

POLICY AND PROCEDURE

Title: Health Home Plus for SMI and AOT

Department: Health Home

Intended Population: Health Home Serving Adults

Effective Date: 4/1/2019

Date Revised: 12/11/2019; 6/1/2021; 10/1/21, 11/2/21, 1/1/2023, 2/1/2024

DOH Guidance: [HH+ Guidance for Individual's with SMI](#)
[HH+ CMA Credentials for serve HH+ for SMI](#)
[OMH Request for Specialty Designation Process](#)
[OMH Guidance for AOT](#)
[OMH Guidance for CNYPC and State PC](#)

OMH Attestation: [MH CMA Attestation to serve HH+ for SMI](#)

Purpose of Policy

To describe who qualifies for Health Home Plus, describe the needed documentation from Health Home Service Providers, and the minimum service requirements and education to serve this population.

Scope

1. This policy must be distributed to all AHI Health Home Program staff and all subcontracting Health Home Service Providers.
2. All recipients of this policy must acknowledge their receipt and understanding of the policy by referring any questions, problems, or compliance issues with the policy within ten days of the issue date to the AHI's Health Home Assistant Director.
3. All questions regarding this policy or its implementation may be directed to the Health Home Director.

Statement of Policy

AHI shall develop, disseminate, and review at least annually a Health Home Policy that addresses purpose, scope, roles and responsibilities, management commitment, coordination among organization entities, and compliance. AHI shall formalize documented procedures to facilitate the implementation of the Health Home Policy.



Adirondack Health Institute

Lead Empower Innovate

POLICY AND PROCEDURE

Definitions

AHIHH: AHI Health Home, a designated lead Health Home by the New York State Department of Health

Health Home Network Partners: The group of medical, behavioral, social services, and other community-based organizations by which a Health Home Participant receives services to address needs identified on the comprehensive care management plan developed by the Health Home Participant's AHI Health Home Services Provider.

Health Home Participant: A Health Home Candidate who is participating in the AHI Health Home and is assigned to an AHI Health Home Services Provider for care management.

Health Home Service Provider: An organization that has a fully executed contract (the "Health Home Services Provider Agreement") with the Adirondack Health Institute to provide health home outreach and/or care management services.

Care Management Record System: A structured information system, maintained by the Adirondack Health Institute Health Home (AHIHH), and made available for Health Home Service Providers and Health Home Network Partners to utilize, as applicable and appropriate to their role in the Health Home.

Workforce member means Employees, board members, volunteers, interns, independent contractors, vendors, and other persons whose conduct, in the performance of work for a covered entity, is under the direct control of such entity, whether or not they are paid by the covered entity. This includes full and part time employees, affiliates, associates, volunteers, and staff from third party entities who provide service to the covered entity.

Single Point of Access (SPOA): The Single Point of Access (SPOA) is under the authority of the Local Government Unit (LGU) and Mental Hygiene law. SPOA is a critical entry point for the mental health service delivery system

SMI: Serious mental illness

Psychotic Disorders: F21, F22, F23, F20.81, F20.9, F25.0, F25.1, F06.2, F06.0, F06.1, F28, F29

Bipolar Disorders: F31.11, F31.12, F31.14, F31.2, F31.73, F31.74, F31.9, F31.0, F31.31, F31.32, F31.4, F31.5, F31.75, F31.76, F31.9, F31.81, F34.0, F06.33, F06.34, F31.89

Obsessive-Compulsive Disorders: F42

Depression: F34.8, F32.0, F32.1, F32.2, F32.3, F32.4, F32.5, F32.9, F33.0, F33.1, F33.2, F233.3, F33.41, F33.42, F33.9, F34.1, N94.3, F06.31, F06.32, F06.34, F32.8, F32.9, F34, F32.08

Anxiety Disorders: F41.9, F41.0, F41.1, F44.81, F40.0, F43.10

Personality Disorders: F60.0, F60.1, F60.3, F60.04, F60.5, F60.6, F60.9, F60.81, F21



Adirondack Health Institute

Lead Empower Innovate

POLICY AND PROCEDURE

AOT: Assisted outpatient treatment

Kendra's Law: effective since November 1999, is a New York State law concerning involuntary outpatient commitment. It grants judges the authority to issue orders that require people who meet certain criteria to regularly undergo psychiatric treatment.

HUD: Housing Urban Development

LGU: Local Government Unit

OMH Legacy provider: Former OMH Targeted Care Management (TCM) providers

HUD homeless definition: An individual who lacks a fixed, regular, and adequate nighttime residence. For example, the member has a primary nighttime residence that is a public or private place not meant for human habitation, such as; a car, park, sidewalk, abandoned building, bus or train station, airport, or camping ground; is living in a publicly or privately-operated shelter designated to provide temporary living arrangements (including hotels and motels paid for by Federal, State or local government programs for low-income individuals by charitable organizations, congregate shelters, and transitional housing); or is exiting an institution where he or she resided for 90 days or less and who resided in an emergency shelter or place not meant for human habitation immediately before entering that institution.

Background

The Health Home Plus Program Policy at AHI is intended to facilitate the effective implementation of the processes necessary to meet the Health Home Program standards and requirements as stipulated by the NYS DOH, federal regulations, and best practices. This policy directs that AHI meet these requirements.

POLICY

Health Home Plus (HH+) is an intensive Health Home Care Management (HHCM) service established for defined populations with Serious Mental Illness (SMI) and /or Assisted Outpatient Treatment (AOT) who are enrolled in a Health Home (HH) program serving adults. To ensure the intensive needs of these individuals are met, AHIHH must assure HH+ individuals receive a level of service consistent with the requirements for caseload ratios, face-to-face visits, and minimum levels of staff experience and education. The differential monthly rate for HH+ is higher compared to the Health Home High Risk/Need Care Management and mainstream Care Management rates and is intended to appropriately reimburse for the intense and consistent support needed for this population.

Providers who meet the requirements to serve the HH+ population must submit an attestation to AHIHH verifying they meet the criteria and can meet the necessary requirements to serve the population as set forth below.



Adirondack Health Institute

Lead Empower Innovate

POLICY AND PROCEDURE

Eligible Population

- Effective September 2021, Individuals discharged from State Psychiatric Centers and those released from Central New York Psychiatric Center (CNYPC) and its corrections-based mental health units.
- Assertive Community Treatment (ACT) step down
- Individuals transitioning off AOT services to a lower level of service.
- Homeless - See definitions for HUD criteria
- History of an expired AOT order within the past 12 months
- An agreement signed by individuals otherwise considered for AOT by the LGU but agreeing that he/she will adhere to a prescribed community treatment plan rather than be subject to an AOT court order. These agreements are most frequently used as trial periods before initiating a formal AOT order. The agreement can also be used following a period of AOT when the individual is deemed ready to transition off an AOT order.
- Criminal justice involvement
- Ineffectively engaged in care
- No outpatient mental health services within the last year and 2 or more psychiatric hospitalizations.
- No outpatient mental health services within the last 12 months and 3 or more psychiatric ED visits.
- 3 or more psychiatric inpatient hospitalizations with the past 12 months
- 4 or more psychiatric ED visits within the past year
- 3 or more medical inpatient hospitalizations within the past year and who have a diagnosis of Schizophrenia or Bipolar
- SMI individuals who do not fall within at least one of the above high need categories could still be eligible for HH+ services based on the clinical discretion of the local SPOA and or Managed Care Organization (MCO)

Clinical Discretion

MCOs coordinate physical and behavioral health services for Medicaid Managed Care Plan enrollees. MCOs - including mainstream plans, HIV-SNPs and HARPs - have responsibility in ensuring high-need members have positive health outcomes and receive needed services.

The LGU/SPOA has oversight and responsibility for the high-need SMI population and ensuring their access to services best able to meet their needs. SPOA is uniquely qualified to make a recommendation for HH+ eligibility based on their current work triaging referrals for ACT and AOT, as well as the non-Medicaid behavioral health population.

The SPOA/MCO may consider social determinant factors in relation to the individual's psycho-social needs. Some examples may include but are not limited to the following:

POLICY AND PROCEDURE

- An individual who is frequently at-risk for homelessness due to psycho-social related tendencies such as hoarding.
- Transition-age youth: Individuals transitioning out of child/adolescent services who require intensive care coordination through this transition.
- Individuals experiencing initial onset of mental illness without connection to mental health treatment.
- An individual's substance use is a barrier to engaging in community-based treatment and services.
- Individuals placed on an ACT waitlist would benefit from enhanced care coordination while awaiting placement with ACT services. LGU/SPOA and MCO should work with the assigned HH+ Care Manager (CM).

Referral for Health Home Plus

Referrals can come from multiple sources including community providers, shelter outreach teams, ACT teams, forensics, MCOs, hospitals, etc. The referral source can supply documentation to support that the individual meets high need indicators for HH+.

If the referral goes to the Health Home, the Health Home must ensure that the individual is assigned to a CMA qualified to serve the HH+ population. The Health Home shall ensure prompt assignment is made to allow the care manager the ability to participate in the planning process for continuity of care, whenever possible.

Referrals sent through SPOA should be assigned to the Health Home and/or HHSP who has attested to serve the HH+ population. The SPOA and Health Home are responsible for ensuring that referrals are coordinated in a timely and efficient way for this high-need population to benefit from the intensive services. HHSPs must have a working relationship with SPOA and ensure protocols are in place to receive referrals.

Health Home Service Provider (HHSP) Qualifications

HHSP's must receive endorsement from the LGU indicating they have or will have a working relationship, as defined below, with the LGU within (3) months of the Health Home submitting the attestation form.

A "working relationship" with SPOA includes:

- Demonstrated ability and willingness to accept high-need SMI referrals directly from the LGU/SPOA
- Participation in any county SPOA process or committee as applicable
- Knowledge of LGU/SPOA protocols and resources for accessing local mental health services

POLICY AND PROCEDURE

- Clearly defined communication standards between the CMA, SPOA, and HH **AND**

The CMA must meet at least two (2) of the following criteria:

- The CMA is operated by an organization that provides OMH-licensed, (funded or certified services), in addition to care management for individuals with SMI. This may include but not limited to mental health housing, Personalized Recovery Oriented Services (PROS), Article 31 Clinic, and ACT.
- The CMA currently serves individuals with SMI.
- The CMA demonstrates knowledge of the behavioral health managed care benefit package and has working relationships/partnerships with the local mental health service delivery system including but not limited to psychiatric inpatient units, mental health crisis and diversion services, mental health SPOAs, outpatient mental health treatment programs, rehabilitation services and housing.
- Only OMH Legacy providers are eligible to serve the AOT population.

Staffing Qualifications (See Staffing Qualifications Policy)

HH+ shall always be delivered by a HHSP with staff who have the education and experience appropriate to serve the high-need, behavioral health population. The following Minimum Qualifications apply:

Education:

A Master's degree in one of the qualifying fields and one year of experience; OR

A Bachelor's degree in one of the qualifying fields and two years of experience; OR

A Credentialed Alcoholism and Substance Abuse Counselor (CASAC) and two years of experience; OR

A Bachelor's degree in ANY field with either: 3 years' experience or two years' experience as a Health Home Care Manager serving the SMI or SED population

AND

Experience:

1. Providing direct services to people with Serious Mental Illness, developmental disabilities, alcoholism or substance abuse, and/or Children with SED; OR
2. Linking individuals with Serious Mental Illness, Children with SED, developmental disabilities, and/or alcoholism or substance abuse to a broad range of services essential to successful living in a community setting (e.g., medical, psychiatric, social, education, legal, housing, and financial services.)



Adirondack Health Institute

Lead Empower Innovate

POLICY AND PROCEDURE

**Qualifying education includes degrees featuring a major or concentration in social work, psychology, nursing, rehabilitation, education, occupational therapy, physical therapy, recreation or recreation therapy, counseling, community mental health, child and family studies, sociology, speech and hearing or other human services.*

Supervision:

Supervision from someone meeting one of the following:

1. Licensed level healthcare professional with prior experience in a behavioral health setting; OR
2. Master's level professional with two years of supervisory experience in a behavioral health setting.

Licensed level healthcare professional includes: Physicians, Psychiatrists, Physician's Assistants, Nurse Practitioners, Psychiatric Nurse Practitioners, Registered Professional Nurses, Licensed Practical Nurses, Licensed Psychologists, Licensed Clinical Social Workers, Licensed Master Social Workers, Licensed Mental Health Counselors, Licensed Marriage and Family Therapists, Licensed Psychoanalysts, Licensed Creative Arts Therapists, and Licensed Occupational Therapists.

Waiver Request of Adult HH+ Care Manager Qualifications

In rare circumstances, staff may have unique education and/or experience to adequately serve the high need behavioral health population but do not meet the updated qualifications outlined in this memo. HH CMAs and contracted RCAs may apply for a waiver for such staff.

Waivers are not intended to be the sole approach for an agency looking to expand capacity in serving these populations. Agencies should be prudent in selecting staff to pursue a waiver of qualifications. Waivers should only be submitted for those staff whose unique qualifications allow them to adequately serve the population.

Staffing Models (See Caseload Ratios Policy)

Maximum HH+ Caseload

- The maximum cases for HH+ members shall not exceed 1 Care Manager to 20 HH+ members.



Adirondack Health Institute

Lead Empower Innovate

POLICY AND PROCEDURE

Mixed Caseload (HH+ and non HH+)

- For the purpose of case load stratification, a caseload mix of HH+ and non HH+ is allowable if and only if the HH+ ratio is less than or equal to 20 HH+ recipients to 1 qualified Health Home Care Manager.

Team Approach

- Under this model, HH+ members can receive services by an array of staff members that is led by a primary care manager. Team members may include but not be limited to Registered Nurses, peers and/or additional Care Managers.
- The team caseload must maintain the ratio of 20 HH+ members per each Care Manager/FTE on the team. For every 40+ HH+ members, the team must have at least one qualified HH+ Care Manager.

Staff Core Competencies

Supervisors will be responsible for ensuring care managers receive adequate support and access to resources that encourage the development of skills necessary to improve quality of life and outcomes for high-need individuals with SMI. Supervisors and direct care management staff must be proficient in the following areas:

- Conduct appropriate screening and either performing or arranging for more detailed assessments when needed (e.g., high-risk substance use or mental health related indicators, harm to self/others, abuse/neglect, and domestic violence). This includes the CMA's demonstrated ability to complete the required New York State Eligibility Assessment for Health and Recovery Plan (HARP) enrolled members.
- Plan and coordinate care management needs for high-need SMI individuals including:
 - Navigating the mental health service system-including ability to make referrals to mental health housing services, crisis intervention/ diversion, peer support services.
 - Knowledge of the behavioral health managed care benefit package
 - Ability to collaborate with inpatient staff and MCO (as applicable) to affect successful transitions out of inpatient or institutional settings. Addressing the quality, adequacy, and continuity of services to ensure appropriate support for individuals' mental health and psychosocial needs.
 - Must complete plans of care and coordinate with MCOs for HARP members utilizing the Home and Community Based Services (HCBS) benefit package.
 - Maintain engagement with individuals who are often disengaged from care, have difficulty adhering to treatment recommendations, or have a history of homelessness, criminal justice



Adirondack Health Institute

◊ Lead ◊ Empower ◊ Innovate

POLICY AND PROCEDURE

involvement, first-episode psychosis and transition-age youth. Key skills and practices to engage high-need SMI individuals include:

- Motivational Interviewing
- Suicide Prevention
- Risk Screening
- Trauma Informed Care
- Person-centered care planning and interventions
- Recovery-Oriented Approaches (e.g., WRAP)

Service Intensity

Program requirements for HH+ enrollees are to be carried out consistent with the existing “Health Home Standards and Requirements for Health Homes, Care Management Providers and Managed Care Organizations” guidance distributed by the Department of Health.

- A minimum of four (4) Health Home core services must be provided per month, two (2) of which must be face-to-face contacts, or more when the individual’s immediate needs require additional contacts.
- AOT members must have four (4) Face-to-Face contacts per month.
- The HH+ rate code can only be billed when all service level requirements are met and clearly documented in the individual’s record.
- If the minimum service requirements are not provided in a given month, but all other requirements are met; and at least 1 Health Home core service was provided, the High Risk/High Need rate may be billed.
- The HH+ rate code can be billed for 12 consecutive months starting from the point an individual’s HH+ eligibility becomes known to the HHSP and HH+ program requirements have been met.
- If a HH+ individual continues to meet eligibility at the end of the 12-month initial time frame, HH+ billing may continue for 12 more months with updated supporting documentation and notification to the Health Home.
- Communicating with Managed Care Plans (MCOs) regarding HH+ individuals:
 - *AHIHH will alert the MCO when HH+ eligibility becomes known to the CM and HH+ services will be provided.*



Adirondack Health Institute

Lead Empower Innovate

POLICY AND PROCEDURE

Service Intensity and Documentation for AOT Members

This program, staffing and financial guidance applies only to individuals receiving court ordered Assisted Outpatient Treatment (AOT) who are enrolled in Health Home Care Management (HHCM). AOT involves a court order and, by statute, is overseen in part by the local government which, in most cases, sought the order.

- AOT members must have **four (4) Face to Face** contacts per month.
- All categories of service listed in the court ordered AOT treatment plan shall also be included in the individual's integrated health home plan of care.
- If the individual with an AOT court order cannot be located and has had no credibly reported contact within 24 hours of the time the care manager received either notice that the individual had an unexplained absence from a scheduled treatment appointment, or other credible evidence that the AOT individual could not be located, the individual will be deemed Missing.

Diligent Search for AOT **Must** be conducted by the Health Home Service provider. A missing AOT individual is considered a significant event that must be reported to the LGU within 24 hours, following the LGU's protocol for reporting significant events.

All member's currently on an AOT must have the current AOT order on file in the Care Management Record

CMA must comply with the court order and all statutory reporting requirements under Kendra's Law

Health Home care managers must complete and submit all AOT reporting requirements to the Office of Mental Health (OMH) as required by AOT legislation and as currently reported in the OMH CAIRS (Child and Adult Integrated Reporting System).

Comprehensive Transitional Care

It is expected that the HH/CMA staff and the referral source will coordinate efforts in a way that provides for warm hand-off and/or immediate engagement working with high-need individuals. The care manager should initiate contact with the individual and/or referral source upon receiving the referral.

A warm hand-off is best practice to ensure optimal transition to HH+ services when an individual is being discharged/transitioned from either a program or facility. An introduction with the individual prior to discharge/transition can help orient the individual to HH+ services while allowing the care manager to be a participant in the discharge planning.



Adirondack Health Institute

Lead Empower Innovate

POLICY AND PROCEDURE

Quality Assurance

Best practice is that the HHSP's should immediately upload supporting documentation within the members' electronic health record, but no later than 90 days. Because supporting documentation for homelessness and SUD can be more difficult to gather, HHSP's can request additional time to gather such documentation. In the interim, the members eligibility status can be substantiated via client self-report or care manager observation so long as it is documented in the members' record. Examples of acceptable supporting documentation are as follows:

HIV Status: Lab results, medical records, or documented conversation from collateral contact (must a service provider or MCO that can confirm lab results and/or have access to the individual's medical record).

Homelessness: Letter from a shelter or other housing program, hospital discharge summary, eviction notice, or self-report. Observation by care manager and documentation of this observation in progress notes and care plan that reflects the intensity of service needs to address this category. m

Incarceration: Release papers, documentation from parole/probation, documentation of collateral contacts, print-out from criminal justice database, letter from halfway house, or self-report (for 90 days).

Inpatient Stay for Physical Illness: Hospital discharge summary, documentation of collateral contact of a provider who can verify patients discharge (Note must include name of contact, title, contact information). Print out from PSYCKES. RHIO alerts or MCO confirmation.

Inpatient Stay for Mental Illness: Hospital discharge summary, documentation of collateral contact of a provider who can verify patients discharge (Note must include name of contact, title, contact information). Print out from PSYCKES. RHIO alerts or MCO confirmation.

Substance Abuse Disorder Active: Based on assessment and information gathered by the care manager from substance abuse providers, probation/parole, court ordered programs, DSS, or other sources.

NYS Office of Mental Health Specialty Mental Health Care Management Agency (MH CMA)

Health Home Service providers that would like to become a Specialty Mental Health Care Management Agency (MH CMA) for Health Home will work the AHI Health Home and NYS Office of Mental Health Mental Health to submit their interest in pursuing Specialty Mental Health Care Management Agency status. NYS Office of Mental Health will conduct a review of State performance data for Health Home Plus (HH+) to determine if a Care Management Agency meets the criteria for designation as a Specialty Mental Health Care Management Agency to include attestation from the Care Management Agency that they can and will meet all of the staffing and operational requirements as a Specialty Mental Health Care Management Agency (MH CMA).



Adirondack Health Institute

Lead Empower Innovate

POLICY AND PROCEDURE

HH+ Stepdown Requirements

HHSP's must work with members to devise a Stepdown plan prior to transitioning off of HH+. The member's needs, goals, and objectives should be considered when setting new service level expectations. HHSP's should assist members in developing a plan that assures appropriate service level intensity.

Health Home Service Providers can bill at an enhanced rate while transitioning a member off HH+. The HHSP will indicate on the member's HML that they are part of the HH+ Expanded Population and "NO" the minimum core services were not met. This will trigger the HML to be billed out at the 1874 Rate code. The HHSP may bill at this rate code for a period of 6 months.

Quality and Performance

Each month AHIHH will distribute Health Home Plus reports to each Care Management Agency to assist agencies in reviewing, identifying, and confirming Health Home Plus members on their organizational roster are being billed at the Health Home Plus rate.

AHIHH will conduct periodic Care Management Agency Site Visits to include a sampling of chart reviews of Health Home Plus members and ensure proper supporting documentation is present in the electronic health record and the service needs are reflected in the member's Plan of Care.

Training

This policy will be disseminated for review and questions before policy training is given. If more time is needed outside of the initial policy training, a future in-depth training will be developed to understand Health Home Plus eligibility/qualifying conditions, guidance on how to serve this population, and engagement techniques such as Motivational Interviewing and provided to all care management staff.

Contact Person: Assistant Director, Care Management and Health Home

Responsible Person: Health Home Service Provider

Reviewed By: Director, Care Management and Health Home

Approved By: Chief Compliance Officer



Adirondack Health Institute

Lead Empower Innovate

POLICY AND PROCEDURE

HH+ for SMI Examples of Eligibility Documentation

Population/Sub-Population	Examples of Documentation Sources
Homelessness	<ul style="list-style-type: none"> • Letter from shelter or other homeless housing program • Hospital discharge summary • Eviction notice • Documentation from local Homeless Management Information System (HMIS) • Documentation of this observation would include progress notes and a care plan that reflects the intensity of service needs to address the category of billing claimed.
Criminal Justice Involvement	<ul style="list-style-type: none"> • Release papers • Documentation from parole/probation • Print-out from “WebCrims” or other criminal justice database • Letter from halfway house
3 or more Medical Inpatient hospitalizations (Schizophrenia or Bipolar)	<ul style="list-style-type: none"> • Hospital discharge summary • Print out from PSYCKES • RHIO alerts of inpatient admission • MCO confirmation of admission
3 or more Inpatient Psychiatric hospitalizations	<ul style="list-style-type: none"> • Hospital discharge summary • Print out from PSYCKES • RHIO alerts of inpatient admission • MCO confirmation of admission
4 or more Psychiatric ED visits	<ul style="list-style-type: none"> • Hospital discharge summary • Print out from PSYCKES • RHIO alerts of inpatient admission • MCO confirmation of admission
Assertive Community Treatment (ACT) step down	<ul style="list-style-type: none"> • Documentation of Discharge from ACT
Enhanced Service Package (ESA)	<ul style="list-style-type: none"> • Copy of ESA agreement
Expired AOT within the past year	<ul style="list-style-type: none"> • Copy of expired AOT order
Active AOT	<ul style="list-style-type: none"> • Active AOT order
CNYPC Discharge / State PC Discharge	<ul style="list-style-type: none"> • Discharge paperwork
Clinical Discretion SPOA/MCO	<ul style="list-style-type: none"> • SPOA/MCO Attestation
Ineffectively Engaged (No Outpatient mental health service in the last 12 months AND (2) or more Psychiatric Hospitalizations OR (3) or more Psychiatric ED visits)	<ul style="list-style-type: none"> • Hospital discharge summary • Print out from PSYCKES • RHIO alerts of inpatient admission • MCO confirmation of admission