contracts, policies and procedures for medical necessity and utilization management criteria will hold your network partners accountable for identifying member rehabilitation and recovery goals and making progress towards these goals.
 - b. How you will determine if improvement in symptoms, functioning and cognition is occurring in a rehabilitation program. If this is not occurring, describe the utilization management methods you will use with your network partners to periodically evaluate plans of care and determine when the plan should be revised.
 - c. How you will determine when a member requires ongoing support to maintain functioning at current levels or to retain the gains achieved from rehabilitation.
 - d. The training and experience your UM staff will have to effectively manage the psychiatric/SUD focused rehabilitation and recovery benefit.
 - e. The measures you will use to determine and evaluate access and penetration rates for the rehabilitation and recovery services in your provider network.

Page limit: three (3).

I. Reporting and Data Exchange

1. Describe how the responder's information systems and reporting functions will be reorganized and updated to address BH reporting requirements. Address the following:
 - a. Describe how the responder's information management system will maintain information on provider types, population, and clinical specialties to support directing members to the most appropriate services and providers.
 - b. Describe an experience with receiving and loading provider information to accommodate a state's BH provider network. If staff experience is claimed, please note this and answer accordingly.
 - c. Provide example BH reports that demonstrate the responder's current capabilities to meet BH reporting requirements (see Attachments [A](#), [B](#), [E](#) and [Section 3.13](#)). Where

gaps exist between current capabilities and required reporting elements, describe your Plan, with a timeline for how the gaps will be closed.

Page limit: three (3) excluding sample reports.

2. Provide two (2) examples for which responder has implemented a performance improvement initiative that demonstrated documented improvement in the quality of BH services or supports. Include the nature of the problem, the nature of the intervention(s), how information from multiple data sources was utilized, what feedback loops were in place, and the outcome. Identify the customer reference(s) that can verify the examples. If staff experience is claimed, please note this and answer accordingly.

Page limit: four (4).

3. Propose a Plan for implementing BH content on the responder's website to be utilized by members and family members, providers, stakeholders, and State agencies that provides a provider directory, education and advocacy information as described in the RFQ. Discuss the proposed content of the website in respect to promoting holistic health and wellness. Provide access to an active website that has been developed for a State agency, including information to permit access to the site (URL, log-in identification, and password). Describe the development tools that will be utilized to create the website as well as the proposed security protocols that will be used.

Page limit: three (3) not including any attached materials.

4. If a delegated entity will be used, describe the responder's experience with two way data exchange to support BH-medical integration initiatives. Include the following and identify the customer reference(s) that can verify the experience.
 - a. The type of data exchanged (e.g., medical claims, pharmacy claims, Human Resources Administration data).
 - b. The volume and frequency of data exchanged.
 - c. How the data is used to support integration initiatives.

Page limit: four (4).

HARP Only Reporting Questions

5. Describe the HARPs plan for capturing and reporting BH HCBS services and your organization's plan to automate submission of functional assessment and plan of care data to support monitoring of compliance with HCBS requirements and reporting of HCBS assurances/sub-assurances and recovery outcomes.

Page limit: two (2).

J. Claims Administration

1. Describe the responder's experience for processing Medicaid claims specific to those services being added under the RFQ, including prior and current clients, type of claims administration (ASO or at risk), and the number of covered lives.

Page limit: two (2).

2. Describe the responder's capability to conduct the following functions, specific to those services being added under the RFQ:
 - a. Receive and send HIPAA transaction formats in regards to claims, and claims adjustments eligibility and authorizations. Include processes for non-electronic and web-based claim submissions.
 - b. Meet timeliness and accuracy of payments requirements including capability to pay providers electronically.
 - c. Successfully submit encounter data.
 - d. Provide a list the responder's claims system edits.

Page limit: two (2).

3. Describe the responder's experience with implementing a comprehensive fraud and abuse monitoring program for a managed or fee-for-service BH contract with a government/public sector customer. Include three (3) examples of fraud or abuse responder has detected for government/public sector managed BH program and what responder did upon detection. Identify customer(s) who can verify the experience.

Page limit: three (3).

K. Financial Management

1. Describe the responder's experience in producing standard and ad-hoc reports for submission to the State as required in [Sections 3.16](#) and [Attachment A](#) of this RFQ. Provide three (3) sample reports similar to those required in [Sections 3.16](#) and [Attachment A](#) of this RFQ.

Page Limit: two (2) not including sample reports.

2. Describe in detail your methodology surrounding the calculation of incurred but not reported liability. Specifically address the data sources, frequency of review and the qualifications of the internal or external review parties.

Page Limit: two (2).

3. Describe the responder's experience and planned methodology for producing required financial reports segregated by all rating categories for which a capitation rate is paid and for all applicable funding sources.

Page limit: one (1).

4. Applicants must complete financial statements which consist of the following:
 - a. Projected membership.
 - b. A revenue and expenses statement by month for the first 36 months of operation of the new program (HARP) or break even, whichever is longer.
 - c. A consolidated summary revenue and expense statement by year for each line of business operated by the MCO for the first three years of the program, or until the MCO reaches breakeven, whichever is later.

- d. A pro-forma balance sheet as of the date of the initial enrollment in the counties where the new program is and for each of the first three years of the new program or until the MCO reaches breakeven, whichever is later.
5. Applicants must also include the source of any additional capitalization that may be needed to support the new program and to meet reserve requirements during the first three years. If the source is a subordinated loan (patterned after Section 1307 of State Insurance Law) or surplus note, the proposed loan document must be submitted. At a minimum, the Plan's capital should be sufficient to comply with NYS escrow and contingent reserve requirements on an ongoing basis (Health Department's Regulation Part 98-1.11), fund the cumulative operating loss sustained through the time break-even point is reached, and provide additional resources to cover unanticipated losses.

Attachment A: Draft BH Reporting Requirements

In addition to the reporting requirements in the MCO Model Contract, Plans must meet the following reporting requirements. These reporting requirements may be modified prior to the start date:

#	Report	Frequency ²⁹
Plan		
1	Implementation Status Updates	As requested
2	Network Analysis and Inventory ³⁰	Annually
3	Network Development Plan	Annually
4	Network Development Plan Status Update ³¹	Quarterly*
5	Inpatient Provider Profiling ³²	Annually beginning year 2
6	Cost and Utilization ³³	Quarterly/Annually
7	Performance Improvement Plan Updates	Quarterly*
8	Performance Measures	As specified in QARR and in any BH and HARP addendums to QARR
9	Appointment Availability Survey	Annually
HARP Additional Requirements		
11	UM Plan and Work Plan	Annually
12	UM Evaluation Report	Annually
13	QM Plan and Work Plan	Annually

²⁹ For items with an asterisk, monthly reporting may be required at contract start or at any time determined necessary by the State. In the event of monthly reporting, the due date will be 30 days after the month end.

³⁰ To include number of providers by provider type, by zip code, and geographic analysis of member access to two or more providers by provider type (e.g., inpatient psych, inpatient drug and abuse, residential, MD, non-MD).

³¹ To include analysis of need using multiple data sources to include, but not be limited to consumer satisfaction, access to care delays, out of network authorizations, single case agreements, etc., network development plan for addressing need and progress on key development initiatives; also to include number of providers credentialed, percent of providers credentialed within 60 days, number of provider in credentialing, and average length of time in process, number of providers voluntarily terminated by reason code, number of providers involuntarily terminated by reason code, number of providers recredentialed and recredentialing status of remaining providers; reported separately by provider type (e.g., organizational, practitioner).

³² At a minimum, shall be available for all facility providers and shall include utilization and quality metrics such as readmissions, average length of stay, post-discharge connectedness to ambulatory services.

³³ At a minimum, Plans will track and report on medical loss.

#	Report	Frequency ²⁹
14	QM Evaluation Report	Annually
15	Consumer satisfaction survey	Annually (Supplemental to CAHPS)
16	HCBS Compliance Report	As specified in Attachment E

Attachment B: CMS Standard HARP Reporting and Monitoring Requirements

These home and community-based assurances and sub-assurances represent current CMS requirements for managed long term services and supports and are subject to change. The metrics and formulas are typical for programs such as this program and are required by CMS and its quality management contractor for demonstrating compliance with these assurances and sub-assurances. The State will negotiate the metrics and calculation of those metrics with CMS and work with the Plans to streamline all requirements associated with these quality assurance requirements. The reporting and monitoring roles of the State and the Plan has not been finalized.

#	CMS Assurance	CMS Sub-Assurance	Metric – based on CMS requirements approved in other states	Formula – based on CMS requirements approved in other states
1	Level of care (LOC): The processes and instruments described in the approved HCBS authority are applied appropriately and according to the approved description to determine if the needs-based criteria are met.	An evaluation for LOC is provided to all applicants for whom there is reasonable indication that services may be needed in the future.	The percent of adults that met level of need (LON) requirements prior to receiving HCBS services.	Data source: LON approvals. Data collection responsible party: MCO. Frequency of data collection: Continuously and ongoing. Sampling: 100% review. Data aggregation responsible party: MCO and the DOH. Frequency of data aggregation and analysis: Monthly.
		The processes and instruments described in the approved waiver are applied appropriately and according to the approved description to determine participant LOC.	The percent of initial LON forms/instruments completed as required in approved demonstration. The percent of LON determinations made by a qualified evaluator.	Data source: Record reviews, on-site OR Utilization Review Unit completed LON Data collection responsible party: MCO Frequency of data collection: Continuously and ongoing Sampling: Representative

#	CMS Assurance	CMS Sub-Assurance	Metric – based on CMS requirements approved in other states	Formula – based on CMS requirements approved in other states
			The percent of annual determinations where level of need criteria were correctly applied.	sample, 95% Confidence Interval (CI). Data aggregation responsible party: MCO and DOH Frequency of data aggregation and analysis: Monthly
2	Participant safeguards/health and welfare: The State identifies addresses and seeks to prevent incidents of abuse, neglect, and exploitation, including the use of restraints.	The State demonstrates on an ongoing basis that it identifies addresses and seeks to prevent incidents of abuse, neglect, exploitation, and unexplained death.	Percent of grievances filed by participants that were resolved within 14 calendar days according to approved waiver guidelines.	Data source: Record reviews, onsite Data collection responsible party: MCO. Frequency of data collection: Monthly. Sampling: 100% review. Data aggregation responsible party: DOH. Frequency of data aggregation and analysis: Monthly.
			Percent of participants who received information on how to report the suspected abuse, neglect, or exploitation of adults.	Data source: Record reviews, onsite. Data collection responsible party: MCO. Frequency of data collection: Continuously and ongoing. Sampling: Representative sample, 95% CI Data aggregation responsible party: MCO and DOH. Frequency of data aggregation

#	CMS Assurance	CMS Sub-Assurance	Metric – based on CMS requirements approved in other states	Formula – based on CMS requirements approved in other states
				and analysis: Continuously and ongoing.
			<p>Percent of reports related to abuse, neglect and exploitation of participants where an investigation was initiated within the established timeframe.</p> <p>Number and percent of substantiated cases of abuse, neglect and exploitation where recommended actions to protect health and welfare were implemented.</p>	<p>Data source: MCO abuse, neglect, or exploitation database.</p> <p>Data collection responsible party: MCO.</p> <p>Frequency of data collection: Monthly.</p> <p>Sampling: 100% review.</p> <p>Data aggregation responsible party: DOH.</p> <p>Frequency of data aggregation and analysis: Monthly.</p>
		The State demonstrates that an incident management system is in place that effectively resolves those incidents and prevents further similar incidents to the extent possible.	Number and percent of participants' critical incidents that were reported, initiated, reviewed and completed within required timeframes as specified in the approved waiver.	<p>Data source: MCO critical incidents database</p> <p>Data collection responsible party: MCO.</p> <p>Frequency of data collection: Monthly.</p> <p>Sampling: 100% review.</p> <p>Data aggregation responsible party: MCO.</p>

#	CMS Assurance	CMS Sub-Assurance	Metric – based on CMS requirements approved in other states	Formula – based on CMS requirements approved in other states
				Frequency of data aggregation and analysis: Monthly.
		<p>The State policies and procedures for the use or prohibition of restrictive interventions (including restraints and seclusion) are followed.</p>	<p>Number and percent of unauthorized uses of restrictive interventions that were appropriately reported.</p>	<p>Data source: MCO restrictive interventions database or records review, on-site Data collection responsible party: MCO. Frequency of data collection: Monthly. Sampling: 100% review. Data aggregation responsible party: MCO. Frequency of data aggregation and analysis: Monthly.</p>
		<p>The State establishes overall health care standards and monitors those standards based on the responsibility of the service provider as stated in the approved waiver.</p>	<p>Number and percent of HCBS participants who received physical exams consistent with state HCBS policy.</p>	<p>Data source: MCO encounter data database Data collection responsible party: MCO. Frequency of data collection: Monthly. Sampling: 100% review. Data aggregation responsible party: MCO. Frequency of data aggregation and analysis: Monthly.</p>

#	CMS Assurance	CMS Sub-Assurance	Metric – based on CMS requirements approved in other states	Formula – based on CMS requirements approved in other states
3	The State demonstrates it has designed and implemented an effective system for reviewing the adequacy of service plans for waiver participants.	Service plans address all participants’ assessed needs (including health and safety risk factors) and personal goals, either by the provision of waiver services or through other means.	<p>Percent of participants reviewed with a POC that was adequate and appropriate to their needs and goals (including health goals) as indicated in assessment(s)</p> <p>Percent of participants reviewed with a POC that had adequate and appropriate strategies to address their health and safety risks as indicated in the assessment(s).</p> <p>Percent of participants reviewed with a POC that addressed the participant's goals/needs as indicated in the assessment(s).</p>	<p>Data source: Record reviews, onsite or through Utilization Review Unit.</p> <p>Data collection responsible party: MCO.</p> <p>Frequency of data collection: Continuously and ongoing.</p> <p>Sampling: Representative sample, 95% CI</p> <p>Data aggregation responsible party: MCO and DOH.</p> <p>Frequency of data aggregation and analysis: Monthly.</p>
		Service plans are updated/ revised at least annually or when warranted by changes in participant’s needs.	<p>Percent of participants whose POC was updated within 365 days of the last evaluation.</p> <p>Percent of participants whose POC was updated as warranted by changes in the participant's needs.</p>	<p>Data source: MCO database.</p> <p>Data collection responsible party: MCO.</p> <p>Frequency of data collection: Ongoing.</p> <p>Sampling: 100% review.</p> <p>Data aggregation responsible party: MCO.</p> <p>Frequency of data aggregation and analysis: Quarterly.</p>

#	CMS Assurance	CMS Sub-Assurance	Metric – based on CMS requirements approved in other states	Formula – based on CMS requirements approved in other states
		Services are delivered in accordance with the service Plan, including the type, scope, amount, duration, and frequency specified in the service plan.	Percent of new participants receiving services according to their POC within 45 days of approval of their POC. Percent of participants who received services in the type, amount, duration, and frequency specified in the POC.	Data source: Person-centered Plan record reviews financial records. Data collection responsible party: MCO. Frequency of data collection: Quarterly. Sampling: Representative sample, 95% CI. Data aggregation responsible party: MCO. Frequency of data aggregation and analysis: Semi-annually.
		Participants are afforded choice between/among waiver services and providers.	Percent of participant records reviewed with a completed, signed freedom of choice form that specifies choice was offered among waiver services and providers. Percent of participants reviewed with a POC that includes the participant's and/or guardian/caregiver's signature as consistent with state and federal guidelines.	Data source: Record reviews, onsite. Data collection responsible party: MCO. Frequency of data collection: Continuously and ongoing. Sampling: Representative sample, 95% CI. Data aggregation responsible party: MCO and DOH. Frequency of data aggregation and analysis: Semi-annually.
4	Qualified providers: Providers meet required qualifications.	The State verifies that providers initially and continually meet required licensure and/or certification standards and adhere to other standards	Percent of waiver providers providing waiver services who meet licensure and certification requirements prior to furnishing waiver services — initially.	Data source: MCO credentialing files. Data collection responsible party: MCO. Frequency of data collection: Continuously and ongoing.

#	CMS Assurance	CMS Sub-Assurance	Metric – based on CMS requirements approved in other states	Formula – based on CMS requirements approved in other states
		<p>prior to their furnishing waiver services.</p>	<p>Percent of waiver providers providing waiver services who meet licensure and certification requirements prior to furnishing waiver services — continuously.</p> <p>Percent of waiver providers providing waiver services who have an active agreement with the MCO.</p>	<p>Sampling: 100% review. Data aggregation responsible party: MCO. Frequency of data aggregation and analysis: Quarterly.</p> <p>Note: The State and CMS may want the data stratified by licensed, certified and atypical to ensure that they can pinpoint deficiencies in MCO credentialing.</p>
		<p>The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements.</p>	<p>Percent of providers of waiver services who meet training requirements — non-licensed/noncertified provider, training requirements.</p>	<p>Data source: Training verification records. Data collection responsible party: MCO. Frequency of data collection: Monthly. Sampling: 100% review. Data aggregation responsible party: DOH. Frequency of data aggregation and analysis: Quarterly.</p> <p>Note: New York may be able to combine PMs in this sub-assurance and the next sub-assurance. However, the State and CMS may want the data stratified by licensed, certified and atypical to ensure that they can pinpoint deficiencies in MCO training.</p>

#	CMS Assurance	CMS Sub-Assurance	Metric – based on CMS requirements approved in other states	Formula – based on CMS requirements approved in other states
		<p>The State implements its P&Ps for verifying that provider training is conducted in accordance with State requirements and the approved waiver.</p>	<p>Percent of providers of waiver services who meet training requirements — all providers, ongoing training requirements.</p>	<p>Data source: Training verification records. Data collection responsible party: MCO. Frequency of data collection: Monthly. Sampling: 100% review. Data aggregation responsible party: DOH. Frequency of data aggregation and analysis: Quarterly</p>
			<p>Number of provider trainings operated by the MCO.</p>	<p>Data source: Training verification records. Data collection responsible party: MCO. Frequency of data collection: Quarterly. Sampling: 100% review. Data aggregation responsible party: DOH. Frequency of data aggregation and analysis: Quarterly.</p>

#	CMS Assurance	CMS Sub-Assurance	Metric – based on CMS requirements approved in other states	Formula – based on CMS requirements approved in other states
5	Administration and operation: The State Medicaid Agency (SMA) retains ultimate authority and responsibility for the operation of the waiver program by exercising oversight of the performance of waiver functions by contracted entities.		<p>Number and/or percent of aggregated performance measure reports generated by the MCO and reviewed by the DOH that contain discovery, remediation, and system improvement for ongoing compliance of the assurances.</p> <p>Number and/or percent of MCO administrative and quality assurance reports approved by DOH prior to implementation by the MCO.</p>	<p>Data source: Reports to DOH on delegated administrative functions. Data collection responsible party: MCO. Frequency of data collection: Monthly. Sampling: 100% review. Data aggregation responsible party: MCO. Frequency of data aggregation and analysis: Monthly.</p>
6	<p>Financial accountability: The DOH maintains financial accountability through payment of claims for services that are authorized and furnished to HCBS participants by qualified providers.</p> <p>The State must demonstrate that it has designed and implemented an adequate system for insuring financial accountability of the waiver program.</p>	The State provides evidence that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver and only for services rendered.	<p>Percent of providers who have payment recouped for waiver services without supporting documentation.</p> <p>Percent of claims verified through the MCO's compliance audit to have paid in accordance with the participant's waiver treatment Plan.</p>	<p>Data source: Routine Medicaid claims verification audits. Data collection responsible party: MCO. Frequency of data collection: Continuously and ongoing. Sampling: 90% CI. Data aggregation responsible party: MCO. Frequency of data aggregation and analysis: Continuously and ongoing.</p> <p>Data source: MCO's compliance report. Data collection responsible party: MCO. Frequency of data collection: Quarterly or Continuously and On-going. Sampling: 95% CI. Data aggregation responsible</p>

#	CMS Assurance	CMS Sub-Assurance	Metric – based on CMS requirements approved in other states	Formula – based on CMS requirements approved in other states
				party: MCO and DOH. Frequency of data aggregation and analysis: Quarterly.
		The State provides evidence that rates remain consistent with the approved rate methodology throughout the five-year waiver cycle.	The State pays the MCO actuarially sound rates.	N/A to MCO reporting.

Attachment C: HCBS Service Definitions for HARPs

The following HCBS definitions were submitted to CMS as part of the 1115 demonstration waiver allowing the movement of BH services into managed care. These definitions are subject to change based on negotiations with the federal government. NYS is developing guidance for Plans and providers on Home and Community Based Services. Guidance will be distributed prior to implementation.

NYS is also developing a process for State designation of Home and Community Based Service providers.

Psychosocial Rehabilitation:

PSR services are designed to assist the individual with compensating for or eliminating functional deficits and interpersonal and/or environmental barriers associated with their behavioral health condition (i.e., SUD and/or mental health). Activities included must be intended to achieve the identified goals or objectives as set forth in the individual's Recovery Plan. The intent of PSR is to restore the individual's functional level to the fullest possible (i.e., enhancing SUD resilience factors) and as necessary for integration of the individual as an active and productive member of his or her family, community, and/or culture with the least amount of ongoing professional intervention.

Community Psychiatric Support and Treatment (CPST):

CPST includes time-limited goal-directed supports and solution-focused interventions intended to achieve identified person-centered goals or objectives as set forth in the individual's Plan of Care and CPST Individual Recovery Plan.

The following activities under CPST are designed to help persons with serious mental illness to achieve stability and functional improvement in the following areas: daily living, finances, housing, education, employment, personal recovery and/or resilience, family and interpersonal relationships and community integration. CPST is designed to provide mobile treatment and rehabilitation services to individuals who have difficulty engaging in site-based programs who can benefit from off-site rehabilitation or who have not been previously engaged in services, including those who had only partially benefited from traditional treatment or might benefit from more active involvement of their family of choice in their treatment.

Empowerment Services - Peer Supports

Peer Support services are peer-delivered services with a rehabilitation and recovery focus. They are designed to promote skills for coping with and managing behavioral health symptoms while facilitating the utilization of natural resources and the enhancement of recovery-oriented principles (e.g. hope and self-efficacy, and community living skills). Peer support uses trauma-informed, non-clinical assistance to achieve long-term recovery from SUD and Mental health issues.

Activities included must be intended to achieve the identified goals or objectives as set forth in the participants individualized recovery plan, which delineates specific goals that are flexibly tailored to the participant and attempt to utilize community and natural supports. The intent of these activities is to assist recipients in initiating recovery, maintaining recovery, sustaining recovery and enhancing the quality of personal and family life in long-term recovery.

The structured, scheduled activities provided by this service emphasize the opportunity for peers to support each other in the restoration and expansion of the skills and strategies necessary to move forward in recovery. Persons providing these services will do so through the paradigm of the shared personal experience of recovery.

Habilitation

Habilitation services are typically provided on a 1:1 basis and are designed to assist participants with a behavioral health diagnosis (i.e. SUD or mental health) in acquiring, retaining and improving skills such as communication, self-help, domestic, self-care, socialization, fine and gross motor skills, mobility, personal adjustment, relationship development, use of community resources and adaptive skills necessary to reside successfully in home and community-based settings.

These services assist participants with developing skills necessary for community living and, if applicable, to continue the process of recovery from an SUD disorder. Services include things such as: instruction in accessing transportation, shopping and performing other necessary activities of community and civic life including self-advocacy, locating housing, working with landlords and roommates and budgeting. Services are designed to enable the participant to integrate full into the community and endure recovery, health, welfare, safety and maximum independence of the participant.

Respite

Short-term Crisis Respite:

Short-term Crisis Respite is a short-term care and intervention strategy for individuals who have a mental health or co-occurring diagnosis and are experiencing challenges in daily life that create risk for an escalation of symptoms that cannot be managed in the person's home and community environment without onsite supports including:

- A mental health or co-occurring diagnosis and are experiencing challenges in daily life that create imminent risk for an escalation of symptoms and/or a loss of adult role functioning but who do not pose an imminent risk to the safety of themselves or others
- A challenging emotional crisis occurs which the individual is unable to manage without intensive assistance and support
- When there is an indication that a person's symptoms are beginning to escalate

Referrals to Crisis Respite may come from the emergency room, the community, self-referrals, a treatment team, or as part of a step-down plan from an inpatient setting. Crisis respite is provided in site-based residential settings. Crisis Respite is not intended as a substitute for permanent housing arrangements.

Intensive Crisis Respite:

Intensive Crisis Respite (ICR) is a short-term, residential care and clinical intervention strategy for individuals who are facing a behavioral health crisis, including individuals who are suicidal, express homicidal ideation, or have a mental health or co-occurring diagnosis and are experiencing acute escalation of mental health symptoms. In addition, the person must be able to contract for safety.

Individuals in need of ICR are at imminent risk for loss of functional abilities, and may raise safety concerns for themselves and others without this level of care. The immediate goal of ICR is to provide supports to help the individual stabilize and return to previous level of functioning or as a step-down from inpatient hospitalization..

Family Support and Training

Training and support necessary to facilitate engagement and active participation of the family in the treatment planning process and with the ongoing implementation and reinforcement of skills learned throughout the treatment process. This service is provided only at the request of the individual. A person-centered or person-directed, recovery oriented, trauma-informed approach to partnering with families and other supporters to provide emotional and information support, and to enhance their skills so that they can support the recovery of a family member with a substance use disorder/mental illness. The individual, his or her treatment team and family are all primary members of the recovery team.

For purposes of this service, “family” is defined as the persons who live with or provide care to a person served on the waiver and may include a parent, spouse, significant other, children, relatives, foster family, or in-laws. “Family” does not include individuals who are employed to care for the participant.

Training includes instruction about treatment regimens, elements, recovery support options, recovery concepts, and medication education specified in the Individual Recovery Plan and shall include updates, as necessary, to safely maintain the participant at home and in the community. All family support and training must be included in the individual’s recovery plan and for the benefit of the Medicaid covered participant.

Non-Medical Transportation

Non-medical Transportation services are offered, in addition to any medical transportation furnished under the 42 CFR 440.17(a) in the State Plan. Non-medical Transportation services are necessary, as specified by the service plan, to enable participants to gain access to authorized

home and community based services that enable them to integrate more fully into the community and ensure the health, welfare, and safety of the participant.

This service will be provided to meet the participant's needs as determined by an assessment performed in accordance with Department requirements and as outlined in the participant's service plan.

Individual Employment Support Services

Individual employment support services are individualized, person-centered services providing supports to participants who need ongoing support to learn a new job and maintain a job in a competitive employment or self-employment arrangement. Participants in a competitive employment arrangement receiving Individual Employment Support Services are compensated at or above the minimum wage and receive not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities. The outcome of this activity is documentation of the participant's stated career objective and a career plan used to guide individual employment support.

For all employment supports services, documentation is maintained in the file of each individual receiving this service that the service is not available under a program funded under section 110 of the Rehabilitation Act of 1973 or the IDEA (20 U.S.C. 1401 et seq.). Federal financial participation is not claimed for incentive payments, subsidies, or unrelated vocational training expenses, such as the following: incentive payments made to an employer to encourage or subsidize the employer's participation in a supported employment program, payments that are passed through to users of supported employment programs, and payments for training that is not directly related to an individual's supported employment program. When employment support services are provided at a work site where persons without disabilities are employed, payment is made only for the adaptations, supervision, and training required by participants receiving waiver services as a result of their disabilities but does not include payment for the supervisory activities rendered as a normal part of the business setting.

Services include:

Pre-vocational: Pre-vocational services are time-limited services that prepare a participant for paid or unpaid employment. This service specifically provides learning and work experiences where the individual with mental health and/or disabling substance use disorders can develop general, non-job-task-specific strengths and soft skills that contribute to employability in competitive work environment as well as in the integrated community settings. Pre-vocational services occur over a defined period of time and with specific person centered goals to be developed and achieved, as determined by the individual and his/her employment specialist and support team and ongoing person-centered planning process as identified in the individual's person-centered plan of care, Pre-vocational services provide supports to individuals who need ongoing support to learn a new job and/or maintain a job in a competitive work environment or a self-employment arrangement. The outcome of this pre-vocational activity is documentation of the participant's stated career objective and a career plan used to guide individual employment support.

Transitional Employment: This service is designed to strengthen the participant's work record and work skills toward the goal of achieving assisted or unassisted competitive employment at or above the minimum wage paid by the competitive sector employer. This service is provided, instead of individual supported employment, only when the person specifically chooses this service and may only be provided by clubhouse, psychosocial club program certified provider or recovery center

This service specifically provides learning and work experiences where the individual with behavioral health and/or substance use disorders can develop general, non-job-task-specific strengths and soft skills that contribute to employability in the competitive work environment in integrated community settings paying at or above minimum wage.

The outcome of this activity is documentation of the participant's stated career objective and a career plan used to guide individual employment support.

Intensive Supported Employment: ISE services that assist individuals with MH/SUD to obtain and keep competitive employment. These services consist of intensive supports that enable individuals to obtain and keep competitive employment at or above the minimum wage. This service will follow the evidence based principles of the Individual Placement and Support (IPS) model.

This service is based on Individual Placement Support (IPS) model which is an evidence based practice of supported employment. It consists of intensive supports that enable individuals for whom competitive employment at or above the minimum wage is unlikely, absent the provision of supports, and who, because of their clinical and functional needs, require supports to perform in a regular work setting. Individual employment support services are individualized, person-centered services providing supports to participants who need ongoing support to learn a new job and maintain a job in a competitive employment or self-employment arrangement. Participants in a competitive employment arrangement receiving Individual Employment Support Services are compensated at or above the minimum wage and receive not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities. The outcome of this activity is documentation of the participant's stated career objective and a career plan used to guide individual employment support. Services that consist of intensive supports that enable participants for whom competitive employment at or above the minimum wage is unlikely, absent the provision of supports, and who, because of their disabilities, need supports to perform in a regular work setting.

Ongoing Supported Employment: This service is provided after a participant successfully obtains and becomes oriented to competitive and integrated employment. Ongoing follow-along is support available for an indefinite period as needed by the participant to maintain their paid employment position. Individual employment support services are individualized, person centered services providing supports to participants who need ongoing support to learn a new job and maintain a job in a competitive employment or self-employment arrangement. Participants in a competitive employment arrangement receiving Individual Employment Support Services are

compensated at or above the minimum wage and receive not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities. The outcome of this activity is documentation of the participant's stated career objective and a career plan used to guide individual employment support.

Education Support Services

Education Support Services are provided to assist individuals with mental health or substance use disorders who want to start or return to school or formal training with a goal of achieving skills necessary to obtain employment. Education Support Services consist of special education and related services as defined in Sections (22) and (25) of the Individuals with Disabilities Education Improvement Act of 2004 (IDEA) (20 U.S.C. 1401 et seq.), to the extent to which they are not available under a program funded by IDEA or available for funding by the NYS Adult Career & Continuing Education Services Office of Vocational Rehabilitation (ACCES-VR) (The Vocational Rehabilitation component (ACCES-VR) encompasses many of the services that were previously part of Vocational and Educational Services for Individuals with Disabilities, or VESID).

Education Support Services may consist of general adult educational services such as applying for and attending community college, university or other college-level courses. Services may also include classes, vocational training, and tutoring to receive a Test Assessing Secondary Completion (TASC) diploma, as well as support to the participant to participate in an apprenticeship program.

Participants authorized for Education Support Services must relate to an employment goal or skill development documented in the service plan. Education Support Services must be specified in the service plan as necessary to enable the participant to integrate more fully into the community and to ensure the health, welfare and safety of the participant. Examples of these goals would include, but not be limited to: tutoring or formal classes to obtain a Test Assessing Secondary Completion (TASC) diploma, vocational training, apprenticeship program or formal classes to improve skills or knowledge in a chosen career, community college, university or any college-level courses or classes.

Ongoing Supported Education: is conducted after a participant is successfully admitted to an educational program. Ongoing follow-along is support available for an indefinite period as needed by the participant to maintain their status as a registered student.

Self-Directed Services (Pending CMS approval)

Under self-directed Medicaid services, participants, or their representatives, if applicable, have employer and/or budget decision-making authority over certain services and take direct responsibility to manage their services with the assistance of a system of available supports. The self-directed service delivery model is an alternative to traditionally delivered and managed services where providers control hiring, supervision, and wages, such as an agency delivery model. Self-direction of services allows participants to have the responsibility for managing all aspects of service delivery within the context of a person-centered planning process.

Self-direction promotes personal choice and control over the delivery of waiver and state plan services, including who provides the services and how services are provided. Participants have both employer authority and budget authority. Employer authority affords participants the decision-making authority to recruit, hire, train and supervise the individuals who provide their services. Budget authority allows participants to have decision-making authority over how the Medicaid funds in a budget are spent such as wages paid and the number of hours worked.

New York State will be piloting self-direction of care in the mental health and substance use disorder area for the first three years of this demonstration amendment. New York State will work with stakeholders including peer organizations and managed care plans to design and pilot this initiative. The self-directed pilot will include the following elements:

- Person-centered planning process: The person and any collateral supports he or she identifies develop a plan that identifies the person's strengths, capacities, preferences, needs, and goals/outcomes. This plan should include contingency planning & an assessment of risks.
- Development of a service plan: The service plan describes the services and supports the person will use to meet the goals/outcomes he or she has identified in the person-centered plan.
- Individualized budget: Defines the amount of funds the person will control as part of the self-directed option. The method for calculating the scope of individual budgets is determined by the individual state offering the self-directed option.
- Information and awareness in support of self-direction: Supports must be in place that are designed to assist the individual in developing the plan, managing the plan, understanding how self-direction works, self-direction-specific supports such as a support broker and/or financial management services.
- Quality Assurance & Improvement: There must be a mechanism in place that provides continuous quality assurance and improvement, including monitoring and responding to serious incidents and monitoring performance measures and individual outcomes.

The following supports and services will be available to participants in the self-direction pilot:

- Support Broker Services: Medicaid requires that a support broker or counselor be available to assist in development, implementation, and monitoring of the self-directed services. The support broker is considered "an agent" of the individual and takes direction from the individual.
- Fiscal Management Services (FMS): FMS assists individuals with exercising budget authority. This is not a requirement but individuals often prefer to use the FMS for assistance with understanding billing and documentation, performing payroll and employer-related duties, purchasing approved goods & services, tracking and monitoring expenditures.

Attachment D: MCO and HARP Staffing Grid

Section 3.3	Position/Role	Dedicated to product line(s)?	Can Plan propose to share across MCO and HARP?	Must be full-time?	NYS Location	Requirements
Qualified Mainstream Plan Key Personnel with Notification Requirements						
Plans must designate one of the key personnel positions to have overall accountability for the 1) Mainstream MCO product line and 2) (if offered) the HARP product line						
K.i.	Behavioral Health Medical Director	Depends on size of HARP	Yes, if Plan has a HARP with less than 4,000 HARP eligibles	Yes, if Plan has a HARP with more than 4,000 HARP eligibles	Yes	<ul style="list-style-type: none"> NYS license as a physician. A minimum of 5 years of experience is required in a clinical or managed care setting (at least 2 of which are in a clinical setting). Appropriate training and expertise in general psychiatry and addiction disorders (e.g., board certification in general psychiatry and certification in addiction medicine or certification in the subspecialty of addiction psychiatry).
K.ii	Qualified Mainstream MCO Behavioral Health Clinical Director	Depends on size of HARP	Yes, if Plan has a HARP with less than 4,000 eligibles	Yes, if Plan has a HARP with more than 4,000 HARP eligibles	Yes	<ul style="list-style-type: none"> NYS license as BHP. 7 years experience in BH MC or BH clinical setting including at least 2 years of MC experience (preferably Medicaid MC).

Section 3.3	Position/Role	Dedicated to product line(s)?	Can Plan propose to share across MCO and HARP?	Must be full-time?	NYS Location	Requirements
HARP Key Personnel with Notification Requirements						
L.i	HARP Medical Director, Behavioral Health	Depends on size of HARP	Yes, if less than 4,000 HARP eligibles	Yes, if more than 4,000 HARP eligibles	Yes	<ul style="list-style-type: none"> NYS licensed physician. A minimum of 5 years of experience is required in a clinical or managed care setting (at least 2 of which are in a clinical setting). Appropriate training and expertise in general psychiatry and addiction disorders (e.g., board certification in general psychiatry and certification in addiction medicine or certification in the subspecialty of addiction psychiatry).
L.ii	HARP Medical Director, General Medicine	No	Yes	No	Yes	<ul style="list-style-type: none"> NYS licensed physician. Board certified in general medicine or family practice.
L.iii	HARP Clinical Director	Depends on size of HARP	Yes, if less than 4,000 HARP eligibles	Yes, if more than 4,000 HARP eligibles	Yes	<ul style="list-style-type: none"> NYS licensed BHP. 7 years of experience in BH MC or BH clinical setting including at least 2 years of MC experience (preferably Medicaid MC). HARP Clinical Director could serve as MCO BH Clinical Director for smaller plans.
Required Managerial Personnel						
O.i	BH CM	Yes, BH MCO and HARP	Yes	No	Yes	<ul style="list-style-type: none"> BHP. BH MC or BH clinical experience. Knowledge and experience working with Health Homes recommended. Large plans will need to describe adequate supervisory resources.

Section 3.3	Position/Role	Dedicated to product line(s)?	Can Plan propose to share across MCO and HARP?	Must be full-time?	NYS Location	Requirements
O.ii	BH UM	Yes, BH MCO and HARP	Yes	No	No	<ul style="list-style-type: none"> BHP. BH MC or BH clinical experience; knowledge of BH rehabilitation and recovery services. Large plans will need to describe adequate supervisory resources.
O.iii	BH network development	No	Yes	No	Yes	<ul style="list-style-type: none"> Experience in BH MC or BH clinical setting. Expertise in BH and SUD network development and target populations. Familiar with recovery-oriented services.
O.iv	BH provider relations	No	Yes	No	Yes	<ul style="list-style-type: none"> Experience in BH MC or BH clinical setting. Expertise in target populations, recovery principles, EBPs. Familiar with recovery-oriented services.
O.v	BH training	No	Yes	No	Yes	<ul style="list-style-type: none"> Significant experience and expertise in training related to BH systems. Familiar with recovery-oriented services.
O.vi	BH QM	No	Yes	No	No	<ul style="list-style-type: none"> Experience and expertise in QI, public sector MH/addictions programs/delivery systems. Familiar with recovery-oriented services.
O.vii	BH information systems	No	Yes	No	No	<ul style="list-style-type: none"> Experience and expertise in Medicaid and BH data analytics/systems.
O.viii	Governmental/ community liaison	No	Yes	No	Yes	<ul style="list-style-type: none"> Must be individual with significant plan leadership responsibilities.

Section 3.3	Position/Role	Dedicated to product line(s)?	Can Plan propose to share across MCO and HARP?	Must be full-time?	NYS Location	Requirements
Other Personnel						
Q.i	UM/CM	No	Yes	No	UM – No CM - Yes	<ul style="list-style-type: none"> • UM - 7-day/week, 24/7 availability • CM - available during normal business hours • US licensed BHP. • CASACs (must also be U.S. licensed BHPs) for SUD reviews. • Experience in managing target populations. • Authorization decisions by US BHP with minimum three years of experience in a BH setting. • Enhanced requirements HARP: <ul style="list-style-type: none"> – Experience and knowledge with HCBS services, recovery, EBPs.
Q.ii	Clinical Peer Reviewers	No	Yes	No	No	<ul style="list-style-type: none"> • Includes panel of physicians who hold board certified in general psychiatry and certification in addiction medicine or subspecialty in addiction psychiatry and licensed doctoral level psychologists.
Q.iii	BH QM specialists	No	Yes	No	No	<ul style="list-style-type: none"> • Would be same as MCO; must have relevant regulatory, QM, managed care or clinical BH experience and may include licensed BHPs and CASACs.
Q.iv	Provider relations	No	Yes	No	Yes	<ul style="list-style-type: none"> • Would be same as MCO. • MCOs located in NYC must locate some staff in NYC.

Attachment E: HCBS Reporting System IT Requirements Necessary to Meet Federal Assurances and Sub- Assurances in Attachment B

These information systems requirements are typical for health plans to document compliance with the home and community-based assurances and sub-assurances in Attachment B. These requirements are based on experience with other states and are typical of the level of detail needed to calculate the metrics and formulas for demonstrating compliance with these assurances and sub-assurances. The State will negotiate the metrics and calculation of those metrics with CMS and work with Plans to streamline all requirements including any information system technology requirements associated with the quality assurance requirements.

- A. **Report capability:** The System will be able to document and create reports needed for program administration and required federal HCBS reporting (see Attachment B) including:
- I. Document HCBS services delivery by provider, service, and individual.
 - II. Document and track monthly service units delivered by providers.
 - III. Document quality indicator data submitted by providers.
 - IV. Conduct trend analyses on HCBS indicators.
 - V. Generate standardized HCBS reports in a timely manner.
 - VI. Capability to generate tailored provider reports (including Care Managers in Health Homes).
 - VII. Reports may consist of, but are not limited to, data such as:
 - a. Number of individuals receiving services in a particular county or region.
 - b. Assessments performed timely by Health Homes.
 - c. Timely development of Recovery Plans, amendments, and renewals.
 - d. Corrective Action Plans required of providers and implemented timely
 - e. Number of individuals receiving specific services.
 - f. Claims/Financial report capability that document allocated funds and expended funds for Medicaid HCBS services.
 - g. Monthly service monitoring reports for Health Home Care Manager to utilize for monitoring.
- B. **Evaluation process** – All individuals in the HARP will be evaluated for eligibility for HCBS services. Individuals for whom it is believed that they will be eligible for the HCBS services will receive a conflict-free evaluation/assessment from an appropriately qualified individual, using a standardized clinical and functional assessment tool consistent with the State's approved Balancing Incentive Payment Program. The evaluation and assessment will be combined whenever possible. Individuals meeting one of the needs-based criteria identified

below, which are less stringent than HCBS institutional levels of care, will be eligible for HCBS.

- I. The Intake data should include the following:
 - a. Date of initial evaluation for HCBS. This section includes the capability of additional evaluations for HCBS eligibility for people who have been evaluated and not found eligible in the past. Note: dates for each completed step should be recorded in a manner that permits quality review (i.e., no back-dating allowed).
 - b. Demographic Information - The system has limited user levels for in-putting information onto a primary demographic section of the system, i.e., Medicaid number and the individual's name as it appears on the Medicaid Plan roster should auto-fill.
 - c. Outcome and date of HCBS evaluation.
 - d. Date that individual is determined eligible or ineligible for HCBS services including any notification to individual (e.g.. eligibility letter is sent or notice of action/due process letter is sent for denial).
 - e. When the individual is approved for HCBS, the date of the face-to-face meeting to complete a needs assessment (if completed separated from the HCBS eligibility evaluation).
 - f. Results and date of completed needs assessment.
 - g. Identification and qualifications of assessors.
 - h. Ability to input information on assessment results including documentation and notes.
 - i. Date and notes of any Care Manager contacts with individual/ family during the evaluation and assessment process.
 - j. Ability to record referral and date of referral for second eligibility/assessment review (if necessary).
 - k. Ability to enter second review, documentation, dates and results (if necessary).
 - l. For eligibility denials, applications are archived for future reference in the event of an application resubmittal.
 - m. Date, comment section, and signature field in the event of an eligibility decision appeal.
 - n. Signatures by the following: individual, assessment clinician, physician, other clinician review, and dates of coverage.
 - o. Auto generated email when assessments are at a certain level or the individual is a certain age to the appropriate assessor (i.e., if there are

Transition Age Youth, children with history in the children's MH system, or First Episode Psychosis).

- p. Include an alert system to notify Care Managers on required upcoming annual assessment and completion of the assessments as well as needed Recovery Plan updates.

C. Recovery Plan Development – The system should have the following capabilities to track the following information:

- I. Date of the individual's Recovery Plan development meeting.
- II. Date the plan is updated (as needed) and at least annually.
- III. Changes in the resource allocation (i.e., budget) that the individual receives.
- IV. Generate and house individual resource allocations associated with Recovery Plans. Compute funding amounts based on units, unit rate and annualized unit information for annual costs for each Recovery Plan.
- V. Document the participants (all providers, the consumer, and the care manager in the Health Home) developing the Recovery Plan and record signatures or uploads of signature pages.
- VI. Designated users have the ability to create and modify prior authorizations using the approved Recovery Plan to send to the Plan's claims management system. The system should ensure that once the Recovery Plan or any subsequent modifications are approved, it becomes the prior authorization.
- VII. Additional, viewer only access, to designated care managers, Plan staff and designated providers to view Recovery Plans.
- VIII. Fully interface with and create reports of HCBS services utilization integrated with acute care services utilization for individual HARP members in a manner that allows client specific reports on services utilized and paid.

D. Recovery Plan Data Elements – The system would have the following capabilities to allow Care Managers and Utilization Management to readily manage the Recovery Plan elements:

- I. Due to the linkage between the Assessment/Evaluation and the Recovery Plan, the data system should pre-populate fields where possible (e.g., personal profile, health and safety, and assessed needs).
- II. Track and distinguish changes in the annual Recovery Plan from previous Recovery Plan language.
- III. Allow modifications of each Recovery Plan as needed (e.g., adding goals, person centered description, modifying service amount, duration and scope, etc.).
- IV. Creating and housing more than one Recovery Plan or assessment each year

- V. Automatically generate a Recovery Plan resource allocation for each individual and reflect any changes to the individual's budget during the year.
 - VI. Track the date the Care Manager completes Recovery Plan and submits for approval to UM and whether or not the Recovery Plan is submitted timely.
 - VII. Track the date of UM approval or the date UM sends the Recovery Plan back to the Care Manager for further documentation. Track the date the UM approves the Recovery plan and whether or not UM review is completed timely. Incorporate any documentation by UM for approval of the Recovery Plan.
 - VIII. Track the approval date, comments and routing to individuals for any prior authorizations required for specific HCBS services on the Recovery Plan. Track the date, content and disposition of further review (e.g., information from UM Physician).
 - IX. Track the date of Notice of Action if care is denied or limited.
 - X. Notification to providers and to the Care managers for Recovery Plan completions, as well as, changes, indicating approval or non-approval.
 - XI. When a Recovery Plan is rejected, a notice to the Care manager and providers. All rejections and why Recovery Plans are rejected must be tracked until the Recovery Plan is approved.
 - XII. Capture information regarding Recovery Plans for individuals with participant directed services or a way to designate within each individual's demographics to highlight those enrolled in participant direction:
 - a. Information related to those receiving participant direction, will include the individuals' contact information, report capabilities, analysis trending capabilities, family hiring/approvals information, an approved co-employer provider listing and the services they are approved to provide.
 - b. A linkage to third party billing sites if the Plan does not provide the Fiscal Management Services directly under participant direction. (used to upload approved Prior Authorizations for participant direction).
- E. Referral and Monitoring Activities of Health Home Care Managers – The MCO will require documentation of Health Home Care Manager activities (e.g., dates of visits, conclusion of the visit, narrative of visit, notifications if quality of care concern)
- I. The MCO will require Health Home Care Manager documentation of CM Monitoring visits to be maintained. The documentation should at a minimum:
 - a. Permit multiple users including the specific Health Home Care Manager and Supervisor within the Health Home supporting the individual to access documentation of a Care Manager visit.
 - b. Be available to the Plan care management and UM staff supporting the individual.

- c. Track start and end times of visits.
 - d. Track health and welfare of individuals, especially those being discharged or transitioning from an institution such as a state hospital.
 - e. Track information from the site visit in key fields.
 - f. At the Plan's option, any Care Manager finding Health and Welfare concerns will document the visit through a CM Monitoring Report that requires a Corrective Action Plan. The MCO will notify the service provider of the adverse report requesting that the service provider develop a Corrective Action Plan.
- II. The MCO will maintain additional documentation for MCO UM staff to have additional narratives for HCBS members including discharged individuals in addition to regular Recovery Plan referral and monitoring process through Health Home Care Managers
 - III. The MCO will have the capability to track all Corrective Action Plans by affected provider or by Health Home Care Manager.
 - IV. Key fields from the Corrective Action Plans can be uploaded into the MCO data management system.
 - V. The MCO will track any appeal of a Corrective Action Plan and document any changes as a result of such appeals.
 - VI. The MCO will create provider trend reports based on Health Home Care Manager monitoring.
 - VII. The MCO will allow users to upload key data fields from documents such as assessments. If necessary, the MCO allows Health Home Care Managers to upload documents with key fields so these documents can be searchable.
- F. The System will maintain Provider qualification data (e.g., credentialing files) to support HCBS reporting including documenting provider specific data including but not limited to service capacity, utilization, and performance. The data base should include all active HCBS Medicaid providers and the services they are qualified to perform. This information may be housed with other provider information as long as HCBS service specific provider reporting can be generated. Information will include at a minimum:
- I. A list of all HCBS providers with their contact information, active Medicaid numbers and tax IDs, with all authorized services.
 - II. Provider qualification information including provider license and license expiration information if applicable.
 - III. The capability to store inactive provider numbers separately from the active provider numbers.
 - IV. Ability to report on provider capacity including ability to track and maintain site-specific, service capacity for approved HCBS services location.

Attachment F: New York State Behavioral Health Organizations Overview of Summary Report, January 2012 – June 2013

In 2011 New York State (NYS) began to implement managed behavioral healthcare for Medicaid recipients who were previously exempt. This included over 250,000 individuals with SMI and/or serious SUD served in the NYS public mental health system and accounted for more than 100,000 inpatient mental health admissions in 2011. Beginning in January 2012, Behavioral Health Organizations (BHOs) were contracted to conduct utilization review when these individuals were admitted to inpatient mental health units.

Five BHOs were contracted to review inpatient behavioral health admissions in geographically distinct regions following the same contract rules developed by NYS. The BHOs contracted to provide utilization review were Beacon Health Strategies (Western Region); Magellan Health Services (Central Region); Community Care Behavioral Health Organization (Hudson River Region); OptumHealth (NYC); and ValueOptions (Long Island Region). Magellan, OptumHealth, and ValueOptions have been the largest for-profit BHOs nationally (in terms of enrollment) for the past 10 years and together controlled 35% of the national BHO market in 2011. Beacon Health Strategies is a for-profit BHO that has contracts in 17 northeast states as of 2012. Community Care Behavioral Health Organization is a subsidiary of the University of Pittsburgh Medical Center Health System and is the largest not-for-profit BHO in the country.

Each of the 5 BHOs operated under the same contract rules to provide inpatient utilization review for individuals with SMI and serious SUD. The BHOs did not authorize or pay for services, but followed utilization review standards developed by NYS that focused on care coordination needs of admitted individuals and emphasized the importance of successful transition from inpatient to community-based care. For every fee for service (FFS) inpatient admission, the hospital provider was required to notify the BHO within 24 hours. BHO care managers created service use history reports (based upon Medicaid claims data provided by NYS) and shared them with the provider within 72 hours of admission. Providers were also required to submit discharge plans to the BHO for each admission. In addition, the BHOs identified individuals with SMI and serious SUD who had “complex needs” based upon definitions that used secondary data. In NYS, these Complex Needs populations included individuals admitted to mental health inpatient units who: (1) had a prior mental health admission within 30 days; (2) were receiving court-mandated outpatient mental health services upon admission; or (3) were included on a “High Need Ineffectively Engaged” list created by NYS each month. For these Complex Needs cases, BHO care managers conducted ongoing (at least weekly) concurrent review throughout the individual’s hospitalization, focusing on care coordination and discharge planning needs.

From January 2012 – June 2013, 66,719 FFS admissions were reported to BHOs. Twenty-three percent belonged to one or more of the Complex Needs groups. Key findings from reviews are summarized below:

1. The FFS population includes many individuals with multiple treatment and care coordination needs. Housing instability, criminal justice involvement, and co-occurring/co-morbid disorders are common (Figures 1, 2).

Figure 1. Rates of admissions of individuals who were homeless (shelter or street)

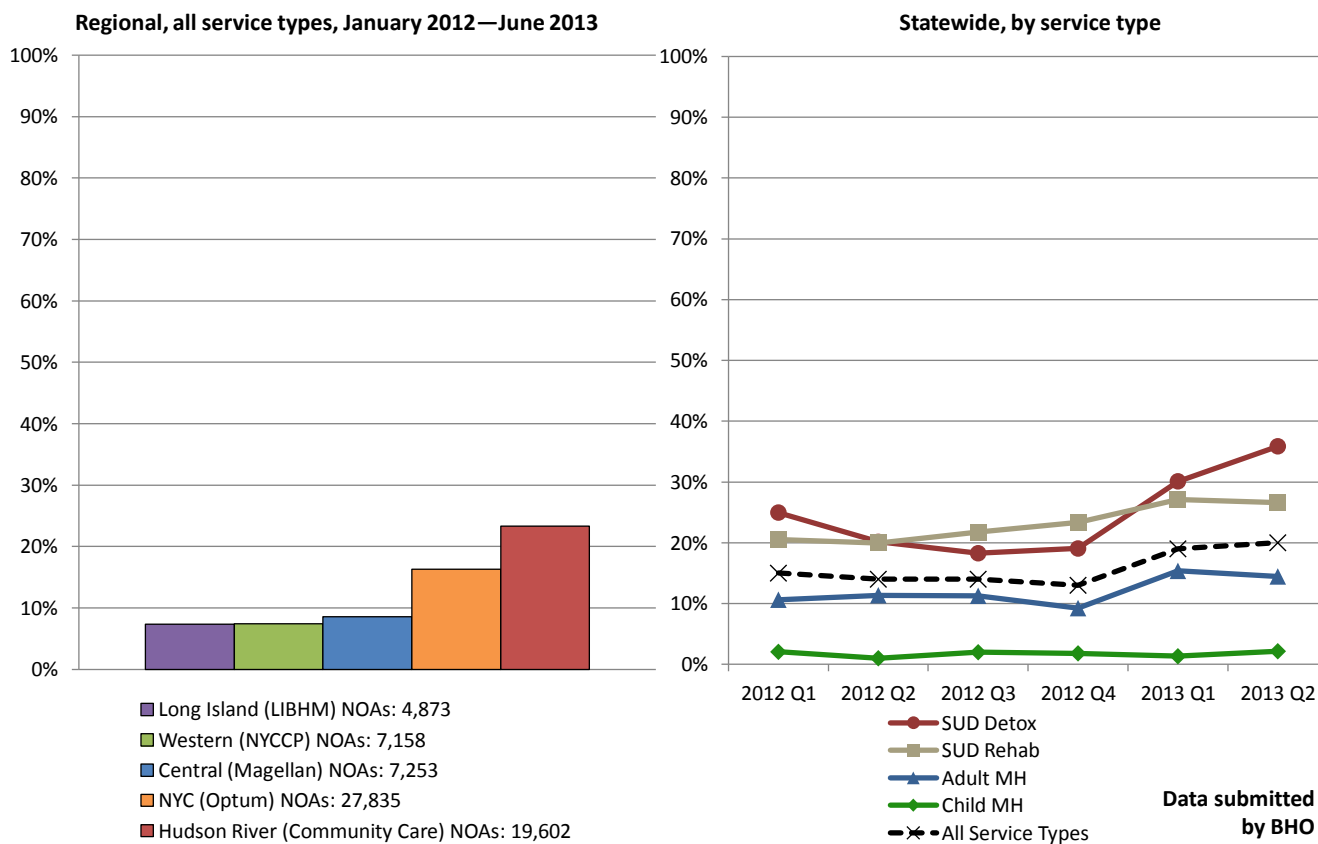
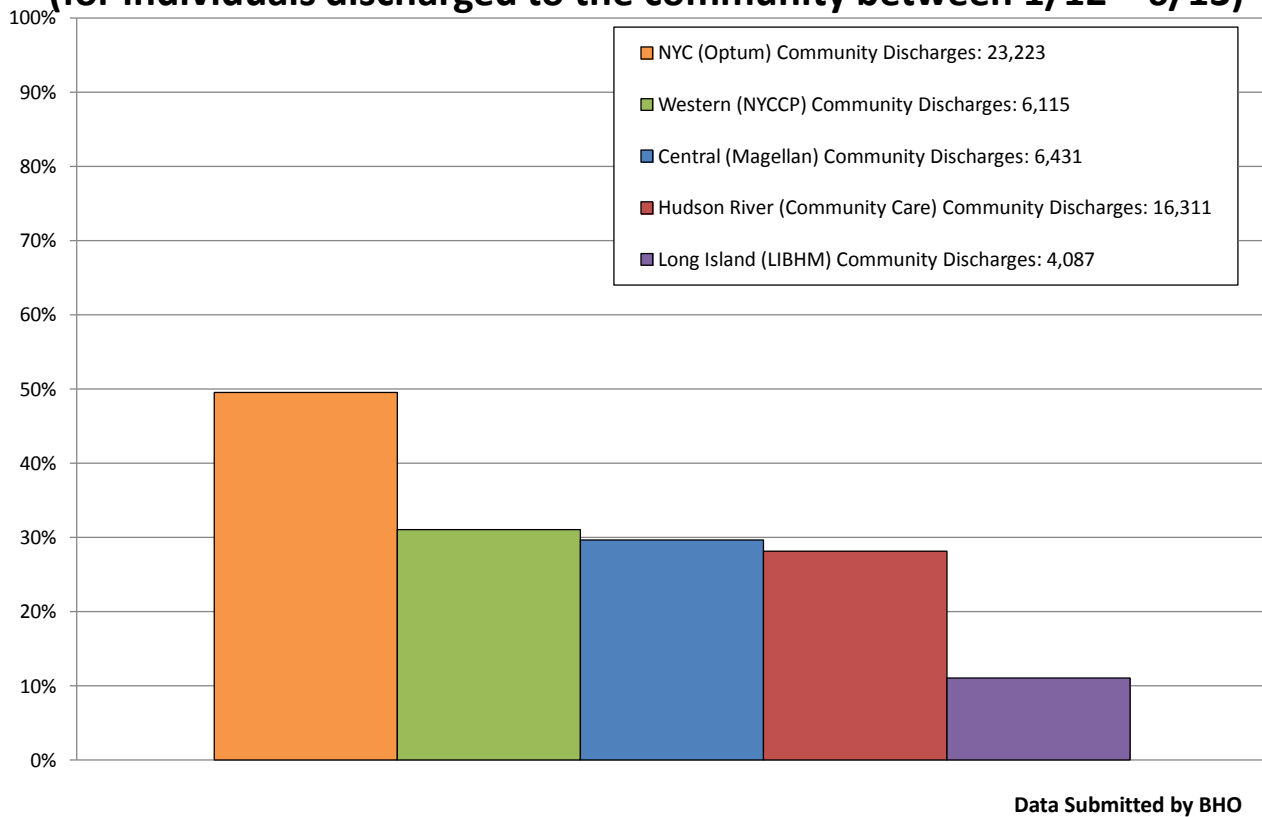
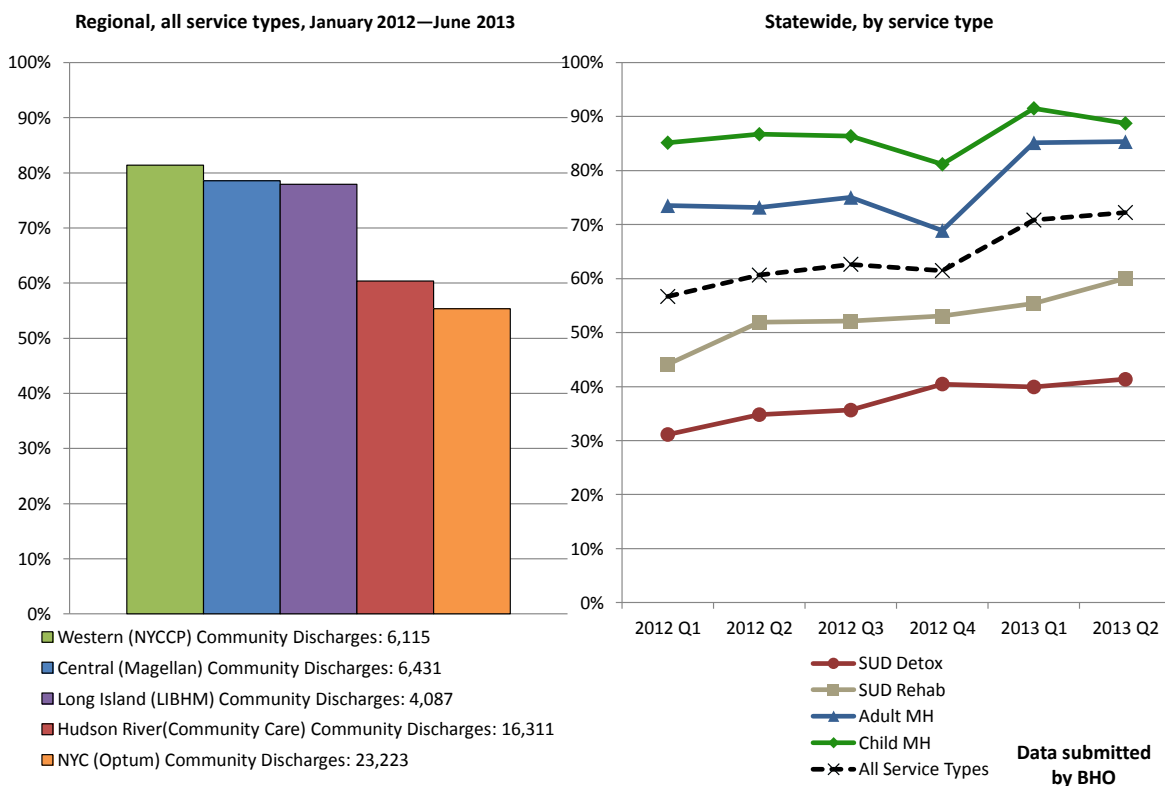


Figure 2. Rates of inpatient providers identifying physical health care needs requiring post-hospital follow-up, (for individuals discharged to the community between 1/12—6/13)



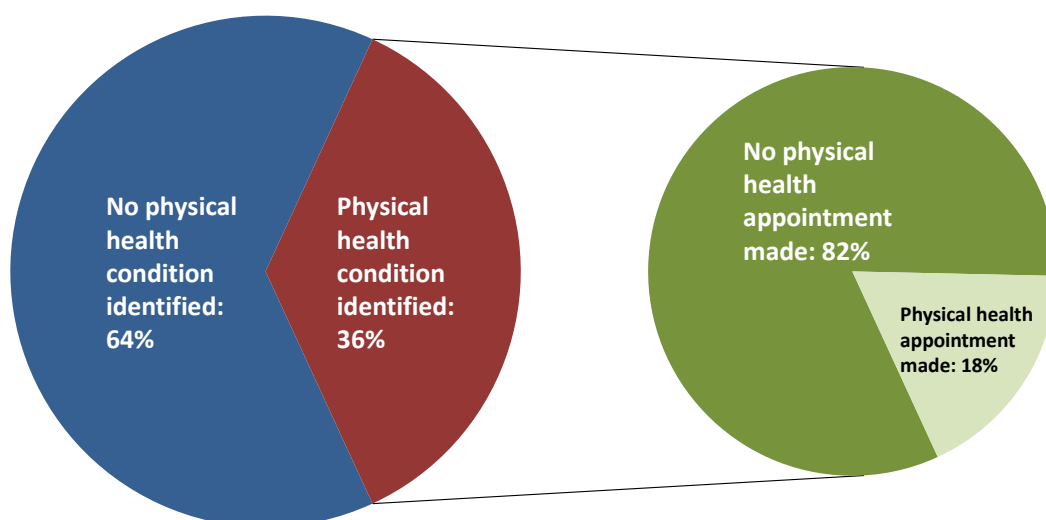
2. Rates of hospital providers communicating with outpatient providers, scheduling aftercare appointments, and sending discharge summaries to aftercare providers were variable. Rates were lowest for NYC hospitals compared to other regions. Among service providers, rates were lowest for Detox programs (Figure 3).

Figure 3. Rates of hospital providers scheduling appointments with outpatient MH providers (for MH discharges) or SUD providers (for SUD discharges) for individuals discharged to the community



3. Many admitted individuals had physical health conditions requiring follow-up, but rates of scheduled aftercare appointments with a physical health provider for these individuals were low (Figure 4).

Figure 4. Integrated care: How often did behavioral health inpatient providers identify general medical conditions requiring follow-up, and did they arrange aftercare appointments?

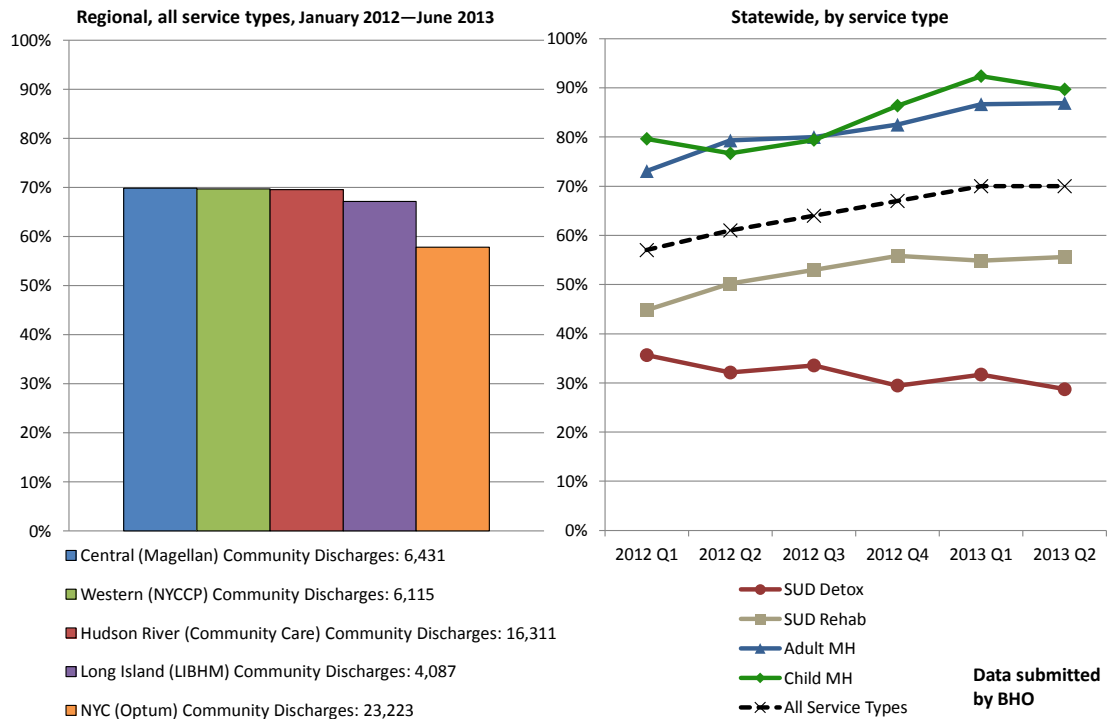


Based upon 56,167 behavioral health community discharges (all service types), January 2012—June 2013

Data submitted by BHO

4. BHOs were charged with helping providers improve care coordination practices. Provider discharge planning activities became more frequent over the course of the project (Figure 5).

Figure 5. Rates of inpatient providers sending case summaries to aftercare providers (for individuals discharged to the community)



5. The FFS population had high rates of inpatient readmission and low rates of continuity and engagement in post-discharge outpatient services (Figures 6-8).

Figure 6. Post-discharge outcomes for Adult Mental Health fee for service discharges, 2012 YTD

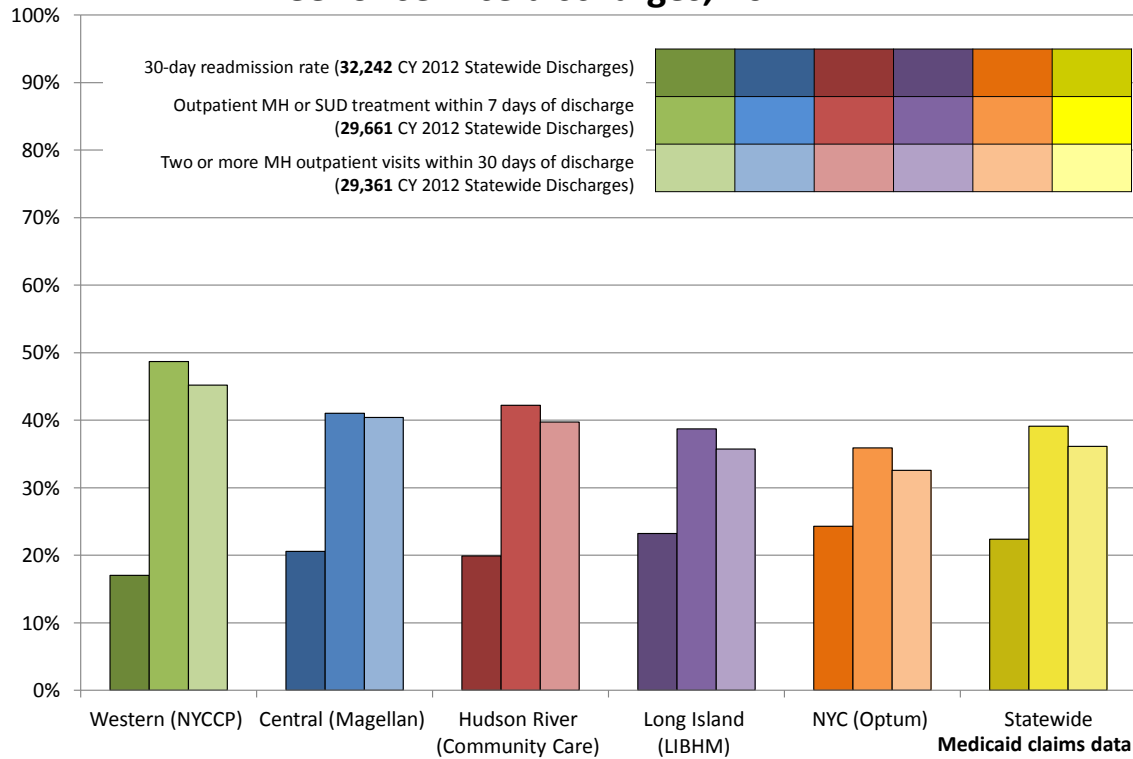


Figure 7. Post-discharge outcomes for Child Mental Health fee for service discharges, 2012 YTD

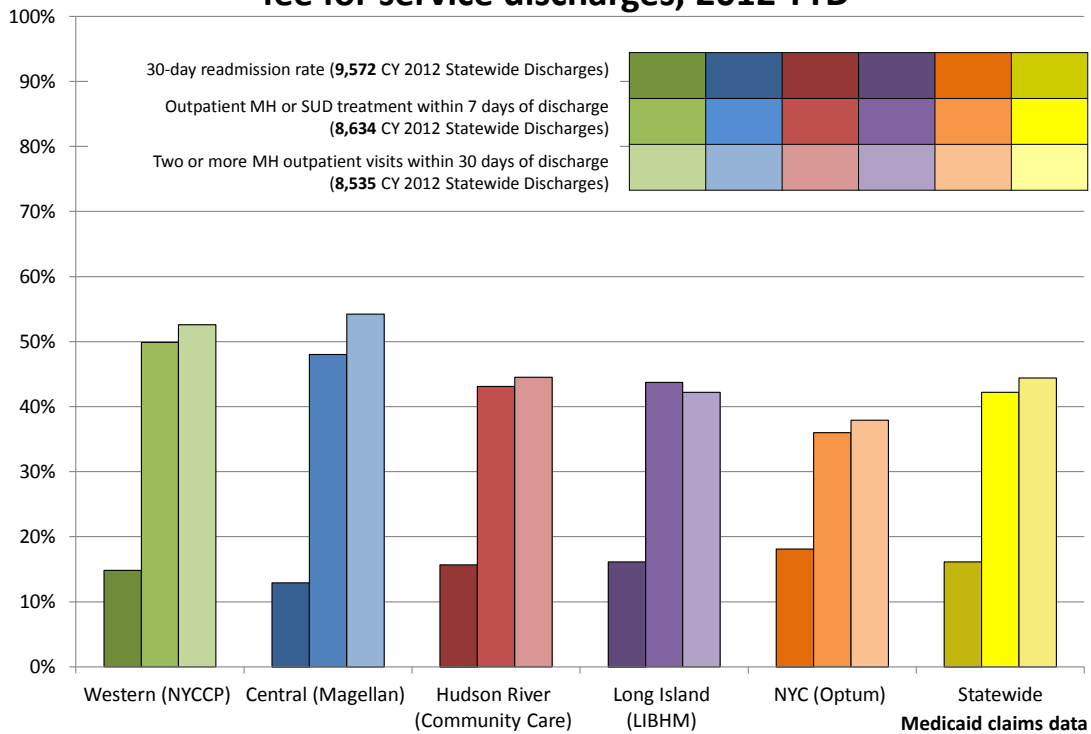
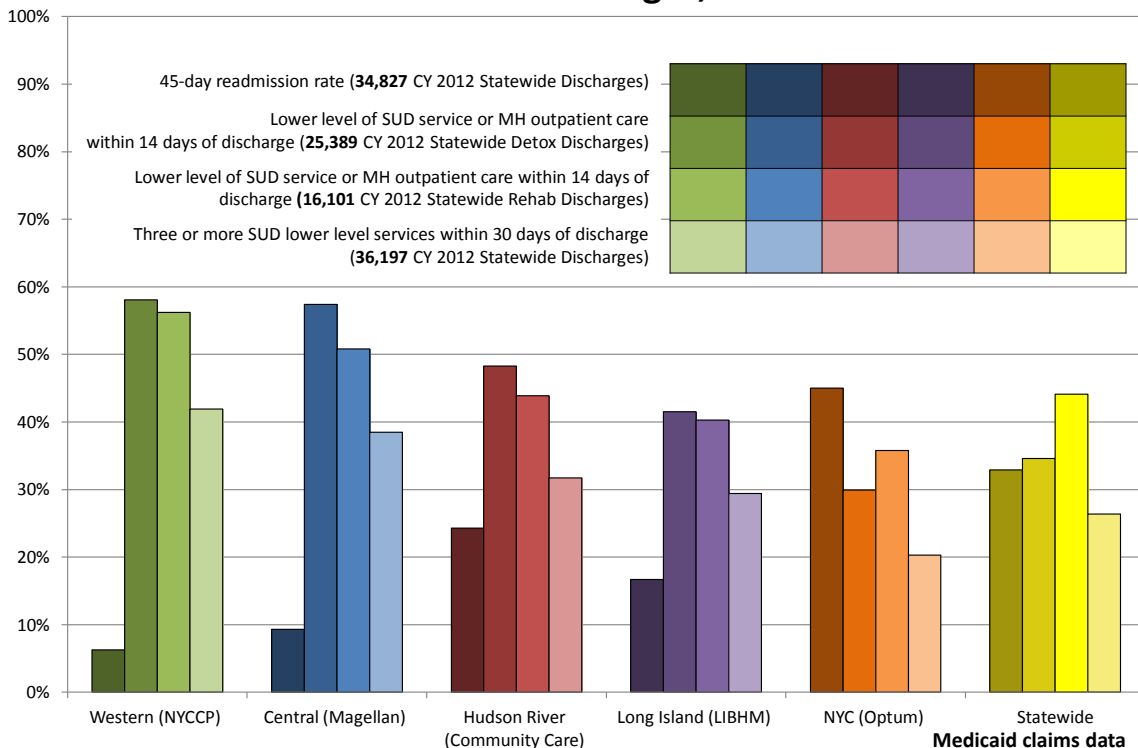


Figure 8. Post-discharge outcomes for SUD fee for service discharges, 2012 YTD



6. Some of the highest volume providers had unusually low rates of individuals successfully transitioning to outpatient services (Figures 9, 10).

Figure 9. How do hospitals compare in rates of connection with outpatient services for adults discharged from their inpatient mental health units? (CY 2012 Medicaid claims data for NYC hospitals that made the most referrals)

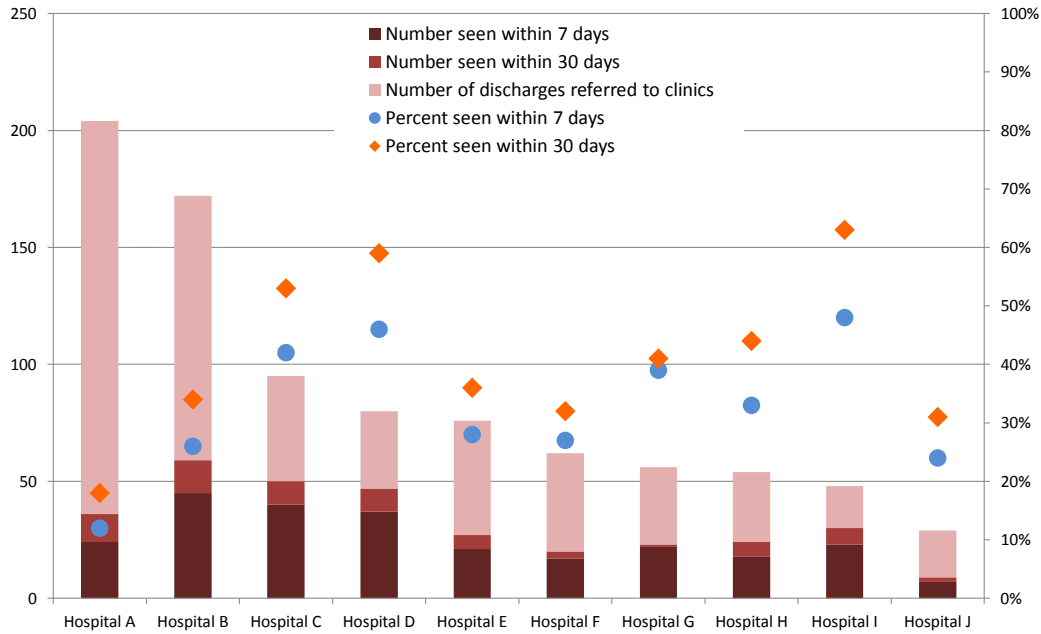
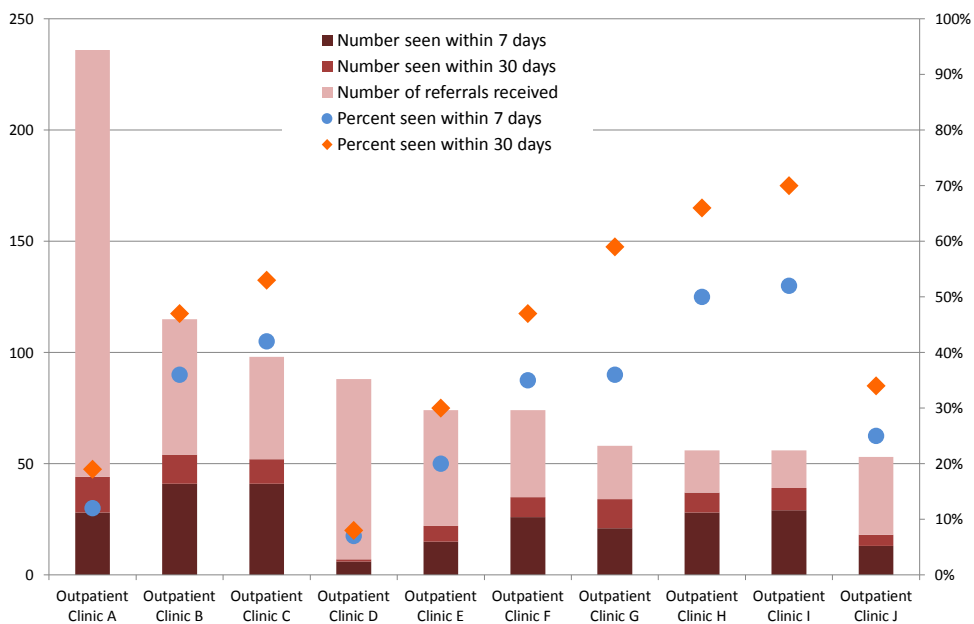


Figure 10. How do outpatient clinics compare in rates of connection to outpatient services for adults discharged from inpatient mental health units? (CY 2012 Medicaid claims data for NYC clinics that received the most referrals)



7. **Summary:** BHO Phase I activities identified the following system gaps and practices that managed care plans will be asked to address in the upcoming qualification process for both mainstream and Health and Recover Plan (HARP) produce lines:
- A. Inpatient providers had low rates of communicating with outpatient providers and arranging for follow-up after discharge
 - B. Health Home care coordinators typically were not notified of inpatient admissions and rarely visited hospitalized enrollees to coordinate care
 - C. Inpatient providers had low rates of referring individuals for physical health follow-up when medical problems requiring follow-up were identified
 - D. Rates of individuals attending outpatient appointments in within 7- and 30-days of discharge from inpatient behavioral health units were under 50% for all service types and markedly lower than those seen in current NYS Medicaid managed care covered populations
 - E. Outpatient providers demonstrated little incentive to engage recently discharged individuals or follow-up when individuals missed appointments following inpatient care
 - F. 30-day inpatient readmission rates were over 20% for adult individuals hospitalized on mental health units; and 45-day readmission rates were over 30% for individuals treated on inpatient SUD units

Attachment G: Smoking and Mental Health Conditions

1. 23,600 New Yorkers die from smoking related illnesses each year.¹
2. Three-quarters of all smokers have had a mental health diagnosis at some time in their lives.²
3. While 18% of all New Yorkers currently smoke, between 50 – 60% of New Yorkers with serious mental illness (SMI) and/or substance use disorders (SUD) are smokers.³
4. Smokers with SMI tend to smoke more cigarettes per day and to extract more smoke from each cigarette than non SMI counterparts, adding to the toxic effects of cigarette smoking for this population.³
5. Smoking rates are not declining in SMI individuals and quit attempts are less likely to be successful, indicating the need for more intensive clinical assistance in the SMI population. For further information see the Cochrane Review:
<http://www.thecochranelibrary.com/view/0/browse.html?cat=ccoehlungssmokingcessation>
6. People with SMI die 20-25 years earlier than non-SMI counterparts, and over half of this premature mortality is due to preventable smoking related diseases.⁴
7. Roughly 50% of cigarettes smoked are smoked by people with mental health and or SUD conditions.²
8. New Yorkers who earn less than \$30,000 and who smoke spend, on average, 25% of their income on cigarettes.⁵

¹Campaign For Tobacco Free Kids. (2014, February 18). The Toll of Tobacco in New York. Retrieved from: http://www.tobaccofreekids.org/facts_issues/toll_us/new_york.

²Lasser, K., Boyd, J.W., Woolhandler, S., Himmelstein, D.U., McCormick, D., & Bor, D.H. (2000). Smoking and mental illness: A population-based prevalence study. *JAMA*, 284(20), 2606-2610.

³Moran, M. (2014, February 4). Smoking cessation for patients called an urgent priority. Retrieved from PsychiatryOnline:

<http://www.dsm.psychiatryonline.org/newsArticle.aspx?articleid=1828522>.

⁴(2006). Parks, J., Svendsen, D., Singer, P., & Foti, M.E. (Eds.) Morbidity and Mortality in People with Serious Mental Illness. Alexandria, VA: National Association of State Mental Health Program Directors (NASMHPD) Medical Directors Council. Retrieved from:

<http://www.nasmhpd.org/docs/publications/MDCdocs/Mortality%20and%20Morbidity%20Final%20Report%208.18.08.pdf>.

⁵Thompson, D. (2012, September 20). Low-income smokers in New York spend 25% of their income on cigarettes. *The Atlantic*. Retrieved from:

<http://www.theatlantic.com/business/archive/2012/09/low-income-smokers-in-new-york-spend-25-of-their-income-on-cigarettes/262627/>.

Attachment H: Center for Practice Innovations

The New York State Office of Mental Health (OMH) and the Department of Psychiatry, Columbia University, established the Center for Practice Innovations at Columbia Psychiatry and New York State Psychiatric Institute (CPI; <http://practiceinnovations.org/>) in November, 2007, to promote the widespread use of evidence-based practices throughout New York State. CPI uses innovative approaches to build stakeholder collaborations, develop and maintain practitioners' expertise, build agency infrastructures that support implementing and sustaining evidence-based practices and direct staff competence. CPI works with OMH to identify and involve consumer, family, provider, and scientific/academic organizations as partners in supporting the goals of OMH and the CPI.

CPI has five core initiatives and plays secondary roles in the following:

- Treating co-occurring mental health and substance use disorders (called “Focus on Integrated Treatment” or FIT)
- Assertive community treatment (ACT)
- Supported employment/education via individual placement and support (IPS)
- Wellness self-management (WSM)
- First episode psychosis (called OnTrackNY)
- Increasing the use of clozapine
- Suicide prevention
- Tobacco dependence treatment

CPI offers participating programs training and other supports to help programs build capacity to implement evidence-based practices. These include:

- Online training modules using personal recovery stories, clinical vignettes, interactive exercises, frequent knowledge checks, and expert panel presentations to engage the learner (over 40 to date. As of January 31, 2014, 14,072 participants have completed 157,164 modules)
- Face-to-face training
- Interactive webinars
- Online resource library with practical tools
- Consultations (both in person and by telephone)
- Monthly conference calls for participants in specific initiatives during which program staff share successes and receive expert consultation from peers and implementation experts on their implementation challenges, and
- Learning collaboratives.

Learning collaboratives (IHI, 2003) have been used as a vehicle for disseminating evidence-based practices in healthcare, behavioral healthcare, and other areas (Ovretveit, Bate, et al, 2002; Schouten et al, 2008). To join a learning collaborative, participating programs commit to

forming implementation workgroups whose role it is to develop an implementation plan and oversee the work toward the goals of that plan, to participate in learning collaborative meetings, and to collect and submit performance indicator data. Some learning collaboratives meet exclusively online whereas others offer a blended approach (both face to face and online meetings). Feedback from participants in learning collaboratives has been overwhelmingly positive, noting how the experience of learning from experts and one another has helped them to effectively implement particular practices. Positive improvements in performance indicator data support this assertion.

Creating CPI's online modules and resources required creating its online learning platform, a learning management system (LMS), that facilitates access to online training, event registration, and resource libraries for each initiative. The LMS automatically tracks at the individual-level:

- What modules are viewed and completed
- Registration for and attendance at training events (e.g., webinars or face-to-face trainings)
- Satisfaction with and usefulness of training
- Knowledge mastery
- Self-efficacy
- Report of practice change as a result of the training

Additionally, the LMS provides program managers with the ability to assign training and with real time reports of staff members' status regarding various required training expectations. CPI has been using this LMS for nearly 5 years to deliver and track training and implementation supports across its initiatives. CPI staff extract data from the LMS in a variety of formats that upload easily into statistical programs to be merged with outside data sources, such as performance indicator data and other program-level information collected externally. Because the LMS tracks individuals' progress, CPI staff can summarize training data in a number of ways (e.g., by program, by agency, by region, by job title, by program type).

OMH will collaborate with Plans and their networks to increase the use of EBPs and improve staff clinical competencies. Provider staff that completes selected training will receive certificates of completion.

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1. IHI (2003). White paper – The breakthrough series. Cambridge, MA.
2. Ovretveit, J., Bate, P., Cleary, P., Gustafson, D., McInnes, K., McLeod, H., Molfenter, T., Plsek, P., Robert, G., Shortell, S., and Wilson, T. (2002). *Qual Saf Health Care*, 11, 345-351.
3. Schouten, L., Hulscher, M., Everdingen, J., et al. (2008). Evidence for the impact of quality improvement collaboratives: systematic review. *British Journal of Medicine*, 336: 1491-1494.

Attachment I: Psychiatric Inpatient Stop-Loss Proposal

New York State will be replacing the current behavioral health stop-loss program for Medicaid Managed Care with a psychiatric (MH) inpatient specific stop-loss program. SUD detox and inpatient rehabilitation services will be included in the existing “acute care” inpatient stop loss program.

- ❑ In Year 1- Mainstream MCOs and HARPs will be responsible for:
 - ❑ 100% of the cost of the first 45 days for each psychiatric inpatient stay
 - ❑ 50% of the cost of psychiatric inpatient stays for days 46 through 60
 - ❑ State will reimburse the MCOs the other 50% of the approved cost for each of these days
 - ❑ State will reimburse the MCOs 100% of the approved cost for days in excess of 60
- ❑ In Year 2- Mainstream MCOs and HARPs will be responsible for:
 - ❑ 100% of the cost of the first 60 days of psychiatric inpatient stays for each admission
 - ❑ 50% of the cost for days 61 through 100
 - ❑ State will reimburse the MCOs the other 50% of the approved cost for each of these days
 - ❑ The State will reimburse the MCOs 100% of the approved cost for days in excess of 100
- ❑ In Year 3 (and thereafter)- Mainstream MCOs and HARPs will be responsible for:
 - ❑ 100% of the cost of psychiatric inpatient stays up to and including 100 days for each admission
 - ❑ The State will reimburse the MCOs 100% of the approved cost of days in excess of 100.

Attachment J : Demonstration Only Services

NYS has added the following services as 1115 Waiver only services. This means that these services, if medically necessary, are available to any one enrolled in a Mainstream Medicaid Managed Care Plan (including HIV-SNPs) or a HARP.

Crisis Intervention

Crisis Intervention services are provided to all Medicaid eligible adults. Crisis Intervention services are provided to a person who is experiencing or is at imminent risk of having a psychiatric crisis and are designed to interrupt and/or ameliorate a crisis including a preliminary assessment, immediate crisis resolution and de-escalation. Services will be geared towards preventing the occurrence of similar events in the future and keeping the person as connected as possible with environment/activities. The goals of Crisis Intervention services are engagement, symptom reduction, and stabilization. All activities must occur within the context of a potential or actual psychiatric crisis.

Crisis Intervention services include the following components:

- A preliminary assessment of risk, mental status, medical stability and community tenure and the need for further evaluation or other mental health services. Includes contact with the consumer, family members, and/or other collateral sources (e.g. caregiver, school personnel) with pertinent information for the purpose of a preliminary assessment, treatment and/or referral to other alternative mental health services at an appropriate level
- Crisis resolution and consultation with the identified Medicaid eligible individual and the treatment provider
- Referral and linkage to appropriate Medicaid behavioral health community services to avoid more restrictive levels of treatment
- Linkage to Short Term Crisis Respite or Intensive Crisis Respite when clinically appropriate
- Includes contact with the client, family members, or other collateral sources Short-term CIs include crisis resolution and de-briefing with the identified Medicaid eligible individual and the treatment provider
- Follow-up with the individual, and when appropriate, with the individuals' caretaker and/or family members
- Follow-up with the individual and the individuals' family/supportive network which could be provided by a Peer Specialist in order to confirm linkage to Care Coordination, outpatient treatment or other services as appropriate

- Consultation with a physician or other qualified providers to assist with the individual's specific crisis and plans for the individual's future.

Addiction Services

Addiction services are provided to all Medicaid eligible adults. Addiction services include:

1. Outpatient addiction services
2. Residential addiction services

Outpatient addiction services include individual-centered services consistent with the individual's assessed treatment needs with a rehabilitation and recovery focus designed to promote skills for coping with and managing symptoms and behaviors associated with substance use disorders. These services are designed to help individuals achieve and maintain recovery from SUDs. Services should address an individual's major lifestyle, attitudinal, and behavioral problems that have the potential to undermine the goals of treatment. Outpatient services are delivered on an individual or group basis in a wide variety of settings including site-based facility, in the community or in the individual's place of residence. These services may be provided on site or on a mobile basis as defined by the New York State Office of Alcoholism and Substance Abuse Services (OASAS). The setting will be determined by the goal which is identified to be achieved in the individual's written treatment plan. The state will also seek Federal State Plan Amendment authority for the provision of community based addiction services for all Medicaid recipients.

Outpatient services may be indicated as an initial modality of service for an individual whose severity of illness warrants this level of treatment, or when an individual's progress warrants a less intensive modality of service than they are currently receiving. Intensive outpatient treatment is provided any time during the day or week and provides essential skill restoration and counseling services for individuals with a moderate to severe dependence condition or for whom there is substantial risk of relapse. Outpatient rehabilitation services may be warranted when the client has an inadequate social support system to provide the emotional and social support necessary for recovery, physical health care needs or substantial deficits in functional skills. Medication-assisted therapies should only be utilized when a client has an established opiate dependence condition. Opioid treatment programs include the dispensing of medication and all needed counseling services including a maintenance phase of treatment for as long as medically necessary.

Residential services include individual centered residential services consistent with the individual's assessed treatment needs, with a rehabilitation and recovery focus designed to promote skills for coping with and managing substance use disorder symptoms and behaviors. These services are designed to help individuals achieve changes in their substance use disorder behaviors. Services should address an individual's major lifestyle, attitudinal, and behavioral problems that have the potential to undermine the goals of treatment. Residential services are delivered on an individual or group basis in a wide variety

of settings including treatment in residential settings of 16 beds or less designed to help individuals achieve changes in their substance use disorder behaviors.

All addiction services are provided as part of a comprehensive specialized psychiatric program available to all Medicaid eligible individuals with significant functional impairments resulting from an identified SUD diagnosis and include eligible Medicaid family members needing counseling who are affected by the SUD diagnosis. The activities included in the rehabilitation service shall be intended to achieve the identified Medicaid eligible client(s)' treatment plan goals or objectives. Components that are not provided to or directed exclusively toward the treatment of the Medicaid eligible individuals are not eligible for Medicaid reimbursement. Services must be medically necessary and must be recommended by a licensed practitioner or physician, who is acting within the scope of his/her professional licensed and applicable state law, to promote the maximum reduction of symptoms and/or restoration of an individual to his/her best age-appropriate functional level according to an individualized treatment plan.

The treatment plan should be developed in a person-centered manner with the active participation of the individual, family, and providers and be based on the individual's condition and the standards of practice for the provision of rehabilitative services. The treatment plan should identify the medical or remedial services intended to reduce the identified condition as well as the anticipated outcomes of the individual. The treatment plan must specify the frequency, amount, and duration of services. The treatment plan must be signed by the licensed practitioner or physician responsible for developing the plan with the participant (or authorized representative) also signing to note concurrence with the treatment plan. The plan will specify a timeline for reevaluation of the plan that is at least an annual redetermination. The reevaluation should involve the individual, family, and providers and include a reevaluation of plan to determine whether services have contributed to meeting the stated goals. A new treatment plan should be developed if there no measureable reduction of disability or restoration of functional level. The new plan should identify different rehabilitation strategy with revised goals and services.

Providers must maintain medical records that include a copy of the treatment plan, the name of the individual, dates of services provided, nature, content and units of rehabilitation services provided, and progress made toward functional improvement and goals in the treatment plan.

Services provided at a work site must not be job task oriented and must be directly related to treatment of an individual's substance use disorder needs. Any services or components of services the basic nature of which are to supplant housekeeping, homemaking, or basic services for the convenience of a person receiving covered services (including housekeeping, shopping, child care, and laundry services) are non-covered. Services cannot be provided in an institute for mental disease with more than 16 beds. Room and board is excluded from addiction services rates. New York residential placement under the Level of Care for Alcohol and Drug Treatment Referral Criteria System requires prior approval and reviews on an ongoing basis as determined necessary by the Department of Health or its designee to document compliance with the placement standards.

A unit of service is defined according to the Healthcare Common Procedure Coding System approved code set per the national correct coding initiative unless otherwise specified.

Community Mental Health Services

Enrollees under the 1115 demonstration may receive the following medically necessary community-based services provided by otherwise eligible Medicaid mental health providers:

Licensed Behavioral Health Practitioner Services

A licensed behavioral health practitioner is an individual who is licensed in the State of New York to prescribe, diagnose and/or treat individuals with mental illness or substance abuse operating within the scope of practice defined in State law and in any setting permissible under State practice law. A LBHP includes individuals licensed as:

- Licensed Psychiatrist or Advanced Nurse Practitioner,
- Licensed Psychologist,
- Licensed Psychoanalyst,
- Licensed Social worker (LMSW, LCSW),
- Licensed Marriage & Family Therapist, and
- Licensed Mental Health Counselor

In addition to licensure, service providers that offer addiction services must demonstrate competency as defined by the Department of Health or its designee, state law and regulations (853.2). Any practitioner providing behavioral health services must operate within an agency licensed by the Office of Mental Health (pursuant to 14NYCRR Part 599) or the Office of Alcoholism and Substance Abuse Services. Per the State's licensure and health practice acts, licensed LMSW, LCSW, PsyD, PhD and MDs may supervise unlicensed professionals in licensed agencies who have at least Bachelor's level such as a Registered Nurse or a peer with state training and certification.

All NP-LBHP services provided while a person is a resident of an IMD such as a free standing psychiatric hospital or psychiatric residential treatment facility are part of the institutional service and not otherwise reimbursable by Medicaid.

All services must be authorized. Evidence-Based Practices require prior approval and fidelity reviews on an ongoing basis as determined necessary by the Office of Mental Health or the Office of Alcoholism and Substance Abuse Services. A unit of service is defined according to the HCPCS approved code set unless otherwise specified.