# Table of Contents

Section 1–Care Management Program Overview ................................................................. 1
  Organizational Overview .................................................................................................. 1
  Purpose of Care Management .......................................................................................... 1
  Definitions of Utilization Management and Care Coordination ...................................... 2
  Comparison between Utilization Management and Care Coordination .......................... 2
  History of Medicaid Utilization Review and the QIO Program in Alaska ....................... 3
  Qualis Health’s Background and Experience .................................................................... 3
  Qualis Health’s Professional Expertise ............................................................................. 4

Section 2–Communications with Qualis Health ................................................................. 6
  Introduction ................................................................................................................... 6
  Contacting Qualis Health via Internet ............................................................................ 6
  Contacting Qualis Health by Mail .................................................................................. 6
  Contacting Qualis Health by Phone ............................................................................. 6
  Contacting Qualis Health by Fax .................................................................................. 7
  Qualis Health’s Communication of Review Determinations ............................................ 7

Section 3–Compliance with URAC’s Utilization Review Standards ................................. 8
  Frequently Asked Questions about Utilization Review Decisions .................................. 8
  1. Who makes the utilization review decision? ............................................................... 8
    Initial Clinical Review .................................................................................................. 8
    Peer Clinical Review .................................................................................................. 8
    Appeal Process .......................................................................................................... 8
  2. Why is a peer-to-peer conversation important? ......................................................... 9
  3. What are the timeframes for peer-to-peer conversation? ............................................ 9
  4. What recourse is there when we disagree with a Qualis Health determination? ........ 9
  5. What is considered an urgent review? ........................................................................ 9
  6. How are review timelines determined? ..................................................................... 10
  7. What are the timeframes for completion of urgent reviews? ...................................... 11
  8. What are the timeframes for completion of non-urgent reviews? .............................. 12

Section 4–HIPAA ................................................................................................................. 14
  Business Associate Standing ......................................................................................... 14
  National Provider Identification ...................................................................................... 14

Section 5–Provider Billing Concerns ............................................................................... 15
  Claim Discrepancies ....................................................................................................... 15
  Contingency for Payment ............................................................................................... 15

Revised July 2012
<table>
<thead>
<tr>
<th>Section 6–Eligibility and Review Limits</th>
<th>16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overview</td>
<td>16</td>
</tr>
<tr>
<td>Review Scope</td>
<td>16</td>
</tr>
<tr>
<td>Review Limits</td>
<td>17</td>
</tr>
</tbody>
</table>

| Section 7–Utilization Review Methods of Submission | 18 |
| Submission Methods                           | 18 |
| Provider Responsibility for Eligibility Verification | 19 |
| ID Cards and Coupons                         | 19 |
| Eligibility Verification System (EVS)         | 19 |

| Section 8– Processes for Utilization Review Submissions | 20 |
| Purpose                                              | 20 |
| Responsibility                                      | 20 |
| Requirements                                        | 20 |
| Process and Procedures                              | 20 |
| Submission                                          | 20 |
| Required Review Documentation                       | 21 |
| Medical Necessity Screening                         | 22 |
| Second-level Peer Review                            | 22 |
| Non-certifications                                  | 22 |
| Questionnaires                                      | 23 |
| Process and Procedures for Urgent Inpatient Admissions | 23 |
| Procedures for Admission Reviews and Continued Stay (Concurrent) Reviews Due on Weekends and Holidays | 24 |

| Late Submission Requests for Reviews                | 24 |
| Chart Requests                                     | 24 |

<p>| Section 9–Prior Authorization for Admissions | 26 |
| Purpose                                      | 26 |
| Responsibility                                | 26 |
| Requirements                                  | 26 |
| Non State Custody Youth Processes and Procedures for Admissions | 27 |
| Information Needed for the Review              | 27 |
| Timeframes for Submission of Prior Authorization Reviews | 28 |
| Timeframes for Pended Reviews                  | 29 |
| Medical Necessity Review Process               | 29 |
| Transfer (Admission) Reviews                   | 29 |
| Eligibility Established During an Inpatient Admission | 30 |</p>
<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td>Continued Stay (Concurrent) Utilization Reviews</td>
<td>31</td>
</tr>
<tr>
<td>Purpose</td>
<td></td>
<td>31</td>
</tr>
<tr>
<td>Responsibility</td>
<td></td>
<td>31</td>
</tr>
<tr>
<td>Requirements</td>
<td></td>
<td>31</td>
</tr>
<tr>
<td>Process and Procedures</td>
<td></td>
<td>31</td>
</tr>
<tr>
<td>Information Needed for the Review</td>
<td></td>
<td>31</td>
</tr>
<tr>
<td>Continued Stay Questionnaire</td>
<td></td>
<td>31</td>
</tr>
<tr>
<td>Continued Stay Review Process</td>
<td></td>
<td>32</td>
</tr>
<tr>
<td>Timeframes for Pended Reviews</td>
<td></td>
<td>33</td>
</tr>
<tr>
<td>Therapeutic Transition Days (TTD)</td>
<td></td>
<td>33</td>
</tr>
<tr>
<td>Review Process for TTD</td>
<td></td>
<td>33</td>
</tr>
<tr>
<td>TTD Criteria</td>
<td></td>
<td>34</td>
</tr>
<tr>
<td>Indicators to Certify TTD</td>
<td></td>
<td>34</td>
</tr>
<tr>
<td>11</td>
<td>Retrospective Reviews</td>
<td>35</td>
</tr>
<tr>
<td>Definition and Purpose</td>
<td></td>
<td>35</td>
</tr>
<tr>
<td>Process for Submitting a Request for a Retrospective Review</td>
<td></td>
<td>35</td>
</tr>
<tr>
<td>Methods for Submitting Retrospective Reviews, Once Approval for Submission Has Been Attained</td>
<td></td>
<td>35</td>
</tr>
<tr>
<td>Submitting Retrospective Reviews Via Web-based Review System</td>
<td></td>
<td>35</td>
</tr>
<tr>
<td>Medical Necessity Screening</td>
<td></td>
<td>36</td>
</tr>
<tr>
<td>Non-certifications</td>
<td></td>
<td>36</td>
</tr>
<tr>
<td>12</td>
<td>Leave of Absences</td>
<td>38</td>
</tr>
<tr>
<td>Approved Leave of Absence</td>
<td></td>
<td>38</td>
</tr>
<tr>
<td>Unapproved Leave of Absence</td>
<td></td>
<td>38</td>
</tr>
<tr>
<td>Admission to a Different Facility</td>
<td></td>
<td>38</td>
</tr>
<tr>
<td>Incarceration of a Youth</td>
<td></td>
<td>38</td>
</tr>
<tr>
<td>PRTF Therapeutic Leave of Absence Policy</td>
<td></td>
<td>39</td>
</tr>
<tr>
<td>Coverage</td>
<td></td>
<td>39</td>
</tr>
<tr>
<td>Billing/Reimbursement</td>
<td></td>
<td>40</td>
</tr>
<tr>
<td>Section 13—Serious Occurrences and Sentinel Events</td>
<td>41</td>
<td></td>
</tr>
<tr>
<td>---------------------------------------------------</td>
<td>----</td>
<td></td>
</tr>
<tr>
<td>The Code of Federal Regulations (42CFR483.374)</td>
<td>41</td>
<td></td>
</tr>
<tr>
<td>Reporting Requirements of Providers from the State of Alaska, Department of Health and Social Services, Behavioral Health</td>
<td>42</td>
<td></td>
</tr>
<tr>
<td>Alaska Behavioral Health’s Clarification of Providers’ Reporting Requirements</td>
<td>42</td>
<td></td>
</tr>
<tr>
<td>Section 14 —Treatment for Sexual Offenders</td>
<td>44</td>
<td></td>
</tr>
<tr>
<td>Section 15–Onsite Reviews and Seclusion &amp; Restraint Standards</td>
<td>45</td>
<td></td>
</tr>
<tr>
<td>Overview of Potential Quality of Care Concerns</td>
<td>45</td>
<td></td>
</tr>
<tr>
<td>Site Reviews</td>
<td>45</td>
<td></td>
</tr>
<tr>
<td>Seclusion and Restraints</td>
<td>45</td>
<td></td>
</tr>
<tr>
<td>Section 16-Utilization Review Appeals</td>
<td>46</td>
<td></td>
</tr>
<tr>
<td>Overview</td>
<td>46</td>
<td></td>
</tr>
<tr>
<td>Expedited Appeals</td>
<td>46</td>
<td></td>
</tr>
<tr>
<td>Definition</td>
<td>46</td>
<td></td>
</tr>
<tr>
<td>Process and Procedures</td>
<td>46</td>
<td></td>
</tr>
<tr>
<td>Standard Appeal</td>
<td>47</td>
<td></td>
</tr>
<tr>
<td>Definition</td>
<td>47</td>
<td></td>
</tr>
<tr>
<td>Process and Procedures</td>
<td>47</td>
<td></td>
</tr>
<tr>
<td>Department of Health and Social Services Appeal Procedure</td>
<td>48</td>
<td></td>
</tr>
<tr>
<td>Fair Hearing Rights for Recipients</td>
<td>48</td>
<td></td>
</tr>
<tr>
<td>Second Level Appeal Rights for Providers</td>
<td>49</td>
<td></td>
</tr>
<tr>
<td>Section 17-Care Coordination</td>
<td>50</td>
<td></td>
</tr>
<tr>
<td>Overview</td>
<td>50</td>
<td></td>
</tr>
<tr>
<td>Family Resource Needs Assessment</td>
<td>50</td>
<td></td>
</tr>
<tr>
<td>Family Discharge Readiness Assessment</td>
<td>51</td>
<td></td>
</tr>
<tr>
<td>Discharge Planning Across the Continuum of Care</td>
<td>51</td>
<td></td>
</tr>
<tr>
<td>Availability of Services within Alaska</td>
<td>51</td>
<td></td>
</tr>
<tr>
<td>Discharge Planning Process Outcomes</td>
<td>52</td>
<td></td>
</tr>
<tr>
<td>Tracking Bed Availability and Treatment Programs</td>
<td>53</td>
<td></td>
</tr>
<tr>
<td>Case Consultation with State Officials</td>
<td>53</td>
<td></td>
</tr>
<tr>
<td>State of Alaska’s “Bring The Kids Home Initiative” (BTKH)</td>
<td>53</td>
<td></td>
</tr>
</tbody>
</table>
## Appendices

<table>
<thead>
<tr>
<th>Appendix</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Glossary of Terms and Acronyms</td>
<td>55</td>
</tr>
<tr>
<td></td>
<td>Glossary of Terms</td>
<td>57</td>
</tr>
<tr>
<td></td>
<td>Acronyms</td>
<td>62</td>
</tr>
<tr>
<td>B</td>
<td>Alaska State Medicaid Program Acute Psychiatric Hospitalization</td>
<td>66</td>
</tr>
<tr>
<td></td>
<td>Medical Necessity Criteria</td>
<td></td>
</tr>
<tr>
<td>C</td>
<td>Alaska State Medicaid Program Residential Psychiatric Treatment Center (PRTF) Medical Necessity Criteria</td>
<td>73</td>
</tr>
<tr>
<td>D</td>
<td>Alaska Medicaid Mental Health Review; Review Requirements Summary Sheet and Definitions</td>
<td>80</td>
</tr>
<tr>
<td>E</td>
<td>Alaska Medicaid Mental Health Review; Timeframes for Reviews</td>
<td>88</td>
</tr>
<tr>
<td>F</td>
<td>Contact Information</td>
<td>92</td>
</tr>
<tr>
<td>G</td>
<td>Commonly Used Phone Numbers and E-mail Addresses</td>
<td>97</td>
</tr>
<tr>
<td>H</td>
<td>List of Example Exhibits</td>
<td>102</td>
</tr>
<tr>
<td></td>
<td>Exhibit 1 – Prior Authorization Admissions Example Flow Chart</td>
<td>104</td>
</tr>
<tr>
<td></td>
<td>Exhibit 2 – Continued Stay Review Example Flow Chart</td>
<td>106</td>
</tr>
<tr>
<td></td>
<td>Exhibit 3 – Expedited Appeal Process Example Flow Chart</td>
<td>108</td>
</tr>
<tr>
<td></td>
<td>Exhibit 4 – Standard Appeal Process Example Flow Chart</td>
<td>110</td>
</tr>
<tr>
<td></td>
<td>Exhibit 5 – Late Submission Review Example Process Flow Chart</td>
<td>112</td>
</tr>
<tr>
<td></td>
<td>Exhibit 6 – Retrospective Eligibility Review Example Process Flow</td>
<td>115</td>
</tr>
<tr>
<td></td>
<td>Exhibit 7 – Example Admissions Review Questionnaire</td>
<td>117</td>
</tr>
<tr>
<td></td>
<td>Exhibit 8 – Example Continued Stay Review Questionnaire</td>
<td>126</td>
</tr>
<tr>
<td></td>
<td>Exhibit 9 – Referral Form for Potential Out of State Placement</td>
<td>129</td>
</tr>
<tr>
<td></td>
<td>Exhibit 10 – Certificate of Need (CON) Form</td>
<td>132</td>
</tr>
<tr>
<td></td>
<td>Exhibit 11 – Retrospective Review Request Form/Late Submission Request</td>
<td>134</td>
</tr>
<tr>
<td></td>
<td>Exhibit 12 – Children’s Residential Incident Report Form</td>
<td>136</td>
</tr>
<tr>
<td></td>
<td>Exhibit 13 – PRTF Leave of Absence Request Form</td>
<td>140</td>
</tr>
<tr>
<td></td>
<td>Exhibit 14 – Individual Chart Review Findings</td>
<td>141</td>
</tr>
<tr>
<td></td>
<td>Exhibit 14 A – Standards for Seclusion and Restraints</td>
<td>142</td>
</tr>
<tr>
<td></td>
<td>Exhibit 15 – Referral Screening for RPTC/FASD Waiver</td>
<td>150</td>
</tr>
<tr>
<td></td>
<td>Exhibit 16 – Intellectual/Developmental Disabled Waiver (IDD) Form link</td>
<td>152</td>
</tr>
</tbody>
</table>
Section 1–Care Management Program Overview

Organizational Overview

Qualis Health’s mission is to generate, apply, and disseminate knowledge to improve the quality of healthcare delivery and health outcomes. In executing Qualis Health’s mission and striving toward Qualis Health’s vision to be recognized for leadership, innovation, and excellence in improving the health of individuals and populations, Qualis Health is guided by the following set of core values:

- **Integrity and professionalism**—Qualis Health performs its work in an objective and unbiased manner and interacts with providers, Medicaid recipients, and program stakeholders in a respectful and professional manner. Qualis Health’s employees receive comprehensive training and continuing education to ensure they are highly skilled and knowledgeable, and Qualis Health monitors their own performance as Qualis Health strives to assure accuracy and high technical quality in the review services Qualis Health provides.

- **Collaboration**—Qualis Health promotes collaborative relationships, both internally and externally. Qualis Health values diversity of opinion, background, and perspectives among Qualis Health’s employees, clients, and collaborators. Qualis Health follows established processes and procedures that promote both collaboration and quality in the provision of review services, and Qualis Health collects and report on relevant review data that can be used to identify opportunities to improve the delivery of healthcare and patient outcomes.

- **Stewardship**—Qualis Health conducts work knowing that the primary objective of clients is to maximize healthcare value by assuring high quality and cost effectiveness. Qualis Health seeks to apply technical and professional innovations that assist us in serving as good stewards of healthcare resources.

Purpose of Care Management

The purpose of Qualis Health’s Care Management program for the State of Alaska, Department of Health and Social Services, is to provide utilization review and care coordination services. Qualis Health’s services help ensure appropriate medical services are provided to Alaska Medicaid recipients at a reasonable cost and in accordance with state and federal regulations, statutes, and policies. Qualis Health has been providing care management services for Alaska Medicaid for more than 20 years.
Definitions of Utilization Management and Care Coordination

Qualis Health’s care management programs use the following definitions for utilization management (UM) and care coordination (CC):

- **Utilization Management (UM)** — Evaluation of the medical necessity, appropriateness, and efficiency in the use of behavioral healthcare services under the provisions of the applicable health benefits plan; evaluations are also known as “utilization review.”

- **Care Coordination (CC)** — A service that assists Psychiatric Residential Treatment Facility providers to connect youth with special behavioral healthcare needs to services and resources within the State of Alaska, in a coordinated effort to maximize the potential outcome for the youth. Care coordination seeks to ensure optimal behavioral healthcare for youth.

Comparison between Utilization Management and Care Coordination

The table below compares UM and CC services.

<table>
<thead>
<tr>
<th>UM Services</th>
<th>CC Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Reactive (responding to requests for services provided for all level 5 and 6 psychiatric treatment)</td>
<td>• Proactive (contacting providers to discuss services and discharge placement needs of youth who are currently or have been receiving residential psychiatric treatment outside the State of Alaska).</td>
</tr>
<tr>
<td>• Focused on specific treatment/units of service</td>
<td>• Focused on treatment progress, length of stay, timely discharge, and promoting appropriate transition of care</td>
</tr>
<tr>
<td>• Targeted interaction with providers</td>
<td>• Active communication and facilitation with providers</td>
</tr>
<tr>
<td>• Goal is to determine medical necessity of requested services</td>
<td>• Goal is to support the timeliness and appropriateness of the discharge plan.</td>
</tr>
<tr>
<td>• Goal is to review the Plans of Care (POC) to ensure all the required elements are present</td>
<td>• Goal is to ensure provider knowledge of resources and services available to youth in Alaska to facilitate youth returning to Community.</td>
</tr>
</tbody>
</table>
History of Medicaid Utilization Review and the Quality Improvement Organization (QIO) Program in Alaska

Medicaid, an entitlement program created by the federal government, is the primary program financing basic health and long-term care services for low-income Alaskans. The Alaska Department of Health and Social Services maintains the Medicaid core services for the State of Alaska. The Alaska Medicaid program provides both mandatory prior authorization review and optional care coordination facilitation services. Eligibility for Medicaid services is determined by medical necessity and the eligibility category of the recipient.

The federal government has expended significant dollars in developing and supporting the utilization review of inpatient hospital care. This type of review has been required by law for Medicare and state Medicaid programs since 1972.

Alaska Department of Health and Social Services has historically contracted with a peer review organization (PRO)—now called a quality improvement organization (QIO)—to review selected inpatient admissions for medical necessity and appropriateness. A QIO is an organization that meets federal requirements for utilization and quality control review and holds a Medicare contract with the Centers for Medicare & Medicaid Services (CMS).

Qualis Health, the CMS Medicare QIO for the states of Washington and Idaho, has been an Alaska Medicaid contractor since 1985, performing utilization reviews and prior authorization services. Reviews are performed on admission, concurrent continued stay, or retrospective basis.

Qualis Health’s Background and Experience

Qualis Health is a private, nonprofit healthcare QIO with 32 years of experience in providing utilization review, case management, and quality improvement services. Qualis Health is based in Seattle, Washington. Qualis Health also has regional offices in Birmingham, Alabama; Anchorage, Alaska; Irvine, California; Boise, Idaho; and Lincoln, Nebraska.

Established in 1974, Qualis Health started out as a professional standards review organization (PSRO) for Medicare in the State of Washington. As a PSRO for the first legislated Medicare quality review program, Qualis Health conducted retrospective reviews of hospitalizations to determine whether they were medically necessary. Qualis Health’s Medicare review activities expanded to Alaska in 1984 and to Idaho in 1986.

Qualis Health began offering utilization review services to the Medicaid population in Washington State in 1975. In 1985, Qualis Health was awarded the utilization review contract with Alaska Medicaid. Qualis Health currently serves as a Medicaid contractor in the states of Alabama, Alaska, Idaho, Nebraska and Washington.
Qualis Health started offering utilization review services to private industry in 1979. Qualis Health has been a presence in the private-sector market in Alaska since 1984, when the first care management client was added.

Today, Qualis Health continues to serve all three sectors—Medicare, Medicaid, and private industry. Because Qualis Health is a third-party that is not affiliated with any provider organizations nor with the insurance industry, the organization is able to objectively evaluate the medical necessity and quality of healthcare provided to the clients served.

For Medicaid and private-sector customers, Qualis Health offers a range of programs designed to control healthcare costs while improving the quality of healthcare delivered to consumers. These programs include traditional utilization management services, including psychiatric review services, such as pre-service admissions, concurrent, retrospective chart, and retrospective telephonic reviews; coding validation; and medical consultation.

In the late 1980s, Qualis Health launched nurse case management services for Medicaid and the private-sector. Qualis Health’s Medicaid case managers work with patients who have catastrophic illnesses and injuries. They also work with these patients’ families, providers, physicians, and Alaska Medicaid to promote the right care at the right time and in the right setting. Qualis Health’s case management program is nationally recognized for excellence and superior results.

Qualis Health’s offices in Seattle and Anchorage have full accreditation from URAC for their Health Utilization Management and Case Management programs, demonstrating compliance with the highest industry standards for pre-service, concurrent, retrospective reviews, and case management services. The URAC accreditation for Health Utilization Management assures providers, physicians, and patients that the review processes Qualis Health follows are fair and impartial, and that URAC standards for review timeframes, reviewer qualifications, appeal procedures, and confidentiality of information are met, thus resulting in high quality services and objective review decisions.

**Qualis Health’s Professional Expertise**

More than 200 Qualis Health professionals, including department leaders, medical directors, clinical reviewers, case managers, quality improvement specialists, biostatisticians, communications specialists, information technology specialists, and administrative support staff, work hard to serve the needs of various clients. In addition, Qualis Health has an extensive network of more than 300 physicians who serve as consultants to the organization and provide collaborative clinical peer review services. The network includes physicians representing all 24 of the specialty boards recognized by the American Board of Medical Specialties as well as dentists, chiropractors, naturopaths, and other complementary and alternative medicine practitioners.
Qualis Health’s employees have well-established relationships with facilities and health plans, allowing for effective collaboration in healthcare evaluation and improvement. As part of a continuing effort to work in cooperation with the community, Qualis Health is actively pursuing new provider and physician partnerships.
Section 2—Communications with Qualis Health

Introduction
Qualis Health’s review process is flexible and is set up to handle review requests received via the internet, telephone, fax, and mail. Qualis Health offers secure web-based review capability using the internet to create a two-way link that can be used to exchange care management data, thus facilitating real-time, online approvals. Qualis Health also maintains toll-free, dedicated phone and fax numbers for Medicaid providers to use to request review services.

Qualis Health’s regular business hours are 8:00 am to 5:00 pm Alaska Time, Monday through Friday; excluding scheduled holidays (see Appendix G). Qualis Health staff members are available to handle telephonic review requests received from 8:00 am to 5:00 pm on regular business days.

Contacting Qualis Health via the Internet
Providers submitting web-based review requests will need to obtain a User ID and password to log in and access the web-based review system. Trained providers can log in and directly enter information for the admission (i.e. initial review; continued stay/concurrent review, or retrospective review request). For more information, or to learn how to submit web-based review submissions, please visit http://www.qualishealth.org/healthcare-professionals/iexchange/provider-resources or contact Qualis Health at (877) 200-9046 or (907) 550-7620.

Contacting Qualis Health by Mail
Requests for prior authorization certification for admissions and concurrent (continued stay) treatment services, and requests for retrospective reviews may be submitted on the web via the web-based review system (preferred method), fax, phone, or mail.
Requests submitted by mail to Qualis Health’s Anchorage office should be sent to:
Qualis Health
Attn: Utilization Review Department
PO Box 243609
Anchorage, AK  99524-3609

Contacting Qualis Health by Phone
To reach Qualis Health’s telephonic review services, call (877) 200-9046 or (907) 550-7620. In the event your call is after business hours, or an attendant is not available, your call will be directed to Qualis Health’s 24-hour voice mail system.

During regular business hours, Qualis Health monitors the voice mail system checking messages and ensuring callbacks are handled in a timely manner. Messages left after 5:00 pm, on weekends or holidays are retrieved on the next business day and calls are returned by 12:00 pm Alaska Time.
Contacting Qualis Health by Fax

Providers may fax review requests to Qualis Health at (877) 200-9047 (The preferred method of submitting a review is electronically via the Web-based review system). Faxed submissions must be legible and include all required demographic and clinical information that is found on the questionnaire forms (see Appendix H, Exhibits 7 and 8). Completed questionnaires can be faxed to (877) 200-9047. A fax cover sheet with a confidentiality disclaimer is highly recommended.

The following are suggestions in submitting your fax

- No bold font
- No italics
- No underlining
- No all caps
- If possible no special characters, i.e., * or = (quotes are OK)
- Sans serif fonts
- Normal spacing (i.e., looks like a normal document not written in a column that takes up a horizontal third of the page)
- Typed is preferred over handwritten

Please answer all questions as detailed as possible. If the answer to a question is unknown, please write in that the information is unknown.

Qualis Health’s Communication of Review Determinations

Our secure web-based prior authorization review system offers immediate feedback from Qualis Health concerning the request for review—pended awaiting review, certified, pended for further review, or additional information required. For requests submitted through web-based review system, an internet-based notification of the final determination and certification number is posted for the provider. Providers using the web-based system for their request submissions will not need to wait for a phone call or for the transmission of a fax or mailed document to learn of the final determination.

For requests that are not submitted through the web-based review system, Qualis Health will communicate the determination and the Prior Authorization number (i.e., the certification number) to the provider via phone or fax. Qualis Health will send letter notifications for all non-certified reviews (adverse decisions) and appeal reviews within one business day after the determination is given. These notifications will be sent to the recipient, State of Alaska Division of Behavioral Health, the attending physician, and the facility within one business day of the date the decision is made.
Section 3—Compliance with URAC’s Utilization Review Standards

Frequently Asked Questions about Utilization Review Decisions

Qualis Health complies with URAC health utilization management (UM) standards when performing utilization reviews (UR). These standards provide a process for conducting a utilization review that is clinically sound and respects recipients’ and providers’ rights. URAC standards ensure that only appropriately trained, qualified clinical personnel conduct and oversee the utilization review process; that a reasonable and timely appeals process is in place; and that medical decisions are based on valid clinical criteria. Some frequently asked questions about the process of making utilization review decisions are answered in the following section.

1. **Who makes the utilization review decision?**

   URAC (formerly known as Utilization Review Accreditation Committee) Health Utilization Management Accreditation requires Qualis Health to use a three-step process to determine if a proposed medical treatment or service is medically necessary:

   - **Initial Clinical Review**—A licensed mental health professional conducts this first critical step of the review process using Alaska State Medicaid Program Medical Necessity Criteria and review protocols. If the clinical information provided does not meet current Alaska State Medicaid Program Medical Necessity Criteria and review protocols for inpatient services, or if, in the clinical reviewer’s judgment, a physician should review the case, it is referred for peer clinical review.

   - **Peer Clinical Review**—A licensed physician qualified to render a clinical opinion about the proposed treatment or service performs a peer clinical review by reviewing all available information and then making a decision about certifying care. When a potential non-certification decision is made, the attending physician has the opportunity to discuss the review and proposed care with a Qualis Health physician, prior to final determination. If the result of that conversation is not satisfactory for the attending physician, an appeal process is available.

   - **Appeal Process**—The provider or recipient may initiate an appeal when the final determination is unsatisfactory. The appeal review is performed by a qualified, Board-certified physician within the same specialty but not involved in the initial review decision. The process may be expedited, if requested (See Section 13).
2. **Why is a peer-to-peer conversation important?**
   The goal of the peer-to-peer conversation is to allow the treating provider an opportunity to discuss a UM determination before the non-certification decision is finalized. It is hoped that some differing opinions can be resolved without the need for a formal appeal process.

3. **What are the timeframes for peer-to-peer conversation?**
   Qualis Health offers a peer to peer conversation for potential adverse decisions (non-certifications), within URAC timeframes, when the Qualis Health's physician reviewer is unable to authorize a review based on the information provided. A Qualis Health representative will notify the facility utilization review staff of the potential non-certification and offer the option of a peer-to-peer discussion. If a peer-to-peer conversation is desired by the attending physician, it is necessary to call Qualis Health and complete the peer review by 5:00 pm Alaska Time. If the attending physician is not able to call within the stated time frame, and an extension is desired, the facility UM staff may request an extension from Qualis Health within the timeframes given in the offer for the peer review.

   If the case is non-certified after the peer-to-peer conversation, the stay will be non-certified retroactively to the day medical necessity was determined as not met. If the attending physician does not call within the timeframes given in the offer for the peer review, and other arrangements have not been made by the facility within the allotted timeframes, the case will be non-certified.

   The physician may call Qualis Health at (877) 200-9046 or (907) 550-7620 to make arrangements for the peer review conversation.

4. **What recourse is there when we disagree with a Qualis Health determination?**
   Qualis Health’s written notice of non-certification decision contains instructions of initiating an appeal of the non-certification. Please see Section 16 of this manual for details on the appeal process. If, after an appeal, you still disagree with the Qualis Health determination, your appeal letter will outline the steps that must be taken to request a hearing with the State of Alaska Behavioral Health.

5. **What is considered an urgent review?**
   An urgent review is performed when a case involves urgent care and the application of the time periods for making non-urgent care determinations (a) could seriously jeopardize the life or health of the recipient or the ability of the recipient to regain maximum function, or (b) in the opinion of a psychiatrist with knowledge of the recipient’s behavioral health condition would subject the recipient to severe risk that cannot be adequately managed without 24/7 inpatient psychiatric care.
6. How are review timelines determined?
The number of days allotted for each type of review for this Alaska Medicaid program is based on URAC Utilization Review Standards and on Alaska State Medicaid Program Medical Necessity Criteria and review protocols. Review timelines differ for urgent reviews and non-urgent reviews. If the review requires additional information, additional time is allotted. Tables of review timeliness are shown in following pages under questions 7 and 8 of this section.

When additional information is required to complete the review, the timeline is adjusted accordingly. When this occurs, it is the provider’s responsibility to provide Qualis Health the additional information requested to complete the review. If the information is not received within five business days, the review will be completed with the information already received, putting the case at risk of a potential non-certification.

In rare instances, Qualis Health may choose to exercise a single extension of up to 15 calendar days on non-urgent reviews for both acute and Psychiatric Residential Treatment Facilities (PRTF) care when there are reasons beyond the control of the organization that require an extension. When this occurs, Qualis Health must inform the provider (by the date the notice the initial decision would normally be due) of the circumstances that require the extension and the date by which it expects to reach a decision. This single extension is only allowed on non-urgent reviews; it is not allowed for urgent care reviews.
7. **What are the timeframes for completion of urgent reviews?**
When all necessary clinical information has been received and no referral for clinical peer review is needed, the timeframes for completion of urgent reviews are as follows:

<table>
<thead>
<tr>
<th>Review Type for Prior Authorization—Urgent</th>
<th>Timeframes for Completion from Date of Notification to Qualis Health</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prior Authorization Admission (Pre-service) Review—Urgent</td>
<td>Determination and notification are made within 72 hours of receipt of request.</td>
</tr>
<tr>
<td>Prior Authorization Concurrent (Continued Stay) Review—Urgent</td>
<td>Determination and notification are made within 24 hours of the request provided the request is made at least 24 hours prior to the expiration of the certified period of time. If the request is not made at least 24 hours prior to the expiration of the certified period, the determination and notification is made within 72 hours after the receipt of the request for review.</td>
</tr>
</tbody>
</table>

When additional information is required to complete the review, the timeline is adjusted accordingly.
8. What are the timeframes for completion of non-urgent reviews?

When all necessary clinical information has been received and no referral for clinical peer review is needed, the timeframes for completion of reviews are as follows:

<table>
<thead>
<tr>
<th>Review Type for Non-Urgent</th>
<th>Timeframes for Completion from Date of Notification to Qualis Health</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prior Authorization Admission (Pre-service) Review—Non-Urgent</td>
<td>Determination and notification are made within five calendar days of receipt of request.</td>
</tr>
<tr>
<td>Prior Authorization Continued Stay (Concurrent) Review—Non-Urgent</td>
<td>Determination and notification are made within four calendar days of receipt of request.</td>
</tr>
<tr>
<td>Retrospective Review</td>
<td>30 calendar days</td>
</tr>
</tbody>
</table>

When additional information is required to complete the review, the timeline is adjusted accordingly. When this occurs, Qualis Health must inform the provider (by the date on which notice of the initial decision would normally be due) of the additional information required to complete the review.
This page intentionally left blank
Section 4–HIPAA

Business Associate Standing
Qualis Health provides care management services on behalf of its clients and is considered a “Business Associate” of these clients under the Health Insurance Portability and Accountability Act (HIPAA) “Administrative Simplification” regulations governing patient health information. These regulations include the Standards for Privacy of Individually Identifiable Health Information (“Privacy Rule”) and the Security Standard (“Security Rule”).

National Provider Identification
CarePlanner is currently accommodating Alaska Medicaid client and provider identification numbers in compliance with HIPAA. Covered entities under HIPAA are required to use National Provider Identifiers (NPIs) in standard transactions. Providers are responsible for obtaining their NPI from the National Provider System (NPS). The NPS is now contained within the National Plan and Provider Enumeration System (NPPES). This notice was published on May 30, 2007, in the Federal Register/Vol.72, No. 103, Pages 30011–30014, establishes the data that are available from the NPPES.
Section 5–Provider Billing Concerns

Claim Discrepancies

Providers are encouraged to thoroughly examine discrepancies in claims for accuracy prior to contacting Qualis Health. Xerox Business Services, LLC, (formerly ACS) the fiscal agent for the Alaska Department of Health and Social Services, has a provider inquiry telephone line for this purpose. Providers may contact the fiscal agent at (800) 770-5650 (toll-free in Alaska) or (907) 644-6800.

Providers may call Qualis Health to investigate a discrepancy that has caused or has the potential to cause a claim to fail. Some examples of such discrepancies are as follows:

- The date(s) on the Qualis Health review does not match the certified admission or discharge date on the claim.
- Admitting or principal diagnosis codes on the Qualis Health review do not match the code(s) on the claim.
- Incorrect recipient Medicaid Identification number indicated on the Qualis Health review.
- The Prior Authorization number used for billing does not match the Prior Authorization number on the Qualis Health review (Note: Prior Authorization Number must be noted on the claim).

Contingency for Payment

Qualis Health certification indicates only that the admission is medically necessary. This certification (approval) does not guarantee payment for services rendered. Payment is contingent upon eligibility and compliance with the rules and regulations that govern Medical Assistance in Alaska.
Section 6–Eligibility and Review Limits

Overview
The Alaska Medicaid Mental Health review program has been established to provide treatment providers a way to prior authorize medical necessity before services are rendered. The Federal and State Medicaid program was established as a prior authorization system and is regulated by Federal and State Codes.

There are times when Alaska Medicaid recipients could be covered under another insurance or program, and the requirements for review may vary. The following examples will assist you in determining which review requirements will apply.

Review Scope
Admission and continued stay reviews will be required for acute inpatient psychiatric services provided through specialized psychiatric hospitals, medical surgical hospitals, and Psychiatric Residential Treatment Facility services.

Under Age 21 Acute Inpatient Psychiatric Treatment Services and Residential Psychiatric Treatment Services
Acute inpatient psychiatric services and residential psychiatric treatment services are for those individuals under the age of 21 who are receiving necessary psychiatric services provided within an acute care hospital including an Institute for Mental Disease (IMD) or residential psychiatric treatment services. These services are under the direction of a physician designed to achieve the recipient's discharge to a lower level of care at the earliest possible time.

Ages 21 - 64 Acute Inpatient Psychiatric Treatment Services
Acute inpatient psychiatric services provided within a medical surgical hospital other than an IMD (as defined in 42 CFR 456.601) for recipients between the ages of 21 and 64.

Age 65 and Older Acute Inpatient Psychiatric Treatment Services
Acute inpatient psychiatric services provided to a recipient age 65 or older by an inpatient program in a psychiatric facility, an IMD, or a medical surgical hospital.
Review Limits

All inpatient psychiatric (acute care) and inpatient residential psychiatric services (PRTF care) must be prior authorized in order to be reimbursed by Alaska’s Medicaid Program.

There are limits to the scope of reviews that Qualis Health is authorized to perform in the Alaska State Medicaid Program:

1. Qualis Health does not perform reviews for clients who are 21 to 64 years of age and are admitted to a free standing inpatient psychiatric facility. Alaska Medicaid does not cover admissions in these facilities for this age group.
2. Qualis Health does not perform reviews for CAMA Medicaid recipients. Medical Programs are established for CAMA Medicaid recipients under the Chronic and Acute Medical Assistance Program.
3. No inpatient psychiatric reviews are authorized for substance abuse or substance dependency treatment if those are the primary disorders being diagnosed and/or treated.
4. If the primary coverage is Medicare Part A and secondary coverage is Medicaid, no Medicaid review is required unless inpatient Medicare benefits have been exhausted or services are not covered by Medicare, in which case Qualis Health will proceed with a review for Medicaid.
5. No reviews are authorized for recipients over the age of 21 in a PRTF, unless the recipient is already receiving treatment in the treating facility when the recipient turns 21 years old. When this is the case, coverage is available until the recipient’s 22nd birthday.
Section 7–Utilization Review Methods of Submission

Submission Methods
Qualis Health will accept review requests submitted by providers over the internet (internet is the preferred method of review), or via telephone, fax, or mail. See the updated questionnaire within the provider manual at http://www.qualishealth.org/healthcare-professionals/iexchange/provider-resources You will need to answer these review questions and include demographics in your submission (See Appendix I, Exhibits 7 and 8).

<table>
<thead>
<tr>
<th>Submission Mode</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internet</td>
<td><strong>Internet is the preferred method of review.</strong> Providers log in to web-based review system and directly enter information for prior authorization for admission, concurrent (continued stay), or retrospective review request.</td>
</tr>
<tr>
<td>Fax</td>
<td>Providers may request prior authorization for admission, concurrent (continued stay), or retrospective reviews by faxing the request to Qualis Health’s toll free fax number: (877) 200-9047. Include a cover sheet regarding confidentiality, and your admission information from the medical record.</td>
</tr>
<tr>
<td>Phone</td>
<td>Providers may request prior authorization for admission, concurrent (continued stay), or retrospective reviews by calling Qualis Health’s toll-free number: (877) 200-9046 or (907) 550-7620. Providers who call after hours or on holidays and week-ends will be prompted to leave a message or call back on the next business day.</td>
</tr>
<tr>
<td>Mail</td>
<td>Requests can be mailed to Qualis Health’s Anchorage office: Qualis Health Attn: Utilization Review Department PO Box 243609 Anchorage, AK 99524-3609</td>
</tr>
</tbody>
</table>
Provider Responsibility for Eligibility Verification

Providers are responsible to verify recipient eligibility for prior authorization of admission, continued stay, or retrospective review. The following information is available to assist the provider in the eligibility verification process.

ID Cards and Coupons—The Department of Health and Social Services, Public Assistance, produces and distributes medical assistance identification cards and medical coupons. These verify that a recipient is eligible to receive services from the Alaska Department of Health and Social Services in a given month. Cards and coupons contain the eligible recipient’s name, identification number, date of birth, eligibility month and year, and eligibility code. Please note that the Resource Code on the coupon or ID card will indicate if the recipient has a payment source in addition to Medicaid. Refer to your Provider’s billing manual from Xerox Business Services, LLC., (formerly ACS), the State’s fiscal agent, for further clarification.

Eligibility Verification System (EVS)—The State’s fiscal agent (Xerox) provides and maintains the Eligibility Verification System (EVS) to help providers determine the eligibility of the recipients. Each enrolled provider receives a unique EVS PIN number and instructions for using EVS. A provider with a touch-tone telephone can use the EVS identification number to verify recipient eligibility 24 hours a day, seven days a week. The EVS may be accessed by calling (800) 884-3223. Providers may receive eligibility verification by contacting Xerox, at (800) 770-5650 (toll-free in Alaska) or (907) 644-6800.
Section 8—Processes for Utilization Review Submissions

Purpose
Qualis Health has adopted a browser-based product that uses the internet to create a two-way link between healthcare providers and Qualis Health Utilization Management/Mental Health Review to facilitate the prior authorization review process. The web-based review system allows providers to submit utilization review requests to Qualis Health using a secure internet connection and is available to the provider 24 hours a day, seven days a week. Reviews submitted during non-office hours will be processed as received on the next business day (See Appendix G).

Responsibility
Providers are responsible for submitting all review requests as required by Alaska State Medicaid Program Medical Necessity Criteria and review protocols. Providers are responsible to submit all reviews to Qualis Health in a timely manner as required by Alaska Department of Health and Social Services. Providers are also responsible for submitting reviews to Qualis Health for recipients who are covered by other Third Party Liability (TPL) resources for admission and continued stay if utilizing Alaska Medicaid as a form of reimbursement.

Requirements
Use of the web-based review system requires internet access and establishment of provider logon information for each user. Training is conducted by Qualis Health via WebEx sessions. If you are interested in receiving training, please see Qualis Health’s website at: http://www.qualishealth.org/healthcare-professionals/iexchange/provider-resources. You may also contact Qualis Health’s Team by calling (800) 949-7536 x 2800 or by email to iexchangeinfo@qualishealth.org.

Process and Procedures
Submission—If you have already received web-based review submission training from Qualis Health, submit your review requests via the internet at the following web address: https://iEXCHANGE.medecision.com/IEApp/Logon.jsp?MCOCobranding=QUA1

Operational hours for Qualis Health Alaska Medicaid Behavioral Health reviews are: 8:00 am to 5:00 pm Alaska Standard Time Monday through Friday except for designated holidays (See Appendix F)
The provider may submit the prior authorization review request to Qualis Health via **web-based review system (preferred method)**, or by phone, fax, or mail (See Section 7).

<table>
<thead>
<tr>
<th>How to Reach Qualis Health</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>iEXCHANGE</strong></td>
</tr>
<tr>
<td><strong>Phone</strong></td>
</tr>
<tr>
<td><strong>Fax</strong></td>
</tr>
</tbody>
</table>
| **Mail**                  | Qualis Health  
Attn: Utilization Review Department  
PO Box 243609  
Anchorage, AK 99524-3609 |

Calls to the above listed phone number will connect to a Qualis Health representative. In the event that no one is immediately available, callers may leave a message in the confidential voice mail system. Instructions are clearly stated for accessing the electronic voice mailboxes, which are monitored so that calls may be returned in a timely and efficient manner.

**Required Review Documentation**—Provider will complete the questionnaire for admission or continued stay reviews. Use the most recent questionnaire (either the admissions or continued stay questionnaire) to prepare for the questions that will be asked in the review process. Please see Appendix H, Exhibit 7 for the **Admission Review Questionnaire** and Appendix H, Exhibit 8 for the **Continued Stay Review Questionnaire**. Both questionnaires are available online at the Qualis Health website, [http://www.qualishealth.org/healthcare-professionals/iexchange/provider-resources](http://www.qualishealth.org/healthcare-professionals/iexchange/provider-resources)

Additional information listed in Sections 9 and 10 and Appendices E and H of this manual are also needed for each review/request.

**Document the following information in the Communication field:**

- contact name and phone number of the person providing the review information
- type of review being submitted: (e.g., Admission review, Continued Stay review, or Retrospective review)
- actual admit date and discharge date
- verification of the recipient’s Medicaid eligibility
Medical Necessity Screening—Once the information for the specific review period has been received, Qualis Health’s clinical reviewer will assess the medical information using Alaska State Medicaid Program Medical Necessity Criteria and review protocols to determine whether the condition of the recipient meets the Severity of Illness and Intensity of Service requirements for the level of care and the type and number of days of services requested. If the Alaska State Medicaid Program Medical Necessity Criteria and review protocols are met, the Qualis Health clinical reviewer will issue a Prior Authorization number and the review will be certified (See Appendix H, Exhibit 1). For additional information on medical necessity information required for determinations, see Appendices B & C.

Second-Level Peer Review—Cases that clinical reviewers have determined do not meet criteria are referred to a Qualis Health physician reviewer (medical director or physician consultant). The physician reviewer will review the clinical information and either certify the admission or issue a potential non-certification. In the event of a potential non-certification, the attending physician will be given an opportunity to discuss the review with the Qualis Health physician reviewer. If a peer-to-peer conversation is requested, Qualis Health’s physician reviewer and the recipient’s attending physician will discuss the treatment issues, current clinical information, as well as appropriate alternatives. Following the discussion, Qualis Health will either certify or non-certify the medical review.

Non-certifications—If the Qualis Health physician reviewer non-certifies the medical review, a Qualis Health representative will notify the appropriate facility by web-based review system or by fax. If the peer review offer is not accepted or completed by the timeframe given in the offer, Qualis Health will send the non-certification letter within one business day to the following parties: the guardian or parents of recipient (if minor), recipient (if an adult), attending physician, facility, and State of Alaska Behavioral Health.

If the attending physician is not able to call within the stated timeframe and an extension is desired, the provider must notify Qualis Health of their request for an extension within the timeframe given in the peer review offer.

The non-certification letters (adverse determinations) will contain justification for the non-certification and an explanation of the right to request an appeal of Qualis Health’s initial non-certification determination (See Appendix H, Exhibits 3 and 4).

The Alaska Department of Health and Social Services will not reimburse providers for services that have been non-certified by Qualis Health, with the exception of non-certifications that are reversed as a result of an appeal review performed by Qualis Health or a second level provider appeal or recipient Fair Hearing by the State.
Questionnaires—Questionnaires and checklists within the web-based review system are associated with specific behavioral health medical necessity review requirements. Use the updated questionnaires for your review process (See Appendix H, Exhibits 7 and 8). Both questionnaires are also available online via http://www.qualishealth.org/healthcare-professionals/iexchange/provider-resources. Questionnaire templates within web-based system provide many selection drop-down boxes that save time in the review process.


Process and Procedures for Urgent Inpatient Admissions

When an urgent admission is necessary, Providers are required to notify Qualis Health of their request for urgent admission reviews within one business day. This can be accomplished by web-based review system (preferred method), or by calling/faxing the toll-free number during normal business hours. A Qualis Health representative will review the detailed message that can be left on the electronic voice mail system. In order for Qualis Health to prioritize callbacks appropriately, the pertinent information must be given when leaving a message. This includes:

- Your name
- Your telephone number, including area code, beeper number, or extension
- Physician’s full name
- Recipient name (with the correct spelling)
- Recipient ID number (Medicaid)
- Recipient date of birth
- Facility name
- Date and time of admission
- Five Axis DSM-IV TR (or current version) diagnoses

Leaving the information in the electronic voice mail system does not complete the review process nor does it automatically certify the review. All other requirements of the review process must also be completed. Qualis Health will return your call and assist you with completing the review process.

The care and treatment of the recipient should never be delayed, particularly in urgent situations, in order to obtain Qualis Health certification.
Procedures for Admissions or Continued Stay (Concurrent) Reviews—Due on Weekends and Holidays

In those instances where the concurrent review date falls on a weekend or holiday, the following procedure is to be followed:

If the concurrent review is due on Saturday, Sunday or a holiday, the concurrent review will take place on the following Qualis Health business day. Non-certification can be retrospective to the first day the recipient was not meeting the level of care criteria or protocols.

Late Submission Review Requests

If the provider submits a request for a review within 30 days of the next review due date, the review is handled as any other concurrent (continued stay) review.

Requests for Admissions that are not made within 30 days of admission and before the recipient discharged from the facility, or Continued Stay Reviews that are not made within 30 days of the end certification date are late submission reviews. Late submission reviews require that the fully completed Late Submission/Retrospective Review Form (See Appendix H, Example Exhibit 11). This form must be sent to Qualis Health prior to submitting the clinical information for review. On this request from the provider it must include the reasons for the extenuating circumstances causing the delay in submitting the review.

The review may proceed once the late submission/retro review request form (Appendix H, Example Exhibit 11) is received by Qualis Health giving the reasons for the late submission.

Chart Requests

Qualis Health may request the chart of a recipient to verify quality of care or accuracy of the information provided. The chart request may be made telephonically, through the web-based review system, or in writing.
This page is intentionally blank.
Section 9 – Prior Authorization for Admissions

Purpose
The purpose of a prior authorization review is to determine if the inpatient services are medically necessary and appropriate. The Alaska Medicaid Behavioral Health review program has been established to provide treatment providers a way to prior authorize before services are rendered. The Federal and State Medicaid program was established as a prior authorization system and is regulated by Federal and State codes. Providers are required to submit reviews in a timely manner.

Responsibility
Providers are responsible for obtaining the prior authorization review from Qualis Health. Qualis Health will accept information for prior authorization review from receiving providers. The clinical reviewer will receive all of the relevant clinical information to satisfy Alaska State Medicaid Program Medical Necessity Criteria and review protocols before the prior authorization review will be certified.

Requirements
All inpatient psychiatric (acute care) and inpatient Psychiatric Residential Treatment Facility care must be certified by Qualis Health in order to be reimbursed by Alaska Department of Health and Social Services.

The psychiatric evaluation must document that the recipient has a DSM (current version) primary diagnosis of a mental health disorder classified as an Axis I Diagnosis between 290-316—excluding substance abuse disorders. Treatment for substance abuse disorders must be secondary to the treatment for the mental health disorder in order to seek authorization for services.

The provider may submit the prior authorization review request to Qualis Health via web-based review system (preferred method), phone, fax, or mail (See Sections 7 and 8).
Non-State Custody Youth Processes and Procedures for Admissions to Out-of-State Psychiatric Residential Treatment Facilities (Both Urgent and Non-Urgent)

There is a specific process providers must use in order to receive Prior Authorization from Qualis Health for an admission to an out-of-state PRTF for a recipient. When the Acute Care Hospital, PRTF, or community provider recommend placement for a non-State custody youth, aged 21 or under, to an out-of-state PRTF, the following steps must be completed for approval:

- The referring agency must contact the Alaska Behavioral Health Utilization Review team and provide required clinical and discharge planning information (See Appendix I, Exhibit 9 for the referral form).
- The State of Alaska Behavioral Health Utilization Review team will research potential and available in-state resources that could meet the recipient’s treatment needs.
- The State of Alaska Behavioral Health Utilization Review team will send a fax to the referring agency and Qualis Health indicating Qualis Health is to review for medical necessity.
- The referring agency may then proceed with plans to discharge the recipient to the out-of-state PRTF. The out-of-state PRTF will submit the prior authorization admission review request and required clinical information to Qualis Health to review for medical necessity. The State of Alaska Behavioral Health’s approval notification to Qualis Health is the approval to review for medical necessity.

Information Needed for the Review—Qualis Health representatives will collect all information required for clinical reviews. Please see Appendix H, Exhibit 7 of this manual for the Admission Review Questionnaire and Appendix H, Exhibit 8 of this manual for the Continued Stay Review Questionnaire. Both questionnaires are located on the Qualis Health website at http://www.qualishealth.org/healthcare-professionals/iexchange/provider-resources

- Recipient name
- Recipient birth date and age
- Complete recipient address
- Sex of recipient
- Recipient Medicaid ID number
- Admitting diagnosis (all five digits) and all five DSM-IV axes
- Physician name, address, and phone number
- Physician Medicaid provider number
- Facility name, address and phone number
- Facility Medicaid provider number
- Type of review requested
- Verification of Certificate Of Need (CON) [see sample form in Exhibit 10]
- Source of referral
• Primary and secondary reason for treatment
• Prognosis
• Ethnicity
• Admit date
• Reason for secure care
• Adopted or biological parents
• Name of guardian parent, adoptive parent, or social worker
• Custody status
• Region of home community
• Living situation
• Previous treatment history
• Level of cognitive functioning
• Individualized Education Plan
• Level of intellectual function
• Trauma history
• Date of last Mental Status Exam (MSE)
• Certification of person who performed or supervised MSE
• Current outpatient provider(s) prior to admit
• Risk factors
• Sex offender
• GAF
• Co-Morbidity
• Plan of Care to include treatment proposed/provided
• Verification of Plan of Care being formulated in consultation with recipient (and guardian when a minor)
• Diagnostic evaluation
• Justification for the hospitalization and precipitating event
• Anticipated discharge date
• Brief psychosocial history
• Medication history
• Safety precautions in place
• Discharge planning details to include placement (provider)

Timeframes for submission of Prior Authorization Reviews
• Acute care admissions – on the day of admission or one day before.
• In-State PRTF admissions – on the day of admission, or up to two business days before the anticipated admission. If transportation needs arise, reviews may be submitted no earlier than five business days prior to the anticipated admission date.
• Out-of-State PRTF admissions – Up to five business days prior to the anticipated calendar date.
Timeframes for Pended Reviews
When a review has been submitted and is pended awaiting clinical/required information, Qualis Health will notify the provider via web-based review system and/or phone. The provider has no more than five business days to submit the requested information before Qualis Health will proceed with the information already submitted. This may result in an adverse determination due to lack of documentation to support the certification of the review.

Medical Necessity Review Process
During the prior authorization review, Qualis Health’s clinical reviewer will review the medical record and evaluate the medical necessity for admission at the requested level of care. See Appendices B, C and H for more information regarding requirements for medical necessity reviews. If the Alaska State Medicaid Program Medical Necessity Criteria and review protocols are met, the Qualis Health clinical reviewer will issue a Prior Authorization number and the review will be certified (authorized for payment). Please refer to the process and procedures outlined in Section 8 of this manual.

Transfer (Admission) Reviews
Medical transfers require a separate admission review to be completed from the receiving provider and a discharge from the referring facility. This includes inter-facility transfers, such as discharge from one level of care to another as well as discharges to different facilities. Thus, each facility will have a unique Prior Authorization number to use on their claim form. The following special considerations apply:

- If the recipient is not admitted to the transferring facility as an inpatient, the receiving facility does not need to obtain pre-certification, as this is not considered a transfer for review purposes.
- All transfers from one inpatient setting to another require a prior authorization admission review with the receiving facility. Transfers will be evaluated to ensure that the recipient continues to meet severity of illness and intensity of service criteria for that level of care.

Both emergency and non-emergency transfers of service require a discharge followed by a new admission review and prior authorization number. Before authorization, a physician, or other qualified healthcare worker must medically evaluate the recipient. Some of the situations that require transfer of a recipient are:

- Transferring treatment from a medical facility to an acute psychiatric facility (e.g., moving a recipient after hospitalization for a medical procedure that leads to diagnosis of a psychiatric disorder of such a serious nature as to require acute inpatient psychiatric services).
- Transferring from a medical service to a psychiatric service within the same facility (e.g., moving a recipient to a psychiatric service after hospitalization for self-inflicted injuries).
- Transferring from one level of care to another (e.g., moving a recipient from acute to PRTF care) requires a discharge from the one level of care and a new PA Review before admission to the other level of care.
- Transferring from one facility to another facility with the same level of care, i.e., to access services that are:
  - More specialized
  - More or less secure or structured, or
  - Closer to home to receive services which cannot be delivered at a less restrictive level of care in the state of Alaska

**Eligibility Established During an Acute Inpatient Admission**
When eligibility is established after admission to a facility, the facility will submit clinical information for the entire length of stay in the initial review following the procedures noted below. The submission of the review from the facility needs to be timely—i.e. within a few days of notification that recipient is Medicaid eligible. The date of eligibility notification must be documented in the review notes and the review is to be performed in the following manner:

- Perform the admissions/initial review in the web-based review system (preferred method)—use the Admissions Review Questionnaire, and include the Plan of Care Review (see Plan of Care Questions in the Continued Stay Review Questionnaire); furthermore,
- As required in the Qualis Health questionnaire, information for the master plan of care review must be submitted in clinical findings as opposed to entering it into the Continued Stay questionnaire; and
- Information for the continued stay must be submitted in seven day increments for acute in-patient treatment, and one month increments for residential psychiatric treatment, answering the questions in the Continued Stay Review Questionnaire, to the current date.

Partial approvals may occur within the timeframe of more lengthy reviews.
Section 10–Continued Stay (Concurrent) Utilization Reviews

Purpose
The purpose of the continued stay review process is to evaluate whether the patient requires an extension of inpatient services and meets medical necessity. During the continued stay review, the Qualis Health clinical reviewer evaluates what services have already been provided to the patient and the plan for continuing in-patient treatment. Providers should submit reviews in a timely manner.

A continued stay (concurrent) review takes place during the time in which a recipient is receiving inpatient treatment at the acute care or residential care facility. If the first review was submitted before the recipient discharged from the facility, the subsequent reviews will be considered continued stay reviews through the patient’s discharge date.

Responsibility
Providers are responsible for obtaining certification for continued stays from Qualis Health. The clinical reviewer will receive all of the appropriate detailed clinical information for the requested review period to satisfy Alaska State Medicaid Program Medical Necessity Criteria and review protocols before the continued stay review will be certified. Provider is responsible to assure that the information submitted in the review is accurate for the time frame of the review and documented in medical record of chart.

Requirements
The primary diagnosis and focus of treatment must be one of the regulated codes in the current DSM (DSM-IV-TR), range 290 - 316, excluding any form of substance abuse disorders. Diagnosis and/or treatment for a substance abuse disorder must be secondary to diagnosis and/or treatment for the mental health disorder in order to seek authorization for services.

Process and Procedures
The provider will submit the continued stay review request to Qualis Health via web-based system (preferred method), phone, fax, or mail. Please refer to Section 7 and 8 of this manual for methods of and processes for submission. Refer to Appendix H, Exhibit 8 for a copy of the Continued Stay Questionnaire.

Information Needed for the Review
The Continued Stay Review Questionnaire collects the basic information needed by Qualis Health representatives to complete the review. See Appendix H, Exhibit 8 for a copy of the questionnaire.

The clinical reviewer will review the medical record and evaluate the necessity of admission, appropriateness of service, and continued need for placement at the current level of care. During the review, the following types of information will be considered:
Diagnostic evaluation that includes examination of the medical, psychological, social, behavioral and developmental aspects of the recipient’s situation and reflects the need for inpatient psychiatric care.

- Current acuity or behavioral issues that support the need for continued care at the current level of care
- Appropriateness of diagnostics, therapies, procedures, and other services
- Complications, if any
- Quality of care
- Length of stay
- Discharge planning progress and needs

Should discharge planning issues be identified, the clinical reviewer may make a referral to the medical director for peer clinical review and potential discussion with the attending physician. For out-of-state PRTF reviews, referral to the Care Coordinator will occur to assist with the discharge planning process. Additionally, the State of Alaska Behavioral Health Utilization Review team will be included in clinical discussion to assist with this process.

If the submitted documentation supports the Alaska State Medicaid Program Medical Necessity Criteria and review protocols, the clinical reviewer will approve the continued stay and assign a next review date.

**Continued Stay Review Process**—Once the information for the review has been received, the Qualis Health clinical reviewer will assess the documentation submitted using Alaska State Medicaid Program Medical Necessity Criteria and review protocols to determine whether the condition of the recipient meets criteria for the level of care and the type of services requested. See Appendices E and H for more information regarding requirements for medical necessity reviews. If the Alaska State Medicaid Program Medical Necessity Criteria and review protocols are met, the review will be certified (authorized for payment). Refer to the process and procedures outlined in Section 8 of this manual.

Once the provider has initiated a continued stay review with Qualis Health, the review process will continue until one of the following occurs:

- The recipient is discharged, upon which the facility will place the actual discharge date and updated discharge information in web-based review system or by phone or fax.
- Continued stay (concurrent) review is non-certified by Qualis Health
- The recipient loses Medicaid eligibility
- The recipient becomes eligible for Medicare Part A after admission

During the prior authorization review, the next review date is set for continued stay review. Qualis Health will establish the date when a concurrent review will be due if the recipient has not been discharged before this date. Providers are then
responsible for submitting current information for continued stay review if the client has not discharged. Providers are to contact Qualis Health and submit the next continued stay review within the following timeframes

**Timeframes for Continued Stay Review Submissions**

- Acute Inpatient Master Plan of Care Review (second review) and Continued Stay Reviews should be submitted on (or no more than two days prior to) the assigned next review date.
- PRTF Master Plan of Care (due 14 days following admit), Continued Stay and Therapeutic Transition Day reviews may be submitted up to three days prior to the assigned next review date.
- Specific questions for each type of Continued Stay Review (Master Plan of Care, Continued Stay and PRTF TTD) are found in the Continued Stay Review Questionnaire.

**Timeframes for Pended Reviews**

When a review has been submitted and is pended awaiting clinical/required information, Qualis Health will notify the provider via iEXCHANGE and/or phone. The provider has no more than seven calendar days to submit the requested information before Qualis Health will proceed with the information already submitted. This may result in an adverse determination due to lack of documentation to support the certification of the review.

**Therapeutic Transition Days (TTD)**

A calendar day related to a hospitalization in a PRTF that is authorized by Alaska Behavioral Health for payment of services for a recipient who has not yet reached their 22 birthday and who has been stabilized and therefore is ready for transition or discharge 7AAC 150.990 (40). Therapeutic Transition Days (TTD) are designed to allow Psychiatric Residential Treatment Facility (PRTF) health providers to continue delivering care and receiving certification for services while facilitating difficult discharge plans that include movement to a less intense level of care. Qualis Health reviewers will identify and track patients who are candidates for the Therapeutic Transition Days. The facility may contact Qualis Healthcare Coordinators for assistance in facilitating discharge plans in particularly difficult cases for those youth in TTD status. If the recipient is not discharged within 60 days of being placed in TTD, the provider may contact the State of Alaska Division of Behavioral Health utilization review specialists to request additional TTD days. The purpose of TTD is to allow additional time for appropriate discharge planning in difficult cases.

**Review Process for TTD**

- Provider contacts Qualis Health for a continued stay review.
- Qualis Health reviewers may determine that the recipient appears to be nearing completion of their treatment objectives in the PRTF setting. The reviewer will notify the provider of the impending TTD status and recommend to the provider that **TTD status may be considered for the next review requested.**
• Upon request of the next review, if TTD status appears appropriate, the reviewer will confirm with the provider that they accept TTD status. Qualis Health reviewers will use TTD criteria to certify TTD status for the review.
• Qualis Health will continue to perform reviews during the TTD of treatment to monitor discharge planning efforts.
• If the provider does not wish to use TTD status, the review will proceed by applying the PRTF criteria and may be referred to the Qualis Health physician for review.
• The usual appeal process is available should decertification of the continued stay occur. (See Section 13)

TTD Criteria – to certify for TTD, the following conditions must be met:
• Symptoms exhibited by recipient as documented by provider indicate that psychiatric treatment for admitting symptoms and behaviors is no longer expected to either improve recipient’s condition or prevent regression of symptoms.
• Available information from the provider indicates that the symptoms of the primary diagnosed psychiatric disorders (Current DSM, Axis I) exhibited by recipient and treated upon admission have stabilized.
• Available information from the provider indicates the identified residual chronic symptoms are unlikely to improve significantly with more intensive or aggressive residential psychiatric treatment services.

Indicators to Certify TTD
• There are no current suicidal or homicidal ideations or self-injurious behaviors.
• Incidences involving impulsivity, assaultive behavior, self-mutilation, serious physical destructive acts, or other similar problem behaviors are documented as reduced or as not ameliorable to further improvement at the level of care and within a reasonable period of time.
• Deficits in psychosocial functioning or in self-care are documented as improved by residential psychiatric treatment or as not ameliorable to further improvement by such treatment within a reasonable period of time.
• The treatment for the admitting behaviors/symptoms has addressed the acuity and symptomatic behaviors and the recipient can now be treated in a less restrictive level of care.
• Required medication management has succeeded to the point the recipient can be treated in a less restrictive level of care.
• Psychotic symptoms, including thought disorders and perceptual disturbances, have been addressed and are abated by treatment and treatment can now be carried out in a less restrictive level of care.
• Discharge planning, including placement needs, has become the focus of care of the inpatient interdisciplinary team, as the treatment for the psychiatric symptoms causing admission have been addressed.
Section 11–Retrospective Reviews

Definition and Purpose
A retrospective review for medical necessity is indicated after services have been rendered and after client has been discharged. If discharge has not yet occurred; or if an initial admission review was submitted prior to the patient's actual discharge, the review will be conducted according to the concurrent review format. Please follow the process for Eligibility Established during an Inpatient Admission as described in Section 8 of this manual.

Providers are required to submit the request for a retrospective review within the allotted timeframe of 12 months after discharge. For eligibility issues, providers must submit retrospective review within the 12 months plus 30 days of determination of recipient Medicaid eligibility. Retrospective reviews submitted in excess of 12 months after discharge are subject to consideration by the State of Alaska Division of Behavioral Health before the review can proceed. Provider is responsible to assure that the information submitted in the review is accurate for the time frame of the review and documented in medical record of chart.

Process for Submitting a Request for a Retrospective Review
The provider must send to Qualis Health the Late Submission/Retrospective Review Request Form in Appendix H, Exhibit 11 of this manual, stating the reason for the request for a retrospective review. Qualis Health will then send a determination regarding the request to submit a retrospective review by the end of the next business day. Once the request is approved, the provider may submit the retrospective review.

Methods for Submitting Retrospective Reviews Once Approval for Submission Has Been Attained
The provider will submit the retrospective review to Qualis Health via web-based review system, phone, fax, or mail. Please see Section 7 of this manual for more information about methods of submitting reviews.

Web-based submission is the preferred method for submitting all reviews.

Submitting Retrospective Reviews Via Web-based Review System
All requests for retrospective reviews will be initiated by the provider. Providers should include sufficient information for the clinical reviewer to complete the review. The entire review may be submitted into the web-based system in seven day (one week) increments.

Submit the following in one week increments:
- Completed Admission Questionnaire
- Plan of care review questions from the Continued Stay Questionnaire (this may be filled out in the Clinical Findings section).
- The questions for the Continued Stay Reviews
Document the following information in the Communication field:

- Contact name and phone number
- Type of review: Retrospective review
- Admit and discharge date and complete discharge information
- Statement Medicaid eligibility verified

**Medical Necessity Screening**—The Qualis Health clinical reviewer will review the information provided for the retrospective review and will apply Alaska State Medicaid Program Medical Necessity Criteria and review protocols. If the Alaska State Medicaid Program Medical Necessity Criteria and review protocols are met, Qualis Health will issue a retrospective certification number. Qualis Health certification indicates that the admission was medically necessary. The fiscal agent will be notified via electronic data transfer of the determination.

**Second-level Peer Reviews are not available for Retrospective Reviews**

**Non-certifications**—If the Qualis Health physician reviewer non-certifies the request for payment authorization, the determination status will immediately be posted in the web-based review system and a non-certification letter will be mailed out by the end of the next business day to the following parties: the guardian or parents of recipient (if a minor), the recipient (if an adult), the attending physician, the facility, and State of Alaska Behavioral Health.

The non-certification letters will contain justification for the non-certification and an explanation of the right to request an appeal of Qualis Health’s initial non-certification determination. Refer to Section 16 and Appendix H, Exhibits 3 and 4 of this manual for a detailed description of the appeal procedure.

The Alaska Department of Health and Social Services will not reimburse providers for services that have been non-certified by Qualis Health, with the exception of non-certifications that are reversed as a result of an appeal review by Qualis Health or a provider appeal or recipient Fair Hearing by the State.
This page is intentionally blank.
Section 12—Leave of Absences

Approved Leave of Absence
An approved leave of absence (LOA) is an absence in which the treatment team of the facility has established that the purpose is to further the treatment goals. It is expected that the approved leave of absence is part of the treatment/discharge planning; i.e., is for clinically appropriate reasons (based on the Medicaid payment protocols and criteria). These leaves will be reported in the normal continued stay review process, and must be documented in the chart. If the recipient is absent for more than 12 days in a calendar year, a form requesting the additional LOA days must be submitted through Alaska Behavioral Health (see Example Exhibit 13).

Unapproved Leave of Absence
If the recipient leaves without permission from a facility and returns within 72 hours, then no action between Qualis Health and the facility is required. If a recipient leaves and returns after 72 hours, then Qualis Health will consider the absence a discharge that began on the date the recipient left the facility. When a facility holds a bed for the return of a recipient so he/she could return and complete his/her treatment program, the facility must submit a discharge notification to Qualis Health, and a re-admission to the treatment program, as required by the Alaska State Medicaid program. It is the facility’s responsibility to notify Qualis Health of the absence and to request re-admission review as required.

Admission to a different facility
If the recipient is admitted to a different facility (i.e. hospital, acute inpatient psychiatric care, lateral transfer), Qualis Health will consider the absence a discharge that began on the date the recipient left the facility. It is the facility’s responsibility to notify Qualis Health to obtain a new prior authorization admission review.

Incarceration of a Youth
If the recipient is incarcerated, the absence is considered a discharge that began on the date the recipient left the facility. It is the facility’s responsibility to notify Qualis Health and obtain a new prior authorization admission review if the client returns to the facility.
Psychiatric Residential Treatment Facilities
Therapeutic Leave of Absence Policy

Psychiatric Residential Treatment Facilities (PRTFs) will receive payment for days that recipients are on a Therapeutic Leave of Absence (LOA). The purpose of a therapeutic LOA is to facilitate successful transitions from an inpatient residential setting to less restrictive or community based behavioral health services upon discharge. Examples of therapeutic LOAs include:

- Trial home passes for the recipient at the family home, foster home, or other less restrictive residential or outpatient treatment options
- Overnight leave with family in conjunction with onsite family treatment at the PRTF

Coverage

In order to qualify for reimbursement, therapeutic LOAs must be planned and requested at least 14 days in advance of travel and documented as medically necessary (to further treatment goals and increase successful transitions) in the recipient’s medical record.

Clinical documentation providing support for therapeutic LOAs must include:

- a crisis plan that identifies behavioral health services provider/s that will support and facilitate treatment should a crisis occur (contact person name, credentials, phone number)
- goals and objectives of the therapeutic LOA; and documentation of previous LOA’s and
- how the therapeutic pass will assist the youth and family in achieving treatment objectives
- departure and return dates

In addition to the above, clinical documentation for therapeutic LOAs for the purpose of a trial home pass must include:

- appointment/s with the identified community-based provider/s of behavioral health services and/or residential services
- appointment with the youth’s school is highly recommended

Coverage of up to 12 therapeutic LOA days per calendar year will be reimbursed without prior approval. Additional days require prior approval from the Utilization Review staff at the Division of Behavioral Health.
When requesting approval of therapeutic LOA days beyond the 12-day service limitation, please complete the *PRTF Leave of Absence Request Form* Appendix H Exhibit 13 and submit required clinical documentation as specified on the form to:

**Division of Behavioral Health**  
3601 C Street, Suite 934  
Anchorage, AK 99503  
Attention: Utilization Review  
FAX: (907) 269-8166

**Billing/Reimbursement**

Billing for therapeutic LOA days requires a specific revenue code, corresponding units, and charges as follows:

- Accommodation revenue code 0183 is designated for “Therapeutic Leave”
- Number of units billed needs to correspond with the number of total days for “Therapeutic Leave”
- Total charges needs to correspond to the daily rate (per diem) multiplied by the number of days (units)

Billing for non-covered LOA (patient convenience, non-therapeutic, non-approved) requires the PRTF to utilize a different revenue code, corresponding units, and charges as follows:

- Accommodation revenue code 0189 is designated for “Other” LOA
- Number of units billed needs to correspond with the number of total days for non-covered “Other” LOA
- Total charges needs to correspond to the daily rate (per diem) multiplied by the number of non-covered leave days (units)

**NOTE:** Trial home passes may result in the patient being discharged from your facility, or otherwise not returning to complete treatment. In these circumstances, the discharge date is the date that the recipient left the facility on the therapeutic leave of absence.
Section 13—Reporting Serious Occurrences and Events

Reporting of Serious Occurrences and Events

JCAHO standards define a sentinel event as an unexpected occurrence involving death or serious physical or psychological injury, or the risk thereof. Serious injury specifically includes loss of limb or function. The phrase, "or the risk thereof" includes any process variation for which a recurrence would carry a significant chance of a serious adverse outcome. Such events are called "sentinel" because they signal the need for immediate investigation and response.

It is the provider's responsibility to report all serious occurrences and sentinel events to the State and other authorities as indicated below. This section is included in order to help with the education of providers regarding their responsibilities under the law.

The Code of Federal Regulations (42 CFR 483.374) requires these actions in these situations:

[Part b of this Code] Reporting of serious occurrences: The facility must report each serious occurrence to both the State Medicaid agency and, unless prohibited by State law, the State-designated Protection and Advocacy system. Serious occurrences that must be reported include a resident's death, a serious injury to a resident as defined in Sec. 483.352 of this part, and a resident's suicide attempt. Definition of a serious injury as defined in Sec.483.352 means any significant impairment of the physical condition of the resident as determined by qualified medical personnel. This includes, but is not limited to, burns, lacerations, bone fractures, substantial hematoma, and injuries to internal organs, whether self-inflicted or inflicted by someone else.

[Part c of this Code] Reporting of deaths: In addition to the reporting requirements contained in paragraph (b) of this section, facilities must report the death of any resident to the Centers for Medicare & Medicaid Services CMS) regional office.

(1) [sic Provider] Staff must report the death of any resident to the CMS regional office by no later than close of business the next business day after the resident's death.
(2) [sic Provider] Staff must document in the resident's record that the death was reported to the CMS regional office.

Reporting Requirements of Providers from the State of Alaska, Department of Health and Social Services, Behavioral Health

- Any death must be reported to the State of Alaska Behavioral Health Utilization Review staff no later than the close of business the next business day after the resident’s death.
- Any incident which requires investigation by an investigating body is to be reported to State of Alaska Behavioral Health Utilization Review staff no later than the close of business the next business day.
- Providers are to report these occurrences to John Williams at (907) 269-7399 or any of the State of Alaska Behavioral Health Utilization Review staff at (907) 269-3600.

Alaska Behavioral Health’s Clarification of Providers’ Reporting Requirements

It is also the provider’s responsibility to report all serious occurrences as indicated below.

Medical
- Incidents that require outside medical attention
- Burns
- Lacerations requiring medical attention
- Bone fractures or breaks
- Substantial hematoma
- Injuries to internal organ whether self inflicted or by someone else

AWOL (Absent Without Leave)
- If gone overnight
- If anything significant occurred during the AWOL
  - Police intervention
  - Use of substances
  - Suspected abuse

Sexual Acting Out/Physical Aggression
- Any activity or occurrence which must be reported to state Child Protective Service agencies
- Any time an Alaskan youth is the victim or the offender
- Suicidal Attempt or serious suicidal gesture

Providers are to fill out the sentinel event form located in Appendix I Exhibit 12 and report these occurrences to John Williams, RN at (907) 269-7399 or any of the State of Alaska Behavioral Health Utilization Review team members at (907) 269-3600 or (907) 269-3616, or via fax at (907) 269-8166. The form is to be filled out completely when submitted to the State of Alaska Behavioral Health. Further review may be taken based on seriousness of incident.
This page intentionally left blank
Section 14–Treatment for Sexual Offenders

Sex Offender Treatment

Basic premises of sex offender treatment include resolving emotional issues associated with the youth’s sexual offenses, increasing awareness of high risk situations and triggers to the youth’s sexual offending, and learning and applying individualized skills to decrease each offender’s unique pattern of abusing others. These premises are essential in successfully treating this specific population. Addressing these issues in treatment is likely to decrease the probability of further offending, and increase the probability that the youth will reach their potential for developing meaningful relationships and live safely with their family and community.

Sexual offenders may exhibit surface compliance in a residential setting. Their behaviors need to be carefully assessed and monitored. In particular, behaviors that tend to be exploitative or demeaning should be addressed in treatment and relapse prevention plans. Daily progress notes and daily review documentation should address these sex offending behaviors. Progress in diminishing their frequency and intensity will be used to determine progress in treatment. The provider will update the plan of care every 30 days including progress in treatment, changes in treatment interventions and whether any new behavioral health problems have been identified. Any unresolved diagnostic conditions to be readdressed every 30 days.

Providers will work with the guardian to arrange for relapse prevention planning and aftercare upon release from the program as part of the resident’s discharge plan.

Providers will clearly document medical necessity for continued treatment as outlined in the review process. Much of this documentation will require communicating progress made in accomplishing the goals and objectives identified in the treatment plan.
Section 15– Onsite Reviews and Seclusion & Restraint Standards

Overview Potential Quality of Care Concerns
Qualis Health is committed to promoting optimum quality of care for all recipients and will therefore assess quality of care in various settings while performing reviews. The facility and attending physician are responsible for delivering the utmost quality of care for their patients. The Qualis Health clinical reviewer is responsible for identifying potential quality of care concerns regarding State of Alaska Division of Behavioral Health Medicaid recipients. Potential quality of care concerns may be identified during all types of reviews, including retrospective chart reviews.

If a Qualis Health Representative determines that the recipient’s quality of care is currently or potentially being compromised, a Qualis Health physician will be consulted. If the Qualis Health physician concurs that there is a potential quality of care concern, Qualis Health will refer the case to the State of Alaska Division of Behavioral Health for further action.

On Site Review Standards
Site review/Site Visit: The Code of Federal Regulations (42 CFR 452.606) requires the State of Alaska to inspect PRTFs annually if they are currently providing services for an Alaska Medicaid Recipient. This site visit requires personal contact with the recipient and review of the records to ensure the health needs and the rehabilitative and social services are met for each recipient. The site visit team will consist of at least a mental health clinician and RN. This team may include members of Behavioral Health, Office of Children’s Services, and Division of Juvenile Justice. Additionally, 42 CFR 456.607 states there may only be 48 hours or less of notification before the site visit. See Appendix H Exhibit 14

Restraint and Seclusion Standards
The Facility’s policy and procedures regarding Restraint and Seclusion (R&S) will be reviewed to ensure compliance with the Code of Federal Regulations 42 CFR 483.350 through 42 CFR 483.376 during site reviews. Also, all incidents of R&S documented in Alaska Medicaid recipients’ charts will be reviewed for CFR compliance. See Exhibit 14 for R&S regulations Behavioral Health will use during the site reviews.
Section 16—Utilization Review Appeals

Overview
Qualis Health offers an appeal process in all cases involving an adverse determination. When a review determination is to non-certify a review request, Qualis Health will generate written notification of the adverse decision within one business day of the date the decision is made. Qualis Health’s non-certification notification will include rights for an appeal review. Qualis Health’s appeal process features a second opinion by a physician who specializes in the services under review. URAC requires that appeal reviews be conducted by individuals who:

- Are clinical peers
- Hold an active, unrestricted license to practice medicine or a health profession
- Are board-certified by the American Board of Psychiatry
- Are in the same profession and in a similar specialty as typically manages the psychiatric condition
- Are neither the individual who made the original non-certification nor the subordinate of such an individual
- Have no conflicts of interest with the patient, attending physician, or facility being reviewed.

There are two types of appeals potentially available—expedited or standard. Instructions on how to initiate each type of appeal are included in the non-certification letter Qualis Health sends when the adverse determination is made.

Expedited Appeals
Definition
An expedited appeal is an appeal of a non-certification in a case involving urgent care.

Process and Procedures
A request for an expedited appeal may be made by telephone, fax, or mail within two business days of the date that appears at the top of the Non-Certification Letter if the recipient has not yet been discharged. If an expedited appeal request is filed after two business days, Qualis Health will respond to that request through the standard appeal process.

Requests for expedited appeals should be directed as follows:

<table>
<thead>
<tr>
<th>How to Request an Expedited Appeal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Call</td>
</tr>
<tr>
<td>Fax</td>
</tr>
<tr>
<td>Write</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>
Upon receipt of the request for an expedited appeal, the following will occur:

- Qualis Health will notify all appropriate parties of the request.
- Qualis Health will, if needed, request that any additional medical information necessary for the appeal review be submitted to us within two hours.
- The case will be referred to a Qualis Health physician reviewer who is licensed and/or accredited in the appropriate specialty or subspecialty who is not the same individual who initially reviewed and non-certified the review.
- The physician reviewer will review the medical information.
- If the physician reviewer reverses the non-certification decision, the Qualis Health representative will issue a certification number and length of stay (if applicable) and will notify all appropriate parties telephonically and in writing.
- If the physician reviewer modifies the decision or upholds the non-certification, the requesting physician or facility will be notified telephonically and in writing.
- The Department of Health and Social Service’s MMIS will be updated electronically accordingly if decision is either reversed or modified.
- Notification with the review outcome, including clinical rationale will be sent to the recipient, attending physician, and facility.

If the recipient, attending physician, or facility disagrees with the expedited outcome, a standard appeal may be filed.

### Standard Appeal

**Definition**

A standard appeal is an appeal of a non-certification. It is not an expedited appeal. In most cases, standard appeals will not relate to cases involving urgent care. However, standard appeals may also include secondary appeals.

**Process and Procedures**

A request for a standard appeal may be made by telephone, fax, or mail within 180 days of the date shown on the non-certification notice. Requests for standard appeals should be directed as follows:

<table>
<thead>
<tr>
<th>How to Request a Standard Appeal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Call</td>
</tr>
<tr>
<td>Fax</td>
</tr>
<tr>
<td>Write</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>
Any request for appeal of a non-certification will be reviewed by a Qualis Health physician/practitioner consultant licensed and/or accredited in the appropriate specialty or subspecialty as the attending physician, but will not be the same individual(s) who initially non-certified the review or the expedited appeal, if applicable.

Qualis Health will issue the appeal decision within 30 days of receipt of the request for a standard appeal. All appropriate parties will be notified in writing of Qualis Health’s determination to uphold, reverse, or modify the initial non-certification decision.

Qualis Health’s appeal decision will take precedence over the initial non-certification decision or the expedited appeal decision, if applicable. For example, if the appeal review certifies more facility days than the original review, then more facility days will be recommended for certification. (See Exhibit 4).

Department of Health and Social Services Appeal Procedure
Fair Hearing Rights for Recipients

The Department of Health and Social Services Fair Hearing procedure is the process by which recipients can contest the Qualis Health non-certification decision. Recipients may request a fair hearing by phone or in writing to the Fair Hearing representative at Alaska Department of Health and Social Services, within 30 days of the date on Qualis Health’s standard appeal determination letter non-certifying the service. The request must state the rationale for requesting a Fair Hearing. The address and phone number to request a fair hearing:

Attn: Fair Hearing Representative
Xerox Business Services, LLC.
1835 S. Bragaw Street, Suite 200
Anchorage, AK 99508
(907) 644-6800

If the recipient has been getting a service paid by Alaska Department of Health and Social Services that is stopped, suspended, or reduced by an action Qualis Health takes, the recipient may ask that the service be continued. If the recipient wants to have the service continued while awaiting a hearing decision, he/she should ask for a continuation of the service within 10 days of the date of the action to stop, suspend, or reduce the service. If the recipient asks for the service to be continued and the hearing decision determines that the Alaska Department of Health and Social Services was correct to stop, suspend, or reduce the service, the State may require the recipient to repay the cost of the services provided. (Regulatory References: 42 CFR 431.230(b) and 7 AAC 49.200).
Second Level Appeal Rights for Providers
An additional appeal process is available to providers through the Alaska Department of Health and Social Services. A provider may request a second level appeal when they are not satisfied with the results of the first level appeal decision by Qualis Health. A second level appeal must be requested in writing and postmarked within 60 days of the date of the first-level appeal decision by Qualis Health. A telephone call does not serve as notification that a second level appeal is being requested.

Providers should submit second level appeals to:

Division of Healthcare Services
Claims Appeal Section
4501 Business Park Blvd. Suite 24
Anchorage, AK  99503-7167

Include a copy of the Qualis Health first level decision and supporting documentation considered relevant with the written appeal request.

Providers will be notified in writing of the final decision by the Alaska Department of Health and Social Services. If the recipient has been getting a service paid by the Alaska Department of Health and Social Services that is stopped, suspended, or reduced by an action Qualis Health takes, the recipient may ask that the service be continued. If the recipient wants to have the service continued during the time awaiting an appeal decision, he/she should ask for a continuation of the service within 10 days of the date of the action to stop, suspend, or to reduce the service. If the recipient asks for the service to be continued and the appeal decision determines that the Alaska Department of Health and Social Services was correct to stop, suspend, or reduce the service, the state may require the recipient to repay the cost of the services provided. (Regulatory References: 42 CFR 431.230(b), 42 CFR 431.231(a), 7 AAC 49.190 and 7 AAC 49.200)
**Section 17 - Care Coordination**

**Overview**

The scope of Care Coordination extends to Children (up to age 21 years) who are covered by Alaska Medicaid and receiving services in a residential psychiatric treatment center both in Alaska and out-of-state. Care Coordination may extend to children who are at risk for admission to residential or inpatient psychiatric levels of care if determined by the State.

Care Coordination Provided by Qualis Health is a process that links youth (in residential psychiatric treatment) and their providers to services and resources in a coordinated effort that maximizes the potential of youth and provides them with optimal behavioral healthcare upon discharge.

Care Coordinators will network with the out-of-state and in state providers, with Qualis Health clinical review staff, and consult with the State of Alaska Behavioral Health Utilization Review team.

**Goals of Care Coordination services:**

- Facilitate access to community resources
- Assess family resources and needs
- Identify barriers to lower level of care services
- Promote continuity of care
- Track length of stay in Psychiatric Residential Treatment Facilities
- Track and post on website available beds and services
- Share information with providers and families to facilitate a smooth transition of their clients to community based services within Alaska.

Care coordination involves monitoring treatment progress, conducting family assessments, tracking length of stay, and facilitating and sharing information to assist the providers in their discharge planning processes across the continuum of care.

**Family Resource Needs Assessment**

Care Coordinators will contact the parent or guardian 30 to 60 days after admission/placement in residential treatment facility. They will collect information from the family or guardians including but not limited to: former providers, family concerns, barriers to services, needs for additional case management, and family education. In additions, care coordinators will share information specific to the family/patient through consultation with residential treatment program staff (therapists, case managers, etc..,) to facilitate transitions or discharge.

Care Coordinators will share information with the family and providers through provision of a list of resources and options for planning for continued treatment.
Family Discharge Readiness Assessment

Care Coordinators will reconfirm agreement by the family to the plan for continuity of care services and their readiness to implement the family’s (guardian’s) portion of the discharge plan prior to discharge through conducting a Family Discharge Readiness Assessment. Care Coordinators will share information specific to the family/patient through consultation with residential treatment program staff (therapists, case managers, discharge planners, etc,) to facilitate transition or discharge and make them aware of other services/provider options that are supported by the family (guardian).

Discharge Planning across the Continuum of Care

The continuum of care is the range of health, social, and human services, treatments, and resources offered in a variety of settings that provide appropriate services to meet the patients’ needs.

Availability of Services within Alaska

Recipients with mental health issues have several different settings and levels of care options within Alaska. The Care Coordinators will assist the providers to know what is available in Alaska as close to the home region of the recipients as possible. Qualis Health’s website at http://www.qualishealth.org/healthcare-professionals/alaska-medicaid-behavioral-health/provider-resources will be updated daily regarding availability of services in Alaska.

The Care Coordinators will educate and support providers regarding the range and levels of care for behavioral health services that are appropriate for each youth in Alaska based on family assessment. If there are needed services that are not covered by Medicaid, the Care Coordinator may work with the State of Alaska’s Behavioral Health Utilization Review team to identify alternative funding sources that could be disbursed to providers, enabling the recipients with special needs to access those services.

Care Coordinators will work in close communication with the discharge planners of both the PRTFs and the receiving facility/setting of care in Alaska prior to discharge. The Care Coordinators support the discharge planners at the facility and with the outpatient providers through facilitation of communication on discharge placement needs.

The following Discharge Planning Process Outcomes chart describes the four phases of the discharge planning process, the desired outcomes, and the associated activities of the facility’s discharge planners and the Qualis Health Care Coordinators.

During all phases of the discharge planning process, Qualis Health’s Care Coordinators are there to assist and support the discharge planners to address any unnecessary delays and to accomplish a timely and appropriate discharge.
Discharge Planning Process Outcomes

Phase 1–Patient Identification
- **Facility and/or Care Coordination team** identifies incoming patients based on admit or State recommendation
- **Facility** provides Care Coordinators with basic information needed for tracking length of stay, and progress toward meeting discharge goals, family guardian information.
- **Care Coordination team** facilitates information flow between the sending and the receiving facility

Phase 2–Discharge Planning Evaluation & Family Assessment (30 – 60 days after admit)
- **Facility** conducts evaluation of the client’s post-discharge needs, including self-management capabilities and availability of appropriate services and specific providers in identified discharge location
- **Care Coordinator** conducts Family Resource Needs Assessment and supports discharge planning by providing information about available resources in the identified discharge location, available services, information regarding family needs, and potential gaps and or barriers to services.

Phase 3–Reassessment of the Discharge Plan
- **Facility** re-evaluates discharge plan with family in light of the client’s progress in treatment and clinical situation, makes corresponding suggestions regarding the discharge plan or service availability to meet the needs of the client as indicated by the treating clinician.
- **Care Coordinator** communicates with the facility to receive any updates to the plan and investigates the availability of any additional services that may be needed (calls facility, confirms needs, and offers assistance to facilitate information exchange between discharging and receiving service provider)

Phase 4–Confirmation and Implementation of the Discharge Plan
- **Facility** finalizes the discharge plan and provides Care Coordinator with the specific providers of services as outlined in the discharge plan, and updated information 30-60 days prior to the anticipated discharge date.
- **Care Coordinator** Conducts Family Discharge Readiness Assessment, provides feedback regarding any concerns to
the provider, and confirms the availability of appropriate services of the viable care transition plan

- **Facility** uses feedback from Care Coordination team to modify or adjust discharge plans to best meet needs of client and family if necessary and provides actual discharge date to Care Coordination team

**Desired Outcomes (Based on the Bring “Keep” The Kids Home)**

- Work in a collaborative way to bring the youth closer to their home region as soon as appropriate treatment is found to be available and accessible
- Reduced length of stay in residential programs
- Improved continuity of care that meets the individual patient’s needs based on family resources and needed supports
- Improved patient and family satisfaction
- Decrease of readmissions to residential services'

**Tracking Bed Availability and Treatment Programs**

Qualis Health updates and maintains the care coordination website, providing pertinent information on both in-state and out-of-state treatment programs. This site gives information about current availability of inpatient and outpatient resources. *Providers are requested to send information regarding their available beds on a daily basis* to Qualis Health.

To access information on available beds and services, please go to http://www.qualishealth.org/healthcare-professionals/alaska-medicaid-behavioral-health/provider-resources and scroll down to view the *Facility Bed Availability* section.

**Case Consultation with State Officials**

Upon request or on a case-by-case basis, the Care Coordinator provides consultation on information pertaining to the recipient’s discharge planning needs, networking with Department of Health and Social Services, Office of Children’s Services, Division of Juvenile Justice, Division of Senior and Disability Services, and the Behavioral Health Utilization Review team.

**State of Alaska’s “Bring “Keep” the Kids Home Meetings (BTKH)**

The Care Coordinators participate in various meetings with providers and Alaska State agencies to discuss service availability and the needs of youth transitioning back to Alaska from out of state PRTF facilities. The purpose of these meetings is to identify appropriate resources so youth can be brought closer to their home region as soon as appropriate treatment is found to be available and accessible.
This page is intentionally blank
Appendix A
Glossary of Terms and Acronyms
This page is intentionally blank
Appendix A
Glossary of Terms

Active Treatment:
Active treatment refers to the planning, delivery, and monitoring of a dynamic set of inter-related, effective, culturally appropriate, and individualized behavioral health services designed to meet the behavioral health service needs of the recipient. Active treatment includes the use of specific and clear intervention strategies that target those behaviors identified in the diagnostic evaluation, individualized POC, and designed to improve functioning, reduce or eliminate negative symptoms, demonstrate ongoing measurable progress, and enhance the quality of the recipient’s life. Qualified team must provide active treatment to a recipient and his/her legal guardian(s).

Acute Care: Critical care administered to a patient with a rapid onset acute condition, and following a short but severe course. Examples of acuity may include serious impaired thought processes such as hallucinations, delusions, loose associations, paranoia, or other acute disturbances that put recipient at imminent risk of harm; severely dysfunctional patterns of behavior related to the acute disturbances pertaining to the primary and (if any)secondary diagnoses.

Adverse Determination: The services do not meet Medicaid Medical Necessity Criteria or review protocols, so the request for Medicaid authorization is not certified.

Appeal: An appeal is a request for reconsideration for a disputed review decision.

Case ID Number (Request Identification): A number assigned to the review at the time of submission.

Certification of Review: After the provider submits the clinical information for review, the Qualis Health clinical reviewer may authorize, or certify, that medical necessity is met. When the provider receives a “Certification,” then a claim may be submitted to the fiscal agent. Certification is not a guarantee of payment.

Certification of Need (CON): A federally mandated, physician-certified document, required for each recipient at the time of admission to inpatient psychiatric services, which declares that inpatient services are, or were, needed upon admission. This evaluation must be completed before the Medicaid agency authorizes care. Recertification must be made at least every 60 days after certification (Code of Federal Regulations – 42 CFR 456.160, and 441.152). However, under 42 CFR Ch. IV 441.155 (b)(c) “The plan must be reviewed every 30 days by the team specified in 441.156 to—(1) Determine that services being provided are or were required on an inpatient basis, and (2) recommend changes in the plan as indicated by the recipient’s overall adjustment as an inpatient.” See form in Appendix H Exhibit 10

Continued Stay (Concurrent) Review: The process of reviewing for continued stay medical necessity based on updated clinical and treatment planning documentation furnished by the provider.
**Delayed Eligibility:** Review of cases for recipients not eligible at the time of admission and determined eligible prior to patient’s discharge from facility.

**Emergency or Urgent Admission:** An emergency admission is one in which the attending physician believes that there is a likelihood of serious harm to the recipient or others and that the recipient requires both immediate intervention and an immediate or “soon as possible” protective environment. Also see the definition of “Urgent Care Services”.

**End Certification Date:** Services have been authorized for payment through this “next review” date. The provider must submit the next review on a day before the “end certification” or “next review” date.

**Fair Hearing:** The legal forum provided by the State of Alaska for a recipient and/or representative in disagreement with a Qualis Health determination to reduce, non-certify, or suspend authorization.

**Family Psychotherapy:** A form of therapy in which members of a family or individuals sharing a household who are considered “family members” attend psychotherapy sessions for the treatment of relationships within the family or household to achieve better emotional, behavioral, or social adjustments of all the individuals within the family or household.

**Group Psychotherapy:** Group therapy delivered by a mental health professional clinician. (7 AAC 43 1990.22)

**Health Insurance Portability and Accountability Act (HIPAA):** Relating to the uses and disclosures of Protected Health Information.

**Inpatient Interdisciplinary team (IIT):** Team comprised of the following members: psychiatrist, clinical social worker, registered nurse who has specialized training or 1 years experience, depending on the needs of the client an occupational therapist or psychological associate licensed with a master degree in clinical psychology may be part of the team (7AAc 140.405)

**Late Submission:** Reviews performed by Qualis Health in cases where the admission review was not submitted or the certification span has expired, the client has not yet discharged, and the provider submits a late request for authorization.

**Leave of Absence Policy (LOA):** Overnight leave from the facility to have been determined to be medically necessary by the treatment team. Up to 12 calendar days per year may be allowed and billed by the facility.

**Medical Necessity:** Refers to the medical necessity of inpatient psychiatric care as based on the Alaska Medicaid Medical Necessity Criteria and as determined by Qualis Health review staff.
Next Review Date: The next review date is the date assigned to submit the next review. Certifications are given from (date) to (next review date). The day before the next review date is the last date certified for possible payment based on the medical review.

Non-certification: An adverse determination. The services do not meet Medicaid Medical Necessity Criteria or protocols.

Partial Certification: A determination that the number of days that meet medical necessity is different from the days requested by the provider.

Peer-to-Peer: A telephone review between the facility physician and Qualis Health physician reviewer to discuss any information that supports the medical need for the requested services.

POC: Plan of Care/Individualized Treatment Plan; Master Treatment Plan.

Primary Diagnosis: The diagnosis of a disorder determined through appropriate clinical assessments as the chief cause of the admission to a facility for behavioral health services.

Prior Authorization (Pre-service) Review: The process whereby Qualis Health reviews clinical information from the provider to determine medical necessity for specific inpatient psychiatric services. A Prior Authorization Number (PA number) is assigned when the review is certified, and the provider uses this PA number for billing purposes and for making travel arrangements.

Provider: An individual, firm, corporation, association, or institution providing or approved to provide medical services to an Alaska Department of Health and Social Services Medicaid recipient.

Provider Medicaid ID Number: Number assigned to each provider by Xerox Business Services, Inc., fiscal agent for Alaska Department of Health Social Services.

Recipient: An individual eligible for benefits under the Alaska Department of Health and Social Services.

Retroactive Eligibility Review: Review of cases for recipients not eligible at the time of admission and determined eligible at a later date.

Retrospective Review: Retrospective reviews are submitted and performed when the eligibility is determined after the recipient has discharged from the facility, or when extenuating circumstances have prevented the submission of a review before the recipient was discharged from the facility. A retrospective review is a review for medical necessity after services have been rendered. Retrospective Reviews are reviews that have not yet been submitted as an initial review, and discharge has occurred.
**Urgent care services**: A case is considered to involve urgent care whenever the application of the time periods for making non-urgent care determinations (a) could seriously jeopardize the life or health of the recipient or the ability of the recipient to regain maximum function, or (b) in the opinion of a physician with knowledge of the recipient’s medical condition, would subject the recipient to severe pain that cannot be adequately managed without the care or treatment that is the subject of the case.

**Xerox Business Services, LLC**: Fiscal agent for the Alaska Department of Health and Social Services performing services related to claims adjudication and prior authorizations for services such as transportation and accommodation.
This page is intentionally blank
Acronyms

AAC: Alaska Administrative Code
ACS: Affiliated Computer Services, Inc (now Xerox Business Services, LLC.)
BH: Behavioral Health, of the DHSS
CC: Care Coordinator at Qualis Health
CFR: Code of Federal Regulations
CMS: Centers for Medicare & Medicaid Services
CON: Certificate of Need
D/C: Discharge
DD: Developmentally Disabled
DHSS: Department of Health and Social Services
DOB: Date of Birth
DS: Discharge screening criteria indicative of patient stability and readiness for discharge
DSDS: Division of Senior and Disability Services of DHSS
DSM: Diagnostic and Statistical Manual of Psychiatric Disorders
IIT: Inpatient Interdisciplinary Team/Treatment Team
DJJ: Division of Juvenile Justice, of HSS
HIPAA: Health Insurance Portability and Accountability Act
LOA: Leave of Absence
LOC: Level of Care
LOS: Length of Stay
OCS: Office of Children’s Services of HSS
PA: Prior Authorization
POC: Plan of Care
QIO: Quality Improvement Organization
PRTF: Psychiatric Residential Treatment Facility
SI: Severity of illness
TEFRA: Tax Equity and Fiscal Responsibility Act of 1982
TTD: Therapeutic Transition Days
UR Team: Utilization Review specialists with Behavioral Health
Appendix B
Alaska State Medicaid Program
Acute Psychiatric Hospitalization
Medical Necessity Criteria
This page is intentionally blank.
Appendix B
Alaska State Medicaid Program
Acute Care Medical Necessity Criteria
Effective April 15, 2009

In order to receive Certification, Criteria A, B and C must be met:

Criterion A: Ambulatory care resources providing less restrictive levels of care that are available in the community do not meet the treatment needs of the recipient. 42 CFR 441.152(a) & 7AAC 43.552 (C) (2) (A).

To meet this criterion, A1 and A3, or A2 and A3 of the following must be established:

A. 1. □Documentation that the recipient is diagnosed with a mental illness and that the mental illness causes the person to present a likelihood of serious harm (imminent risk) to that person or others within the past week for children and past 48 hours for adults.

For example: Suicidal ideation with a plan; in possession of a weapon with intent to hurt another; a recent episode with intent to do severe bodily harm; making credible threats of harm; recent psychotic episode causing debilitating hallucinations.

OR

A.2. □ Documentation that the youth recipient's condition is severely impaired as a result of mental illness and substantially interferes with or limits the youth's role functioning in family, school, or community activities. For adults, documentation that the recipient's condition is gravely disabled and role functioning is severely impaired as a result of mental illness and substantially interferes with their ability to engage independently in personal care or community living activities and function independently in the role of worker, student, or homemaker. For both adult and youth, the recipient's symptoms and maladaptive behavior are not a result of intellectual, physical, or sensory deficits.

For example: Severe impairment in role functioning due to committing serious acts of destruction in home or classroom; person's hallucinations, delusions, or disorganized thinking severely impact their ability to meet needs for nutrition, sleep, hygiene, rest or housing.

AND

A.3. □ Documentation that less restrictive levels of care available in the community do not meet the treatment needs of the recipient or that a less intense level of care is unavailable or inaccessible for meeting the treatment needs; and, there is specific documentation showing how services can reasonably be expected to either improve recipient's condition or prevent regression so that the services will no longer be needed.
For example: Community behavioral health services may not provide required 24 hour care; psychiatric services needed may not be available at the frequency needed to maintain recipient in the community; the plan of care documents treatment goals and interventions that specifically relate to the primary and (if any) secondary diagnoses and identify discharge criteria to the extent the recipient can be treated in the community.

**Criterion B:** Documentation that proper treatment of the recipient’s psychiatric condition requires services on an inpatient basis under the direction of a physician. 42 CFR 441.152b-2 & 7AAC 43.552 (C) (2) (B).

To meet this criterion, ALL of the following must be established:

EITHER (for BI):

B.la.  □ The Certificate of Need (CON) for Elective, or NON-EMERGENCY ADMISSIONS: Must be certified with the signature of two (2) members of the Inpatient Interdisciplinary Team (IIT):

□ A physician member of the IIT; AND

□ Another member of the IIT have both signed and certified need for admission according to 7AAC43.552 (f) (1,3).

OR

B.lb. □ The CON Question for EMERGENCY ADMISSIONS: “Has an appropriate physician certified need for hospitalization?”

AND

B.2. □ The psychiatric evaluation documents that the recipient has a DSM-IV-TR primary diagnosis of a mental health disorder classified as an Axis I Diagnosis between DSM-IV-TR 290. –and 316.- excluding a substance abuse disorder. Any treatment for a substance abuse disorder must be secondary to the treatment for the mental health disorder.

In relation to B.2 criterion, please note:

- A seven (7) day maximum allowable limit on payment is placed on the following diagnostic codes if they are primary diagnoses unless documentation supports an imminent risk of serious harm to self or others if discharged; or unless a more specific diagnosis has been documented and included in the Plan of Care:
  - Oppositional Disorder (313.81)
  - Conduct Disorders (312.8-)
• A fourteen (14) day maximum allowable limit on payment is placed on the following diagnostic codes if they are primary diagnoses unless a more specific diagnosis has been documented and included in the Plan of Care:
  • Depression NOS (311.)
  • Mood Disorder NOS (296.90) for youth at least 12 years of age
  • Unspecified Mental Health Disorder Non-Psychotic (300.9)

AND

B.3. □ Documentation supports that the GAF at admission for the acute level of inpatient psychiatric care is 40 or below. The GAF may be higher in cases when there is imminent serious risk of harm to self or others.

AND

B.4. □ Documentation that the recipient is currently experiencing acute disturbances related to the mental disorder diagnosed in B.2 above.

For example: Impaired thought processes such as hallucinations, delusions, loose associations, paranoia, or other acute disturbances that puts recipient at imminent risk of harm; severely dysfunctional patterns of behavior related to the acute disturbances pertaining to the primary and (if any) secondary diagnoses; recent psychotropic medication changes that put patient at high risk for acute disturbance if not monitored in inpatient setting.

Criterion C: The services can reasonably be expected to improve the recipient’s condition or prevent further regression so that acute care services will no longer be needed. 42 CFR 441.155, 441.156 & 7AAC 43.552(C) (2) (C)

To meet this criterion, ALL of the following must be established:

C.1. □ The diagnostic evaluation includes examination of medical, psychological, social, behavioral, and developmental aspects of the recipient’s situation and reflects the need for acute care.

C.2.□ The individualized Plan of Care clearly documents goals and measurable objectives derived from the diagnostic evaluation.

C.3.□ The individualized Plan of Care is developed by a team of professionals in consultation with the recipient. If the recipient is a youth, his or her parents and/or legal guardians in whose care she or he may be released after discharge are included in this team.

C.4.□ The individualized Plan of Care clearly documents appropriate therapies, activities, and experiences designed to develop the recipient’s ability to function independently within their own environment.
C.5. The individualized Plan of Care clearly documents a comprehensive discharge plan that is based on treatment goals and objectives to extent inpatient services are no longer necessary or treatment can be completed in the least restrictive environment (or lower level of care), specifies approximate discharge date based on achievement of those stated objectives, post-discharge service needs including any prospective post-discharge service providers and any other provisions necessary for transition to a lesser restrictive environment and adult services. Discharge plans must be continually updated to reflect changes and progress in treatment planning.
This page is intentionally blank.
Appendix C
Alaska State Medicaid Program
Psychiatric Residential Treatment Facility (PRTF)
Medical Necessity Criteria
This page is intentionally blank.
Appendix C
Alaska State Medicaid Program
Residential Psychiatric Treatment Center (RPTC)
Medical Necessity Criteria

RPTC Care Criteria: In order to receive Certification for RPTC admission or continued stay, Criterion A, B, and C must be satisfied (42 CFR 441.152, 7AAC 43.552(C)(2)(A, B, C) & AS Sec. 47.07.032)

Criterion A
A. Ambulatory care resources available in the community do not meet the treatment needs of the recipient. 42 CFR 441.152a-1, 7AAC 43.552(C)(2)(A) & AS Sec. 47.07.032.

Instructions: Criterion A can only be met when all three categories (Accessibility, Treatment Effectiveness, and Severity) are verified.

Category 1: Accessibility

Instructions: One of the following 3 conditions must be present to satisfy this categorical requirement

A.1. A less restrictive level of care within the State of Alaska will not meet the recipient’s treatment needs.

Examples: Family or relative placement, community wraparound services, day or after school treatment, therapeutic foster care, residential or group home.

A.2. An appropriate, less restrictive level of care within the State of Alaska is unavailable or inaccessible.

Examples: There are no RPTC beds open for admission; RPTC beds open for admission do not meet clinical needs of the recipient.

A.3. Factors related to the recipient’s family or community prevents effective treatment at a less restrictive level of care within the State of Alaska.

Examples: Recipient lacks adequate support, family persistently hampers

1 Alaska Statute 47.07.032 asserts (a) Alaska Behavioral Health may not grant assistance for inpatient psychiatric services to a person under 21 years of age who is in an out-of-state psychiatric hospital facility or an out-of-state residential psychiatric treatment center unless Alaska Behavioral Health determines that the assistance is for:
(1) Psychiatric hospital services that are consistent with the person's clinical diagnosis and appropriately address the person's needs and that these services are unavailable in the state; or
(2) Residential psychiatric treatment center services that are consistent with the person's clinical diagnosis and appropriately address the person's needs and that these services are unavailable in the state.
treatment, making treatment ineffective, severe family disruption, or recipient’s behavior persists despite appropriate treatment in a less restrictive level within the State of Alaska.

**Category 2: Treatment Effectiveness**

Instructions: One of the following 2 conditions must be present to satisfy this categorical requirement.

A.4. Therapeutic services provided (within the State of Alaska) in a less restrictive setting have been tried and found ineffective.

Examples: Clinical documentation supports the need for safety and structure of treatment provided in inpatient setting due to history of running away, compounding medical conditions, and harm to self or others.

A.5. Child has a documented history of multiple admissions to less restrictive therapeutic residential settings within the State of Alaska and has not progressed sufficiently or has regressed.

Examples: Family placements, therapeutic foster care, outpatient clinical and rehabilitative services, residential and group home care.

**Category 3: Severity**

Instructions: One of the following 2 conditions must be present to satisfy this categorical requirement.

A.6. Assessment material conducted by a qualified mental health professional clinician, documents the need for active provision of multiple therapies in inpatient setting with 24-hour awake supervision.

A.7. The recipient’s behavioral health disorder may be treated at a less restrictive level of care. However, the recipient suffers one or more complicating concurrent disorders that determine residential psychiatric care medically necessary.

Examples: Multiple conditions of physical and psychiatric natures, eating disorders, severe depression and FAE/FASD, Diabetes, HIV and other complicating conditions.

**Criterion B**

B. Proper treatment of the recipient’s psychiatric condition requires services on an inpatient basis under the direction of a physician. 42 CRF 441.152a-2 & 7AAC 43.552(C)(2)
Instructions: To meet Certification on Criteria B, all 4 of the following requirements must be met:

B1. A “physician” member of the Inpatient Interdisciplinary Team (IIT), according to 7AAC 43.552(f)(1) has certified need for admission; AND

Another member of the IIT according to 7AAC 43.552(f)(3) has certified need for admission.

B2. The recipient has a primary diagnosis of a psychiatric disorder classified as an Axis I diagnosis between 290. – 316.

B3. The recipient has a rating on DSM-IV-TR-TR Axis V at admission of 50 or less OR the GAF may be higher if the client exhibits specific mental, behavioral, or emotional disorders that place the recipient at imminent risk for out of home supervision or protective custody by the state or local authorities; OR

B4. The recipient is currently experiencing severely dysfunctional problems related to the psychiatric disorder diagnosed in B2, as demonstrated in one of the following areas.

B.4.a) Self-Care Deficit

Examples: Refusal to comply with treatment, impaired hygiene skills, refuses medication, persistent and severely depressed mood, self-care deficit may also place recipient in life threatening situations.

B.4.b) Impaired Safety

Examples: Runs away, history of chronic and severe loss of impulse control, repeated aggressive or destructive behavior toward self, others or property, recent suicide or history of in family or peer group, presence of suicidal ideation, gestures, or attempts

B.4.c) Severely impaired role functioning in the family, school or community.

Examples: The family’s situation is not responsive to outpatient interventions, difficulty performing at grade level, chronically truant, or repeated problems within the community with law enforcement.
Criterion C

C. The services can reasonably be expected to improve the recipient’s condition or prevent further regression so that RPTC services will no longer be needed. 42 CFR 441.155, 441.156 & 7AAC 43.552(C)(2)(C).

Instructions: To meet Certification on Criteria C, all 5 of the following requirements must be met:

C.1. The diagnostic evaluation includes examination of medical, psychological, social, behavioral, and developmental aspects of the recipient’s situation and reflects the need for RPTC care.

C.2. The individualized POC clearly documents goals and measurable objectives derived from the diagnostic evaluation.

C.3. The individualized POC is developed by a team of professionals in consultation with the recipient, his or her parents, and legal guardians in whose care she or he may be released after discharge.

C.4. The individualized POC clearly documents appropriate therapies, activities, and experiences designed to develop the recipient’s ability to function independently in their own environment.

C.5. The individualized POC clearly documents a comprehensive Discharge Plan that is based on completed treatment goals and objectives, specifies approximate discharge date, post-discharge service needs, identified post-discharge service providers to ensure continuity with the recipient’s family, school, and community upon discharge and any other provisions necessary for transition to a lesser restrictive environment. In continued stay cases, the treatment has stabilized the recipient’s behavioral health condition, and the facility and the guardian are diligently pursuing an appropriate lower level of care.
This page is intentionally blank.
Appendix D
Alaska Medicaid Mental Health Review Requirements Summary Sheet and Definitions
This page is intentionally blank.
Appendix D
Review Requirements Summary Sheet and Definitions

Active Treatment
Active treatment refers to the planning, delivery, and monitoring of a dynamic set of inter-related, effective, culturally appropriate, and individualized behavioral health services designed to meet the behavioral health service needs of the recipient. Active treatment includes the use of specific and clear intervention strategies that target those behaviors identified in the diagnostic evaluation, individualized POC, and designed to improve functioning, reduce or eliminate negative symptoms, demonstrate ongoing measurable progress, and enhance the quality of the recipient’s life. Qualified team must provide active treatment to a recipient and his/her legal guardian(s).

Appeal: An appeal is a request for reconsideration for a disputed review decision. Within 180 days of the notification letter.

Certificate of Need (CON): (42 CFR Ch. IV 441.152 and 441.153)
The clinical file must contain documentation per the CFR, which includes for urgent/emergency admissions:

- A physician certifies that the recipient is in need of inpatient services.
- The certification is made at the time of admission, or if an individual applies for Medicaid assistance while in the hospital before the Medicaid agency authorizes payment.

The Certificate of Need (CON) for NON-EMERGENCY ADMISSIONS: Must be certified with the signature of two (2) members of the Inpatient Interdisciplinary Team (IIT):

a. A physician member of the IIT; AND
b. Another member of the IIT have both signed and certified need for admission according to 7AAC43.552(f)(1,3). See CON listed in Appendix I Exhibit 10.

Clinical Records
A provider of psychiatric services shall maintain a clinical record of services provided to a recipient. A clinical record must include:

- The Certificate of Need information for inpatient psychiatric services in accordance with CFR 456.60.
- Diagnostic evaluation that includes examination of the medical, psychological, social, behavioral and developmental aspects of the recipient’s situation and reflects the need for inpatient psychiatric care.
- The results of required Early and Periodic Screening, Diagnosis, and Treatment (EPSDT) screenings.
- An individualized Plan of Care (POC).
- Update Plan of Care (POC) reviews.
- Individualized discharge plan to include specific discharge information.
  Documentation of active discharge planning at time of admission and continually updated to include contacts made, disposition of the contact, efforts to collaborate and coordinate with referring agency, receiving agency, receiving school (to include special education), barriers identified, and any other
information effecting discharge planning. The clinical record must document the parent/legal guardian’s active engagement in the discharge process and the facility’s efforts to contact and engage the parent/guardian in the process when there is no or limited participation.

- Progress notes that document the service provided, the date of the service, duration of service, active interventions provided, the recipient’s response to the intervention, and the recipient’s progress toward identified treatment goals and objectives. The provider of the service must sign each progress note and include his/her professional credentials.

**Family Psychotherapy Requirements:**

Requirements for family psychotherapy for **parental custody** recipients:

- In Acute Inpatient hospitals, family psychotherapy is required once per week with the identified family.
- In PRTF facilities, family psychotherapy is required once per week with the identified family to include siblings when clinically appropriate.

Requirements for family psychotherapy for **state custody** recipients—BOTH of the following are required:

- In acute inpatient hospitals, family psychotherapy is required a minimum of once per week with the identified family, when one exists, *to include siblings when clinically appropriate.*
- In PRTF facilities, family psychotherapy is required once per week with the identified family, when one exists
- AND: Required contacts with State of Alaska representatives of custody youth—once a week to exchange current treatment information and help facilitate discharge planning, whether or not an identified family is involved.

If family psychotherapy is clinically contraindicated:

- If family psychotherapy is contraindicated for a recipient and the clinical justification is documented in the chart, weekly contact with the parents and/or guardians is required, even when there is no family psychotherapy, in order to communicate treatment progress.
- The timeframe for which family psychotherapy is contraindicated must also be documented in the Plan of Care.
- Family psychotherapy is required to resume as soon as clinically indicated.

**Family psychotherapy for Over 18:** If a recipient of inpatient services is 18 years or older, Family Therapy sessions are required as outlined in protocol. A Release of Information must be signed by the recipient and recorded in the clinical record. Exceptions to this requirement must be documented in the clinical record.

**Family, Individual and Group Psychotherapy Documentation and Requirements:**

Must be performed on a weekly basis. A chart note must include a goal, an objective and an active intervention identified in the plan of care. The note records the recipient’s response to the intervention and progress. A progress note includes: date, time, duration of service signature and credentials of service provider and meet the following
treatment setting specific requirements:

- **Acute Care**
  - **Four therapeutic interventions must occur weekly** in any combination of the following three types of therapy:
    - **Individual therapy** must occur a minimum of one time per week.
    - **Group therapy** that is pertinent to the diagnostic needs of the recipient must occur a minimum of one time per week.
  
    - **Family therapy** must occur a minimum of one time per week.
  
    - If a recipient is in Office of Children’s Services (OCS) or Division of Juvenile Justice (DJJ) custody, contact with the appropriate caseworker must be held one time per week to discuss treatment progress and discharge planning in addition to the required weekly family therapy with the identified family.
  
    - Medication management/medication administration services to occur as needed.
  
    - Crisis intervention services to occur as needed.

- **PRTF Care** – to include all of the service requirements listed under Acute Care plus:
  
  - Family therapy must occur a minimum of one time per week. If a recipient is in Office of Children’s Services (OCS) or Division of Juvenile Justice (DJJ) custody, contact with the appropriate caseworker must be held one time per week to discuss treatment progress and discharge planning in addition to the required weekly family therapy with the identified family.
  
    - Group Skill Development services, and
  
    - Individual Skill Development services.

**GAF – Global Assessment of Functioning -- Score** 40 or below for acute care; 50 or below for PRTF care.

**Master Plan of Care (42CFR Ch. IV 441.155 and 7 AAC 140.405):**

- Due to be written, signed, and implemented within 14 days of admission (441.153)
- Due to be submitted (electronic review system (iEXCHANGE) preferred) for review on the 14th day after admission, which is the assigned review date (the end-certification) date

**Must Include:**

- Specific Problems relating to diagnoses are identified for treatment
- Measurable Objectives for each problem identified above are specified
- Projected timeframes for achievement of identified problems
- Integrated program of appropriate therapies (services) are listed as they relate to the identified problems and objectives above. Required therapies include group psychotherapy, family therapy, and individual psychotherapy and include experiences designed to develop the recipient’s ability to function independently in the recipient’s own environment
• Diagnostic evaluation, with Five Axis of diagnoses based on current DSM, with numerical codes
• Diagnostic evaluation that includes examination of the psychological, social, behavioral developmental aspects of the recipient’s situation, medication management plan. and reflects the need for inpatient psychiatric care
• Diagnostic evaluation of the client’s medical conditions including:
  • Identified Axis III conditions
  • Medications
  • Treatments
  • Restorative and rehabilitative services
  • Dietary needs
  • Assessments
• Be formulated in consultation with the recipient and the recipient’s family, guardian, or other individual to whose care or custody the recipient will be released following discharge
• Signatures of the recipient and/or the parent, guardian, or legal custodian, and the treatment team members
• The signed and dated authorization statement of the treating physician or mental health professional required by regulation
• Post discharge plans begin at time of admission and updated during the recipient’s inpatient stay as the recipient’s psychiatric needs change, that specifies the following:
  • The approximate dates for discharge
  • The recipients: anticipated post-discharge service needs
  • The recipient’s indentified services providers, and other provisions necessary for the transition to a less restrictive environment
  • Related community services to ensure continuity of care with the recipient’s family, school, and community upon discharge.
• See the Continued Stay Review Questionnaire for more requirements (see updated version) [http://www.qualishealth.org/healthcare-professionals/iexchange/provider-resources](http://www.qualishealth.org/healthcare-professionals/iexchange/provider-resources)
• Plan of Care must be reviewed/updated every 30 days (441.155) by the inpatient interdisciplinary team (IIT) (for regulated IIT makeup, see 441.156)
  ▪ Determined services provided are required on an inpatient basis
  ▪ Recommend changes in the plan as indicated by the recipient as an inpatient

**Medical Necessity Requirements Summary**

A medically necessary behavioral active treatment health service is designed to:
• Assess the nature and extent of the psychiatric disorder and its impact upon the recipient’s ability to meet the demands of daily living, social, occupation, or educational functioning.
• Diagnose the psychiatric disorder
• Treat the psychiatric disorder
• Provide rehabilitation for the psychiatric disorder
• Prevent the relapse or deterioration of the recipient's condition due to the psychiatric disorder

In making a determination as to whether the proposed services are medically necessary, the Qualis Health reviewer will consider the following:

• Recommendations of the Inpatient Interdisciplinary Team (IIT).
• The recipient's diagnosis and level of functioning.
• The risk of harm from the recipient to self or other individuals.
• The appropriateness of the level of care and the need for inpatient or residential care.
• Whether interventions target specific symptoms, behavioral, social dysfunction, and are clearly related to the diagnostic evaluation.
• Whether proposed services in the individualized Plan of Care (POC) are consistent with generally accepted treatments and practices for the treatment of the specific symptoms and behavior and/or social dysfunction.
• Whether the recipient and/or legal guardian agree with the IIT regarding the focus of treatment and the POC will address the symptoms, behavioral and social dysfunctions targeted for intervention.
• The extent to which past and/or current treatment has been successful in treating the symptoms, behaviors, and/or social dysfunction.
• Whether the recipient has, as indicated by the American Psychiatric Association’s DSM-IV-TR, an Axis V Global Assessment of Functioning (GAF) rating at admission of 50 or less for PRTF services, 40 or less for acute inpatient.
• The extent to which less restrictive treatment is not available in the State of Alaska.
• The extent to which the units of service requested are no more than are necessary to meet the treatment or rehabilitation needs of the recipient.
• The extent to which the duration of services requested are no more than are necessary to reach the recipient-approved goals outlined in the individualized POC.
• The requested services are reasonably expected to improve the recipient’s condition or prevent regression so that services at the current level of care will no longer be needed.
• The extent to which social functioning is improved through interventions provided as active treatment, targeted toward specific therapeutic goals and objectives and included in the individualized treatment plan.
• The extent to which the discharge plan is related to the accomplishment of goals and objectives with specific information addressing the approximate date for discharge, the recipient’s anticipated post-discharge service needs, the recipient’s identified service providers, and other provisions necessary for the transition to a less restrictive environment.

Payment for services determined not medically necessary under this section is subject to recovery under 7 AC 43.081.

**Mental Status Exam upon Admission:** The date of the last Mental Status Exam must be within seven (7) days prior to submission of the review and performed by a mental health professional.

**Peer Review:** Completed by the end of the next business day after notification of the
Offer of a Peer Review.

**Plan of Care Reviews:** Must be updated every 30 days for PRTF (441.155), and signed by the physician and appropriate treatment team members (7AAC 140.405; 42CFR Ch. IV 441.156 (b)(5)(c); 441.152; 441.153). Required elements to be included, but not limited to, are to include: Comprehensive discharge plan with anticipated discharge date; DSM-IV TR (or updated version) diagnoses, all five Axes including numerical codes to the fifth digit; Individual psychotherapy, Family psychotherapy, and Group psychotherapy; Identified Problems/Goals to be treated that address the diagnoses, and updated with documented progress toward measurable goals and objectives in all therapies on continued stay reviews; Consultation with recipient and family or guardian completed.

**Retrospective Appeal:** Provider must submit the request for reconsideration on a retrospective review within the allotted timeframe of 180 business days.

**PRTF Statute Requirement:**

Alaska Statute 47.07.032 asserts (a) Alaska Behavioral Health may not grant assistance for inpatient psychiatric services to a person under 21 years of age who is in an out-of-state psychiatric hospital facility or an out-of-state Psychiatric Residential Treatment Facility unless Alaska Behavioral Health determines that the assistance is for:

1. Psychiatric hospital services that are consistent with the person’s clinical diagnosis and appropriately address the person’s needs and that these services are unavailable in the state; or
2. Psychiatric Residential Treatment Facility services that are consistent with the person’s clinical diagnosis and appropriately address the person’s needs and that these services are unavailable in the state.
Appendix E
Alaska Medicaid Mental Health Review
Timeframes for Review Submissions
Appendix E
Alaska Medicaid Mental Health Review
Timeframes for Review Submissions
Submitting Requests for Prior Authorization Reviews

If a review is submitted before these timeframes, the review will be pended and the provider will be requested to submit updated clinical information within these timeframes.

Admissions
- Acute care admissions – on the day of admission, or a day before (when travel is an issue, call as necessary before the date of admission)
- PRTF admissions—on the day of admission, or up to two days before (when travel is an issue, call as necessary before the date of admission)

Timeframes for Continued Stay reviews submissions
- Master Plan of Care Review— on the 14th day after admission; Federal regulations -42CFR Ch. IV 441.154 require the Master plan of care to be...
  - (a) “developed and implemented no later than 14 days after admission for PRTF; and (b) Designed to achieve the recipient’s discharge from inpatient status at the earliest possible time.
  - The request for review of the written Master Plan of Care is to be submitted on the 14th day after admission for PRTF services and no later than on the 7th day after admission for acute care; i.e., the next review date assigned after admission.
  - The review questions for the Master Plan of Care are in the Continued Stay Review Questionnaire—See the section of questions dedicated to “Written Master Plan of Care Review”
- Acute care continued stay—Submit the review on the assigned “Next Review Date,” or up to two days before the Next Review Date.
- PRTF care continued stay-- Submit the review on the assigned “Next Review Date,” or up to three days before the “Next Review Date”.

Timeframes for Pended reviews:
When a review has been submitted and is pended awaiting clinical/required information, Qualis Health will notify the provider via iEXCHANGE and/or phone. The provider has no more than seven calendar days to submit the requested information before Qualis Health will proceed with the information already submitted. This may result in an adverse determination due to lack of documentation to support the certification of the review.
This page is intentionally blank.
This page is intentionally blank.
Appendix F
Contact Information

Business Hours:
Monday through Friday
8:00 am to 5:00 pm Alaska Standard Time

Holiday Schedule:

Anchorage Qualis Health Office
PO Box 243609
Anchorage, Alaska 99524
Phone: (877) 200-9046 or (907) 550-7620
Fax: (877) 200-9047

Betty Robards, MS, LTPA
Program Manager, Alaska Medicaid Mental Health, Qualis Health
Phone: (800) 949-7536 ext 7626 or (907) 550-7626
bettyr@qualishealth.org

Cara Robinson, RN, BSN, CCM
Vice President Medicaid Services, Qualis Health
Phone: (800) 949-7536 ext 2343 or (206) 288-2343
carar@qualishealth.org

Alaska Department of Health and Social Services, Behavioral Health
Phone: (907) 269-3620
Fax: (907) 269-8166

Teri Keklak
Behavioral Health Program Integrity
(907) 269-2050
teri.keklak@alaska.gov

Lisa Brown
Behavioral Health Program Integrity
(907) 269-2051
lisa.brown@alaska.gov

Maureen McGlone, MSW, ACSW
Behavioral Health, Utilization Review Specialist
(907) 269-3793
maureen.mcglone@alaska.gov
Reta Sullivan, LCSW
Behavioral Health, Utilization Review Specialist
(907) 269-8869
reta.sullivan@alaska.gov

Shannon Cross, LCSW
Behavioral Health, Mental Health Clinical III, FASD Waiver Project
(907) 269-3619
shannon.cross@alaska.gov

Anne Gibson, MS, RN
Behavioral Health, Utilization Review Specialist
(907) 269-8867
anne.gibson@alaska.gov

Judy Helgeson, MS, LPC
Behavioral Health, Utilization Review Specialist
(907) 269-3697
judith.helgeson@alaska.gov

John Williams, RN
Behavioral Health, Nurse IV, Utilization Review Specialist
(907) 269-7399
john.williams@alaska.gov

Valerie Kenny
Behavioral Health, Utilization Review, Project Assistant
(907) 269-3797
valerie.kenney@alaska.gov

Alaska State Division of Juvenile Justice, Social Services Program
Courtney O'Bryne-King, BS
Social Services Program Coordinator
(907) 261-4539
courtney.king@alaska.gov
This page is intentionally blank.
Appendix G
Commonly Used Phone Numbers & E-mail Addresses
This page is intentionally blank.
Appendix G
Commonly Used Alaska State Phone Numbers, E-mails, Websites and Addresses

Department of Health and Social Services
Behavioral Health
3601 C Street, Suite 934
Anchorage, Alaska 99503 (907) 269-3600 or (800) 770-3930
Alaska Behavioral Health - http://www.hss.state.ak.us/dbh/
Alaska Administrative Code - http://www.legis.state.ak.us/cgi-bin/folioisa.dll/aac

Teri Keklak
Behavioral Health Policy and Planning
(907) 269-2050
teri.keklak@alaska.gov

Medical Assistance Administrator with OCS (Alaska State Office of Children’s Services):
Shannon Sexton
(907) 465-8420
8:00 am– 4:30 pm Alaska Time
shannon.sexton@alaska.gov
Travel Authorizations through Xerox Business Services, LLC:
When traveling, provider is responsible to call the numbers below:

Phone Calls (Toll Free in Alaska)
(800) 770-5650
Weekdays:
8:00 am - 4:00 pm
Saturday 8:00am to 5:00pm
Sunday: 8:00am - 12:00pm
Hours are Alaska Time.

(907) 644-6800
Weekdays:
8:00 am - 4:00 pm
Saturday 8:00am - 5:00pm
Sunday: 8:00am -12:00pm
Hours are Alaska Time.

Fax to:
(907) 644-8131
24-hour access

Mail to:
P.O. Box 240769
Anchorage, AK 99524-0769
Claims Status, Electronic Media Claims (EMC) and Billing Procedures through Xerox Business Services, LLC:

Phone Calls (Toll Free in Alaska)  
(800) 770-5650  
8:00 am - 5:00 pm  
Hours are Alaska Time.

Phone Calls  
(907) 644-6800  
8:00 am - 3:30 pm  
Hours are Alaska Time.

Fax to:  
(907) 644-8126  
24-hour access

Mail Claims to:  
Xerox Business Services, LLC/Travel Authorizations  
Claims Dept.  
P.O. Box 240769  
Anchorage, AK 99524-0769

Prior Authorization and Continued Stay Reviews and Qualis Health  
(877) 200-9046  
8:00 am - 5:00 pm  
Hours are Alaska Time.

Phone Calls  
(800) 949-7536, ext. 2800  
8:00 am - 5:00 pm  
Hours are Alaska Time.

Phone Calls (Web Support) or Email: IEXCHANGEINFO@qualishealth.org

Fax Documentation to:  
(877) 200-9047  
24-hour access

Mail Documentation to:  
Qualis Health  
PO Box 243609  
Anchorage, AK 99524-3609
Provider Relations – Anchorage Office

Phone Calls (Toll Free) to:  
(877) 200-9046 or  
(907) 550-7620

Phone Calls to:  
Betty M. Robards, MS, LTPA  
Manager, Alaska Medicaid Mental Health  
Email: bettyr@qualishealth.org

Fax to:  
(877) 200-9047

Mail to:  
Qualis Health  
PO Box 243609  
Anchorage, AK  99524-3609

Eligibility Status:

Phone Calls (EVS-automated system) to:  
(800) 884-3223  
24-hour access

Phone Calls (In-State Toll Free) to:  
(800) 770-5650  
8:00 am - 5:00 pm  
Hours are Alaska Time.

Phone Calls to:  
(907) 644-6800  
8:00 am - 5:00 pm  
Hours are Alaska Time.

Fax to:  
(907) 644-8126  
24-hour access

Mail to:  
Xerox Business Services,  
LLC/ Eligibility Status  
P.O. Box 240769  
Anchorage, AK  99524
Appendix H
List of Example Exhibits
# Appendix H

## List of Example Exhibits

<table>
<thead>
<tr>
<th>Exhibit</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exhibit 1</td>
<td>Prior Authorization Admissions Example Flow Chart</td>
<td>104</td>
</tr>
<tr>
<td>Exhibit 2</td>
<td>Continued Stay Review Example Flow Chart</td>
<td>106</td>
</tr>
<tr>
<td>Exhibit 3</td>
<td>Expedited Appeal Process Example Flow Chart</td>
<td>108</td>
</tr>
<tr>
<td>Exhibit 4</td>
<td>Standard Appeal Process Example Flow Chart</td>
<td>110</td>
</tr>
<tr>
<td>Exhibit 5</td>
<td>Late Submission Review Example Process Flow Chart</td>
<td>112</td>
</tr>
<tr>
<td>Exhibit 6</td>
<td>Retrospective Eligibility Review Example Process Flow</td>
<td>115</td>
</tr>
<tr>
<td>Exhibit 7</td>
<td>Example Admissions Review Questionnaire</td>
<td>117</td>
</tr>
<tr>
<td>Exhibit 8</td>
<td>Example Continued Stay Review Questionnaire</td>
<td>126</td>
</tr>
<tr>
<td>Exhibit 9</td>
<td>Referral Form for Potential Out of State Placement</td>
<td>129</td>
</tr>
<tr>
<td>Exhibit 10</td>
<td>Certificate of Need (CON) Form</td>
<td>132</td>
</tr>
<tr>
<td>Exhibit 11</td>
<td>Retrospective Review Request Form/Late Submission Request</td>
<td>134</td>
</tr>
<tr>
<td>Exhibit 12</td>
<td>Children’s Residential Incident Report Form</td>
<td>136</td>
</tr>
<tr>
<td>Exhibit 13</td>
<td>PRTF Leave of Absence Request Form</td>
<td>140</td>
</tr>
<tr>
<td>Exhibit 14</td>
<td>Individual Chart Review Findings</td>
<td>141</td>
</tr>
<tr>
<td>Exhibit 14 A</td>
<td>Standards for Seclusion and Restraints</td>
<td>142</td>
</tr>
<tr>
<td>Exhibit 15</td>
<td>Referral Screening for RPTC/FASD Waiver</td>
<td>149</td>
</tr>
<tr>
<td>Exhibit 16</td>
<td>Intellectual/Developmental Disabled Waiver (IDD) Form link</td>
<td>150</td>
</tr>
</tbody>
</table>
Example of Prior Authorization for Admission Flow
Prior Authorization
Admissions
Flow Chart

Initial Contact to Qualis Health

Basic demographic data collected.

Clinical information received and medical necessity criteria applied.

Meets criteria

Certified determination for inpatient admit

Certification notification via web, phone or weekly fax.

To Physician

Qualis Health Physician determines medical necessity

Meets criteria

To Page 2

Exhibit 1
Page 1
Example of Continued Stay Review Flow

1. Qualis Health contacts facility UR department with notification of potential non-certification.

2. Attending physician notified by facility UR department to contact Qualis Health Physician.

3. Attending Physician contacts Qualis Health for peer review before end of next day.

4. Non-certification notification sent by end of business day.
   - Yes: Qualis Health Physician determines medical necessity.
   - No: Certify: notification to appropriate parties.

5. Certify: notification to appropriate parties.
Continued Stay Review Flow Chart

1. Start prior authorization review on next review date
2. Review meets criteria/Qualis Health Policy
   - YES: Certify continued stay; assign next review date
   - NO: Review referred to Physician
3. Review referred to Physician
4. Physician determines continued stay medically necessary
   - YES: Certify; notification to appropriate parties
   - NO: QH contacts facility UR department with notification of potential non-certification
5. Attending physician notified by facility UR department to contact Qualis Health Physician
6. Attending Physician contacts Qualis Health for peer review before end of next day
   - YES: Qualis Health Physician determines medical necessity
   - NO: Non-certification notifications sent by end of business day
7. Certify; notification to appropriate parties
This page is intentionally blank.
Example of Expedited Appeal Process Flow

1. Web, telephonic, fax or written request for expedited appeal received within two business days of receipt of initial denial

2. QH may request copies of chart notes or medical record from provider

3. Involved parties have 2 hours to submit more information

4. Information received within 2 hours
   - Yes
     4a. If no additional information is received, the appeal is based on information available
     4b. If additional information is received, proceed to step 5

5. QH sends medical records to PIPC licensed in appropriate specialty within one working day of receipt of medical records

6. QH sends medical records to PIPC licensed in appropriate specialty within one working day of receipt of medical records

7. PIPC upholds original determination
   - Yes
     QH notifies by web or telephone and sends letters to attending physician, hospital, and patient within one working day confirming original determination with clinical rationale and information regarding Qualis Health's standard appeal process
   - No

8. PIPC upholds original determination
   - Yes
     QH notifies attending physician, hospital, and patient (and claims payer, as required) within one working day with authorization number and approved dates of service modifying original determination and includes clinical rationale for the services non-certified and information regarding Qualis Health's standard appeal process
   - No

9. PIPC reverses original determination, approves case
   - Yes
     QH notifies by web or telephone and sends letters to attending physician, hospital, and patient (and claims payer, as required) within one working day with authorization number and approved dates of service reversing original determination.

Go to 7

PIPC = Physician/Practitioner Consultant
Expedited Appeal = An appeal of non-certification in a case involving urgent care.
This page is intentionally blank.
Example of Standard Appeal Process Flow

1. Request for standard appeal received within 180 days of initial denial

2. Qualis Health informs other parties that request for appeal has been received and request clinical information to support appeal

3. Involved parties have 7 days to submit more information

4. Information received within 7 days
   - 4a. If no additional information is received, the appeal is based on information available

5. QH sends medical record and/or additional information to P/PC in appropriate specialty

6. P/PC returns completed appeal review with decision to QH within 3 to 8 calendar days

   6a. P/PC upholds original determination
      - YES
      - QH sends letters to attending physicians, facility, and recipient confirming original determination with clinical rationale and information regarding next level appeal process*
      - NO
      - 6b. P/PC modifies original determination
         - YES
         - QH sends letters to attending physician, facility, and patient modifying original determination, with clinical rationale, certified dates of service, and contractor’s appeal process in the letter*
         - NO
         - 6c. P/PC reverses original determination, approves case
            - YES
            - QH sends letters with certified dates of services reversing original determination
            - NO
            - Go to 6

6d. P/PC reverses original determination
    - GO TO 6

P/PC = Physician/Practitioner Consultant

*Review completed and letters mailed within 30 days of receipt of request to perform standard appeal.*
Example of Late Submission Review Process Flow
Qualis Health has the option of deferring the request to the State UR Committee giving the reasons for the late submission.

State UR Committee notifies both the provider and Qualis Health (via phone, fax, e-mail or mail)

State Approval

Yes

Provider submits a review through the normal process

No

Qualis Health gives a Technical Denial

Provider may follow the regular appeal process
This page is intentionally blank.
Example of Retrospective Eligibility Review Process Flow

Retrospective Eligibility Review Process Flow

Client has been discharged. Eligibility for Medicaid has been approved and is retro active.

Providers to submit completed questionnaire. Preferably submitted by iEXCHANGE®.

Qualis gives determination within 30 calendar days.

Approval Given

Yes

Approval is given based on medical necessity review

Notification is in the weekly approvals fax sent to the provider.

No

Defer to Qualis Health Physician

MD Determination

Yes

Approval Given

Notification will be sent within one (1) business day. (Peer reviews are not offered for retro reviews.)

No

Denial

The regular appeal process is now followed.
This page is intentionally blank.
### Admissions Review Questionnaire (Example)

**Exhibit 7**

1. **Select Type of Review**
   - Acute: Emergency Admission
   - Acute: Non-Emergency Admission
   - RPTC: Expedited Admission
   - RPTC: Non-Emergent Admission
   - Retrospective (Use only if discharged)

2. **Have the appropriate physician and/or persons certified the need for admission?**
   - Yes
   - No

3. **Select Source of Referral (Select One):**
   - Acute Care-API
   - Acute Care-Prov/Discovery
   - Acute Care-North Star/Bragaw
   - Acute Care-North Star/Main
   - Acute Care-Other (Psychiatric General H)
   - In-state RPTC-North Star/Debarr
   - In-state RPTC-North Star/Palmer
   - In-state RPTC-ACS
   - In-state RPTC-Prov RPTC
   - In-state RPTC-McCann
   - BRS
   - Private Clinic
   - JJ
   - RPTC OOS
   - OCS
   - Parent
   - Foster Parent
   - CBHC
   - Police
   - Hospital/Emergency Room
   - Other: Enter information next question

4. **Enter 'other' Referral Source**

---

Revised July 2012 117
5. Select reason for Treatment Referral (Primary) (Select One):

- Suicidal Ideation/Attempt
- Homicidal Ideation/Attempt
- Aggression to Others
- Aggression to Self/Others
- Dual Dx
- Requires Locked Facility
- Running
- Sexual Acting Out
- Sexually Reactive Behaviors
- Self-Mutilating
- Psychotic Symptoms
- Eating Disorder

6. Select reason for Treatment Referral (Secondary) (Select One):

- Suicidal Ideation/Attempt
- Homicidal Ideation/Attempt
- Aggression to Self/Others
- Dual Dx
- Requires Locked Facility
- Running
- Sexual Acting Out
- Sexually Reactive Behaviors
- Self-Mutilating
- Psychotic Symptoms
- Substance Abuse
- Multiple Risk Factors
- Eating Disorder

7. Select Prognosis:

- Conditional
- Fair
- Good
8. Select primary reason for Secure Care (Select One):
   - Dangerous to Self
   - Dangerous to Others
   - Dangerous to Property
   - Runaway Behavior
   - Impulsive/Out of Control Behavior
   - Other: Enter information next question

9. Enter 'other' primary reason for Secure Care:

10. Ethnicity
   - Alaska Native
   - American Indian
   - Asian
   - Black
   - Hispanic
   - Other

11. Has the recipient been adopted (by non-biological parents)?:
   - Yes
   - No

12. Name of guardian parent, adoptive parent, or social worker:

13. Select Custody Status:
   - Non-custody
   - JJ - Juvenile Justice
   - OCS - Office of Children's Services

14. Select Region of Home Community (Select One):
   - Anchorage
   - Northern
   - Southwest
   - Southeast
   - South-Central
   - Mat-Su

15. Select Living Situation prior to this admission (Select One):
   - Detention
   - Family
   - Foster Family
   - Group Home
16. Enter ‘other’ Living Situation: __________________________________________________________

17. Name Last OOS RPTC: ________________________________________________________________

18. Last OOS RPTC Admission Date (mm/dd/ccyy format): ________________________________

19. Last OOS RPTC Discharge Date (mm/dd/ccyy format): _________________________________

20. Name Last Acute Care (Psychiatric): _________________________________________________

21. Last Acute Care (Psychiatric) Admission Date (mm/dd/ccyy format): ____________________

22. Last Acute Care (Psychiatric) Discharge Date (mm/dd/ccyy format): _____________________

23. Name Last In-state RPTC: __________________________________________________________

24. Last In-state RPTC Admission Date (mm/dd/ccyy format): ______________________________

25. Last In-state RPTC Discharge Date (mm/dd/ccyy format): _______________________________

26. Name Last BRS (BRS=Behavioral Rehabilitation Services Level II, III, IV): ______________

27. Last BRS Admission Date (mm/dd/ccyy format): _______________________________________

28. Last BRS Discharge Date (mm/dd/ccyy format): _______________________________________

29. Name Last Group Home: ___________________________________________________________

30. Last Group Home Admission Date (mm/dd/ccyy format): ________________________________

31. Last Group Home Discharge Date (mm/dd/ccyy format): ________________________________
32. Select Level of Cognitive Functioning:

- IQ Above 70 (Average) □
- IQ 55-70 (Mild) □
- IQ 35-54 (Moderate) □
- IQ 20-34 (Severe) □
- IQ Below 20 (Profound) □
- IQ Unknown □

33. Does the recipient have an IEP?

- Yes □
- No □
- Unknown □

34. Select applicable Trauma (Select all that apply):

- Natural Disaster □
- Physical Abuse □
- Domestic Violence (Witnessed) □
- Sexual Abuse □
- Emotional Abuse □
- Death/Suicide □
- Multiple Placements □
- Neglect □
- Multiple Losses □
- Adopted □
- None Identified □
- Other: Enter information next question □

35. Enter 'other' Trauma: ________________________________

36. Enter date of last Mental Status Exam (mm/dd/ccyy format): ________________________________

37. Select certification of person who performed or supervised the MSE:

- Physician □
- Mental Health Professional □
- Other □

38. Was the recipient receiving Outpatient Services (OP) prior to this admission?

- Yes □
- No □
- Unknown □
39. If yes, enter name of the Primary OP provider and service provided: _____________________________________________

40. Select Risk Factor/s (Select all that apply):
   - Flight Risk □
   - Suicide Risk □
   - Homicide Risk □
   - Problems with ADLs □
   - Sexually Acting Out □
   - Aggression □
   - Non-Compliance with Treatment □
   - Legal Problems □
   - Family History MH □
   - Family History Substance Abuse □
   - Hx self-Mutilating □
   - Property Destruction □
   - School Suspensions □
   - None Identified □
   - Other High Risk Behaviors, Enter next □

41. Enter "other" High Risk Behavior/s: _____________________________________________

42. Is recipient a Sex Offender?:
   - Not applicable □
   - Adjudicated □
   - Non-Adjudicated □
   - Unknown □

43. Enter Axis II Diagnosis Code: _____________________________________________

44. Enter Axis II Description: _____________________________________________

45. Enter Axis III Description OR Code: ______________________________

46. Select Axis IV Problems/Stressors (Select all that apply):
   - Problem with Primary Support Group □
   - Problem related to Social Environment □
   - Educational □
   - Occupational □
47. Enter Axis V GAF Score (0-100): ______________________

48. Select Co-Morbidity (Select all that apply):

- Thought D/O □
- Mood D/O □
- Substance Abuse □
- Complicated Medical □
- Eating D/O □
- Developmental D/O □
- FASD □
- Suspected FASD □
- Hx of Brain Injury □
- Medical Disability □
- None Identified □
- Other: Enter information next question □

49. Enter ‘other’ Co-Morbidity: ______________________

50. Initial Plan of Care (POC) (Select all that apply):

- Activity and Recreational Therapies □
- Baseline Assessment of Functioning □
- Collaboration with Care Coordinator □
- Contacts with JPO, OCS, JJ, if required □
- Crisis/Safety Plan Intervention □
- Educational Needs Assessment/Plan □
- Evaluation of Strengths □
- Family Psychotherapy □
- Further Diagnostic Evaluation □
- Group Psychotherapy □
- Group Skill Development Services □
- Identified Strengths of Recipient □
- Individual Psychotherapy □
Individual Skill Development Services ☐
Measurable Objectives for each Problem ☐
Neuropsych Testing ☐
Nutritional/Diet Screening and Planning ☐
Pharmacologic Management ☐
Physical Examination ☐
Psychosocial History ☐
Substance Abuse Assessment ☐
Tx Goals/Problems Identified ☐
Other: Explain in #50 ☐

51. Enter 'other' Planned Treatment:

52. Has the POC been formulated in consultation with the recipient (for adults) and the guardian (for minors)?

   Yes ☐
   No ☐

53. The diagnosis evaluation includes examination of medical, psychological, social, behavioral and developmental aspects of the recipient’s situation and reflects the need for acute care?

   Yes ☐
   No ☐

54. Enter Anticipated Discharge Date (Enter in mm/dd/ccyy format):

55. Document the answers to the following questions in Additional Comments at the bottom of the previous page. Use the Copy and Paste function. Highlight, right click, select Submit Questionnaire, paste (right click) into Clinical Findings box.

56. Anticipated Discharge Plan (Must clearly specify post D/C service needs including any prospective post D/C service providers and any other provisions necessary for transition to a lesser restrictive environment and adult services):

57. Describe acute disturbances related to the behavioral disorder:

58. Brief description of Psychosocial History (include explanation of trauma events):
59. Initial Plan of Care (Goals and objectives that are measurable and individualized):

60. Medication History-List medication history, including a statement on current medications. Note any medication concerns, or compliance issues for each medication, if that history is known:

61. List Safety Precautions in place: 
Continued Stay Review Questionnaire (Example)

AKBH Continued Stay Questionnaire

1. Select type of Continued Stay Review: Answer ONLY the questions that are PERTINENT to the TYPE OF REVIEW you are requesting. For TRIAL DISCHARGE HOME PASS, please answer ONLY if review period is before 11/01/2010):
   - Concurrent questions 1-14
   - Master POC 1-3 & 10-27 ONE TIME ONLY
   - Trial Discharge Home Pass 1-3 & 29-34
   - TTD – Same as Concurrent

2. Select current Custody Status:
   - Non-custody
   - JJ - Juvenile Justice
   - OCS - Office of Children’s Services

3. Enter Anticipated Discharge Date (Data of discharge must be based on individualized goal achievement per psychiatric treatment progress/needs, rather than program completion. mm/dd/yyyy format):

4. Enter Axis II Diagnosis Code: __________________________

5. Enter Axis II Description: ____________________________

6. Document answers #7-14 for CONCURRENT Review in Additional Comments at the bottom of the previous page. Use the Copy and Paste function. Highlight, right click, select Submit Questionnaire, paste (right click) into Clinical Findings box.

7. Describe acute disturbances, self care deficits or imminent risk to self, others, impaired safety or severely impaired role functioning (e.g. thought disorders or other acute disturbances pertaining to the primary and (if any) secondary diagnoses):

8. Updated Plan of Care Treatment Goals (Updated diagnosis and treatment plan. Specify the measurable goals and progress on treatment plan and in weekly Individual, Family and Group Psychotherapies):

9. List Safety Precautions in place: __________________________

10. ANY Medication changes (Date ordered and D/C, Dosage/Route, Frequency, Compliance, Drug level, if applicable and effectiveness):

11. Legal charges during this review period:_____________________

12. Medical services provided during this review period:_____________________

13. Updated DC Plan (Placement, Tx needs, anticipated providers, education svcs, community supports, individualized svcs, respite svcs, medical needs. Add contact information. List concerns and efforts towards timely discharge):

14. List Diagnostic testing planned with results and recommendations since last review:

AKBH Continued Stay Questionnaire updated 11/16/2010

Revised July 2012
15. MASTER PLAN OF CARE (MPOC) Questions #16-27 are to be answered ONE TIME ONLY with MPOC REVIEW.

16. Select the elements included in the written MPOC for this recipient (Select all that apply):
   - Activity and Recreational Therapies
   - Baseline Assessment of Functioning
   - Collaboration with Care Coordinator
   - Contacts with JPO, OCS, JJ, if required
   - Crisis/Safety Plan Intervention
   - Educational Needs Assessment/Plan
   - Evaluation of Recipient’s Strengths
   - Family Psychotherapy
   - Further Diagnostic Evaluation
   - Group Psychotherapy
   - Group Skill Development Services
   - Identified Strengths of Recipient
   - Individual Psychotherapy
   - Individual Skill Development Services
   - Measurable Objectives for each Problem
   - Neuropsych Testing
   - Nutritional/Diet Screening and Planning
   - Pharmacologic Management
   - Physical Examination
   - Psychosocial History
   - Substance Abuse Assessment
   - Tx Goals/Problems Identified
   - Other: Explain in Question #17 and/or #18

17. Explain 'other' element (as above):

18. Explain 'other' element (as above):

19. Enter Axis II code:

20. Enter Axis III Description OR Code:

21. Has the MPOC been formulated in consultation with the recipient and/or the recipient’s family or guardian?  
   Yes  
   No: Explain in next question

22. If the previous answer is 'No', please explain:

23. MPOC ONLY - Document the answers to #24-27 in Additional Comments at the bottom of the previous page. Use the Copy and Paste function. Highlight, right click, select Submit Questionnaire, paste (right click) into the Clinical Findings box.

24. ALL Medications (Date ordered and D/C, Dosage/Route, Frequency, Compliance, Drug level, if applicable, and effectiveness):

25. List Safety Precautions in place:
26. List the identified problems statement and their measurable goals according to their related diagnosis. Note specific measurable goals related to individual, Family, and Group Therapies:

27. Discharge Plan (Based on treatment goals and objectives, specifies approx DC date based on achievement of those stated objectives and post D/C svc. Must be continually updated to reflect changes and progress in treatment planning):

28. TRIAL DISCHARGE HOME PASS ONLY - Questions #29-34 (Please answer ONLY if review period is before Nov. 1, 2010):

29. Start date of Pass (mm/dd/ccyy format): ____________________________

30. End date of Pass (mm/dd/ccyy format): ____________________________

31. Enter name of escort: __________________________________________

32. Enter name of therapist requesting home pass: ______________________

33. Document the answer to the following question in Additional Comments at the bottom of the previous page. Use the Copy and Paste function. Highlight, right click, select Submit Questionnaire, paste (right click) into the Clinical Findings box.

34. Plan of Care for Trial Discharge Home Pass: Include-Goals & Objectives, Crisis Plan, OP Tx with names, dates and agreed upon goal. Describe any plan to make contact with the school:
State of Alaska
Behavioral Health
Utilization Review Referral Form
2-11-10

Please complete this form as soon as you become aware that an out-of-state admission may be advised for a youth who is **not** in state custody.

This form is only for referrals out of state.

- [ ] Referral from Acute Care
- [ ] Referral from In State RPTC
- [ ] Referral from Community

Fax to: 907-269-8166  Attention:
- Anne Gibson (Providence)
- Reta Sullivan (API)
- Judy Helgeson (North Star)
- Maureen McGlone (North Star)

<table>
<thead>
<tr>
<th>Date:</th>
<th>Referring Facility:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff Contact Name:</td>
<td>Contact Phone Number:</td>
</tr>
<tr>
<td>Fax #</td>
<td></td>
</tr>
</tbody>
</table>

Recipient Information:
Name: ___________________________
Medicaid Number: _________________
Other Insurance:____________________
Projected Discharge Date: __________
Date of Birth:____________________

Is recipient involved with:
- [ ] DJJ  [ ] OCS  [ ] CBHC  [ ] BRS
- [ ] Native Services  [ ] DD Services
- [ ] Special Education
- [ ] Substance Abuse Services

Outpatient provider contact info: ___________________________________________

Referral made to Community Behavioral Health Center? If not, why not? Identify which CBHC and their response: ___________________________________________

Was parent/peer navigation information provided? ____________________________
Did parents contact parent/peer navigator?
1) Family strengths, talents, positive qualities: _____________________________


---

Revised July 2012 129
2) Client strengths, hobbies, interests, positive qualities ____________________________________________

3) What do the parents want and why? ____________________________________________________________

4) Please check off and describe treatment options that were considered and reasons for denial or inappropriateness of these options:

☐ Outpatient services
☐ Outpatient services with Individualized Services (ISA) Funds

Who was contacted: ________________________________________________________________

Reason for denial (why the O/P provider can’t serve even with ISA funds):
_________________________________________________________________________________________

5) What would it take to make a placement in the home or nearby community be successful?
_________________________________________________________________________________________

6. In-State RPTC MANDATORY (What attempts at placement were made?)

Reasons for denial: (check all that apply) Please attach all denials received or the date denial was received and who the contact was the denied the referral.

<table>
<thead>
<tr>
<th>Service Provider contacted</th>
<th>No Bed</th>
<th>Staffing concerns</th>
<th>Need doesn’t match services</th>
<th>Why service doesn’t match need (please explain such as the milieu isn’t stable, client is too acute, age is not appropriate)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

7. Other (e.g. Group, Home, RDT, Foster Care, Substance abuse treatment) MANDATORY (What attempts at placement were made?)
Service Provider contacted: No
Bed
Not Enough
Not Trained
Need doesn’t match services
Why service doesn’t match need (please explain such as the milieu isn’t stable, client is too acute, age is not appropriate)

8. Reason for Potential Out-of-State Admission
Why are we not able to provide the service in state? What is lacking in state? (Select all that apply)

[ ] Primary Clinical Reason for Out-of-State Referral
- Suicidal Ideation/Attempt
- Homicidal Ideation/Attempt
- Aggression to Self
- Aggression to Others
- Dual Diagnosis
  - Developmental Disability
  - Substance Abuse
- Medically complicated
- Eating Disorder
- Other High Risk Behavior

Describe other high risk behaviors:

[ ] No bed available in state
[ ] Lack of appropriate bed in state
[ ] Inadequate staffing

For Community Providers and Non-Medicaid Resourced Youth – Fax the following:
Psychiatric Evaluation
Face Sheet/Demographics
Psychosocial Assessment
Psychological Evaluations (if available)

Certificate of Need for Admissions

Medicaid Inpatient Psychiatric Services

Medical Evaluation Certifying Need for Inpatient Care

Exhibit 10

Check One:  □ Acute Inpatient  □ PRTF

Upon admission, a physician member of the Interdisciplinary Treatment Team, according to 70AAC 43.552(f)(1); and another member of the Interdisciplinary Treatment Team, according to 7AAC 43.55(f)(3) must certify need for care by documenting why the recipient requires inpatient treatment.

Recipient’s Name: ___________________________  Medicaid ID Number: ______________________

61. Document in your chart: (A) why Ambulatory care resources available in the local community do not meet the treatment needs of the recipient, and for out-of-state treatment, (B) why inpatient care within the State of Alaska will not meet the treatment needs of the recipient:

(A)  __________________________________________________________________________

(B)  __________________________________________________________________________

62. Document why proper treatment of the recipient’s psychiatric condition requires services on an in-patient basis under the direction of a physician:

__________________________________________________________________________________________

63. Document how the proposed services can reasonably be expected to improve the recipient’s condition or prevent further regression so that services will no longer be needed:

__________________________________________________________________________________________

Print Name and Credentials of IIT Physician/Psychiatrist  Date

Signature of IIT Physician/Psychiatrist  Date

Print Name and Credentials of another IIT member  Date

Signature of another IIT member  Date
This page is intentionally blank.
## Exhibit 11

### State of Alaska Behavioral Health
Inpatient Psychiatric Review

- [ ] Retrospective Review Request
- [ ] Late Submission Request

### CLIENT INFORMATION

<table>
<thead>
<tr>
<th>Client Name</th>
<th>Client Date of Birth</th>
<th>Insurance ID #</th>
</tr>
</thead>
</table>

### Insurance Information:

- [ ] AK Medicaid

### FACILITY INFORMATION

<table>
<thead>
<tr>
<th>Facility</th>
<th>Admit Date</th>
<th>Discharge Date</th>
<th>Physician</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>UR Contact Person</th>
<th>UR Phone #</th>
<th>Fax #</th>
</tr>
</thead>
</table>

### Request Reason (PLEASE CHECK ALL THAT APPLY):

- [ ] Delayed Eligibility ____________________________
  - Date facility was notified of eligibility _____________
- [ ] Late Submission (post 30 days) __________________
- [ ] Retrospective (client has discharged and no initial review has been submitted) _______________

Please write a statement below showing reasons for the late submission request.
Additional Information may be requested.

### NOTE:
Please submit retro reviews via iExchange® (preferred method).

Fax completed form to Qualis Health
AK Medicaid Patients: 877-200-9047

For Internal Use Only – Calls Made for Additional Information

<table>
<thead>
<tr>
<th>Date</th>
<th>Date</th>
<th>Date</th>
</tr>
</thead>
</table>
This page is intentionally blank.
Department of Health and Social Services
Children’s Residential Incident Report Form

This incident report form is to be used to report critical incidents to the Alaska Department of Health and Social Services (DHSS) agencies. The agencies include Behavioral Health, Certification and Licensing, Juvenile Justice, Office of Children’s Services and Senior and Disabilities Service.

Make sure you follow incident reporting requirements for all DHSS agencies. This incident report form does not change reporting requirements for any of the DHSS agencies. You may be required to submit the same incident report to multiple DHSS agencies.

For specific information related to each agency’s incident report requirements, refer to the following:


**Certification and Licensing** – Alaska Administrative Code: 7 AAC 50.140

**Juvenile Justice and Office of Children’s Services** - [http://www.hss.state.ak.us/ocs/ResidentialCare/forms.htm](http://www.hss.state.ak.us/ocs/ResidentialCare/forms.htm)

Children’s Residential Incident Report Form Instructions

Thoroughly complete the form and fax to appropriate agency or multiple agencies as needed. Attach additional pages if needed.

**DHSS Agencies and Fax Numbers**

- Behavioral Health – Fax: (907)269-8166
- Certification and Licensing – Fax (907)269-3622
- Juvenile Justice - Fax: (907)261-4358
- Office of Children’s Services – Fax: (907)465-3656
- Senior and Disability Services - Fax: (907) 269-3690

**Section: Organization Information**

- A. Name of Organization
- B. Administrator / CEO of the facility responsible for the recipient
- C. Address of the facility.
- D. Phone / fax numbers for the facility.
- E. The contact person for the incident.

**Section: Recipient Information**

- A. Name of recipient
- B. Recipient’s Medicaid number (if applicable)
- C. Recipient’s Date of Birth (DOB).
- D. Recipient’s gender.
- E. Date recipient was admitted to the facility.

**Section: Incident Information**

- A. Date incident occurred
- B. Time incident occurred
- C. Location where incident occurred

**Section: Type of Incident**

- A. Please check all boxes that apply to this incident.

**Section: Form Completed by**

- A. Name of person completing this form.
- B. Title of person completing this form.
- C. Agency reporter is employed by.
- D. Signature of reported (if form is faxed).
- E. Date form filled out (see section Type of Incident for form completion requirements)

**Section: Notifications**

Guardian Must Always Be Notified.

Please indicate who was contacted regarding the incident.

Facilities outside the State of Alaska. If indicated, document incident was reported to your Licensing Organizations and/or Child Protective Agencies, and include contact information for the organizations.

**Section: Staff Involved in Incident**

List all staff including contact information involved in the incident either directly or indirectly.

**Section: Witnesses**

List all witnesses including contact information who would have any knowledge of the incident. This would include anyone outside the facility.

**Section: Summary of Incident**

- A. Describe circumstances or events that lead up to the incidents
- B. Describe actions taken in response to incident
- C. Describe follow – up plan

**Section: Incident Analysis**

- A. Describe all factors that contributed to the incident.
- B. Describe action taken by the facility to prevent this type of incident from reoccurring. Indicate if policy changes would be considered.
# Department of Health and Social Services Children's Residential Incident Report

## Organization Information

<table>
<thead>
<tr>
<th>Name</th>
<th>Name of Reporter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrator</td>
<td>Title</td>
</tr>
<tr>
<td>Address</td>
<td>Agency</td>
</tr>
<tr>
<td>Telephone and Fax</td>
<td>Phone Number</td>
</tr>
<tr>
<td>Contact for Incident</td>
<td>Signature (if faxed)</td>
</tr>
</tbody>
</table>

## Recipient Information

<table>
<thead>
<tr>
<th>Name</th>
<th>Date Form Filled Out</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medicaid Number</td>
<td>Parent, Legal Guardian or Legal Representative</td>
</tr>
<tr>
<td>DOB</td>
<td>Adult Protective Services</td>
</tr>
<tr>
<td>Gender</td>
<td>Behavioral Health</td>
</tr>
<tr>
<td>Admission Date</td>
<td>Division of Juvenile Justice</td>
</tr>
</tbody>
</table>

### Incident Information

<table>
<thead>
<tr>
<th>Date</th>
<th>State Office Program Coordinator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Time</td>
<td>Office of Children's Services</td>
</tr>
<tr>
<td>Location</td>
<td>Social Worker</td>
</tr>
</tbody>
</table>

### Type of Incident (Check Box(es))

- Death (including accidental death)
- Suicide (including attempt or threat)
- Allegation of sexual Abuse

#### Staff Involved in Incident (Name and Contact Info)

<table>
<thead>
<tr>
<th>Name</th>
<th>Contact Info</th>
</tr>
</thead>
</table>

#### Witnesses (Name & Contact Info)

<table>
<thead>
<tr>
<th>Name</th>
<th>Contact Info</th>
</tr>
</thead>
</table>

### Notifications

<table>
<thead>
<tr>
<th>Prohibition Officer</th>
<th>Public Health Licensing Unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Worker</td>
<td>Probation Officer</td>
</tr>
<tr>
<td>Customer Service</td>
<td>Office of Children's Services</td>
</tr>
<tr>
<td>Office of Children's Services</td>
<td>Division of Juvenile Justice</td>
</tr>
<tr>
<td>Office of Children's Services</td>
<td>Social Worker</td>
</tr>
<tr>
<td>Office of Children's Services</td>
<td>Social Worker</td>
</tr>
</tbody>
</table>

### Incident Analysis

#### Summary of Incident

- If unknown at admission / not identified on TX plan, the following incidents must be reported no later than first working day known:
  - Pregnancy
  - Severe distress or depression
  - Non-emergency medical care requiring parent / guardian consent including surgery, anesthesia, administration of psychoactive medication, or another drug prescribed for mental illness or behavioral problems.

#### Incident Analysis

<table>
<thead>
<tr>
<th>Factors contributing to incident</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actions necessary/taken to prevent similar future incident and person responsible for implementation</td>
</tr>
</tbody>
</table>

---

Revised July 2012
This page is intentionally blank.
State of Alaska, Division of Behavioral Health
Residential Psychiatric Treatment Center (RPTC)

Leave of Absence Request Form Beyond Service Limits

Please complete this form to request approval of a therapeutic leave of absence (LOA) beyond the 12-day per calendar year service limitation.

Please fax this form with supporting documentation to the Division of Behavioral Health Utilization Review staff at (907) 269-8166.

Date of Request: ______________________  Date of LOA Departure: ______________________

Recipient Name: ______________________  Date of LOA Return: ______________________

Medicaid ID#: ______________________  Supporting documentation to include:

☐ Plan of Care/Treatment Plan
☐ Crisis Plan
☐ Purpose of LOA (stated goals and objectives include outpatient appointments)

☐ Name of Family Member(s):

__________________________________________
__________________________________________
__________________________________________

☐ Name of Responsible Party/Escort:

__________________________________________

Anticipated Discharge Date: ________________

Form submitted by: _____________________________  (Name and Title)

Date: ________________  Phone: ________________  Fax: ________________

Facility Name: _____________________________

Maintain this form in the medical record of recipient.

Behavioral Health

Approved by: _____________________________ Date: _____________________________

November 1, 2010
### Individual Chart Review Findings

#### Confidential

#### Plan of Care Standards

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A1.01</td>
<td>The POC is based on the diagnostic evaluation. <em>Citation: 42 CFR 441.155 (b) (1)</em></td>
</tr>
<tr>
<td>A1.02</td>
<td>The POC states treatment objectives based on the diagnostic evaluation. <em>Citation: 42 CFR 441.155 (b) (3)</em></td>
</tr>
<tr>
<td>A1.03</td>
<td>The services available in the facility are adequate to meet the health, rehabilitative and social needs of the recipient. <em>Citation: 42 CFR 456.609 (a) (1)</em></td>
</tr>
<tr>
<td>A1.04</td>
<td>The POC is formulated in consultation with the recipient and the recipient’s family, guardian, or other individual to whose care or custody the recipient will be released after discharge. <em>Citation: 42 CFR 441.155 (b) (2)</em></td>
</tr>
<tr>
<td>A1.05</td>
<td>Changes in the POC are made as indicated by the recipient’s overall adjustment as an inpatient. <em>Citation: 42 CFR 441.155 (c) (2)</em></td>
</tr>
<tr>
<td>A1.06</td>
<td>The POC and POC updates are developed and reviewed by the required IIT. <em>Citation: 42 CFR 441.155 (b) (2) and 7 AAC 140.405 (d)</em></td>
</tr>
<tr>
<td>A1.07</td>
<td>The POC includes a discharge plan that is begun upon admission and identifies post discharge service needs including prospective services providers and other provisions necessary for the transition to a less restrictive environment. <em>Citation: 42 CFR 441.155 (b) (5) and 7 AAC 140.410 (6)</em></td>
</tr>
</tbody>
</table>

**Progress Note Standards**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A2.01</td>
<td>All ordered services, including dietary orders, are provided and properly recorded. (RN to score this standard). <em>Citation: 42 CFR 456.610 (a)</em></td>
</tr>
<tr>
<td>A2.02</td>
<td>Physician and nursing progress notes are made as required and appear to be consistent with observed condition of the recipient. (RN to score this standard). <em>Citation: 42 CFR 456.610 (d)</em></td>
</tr>
<tr>
<td>A2.03</td>
<td>Test and observations indicated by the medication regimen are made at appropriate times and properly recorded (RN to score this standard). <em>Citation: 42 CFR 456.610 (c)</em></td>
</tr>
<tr>
<td>A2.04</td>
<td>The attending physician reviews prescribed medication at least every 30 days (RN to review this standard). <em>Citation: 42 CFR 456.610 (b) (1)</em></td>
</tr>
</tbody>
</table>

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A3.01</td>
<td>Progress notes meet R/S regulations identified in the CFR. <em>Citation: 42 CFR 483.350 through 42 CFR 483.376</em></td>
</tr>
</tbody>
</table>
# Restraint and Seclusion Review

42 CFR 483.350 through 42 CFR 483.376

## GENERAL REQUIREMENTS

<table>
<thead>
<tr>
<th>#</th>
<th>Met</th>
<th>Not Met</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Met</td>
<td>Not Met</td>
<td>441.182 A psychiatric residential treatment facility must meet the requirements in 441.151 through 441.182</td>
</tr>
<tr>
<td>2</td>
<td>Met</td>
<td>Not Met</td>
<td>441.151 Inpatient psychiatric services to individuals under 21 must be: under direction of physician, provided by a psychiatric hospital or an inpatient. Psych program in a hospital, accredited by JCAHO, CASF or CARC; provided before the individual reaches 21, certified in writing to be necessary in the setting in which services will be provided.</td>
</tr>
<tr>
<td>3</td>
<td>Met</td>
<td>Not Met</td>
<td>441.152 (a) A team specified in 441.154 must certify that ambulatory care resources in the community don't meet treatment needs, proper treatment of psych condition requires services on inpatient basis under direction of physician, services can reasonably be expected to improve recipient's condition or prevent further regression so services will no longer be needed.</td>
</tr>
<tr>
<td>4</td>
<td>Met</td>
<td>Not Met</td>
<td>441.152(b) the certification specified in this section and 441.153 satisfies the utilization control requirement for physician certification in 456.60, 456.160, 456.360.</td>
</tr>
<tr>
<td>5</td>
<td>Met</td>
<td>Not Met</td>
<td>441.153(a) Team certifying need for services: includes a physician, has competency in diagnosis and treatment of mental illness preferably in child psychiatry, has knowledge of the individual's situation.</td>
</tr>
<tr>
<td>6</td>
<td>Met</td>
<td>Not Met</td>
<td>441.153(b) For an individual who applies for Medicaid while in the facility of program, the certification must be made by the team responsible for the plan of care as specified in 441.156 and cover any period before application for which claims are made. For emergency admissions, the certification must be made by the team responsible for plan of care within 14 days after admission.</td>
</tr>
</tbody>
</table>

## PROTECTION OF RIGHTS

<table>
<thead>
<tr>
<th>#</th>
<th>Met</th>
<th>Not Met</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Met</td>
<td>Not Met</td>
<td>483.356 Protection of residents: The facility must establish a policy for use of any emergency safety intervention, which is defined in this subpart as the use of restraint or seclusion (R&amp;S) as an immediate response to an emergency situation. The facility policy should address all requirements set forth by this condition of participation to ensure protection of residents which includes ensuring safety both during and after R&amp;S, specifying the required elements of an order for R&amp;S, identifying staff who are responsible for continual assessment during R&amp;S as well as defining the minimal physical and</td>
</tr>
</tbody>
</table>
psychological elements that must be assessed. The facility’s definition of R&S must correspond with definitions specified by CMS.

<table>
<thead>
<tr>
<th>Met</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>483.356(a)(1) Each resident has the right to be free from restraint or seclusion, of any form, used as a means of coercion, discipline, convenience, or retaliation.</td>
<td></td>
</tr>
<tr>
<td>483.356(a)(2) An order for restraint or seclusion must not be written as a standing order or on an as-needed basis.</td>
<td></td>
</tr>
<tr>
<td>483.356(a)(3) Restraint or seclusion must not result in harm or injury to the resident and must be used only...</td>
<td></td>
</tr>
<tr>
<td>483.356(a)(3)(i) To ensure the safety of the resident or others during an emergency situation and</td>
<td></td>
</tr>
<tr>
<td>483.356(a)(3)(ii) until the emergency safety situation has ceased and the resident’s safety and the safety of others can be ensured, even if the R&amp;S order has not expired.</td>
<td></td>
</tr>
<tr>
<td>483.356(a)(4) R&amp;S must not be used simultaneously.</td>
<td></td>
</tr>
<tr>
<td>483.356(b) Emergency safety intervention must be performed in a manner that is safe, proportionate, and appropriate to the severity of the behavior and the resident’s age, size, gender, physical, medical, and psychiatric condition and personal history.</td>
<td></td>
</tr>
<tr>
<td>483.356(C)(1) Notification of facility policy. At admission the facility must inform both the resident and in case of a minor, the parents or legal guardian of the facility’s policy regarding the use of restraint or seclusion during an emergency safety situation;</td>
<td></td>
</tr>
<tr>
<td>483.356(c)(2) Communicate its R&amp;S policy in a language the resident or parents or legal guardian understands and when necessary, the facility must provide interpreters or translators;</td>
<td></td>
</tr>
<tr>
<td>483.356(c)(3) Obtain an acknowledgment in writing from resident, parent or legal guardian if a minor, that they have been informed of facility’s policy on use of R&amp;S in an emergency safety situation. Acknowledgment must be filed in patient’s record.</td>
<td></td>
</tr>
<tr>
<td>483.356(c)(4) Provide a copy of the facility policy to the resident and parent or legal guardian if a minor.</td>
<td></td>
</tr>
<tr>
<td>483.356(d) The facility’s policy must provide contact information, including phone number and mailing address for the appropriate State Protection and Advocacy organization.</td>
<td></td>
</tr>
</tbody>
</table>

**ORDERS FOR SECLUSION & RESTRAINT**

<table>
<thead>
<tr>
<th>Met</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>483.358 Orders for R or S must be by a physician or other licensed</td>
<td></td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>-----</td>
<td>---------</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
</tbody>
</table>
completed during the shift in which it ends. Each documentation must include all of the following:

<table>
<thead>
<tr>
<th>Met</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>483.358(h)(1) each order for R or S as required in paragraph (g) above;</td>
<td></td>
</tr>
<tr>
<td>483.358(h)(2) The time the emergency safety intervention actually began and ended;</td>
<td></td>
</tr>
<tr>
<td>483.358(h)(3) The time and results of the 1-hour assessment required above;</td>
<td></td>
</tr>
<tr>
<td>483.358(h)(4) The emergency safety situation that required the resident to be restrained or put in seclusion;</td>
<td></td>
</tr>
<tr>
<td>483.358(h)(5) The name of staff involved in the emergency situation.</td>
<td></td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>483.358(i) The facility must maintain a record of each emergency safety situation, the interventions used, and their outcomes.</td>
<td></td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>483.358(j) The physician or other licensed practitioner permitted by the state and the facility to order R or S must sign the R or S order in the resident’s record as soon as possible.</td>
<td></td>
</tr>
</tbody>
</table>

**CONSULTATION WITH TREATMENT TEAM PHYSICIAN**

<table>
<thead>
<tr>
<th>Met</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>483.360 If a physician or other licensed practitioner...orders the use of R or S, that person must contact the resident’s treatment team physician, unless the ordering physician is in fact the resident’s treatment team physician. The person ordering the use of R or S must consult with the resident’s treatment team physician as soon as possible and inform the team physician of the emergency safety situation that required the resident to be restrained or placed in seclusion and</td>
<td></td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>483.360(b) document in the resident’s record the date and time the team physician was consulted.</td>
<td></td>
</tr>
</tbody>
</table>

**MONITORING OF RESIDENT IN AND IMMEDIATELY AFTER RESTRAINT**

<table>
<thead>
<tr>
<th>Met</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>483.362(a) Clinical staff trained in the use of emergency safety interventions must be physically present, continually assessing the physical and psychological well-being of the resident and the safe use of restraint throughout the duration of the emergency safety intervention.</td>
<td></td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>483.362(b) If the emergency situation continues beyond the time limit of the order, a RN or other licensed staff must immediately contact the ordering physician or other licensed practitioner permitted by the state and the facility to order R or S to receive further instructions.</td>
<td></td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
</tr>
<tr>
<td>483.362(c) A physician or other licensed practitioner permitted by the state and facility to evaluate the resident’s well-being and trained in the use of</td>
<td></td>
</tr>
</tbody>
</table>
### MONITORING OF THE RESIDENT IN AND IMMEDIATELY AFTER SECLUSION

<table>
<thead>
<tr>
<th>Met</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>483.364 Clinical staff trained in use of emergency interventions must be physically present in or immediately outside the seclusion room, continually assessing, monitoring and evaluating the physical and psychological well being of the resident in seclusion; and video monitoring does not meet the requirement.</td>
<td></td>
</tr>
<tr>
<td>483.364(b) A room used for seclusion must allow staff full view of the resident in all areas of the room and</td>
<td></td>
</tr>
<tr>
<td>483.364 (b)(2) be free of potentially hazardous conditions such as unprotected light fixtures and electrical outlets.</td>
<td></td>
</tr>
<tr>
<td>483.364(c) If the emergency situation continues beyond the time limit of the order, a RN or other licensed staff must immediately contact the ordering physician or other licensed practitioner ...to receive further instructions.</td>
<td></td>
</tr>
<tr>
<td>483.364(d) A physician or other licensed practitioner permitted ...must evaluate the resident’s well-being immediately after the resident is removed from seclusion.</td>
<td></td>
</tr>
</tbody>
</table>

### NOTIFICATION OF PARENT(S) OR LEGAL GUARDIAN(S)

<table>
<thead>
<tr>
<th>Met</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>483.366 If the resident is a minor, the facility must notify the parent or legal guardian of the resident who has been restrained or secluded as soon as possible after the initiation of each emergency safety intervention. &lt;see regulation &amp; facility policy&gt;</td>
<td></td>
</tr>
<tr>
<td>483.366(b) The facility must document in the resident’s record that the parents or legal guardian has been notified of the emergency safety intervention, including the date and time of notification and the name of the staff person providing the information.</td>
<td></td>
</tr>
</tbody>
</table>

### APPLICATION OF TIME OUT

<table>
<thead>
<tr>
<th>Met</th>
<th>Not Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>483.368 A resident in time out must never be physically prevented from leaving the time out area.</td>
<td></td>
</tr>
<tr>
<td>483.368(b) Time out may take place away from the area of activity or from others residents, such as resident’s room (exclusionary) or in the area of activity of other residents (inclusionary).</td>
<td></td>
</tr>
<tr>
<td>483.368(c) Staff must monitor the resident while he or she is in time out.</td>
<td></td>
</tr>
</tbody>
</table>

### POST INTERVENTION DEBRIEFINGS

<table>
<thead>
<tr>
<th>Met</th>
</tr>
</thead>
<tbody>
<tr>
<td>483.370 Within 24 hours after use of R or S, staff involved in the emergency</td>
</tr>
</tbody>
</table>
**Revised July 2012**

<table>
<thead>
<tr>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Not Met</strong></td>
</tr>
<tr>
<td><strong>Met</strong></td>
</tr>
<tr>
<td><strong>Not Met</strong></td>
</tr>
</tbody>
</table>

**intervention and the resident must have a face to face discussion.**

483.370(b) Within 24 hours after use of R or S, all staff involved in the emergency intervention and appropriate supervisory and administrative staff must conduct a debriefing session that includes a review and discussion of the emergency safety situation that required the intervention, including discussion of precipitating factors;

483.370(b)(2) Alternative techniques that might have prevented the use of R or S;

483.370(b)(3) The procedures, if any, that staff are to implement to prevent any recurrence of the use of R or S;

483.370(b)(4) The outcome of the intervention including any injuries that may have resulted from use of R or S.

483.370(c) Staff must document in the resident’s record that both debriefing sessions took place and must include in that documentation: names of staff present for debriefing, names of staff excused from debriefing, and any changes to resident’s treatment plan that result from debriefings.

### MEDICAL TREATMENT FOR INJURIES RESULTING FROM AN EMERGENCY SAFETY INTERVENTION

<table>
<thead>
<tr>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Not Met</strong></td>
</tr>
<tr>
<td><strong>Met</strong></td>
</tr>
<tr>
<td><strong>Not Met</strong></td>
</tr>
</tbody>
</table>

483.372 Staff must immediately obtain medical treatment from qualified medical personnel for a resident injured as a result of an emergency safety intervention.

483.372(b) The PRTF must have affiliations or written transfer agreements in effect with one or more hospitals approved for participation under the Medicaid program that reasonable ensure that.

483.372(b)(1) A resident will be transferred from the facility to a hospital and admitted in a timely manner when a transfer is medically necessary for medical care or acute psychiatric care;

483.372(b)(2) Medical and other information needed for care of the resident in light of such a transfer will be exchanged between the institutions in accordance with State medical privacy law, including any information needed to determine whether the appropriate care can be provided in a less restrictive setting; and

483.372(b)(3) Services are available to each resident 24 hours a day, 7 days a week;

483.372(c) Staff must document in the resident’s record all injuries that occur as a result of an emergency safety intervention including injuries to staff resulting from that intervention.
| Met | Not Met | 483.372(d) Staff involved in an emergency safety intervention that results in an injury to a resident or staff must meet with supervisory staff and evaluate the circumstances that caused the injury and develop a plan to prevent future injuries. |
| Met | Not Met | 483.374 Each PRTF that provides inpatient psychiatric services to individual under age 21 must attest, in writing, that the facility is in compliance with CMS’ standards governing the use of R or S and this attestation must be signed by the facility director. |
| Met | Not Met | 483.374(a)(1) A facility with a current provider agreement with the Medicaid agency must provide its attestation to the state Medicaid agency by 7/21/2001 and a facility enrolling as a Medicaid provider must meet this requirement at the time it executes a provider agreement with the Medicaid agency. |
| Met | Not Met | 483.374(b) The facility must report each serious occurrence (death, serious injury, suicide attempt) to both the State Medicaid agency and, unless prohibited by State law, the State designated Protection and Advocacy system. |
| Met | Not Met | 483.374(b)(2) In the case of a minor, the facility must notify the resident’s parents or legal guardian as soon as possible and no later than 24 hours after the serious occurrence. |
| Met | Not Met | 483.374(b)(3) Staff must document in the resident’s record that the serious occurrence was reported to both the State Medicaid agency and the State designated Protection and Advocacy system including the name of the person to whom the incident was reported. |
| Met | Not Met | 483.374(c) In addition to the reporting requirements contained in paragraph (b) of this section, facilities must report the death of any resident to the Centers for Medicare and Medicaid Services (CMS) regional office. |
| Met | Not Met | 483.376 The facility must require staff to have ongoing education, training, and demonstrated knowledge of... |
| Met | Not Met | 483.376(a)(1) techniques to identify staff and resident behaviors, events, and environmental factors that may trigger emergency safety situations; |
| Met | Not Met | 483.376(a)(2) The use of nonphysical intervention skills, such as de-escalation, mediation conflict resolution, active listening, and verbal and observational methods, to prevent emergency safety situations; and |
| Met | Not Met | 483.376(a)(3) The safe use of R or S including the ability to recognize and respond to signs of physical distress in residents who are restrained or in
<table>
<thead>
<tr>
<th>Met</th>
<th>Not Met</th>
<th>483.376(b) Certification in the use of CPR including periodic recertification is required.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Met</td>
<td>Not Met</td>
<td>483.376(c) Individuals who are qualified by education, training and experience must provide staff training.</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
<td>483.376(d) Staff training must include training exercises in which staff members successfully demonstrate in practice, the techniques they have learned for managing emergency safety situation.</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
<td>483.376(e) Staff must be trained and demonstrate competency before participating in an emergency safety situation.</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
<td>483.376(f) Staff must demonstrate their competencies as specified in paragraph (a – see reg. pg. 53)) on a semiannual basis and their competencies as specified in paragraph (b – CPR) on an annual basis.</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
<td>483.376(g) The facility must document in the staff personnel records that the training and demonstration of competency were successfully completed. It must include the date training was completed and the name of persons certifying the completion of training.</td>
</tr>
<tr>
<td>Met</td>
<td>Not Met</td>
<td>483.376(h) All training programs and materials used by the facility must be available for review CMS, the State Medicaid agency, and the State survey agency.</td>
</tr>
</tbody>
</table>
### Referral screening for RPTC/FASD Waiver

State of Alaska  DHSS/Division of Behavioral Health

Barbara Knapp
Phone: (907) 269-3609
Fax: (907) 269-3623

Shannon Cross LCSW
Phone: (907) 269-3619
Fax: (907) 269-8166

Toll-free phone: 1 800 770 3930

<table>
<thead>
<tr>
<th>Youth Name</th>
<th>M/F</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date of Birth</td>
<td></td>
</tr>
<tr>
<td>Medicaid Number</td>
<td>060</td>
</tr>
<tr>
<td>Parent or guardian name</td>
<td></td>
</tr>
<tr>
<td>Living situation</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Who has legal custody of youth?</th>
<th>Name:</th>
<th>Phone:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Mailing address:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Who should we contact regarding youth?</th>
<th></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Is youth in RPTC?</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes – anticipated discharge:</td>
<td></td>
</tr>
<tr>
<td>RPTC name &amp; location:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Is RPTC anticipated in next 30 days?</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes – has a referral or plan been made?</td>
<td></td>
</tr>
<tr>
<td>RPTC name &amp; location:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Current outpatient provider</th>
<th>Agency name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Provider name</td>
</tr>
<tr>
<td></td>
<td>Phone</td>
</tr>
<tr>
<td></td>
<td>Mailing address</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Current behaviors of youth indicating a possible need for this program/RPTC?</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has there been a formal psychiatric evaluation within the last 60 days?</td>
<td>Yes</td>
</tr>
<tr>
<td>Date:</td>
<td></td>
</tr>
<tr>
<td>By whom?</td>
<td></td>
</tr>
<tr>
<td>Is there a recommendation of RPTC placement?</td>
<td>Yes No</td>
</tr>
<tr>
<td>FASD diagnosis</td>
<td>Is FASD <strong>suspected</strong> or <strong>confirmed</strong>?</td>
</tr>
<tr>
<td>----------------</td>
<td>---------------------------------------</td>
</tr>
<tr>
<td></td>
<td>Diagnosis by:</td>
</tr>
<tr>
<td></td>
<td>When:</td>
</tr>
<tr>
<td>SED diagnosis</td>
<td>Axis I:</td>
</tr>
<tr>
<td></td>
<td>Diagnosis by:</td>
</tr>
<tr>
<td></td>
<td>When:</td>
</tr>
</tbody>
</table>
Exhibit 16

Intellectual and Developmental Disabled (IDD) Waiver & Services

Below is a link with information for the State of Alaska, Division of Senior and Disability Services, Intellectual and Developmentally Disabled (IDD) Waiver Program.

You may also contact a Qualis Health Care Coordinator for assistance with this resource by calling toll free (877) 200-9046, or (907) 550-7620

http://www.hss.state.ak.us/dsds/dd/eligible.htm