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## **Introduction**

This document describes the Medical Case Management service category of HCP, funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP. This document highlights each of the requirements and standards that apply to Medical Case Management, and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

## **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, (2) Requirements, and (3) Tools and Resources.

## **Service Definition**

### **HRSA Definition**

Medical Case Management is the provision of a range of client-centered activities focused on improving health outcomes in support of the HIV care continuum. Activities may be delivered by an interdisciplinary team that includes other specialty care providers. Medical Case Management includes all types of case management encounters (e.g., face-to-face, phone contact, and any other forms of communication).

### **Key Activities**

Key activities of Medical Case Management include:

- First appointment within 10 days of referral to screen for eligibility (if needed) and assign a medical case manager;
- Initial assessment of the client's service needs within 30 days of the first visit;
- Development of a comprehensive, individualized care plan at the initial assessment, including client-centered goals and milestones;
- Timely and coordinated access to medically appropriate levels of healthcare and support services;
- Routine client monitoring to determine the efficacy of the care plan;
- Re-evaluation of the care plan with the client at least every 6 months with revisions and adjustments as necessary;
- Ongoing assessment of the client's and other key family members' needs and personal support systems;

- Treatment adherence counseling to ensure that the client is ready for and adheres to HIV treatments;
- Client-specific advocacy and/or review of service utilization as appropriate; and
- Benefits counseling whereby staff assist eligible clients in obtaining access to other public and private programs for which they may be eligible (e.g., Medi-Cal, Medicare Part D, AIDS Drug Assistance Program (ADAP), Health Insurance Premium Payment (HIPP), Disability Insurance, Social Security, pharmaceutical manufacturers' patient assistance programs, Covered California, Housing Opportunities for Persons with AIDS (HOPWA), and/or other state or local health care and supportive services).

### *Objective*

Medical Case Management services are designed to improve health care outcomes for clients, whereas Non-Medical Case Management Services provide guidance and assistance to improve access to needed services.

### **Priority Populations**

Populations that should be prioritized for Medical Case Management include those who are newly diagnosed with HIV, homeless or unstably housed, recently released from incarceration, pregnant women, youth ages 18-24, or others with high acuity.

#### ***Monitoring***

**Priority Populations** - Prioritization of high-acuity/high-need patients will be monitored through site visit chart review, and HCP review of acuity assessments and related written policies and procedures.

### **Requirements**

#### **Provider Qualifications**

##### ***Education/Experience/Supervision***

The minimum educational requirements for a Medical Case Manager include 1) any health or human services bachelor's degree from an accredited college or university or 2) certificate/licensure in any of the following categories:

- Physician's Assistant (PA)
- Nurse Practitioner (NP)
- Public Health Nurse (PHN)

- Registered Nurse (RN)
- Social Work
- Counseling
- Psychology
- Gerontology
- Clinical Pharmacy

Medical Case Managers who do not meet this minimum educational requirement may substitute related direct consumer service experience under the supervision of a health or human services professional for a period of three (3) years of full-time work.

Contractors may choose to require additional education or licensure for Medical Case Managers, especially those in supervisory roles.

Medical Case Managers without a valid certification or license in their field must receive clinical oversight and support by meeting with a licensed clinician monthly or more frequently for urgent situations.

### ***Monitoring***

**Education/Experience/Supervision** - Credentialing and/or other education or experience meeting the minimum requirements for service provision in this category must be kept in personnel files, with hire date. Availability of clinical supervision for unlicensed medical case managers will be monitored via discussion during site visits.

### ***Staff Orientation and Training***

**Initial:** All staff providing Medical Case Management Services must complete an initial training session related to their job description and serving those with HIV. Training should be completed within 60 days of hire; topics must include:

- General HIV knowledge, such as transmission, care, and prevention
- Privacy requirements
- Navigation of the local HIV system of care including ADAP and HOPWA
- Basic case management skills

Other topics may include:

- Motivational Interviewing
- Trauma Informed Care

**Ongoing:** Staff must also receive ongoing annual training as appropriate for their position. Training may be any combination of (1) in-person, (2) articles, (3) home studies, or (4) webinar

### ***Monitoring***

**Staff Training** - All trainings provided, and dates of trainings must be available for review during site visits or upon request.

### ***Caseload***

Medical Case Managers are expected to maintain a caseload of between 40 and 65 clients at any given time depending on the acuity of clients.

### ***Monitoring***

**Caseload** - Agencies must submit to HCP their written policies and procedures for caseload review and redistribution when warranted, to adhere to caseload standards.

## **Service Characteristics**

Medical Case Management must be offered in a way that addresses barriers to accessing medical care and uses resources to support positive health outcomes for clients. All Medical Case Management services must include, at a minimum, the Key Activities included in the **Service Definition** section of this document. Other key characteristics include:

**Eligibility Screening:** If the Medical Case Manager is the client's first contact with HCP, the client must be screened for eligibility as described in the Common Standards of Care.

**Initial Medical Case Management Appointments:** Initial Medical Case Management appointments should be made as soon as possible to avoid potential drop out. Appointments must occur no later than 10 calendar days after first client referral which can include self-referral. As clients may miss appointments, agencies must have a process in place to ensure timely follow up with clients, preferably within 24 hours. Missed appointments and case management attempts at rescheduling must be documented in the file.

### ***Monitoring***

**Initial Appointment** - Timeframe for intake appointments for new clients will be monitored through chart review. Agencies will be asked to submit to HCP written policies and procedures for client follow-up after missed appointments; documentation of rescheduling attempts will be monitored via chart review during site visits.

**Referral:** Clients ineligible for Medical Case Management services through HCP must be referred to another community-based organization or safety net provider utilizing a warm handoff when possible. Documentation of that referral must be in the client file and available upon request.

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#### ***Monitoring***

**Referrals** - Documentation of referral of ineligible clients to other services will be monitored via chart review during site visits.

**Primary Case Manager:** Each client should always have a primary case manager who helps coordinate services with other members of the treatment and services team. This primary case manager will serve as the main point person for the client to streamline communication and maximize care coordination.

#### ***Monitoring***

**Primary Case Manager** - Review of primary case manager assignment will be conducted during chart review.

**Partner Services:** Per HCP Management Memo 15-06, HCP providers funded for Medical Case Management must have a process for Partner Services counseling and referral for clients. Partner Services information should be offered and referrals made for clients according to established processes.

#### ***Monitoring***

**Partner Services** - Existence of processes for Partner Services counseling and referral will be monitored through agency submission of written policies and procedures related to this topic. Implementation of the policy (i.e. that clients are actually offered and referred to Partner Services) will be monitored through observation, discussion, and/or chart review during site visits.

### ***Intake***

The Medical Case Manager must ensure that the client intake has been performed at the start of service provision and perform an intake if one has not previously been completed. See the Common Standards of Care for detailed intake requirements.

### ***Orientation***

Each new client enrolled in Medical Case Management must receive an orientation to the services at the first visit; document this orientation in the client file.

### ***Initial Assessment***

The Medical Case Manager must conduct a comprehensive face-to-face psychosocial needs assessment within 30 days of the start of Medical Case Management Services. The needs assessment will describe the client's current status and identify their strengths and weaknesses, resources, and/or stressors in order to develop a relevant treatment plan which allows the patient to function and manage their condition as independently as possible. This assessment must be thoroughly documented, and should be client-centered (the client may defer or choose not to discuss any specific issues during the assessment). Topics for discussion during the assessment should include:

- Primary care connection;
- Connection with other care providers (e.g. dentist, specialists, key social services)
- Current health status / medical history, including last and next medical appointment, most recent CD4 and VL, and any reasons for terminating care (if applicable);
- Oral health and vision needs
- Current medications / adherence;
- Immediate health concerns;
- Substance use history;
- Mental health / psychiatric history;
- Level of HIV health literacy;
- Awareness of safer sex practices;
- Sexual orientation and gender identity;
- Sexual history;
- Treatment adherence history, including assessment of ability to be retained in care;
- Self-management skills and history;
- Prevention and risk reduction issues;
- History of incarceration
- Family composition;
- Living situation;
- Languages spoken;
- History and risk of abuse, neglect, and exploitation;
- Social community supports;
- Transportation needs;
- Legal issues
- Financial / program entitlement;
- Emergency financial assistance needs and history;
- Nutritional status assessment;
- Partner Services needs;
- Cultural issues, including ethnic, spiritual, etc.; and
- Summary of unmet needs.

### ***Monitoring***

**Initial Assessment** - Performance of a timely initial assessment, along with complete documentation of assessment findings and applicable referrals/linkages, will be monitored via site visit chart review.

### ***Development of Care Plan***

**Existing Care Plan:** When an existing care plan is present (e.g., if the client has received other HCP services), that care plan should be reviewed and utilized in the creation of the Medical Case Management care plan.

**Frequency:** An individualized care plan must be developed during the initial assessment, and re-evaluated at least every 6 months with modifications as needed.

**Requirements:** Medical Case Managers developing an individualized care plan should ensure that the plan, at a minimum:

- Is individualized and medically-focused
- Incorporates client input
- Sets realistic goals, objectives, and timelines based on client needs identified by the client and medical team. The goals must be measurable and identify who is responsible for each intervention
- Identifies resources to attain the goals and objectives, including collaboration with other relevant providers (e.g. substance abuse counselors, physicians, housing specialists)

The Medical Case Manager may also develop a “compliance contract” if preferred by the client. The written care plan/compliance contract should be signed by the client and a copy should be provided to the client.

**Updates:** As the client’s status changes, the client and case manager must work together to establish new goals, objectives, and timelines.

**Documentation:** Care plans can be documented in paper charts, EMR, or in ARIES under the “Care Plan” tab. Copies of completed individualized care plans must be uploaded to ARIES and/or retained in the client file, signed by both client and provider if paper based. Client and provider must also sign any updated plans if paper based.

### ***Monitoring***

**Care Plans** - Development of individualized, medically-focused care plans that meet the requirements laid out above will be monitored via review of client charts and/or electronic health records during site visits. Care plans may be uploaded to ARIES; however, this is not required. Documentation of care plan development per ARIES will be reconciled with the existence of care plans in patient charts during site visits, as applicable.

**Quality Assurance and Supervision:** All agencies providing Medical Case Management must have a quality assurance plan in place describing a supervisory review to assess



documentation of client's needs and if those needs were addressed. Annually, a representative sample of at least 10 percent of charts of active Medical Case Management clients must have a supervisor review. All clients who are discharged from Medical Case Management must also have a supervisor review within 3 months of discharge. Supervisors' reviews must be documented in the client chart with signature, date of review, and findings. If staff supervisors are not licensed providers, the agency must have a review process by a licensed provider that meets the above requirements. Licensed providers may not perform the review of their own clients' charts.

### ***Monitoring***

**Chart Reviews** - Annual review of client charts by clinical providers will be monitored via chart review during site visits.

### ***Coordination of Services***

**Client Record:** All Medical Case Management activities, including but not limited to all contacts and attempted contacts with or on behalf of clients and coordination with referral agencies, must be recorded in the client record as soon as possible and entered into ARIES within two (2) weeks. Documentation of activities must be legible, signed, and dated by the Medical Case Manager.

**Case Conferencing:** Formal case conferences must be held at least once per quarter for all clients to coordinate care among providers from different services, fields, and disciplines. For clients experiencing significant changes or unexpected absence from care, more frequent case conferences may be necessary. Case conferencing should be done through a formal meeting with a multidisciplinary team that is appropriate to the needs of the client. Memoranda of Understanding (MOUs), Releases of Information, or other standardized agreements may be necessary to ensure participation in the multidisciplinary team by all necessary staff.

- **Discussion:** During case conferencing, a review of the care plan and an evaluation of the services the client is receiving should be performed, as well as discussion of the client's current status (coordinating care, troubleshooting problems with maintaining the client in care, strategies to re-engage client in care, etc.).
- **Client Input:** The client and/or their legal representative must be given the opportunity to provide input to the Medical Case Manager about their care plan for discussion at the case conference.
- **Documentation:** Appropriate documentation must also be kept in the client chart or record including:
  - Names and titles of those attending the case conference,
  - Key information discussed, and

- Whether the client or legal representative had input into the conference and the outcomes.
- Documentation of the case conferencing can be captured in ARIES by entering the service Medical Case Management with the subservice of Case Conferencing.

### ***Monitoring***

**Case Conferencing** – Documentation of quarterly case conferencing in client charts (including use of a multidisciplinary team, opportunity for client/caregiver/legal representative input) will be monitored via chart review during site visits.

### ***Client Monitoring***

**Follow-Up and Monitoring.** Medical Case Management is an ongoing management process, not simply initial or occasional assessments and referrals. Individuals who are self-sufficient and do not need periodic follow-up related to their medical care or treatment adherence may not need Medical Case Management services, and may be discharged and referred to Non-Medical Case Management services as needed (see *Client Transfer and Graduation*, below). Medical Case Management shall target individuals needing support in accessing and maintaining regular care in order to improve their health outcomes. Follow-up contact by Medical Case Managers shall be appropriate to the needs of the client, but contact should be made on at least a monthly basis to prevent clients from falling out of care. To that end:

- Medical Case Managers shall respond in a timely and appropriate manner to client requests for assistance and to client needs identified by other providers. In general, case managers are expected to respond to clients and providers within one working day.
- Even when a Medical Case Manager has not become aware of any care-related problems or situational issues, they shall contact the client periodically in case the client has hesitated to contact the case manager about their needs or issues regarding services. Such contacts can serve as opportunities for reassessment of the client's needs and living situation. Frequency of these contacts shall be determined by the case manager's assessment of the client's situation.
- For newly diagnosed clients, Medical Case Managers should meet more frequently during the initial intake process in order to ensure clients are linked to HIV-related medical care within 30 days, at the latest. Ideally, linkage to care occurs within 24 hours of diagnosis.

**Lost to Follow-up.** The client is lost to follow-up if the client cannot be located after at least three documented attempts per month over a period of three consecutive months. Attempts

to contact the client must take place on different days and times of the day during this time period. Providers are strongly encouraged to refer clients who are lost to follow-up to the local public health department for further outreach and re-engagement in care activities. See the *Client Transfer and Case Closure* section of this document.

### ***Monitoring***

**Client Contact** - Frequency of client contact by medical case managers (i.e. at least once monthly) will be monitored through review of services in ARIES.

### ***Reassessment/Revision of Care Plan***

Medical Case Managers should routinely review the successes and challenges clients are having in achieving outcomes as outlined in the service plan, measure progress in meeting goals and objectives, and revise the plan as necessary.

**Revision of care plan:** Client assessment and revision to the care plan as appropriate must be made at least every 6 months or more frequently as client condition changes.

**Documentation:** Medical Case Managers must routinely document the outcome of reassessments and service activities in the client record, ARIES, client contact form, and outcome log (if applicable).

**Feedback:** Medical Case Managers must provide constructive feedback to clients when reviewing the care plan and progress made toward goals and objectives. Constructive feedback is based on concrete observations, and is focused on providing information to the client in a non-judgmental way. Feedback should be strengths-based whenever possible.

### ***Monitoring***

**Reassessment/Revision of Care Plan** - Documentation of care plan reassessment and revision will be monitored via review of client charts and/or electronic health records during site visits; timing and quality of the reassessment (including the use of constructive feedback) will be monitored via discussion and client chart review during site visits.

### ***Treatment Adherence Counseling***

**Monitor Treatment Adherence:** Medical Case Managers shall monitor client treatment adherence. Client self-report, pill counts, electronic pill bottle caps, diaries, adherence watches and other reminder systems, lab reports, etc. are used to assist with adherence monitoring. Lab reports, particularly viral suppression status, are an integral part of understanding a client's adherence to medications and medical care. The Medical Case Manager must determine which method(s) may be helpful for a particular client. As needed, the Medical Case Manager shall determine who has the primary responsibility for giving

medication, and shall provide HIV and adherence education to family members or caregivers as applicable. Medical Case Managers shall refer clients to additional treatment adherence services as needed.

To support treatment adherence, Medical Case Managers shall:

- Make an effort to identify barriers to adherence in each case (housing instability, alcohol and drug use, mental health issues, financial factors, attitudes toward medicines, etc.)
- Communicate any adherence barriers to the client's medical care providers and work to address the barriers, updating the care plan as needed.
- Consult the client's current laboratory results regularly for monitoring purposes

### ***Advocacy and Utilization Review***

Medical Case Managers must ensure the provision of a basic needs assessment and assistance (through appropriate referrals) in obtaining medical, social, community, legal, financial, and other needed services. Key activities include:

- Assessment of service needs
- Provision of information and/or referrals; referrals should involve a warm handoff whenever possible
- Assistance in obtaining official documentation such as an ID, if needed
- Clear documentation of assessment and referrals

### ***Client Transfer and Case Closure***

**Transfer of Clients:** In the event that a client wishes to (or needs to) transition to Medical Case Management services offered by another agency, relevant intake documents should be forwarded to the new service provider after obtaining a release of information from the client. Case managers from both agencies should work together to provide a smooth transition for the client and ensure that all critical services are maintained. Transfer of clients between agencies or case managers is initiated when:

- The client notifies the case manager that they have moved to a different service area,
- The client notifies the case manager of their intent to transfer services to another agency,
- The Forced Disenrollment Grievance Procedure has been followed as defined in the Common Standards of Care, or
- The agency no longer receives funding.

**Case Closure:** Discharge from Medical Case Management services may affect the client's ability to receive and stay compliant with medical care. As such, discharge from Medical Case Management must be carefully considered with reasonable steps taken to ensure clients who need assistance in accessing care are maintained in case management programs. Agencies should close a client's file according to the written procedures established by the agency, as well as those outlined in the Common Standards of Care. A client file may be closed under any of the conditions listed in the Common Standards of Care. Additional circumstances for closing a Medical Case Management case include:

- The client no longer demonstrates need for Medical Case Management due to their own ability to effectively advocate for their needs
  - Agencies must have written policies and procedures to “graduate” clients out of Medical Case Management (and into other services if appropriate, such as Non-Medical Case Management) including specific criteria for determining that the client is ready to graduate.
- A client is being incarcerated for more than 6 months and adequate care exists within the correctional setting
  - If a client's incarceration is for a period of 6 months or less, the Medical Case Manager should coordinate services with correctional medical staff in order to ensure continuity of care upon release.
- The client is transitioning into Medical Case Management services offered by another agency, as described above

## **Tools and Resources**

More information about Medical Case Management can be found here:

TARGET Center resources on Medical Case Management:

<https://careacttarget.org/category/topics/case-management>

CALIFORNIA DEPARTMENT OF PUBLIC HEALTH (CDPH) OFFICE OF AIDS (OA)  
HIV CARE PROGRAM (HCP) STANDARDS OF CARE

## Medical Nutrition Therapy

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Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	OA Workgroup	6/10/2018	Marjorie Katz	6/10/2018	First public working draft

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## **Introduction**

This document describes the “Medical Nutrition Therapy” service category of the California HIV Care Program (HCP), funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP.

This document highlights the requirements and standards that apply to Medical Nutrition Therapy, and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

## **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, and (2) Requirements.

## **Service Definition**

### **HRSA Definition**

Medical Nutrition Therapy, including nutritional supplements, is provided by a licensed, registered dietitian outside of an Outpatient/Ambulatory Health Services visit. Food may be provided pursuant to the recommendation of a health care professional (i.e., physician, physician assistant, nurse practitioner) with a nutritional plan developed by a licensed, registered dietitian. Nutritional counseling services and nutritional supplements not provided by a licensed, registered dietitian shall be considered a support service and be reported under Psychosocial Support Services and Food Bank/Home-Delivered Meals, respectively. Food not provided pursuant to a health care professional’s recommendation and nutritional plan developed by a licensed, registered dietitian should also be considered a support service and is reported under Food Bank/Home Delivered Meals.

### **Program Guidance**

All services performed under this service category must be pursuant to a medical provider’s referral and based on a nutritional plan developed by the registered dietitian or other licensed nutrition professional.

### **Key Activities**

Key activities of Medical Nutrition Therapy include:

- Nutrition assessment and screening;
- Dietary/nutritional evaluation and development of a nutritional plan at the first visit;
- Food and/or nutritional supplements per medical provider’s recommendation; and
- Nutrition education and/or counseling.



Medical Nutrition Therapy services can be provided in individual and/or group settings outside of Outpatient/Ambulatory Health Services visit.

### ***Objective***

The objective of Medical Nutrition Therapy is to optimize the nutritional status of clients by preventing dietary deficiencies, and promote the maintenance of healthy weight and body composition in order to maximize effectiveness of antiretroviral treatment and overall health.

### **Units of Service**

A Unit of Service (UOS) is a 15-minute contact between a client and a registered dietitian (RD) for medical nutrition therapy, nutritional counseling, or the development of a nutritional plan, or a single transaction for the client to receive nutritional supplements.

### **Requirements**

#### **Provider Qualifications**

##### ***Education/Experience/Supervision***

Medical Nutrition Therapy services are provided by dietitians licensed and registered in the State of California. Providers should be trained and knowledgeable in HIV-related issues. Individual supervision and guidance must be routinely provided to all staff.

#### ***Monitoring***

**Provider qualifications** – Staff experience meeting the minimum requirements for service provision in this category must be kept in personnel files, with hire date for review during site visits.

**Supervision and guidance** – Provision of routine supervision and guidance will be monitored via discussion during site visits.

##### ***Staff Orientation and Training***

**Initial:** All HCP-funded staff providing Medical Nutrition Therapy must complete an initial training session related to their job description and serving those with HIV. Training should be completed within 60 days of hire. Topics must include:

- General HIV knowledge such as transmission, care, and prevention
- Privacy requirements and HIPAA regulations
- Navigation of the local system of HIV care including ADAP

**Ongoing:** Staff must also receive ongoing annual HIV training as appropriate for their position, including any continuing education required by the State of California to maintain licensure. Training must be clearly documented and tracked for monitoring purposes.

### ***Monitoring***

**Staff training** – Knowledge and training related to HIV care for all staff will be verified through personnel file documentation of hire date, all trainings provided, and dates of trainings; these records must be available for review during site visits or upon request.

## **Service Characteristics**

Medical Nutrition Therapy must be offered in a way that addresses barriers to accessing nutritional care and uses resources to support positive health outcomes for clients. All Medical Nutrition Therapy must include the Key Activities included in the Service Definition section of this document. Other key characteristics include:

**Initial Medical Nutrition Therapy Appointments:** Initial Medical Nutrition Therapy appointments should be made as soon as possible to avoid potential drop out. Appointments must occur no later than 30 calendar days after the first client referral, but should be scheduled sooner whenever possible. As clients may miss appointments, agencies must have a process in place to ensure timely follow-up with clients, preferably within 24 hours. Missed appointments and attempts at rescheduling must be documented in the client file.

### ***Monitoring***

**Appointment scheduling and follow-up** – In advance of site visits, agencies will be asked to submit to HCP written policies for initial appointment scheduling and client follow-up after missed appointments; documentation of rescheduling attempts will be monitored via chart review during site visits.

### ***Orientation***

Each new client enrolled in Medical Nutrition Therapy must receive an orientation to the services at the first visit; document this orientation in the client file.

### ***Initial Assessment***

The Medical Nutrition Therapy provider must conduct a comprehensive face-to-face assessment within 30 days of referral. The nutritional assessment will describe the client's current status and inform the nutritional plan. The nutritional assessment should include:

- Baseline body weight
- Medical history, including current medications, immunity, overall well-being, and any complications or other medical problems (i.e., diabetes, cardiovascular, kidney and liver diseases)

- Assessment of the client's nutritional status using a validated tool, such as the [HIV/AIDS Evidence-based Toolkit from the Academy of Nutrition and Dietetics](#).
- Documentation of a physician's recommendation if food or nutritional supplements are to be provided

**Documentation:** All client contacts, findings, education, and other information pertinent to client care must be recorded in the client chart.

### ***Monitoring***

**Assessments** – Performance of a timely initial assessment, along with complete documentation of assessment findings, will be monitored via site visit chart review.

### ***Nutritional Plan***

**Frequency:** An individualized treatment plan must be developed during the initial assessment and re-evaluated at least every six months with adaptations as needed.

**Requirements:** Medical Nutrition Therapy providers developing an individualized treatment plan should ensure that the plan, at a minimum:

- Incorporates client input
- Identifies and prioritizes the client's nutritional needs
- Includes a statement of the problems to be addressed in treatment
- Recommended services and course of medical nutrition therapy to be provided, including types and amounts of nutritional supplements and food
- Notes the date service is to be initiated
- Details frequency and expected duration of services
- Notes any nutritional supplements and/or food provided, including the quantity and date
- Is signed and dated by the provider unless documented via the Care Plan in ARIES (in which case the responsible staff person should be indicated in the ARIES record)

**Treatment Provision:** Medical Nutrition Therapy should be provided in a way that is consistent with the nutritional plan. All services including supplements or food provided should be documented in the client's chart.

### ***Monitoring***

**Nutritional Plans** – Presence of a written nutrition plan outlining each client's needs and progress and documentation of services provided including any supplements and/or food provided, will be monitored via site visit chart review.

### ***Reassessment***

The nutritional plan should be reviewed at each appointment, and revised when indicated or at least every six months.

Working Draft

CALIFORNIA DEPARTMENT OF PUBLIC HEALTH (CDPH) OFFICE OF AIDS (OA)  
HIV CARE PROGRAM (HCP) STANDARDS OF CARE

## Medical Transportation

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Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	OA Workgroup	6/10/2018	Marjorie Katz	6/10/2018	First public working draft

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## **Introduction**

This document describes the “Medical Transportation” service category of HCP, funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP. This document highlights each of the requirements and standards that apply to Medical Transportation Services, and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

## **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, and (2) Requirements.

## **Service Definition**

### **HRSA Definition**

Medical Transportation is the provision of nonemergency transportation services that enables an eligible client to access or be retained in core medical and support services.

### **Key Activities**

Medical Transportation services may be provided through:

- **Contracts with providers** of transportation services
- **Voucher or token** systems for ride-limited vouchers (i.e. not monthly unlimited passes) except in cases where it can be demonstrated that a monthly pass would be more cost-effective to enable access to medical and support services
- **Mileage reimbursement** (through a non-cash system, e.g. gas cards, etc.) that enables clients to travel to needed medical or other support services
  - Reimbursement should NOT exceed the established rates for federal programs ([Federal Travel Regulations](#) provide further guidance on this subject)
- **Purchase or lease of organizational vehicles** for client transportation programs
  - The recipient must receive prior approval from OA and HRSA for the purchase of a vehicle
- Organization and use of volunteer drivers
  - Programs must specifically address insurance and other liability issues

Costs for transportation for providers or case managers to provide care should be categorized under the service being provided.

## Unallowable Activities

Unallowable costs include:

- Direct cash payments or cash reimbursements to clients
- Direct maintenance expenses (tires, repairs, etc.) of a privately-owned vehicle
- Monthly unlimited public transportation passes, except in cases where it can be demonstrated and a necessary and more cost-effective option
- Any other costs associated with a privately-owned vehicle such as lease, loan payments, insurance, license, or registration fees

### ***Monitoring***

**Unallowable Cost** - Verification that funds are being used only for allowable costs will be conducted via submission of budgets and invoices, and HCP desk audit of services.

## Fiscal Management

There are additional requirements when utilizing vouchers, gas cards, taxi tokens, or bus tickets or passes.

- Providers must ensure that vouchers or store gift cards cannot be exchanged for cash or used for anything other than the allowable goods or services.
- General-use prepaid cards are considered equivalent to cash and are therefore unallowable. Such cards generally bear the logo of a payment network (e.g., Visa, MasterCard, or American Express) and are accepted by any merchant that accepts those credit or debit cards as payment. Gift cards that are cobranded with the logo of a payment network and the logo of a merchant or affiliated group of merchants are general-use prepaid cards, not store gift cards, and therefore are unallowable.
- Providers must have systems in place to account for disbursed vouchers. The systems must track: client's name, staff person who distributed the voucher, date of the disbursement, voucher dollar amount, voucher serial number, and confirmation that the client went to their medical or support services appointment. These data elements can be tracked on the ARIES Services screen if no other tracking system is available.
- Providers should only buy vouchers in amounts that are reasonable for use in the contract year. In no case should use of vouchers lead to monies being held over to future contract years.



### ***Monitoring***

**Fiscal Management** - Management of vouchers per the bullet points above will be monitored through agency submission of written policies and procedures for accounting of disbursed vouchers, desk audit of submitted budgets and invoices related to purchase of specific types of vouchers or gift cards, and site visit verification of the use of these products.

### ***Objective***

Medical Transportation Services are intended to remove transportation barriers preventing clients from accessing necessary HIV-related health and support services.

## **Requirements**

### **Provider Qualifications**

Medical Transportation Services may be provided directly by provider staff or volunteers, by staff of an outside company/agency (i.e., taxi service, ride share such as Lyft, paratransit), or by individuals such as family or friends.

### ***Education/Experience/Supervision***

There are no minimum educational standards. Agency staff providing medical transportation must:

- Have a valid California Driver's License with any endorsements required by California law (e.g., passenger endorsement if driving vehicles designed for >10 passengers)
- Hold the minimum required amount of automobile insurance as required by law, and be enrolled in the [Employer Pull Notice](#) program and affiliated with the agency's requester code.

### ***Monitoring***

**Qualifications** - Existence of valid California Driver's Licenses, minimum automobile insurance, and proper enrollment in the Employer Pull Notice program will be monitored through personnel file review during site visits.

### ***Staff Orientation and Training***

**Initial:** All HCP-funded staff providing Medical Transportation Services must complete an initial training session related to their job description and serving those with HIV. Training should be completed within 60 days of hire. Topics must include:

- General HIV knowledge, including HIV transmission
- Universal precautions

- Privacy requirements

**Additional:** Staff who directly provide Medical Transportation Services must also receive initial and ongoing safety training as appropriate for their position and required by federal, state, or local regulations. Training may be any combination of (1) in-person, (2) articles, (3) home studies, or (4) webinars, and must be clearly documented and tracked for monitoring purposes. Topics must include:

- Emergency equipment
- Defensive driving
- Cardiopulmonary Resuscitation (CPR) and first aid (renewed every two years)
- Pre-trip inspections

### ***Vehicles***

Any agency or staff vehicles used for client transportation must be registered, insured, and in safe operating condition. They must be equipped with seat belts and other safety equipment as appropriate.

- **Children:** If children are transported, child safety seats must be provided and all staff and volunteers transporting children must be trained on how to properly install and use the seat. Seat type, installation, and use must comply with California state law.
- **Disabled clients:** Disabled clients must be transported in Americans with Disability Act (ADA)-compliant vehicles, and all staff and volunteers transporting clients with disabilities must be trained on how to properly and safely transport these clients.

### ***Monitoring***

**Vehicles** - Appropriate registration and safety of vehicles, as well as presence of child safety seats or ADA-compliant equipment and written policies and procedures when applicable, will be monitored through direct observation during site visits.

## **Service Characteristics**

### ***Intake***

The Medical Transportation provider must ensure that the client intake has been performed at the start of service provision, and if it has not perform an intake if necessary. See the Common Standards of Care for intake requirements.

Medical Transportation Services must be offered in a way that addresses barriers to accessing medical care and uses resources to support positive health outcomes for clients.

Medical Transportation Services providers may provide any or all of the activities included in the **Service Definition** section of this document.

**Contracts:** Transportation services may be provided via contract or other local procurement mechanism that directly compensates the provider, including ride share, taxi, or van services.

**Vouchers/Tokens:** Clients may be provided with vouchers or tokens for use on public transportation systems. The vouchers or tokens must be trackable through serial number or other method. Clients may NOT be provided with cash payments for public transportation.

**Mileage Reimbursement:** Clients using their own vehicle to access HIV-related medical or support services may receive gas vouchers to help defray the cost. Clients must keep a record of trips to be reimbursed, including mileage and purpose. Reimbursement may NOT be provided by cash (or equivalent), nor exceed the established rates for federal programs as described in the [Federal Travel Regulations](#). The following expenses are not eligible for reimbursement:

- Parking
- Tires, vehicle maintenance, or repairs
- Lease or loan payments
- Insurance
- License or registration fees

### ***Monitoring***

**Documentation** - All clients served by HCP-funded Medical Transportation must be entered in ARIES; necessity of services will be monitored via chart review during site visits. Provision of benefits through direct provider compensation (i.e. service contracts, etc.) or vouchers/tokens must adhere to above standards and be appropriately documented in agency records and/or client charts, available for review upon request.

CALIFORNIA DEPARTMENT OF PUBLIC HEALTH (CDPH) OFFICE OF AIDS (OA)  
HIV CARE PROGRAM (HCP) STANDARDS OF CARE

## Mental Health Services

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Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	OA Workgroup	6/10/2018	Marjorie Katz	6/10/2018	First public working draft

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## **Introduction**

This document describes the “Mental Health Services” service category of the California HIV Care Program (HCP), funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP.

This document highlights the requirements and standards that apply to Mental Health Services, and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

## **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, and (2) Requirements.

## **Service Definition**

### **HRSA Definition**

Mental health services are outpatient psychological and psychiatric treatment and counseling services for individuals living with HIV who have mental illness. They are conducted in an outpatient group, couple/family, or individual setting and provided by a mental health professional licensed or authorized within California to render such services. Such professionals typically include psychiatrists, psychologists, and licensed clinical social workers. **Services such as support groups provided by non-mental health professionals** should be reported under Psychosocial Support Services.

### **Key Activities**

Key activities of Mental Health Services include:

- Initial assessment of the client’s service needs;
- Development of a comprehensive, individualized treatment plan, including client-centered goals and milestones;
- Treatment provision in individual, family, and/or group settings, crisis intervention, and psychiatric consultation;
- Referral/coordination/linkages with other providers to ensure integration of services and better client care;
- Re-assessment and re-evaluation of the treatment plan with the client at least every six months with revisions and adjustments as necessary; and
- Development of follow-up plans.

## *Objective*

Mental health services are designed to assist clients in coping with the emotional and psychological aspects of living with HIV, improve psychological well-being, and increase quality of life through counseling and adherence to medical care.

## **Units of Service**

A Unit of Service (UOS) is a 15-minute contact between a client and a Mental Health Services provider, or a 15-minute action by a provider on behalf of a client.

## **Requirements**

### **Provider Qualifications**

#### *Education/Experience/Supervision*

Professional diagnostic and therapeutic services under this service category must be provided by practitioners holding appropriate, current, and valid California licensure or certification, including:

- Psychiatrists
- Psychologists
- Psychiatric Nurse Specialists/Practitioners
- Marriage and Family Therapists (MFT)
- Licensed Clinical Social Workers (LCSW)

#### ***Monitoring***

**Provider qualifications** – Proof of compliance with minimum qualifications for all providers offering diagnostic and therapeutic services must be kept in personnel files, with hire date for review during site visits.

Other professional and non-professional (“waivered”) staff may provide services appropriate for their level of training/education as part of a care team under the supervision of a licensed or certified clinician.

Other professional staff include but are not limited to:

- Interns
- Assistants
- Fellows
- Associates

Non-professional staff include but are not limited to:

- Peer Navigators
- Community Health Workers
- Trainees

Individual supervision and guidance must be routinely provided to all staff.

### ***Monitoring***

**Supervision and guidance by a clinician** – Availability of supervision and guidance by a clinician for unlicensed providers will be monitored via discussion during site visits. Assurance that all services provided are commensurate with the training and education of providers will be verified through in-person chart review during site visits.

### ***Staff Orientation and Training***

**Initial:** All HCP-funded staff providing Mental Health Services must complete an initial training session related to their job description and serving those with HIV. Training should be completed within 60 days of hire. Topics must include:

- General HIV knowledge such as transmission, care, and prevention.
- Privacy requirements and HIPAA regulations
- Navigation of the local system of HIV care

### ***Monitoring***

**Staff training** – Knowledge and training related to HIV care for all staff will be verified through personnel file documentation of hire date, all trainings provided, and dates of trainings; these records must be available for review during site visits or upon request.

**Ongoing:** Staff must also receive ongoing annual training as appropriate for their position, including continuing education required by the State of California to maintain licensure. Training must be clearly documented and tracked for monitoring purposes.

### ***Legal and Ethical Obligations***

Practitioners must be aware of and able to practice according to California state law and the code of ethics of their respective professional organizations. Obligations include the following:

- **Duty to treat:** Practitioners may not refuse treatment to a person in need because of fear or disapproval of someone's behavior, identity, or health status, including HIV.



- **Confidentiality:** Practitioners must maintain client confidentiality. Limits of confidentiality include danger to self or others, grave disability, child/elder abuse and, in some cases, domestic violence.
- **Duty to warn:** Serious threats of violence against a reasonably identifiable victim must be reported. At present, California law does not consider a person with HIV engaging in behaviors that may put others at risk for HIV a circumstance that warrants breaking confidentiality.

## Service Characteristics

Mental Health Services must be offered in a way that addresses barriers to accessing mental health care and uses resources to support positive health outcomes for clients. Clients who otherwise qualify for RWHAP Part B services may not be denied services on the basis of current substance use. All Mental Health Services must include the Key Activities included in the Service Definition section of this document. Other key characteristics include:

**Initial Appointments:** Initial Mental Health Services appointments should be made as soon as possible to avoid potential drop out. Initial intake appointments should occur within 10 days of first referral to assess immediate needs; full assessments must occur no later than 30 calendar days after first client referral and should be scheduled sooner whenever possible. As clients may miss appointments, agencies must have a process in place to ensure timely follow up with clients, preferably within 24 hours. Missed appointments and attempts at rescheduling must be documented in the file.

**Emergency Appointments:** Clients in crisis must be provided with Mental Health Services immediately or as soon as possible; regular intake and assessment procedures may be followed after the initial crisis has resolved.

### ***Monitoring***

**Appointment scheduling and follow-up** – Agencies will be asked to submit to HCP policies for emergency appointments and client follow-up after missed appointments; documentation of rescheduling attempts will be monitored via chart review during site visits.

### ***Orientation***

Each new client enrolled in Mental Health Services must receive an orientation to the services at the first visit; document this orientation in the client file.

### ***Initial Assessment***

The mental health care provider must conduct a comprehensive face-to-face mental health needs assessment within 30 days of referral. The needs assessment will describe the client's current status and inform the treatment plan. The mental health assessment should include:

- A detailed statement of the client's current presenting problem
- A detailed mental health treatment history, including psychotropic medications
- Substance use history
- [Mental status exam](#) (MSE)
- All relevant Diagnostic and Statistical Manual of Mental Disorders (DSM-V) diagnoses

**Referral / Linkage:** Clients requiring specialized care should be referred for and linked to such care, with documentation of that referral in the client file and available upon request.

**Documentation:** All client contacts, findings, procedures, diagnoses, education, and other information pertinent to client care must be recorded in the client chart.

### ***Monitoring***

**Assessments** – Performance of a timely initial assessment, along with complete documentation of assessment findings, existence of a comprehensive diagnostic evaluation, and provision of applicable referrals/linkages will be monitored via site visit chart review.

### ***Treatment Plan***

**Frequency:** An individualized treatment plan must be developed during the initial assessment and re-evaluated at least every six months with adaptations as needed.

**Requirements:** Mental health providers developing an individualized treatment plan should ensure that the plan, at a minimum:

- Incorporates client input
- Identifies and prioritizes the client's mental health care needs
- Includes a statement of the problems, diagnoses, symptoms, or behaviors to be addressed in treatment
- Sets realistic and measurable goals, objectives, and timelines based on client needs identified by the client and mental health team
- Identifies interventions, modalities, and resources to attain the goals and objectives, including referral and linkage to other relevant providers (e.g., substance abuse counselors, physicians, housing specialists)
- Details frequency and expected duration of services
- Is signed and dated by the provider unless documented via the Care Plan in ARIES (in which case the responsible staff person should be indicated in the record)

The treatment plan should be reviewed and revised at each appointment as needed.

### ***Treatment Provision***

Services should be provided utilizing methodologies appropriate for the client's needs and following national recommendations for [HIV mental health care guidelines](#). This may include any combination of:

- Individual counseling/psychotherapy
- Family counseling/psychotherapy
- Couples counseling/psychotherapy
- Group psychotherapy/treatment
- Drop-in groups
- Crisis intervention
- Psychiatric medication assessment, prescription, and monitoring

**Documentation:** Completed individualized treatment plans must be signed and dated by a provider; “waivered” staff must obtain signature of supervising clinicians where required under California law.

CALIFORNIA DEPARTMENT OF PUBLIC HEALTH (CDPH) OFFICE OF AIDS (OA)  
HIV CARE PROGRAM (HCP) STANDARDS OF CARE

## Non-Medical Case Management

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Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	OA Workgroup	6/10/2018	Marjorie Katz	6/10/2018	First public working draft

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## **Introduction**

This document describes the “Non-Medical Case Management” service category of HCP, funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP. This document highlights each of the requirements and standards that apply to Non-Medical Case Management, and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

### **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, and (2) Requirements.

## **Service Definition**

### **HRSA Definition**

Non-Medical Case Management services provide guidance and assistance in accessing medical, social, community, legal, financial, and other needed services. Non-Medical Case Management services may also include assisting eligible clients to obtain access to other public and private programs for which they may be eligible, such as Medi-Cal, Medicare Part D, AIDS Drug Assistance Program (ADAP), Health Insurance Premium Payment (OA-HIPP), Disability Insurance, Housing Opportunities for Persons With AIDS (HOPWA), Social Security, Pharmaceutical Manufacturer’s patient assistance programs, Covered California, or other state or local health care and supportive services. This service category can be delivered through several methods of communication including face-to-face contact, phone contact, and any other forms of communication deemed appropriate.

### **Key Activities**

Key activities for Non-Medical Case Management include:

- First appointment within 10 days of referral to screen for eligibility (if needed) and assign a non-medical case manager;
- Initial assessment of the client’s service needs within 30 days of the first visit;
- Development of a comprehensive, individualized care plan during the initial assessment visit including client-centered goals and milestones;
- Ongoing client monitoring to determine the efficacy of the care plan;
- Re-evaluation of the care plan with the client at least every 6 months with revisions and adjustments as necessary;
- Ongoing assessment of the client’s and other key family members’ needs and personal support systems.

### ***Objective***

Non-Medical Case Management Services provide guidance and assistance to improve access to needed services, whereas Medical Case Management services are designed to improve health care outcomes.

## **Requirements**

### **Provider Qualifications**

#### ***Education/Experience/Supervision***

The educational requirements for a Non-Medical Case Manager include any health or human services bachelor's degree from an accredited college or university. Licensure is not required. Examples of health or human services fields include, but are not limited to:

- Nursing
- Social Work
- Counseling
- Psychology
- Gerontology
- Clinical Pharmacy

Non-Medical Case Managers who do not meet this minimum educational level may substitute related direct consumer service experience under the supervision of a health and human services professional for a period of two years of full-time work, regardless of academic preparation.

All Non-Medical Case Managers must be trained and knowledgeable about HIV and familiar with available HIV resources in the area.

#### ***Monitoring***

**Education/Experience/Supervision** - Agencies must maintain personnel files with hire date, educational qualifications or experience, these records must be available for review during site visits. Access to individual supervision and clinical guidance will be monitored via discussion during site visits.

#### ***Staff Orientation and Training***

**Initial:** All staff providing Non-Medical Case Management must complete an initial training session related to their job description and serving those with HIV. Training should be completed within 60 days of hire; topics must include:

- General HIV knowledge, such as HIV transmission, care and prevention

- Privacy requirements and HIPAA regulations
- Navigation of the local system of HIV care
- Basic case management skills

**Ongoing:** Staff must also receive ongoing annual HIV training as appropriate for their position. Training may be any combination of (1) in-person, (2) articles, (3) home studies, or (4) webinars, and must be clearly documented and tracked for monitoring purposes.

### ***Monitoring***

**Staff Training** - All trainings provided, and dates of trainings must be available for review during site visits or upon request.

**Caseload:** Non-Medical Case Managers are expected to maintain a caseload of between 30 and 75 clients at any given time depending on client acuity.

### ***Monitoring***

**Caseload** - Agencies must submit to HCP their written policies and procedures for caseload review and redistribution when warranted, to adhere to caseload standards.

## **Service Characteristics**

Non-Medical Case Management must be offered in a way that addresses barriers to accessing medical care and uses resources to support positive health outcomes for clients. All Non-Medical Case Management services must include at a minimum the Key Activities included in the Service Definition section of this document. Other key characteristics include:

**Eligibility Screening:** If the Non-Medical Case Manager is the client's first contact with HCP, the client must be screened for eligibility as described in the Common Standards of Care.

**Initial Non-Medical Case Management Appointments:** Initial Non-Medical Case Management appointments should be made as soon as possible to avoid potential drop out. Appointments must occur no later than 10 calendar days after first client referral. As clients may miss appointments, agencies must have a process in place to ensure timely follow up, preferably within 24 hours. Missed appointments and case management attempts at rescheduling must be documented in the file.

### ***Monitoring***

**Initial Appointment** - Timeframe for intake appointments for new clients will be monitored through chart review. Agencies will be asked to submit to HCP written policies and procedures for client follow-up after missed appointments; documentation of rescheduling attempts will be monitored via chart review during site visits.



**Referral/Linkage:** Clients ineligible for Non-Medical Case Management services through HCP must be referred to another community-based organization or linked to another safety net provider as appropriate utilizing a warm hand off when possible. Documentation of that referral must be in the client file and available upon request.

#### ***Monitoring***

**Referral/Linkage** - Documentation of referral of ineligible clients to other services will be monitored via chart review during site visits.

**Primary Case Manager:** Each client should always have a primary case manager who helps coordinate services with other members of the treatment and services team. This primary case manager (who may or may not be the Non-Medical Case Manager) will serve as the main point person for the client to streamline communication and maximize care coordination.

#### ***Monitoring***

**Primary Case Manager** - Review of primary case manager assignment will be conducted during chart review.

**Partner Services:** Per HCP Management Memo 15-06, HCP providers funded for Non-Medical Case Management must have a process for Partner Services counseling and referral for clients. Partner Services information should be offered and referrals made for clients according to established processes.

#### ***Monitoring***

**Partner Services** - Existence of processes for Partner Services counseling and referral will be monitored through agency submission of written policies and procedures related to this topic. Implementation of the policy (i.e. that clients are actually offered and referred to Partner Services) will be monitored through observation, discussion, and/or chart review during site visits.

### ***Intake***

The Non-Medical Case Manager must ensure that the client intake has been performed at the start of service provision and perform an intake if one has not previously been completed. See the Common Standards of Care for detailed intake requirements.

### ***Orientation***

Each new client enrolled in Non-Medical Case Management must receive an orientation to the services; document this orientation in the client file.

### ***Initial Assessment***

The Non-Medical Case Manager must conduct a face-to-face psychosocial needs assessment within 30 days of the start of Non-Medical Case Management services. The needs assessment will describe the client's current status and identify their strengths and weaknesses, resources, and/or stressors in order to develop a care plan which allows the patient to function and manage their condition as independently as possible. This assessment must be thoroughly documented and should be client-centered (the client may defer or choose not to discuss any specific issues during the assessment). Topics for discussion during the assessment should include:

- Current healthcare and social service providers (including Case Management offered elsewhere);
- Level of engagement in health care services;
- Current medications and adherence;
- Immediate health concerns;
- Substance use history and needs;
- Mental health / psychiatric history and needs;
- Level of HIV health literacy;
- Awareness of safer sex practices;
- Sexual orientation and gender identity;
- Sexual history;
- Self-management skills and history;
- History of incarceration;
- Family composition;
- Living situation and housing needs;
- History and risk of abuse, neglect, and exploitation;
- Social community supports;
- Food/clothing needs;
- Transportation needs;
- Legal needs;
- Financial / program entitlement;
- Emergency financial assistance needs and history;
- Partner services needs; and
- Summary of unmet needs.

### ***Monitoring***

**Initial Assessment** - Performance of a timely initial assessment, along with complete documentation of assessment findings and applicable referrals/linkages, will be monitored via site visit chart review.

### ***Development of Care Plan***

**Existing Care Plan:** When an existing care plan is present (e.g., if the client has received other HCP services), that care plan should be reviewed and utilized in the creation of the Non-Medical Case Management care plan. The Non-Medical Case Management care plan should be made available to other providers as needed for care coordination.

**Frequency:** An individualized care plan must be developed during the initial assessment and re-evaluated at least every 6 months with modifications as needed.

**Requirements:** Non-Medical Case Managers developing an individualized care plan should ensure that the plan, at a minimum:

- Is individualized and incorporates client input;
- Prioritizes the needs identified in the Initial Assessment;
- Identifies resources to meet the needs identified in the Initial Assessment and provides referrals to other relevant providers (e.g. substance abuse counselors, physicians, housing specialists);
- Includes specific measurable goals and objectives with activities and timeframes to meet each objective; and
- Encourages a client's active participation and empowers the client to become self-sufficient.

Clients with significant unmet medical needs should be referred to Medical Case Management for additional support in improving health outcomes.

**Updates:** As the client's status changes, the client and case manager must work together to establish new goals, objectives, and timelines.

**Documentation:** Care plans can be documented in paper charts, EMR, or in ARIES under the "Care Plan" tab. Copies of completed individualized care plans must be uploaded to ARIES and/or retained in the client file, signed by both client and provider if paper based. Client and provider must also sign any updated plans if paper based.

**Quality Assurance and Supervision:** All agencies providing Non-Medical Case Management must have a quality assurance plan in place describing a supervisory review to assess documentation of client's needs and if those needs were addressed. Annually, a representative sample of at least 10 percent of charts of active Non-Medical Case Management clients must have a supervisor review. All clients who are discharged from Non-Medical Case Management must also have a supervisor review within 3 months of discharge. Supervisors' reviews must be documented in the client chart with signature, date of review, and findings.

**Client Record:** All Non-Medical Case Management activities including but not limited to all contacts and attempted contacts with or on behalf of clients and coordination with referral agencies, must be recorded in the client record as soon as possible and entered into ARIES within two (2) weeks. Documentation of activities must be legible, signed, and dated by the Non-Medical Case Manager.

### ***Monitoring***

**Care Plan** - Development of individualized care plans that meet the requirements laid out above will be monitored via review of client charts and/or electronic health records during site visits. Care plans may be uploaded to ARIES; however, this is not required. Documentation of care plan development per ARIES will be reconciled with the existence of care plans in patient charts during site visits, as applicable.

### ***Client Monitoring***

**Follow-Up and Monitoring.** Non-Medical Case Management is an ongoing process. Follow-up and monitoring ensures that:

- The resources provided are sufficient to meet the client's needs
- The client is working toward their care plan objectives
- New or changing needs are addressed

During monitoring, the Non-Medical Case Manager should follow-up on referrals and linkage and assess whether the client has further needs. Frequency of follow-up is dependent on client needs and may be done in-person, or by phone; however, follow-up should occur at least every six months at the time of re-certification.

### ***Monitoring***

**Client Contact** - Frequency of client contact by non-medical case managers (i.e. at least once every six months) will be monitored through review of services in ARIES.

**Lost to Follow-up.** The client is lost to follow-up if the client cannot be located after at least three documented attempts per month over a period of three consecutive months. Attempts to contact the client must take place on different days and times of the day during this time period. Providers are strongly encouraged to refer clients who are lost to follow-up to the local public health department for further outreach and re-engagement in care activities. See the *Client Transfer and Case Closure* section of this document.

### ***Reassessment/Revision of Care Plan***

Non-Medical Case Managers should routinely review the successes and challenges clients are having in achieving outcomes as outlined in the care plan, measure progress in meeting goals and objectives, and revise the plan as necessary.

**Revision of care plan:** Client assessment and revision to the care plan as appropriate must be made at least every six months, or more frequently as client condition changes.

**Documentation:** Non-Medical Case Managers must routinely document the outcome of reassessments and service activities in the client record, ARIES, client contact form, and

outcome log (if applicable). Any changes to the care plan should be signed and dated by both the Non-Medical Case Manager and the client if paper based.

**Feedback:** Non-Medical Case Managers must provide constructive feedback to clients when reviewing the care plan and progress made toward goals and objectives. Constructive feedback is based on concrete observations, and is focused on providing information to the client in a non-judgmental way. Feedback should be strengths-based whenever possible.

### ***Monitoring***

**Reassessment of Care Plan** - Documentation of care plan reassessment and revision will be monitored via review of client charts and/or electronic health records during in-person site visits; timing and quality of the reassessment (including the use of constructive feedback) will be monitored via discussion and client chart review during site visits.

### ***Client Transfer and Case Closure***

**Transfer of Clients:** In the event that a client wishes to (or needs to) transition into Non-Medical Case Management services offered by another agency, relevant intake documents should be forwarded to the new service provider and case managers from both agencies should work together to provide a smooth transition for the client and ensure that all critical services are maintained. Transfer of clients between agencies or case managers is initiated when:

- The client notifies the case manager that they have moved to a different service area,
- The client notifies the case manager of their intent to transfer services,
- The Forced Disenrollment Grievance Procedure has been followed as defined in the Common Standards of Care, or
- The agency no longer receives funding.

**Case Closure:** Agencies should close a client's file according to the written procedures established by the agency, as well as those outlined in the Common Standards of Care. A client file may be closed under any of the conditions listed in the Common Standards of Care. Additional circumstances for closing a Non-Medical Case Management case include:

- The client no longer demonstrates need for Non-Medical Case Management due to their own ability to effectively advocate for their needs.
  - Agencies must have written Protocol to “graduate” clients out of Non-Medical Case Management including specific criteria for determining that the client is ready to graduate.
- A client is being incarcerated for more than 6 months.

- If a client's incarceration is for a period of 6 months or less, the Non-Medical Case Manager should coordinate services with correctional medical staff in order to ensure continuity of case management upon release.
- The client is transitioning into Non-Medical Case Management services offered by another agency, as described above.

Working Draft

CALIFORNIA DEPARTMENT OF PUBLIC HEALTH (CDPH) OFFICE OF AIDS (OA)  
HIV CARE PROGRAM (HCP) STANDARDS OF CARE

## Oral Health Care

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Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	OA Workgroup	6/10/2018	Marjorie Katz	6/10/2018	First public working draft

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## **Introduction**

This document describes the “Oral Health Care” service category of HCP, funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP. This document highlights each of the requirements and standards that apply to Oral Health Care, and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

## **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, and (2) Requirements.

## **Service Definition**

### **HRSA Definition**

Oral Health Care includes outpatient diagnostic, preventive, and therapeutic services by dental health care professionals, including general dental practitioners, dental specialists, dental hygienists, and licensed dental assistants.

### **Key Activities**

Allowable activities in this service category include:

- Medical history taking
- Comprehensive oral exam
- Development of an individualized treatment plan, including referral to advanced dental care as needed
- Diagnostic dental care
- Preventive dental care
- Therapeutic dental care
- Oral health education
- Coordination of care with primary care provider and other services

### ***Objective***

Oral Health Care services are intended to provide necessary diagnostic, preventive, and therapeutic dental care in order to maintain and improve the oral health of persons living with HIV.

## Units of Service

A Unit of Service (UOS) is a 15-minute contact between a client and Oral Health Care staff

## Requirements

### Provider Qualifications

#### *Education/Experience/Supervision*

Professional diagnostic and therapeutic services under this service category must be provided by clinicians licensed by the Dental Board of California. Clinicians can include:

- General Dentists
- Endodontists
- Oral and Maxillofacial Surgeons
- Periodontists

Other professional and non-professional staff may provide services appropriate for their level of training/education, under the supervision of a clinician. These may include, but are not limited to:

- Dental Hygienists (RDH)
- Dental Assistants (RDA, RDAEF)
- Dental Students
- Dental Hygiene Students
- Dental Assistant Students

Any non-clinician staff providing services must be (1) supervised by a clinician; (2) hold current licensure as required by the State of California when applicable; (3) provide services appropriate for their level of training/education; and (4) be trained and knowledgeable about HIV as described below.

#### ***Monitoring***

**Education/Experience/Supervision** - Compliance with minimum qualifications for all providers offering diagnostic and therapeutic services, as well as the required licensure of other staff (when applicable), will be monitored by reviewing personnel files. Availability of clinical supervision for unlicensed providers will be monitored via discussion during site visits.

### ***Staff Orientation and Training***

**Initial:** All HCP-funded staff providing Oral Health Care must complete an initial training session related to their job description and serving those with HIV. Training should be completed within 60 days of hire. Topics must include:

- General HIV knowledge, such as HIV transmission, care, and prevention.
- Diagnosis and assessment of HIV-related oral health issues
- Privacy requirements and HIPAA regulations
- Navigation of the local system of HIV care including access to dental insurance through ADAP

**Ongoing:** Staff must also receive ongoing annual HIV training as appropriate for their position, including continuing education required by the State of California to maintain licensure. Training must be clearly documented and tracked for monitoring purposes.

#### ***Monitoring***

**Staff Requirements** - Maintenance of required licensures will be monitored through HCP desk audit of documentation, and/or review of personnel files during site visits. Knowledge and training related to HIV care for all staff will be verified through personnel file documentation of hire date, all trainings provided, and dates of trainings; these records must be available for review during site visits or upon request.

### ***Facility***

Any agency providing Oral Health Care must be licensed and comply with current federal and state standards for such programs. In cases where the services can be billed to Denti-Cal, the agency must be a Denti-Cal provider certified by the State of California or be able to document efforts under way to obtain such certifications.

#### ***Monitoring***

**Facility** - Agency compliance with facility requirements above will be monitored through direct observation and review of facility documentation during site visits.

### **Service Characteristics**

Providers may provide any or all of the Key Activities included in the **Service Definition** section of this document, and may be HCP-funded providers or specialists who receive HCP reimbursement for services but are not a provider in a directly-contracted agency.

**Initial Oral Health Care Appointments:** Initial Oral Health Care appointments should be made as soon as possible to avoid potential drop out. Emergency or urgent appointments should be provided as soon as possible, on the same day if feasible. Initial non-urgent appointments must occur no later than 90 calendar days after the first client referral. Subsequent non-urgent appointments must be scheduled as soon as feasible, but no more than 30 days after request in order to minimize the need for urgent or emergency services. As clients may miss appointments, agencies must have a process in place to ensure timely follow-up with patients. Missed appointments and provider attempts at rescheduling must be documented in the file.

### ***Monitoring***

**Appointment Times** - Wait time between referral and initial appointment, as well as urgent/emergent appointments and subsequent non-urgent appointments, will be monitored through chart review. Agencies will be asked to submit to HCP written policies and procedures for client follow-up after missed appointments; documentation of rescheduling attempts will be monitored via chart review during site visits.

### ***Eligibility Screening and Intake***

The Oral Health Care providers must ensure that the client has been deemed eligible for HCP services by the referring agency; HCP directly-contracted providers should verify that intake has been performed at the start of HCP service provision and if not, perform an intake. See the Common Standards of Care for detailed intake requirements. Providers should ensure that any consents and Releases of Information specific to dental care are completed and in the client's file; providers must take the necessary steps to obtain these forms if missing.

### ***Monitoring***

**Eligibility Screening and Intake** - All Oral Health Care clients served using HCP funding must be registered in ARIES; eligibility screening will be monitored via chart review during site visits. Evidence of all required consent forms and release of information – as well as attempts to obtain them if applicable - will be monitored through review of client chart(s) during site visits.

### ***Initial Assessment***

At the start of Oral Health Care Services, a baseline dental evaluation must be conducted. This evaluation should include, at a minimum:

- **Medical history.** The provider shall perform a complete medical history for every new patient. This should include:

- Client's chief complaint
- HIV medical care provider
- Current medication regimen(s) and adherence, including HIV medications
- Alcohol, drug, and tobacco use
- Allergies
- Usual oral hygiene
- Date of last dental examination, and name of last dentist if known
- **Oral examination.** Each patient should be given a comprehensive oral examination and assessment. This examination should include:
  - Documentation of the client's presenting complaint
  - Medical and dental history
  - Caries (cavities) charting
  - X-rays: Full mouth radiographs or panoramic and bitewing x-rays
  - Complete oral hygiene and periodontal exam
  - Comprehensive head and neck exam
  - Complete intra-oral exam, including evaluation for HIV-associated lesions or STIs
  - Soft tissue exam for cancer screening
  - Pain assessment
  - Risk factors
- **Education:** Clients should always be provided with information regarding prevention, early detection of oral disease, and preventive oral health practices, including what to do if having a dental emergency. See the *Preventative Care and Maintenance* section of this document for more details.

**Referral / Linkage:** Clients requiring specialized care should be referred for and linked to such care via the client's case manager and/or HCP care team, with documentation of that referral in the client file and available upon request.

**Documentation:** All client contacts, findings, procedures, diagnoses, education, and other information pertinent to patient care must be recorded in the client chart.

### ***Monitoring***

**Initial Assessment** - Performance of a timely initial assessment, including evidence of a medical history, oral examination, and education as specified above, as well as provision and documentation of applicable referrals/linkages, will be monitored via site visit chart review.

### ***Treatment Plan***

Oral Health Care providers should create an individualized dental treatment plan for each patient. The plan should:

- Identify and prioritize the patient's dental care needs
- Incorporate client input
- Describe the proposed interventions and treatment schedule
- Include any referrals and linkages to specialty care or other needed services
- Be signed and dated by the provider

**The treatment plan should be reviewed at each appointment and revised as needed.**

### ***Monitoring***

**Treatment Plan** - Development and revision of individualized treatment plans that meet the requirements laid out above will be monitored via review of client charts and/or electronic health records during site visits. Care plans may be uploaded to ARIES; however, this is not required. Documentation of care plan development per ARIES will be reconciled with the existence of care plans in patient charts during site visits, as applicable.

### ***Preventative Care and Maintenance***

Oral Health Care providers should emphasize prevention, early detection of oral disease, and preventive oral health practices. Education shall include:

- Instruction on oral hygiene, including proper brushing, flossing, and mouth rinses
- Counseling regarding behaviors that may influence oral health (e.g., tobacco use, unprotected oral sex, body piercing)
- General health conditions that may compromise oral health
- The effect of nutrition on oral health.

NOTE: Toothbrushes, toothpaste, dental floss, and mouth rinses may be purchased under the Food Bank/Home-Delivered Meals service category.

In addition, clients should be scheduled for routine dental health maintenance visits, as follows:

- Routine examinations and prophylaxis twice a year
- Comprehensive cleaning at least once a year
- Other procedures, such as root planing/scaling as needed

## **Fiscal Management**

HCP will pay for Oral Health Care services for clients not eligible for Denti-Cal or where there are no Denti-Cal providers within 30 minutes or 15 miles of a client's residence or workplace. Providers must show adequate documentation of the time/distance exception. In these situations, HCP will pay no more than 110% over the defined Denti-Cal Current Dental Terminology (CDT) code rate when using a provider who does not take Denti-Cal. HCP funds cannot be used to supplement Denti-Cal.

### ***Monitoring***

**Fiscal Management** - In cases where clients are eligible for Denti-Cal but no Denti-Cal providers are available (i.e. the "time/distance exception" referenced above), providers must submit documentation to HCP that clearly demonstrates the absence of providers in this time/distance range per a recent review of Denti-Cal providers listed on the [DHCS website](#).

CALIFORNIA DEPARTMENT OF PUBLIC HEALTH (CDPH) OFFICE OF AIDS (OA)  
HIV CARE PROGRAM (HCP) STANDARDS OF CARE

## Other Professional Services

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Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	OA Workgroup	6/10/2018	Marjorie Katz	6/10/2018	First public working draft



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## **Introduction**

This document describes the “Other Professional Services” service category of the California HIV Care Program (HCP). It incorporates both former service categories “Legal Services” and “Permanency Planning” as defined by and funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP.

This document highlights the requirements and standards that apply to Other Professional Services, and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

## **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, and (2) Requirements.

## **Service Definition**

### **HRSA Definition**

Other Professional Services allow for the provision of professional and consultant services rendered by members of particular professions licensed and/or qualified to offer such services by local governing authorities. Such services may include:

- Legal services provided to and/or on behalf of the individual living with HIV and involving legal matters related to or arising from their HIV disease, including:
  - Assistance with public benefits such as Social Security Disability Insurance (SSDI), as well as legal assistance in obtaining health insurance coverage and challenging unlawful termination or denial of health insurance benefits
  - Eviction prevention, tenant/landlord disputes, or other housing concerns resulting from HIV discrimination or other issues arising from HIV disease
  - Assisting transgender clients with name changes, documentation, health insurance discrimination, and other related issues in order to facilitate HIV-related care
  - Interventions necessary to ensure access to eligible benefits, including discrimination or breach of confidentiality litigation as it relates to services eligible for funding under HCP
  - Client representation in HIV-related conservatorship cases
  - Preparation of:
    - Healthcare power of attorney
    - Advance healthcare directives
    - Durable powers of attorney
    - Living wills
- Permanency planning to help clients/families make decisions about the placement and

care of minor children after their parents/caregivers are deceased or are no longer able to care for them, including:

- Social service counseling or legal counsel regarding the drafting of wills or delegating powers of attorney
- Preparation for custody options for legal dependents including standby guardianship, joint custody, or adoption
- Income tax preparation services to assist clients in filing Federal tax returns that are required by the Affordable Care Act for all individuals receiving premium tax credits

## **Program Guidance**

In all cases, the provision of legal services, permanency planning, and income tax preparation services must be related to a client's HIV status.

**Unallowable services:** Services related to the following legal issues are not allowable:

- Criminal cases where the issue is not related to HIV
- Class action suits unless related to access to services eligible for funding under the Ryan White HIV/AIDS Program
- Civil cases not related to HIV, such as divorces or other disputes

### ***Objective***

The objective of Other Professional Services is to provide professional consultation services to persons living with HIV.

## **Units of Service**

A Unit of Service (UOS) is a 15-minute contact for professional services between a client and an attorney, permanency planner, or income tax preparer.

## **Requirements**

### **Provider Qualifications**

#### ***Education/Experience/Supervision***

Other Professional Services must be provided by professionals licensed and registered for these services in the State of California.

Legal services must be coordinated, supervised, and provided by an attorney licensed by the state of California and members in good standing with the State Bar of California. Other professional and non-professional staff may provide legal services appropriate for their level of training/education under the supervision of a staff attorney. These may include, but are not limited to:

- Licensed volunteer attorneys
- Law school graduates

- Law students
- Other legal professionals

Staff will provide all services in accordance with the current American Bar Association's Model Rules for Professional Conduct ([http://www.abanet.org/cpr/mrpc/mrpc\\_home.html](http://www.abanet.org/cpr/mrpc/mrpc_home.html)) and the State Bar of California's Rules of Professional Conduct (<http://rules.calbar.ca.gov/Rules/RulesofProfessionalConduct.aspx>).

Individual supervision and guidance must be routinely provided to all staff.

### ***Monitoring***

**Provider qualifications** – Proof of compliance with minimum qualifications for all providers offering Other Professional Services must be kept in personnel files, with hire date for review during site visits.

**Supervision** – Routine provision of individual supervision will be monitored via discussion during site visits.

## **Service Characteristics**

Other Professional Services must include at least one of the activities included in the **Service Definition** section of this document. Other key characteristics include:

**Eligibility Screening:** If the Other Professional Services provider is the client's first contact with HCP, the client must be screened for eligibility as described in the Common Standards of Care.

### ***Orientation***

Each new client enrolled in Other Professional Services must receive an orientation to the services at the first visit; document this orientation in the client file.

### ***Provision of Services***

To the extent legally possible and in a manner consistent with the provider's professional code of ethics, providers will provide advice, representation, and advocacy necessary to accomplish the client's goals. Note that while providers advise clients, they do not make decisions on behalf of clients. They must also:

- Inform the client of their responsibility to keep the staff informed of any changes relevant to their case
- Represent, advocate, and negotiate on the client's behalf
- Document all contacts made on the client's behalf
- Copy and keep in the client's file any written communication sent on the client's behalf

- Securely store all client records

**Documentation:** A case file should be maintained for each client. All client contacts, services, and referrals made must be recorded in the client file, privileged information should be kept in a separate file. Additional information recorded in the client file must include:

- Verification of client eligibility;
- A description of how the legal services are necessitated by the HIV status of the client;
- Types of services provided; and
- Hours spent in provision of such services.

### ***Monitoring***

**Documentation** – Presence of a written case file outlining each client's needs and documentation of services provided, will be monitored via site visit file review.

CALIFORNIA DEPARTMENT OF PUBLIC HEALTH (CDPH) OFFICE OF AIDS (OA)  
HIV CARE PROGRAM (HCP) STANDARDS OF CARE

## Outpatient/Ambulatory Health Services

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Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	OA Workgroup	6/10/2018	Marjorie Katz	6/10/2018	First public working draft

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## **Introduction**

This document describes the “Outpatient/Ambulatory Health Services” service category of HCP, funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP. This document highlights each of the requirements and standards that apply to Outpatient/Ambulatory Health Services, and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

## **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, (2) Requirements, and (3) Tools and Resources.

## **Service Definition**

### **HRSA Definition**

Outpatient/Ambulatory Health Services are diagnostic and therapeutic services provided directly to a client by a licensed healthcare provider in an outpatient medical setting. Outpatient medical settings include clinics, medical offices, and mobile vans where clients do not stay overnight. Emergency department or urgent care services are not considered outpatient settings.

Treatment Adherence services provided during an Outpatient/Ambulatory Health Service visit should be reported under the Outpatient/Ambulatory Health Services category, whereas Treatment Adherence services provided during a Medical Case Management visit should be reported in the Medical Case Management service category.

### **Key Activities**

Allowable activities in this service category include:

- Medical history taking
- Physical examination
- Diagnostic testing, including laboratory testing
- Treatment and management of physical and behavioral health conditions
- Behavioral risk assessment, subsequent counseling, and referral
- Preventive care and screening
- Pediatric developmental assessment
- Prescription and management of medication therapy
- Treatment adherence
- Education and counseling on health and prevention issues



- Referral to and provision of specialty care related to HIV diagnosis
- Continuing care and management of chronic conditions

### ***Objective***

Outpatient/Ambulatory Health Services are intended to provide primary medical care for the treatment of HIV infection consistent with the most recent U.S. Public Health Service (PHS) guidelines, also known as Health and Human Services (HHS) guidelines, including access to antiretroviral and other drug therapies such as prophylaxis and treatment of opportunistic infections.

## **Units of Service**

A Unit of Service (UOS) in this service category includes

- 1) A 15-minute contact between a client and Outpatient/Ambulatory Care staff
- 2) Providing a laboratory test
- 3) Providing a single item of durable medical equipment
- 4) Providing medication

## **Requirements**

### **Provider Qualifications**

#### ***Education/Experience/Supervision***

Professional diagnostic and therapeutic services under this service category must be provided by one of the following clinicians licensed by the State of California and operating within the scope of their license:

- Physicians (MD/DO)
- Physician's Assistant (PA)
- Nurse Practitioner (NP)

Other professional and non-professional staff may provide services appropriate for their level of training, education, and licensure as part of a care team in coordination with or under the supervision of a clinician in a manner consistent with State of California requirements for licensure or certification. These staff may include, but are not limited to:

- Nurses (RN, LVN/LPN)
- Medical assistants (MA)
- Pharmacists
- Pharmacy assistants

Any non-clinician staff providing services must be (1) supervised by a clinician; (2) hold current licensure as required by the State of California when applicable; (3) provide services appropriate for their level of training/education; and (4) be trained and knowledgeable about HIV as described below.

### ***Monitoring***

**Provider Qualifications** - Compliance with minimum qualifications for all providers offering diagnostic and therapeutic services, as well as the required licensure of clinical and non-clinical staff (when applicable), will be monitored during site visits. Availability of clinician supervision for unlicensed providers will be monitored via discussion during site visits.

### ***Staff Orientation and Training***

**Initial:** All staff providing Outpatient/Ambulatory Health Services must complete an initial training session related to their job description and serving those with HIV. Training should be completed within 60 days of hire. Topics must include:

- General HIV knowledge, such as HIV transmission, care and prevention
- HIV counseling and testing
- Privacy requirements and HIPAA regulations
- Navigation of the local system of HIV care

**Ongoing:** Staff must also receive ongoing annual HIV training as appropriate for their position. Training may be any combination of (1) in-person, (2) articles, (3) home studies, or (4) webinars, and must be clearly documented and tracked for monitoring purposes.

### ***Facility***

Any agency providing Outpatient/Ambulatory Health Services must be licensed and Medi-Cal certified by the State of California, and must comply with current federal and state standards for such programs.

### ***Monitoring***

**Facility** - Agency compliance with facility requirements above will be monitored through review of facility documentation during in-person site visits.

## **Service Characteristics**

Outpatient/Ambulatory Health Services must be offered in a way that addresses barriers to accessing medical care and uses resources to support positive health outcomes for clients. Providers may provide any or all of the Key Activities included in the *Service Definition* section of this document.

**Eligibility Screening:** If the Outpatient/Ambulatory Care provider is the client's first contact with HCP, the client must be screened for eligibility as described in the Common Standards of Care.

### ***Monitoring***

**Eligibility** - All Outpatient/Ambulatory Care clients served using HCP funding must be registered in ARIES; eligibility screening will be monitored via chart review during site visits.

**Initial Outpatient/Ambulatory Care Appointments:** Initial Outpatient/Ambulatory Health Services appointments should be made as soon as possible to avoid potential drop out. Appointments must occur no later than 10 calendar days after the first client request or referral from another provider, but should be scheduled sooner whenever possible. In order to facilitate rapid initiation of antiretroviral therapy, persons newly diagnosed with HIV should have their first appointment occur within 24 hours of diagnosis.

Non-urgent appointments and appointments for existing patients must be scheduled as soon as feasible, but no more than 60 days after client request in order to minimize the need for urgent or emergency services, or the interruption of services. As clients may miss appointments, agencies must have a process in place to ensure timely follow-up, preferably within 24 hours. Missed appointments and provider attempts at rescheduling must be documented in the file.

### ***Monitoring***

**Appointments** - Timeframe for intake appointments for new clients will be monitored through chart review. Agencies will be asked to submit to HCP policies for client follow-up after missed appointments; documentation of rescheduling attempts will be monitored via chart review during site visits.

### ***Intake***

The Outpatient/Ambulatory Health Services provider must ensure that the client intake has been performed at the start of HCP service provision and if not, perform an intake. See the Common Standards of Care for detailed intake requirements. Providers should ensure that any consents and Releases of Information specific to health care are completed and in the client's file. If these documents are missing, providers must take steps to obtain them.

## ***Orientation***

Each new client receiving Outpatient/Ambulatory Health Services must receive an orientation to available services at the facility; document this orientation in the client file.

## ***Initial Assessment***

- **Medical evaluation:** At the start of Outpatient/Ambulatory Health Services, a baseline medical evaluation must be conducted. This evaluation should be performed in accordance with [HHS guidelines](#), [HIV primary care guidelines](#) and [CDPH STD guidelines](#).
- **HIV education:** Patients should always be provided with information regarding the results of diagnostic tests, prognosis, risks and benefits of treatment, instructions on treatment management and follow up, and treatment adherence. In addition, they should be given HIV risk reduction and prevention education.
- **Partner Services:** Per HCP Management Memo 15-06, HCP providers funded for Outpatient/Ambulatory Care Services must have a process for Partner Services counseling and referral for clients. Partner Services information should be offered and referrals made for clients according to established processes.

**Referral / Linkage:** Clients requiring specialized care should be referred for and linked to such care, with documentation of that referral in the client file and available upon request.

**Documentation:** All patient contacts, findings, procedures, diagnoses, education and other information pertinent to patient care must be recorded in the patient chart.

### ***Monitoring***

**Documentation** - Performance of a timely initial assessment, along with complete documentation of assessment findings, existence of a comprehensive laboratory/diagnostic evaluation, and provision of applicable referrals/linkages, will be monitored via site visit chart review.

## ***Treatment Plan***

Outpatient/Ambulatory Care Service providers should create an individualized treatment plan for each patient that identifies and prioritizes the patient's medical care needs and incorporates client input. All treatment plans must be signed and dated by a provider, and should follow national guidelines as outlines in the [HHS guidelines](#) and [HIV primary care guidelines](#) including review and reassessment of the plan at each care appointment.

## **Tools and Resources**

Clinical Guidelines for ARVs, laboratory testing, and other services within the Outpatient/Ambulatory Care Services category are available at:

<https://aidsinfo.nih.gov/guidelines>

Working Draft

CALIFORNIA DEPARTMENT OF PUBLIC HEALTH (CDPH) OFFICE OF AIDS (OA)  
HIV CARE PROGRAM (HCP) STANDARDS OF CARE

## Outreach Services

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Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	OA Workgroup	6/10/2018	Marjorie Katz	6/10/2018	First public working draft

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## **Introduction**

This document describes the “Outreach Services” service category of HCP, funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP. This document highlights each of the requirements and standards that apply to Outreach Services, and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

## **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, and (2) Requirements.

## **Service Definition**

### **HRSA Definition**

Outreach Services include the provision of the following three activities:

- Identification of people who did not previously know they were living with HIV, and linkage into medical care
- Provision of additional information and education on health care coverage options
- Reengagement of people who already know they are living with HIV into medical care

### **Program Guidance**

Outreach programs must be:

- Conducted at times and in places where identified priority populations are likely to be present. Priority populations should be identified by using surveillance and continuum of care data.
- Planned and delivered in coordination with other local and state HIV prevention outreach and care programs in order to avoid duplication of effort

### ***Monitoring***

**Priority Populations** - Focusing on priority populations for outreach and scheduling of outreach to occur where/when people at high risk for HIV are present will be monitored during site visits through discussion and review of data used to guide outreach.



## Unallowable Activities

Outreach Services **may not**:

- Be used to pay for HIV counseling or testing
- Be used for outreach activities that exclusively promote HIV prevention education
- Be used for broad outreach activities, such as providing leaflets at a subway stop or posters at bus shelters
- Supplant funding for outreach activities funded by the Centers for Disease Control and Prevention or other federal, state, or local sources

### ***Monitoring***

**Allowable Activities** - Use of HCP funds for Outreach Services that include only allowable activities (notably excluding HIV counseling and testing) will be monitored through submission of budgets, as well as site visits. Coordination of services with local outreach/prevention programs will be monitored via desk audit of program budget forms.

### ***Objective***

Outreach Services are intended to identify people who are unaware of their HIV-positive status or those who know their status but have fallen out of care so that they may become aware of and be enrolled in care and treatment services.

## **Requirements**

### **Provider Qualifications**

#### ***Education/Experience/Supervision***

There are no minimum educational standards. All Outreach Services staff must be trained and knowledgeable about HIV and familiar with available HIV resources in the area. They should have good communication skills and ideally be culturally and linguistically competent and able to meet the needs of the community served.

Regardless of education/training, staff should be aware of the demographics in the service area, and trained and experienced in the following:

- Outreach
- HIV transmission and prevention
- Local HIV service delivery system, especially primary medical care and case management services
- Motivational interviewing

### **Staff Orientation and Training**

**Initial:** All staff providing Outreach Services must complete an initial training session related to their job description and serving those with HIV. Training should be completed within 60 days of hire. Topics must include:

- General HIV knowledge, such as HIV transmission, care and prevention
- Privacy requirements and HIPAA regulations
- Navigation of the local system of HIV care including HOPWA and ADAP

**Ongoing:** Staff must also receive ongoing annual HIV training as appropriate for their position. Training may be any combination of (1) in-person, (2) articles, (3) home studies, or (4) webinars, and must be clearly documented and tracked for monitoring purposes.

### **Service Characteristics**

Outreach Services must be offered in a way that addresses barriers to accessing medical care and uses resources to support positive health outcomes for clients. Outreach Services providers must provide the three key activities included in the **Service Definition** section of this document.

**Service Coordination:** Services must be planned and delivered in coordination with local HIV prevention programs to avoid duplication of effort. The services paid for by HCP under this standard cannot take the place of HIV prevention services offered by other programs.

**Priority Populations:** Services must be focused to populations and communities known to be at disproportionate risk of HIV infection. Broad-scope awareness activities for the general public, such as transit ads, are NOT considered focused services.

**Key Locations:** Services should be conducted at times and places where there is a high probability that people living with HIV will be reached. Examples of this include offering services at specific establishments frequented by people likely to have participated in high-risk behavior and offering services at times outside of normal business hours.

**HIV education:** Clients should always be provided with HIV risk reduction and prevention education, information about partner services, and referrals to the HIV service delivery system including clear information on how to access those services.

### **Monitoring**

**HIV Education** - The provision of HIV risk reduction and prevention education counseling, education about the HIV service delivery system and information about how to access services, and general health improvement counseling will be monitored through submission to HCP of educational materials used during Outreach Services and discussion during site visits.

**Referral / Linkage:** Clients should be referred for testing as appropriate; those testing positive for HIV should be referred and linked to HIV medical care, case management, benefits counseling, and other services necessary to maintain or improve health outcomes as appropriate, using a warm hand off where possible. Documentation of that referral must be in the client file and available upon request.

***Monitoring***

**Referral / Linkage** - Provision and documentation of referrals for clients to HIV testing as appropriate, and linkage for clients living with HIV to medical care and case management, will be monitored through discussion during site visits.

**Partner Services:** Per HCP Management Memo 15-06, HCP providers funded for Outreach Services must have a process for Partner Services counseling and referral for clients. Partner Services information should be offered and referrals made for clients according to established processes.

***Monitoring***

**Partner Services** - Existence of a protocol and process for Partner Services counseling and referral will be monitored by submission of written policies and procedures documentation to HCP. Implementation of the protocol (i.e. that clients are actually offered Partner Services information and referrals) will be monitored through observation and chart review during site visits.

**Quantifiable:** Providers should obtain client information and keep a record of each contact, including information/education provided and any referrals or linkages.

***Monitoring***

**Documentation** - Documentation of client contacts and overall program results will be monitored in ARIES Outreach Services Module or ARIES.

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HIV CARE PROGRAM (HCP) STANDARDS OF CARE

## Psychosocial Support Services

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Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	OA Workgroup	6/10/2018	Marjorie Katz	6/10/2018	First public working draft

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## **Introduction**

This document describes the “Psychosocial Support Services” service category of the California HIV Care Program (HCP), funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP.

This document highlights the requirements and standards that apply to Psychosocial Support Services, and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

## **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, and (2) Requirements.

## **Service Definition**

### **HRSA Definition**

Psychosocial Support Services provide group or individual support and counseling services to assist eligible people living with HIV to address behavioral and physical health concerns.

### **Program Guidance**

HCP-funded pastoral counseling must be available to all eligible clients regardless of their religious denominational affiliation.

Funds under this service category may not be used to pay for: nutritional supplements (See Food Bank/Home Delivered Meals service category), social/recreational activities, or gym memberships.

Funds under this service category may not be used to pay for services provided by a licensed mental health provider (see Mental Health Services service category.)

### **Key Activities**

Key activities of Psychosocial Support Services may include:

- HIV support groups
- Nutrition counseling provided by a non-registered dietitian (see Medical Nutrition Therapy Services for services provided by Registered Dietitians)
- Child abuse and neglect counseling
- Pastoral care/counseling services
- Bereavement counseling

Psychosocial Support Services can be provided in individual and/or group settings.

## ***Objective***

The objective of Psychosocial Support Services is to increase client self-efficacy and create a broad-based support system that makes resources available as needed.

## **Units of Service**

A Unit of Service (UOS) is a 15-minute contact between a client and a counselor or other provider of allowed Psychosocial Support Services. When clients attend group-related services, sign-in sheets should be maintained and UOS should be allotted for each client (e.g., if five clients attend a one-hour support group, the service should be recorded for each client as four units at 15 minutes apiece; See ARIES Policy Notice E4).

## **Requirements**

### **Provider Qualifications**

#### ***Education/Experience/Supervision***

Psychosocial Support Services practitioners are not required to be licensed or registered in the State of California. Providers should be trained and knowledgeable in HIV-related issues. Individual supervision and guidance must be available to all staff as needed.

Exception: Pastoral care/counseling services must be provided by an institutional pastoral care program (e.g., components of AIDS interfaith networks, separately incorporated pastoral care and counseling centers, or as a component of services provided by a licensed provider, such as a home care or hospice provider).

#### ***Monitoring***

**Supervision** - Availability of individual supervision will be monitored via discussion during site visits.

#### ***Staff Orientation and Training***

**Initial:** All HCP-funded staff providing Psychosocial Support Services must complete an initial training session related to their job description and serving those with HIV. Training should be completed within 60 days of hire. Topics must include:

- General HIV knowledge such as transmission, care, and prevention
- Privacy requirements and HIPAA regulations
- Navigation of the local system of HIV care

**Ongoing:** Staff must also receive ongoing annual training as appropriate for their position. Training must be clearly documented and tracked for monitoring purposes.

### ***Monitoring***

**Staff training** – Knowledge and training related to HIV care for all staff will be verified through personnel file documentation of hire date, all trainings provided, and dates of trainings; these records must be available for review during site visits or upon request.

## **Service Characteristics**

Psychosocial Support Services must be offered in a way that addresses barriers to accessing health care and uses resources to support positive health outcomes for clients. When relevant, these services should be coordinated with a client's overarching Care Plan. All Psychosocial Support Services must include at least one of the Key Activities included in the Service Definition section of this document. Other key characteristics include:

**Eligibility Screening:** If the Psychosocial Support Services provider is the client's first contact with HCP, the client must be screened for eligibility as described in the Common Standards of Care.

**Initial Psychosocial Support Services Appointments:** Initial Psychosocial Support Services appointments should be made as soon as possible to avoid potential drop out. Appointments must occur no later than 30 calendar days of first client referral, but should be scheduled sooner whenever possible. As clients may miss appointments, agencies must have a process in place to ensure timely follow up with clients, preferably within 24 hours. Missed appointments and attempts at rescheduling must be documented in the file.

### ***Monitoring***

**Appointment scheduling and follow-up** – In advance of site visits, agencies will be asked to submit to HCP written policies for client follow-up after missed appointments; documentation of rescheduling attempts will be monitored via chart review during site visits.

## ***Orientation***

Each new client enrolled in Psychosocial Support Services must receive an orientation to the services at the first visit; document this orientation in the client file.

## ***Treatment Provision***

**Requirements:** Treatment plans are recommended for high-acuity clients, although they are not generally required for this service category. Psychosocial Support Services providers developing an individualized treatment plan should ensure that the plan, at a minimum:

- Reviews and incorporates the existing Care Plan, if any



- Identifies the client's needs, personal support systems, and services they are currently receiving
- Includes individual and/or group counseling sessions
- Provides education and information that will enhance the client's well-being, including health education, risk reduction, drug/medication use, and nutritional information
- Provides allowable, needed services to family members and significant others with the goal of developing and strengthening the client's support system
- Coordinates with the client's existing providers, such as mental health and substance use case managers
- Coordinates and makes referrals to outside providers as needed
- Is signed and dated by the provider unless documented via the Care Plan in ARIES (in which case the responsible staff person should be indicated in the ARIES record)

**Documentation:** Psychosocial Support Services should be provided in a way that is consistent with the individual service plan. All services provided should be documented in the client's chart.

### ***Monitoring***

**Service plans** – Presence of a written individual service plan for high-acuity clients outlining each client's needs and progress will be monitored via site visit chart review, including documentation of services provided.

**Pastoral care/counseling (if provided)** – Documentation that the pastoral care/counseling program is provided by an institutional pastoral care program and that the program is available to all HCP-eligible clients without regard to religious affiliation will be monitored via site visit discussion.

CALIFORNIA DEPARTMENT OF PUBLIC HEALTH (CDPH) OFFICE OF AIDS (OA)

HIV CARE PROGRAM (HCP) STANDARDS OF CARE

## Referral for Health Care and Support Services

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Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	OA Workgroup	6/10/2018	Marjorie Katz	6/10/2018	First public working draft

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## **Introduction**

This document describes the “Referral for Health Care and Support Services” service category of the California HIV Care Program (HCP), funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP.

This document highlights the requirements and standards that apply to Referral for Health Care and Support Services, and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

## **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, and (2) Requirements.

## **Service Definition**

### **HRSA Definition**

Referral for Health Care and Support Services directs a client to needed core medical or support services in-person or through telephone, written, or other type of communication. These services are provided outside of an Outpatient/Ambulatory Health Services, Medical Case Management, or Non-Medical Case Management visit. Services funded through this category are intended for low-acuity clients with sporadic service needs only. Those with ongoing need for referrals and support should be linked to non-medical care management.

This service may include referrals to assist eligible clients to obtain access to other public and private programs for which they may be eligible (e.g., Medi-Cal, Medicare Part D, State Pharmacy Assistance Programs, Pharmaceutical Manufacturer’s Patient Assistance Programs, other state or local health care and supportive services, or health insurance marketplace plans).

### **Program Guidance**

Referrals for health care and support services provided by outpatient/ambulatory health care providers should be reported under Outpatient/Ambulatory Health Services.

Referrals for health care and support services provided by case managers (medical and non-medical) should be reported in the appropriate case management service category (i.e., Medical Case Management or Non-Medical Case Management).

### **Key Activities**

Key activities of Referral for Health Care and Support Services include:

- Screening for client’s overall service needs;
- Referrals to assist clients in obtaining access to public and private programs, such as:

- Benefits and Entitlements counseling and referral
  - Medi-Cal
  - Medicare Part D
  - California State Pharmacy Assistance Program (Cal Rx)
  - Health insurance marketplace plans (Covered California)
  - AIDS Drug Assistance Program (ADAP)
- Other state or local health care supportive services related to:
  - housing (including the Housing Choice Voucher Program)
  - legal
  - medical care
  - mental health services
  - oral health care
  - substance use disorder
  - food assistance programs
  - support groups
- Follow-up to assess client's access to referred services and progress in addressing needs.

### ***Objective***

Referral for Health Care and Support Services is designed to link persons living with HIV to needed medical or support services.

### **Units of Service**

A Unit of Service (UOS) is a 15-minute contact between a client and a referral provider, whether by phone or face-to-face.

## **Requirements**

### **Provider Qualifications**

#### ***Education/Experience/Supervision***

There are no specific education or licensing requirements. Services may be provided informally by community health workers or support staff, or as part of an outreach program. However, services must be provided by persons who possess a comprehensive knowledge of:

- Services and benefits available in the local area
- HIV and related issues

Individual supervision and guidance must be routinely provided to all staff.

### ***Staff Orientation and Training***

**Initial:** All HCP-funded staff providing Referral for Health Care and Support Services must complete an initial training session related to their job description and serving those with HIV. HIV training should be completed within 60 days of hire. Topics must include:

- General HIV knowledge such as transmission, care, and prevention.
- Privacy requirements and HIPAA regulations
- Navigation of the local system of HIV care, including ADAP

### ***Monitoring***

**Staff training** – Knowledge and training related to HIV care for all staff will be verified through personnel file documentation of hire date, all trainings provided, and dates of trainings; these records must be available for review during site visits or upon request.

**Ongoing:** Staff must also receive ongoing annual training as appropriate for their position. Training must be clearly documented and tracked for monitoring purposes.

### **Service Characteristics**

Referral for Health Care and Support Services must be offered in a way that addresses barriers to accessing needed care and services and uses resources to support positive health outcomes for clients. All Referral for Health Care and Support Services must include the Key Activities included in the Service Definition section of this document. Other best practices include the use of reminder systems and flexible policies regarding missed appointments when possible.

**Screening and Referrals:** Initial Referral for Health Care and Support Services appointments should be made as soon as possible to avoid potential drop out; services may be included as part of an outreach program. Initial contact (e.g., intake to HCP services if needed, screening for service needs, and referral using a warm handoff if possible) must occur no more than 10 business days after first client contact and must address immediate needs. As clients may miss appointments, agencies must have a process in place to ensure timely follow-up with clients, preferably within 24 hours. Missed appointments and attempts at rescheduling must be documented in the file.

### ***Monitoring***

**Appointment scheduling and follow-up** – In advance of site visits, agencies will be asked to submit to HCP written policies for client follow-up after missed appointments; documentation of rescheduling attempts will be monitored via chart review during site visits.

### ***Orientation***

Each new client enrolled in Referral for Health Care and Support Services must receive an orientation to the services at the first visit; document this orientation in the client file.

### ***Screening for Service Needs***

In addition to making a referral as requested by the client, providers in this service category must work with the client to screen for other service needs. Referrals should be made to all appropriate services within 30 days of initial orientation to this service category. Referrals should be provided via warm handoff when possible.

**Documentation:** For all client contacts, documentation of referrals, benefits counseling, and other information pertinent to client care must be recorded in the client chart.

### ***Monitoring***

**Assessments** – Performance of a timely initial assessment, along with complete documentation of assessment findings, provision of applicable referrals/linkages, and follow-up will be monitored via site visit chart review.

### ***Providing Referrals***

Providers should assist clients in accessing all services needed, including:

**Benefits and Entitlements Counseling:** Clients should be provided with benefits and entitlements counseling. Counseling and referral should include all appropriate federal, state (including ADAP), local, or manufacturer's assistance programs.

**Supportive Services:** Clients should also be referred to case management, medical, and non-medical supportive services, as appropriate.

**Follow-up:** Staff must follow-up with the client to assess the client's progress in addressing their needs. Follow-up appointments should include referrals to any additional services needed as determined during the session.

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HIV CARE PROGRAM (HCP) STANDARDS OF CARE

## Substance Abuse Outpatient Care

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Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	OA Workgroup	6/10/2018	Marjorie Katz	6/10/2018	First public working draft



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## **Introduction**

This document describes the “Substance Abuse Outpatient Care” service category of the California HIV Care Program (HCP), funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP.

**NOTE:** For clarity and consistency, the service category referenced throughout this document is Substance Abuse Outpatient Care, per PCN #16-02. However, in all other cases, HCP utilizes 2016 White House Office on National Drug Control Policy (ONDCP) language, including “substance use disorder” instead of “substance abuse.”

This document highlights the requirements and standards that apply to Substance Abuse Outpatient Care, and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

## **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, and (2) Requirements.

## **Service Definition**

### **HRSA Definition**

Substance Abuse Outpatient Care is the provision of outpatient services for the treatment of drug or alcohol use disorders. Services include:

- Screening
- Assessment
- Diagnosis and/or treatment of substance use disorder, including:
  - Pretreatment/recovery readiness programs
  - Harm reduction
  - Behavioral health counseling associated with substance use disorder
  - Outpatient drug-free treatment and counseling
  - Medication assisted therapy
  - Neuro-psychiatric pharmaceuticals
  - Relapse prevention

### **Key Activities**

Key activities of Substance Abuse Outpatient Care include:

- Initial assessment of the client’s service needs;
- Recovery readiness determination and relapse prevention strategies;

- Harm reduction including syringe access;
- Development of a comprehensive, individualized treatment plan including client-driven goals and milestones;
- Treatment provision, such as:
  - Behavioral health counseling in individual, family, and/or group settings
  - Crisis intervention
  - Medication-assisted therapy, including the use of disulfiram, acamprosate, naltrexone, methadone, buprenorphine, and others
  - Relapse prevention
- Referral/coordination/linkages with other providers to ensure integration of services and better client care;
- Re-evaluation of the treatment plan with the client at least every six months with revisions and adjustments as necessary;
- Development of follow-up plans;

Acupuncture therapy may be allowable under this service category only when it is included in an individualized treatment plan as part of a substance use disorder treatment program funded under the RWHAP.

Syringe access services are allowable for HCP clients to the extent that they comport with current appropriations law and applicable US Health and Human Services guidance, including HRSA/ HAB-specific guidance. Syringes may not be purchased using Ryan White funds. Jurisdictions wishing to use RWHAP funds for syringe access services should consult with HCP.

### ***Objective***

Substance Abuse Outpatient Care is designed to assist clients in reducing and/or eliminating use of alcohol, legal, and/or illegal drugs through harm reduction strategies.

### ***Limitations***

Only non-residential services may be provided under this service category. Residential substance use disorder services must be provided under the Substance Abuse Treatment (residential) category.

## **Units of Service**

A Unit of Service (UOS) is a 15-minute contact between a client and a substance use disorder treatment provider, other counselor, or acupuncturist.

## **Requirements**

### **Provider Qualifications**

#### ***Education/Experience/Supervision***

Professional diagnostic, therapeutic, and other treatment services under this service category must be provided by practitioners holding appropriate and valid California licensure or certification, including:

- Physicians (including Psychiatrists)
- Psychologists
- Nurse Specialists/Practitioners
- Marriage and Family Therapists (MFT)
- Licensed Clinical Social Workers (LCSW)
- California Alcohol and Drug Abuse Counselors (CADAC)
- Acupuncturists

#### ***Monitoring***

**Provider qualifications** – Proof of compliance with minimum qualifications for all providers offering diagnostic and therapeutic services must be kept in personnel files, with hire date for review during site visits.

Other professional and non-professional (“waivered”) staff may provide services appropriate for their level of training/education as part of a care team under the supervision of a licensed or certified clinician.

Other professional staff include but are not limited to:

- Interns
- Assistants
- Fellows
- Associates

Non-professional staff include but are not limited to:

- Peer Navigators
- Community Health Workers
- Trainees

Individual supervision and guidance must be routinely provided to all staff.

### ***Monitoring***

**Supervision and guidance by a clinician** – Availability of supervision and guidance by a clinician for unlicensed providers will be monitored via discussion during site visits. Assurance that all services provided are commensurate with the training and education of providers will be verified through in-person chart review during site visits.

### ***Staff Orientation and Training***

**Initial:** All HCP-funded staff providing Substance Abuse Outpatient Care must complete an initial training session related to their job description and serving those with HIV. HIV training should be completed within 60 days of hire. Topics must include:

- General HIV knowledge such as transmission, care, and prevention.
- Trauma and stigma for people living with HIV, and the effect of trauma and stigma on care/relapse
- Harm reduction principles and strategies
- Overdose education and prevention
- Privacy requirements and HIPAA regulations
- Navigation of the local system of HIV care

### ***Monitoring***

**Staff training** – Knowledge and training related to HIV care and substance use for all staff will be verified through personnel file documentation of hire date, all trainings provided, and dates of trainings; these records must be available for review during site visits or upon request.

**Ongoing:** Staff must also receive ongoing annual HIV training as appropriate for their position, including continuing education required by the State of California to maintain licensure. Training must be clearly documented and tracked for monitoring purposes.

## **Service Characteristics**

Substance Abuse Outpatient Care must be offered in a way that addresses barriers to accessing substance use disorder treatment and uses resources to support positive health outcomes for clients. All Substance Abuse Outpatient Care must include the Key Activities included in the *Service Definition* section of this document. Providers

While not specifically required, other best practices recommended for this service include:

- Provision of low-threshold services; agency guidelines should avoid abstinence requirements tied to service provision
- Use of peer-based support strategies

- Use of a trauma-informed approach
- Use of reminder systems and flexible policies regarding missed appointments

**Initial Appointments:** Initial Substance Abuse Outpatient Care appointments should be made as soon as possible to avoid potential drop out. Initial in-person contact (e.g., intake, initial screening, and scheduling of a full assessment) must occur no more than five business days after first client referral and must address immediate needs. Full assessments may occur later but no more than 30 calendar days after the initial in-person contact. As clients may miss appointments, agencies must have a process in place to ensure timely follow-up with clients, preferably within 24 hours. Missed appointments and attempts at rescheduling must be documented in the file.

### ***Monitoring***

**Appointment scheduling and follow-up** – In advance of site visits, agencies will be asked to submit to HCP written policies for client follow-up after missed appointments; documentation of rescheduling attempts will be monitored via chart review during site visits.

### ***Orientation***

Each new client enrolled in Substance Abuse Outpatient Care must receive an orientation to the services at the first visit; document this orientation in the client file.

### ***Initial Assessment***

The substance use disorder provider must conduct a comprehensive face-to-face needs assessment within 35 days of referral. The needs assessment will describe the client's current status and inform the treatment plan. This substance use needs assessment should include:

- Substance use history
- Current medications and side effects
- A detailed statement of the client's current presenting problem
- [Mental status exam](#) (MSE)
- Concurrent diagnoses, including physical and mental health diagnoses

**Documentation:** All client contacts, findings, procedures, diagnoses, education, and other information pertinent to client care must be recorded in the client chart.

## ***Monitoring***

**Assessments** – Performance of a timely initial assessment, along with complete documentation of assessment findings, and provision of applicable referrals/linkages, will be monitored via site visit chart review. Primary care provider referral for acupuncture services will be monitored via site visit chart review.

## ***Treatment Plan***

**Frequency:** An individualized treatment plan must be developed within 30 calendar days of the client's initial assessment and re-evaluated at least every six months thereafter, with adaptations as needed.

**Requirements:** Substance use disorder providers developing an individualized treatment plan should ensure that the plan, at a minimum:

- Incorporates client input
- Identifies and prioritizes the client's mental health care needs, including those not directly related to substance use
- Includes a statement of the problems, diagnoses, symptoms, or behaviors to be addressed in treatment
- Sets realistic and measurable goals, objectives, and timelines based on client needs identified by the client and substance use disorder team
- Identifies interventions, modalities, and resources to attain the goals and objectives, including referral and linkage to other relevant providers (e.g., mental health providers, physicians, housing specialists)
- Details frequency and expected duration of services
- Is signed and dated by the provider unless documented via the Care Plan in ARIES (in which case the responsible staff person should be indicated in the ARIES record)

## ***Treatment Provision***

Services should be provided utilizing methodologies appropriate for the client's needs, following evidence-based recommendations for [substance use disorder treatment for people living with HIV](#). These may include any combination of:

**Group and individual therapy/counseling:** Outpatient substance use disorder counseling may be done in groups, individually, or a combination of the two.

**Harm Reduction Model:** Services should utilize harm reduction principles and should be offered for all substances as appropriate. Programs may include syringe access services, but services funded through HCP can only be provided to HCP clients and cannot include purchase of syringes.

**Recovery readiness:** Services should include an evaluation of the client's readiness to abstain from substance use for the foreseeable future.

**Medication-assisted treatment:** Licensed narcotic treatment programs may combine pharmacotherapy such as methadone, buprenorphine, and naloxone with counseling and behavioral therapy. Medications must be prescribed by a licensed and appropriately certified/registered medical provider (with buprenorphine certification, if applicable). *Note: buprenorphine services may also be provided under the Outpatient/Ambulatory Health Services category if preferred.*

**Relapse prevention:** Services should provide education and counseling to help prevent relapse. These may include recovery planning and self-help groups as well as coping strategies for common relapse triggers.

**Acupuncture:** While acupuncture may not be utilized as the dominant treatment modality, it is an acceptable adjunct therapy when provided per a written referral from the client's primary care provider. Referrals and services must be documented in the treatment plan.

**Referral / linkage:** Clients requiring specialized care should be referred for and linked to such care, with documentation of that referral in the client file and available upon request.



CALIFORNIA DEPARTMENT OF PUBLIC HEALTH (CDPH) OFFICE OF AIDS (OA)  
HIV CARE PROGRAM (HCP) STANDARDS OF CARE

## Substance Abuse Services (residential)

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Version #	Implemented By	Revision Date	Approved By	Approval Date	Reason
1.0	OA Workgroup	6/10/2018	Marjorie Katz	6/10/2018	First public working draft

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## **Introduction**

This document describes the “Substance Abuse Services (residential)” service category of the California HIV Care Program (HCP), funded through the Ryan White HIV/AIDS Program (RWHAP) Part B. It serves as a supplement to the Common Standards of Care document also released by HCP.

**NOTE:** For clarity and consistency, the service category referenced throughout this document is “Substance Abuse Services (residential)”, per PCN #16-02. However, in all other cases, HCP utilizes 2016 White House Office on National Drug Control Policy (ONDCP) language, including “substance use disorder” instead of “substance abuse”.

This document highlights the requirements and standards that apply to Substance Abuse Services (residential), and must be followed by any provider receiving HCP (Ryan White Part B) funding for this service category.

## **How This Document is Organized**

Within this document, the Standards of Care are described in terms of (1) Service Definition, and (2) Requirements.

## **Service Definition**

### **HRSA Definition**

Substance Abuse Services (residential) is the provision of services for the treatment of drug or alcohol use disorders in a residential setting to include screening, assessment, diagnosis and treatment of substance use disorder. Services include:

- Screening
- Assessment
- Diagnosis and/or treatment of substance use disorder, including:
  - Pretreatment/recovery readiness programs
  - Harm reduction
  - Behavioral health counseling associated with substance use disorder
  - Medication-assisted therapy
  - Neuro-psychiatric pharmaceuticals
  - Relapse prevention
  - Detoxification, if offered in a separate licensed residential setting (including a separately-licensed detoxification facility within the walls of an inpatient medical or psychiatric hospital)

## Program Guidance

Substance Abuse Services (residential) are permitted only when the client has received a written referral from the clinical provider as part of a substance use disorder treatment program funded under HCP.

Acupuncture therapy may be allowable under this service category only when it is included in a documented plan as part of a substance use disorder treatment program funded under HCP.

HCP funds may not be used for inpatient detoxification in a hospital setting unless the detoxification facility has a separate license.

## Key Activities

Key activities of Substance Abuse Services (residential) include:

- Short-term room and board to support treatment of substance use disorder;
- Initial assessment of the client's service needs;
- Pretreatment/recovery readiness programs and relapse prevention strategies;
- Harm reduction, including syringe access;
- Development of an individualized treatment plan with client-driven goals and milestones;
- Treatment provision, including:
  - Behavioral health counseling in individual, family, and/or group settings
  - Crisis intervention
  - Medication-assisted therapy, including the use of disulfiram, acamprosate, naltrexone, methadone, buprenorphine, and others
  - Relapse prevention
  - Acupuncture, as part of a documented plan and with referral from primary care provider
- Referrals to detoxification services;
- Coordination/linkages with other providers to ensure integration of services and better client care;
- Re-evaluation of the treatment plan with the client at least every six months with revisions and adjustments as necessary; and
- Development of follow-up and discharge plans.

### ***Objective***

Substance Abuse Services (residential) is designed to assist clients in reducing and/or eliminating use of alcohol, legal, and/or illegal drugs through harm reduction strategies in order to improve the overall health and social wellness of HIV-positive adults.

### ***Limitations***

Only residential services may be provided under this category. Non-residential substance use disorder services must be provided under Substance Abuse Outpatient Care.

## **Units of Service**

A Unit of Service (UOS) is a single 24-hour day of residential substance use treatment and/or detoxification, or a 15-minute partner notification contact.

## **Requirements**

### **Provider Qualifications**

#### ***Education/Experience/Supervision***

Professional diagnostic, therapeutic, and other treatment services under this service category must be provided by practitioners holding appropriate and valid California licensure or certification, including:

- Physicians (including Psychiatrists)
- Psychologists
- Nurse Specialists/Practitioners
- Marriage and Family Therapists (MFT)
- Licensed Clinical Social Workers (LCSW)
- California Alcohol and Drug Abuse Counselors (CADAC)
- Acupuncturists

At least 30% of program staff providing counseling services in a substance use treatment program must be licensed or certified pursuant to the requirements of California Code of Regulations, Title 9, Division 4, Chapter 8.

### ***Monitoring***

**Provider qualifications** – Proof of compliance with minimum qualifications for all providers offering diagnostic and therapeutic services must be kept in personnel files, with hire date for review during site visits.

Other professional and non-professional (“waivered”) staff may provide services appropriate for their level of training/education, as part of a care team under the supervision of a licensed or certified clinician.

Other professional staff include but are not limited to:

- Interns
- Assistants
- Fellows
- Associates

Non-professional staff include but are not limited to:

- Peer Navigators
- Community Health Workers
- Trainees

Individual supervision and guidance must be routinely provided to all staff.

### ***Monitoring***

**Supervision and guidance by a clinician** – Availability of supervision and guidance by a clinician for unlicensed providers will be monitored via discussion during site visits. Assurance that all services provided are commensurate with the training and education of providers will be verified through in-person chart review during site visits.

### ***Staff Orientation and Training***

**Initial:** All HCP-funded staff providing Substance Abuse Services (residential) must complete an initial training session related to their job description and serving those with HIV. HIV training should be completed within 60 days of hire. Topics must include:

- General HIV knowledge such as transmission, care, and prevention.
- Trauma and stigma for people living with HIV, and the effect of trauma and stigma on care/relapse
- Harm reduction principles and strategies
- Overdose education and prevention
- Privacy requirements and HIPAA regulations
- Navigation of the local system of HIV care including ADAP

**Ongoing:** Staff must also receive ongoing annual training as appropriate for their position, including continuing education required by the State of California to maintain licensure. Training must be clearly documented and tracked for monitoring purposes.

### ***Monitoring***

**Staff training** – Knowledge and training related to HIV care for all staff will be verified through personnel file documentation of hire date, all trainings provided, and dates of trainings; these records must be available for review during site visits or upon request.

### ***Facility***

Any agency providing medication-assisted treatment for substance use disorder must be accredited by the Joint Commission on Accreditation of Health Organizations (JCAHO) or the Commission on Accreditation of Rehabilitation Facilities (CARF). If the facility primarily provides inpatient medical or psychiatric care, the component providing the residential substance use treatment must be separately licensed for that purpose.

### **Service Characteristics**

Substance Abuse Services (residential) must be offered in a way that addresses barriers to accessing substance use disorder treatment and uses resources to support positive health outcomes for clients. All Substance Abuse Services (residential) must include the Key Activities included in the ***Service Definition*** section of this document.

While not specifically required, other best practices recommended for this service include:

- Provision of low-threshold services; agency guidelines should avoid abstinence requirements tied to service provision
- Use of peer-based support strategies
- Use of a trauma-informed approach

### ***Orientation***

Each new client enrolled in Substance Abuse Services (residential) must receive an orientation to the services on admission; document this orientation in the client file.

### ***Initial Assessment***

The substance use disorder provider must conduct a comprehensive initial assessment for services. The needs assessment will describe the client's current status and inform the treatment plan. The substance use needs assessment should include:

- Substance use history
- Current medications and side effects
- A detailed statement of the client's current presenting problem
- [Mental status exam](#) (MSE)
- Concurrent diagnoses, including physical and mental health diagnoses

**Documentation:** All client contacts, findings, procedures, diagnoses, education, and other information pertinent to client care must be recorded in the client chart.

### ***Monitoring***

**Assessments** – Performance of a timely initial assessment, along with complete documentation of assessment findings, and provision of applicable referrals/linkages, will be monitored via site visit chart review. Primary care provider referral for acupuncture services will be monitored via site visit chart review.

### ***Treatment Plan***

**Frequency:** An individualized treatment plan must be developed upon the client's admission, and re-evaluated at least every 90 days thereafter or more frequently if needed.

**Requirements:** Substance use disorder providers developing an individualized treatment plan should ensure that the plan, at a minimum:

- Incorporates client input
- Includes a statement of the problems, diagnoses, symptoms, or behaviors to be addressed in treatment
- Identifies and prioritizes the client's mental health care needs, including those not directly related to substance use
- Sets realistic and measurable goals, objectives, and timelines based on client needs identified by the client and substance use disorder team
- Include a plan for adherence to the HIV medical plan
- Details expected duration of services
- Ensures coordination of care, through collaboration with the client's service providers (medical provider, case manager, mental health specialist, etc.)
- Is signed and dated by the provider, unless documented via the Care Plan in ARIES (in which case the responsible staff person should be indicated in the record)

**Discharge:** The treatment plan must detail the terms of discharge, including the conditions that must be met for discharge to occur, and ways in which care will be coordinated with the client's outpatient case manager or other supportive person, to help prevent relapse.



### ***Treatment Provision***

Services should be provided utilizing methodologies appropriate for the client's needs, following evidence-based recommendations for [substance use disorder treatment for people living with HIV](#). These may include any combination of:

**Group and individual therapy/counseling:** Substance use disorder counseling may be done in groups, individually, or a combination of the two.

**Harm Reduction Model:** Services should utilize harm reduction principles and should be offered for all substances as appropriate. Programs may include syringe access services, but cannot include purchase of syringes.

**Recovery readiness:** Services should include an evaluation of the client's readiness to abstain from substance use for the foreseeable future.

**Medication-assisted treatment:** Licensed narcotic treatment programs may combine pharmacotherapy such as methadone, buprenorphine, and naloxone with counseling and behavioral therapy. Medications must be prescribed by a licensed and appropriately certified/registered medical provider. *Note: buprenorphine services may also be provided under the Outpatient/Ambulatory Health Services category if preferred.*

**Relapse prevention:** Services should provide education and counseling to help prevent relapse. These may include recovery planning and self-help groups as well as coping strategies for common relapse triggers.

**Acupuncture:** While acupuncture may not be utilized as the dominant treatment modality, it is an acceptable adjunct therapy when provided per a written referral from the client's primary care provider. Referrals and services must be documented in the treatment plan.

**Referral / linkage:** Clients requiring specialized care should be referred for and linked to such care utilizing a warm hand off when possible, with documentation of that referral in the client file and available upon request.