



NC DEPARTMENT OF  
**HEALTH AND  
HUMAN SERVICES**

**Behavioral Health and Intellectual/Developmental Disability Tailored Plan**

**Tailored Care Management Provider Manual**

August 29, 2022

*This document was updated on August 29, 2022 to reflect updates related to care manager and supervising care manager qualifications, extender supervision requirements, and data security. This document also includes the revised standard terms and conditions for Tailored Plan contracts with AMH+ practices and care management agencies (CMAs). This Provider Manual supersedes previous versions. Any questions about Tailored Care Management should be submitted to: [Medicaid.TailoredCareMgmt@dhhs.nc.gov](mailto:Medicaid.TailoredCareMgmt@dhhs.nc.gov).*

**Contents**

|  |    |
|--|----|
| Section I: Introduction .....  | 3  |
| Section II: Beneficiary Eligibility for Tailored Care Management .....                           | 4  |
| Section III: Role of Provider Certification in Tailored Care Management.....                     | 6  |
| 1) Overview .....  | 6  |
| 2) Purpose of Certification .....  | 7  |
| 3) Role of CINs and Other Partners in Certification .....  | 7  |
| 4) Overview of the Certification Process .....   | 8  |
| 5) Readiness Reviews.....  | 9  |
| 6) “Glide Path” to Provider-based Care Management.....   | 10 |
| Section IV: Key Features of the Tailored Care Management Model .....                             | 10 |
| 1) Summary of the Tailored Care Management Model .....   | 10 |
| 2) Role of the Federal Health Home State Plan Option in Supporting Tailored Care Management..... | 11 |
| 3) Assignment and Member Choice.....   | 12 |
| 4) Data Strategy and Data Sharing.....   | 13 |
| 5) Healthy Opportunities Pilot Program.....  | 15 |
| Section V: AMH+ and CMA Certification Requirements.....  | 16 |
| 1) Provider Eligibility as an AMH+ or a CMA.....   | 17 |
| 2) Organizational Standing/Experience .....  | 17 |
| 3) Staffing.....   | 18 |
| 4) Delivery of Tailored Care Management.....   | 20 |
| 5) Health IT.....  | 34 |
| 6) Quality Measurement and Improvement.....  | 36 |
| 7) Training.....   | 36 |
| Section VI: Payment.....   | 39 |

Section VII: Oversight Model after Tailored Plan Launch..... 40

Section VIII: Local Health Department Programs ..... 41

APPENDIX 1: Standard Terms and Conditions for Tailored Plan Contracts with AMH+ Practices or CMAs... 42

APPENDIX 2: Additional Standard Terms and Conditions for Tailored Plan Contracts with AMH+ Practices or CMAs Certified to Provide Tailored Care Management to Members Enrolled in the 1915(c) Innovations or TBI Waivers ..... 60

## **Section I: Introduction**

As North Carolina transitions its Medicaid and NC Health Choice programs from a predominantly fee-for-service delivery system to managed care, the North Carolina Department of Health and Human Services (the Department) is focused on building robust and effective models for managing beneficiaries' comprehensive needs through care management. The Tailored Care Management model will be a critical element of the Behavioral Health and Intellectual/Developmental Disability (I/DD) Tailored Plans (referred to as Tailored Plans).<sup>1</sup> The Department strongly believes that care management should be provider-based and performed at the site of care, in the home or in the community, through face-to-face interaction between beneficiaries, providers, and care managers. Provider-based care management will promote whole-person care, foster high-functioning integrated care teams, and drive towards better health outcomes.

While it is not a requirement of Tailored Care Management that provider organizations provide co-located or integrated services, the model will require provider organizations to coordinate physical health, behavioral health<sup>2</sup>, I/DD and traumatic brain injury (TBI) services. The Department recognizes that integrating physical and behavioral health care while addressing nonmedical factors that impact health for the Tailored Plan population is a major change and will take time to implement. The Department's vision is that Tailored Care Management will provide the "glue" for integrated care under Tailored Plans, fostering coordination and collaboration among care team members across disciplines and settings. Through the Tailored Care Management model, providers and Tailored Plans will be asked to work closely together in new and innovative ways.

The Department is investing in the Tailored Care Management model to support the major changes ahead by pursuing the Health Home State Plan option for the model as described below, which will enable the Department to obtain enhanced federal matching funds. Subject to available funding, the Department will also provide "capacity building" funding for provider organizations that will provide Tailored Care Management. More details on this opportunity can be found in the Department's [Updated Guidance on Tailored Care Management](#) and [Capacity Building Provider Guidance](#).

The Department's vision is that care managers affiliated with Advanced Medical Home Plus (AMH+) practices and Care Management Agencies (CMAs)<sup>3</sup> will provide Tailored Care Management. This manual is a resource for provider organizations that are interested in playing a central role in Tailored Care Management and are considering or in the process of becoming certified as an AMH+ or a CMA, expanding on initial information provided in the Department's [policy paper](#) in May 2019.

---

<sup>1</sup> Tailored Plans are fully integrated managed care plans providing the full range of physical health, BH, I/DD, TBI, LTSS, pharmacy, and unmet health-related resource needs services. Tailored Plans are targeted toward individuals with significant behavioral health disorders, I/DDs, and TBI.

<sup>2</sup> Throughout this manual and throughout the design of Tailored Care Management, the Department is using the term "behavioral health" to encompass both mental health and substance use disorder services.

<sup>3</sup> For definitions of these terms, see Section III. Role of Provider Certification in Tailored Care Management.

This manual includes:

- A description of the Tailored Care Management model and the functions AMH+ practices and CMAs will be expected to perform;
- Criteria for AMH+ and CMA certification;
- The process for certification;
- Preliminary information about payment; and
- Information about AMH+ and CMA oversight after the launch of Tailored Plans.

Providers should note that many of the details contained in this manual are also contained within the Request for Applications (RFA) for Tailored Plans<sup>4</sup>. This RFA will be the basis of the Tailored Plan contracts that govern the model.

The Department is actively engaging with providers and Tailored Plan awardees about the Tailored Care Management model through regular webinars with question and answer sessions, as well as the new Tailored Care Management Technical Advisory Group (TAG). Questions about Tailored Care Management can be directed to [Medicaid.TailoredCareMgmt@dhhs.nc.gov](mailto:Medicaid.TailoredCareMgmt@dhhs.nc.gov).

## **Section II: Beneficiary Eligibility for Tailored Care Management**

The Tailored Care Management model is embedded in the design of Tailored Plans. Like Standard Plans, Tailored Plans will be fully integrated managed care products; Tailored Plans will provide a robust set of services to address members' physical health, behavioral health, I/DD, TBI, long-term services and supports (LTSS), pharmacy, and unmet health-related resource needs.<sup>5</sup> Tailored Plans will offer a more extensive set of behavioral health and I/DD benefits than Standard Plans and will be the only plans to offer current 1915(b)(3) services, 1915(c) Innovations and TBI waiver services, and State-funded services. Tailored Plans are targeted toward Medicaid beneficiaries with serious mental illness (SMI), serious emotional disturbance (SED), severe substance use disorders (SUDs), I/DDs, and TBIs as defined in Session Law 2015-245 as amended by Session Law 2018-48. Full Tailored Plan eligibility criteria can be found on the Department's Medicaid Transformation website.<sup>6</sup>

The Department will conduct regular reviews of encounters, claims, and other data to identify beneficiaries who are eligible for a Tailored Plan.<sup>7</sup> Beneficiaries who have a mandatory managed care status and meet the Tailored Plan eligibility criteria will be auto-enrolled in the Tailored Plan in their region, unless they actively select a Standard Plan.

---

<sup>4</sup> In November 2020, the Department issued the Tailored Plan Request for Applications (RFA), available at <https://medicaid.ncdhhs.gov/transformation/requests-proposals-rfps-and-requests-information-rfis>.

<sup>5</sup> Since all beneficiaries under Tailored Care Management will be Tailored Plan members, this manual uses the term "member" in describing Tailored Care Management model requirements.

<sup>6</sup> The full Tailored Plan eligibility criteria are available in the Tailored Plan Eligibility and Enrollment Final Policy Guidance. Individuals eligible for Tailored Plans will by default remain in NC Medicaid Direct (Fee-for-Service Medicaid) and LME/MCOs prior to Tailored Plan launch, but will be able to choose to enroll in a Standard Plan. See Guidance issued on [3/18/19](#); [7/16/19](#); and [8/2/19](#).

<sup>7</sup> Since there will be individuals who will benefit from Tailored Plan enrollment but will not be identified by available data, there will also be a Tailored Plan eligibility request form via which beneficiaries can request a review to determine whether they are eligible to enroll in a Tailored Plan.

Several populations are delayed or excluded from managed care;<sup>8</sup> instead of enrolling in a Tailored Plan, they will obtain their Medicaid coverage through NC Medicaid Direct and a limited benefit plan offered by a local management entity/managed care organization (LME/MCO). Individuals who would have otherwise been eligible for a Tailored Plan if not part of a delayed or excluded population will be eligible for Tailored Care Management, even though they will not be enrolled in a Tailored Plan. Individuals who are federally recognized tribal members or others eligible for Indian Health Service will be exempt from managed care but will be able to choose to enroll in a Tailored Plan if otherwise eligible. Additional guidance on Tailored Care Management for these populations is forthcoming.

Tailored Care Management will be available to all Tailored Plan members continuously throughout their enrollment, including individuals enrolled under North Carolina's 1915(c) Innovations and TBI waivers, with the exceptions of (1) individuals obtaining Assertive Community Treatment (ACT); (2) individuals residing in Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICF-IIDs); (3) children participating in Care Management for At-Risk Children (CMARC); and (4) children participating in the High Fidelity Wraparound (HFW) program.<sup>9</sup> The reason for these exclusions is that these services substantially duplicate Tailored Care Management. Tailored Plans will be responsible for developing and implementing protocols to ensure that members moving between these services and the Tailored Care Management model experience smooth transitions. Upon enrollment in a Tailored Plan, members will be auto-enrolled in Tailored Care Management unless they are receiving one of the above duplicative services, or they opt out. Members will be able to opt out of the model at any time.

For individuals enrolled in the 1915(c) Innovations and TBI waivers, Tailored Care Management will encompass waiver care coordination. Care managers serving individuals enrolled in one of these home- and community-based (HCBS) waivers will be responsible for addressing members' whole-person needs alongside coordinating and monitoring their HCBS waiver services. However, if individuals enrolled in these waivers decide to opt out of Tailored Care Management, they will remain enrolled in the applicable waiver and the Tailored Plan will still be required to coordinate waiver services. (See Section V.4. Delivery of Tailored Care Management for more information on requirements for serving the Innovations and TBI waiver population under Tailored Care Management). Similarly, Tailored Care Management will encompass case management of 1915(i) home and community-based services. Individuals obtaining a 1915(i) benefit can opt out of Tailored

---

<sup>8</sup> Populations delayed or excluded from managed care upon Tailored Plan launch include (1) foster care, adoption, former foster youth populations; (2) individuals who are dually eligible for Medicaid/Medicare and have full Medicaid; (3) long-stay nursing home beneficiaries; (4) CAP/C and CAP/DA 1915(c) waiver enrollees (children and adults with physical disabilities and/or who are medically fragile); (5) individuals who are considered "medically needy" and in the spend-down group; (6) individuals in the Health Insurance Premium Payment (HIP) Program (ESI premium assistance).

<sup>9</sup> The HFW program is an evidence-based service carried out by a North Carolina Wraparound Team, for youth with serious emotional disturbance or youth with serious emotional disturbance and a co-occurring SUD and/or I/DD. The Department is committed to expanding access to the HFW program with the launch of Tailored Plans and strongly encourages Tailored Plans to offer HFW as an in lieu of service. The HFW program will be distinct from Tailored Care Management. Providers will be eligible to provide the HFW program if they are credentialed by the Department or a vendor designated by the Department as meeting the fidelity standards of the model. Additionally, the Department intends to require HFW program providers to meet the same health IT standards as are contained in this manual for Tailored Care Management. Children in the HFW program who are enrolled in Tailored Plans will be eligible for Tailored Care Management as soon as they transition out of the HFW program.

Care Management but will be required to obtain case management of their 1915(i) benefit(s) through a Tailored Plan.

### **Section III: Role of Provider Certification in Tailored Care Management**

#### **1) Overview**

The Department is implementing a statewide, standardized process to certify providers to conduct Tailored Care Management as described in this manual. Prior to Tailored Plan go-live, the Department and its certification partner, the National Committee for Quality Assurance (NCQA) will determine providers' ability to deliver Tailored Care Management (see more details in Section III.4. Overview of the Certification Process). Prior to contracting with a Tailored Plan to perform Tailored Care Management at Tailored Plan go-live, the Department requires that each provider organization becomes certified with the Department and NCQA as an AMH+ or CMA.

Provider organizations participating in this model will be defined as follows:

- **AMH+ practices** will be primary care practices actively serving as AMH Tier 3 practices,<sup>10</sup> whose providers have experience delivering primary care services to the Tailored Plan eligible population or can otherwise demonstrate strong competency to serve that population. To demonstrate experience and competency to serve the Tailored Plan eligible population, each AMH+ applicant must attest that it has a patient panel with at least 100 active Medicaid patients who have an SMI, SED, or severe SUD; an I/DD; or a TBI. "Active" patients are those with at least two encounters with the AMH+ applicant's practice team in the past 18 months. AMH+ practices will hold primary responsibility for providing integrated, whole-person care management under the Tailored Care Management model. AMH+ practices may, but are not required to, offer integrated primary care and behavioral health or I/DD services. To be eligible to become an AMH+, the practice must intend to become a network primary care provider for Tailored Plans. While the Department expects only a minority of AMH Tier 3 practices to be ready to obtain certification as AMH+ practices at Tailored Plan launch, the Department's vision is that the Tailored Care Management model will stimulate integration of Tailored Care Management within primary care practices over time.
- **CMAs** will be provider organizations with experience delivering behavioral health, I/DD, and/or TBI services to the Tailored Plan eligible population, that will hold primary responsibility for providing integrated, whole-person care management under the Tailored Care Management model. The "CMA" designation is new and will be unique to providers of Tailored Care Management services for the Tailored Plan population. To be eligible to become a CMA, an organization's primary purpose at the time of certification must be the delivery of NC Medicaid, NC Health Choice, or State-funded services, other than care management, to the Tailored Plan eligible population in North Carolina. The bullets below provide illustrative examples of considerations that will be taken into account to determine whether an organization meets this criterion; these examples are not all inclusive:
  - Years of experience (e.g., two years);
  - Revenue breakdown (e.g., 20%-30% of total revenue is from behavioral health, I/DD, and/or TBI services provided to Medicaid beneficiaries or uninsured individuals); and/or

---

<sup>10</sup> To be eligible as an AMH+, a practice must be actively serving as an AMH Tier 3 for the purposes of Standard Plans, when Standard Plans launch. See [AMH Provider Manual](#) for information on how to enroll.

- Provision of behavioral health, I/DD, and/or TBI services, besides those covered in NC Medicaid Clinical Coverage Policies [8B](#) and [8C](#), to the Behavioral Health I/DD Tailored Plan eligible population is integral to the organization’s mission.

AMH+ practices and CMAs must not be owned by, or be subsidiaries of, Tailored Plans.

## **2) Purpose of Certification**

The purpose of the provider certification process is to promote provider-based care management in the market while also setting up guardrails to ensure that providers are ready to perform this critical role by Tailored Plan launch. Through its contracts with Tailored Plans, the Department will require Tailored Plans to contract with all certified AMH+ practices and CMAs in each region for Tailored Care Management, similar to the current requirement on Standard Plans to contract with all Tier 3 AMHs.<sup>11</sup>

Tailored Care Management will be performed by a care manager workforce spanning AMH+ practices, CMAs, Clinically Integrated Networks (CINs), and Tailored Plans. Because it will take time to build adequate provider-based infrastructure, the Department anticipates that, in the short-term, the majority of members under Tailored Care Management will be assigned to Tailored Plan-based care managers. However, the Department’s vision is to increase, over time, the proportion of actively engaged Tailored Plan members receiving care management from AMH+ practices and CMAs as described below (see Section III. 5. “Glide Path” to Provider-based Care Management).

## **3) Role of CINs and Other Partners in Certification**

The certification process described in this manual applies to individual AMH+ practices and CMAs. However, the Department recognizes that many AMH+ practices and CMAs will choose to operate within a larger affiliated organization. The Department refers to such organizations as “Clinically Integrated Networks or Other Partners.” Clinically Integrated Networks (CINs) or Other Partners are entities with which provider practices choose to partner to share responsibility for specific functions and capabilities required to operate as an AMH+ practice or a CMA.<sup>12</sup> The Department will allow AMH+ practices and CMAs to work with CINs and Other Partners to meet certification requirements. However, they are not required to do so to become certified.

The Department and NCQA’s evaluation of each provider organization’s application for AMH+ or CMA certification includes gaining an understanding of the role of any CIN or Other Partner in supporting or facilitating Tailored Care Management. The certification application form includes the opportunity for CINs or Other Partners to answer certain questions on behalf of multiple AMH+

---

<sup>11</sup> See “Programmatic Guidance on PHP Contracting Requirements for Tier 3 AMH Practices”:  
[https://files.nc.gov/ncdma/documents/Providers/Programs\\_Services/amh/AMH\\_Programmatic\\_Guidance\\_Contracting\\_12.17.18.pdf](https://files.nc.gov/ncdma/documents/Providers/Programs_Services/amh/AMH_Programmatic_Guidance_Contracting_12.17.18.pdf)

<sup>12</sup> Examples of functions and capabilities for which CINs or Other Partners may assume responsibility include data aggregation, risk stratification, and care management. A CIN could be part of a hospital or health system to which an organization already belongs or is otherwise affiliated, or a group of practices. CINs can partner with other entities, such as independent nonprofit organizations delivering data/analytic support and local care management to a practice or group of practices, or population health companies that have the capability to connect providers as integrated networks of care.

practices or CMAs. In particular, where the AMH+ or CMA proposes to rely on CIN or Other Partner-employed care managers to carry out Tailored Care Management, the Department and NCQA will look to ensure that care management is sufficiently integrated with the organization's practice team, as Tailored Care Management requires. Thus, certification will include an evaluation of whether the AMH+ or CMA has managerial control of care management staff, defined as the opportunity, at minimum, to a) approve hiring/placement of a care manager and b) require a replacement for any care manager whose performance the AMH+ or CMA deems unsatisfactory.

CINs and Other Partners supporting AMH+ practices and CMAs may take many forms, and the Department encourages innovation and market movement to support this model. As a general rule, the Department will expect arrangements with CINs or Other Partners to include strong clinical leadership at the CIN or Other Partner level that has deep experience in NC Medicaid or NC Health Choice and/or has supported similar efforts in other states.

Subsidiaries of LME/MCOs, Tailored Plans, or other health plans generally may not be considered CINs or Other Partners for the purposes of Tailored Care Management, with one exception as follows: the Department recognizes that AMH+ practices and CMAs may decide to enter into arrangements with Tailored Plans for use of their information technology (IT) products or platforms for care management, in order to meet the care management data system requirements described below. In this scenario, the Tailored Plan would be considered an "Other Partner" (not a CIN) for health IT support only.

AMH+ practices and CMAs intending to work with a CIN or Other Partner must sign a formal agreement with that organization that ensures the CIN or Other Partner can receive and use patient data in compliance with the Health Insurance Portability and Accountability Act (HIPAA) and state regulations, as well as any other data elements mutually agreed upon by the practice and the CIN or Other Partner.

#### ***4) Overview of the Certification Process***

The Department's certification process is different and significantly more intensive than the attestation process for certifying AMHs that took place in 2018, given the higher-need profile of the Tailored Plan population and the intensity of the model, as well as the more marked change relative to today's payment and delivery system. The certification process will apply to the ramp-up period preceding Tailored Plan launch. The Department will issue additional guidance on any changes to the certification and re-certification processes that will take place after Tailored Plan launch.

All providers interested in performing Tailored Care Management at the time of Tailored Plan launch must submit an application for initial certification. Subject to available funding, the Department will provide capacity building funding<sup>13</sup> to providers prior to launch. The Department hopes to make additional funding available in future years. To access funds, providers must participate in a capacity building needs assessment conducted by a Tailored Plan awardee.

---

<sup>13</sup> AMH+ practices and CMAs can use capacity building funding for investment in three key areas: care management-related health IT infrastructure, workforce development (hiring and training care managers), and operational readiness (developing policies/procedures/workflows and other competencies linked to operationalizing the Tailored Care Management model).



Additionally, on an ongoing basis, providers must meet targets mutually agreed upon by the AMH+ or CMA and Tailored Plan awardee that demonstrate progress towards achieving specific capacity building milestones.<sup>14</sup> More details on this opportunity can be found in the [Capacity Building webpage](#).

The Department understands that the model is a significant shift from the status quo for many providers. In particular, AMH+ practices will be required to expand the degree to which they coordinate with behavioral health, I/DD, and TBI service providers, and CMAs will be required to expand the degree to which they coordinate with physical health providers. The purpose of certification will be for providers to demonstrate that they can either perform the necessary functions and activities already or show a credible pathway toward readiness at Tailored Plan launch.

As noted above, the Department has contracted with NCQA to support the AMH+ and CMA certification process, allowing for a single, statewide process both before and after Tailored Plan launch. NCQA will conduct functions required to drive a certification decision, and the Department will maintain oversight of this process. Under the certification process, the NCQA review team will first conduct a desk review of every application. The purpose of the desk review will be to determine whether the organization has the potential to satisfy the full criteria at Tailored Plan launch.

If the NCQA review team determines that an organization has the potential to meet all certification criteria by launch, the NCQA review team will arrange to conduct one or more site reviews.<sup>15</sup> These site reviews will be designed not only to drive a final decision on certification, but also to increase the understanding of each organization's capacity, strengths, and areas for improvement.

Organizations that pass the site review will be certified. Organizations may be certified to provide Tailored Care Management in some regions but not others, or for some populations but not others, based on the organization's capacity to serve each region and population.

### **5) Readiness Reviews**

After the conclusion of the certification process, Tailored Plans will conduct readiness reviews as part of contracting with AMH+ practices and CMAs. The purpose of the readiness reviews is to verify that each AMH+ and CMA is ready to perform the required Tailored Care Management

---

<sup>14</sup> Capacity building milestones are: (1) Submission of a detailed distribution plan that specifies the Tailored Plan's approach (including quarterly targets) and proposed budget for meeting the remaining capacity building milestones, for DHHS approval; (2) Submission of a Tailored Care Management training curriculum and conducting trainings for care managers employed by Tailored Plan awardee and contracted AMH+ practices and CMAs; (3) Purchase or upgrades of care management related HIT infrastructure and systems for AMH+ practices/CMAs; (4) Hiring new care managers and supervisors at AMH+ practices and CMAs; (5) Completing Tailored Care Management training for AMH+ and CMA care managers and supervisors; and (6) AMH+ practices/CMAs meeting other competencies linked to operationalizing Tailored Care Management (e.g., development of policies and procedures and education and outreach to members on the Tailored Care Management outreach).

<sup>15</sup> Site reviews may be virtual and/or in-person, to be determined by the review team.

functions set out in this manual.<sup>16</sup> For example, readiness reviews may further examine requirements such as details on providers' staffing recruitment and projections, demonstrations of health IT requirements, and final policies and procedures. Tailored Plans will only contract with certified AMH+ practices and CMAs that pass readiness reviews. All criteria described in this manual must be met for an organization to launch Tailored Care Management.

### **6) "Glide Path" to Provider-based Care Management**

The Tailored Plan RFA describes a four-year "glide path" to guide the growth of provider-based capacity. Tailored Plans will be required to meet the following annual targets<sup>17</sup> established by the Department for the percentage of members actively engaged in Tailored Care Management via certified AMH+ practices and CMAs:

- Contract Year 1: 30 percent (30%);
- Contract Year 2: 45 percent (45%);
- Contract Year 3: 60 percent (60%); and
- Contract Year 4: 80 percent (80%).

The Department will assess Tailored Plans' compliance with annual target percentages in the first quarter of the following Tailored Plan contract year.

## **Section IV: Key Features of the Tailored Care Management Model**

### **1) Summary of the Tailored Care Management Model**

The overall goal of the Tailored Care Management model is improved health outcomes for Tailored Plan members. The design of the model has been shaped by the following guiding principles:

- **Broad access to care management.** Tailored Care Management will be available to all Tailored Plan members continuously throughout their enrollment, with limited exceptions, as detailed above.
- **Dedicated care manager taking an integrated, whole-person approach.** To the maximum extent possible, each Tailored Plan member will receive integrated, whole-person care management from a dedicated care manager<sup>18</sup> with expertise and training in addressing behavioral health, I/DD, and/or TBI needs in addition to physical health needs and unmet health-related resource needs.

---

<sup>16</sup> The Department distinguishes readiness review from pre-delegation auditing (for the purposes of NCQA health plan accreditation or for other purposes). The Department will prohibit Tailored Plans from conditioning AMH+ or CMA contracts upon pre-delegation audits or other monitoring activities that go beyond what is necessary to ensure that the provider organization has met the requirements in this manual for Tailored Care Management.

<sup>17</sup> The Department may adjust the annual required percentages at its discretion.

<sup>18</sup> The care manager may choose to work with "care manager extenders" such as community navigators and community health workers to support some Tailored Care Management responsibilities. For more details, see section IV.3. Staffing, as well as the Care Manager Extender Guidance, available at <https://medicaid.ncdhhs.gov/media/10740/download?attachment>.

- **Person and family-centered planning.** Care planning for Tailored Plan members will be person-centered<sup>19</sup> and will consider the unique needs of the member. Family members and other informal caregivers can also serve as part of the member’s care team, with the member’s consent. Tailored Care Management aligns with the North Carolina System of Care framework.<sup>20</sup>

The Tailored Care Management model will be considerably more intensive than the Standard Plan model. However, the design – particularly operational factors such as data sharing and health IT expectations – will be aligned across Standard Plans and Tailored Plans as much as possible to allow providers, particularly AMH Tier 3 practices that will become AMH+ practices, to take a population health approach that is as cohesive as possible across Standard Plan and Tailored Plan populations.<sup>21</sup>

To accomplish statewide consistency and ensure the best possible outcomes, the Department is setting specific requirements that will apply to every member served under the Tailored Care Management model, whether the member is being served by a Tailored Plan-based care manager or a provider-based care manager. These standard requirements and design elements are detailed in this manual (see Section V. AMH+ and CMA Certification Requirements).

While the standardized elements must be in place for every member served under the model, the model will have flexibility to accommodate differing needs across the state and the diverse populations that will be enrolled in Tailored Plans. Tailored Care Management may “look” different from one Tailored Plan member to another.

## ***2) Role of the Federal Health Home State Plan Option in Supporting Tailored Care Management***

- To obtain enhanced federal Medicaid reimbursement for Tailored Care Management, the Department will submit a State Plan Amendment (SPA) to the Centers for Medicare & Medicaid Services (CMS) to add Tailored Care Management as a Health Home State Plan benefit. Each Tailored Plan will act as the designated Health Home for its members. In its role as a Health Home, the Tailored Plan will ensure that members have access to care management services that meet the requirements of this manual and federal Health Home requirements. The federal model is flexible according to the needs of states, as long as the model encompasses six “core” Health Home services and uses health IT to coordinate across

---

<sup>19</sup> Person-centered planning is a process of determining real-life outcomes with individuals and their families, as well as developing strategies to achieve those outcomes. Person-centered planning provides for the member or the family of a member assuming an informed and in-command role for life planning, service, support, and treatment options. The person with a disability and his or her family or the legally responsible person directs the process and shares authority and responsibility with system professionals about decisions made.

<sup>20</sup> The North Carolina System of Care framework was developed to address the unique needs and challenges of children and youth with behavioral health needs. Children and youth with behavioral health needs are at increased risk of experiencing gaps in care because they often receive services from multiple systems (including health, education, child welfare, and juvenile justice); are more likely to transition between Standard Plans and Tailored Plans as their diagnoses change; their acuity changes with age; and their access to services may be impacted as they age out of school-related services. Effective care plans or ISPs must reflect both the needs of the child and his or her family.

<sup>21</sup> For more information on the Tailored Plan population health management approach, see North Carolina’s Data Strategy for Tailored Care Management Policy Paper.

these services.<sup>22, 23</sup> The Tailored Care Management model will incorporate each of these core services.

### **3) Assignment and Member Choice**

Members will have three options for obtaining Tailored Care Management: through an AMH+ practice, a CMA, or a care manager based at a Tailored Plan. Prior to launch, Tailored Plans will educate members on the three different care management approaches and must provide unbiased counseling on selecting an AMH+, CMA, or the Tailored Plan. For members who do not express a preference, the Tailored Plans will assign them to an organization that provides Tailored Care Management, in line with Department-issued auto-assignment requirements.<sup>24</sup> As part of the member welcome packet, the Tailored Plan will send members information on Tailored Care Management, including their assignment and the process and options for changing that assignment. The organization assigned for providing Tailored Care Management (AMH+ practice, CMA, or Tailored Plan) will assign a care manager. After the initial launch, on an ongoing basis, the Tailored Plan will complete Tailored Care Management assignments for new members, in line with the Department's auto-assignment requirements, and send the assignment information as part of the member welcome packet. Members can change the organization they are assigned to for Tailored Care Management and/or change care managers twice per year without cause and any time with cause.

The Tailored Plan will be required to prioritize assignment to an AMH+ practice or CMA to the maximum extent possible, given capacity. In order to make assignments in a person-centered way:

- The Tailored Plan will be required to take into account existing provider assignment to an AMH+ practice or an existing treatment relationship with a CMA within the Tailored Plan's network and give preference to that provider when making a Tailored Care Management assignment, unless there is a specific cause not to do so such as instances of conflicts of interest for Innovations and TBI waiver enrollees and individuals using 1915(i) benefits.
- The Tailored Plan will be required to take into account the member's medical complexity as well as behavioral health and I/DD complexity when making a Tailored Care Management assignment. In cases where children with medical complexity are receiving primary care through an AMH+ practice, the Tailored Plan will be required to give that AMH+ practice preference when assigning the member to a care management approach.
- The Tailored Plan will be required to take into account the geographic location of the member to ensure reasonable accessibility when making a care management assignment.
- The Tailored Plan will be required to ensure that there is capacity at an AMH+ practice or CMA before assigning a member to that AMH+ practice or CMA for care management. AMH+ practices and CMAs may set limits on their care management panel sizes (i.e., decline assignments based on capacity). The Tailored Plan will be required to ensure that AMH+ practices and CMAs do not select members of their panel based on acuity tier.

---

<sup>22</sup> The six required Health Home services are 1) comprehensive care management, 2) care coordination, 3) health promotion, 4) comprehensive transitional care from inpatient to other settings (including appropriate /follow-up), 5) individual and family supports (which includes authorized representatives), and 6) referral to community and social support services. 42 U.S.C. § 1396w-4 18001

<sup>23</sup> Centers for Medicare & Medicaid Services: Health Homes Frequently Asked Questions Series II.

<sup>24</sup> The Department will release future guidance on auto-assignment requirements.

- The Tailored Plan will be required to distribute members of all acuity levels<sup>25</sup> across AMH+ practices, CMAs, and plan-based care management rather than group members into one approach or another solely on the basis of acuity.

Additional requirements for members enrolled in the Innovations or TBI waiver or 1915(i) benefits will be as follows:

- If the individual enrolled in the Innovations or TBI waiver has an existing relationship with a care coordinator who meets the Tailored Care Management qualifications and training requirements as described below, and is employed as a care manager in the individual's Tailored Plan network, the Tailored Plan will be required to give the individual the option of choosing his or her previous care coordinator, to the extent possible.
- Care management for Innovations and TBI waiver enrollees and beneficiaries using 1915(i) benefits must comply with federal requirements for conflict-free case management for 1915(c) and 1915(i) programs, respectively. The Tailored Plan will be required to ensure that members do not obtain both 1915(c) waiver services or 1915(i) benefits **and** Tailored Care Management from employees of the same provider organization certified as a CMA.

#### **4) Data Strategy and Data Sharing**

The Department believes that effective, integrated, and well-coordinated care management depends on care team members having the ability to efficiently exchange timely and actionable member health information and use that information to monitor and respond to medical and nonmedical events that could impact a member's well-being. The success of Tailored Care Management will depend on Tailored Plans, AMH+ practices, CMAs, CINs and Other Partners, and pharmacies, as well as physical health, behavioral health, I/DD, TBI, LTSS, and social service providers collecting, using, and sharing data in support of an integrated and coordinated approach to care. The minimum health IT requirements for certification at the AMH+ and CMA level are provided below.

Building on its work with Standard Plans and the AMH program, the Department will define and standardize, as appropriate, the data flows that are essential to support Tailored Care Management.<sup>26</sup> Tailored Plans will be required to transmit the following data to AMH+ practices and CMAs or their designated CINs or Other Partners:

1. **Beneficiary assignment info**, including demographic data and any clinically relevant and available eligibility info.
2. **Pharmacy Lock-in data**
3. **Member claims/encounter data**, including historical physical (PH), behavioral health, and pharmacy (Rx) claims/encounter data with new data delivered monthly (PH/BH) or weekly (Rx).

---

<sup>25</sup> The Department has established a standardized methodology to assign each Tailored Plan member to a Tailored Care Management acuity tier (e.g., high, medium, low) and will release additional details on the methodology prior to Tailored Plan launch.

<sup>26</sup> Data specification guidance for the AMH program is available at <https://medicaid.ncdhhs.gov/transformation/advanced-medical-home/advanced-medical-home-data-specification-guidance>

4. **Acuity tiering<sup>27</sup> and risk stratification data.** Tailored Plans will receive an acuity tier (e.g., low, medium, high) from the Department; Tailored Plans will be required to transmit acuity tier to AMH+ practices and CMAs (and results and methods of any risk stratification they conduct).
5. **Quality measure performance information** at the practice level.
6. **Other data** to support Tailored Care Management (e.g., previously established care plans, ADT data, historical member clinical info).

To streamline information exchange, and reduce costs and administrative burden for all stakeholders, the Department has developed standard file layouts to assist with the exchange of most of the data required for effective Tailored Care Management.<sup>28</sup>

AMH+ practices, CMAs, and CINs or Other Partners involved in Tailored Care Management will be expected to comply with all federal, state, and Department privacy and security requirements regarding the collection, storage, transmission, destruction, and use of data including Medicaid claims and encounters.

AMH+ practices and CMAs will be considered covered entities and must comply with the terms of the NC Provider Agreement, including HIPAA requirements, and meet the following requirements:

- Must be an active and enrolled NC Medicaid provider
- Must be providing Medicaid services or care management to Medicaid beneficiaries
- Cannot be providing any administrative or IT services to other providers outside of their practice

CINs or Other Partners must submit necessary security documentation. A covered entity is responsible for ensuring their sub-subcontractors are meeting the necessary security requirements.

Security documentation required by CIN or Other Partners - The following security certifications and assessments meet the requirements:

- Year 1 Only – NIST 800-53 Rev 4 or Rev 5 Self-Assessment. The Department has a NIST 800-53 Rev 4 Self-Assessment document available which will act as the baseline assessment. The Plans can require more extensive documentation. A Self-Assessment cannot be accepted for Years 2 and beyond. Please note that if a provider is new to the organization after year 1, the self-assessment can be accepted for year 1 of that relationship. After that a self-assessment can no longer be accepted.
- Soc 2 Type 2 (Must include all 5 trust areas)

---

<sup>27</sup> As noted above, beneficiaries will be grouped into acuity tiers based on level of need identified via a standardized methodology determined by the Department. Acuity tiers will impact payment rates. More detail on acuity tiering is forthcoming.

<sup>28</sup> Data specifications and requirements for sharing (1) beneficiary assignment and pharmacy lock-in data, (2) historical and current claims and encounters data, and (3) patient risk list data are available at: <https://medicaid.ncdhhs.gov/transformation/tailored-care-management/tailored-cm-data-specifications-guidance>

- HITRUST - Since HISTRUST is a two-year certification, DHHS will accept the completed certification for year 1, and the engagement letter indicating a recertification is planned for year 2.
- FedRAMP
- ISO27001 - ISO 27001 certification is acceptable – however the Federal agencies in the future may change to a NIST based assessment only in the future. Vendors seeking an ISO 27001 certification may need to go back and pursue another acceptable certification or assessment in the future.

For Infrastructure providers such as AWS, Azure, or Google or other IPaaS or IaaS providers, a SOC 2 Type 2 report from the provider is acceptable for the infrastructure components of the solution. This does not cover the application components of the solution.

AMH+ practices, CMAs, and CINs or Other Partners must certify that their requests involve only their attributable Tailored Plan members and must restrict their use of the data for care management activities that are improving the quality and efficiency of care. AMH+ practices and CMAs and their CINs or Other Partners must establish appropriate administrative, technical, and physical safeguards that will provide a level and scope of security that is not lower than the level and scope of security requirements established by the following federal and State guidance:

- Office of Management and Budget (OMB) in OMB Circular No. A-130, Appendix III - Security of Federal Automated Information Systems;
- Federal Information Processing Standard 200 “Minimum Security Requirements for Federal Information and Information Systems”;
- Special Publication 800-53 “Recommended Security Controls for Federal Information Systems”;
- The most recent Information Security and Privacy guidance shared by CMS;
- North Carolina’s “Statewide Information Security Manual”<sup>29</sup>;
- North Carolina Department of Health and Human Services’ Privacy and Security Policies and Manuals<sup>30</sup>

### **5) Healthy Opportunities Pilot Program**

In October 2018, CMS approved North Carolina’s 1115 demonstration for a five-year period. One component of the demonstration allows the Department to implement a \$650 million “Healthy Opportunities Pilot Program” (the Pilot Program) to evaluate evidence-based, nonmedical services designed to directly impact health outcomes and costs.<sup>31</sup> Services provided through the Pilot Program aim to address four priority Healthy Opportunities domains:

---

<sup>29</sup> North Carolina’s “Statewide Information Security Manual” can be found here:

<https://it.nc.gov/documents/statewide-information-security-manual>

<sup>30</sup> North Carolina Department of Health and Human Services’ Privacy and Security Policies and Manuals can be found here: <https://policies.ncdhhs.gov/departmental/policies-manuals/section-viii-privacy-and-security/manuals/security-manual>

<sup>31</sup> Learn more about the Healthy Opportunities Pilot Program in the Policy Paper for Interested Stakeholders ([https://files.nc.gov/ncdhhs/documents/Healthy-Opportunities-Pilot\\_Policy-Paper\\_2\\_15\\_19.pdf](https://files.nc.gov/ncdhhs/documents/Healthy-Opportunities-Pilot_Policy-Paper_2_15_19.pdf)) and the Lead Pilot Entity Request for Proposal ([https://files.nc.gov/ncdhhs/Healthy-Opportunities\\_LPE-RFP-30-2019-052-DHB.pdf](https://files.nc.gov/ncdhhs/Healthy-Opportunities_LPE-RFP-30-2019-052-DHB.pdf)).

- Housing instability;
- Transportation insecurity;
- Food insecurity; and
- Interpersonal violence/toxic stress.

Pilot Program service delivery will begin in 2022 and operate in three regions of the state – two in eastern North Carolina and one in western North Carolina.<sup>32</sup> Medicaid managed care enrollees residing in the Pilot Program regions who meet eligibility criteria—at least one qualifying physical/behavioral health condition or I/DD needs and one qualifying social risk factor—may be eligible to receive nonmedical services to address needs in the domains above. All Tailored Plans operating within a Pilot Program region will be required to participate in Pilot program implementation. Pilot Program services will be delivered by a network of human service organizations (HSOs) established and managed by Healthy Opportunities Network Leads (NLs) that have contracts with all Standard Plans and Tailored Plans in their Pilot Program region. The Tailored Plans will have discretion to determine when to authorize Pilot Program services for those who meet eligibility and service specific eligibility criteria, subject to Department guidelines.

Care managers based at Tailored Plans, AMH+ practices, and CMAs whose assigned enrollees reside in Pilot Program regions will be required to take on Pilot Program-related responsibilities. These care managers will play a critical role in Pilot Program implementation, including:

- Identifying potentially Pilot Program-eligible members;
- Assessing eligibility for Pilot Program services;
- Recommending and obtaining Tailored Plan authorization for Pilot Program services;
- Obtaining enrollees' consent for Pilot Program participation;
- Making referrals using NCCARE360 to HSOs that are contracted to deliver Pilot Program services;
- Coordinating Pilot Program-related services as part of overall Tailored Care Management;
- Reviewing authorized Pilot services and the extent to which they are meeting the member's needs, and reassessing Pilot Program eligibility;
- Identifying Pilot Program services that must be discontinued, as needed;
- Disenrolling members from the Pilot Program, if a member becomes ineligible; and
- Participating in training, technical assistance, and other activities to support the Department's oversight and evaluation of the Pilot Program.

### **Section V: AMH+ and CMA Certification Requirements**

Full requirements for certification as an AMH+ or CMA are below. At the time each organization applies for certification, the Department does not expect all requirements to be met in full but will assess whether the organization is on track to meet all requirements by Tailored Plan launch. The following requirements apply equally to certification by the Department and NCQA in the ramp-up to Tailored Plan launch; readiness reviews by the Tailored Plans; oversight of AMH+ practices and

---

<sup>32</sup> Note that Pilot Program regions will be geographically distinct from Standard Plan and Tailored Plan regions. Details on the Pilot regions, including counties covered in each region, are available at <https://www.ncdhs.gov/news/press-releases/2021/05/27/dhhs-announces-three-regions-medicaid-healthy-opportunities-pilots-major-milestone-nations-first>. The Pilot Program regions cross more than one Tailored Plan region. Specific Pilot regions include only portions of a Tailored Plan region.



CMAs by Tailored Plans; and certification of new AMH+ practices and CMAs by the Department and NCQA after launch. To the extent applicable, all requirements below that apply to AMH+ practices and CMAs also apply to Tailored Plans.

### **1) Provider Eligibility as an AMH+ or a CMA**

To become a certified AMH+ or CMA, an organization must meet the definitions at Section III.1. Overview above. The Department will conduct certification of each AMH+ and CMA individually, although select questions may be addressed at the CIN or Other Partner level, as indicated on the application form.<sup>33</sup> There is no minimum panel size to become certified as a CMA.

### **2) Organizational Standing/Experience**

**2.1. Relevant experience.** The organization must demonstrate that its past experience positions it to provide Tailored Care Management to the Tailored Plan population, specifically the subpopulation(s) for whom it proposes to become a certified Tailored Care Management provider. All organizations entering the certification process will be required to indicate whether they will serve the adult and/or child and adolescent population, as well as one or more of the following specialty designation type(s):

- Behavioral health (including mental health and SUD);<sup>34</sup>
- I/DD; and/or
- Innovations and/or TBI waiver.

Agencies that specialize in behavioral health will be required to demonstrate their capacity to serve populations with both mental health and SUD needs as soon as possible, if that capacity is not already in place. The organization must offer an array of services that are aligned with the needs of the target population(s) in North Carolina. The Department has a general expectation that each organization will be able to show at least a two-year history of providing services to the Tailored Plan population in North Carolina. However, the Department encourages organizations to build new capacity for Tailored Care Management as it rolls out.

**2.2. Provider relationships and linkages.** The organization must have active, working relationships with community providers that offer a wide scope of clinical and social services, including strong reciprocal relationships among relevant behavioral health, I/DD, and primary care providers, in order to facilitate referrals among providers as well as provide formal and informal feedback and opportunities to share best practices.

**2.3. Capacity and sustainability.** The organization must have the capacity and financial sustainability to establish care management as an ongoing line of business, as evidenced by an audited financial statement. Tailored Care Management must be recognized by the organization's leadership and governing body as integral to the mission of the organization and as such be

---

<sup>33</sup> The Department will certify AMH+ practices at the practice site level, in alignment with the current AMH certification process. The Department will certify CMAs at the level of the entire organization. However, if a potential CMA spans multiple Tailored Plan regions, the Department will certify the organization at the level of each region.

<sup>34</sup> Organizations with the behavioral health specialty designation will not be required to provide both mental health and SUD services, but will be required to demonstrate expertise to provide Tailored Care Management for individuals with mental health and SUD needs.

supported by a budget and management team appropriate to maintain Tailored Care Management as a high-functioning service line.

**2.4. Oversight.** The organization must be able to demonstrate that it has the appropriate structures in place to oversee the Tailored Care Management model. The Department will look for evidence of a strong governance structure. Organizations may demonstrate strong governance by showing that they have a governing board and bylaws in place; a committee structure that enables appropriate oversight of budget, other fiduciary matters, compliance, and conflicts of interest; and board approval of the application submitted by the organization.

### **3) Staffing**

**3.1. Care management staff.** The organization must be able to ensure that all care managers, supervising care managers and care manager extenders providing Tailored Care Management meet the following minimum qualification requirements, whether they are employed by the organization itself or employed at the CIN or Other Partner level:

- **Care managers serving all members must have the following minimum qualifications:**
  - Meet North Carolina’s definition of a Qualified Professional per 10A-NCAC 27G .0104; and
  - For care managers serving members with LTSS needs: two years of prior LTSS and/or HCBS coordination, care delivery monitoring, and care management experience. (This experience may be concurrent with the years of experience required to become a Qualified Professional.)
  
- **Supervising care managers serving members with behavioral health conditions must have the following minimum qualifications:**
  - A license, provisional license, certificate, registration or permit issued by the governing board regulating a human service profession (including Licensed Clinical Social Worker (LCSW), Licensed Marriage and Family Therapist (LMFT), Licensed Clinical Addiction Specialist (LCAS), Licensed Clinical Mental Health Counselor (LCMHC), Licensed Psychological Associate (LPA)), or a Registered Nurse (RN) license issued by the North Carolina Board of Nursing; and
  - Three years of experience providing care management, case management, or care coordination to the population being served.
  
- **Supervising care managers serving members with an I/DD or a TBI must have one of the following minimum qualifications:**
  - A bachelor’s degree  
and  
Five years of experience providing care management, case management, or care coordination to complex individuals with I/DD or TBI;
  - or
  - A master’s degree in a human services field  
and  
Three years of experience providing care management, case management, or care coordination to complex individuals with an I/DD or a TBI.

If a member is dually diagnosed with a behavioral health condition and an I/DD or a TBI, the Tailored Plan and assigned organization providing Tailored Care Management must ensure that the supervising care manager is qualified to oversee the member's care manager.

The organization must ensure that each care manager is supervised by a supervising care manager. One supervising care manager must not oversee more than eight care managers. Supervisors should have no caseload, but will provide coverage for vacation, sick leave, and staff turnovers. They will be responsible for reviewing all Tailored Care Management care plans and Individual Support Plans (ISPs) and will provide guidance to care managers on how to meet members' needs.

- **Care manager extenders.** To bolster the care management workforce, the Department will allow AMH+ practices and CMAs to use care manager extenders, such as community navigators, community health workers, and certified peer support specialists, to support certain Tailored Care Management functions. The Department's vision is that extenders will help AMH+ practices, CMAs, and Tailored Plans best meet the needs of members, build efficient care teams by creating additional workforce capacity, and allow care managers and supervisors to focus on key tasks for assigned members as well as permit them additional time for members with intensive or complex needs. **Care manager extenders must have the following qualifications:**
  - At least 18 years of age  
and
  - A high school diploma or equivalent;  
and
  - Meet one of the following requirements:
    - Be a person with lived experience with an I/DD or a TBI with demonstrated knowledge of and direct personal experience navigating the North Carolina Medicaid delivery system.  
**or**
    - Be a person with lived experience with a behavioral health condition who is a Certified Peer Support Specialist.  
**or**
    - A parent or guardian of an individual with an I/DD or a TBI or a behavioral health condition and has at least two years of direct experience providing care for and navigating the Medicaid delivery system on behalf of that individual (note that a parent/guardian cannot serve as an extender for their family member).  
**or**
    - Has two years of paid experience performing the types of functions described in the "Extender Functions" section below, with at least one year of paid experience working directly with the Tailored Care Management eligible population.

When using an extender, the care manager should direct the extender's care management functions and ensure that the extender is only charged with responsibilities within the scope of functions specified in this document. The care manager and supervising care manager must ensure that all services are well-coordinated, including functions delegated to extenders. Extenders also cannot work for the same organization where they receive services.

The Department expects that a range of individuals will be able to meet these qualifications, including, but not limited to:

- Certified Peer Support Specialists;
- Community health workers (CHW), defined as individuals who have completed the [NC Community Health Worker Standardized Core Competency Training \(NC CHW SCCT\)](#);
- Individuals who served as Community Navigators prior to the implementation of Tailored Plans;
- Family Navigators, as defined by Trillium Health Resources' approved In-Lieu of service description;
- Parents or guardians of an individual with an I/DD or a TBI or a behavioral health condition (parent/guardian cannot serve as an extender for their own family member); and
- A person with lived experience with an I/DD or a TBI or a behavioral health condition

**3.2. Clinical consultants.** The Tailored Plan will be required to ensure that organizations providing Tailored Care Management (AMH+ practices, CMAs, or the Tailored Plan itself) have access to clinical consultants in order to access expert support appropriate for the needs of the panel under Tailored Care Management. Clinical consultants are not part of the care team for any given member; rather, the role of clinical consultants is to provide subject matter expert advice to the care team. The AMH+ or CMA may employ or contract with consultants or do so through a CIN or Other Partner, and the consultant should be available by phone to staff within AMH+ practices and CMAs to advise on complex clinical issues on an ad hoc basis. While different member needs will require different expertise, the AMH+ or CMA must ensure that it has access to at least the following experts:

- A general psychiatrist or child and adolescent psychiatrist;
- A neuropsychologist or psychologist; and
- For CMAs, a primary care physician (PCP) to the extent the beneficiary's PCP is not available for consultation.

AMH+ practices and CMAs may demonstrate that they have access to clinical consultants themselves or can contract with other provider organizations to arrange access. The per member per month (PMPM) rate for Tailored Care Management will take these costs into consideration.

#### ***4) Delivery of Tailored Care Management***

**4.1. Policies and procedures for communication with members.** The AMH+ or CMA must develop policies (to be approved by the Tailored Plan) for communicating and sharing information with individuals and their families and other caregivers with appropriate consideration for language, literacy, and cultural preferences, including sign language, closed captioning, and/or video capture. "Robocalls" or automated telephone calls that deliver recorded messages will not be an acceptable form of contact.

**4.2. Capacity to engage with members through frequent contact.** The Department is setting minimum requirements for contact between members and care managers under the Tailored Care Management model. While the Department is not setting specific minimum staffing ratios to allow flexibility for providers to customize care teams according to needs, it is the responsibility of the AMH+ or CMA to have adequate staffing in place to meet the Department's requirements for

engagement. For each member, the level of minimum contacts will be defined by the same “low,” “moderate,” and “high” acuity tiers that will be used to adjust payments.

The Department has established a standardized methodology to assign each Tailored Plan member to an acuity tier and will provide additional information on the methodology prior to Tailored Plan launch. The minimum contact requirements below will apply to each member unless he or she expresses preference for fewer contacts and this preference is documented in the care plan or ISP and reviewed with the supervising care manager, or if the member is enrolled in the Innovations waiver, in which case the minimum contact requirements will be determined by acuity level or waiver requirements, whichever is higher (see IV. 1. Summary of the Tailored Care Management Model).

The minimum contact requirements will be as follows:

- **Care manager contacts for members with behavioral health needs:**
  - **High Acuity:** At least four care manager-to-member contacts per month, including at least one in-person contact with the member.
  - **Moderate Acuity:** At least three care manager-to-member contacts per month and at least one in-person contact with the member quarterly (includes care management comprehensive assessment if it was conducted in-person).
  - **Low Acuity:** At least two care manager-to-member contacts per month and at least two in-person contacts with the member per year, approximately six months apart (includes the care management comprehensive assessment if it was conducted in-person).
  
- **Care manager contacts for members with an I/DD or a TBI:**
  - **High Acuity:** At least three care manager-to-member contacts per month, including two in-person contacts and one telephonic contact with the member.
  - **Moderate Acuity:** At least three care manager-to-member contacts per month and at least one in-person contact with the member quarterly.
  - **Low Acuity:** At least one telephonic contact per month and at least two in person care manager-to-member contacts per year, approximately six months apart.

For members with an I/DD or a TBI who have a guardian, telephonic contact may be with a guardian in lieu of the member, only where appropriate or necessary. In-person contact must involve the member.

In the event that a care manager or extender delivers multiple contacts to a member in one day, only one contact will count towards meeting the contact requirements.

**4.3. Care management comprehensive assessment.**<sup>35</sup> The care management comprehensive assessment will be a person-centered assessment of a member’s health care needs, functional needs, accessibility needs, strengths and supports, goals, and other characteristics that will inform the ongoing care plan or ISP and treatment. The Department is requiring that all Tailored Plan members entering Tailored Care Management receive the care management comprehensive assessment, completed by the organization performing the Tailored Care Management, to

---

<sup>35</sup> The care management comprehensive assessment is distinct from the comprehensive clinical assessment (CCA) and does not serve as a means to approve services.

determine care needs. The care management comprehensive assessment will help to consolidate information across physical health, behavioral health, I/DD, TBI, LTSS, pharmacy, unmet health-related resource needs, and other needs and inform the care plan or ISP.

The AMH+ or CMA will be expected to make a best effort attempt to complete the care management comprehensive assessment in person, in a location that meets the member's needs. "Best effort" will be defined as including at least three documented strategic follow-up attempts to contact the member if the first attempt is unsuccessful, e.g., going to the home or working with a known provider to meet the member at an appointment. The Department recognizes that in limited circumstances it will be necessary to complete the assessment via technology conferencing tools (e.g., audio, video, and/or web). During the first year of Tailored Plan operation, the AMH+ or CMA must undertake best efforts to complete the care management comprehensive assessment within the following timeframes:

- Members identified as high acuity: within 60 days of Tailored Plan enrollment.<sup>36</sup>
- Members identified as moderate/low acuity: within 90 days of Tailored Plan enrollment.

During the second and subsequent years of Tailored Plan operation, the AMH+ or CMA must undertake best efforts to complete the care management comprehensive assessment within 60 days of Tailored Plan enrollment for all members.

As part of completing the care management comprehensive assessment, the assigned care manager must ask for the member's consent for participating in Tailored Care Management. As part of the consent process, the care manager must explain the Tailored Care Management program. Care managers should document in the care management data system that the member provided consent, including the date of consent.

**Required Components of Care Management Comprehensive Assessment:** The AMH+ or CMA will be required to ensure that the care management comprehensive assessment includes, at a minimum, the following domains:<sup>37</sup>

- Immediate care needs;
- Current services and providers across all health needs;
- Functional needs, accessibility needs, strengths, and goals;
- Other state or local services currently used;
- Physical health conditions, including dental conditions;
- Current and past mental health and substance use status and/or disorders, including tobacco use disorders;
- Physical, intellectual, or developmental disabilities;
- Detailed medication history – a list of all medicines, including over-the-counter medication and medication that has been prescribed, dispensed, or administered – and known allergies;
- Advance directives, including psychiatric advance directives;
- Available informal, caregiver, or social supports;

---

<sup>36</sup> Within 45 days of Tailored Plan enrollment is best practice.

<sup>37</sup> Assessment practices and requirements must also be informed by and coordinated with federally required MDS 3.0 and OASIS assessments performed by nursing facilities and home health agencies, as appropriate.

- Standardized unmet health-related resource need questions (to be provided by the Department) covering four priority domains:
  - Housing instability;
  - Transportation insecurity;
  - Food insecurity; and
  - Interpersonal violence/toxic stress;
- Any other ongoing conditions that require a course of treatment or regular care monitoring;
- For adults only, exposure to adverse childhood experiences (ACEs) or other trauma;
- Risks to the health, well-being, and safety of the member and others (including sexual activity and potential abuse/exploitation, or exposure to second hand smoke/aerosols and other substances);
- Cultural considerations (ethnicity, religion, language, reading level, health literacy, etc.);
- Employment/community involvement;
- Education (including individualized education plan and lifelong learning activities);
- Justice system involvement (adults) or juvenile justice involvement and/or expulsions or exclusions from school (children and adolescents);
- Risk factors that indicate an imminent need for LTSS;
- The caregiver's strengths and needs;
- Upcoming life transitions (changing schools, changing employment, moving, etc.);
- Self-management and planning skills;
- Receipt of and eligibility for entitlement benefits;
- For members with an I/DD or a TBI:<sup>38</sup>
  - Financial resources and money management;
  - Alternative guardianship arrangements, as appropriate;
- For children ages zero up to three, incorporate questions related to Early Intervention (EI) services for children, including:
  - Whether the child is receiving EI services;
  - The child's current EI services;
  - Frequency of EI services provided;
  - Which local Children's Developmental Service Agency (CDSA) or subcontracted agency is providing the services; and
  - Contact information for the CDSA service coordinator; and
- For children ages three up to 21 with a mental health disorder and/or SUD, including members with a dual I/DD and mental health diagnosis, incorporate a strengths assessment process that promotes the identification of the functional strengths of each youth, family, and community.

---

<sup>38</sup> For Innovations waiver enrollees, Tailored Plans will be required to ensure that results of the Supports Intensity Scale (SIS) are shared with the beneficiary's care manager in an electronic format to aid completion of the care management comprehensive assessment.

**Requirements for Reassessment:** The AMH+ or CMA must attempt a care management comprehensive assessment for members already engaged in care management:

- At least annually;
- When the member’s circumstances, needs, or health status changes significantly;
- After significant changes in scores on State-approved level-of-care determination and screening tools (e.g., Level of Care Utilization System (LOCUS) and Child and Adolescent LOCUS (CALOCUS), American Society of Addiction Medicine (ASAM), Child and Adolescent Needs and Strengths (CANS), SIS);
- After “triggering events” as defined below; or
- At the member’s request.

Triggering events prompting reassessments include:

- Inpatient hospitalization for any reason;
- Two emergency department (ED) visits since the last care management comprehensive assessment (including reassessment);
- An involuntary treatment episode;
- Use of behavioral health crisis services;
- Arrest or other involvement with law enforcement/the criminal justice system, including the Division of Juvenile Justice;
- Becoming pregnant and/or giving birth;
- A change in member circumstances that requires an increased need for care, a decreased need for care, transition into or out of an institution, or loss of a family/friend caretaker, or any other circumstance the plan deems to be a change in circumstance;
- Loss of housing; and
- Foster care involvement.

The AMH+ or CMA must ensure that the member receives a reassessment within 30 days of when it detects the triggering change or event. For triggering events and in other circumstances in which an assessment may have been recently performed, reassessment may consist of an addendum or update to a previous assessment.

**Sharing of Care Management Comprehensive Assessment Results:** The AMH+ or CMA must ensure that the results of the care management comprehensive assessment are made available to the member’s primary care, behavioral health, I/DD, TBI, and LTSS providers and the Tailored Plan within 14 days of completion to inform care planning and treatment planning, with the member’s consent (to the extent required by law).

**4.4. Care plans and Individual Support Plans (ISPs).** The AMH+ or CMA must develop a care plan for each member with behavioral health needs and/or an ISP for each member with I/DD and TBI needs. Each care plan and ISP must be individualized, person-centered, and developed using a collaborative approach including member and family participation where appropriate.<sup>39</sup> Care plans and ISPs must incorporate the results of the care management comprehensive assessment

---

<sup>39</sup> The Innovations and TBI waivers require that ISPs be developed in-person, as clinically indicated. The Department also expects AMH+ practices and CMAs to develop care plans and ISPs in-person for all members, to the extent possible.



(including unmet health-related resource need questions), claims analysis and risk scoring, any available medical records, and screening and/or level of care determination tools, including the following, as appropriate, unless modified by the Department:

- LOCUS and CALOCUS;
- CANS;
- ASAM criteria;
- For Innovations waiver enrollees: SIS; and
- For TBI waiver enrollees: Rancho Los Amigos Levels of Cognitive Functioning Scale (as applicable).

For Tailored Plan members ages three to 21 with mental health conditions and/or SUD who are receiving mental health or substance use services, the AMH+ or CMA must follow System of Care requirements, including:

- Involving a Child and Family Team (CFT) in facilitating the care planning process and developing the care plan or ISP;
- Using the strengths assessment to build strategies included in the care plan or ISP that address the critical needs and unique strengths of the youth and family as identified by and in cooperation with the CFT; and
- Regularly updating the care plan or ISP to respond to changes with the youth and family, as well as the results of the supports and services provided, and document the shift of activity from formal supports to informal supports for greater self-sufficiency.

**Required Content of Care Plan or ISP:** AMH+ practices and CMAs will be required to ensure that all care plans and ISPs developed under Tailored Care Management include the following minimum elements:

- Names and contact information of key providers, care team members, family members, and others chosen by the member to be involved in planning and service delivery;
- Measurable goals;
- Clinical needs, including any behavioral health, I/DD-related, TBI-related, or dental needs<sup>40</sup>;
- Interventions including addressing medication monitoring, including adherence;
- Intended outcomes;
- Social, educational, and other services needed by the member;
- Strategies to increase social interaction, employment, and community integration;
- An emergency/natural disaster/crisis plan;
- Strategies to mitigate risks to the health, well-being, and safety of the members and others;
- Information about advance directives, including psychiatric advance directives, as appropriate;
- A life transitions plan to address instances where the member is changing schools, experiencing a change in caregiver/natural supports, changing employment, moving or entering another life transition; and
- Strategies to improve self-management and planning skills.
- For members with I/DD, TBI, or SED, the ISP should also include caregiver supports, including connection to respite services, as necessary.

---

<sup>40</sup> Inclusive of tobacco use.

**Timing of the Care Plan:** The AMH+ or CMA must make best efforts to complete an initial care plan or ISP within 30 days of the completion of the care management comprehensive assessment. “Best effort” is defined as including at least three documented strategic follow-up attempts to contact the member if the first attempt is unsuccessful.<sup>41</sup> The AMH+ or CMA must ensure that development of the care plan or ISP does not delay the provision of needed services to a member in a timely manner, even if that member is waiting for a care plan or ISP to be developed.

**Updates to the Care Plan or ISP:** The AMH+ or CMA will be required to ensure that each care plan or ISP is regularly, comprehensively updated, incorporating input from the member and members of the care team, as part of ongoing care management:

- At minimum every 12 months;
- When the member’s circumstances or needs change significantly;
- At the member’s request;
- Within 30 days of care management comprehensive (re)assessment; and/or
- After triggering events (see above).

**Documentation and Storage of the Care Plan or ISP:** The AMH+ or CMA will be required to ensure that each care plan or ISP is documented, stored, and made available to the member and the following representatives within 14 days of completion of the care plan or ISP:

- Care team members, including the member’s PCP and behavioral health, I/DD, TBI, and LTSS providers;
- The Tailored Plan;
- Other providers delivering care to the member;
- The member’s legal representative (as appropriate);
- The member’s caregiver (as appropriate, with consent);
- Social service providers (as appropriate, with consent); and
- Other individuals identified and authorized by the member.

**4.5. Care teams.** The AMH+ or CMA must establish a multidisciplinary care team for each member under Tailored Care Management. Depending on the member’s needs, the required members of a multidisciplinary care team will include the member, the member’s care manager and the following individuals, depending on the member’s needs:

- Caretaker(s)/legal guardians;
- Supervising care manager;
- Care manager extenders (e.g., community navigators, community health workers, individuals with lived experience with an I/DD or a TBI, parents or guardians of an individual with an I/DD or a TBI or a behavioral health condition<sup>42</sup>)

---

<sup>41</sup> For Innovations and TBI waiver enrollees, ISPs developed prior to Tailored Plan launch will continue to serve as the ISP under Tailored Care Management in Year 1 of Tailored Plan operation. For members who may obtain a waiver slot after Tailored Plan launch, requirements are laid out in the Tailored Plan RFA.

<sup>42</sup> Parent/guardian cannot serve as an extender for their own family member. The Department will provide additional guidance on additional trainings required for individuals with lived experience and parents/guardians to prepare them to perform the duties of an extender.

- Certified peer support specialist employed by the AMH+, CMA, or CIN or Other Partner, as applicable;<sup>43</sup>
- Primary care provider;
- Behavioral health provider(s);
- I/DD and/or TBI providers, as applicable;
- Other specialists;
- Nutritionists;
- Pharmacists and pharmacy techs;
- The member's obstetrician/gynecologist (for pregnant women);
- In-reach and transition staff, as applicable;
- Other providers and individuals, as determined by the care manager and member.

The AMH+ or CMA does not necessarily need to have all the care team members on staff or embedded in the practice – providers of various specialties may participate in care teams virtually from other settings. However, the AMH+ or CMA must establish a plan to activate relationships with primary care providers and other key interdisciplinary agencies/providers.

The AMH+ or CMA must have written policies and procedures to ensure that multidisciplinary care team formation and communication occur in a timely manner and that the care team is documented in the care plan and is regularly updated. To implement such policies, the AMH+ or CMA will be required to conduct regular case conferences with members of the multidisciplinary care team, as appropriate based on member needs.

Since regular, on-the-ground communication across settings is essential to the success of the model, the Department will require all organizations performing care management to have IT and policies and procedures in place that support communication and information sharing. If it does not already have the capacity to do so, the AMH+ or CMA must demonstrate that it will have the ability to electronically and securely transmit the care plan to each member of the multidisciplinary care team, by Tailored Plan launch (see also Section V. 5. Health IT).

**4.6. Required components of Tailored Care Management.** Once care management has been initiated through the completion of the care management comprehensive assessment and formation of the care team, the AMH+ or CMA will be responsible for ensuring that care management is carried out according to the care plan or ISP. The AMH+ or CMA will be required to ensure that all of the following components of Tailored Care Management are available to enrolled members:

- **Care Coordination:** The AMH+ or CMA must ensure the member has an ongoing source of care and coordinate the member's health care and social services, spanning physical health, behavioral health, I/DD, TBI, LTSS, pharmacy services, and services to address unmet health-related resource needs (see Section 4.7 below). Care coordination includes following up on referrals and working with the member's providers to help coordinate resources during any crisis event as well as providing assistance in scheduling and preparing members for appointments (e.g., reminders and arranging transportation). Care coordination also includes provision of referral, information, and assistance in obtaining and maintaining community-

---

<sup>43</sup> Certified peer support specialists may either provide peer support services under [Clinical Coverage Policy 8G](#) or act as a care manager extender.

based resources and social support services, including LTSS; I/DD and TBI services (including Innovations and TBI waiver services); and any State-funded services.

- **Twenty-four-Hour Coverage:** AMH+ practices and CMAs must provide or arrange for coverage for services, consultation or referral, and treatment for emergency medical conditions, including behavioral health crisis, 24 hours per day, seven days per week. Automatic referral to the hospital ED for services does not satisfy this requirement. This requirement includes the ability to (1) share information such as care plans and psychiatric advance directives, and (2) coordinate care to place the member in the appropriate setting during urgent and emergent events. In their role as Tailored Care Management entities, AMH+ practices and CMAs are not required to provide first responder crisis response in the event that a member receiving Tailored Care Management has an emergency medical condition or a behavioral health crisis.
- **Annual Physical Exam:** The AMH+ or CMA must ensure that the member has an annual physical exam or well-child visit, based on the appropriate age-related frequency.
- **Continuous Monitoring:** The AMH+ or CMA must conduct continuous monitoring of progress toward goals identified in the care plan or ISP through face-to-face and collateral contacts with the member and his or her support member(s) and routine care team reviews. The AMH+ or CMA must support the member's adherence to prescribed treatment regimens and wellness activities.
- **Medication Monitoring:** The AMH+ or CMA must conduct medication monitoring, including regular medication reconciliation (conducted by the appropriate care team member) and support of medication adherence. A community pharmacist at the CIN level, in communication with the AMH+ or CMA, may assume this role.
- **System of Care:** The AMH+ or CMA must utilize strategies consistent with a System of Care<sup>44</sup> philosophy for children and youth, including knowledge of child welfare, school, and juvenile justice systems. For children and youth receiving behavioral health services, care management must include:
  - Promotion of family-driven, youth-guided service delivery and development of strategies built on social networks and natural or informal supports;
  - Development of, with families and youth, strategies that maximize the skills and competencies of family members to support youth and caregivers' self-determination and enhance self-sufficiency;
  - Verifiable efforts for services and supports to be delivered in the community within which the youth and family live, using the least restrictive settings possible in order to preserve community and family connections and manage costs; and
  - Development and implementation of proactive and reactive crisis plans in conjunction with the care plan or ISP that anticipate crises and utilize family, team and community strengths to identify and describe who does what and when; every member of the CFT shall be provided a copy of the plan.

---

<sup>44</sup> The North Carolina System of Care is the framework through which the state delivers public behavioral health services to children and youth. The core System of Care's elements are: (1) family-driven, youth-guided services; (2) interagency collaboration; (3) service coordination through a single facilitator; (4) individualized, strength-based, trauma-informed/resilience development approach; (5) culturally and linguistically competent care; (6) evidence-based or informed services provided in a home or community setting; and (7) family and youth involvement in regional and state policy development, implementation, and evaluation. For more information on the System of Care approach, visit: <https://nccollaborative.org/what-is-system-of-care/>

- **Individual and Family Supports:** The AMH+ or CMA must ensure that the care management approach incorporates individual and family supports including:
  - Educating the member in self-management;
  - Providing education and guidance on self-advocacy to the member, family members, and support members;
  - Connecting the member and caregivers to education and training to help the member improve function, develop socialization and adaptive skills, and navigate the service system;
  - Providing information and connections to needed services and supports including but not limited to self-help services, peer support services, and respite services;
  - Providing information to the member, family members, and support members about the member's rights, protections, and responsibilities, including the right to change providers, the grievance and complaint resolution process, and fair hearing processes;
  - Promoting wellness and prevention programs;
  - Providing information on establishing advance directives, including psychiatric advance directives as appropriate, and guardianship options/alternatives, as appropriate;
  - Connecting members and family members to resources that support maintaining employment, community integration, and success in school, as appropriate; and
  - For high-risk pregnant women, inquiring about broader family needs, offering guidance on family planning, and beginning discussions about the potential for an Infant Plan of Safe Care.
  
- **Health Promotion:** The AMH+ or CMA must address the following items for health promotion:
  - Providing education on members' chronic conditions;
  - Teaching self-management skills and sharing self-help recovery resources;
  - Providing education on common environmental risk factors including but not limited to the health effects of exposure to second and third hand tobacco smoke and e-cigarette aerosols and liquids and their effects on family and children;
  - Conducting medication reviews and regimen compliance; and
  - Promoting wellness and prevention programs.

**4.7. Addressing unmet health-related resource needs.** The AMH+ or CMA must ensure that Tailored Care Management addresses unmet health-related resource needs by performing the following activities at a minimum:

- Provide referral, information, and assistance in obtaining and maintaining community-based resources and social support services, including:
  - Disability benefits;
  - Food and income supports;
  - Housing;
  - Transportation;
  - Employment services;
  - Education;
  - Financial literacy programs;
  - Child welfare services;
  - After-school programs;
  - Rehabilitative services;

- Domestic violence services;
  - Legal services;
  - Services for justice-involved populations; and
  - Other services that help individuals achieve their highest level of function and independence.
- The AMH+ or CMA must provide comprehensive assistance securing health-related services, including assistance at initial application and renewal with filling out and submitting applications and gathering and submitting required documentation, including in-person assistance when it is the most efficient and effective approach, at a minimum, for:
    - Food and Nutrition Services;
    - Temporary Assistance for Needy Families;
    - Child Care Subsidy;
    - Low Income Energy Assistance Program;
    - NC ABLE Accounts (for individuals with disabilities);
    - Women, Infants, and Children (WIC) Program; and
    - Other programs managed by the Tailored Plan that address unmet health-related resource needs.
  - The AMH+ or CMA must provide referral, information, and assistance in connecting members to programs and resources that can assist in:
    - Securing employment;
    - Supported employment (such as through the Individual Placement and Support - Supported Employment (IPS-SE) program);
    - Volunteer opportunities;
    - Vocational rehabilitation and training; or
    - Other types of productive activity that support community integration, as appropriate.

**4.8. Transitional care management.** AMH+ practices and CMAs must manage care transitions for members under care management transitioning from one clinical setting to another, through best efforts to conduct all of the following activities:<sup>45</sup>

- Ensure that a care manager is assigned to manage the transition;
- Have a care manager or care team member visit the member during his/her stay in the institution and be present on the day of discharge;
- Conduct outreach to the member's providers;
- Obtain a copy of the discharge plan and review the discharge plan with the member and facility staff;
- Facilitate clinical handoffs;
- Assist the member in obtaining needed medications prior to discharge, ensure an appropriate care team member conducts medication reconciliation/management, and support medication adherence;

---

<sup>45</sup> For individuals with an I/DD or a TBI, the elements of transitional care management should also take place in the following "life transitions": (i) a member is transitioning out of school-related services ; (ii) a member experiences life changes such as with employment, retirement, or other life events; (iii) a member has experienced the loss of or change in primary caregiver; or (iv) a member is transitioning out of foster care.

- Prior to discharge from a residential or an inpatient setting, in consultation with the member, facility staff, and the member's care team, create and implement a 90-day transition plan as an amendment to the member's care plan or ISP that outlines how the member will maintain or access needed services and supports, transition to the new care setting, and integrate into his or her community. The 90-day transition plan must incorporate any needs for training of parents and other adults to care for a child with complex medical needs post-discharge from an inpatient setting. Development of a 90-day transition plan is not required for all ED visits, but may be developed according to the care manager's discretion;
- Communicate and provide education to the member and the member's caregivers and providers to promote understanding of the 90-day transition plan;
- Facilitate arrangements for and scheduling of transportation, in-home services, and follow-up outpatient visits with appropriate providers within a maximum of seven calendar days, unless required within a shorter time frame;
- Ensure that the assigned care manager follows up with the member within 48 hours of discharge;
- Arrange to visit the member in the new care setting after discharge/transition;
- Conduct a care management comprehensive assessment within 30 days of the discharge/transition, or update the current assessment; and
- Update the member's care plan or ISP in coordination with the care team within 90 days of the discharge/transition.

**Transitions for Special Populations.** AMH+ practices and CMAs will also be responsible for additional transition-related responsibilities for the following members:

- Adults with SMI who are transitioning out of adult care homes who are not subject to the Medicaid Institution for Mental Disease (IMD) exclusion and who are not transitioning into permanent supportive housing; and
- Children and youth (up to age 21) transitioning out of state psychiatric hospitals, psychiatric residential treatment facilities (PRTFs), and residential treatment levels II-IV and who are not transitioning into permanent supportive housing.

These activities will have the goal of facilitating the relocation of a member receiving services in one of the above settings to a community setting, while ensuring the appropriate level of services and supports that member requires. The Department has released additional guidance on transitions for these populations, detailed in the [Community Inclusion Addendum](#).

**Diversion.** AMH+ practices and CMAs must assume primary responsibility for identifying members who are at risk of entry into an adult care home or an institutional setting, such as an ICF-IID, psychiatric hospital, or psychiatric residential treatment facility, and performing diversion activities. Diversion activities must include:

- Screening and assessing the member for eligibility for community-based services;
- Educating the member on the choice to remain in the community and the services that would be available;
- Facilitating referrals and linkages to community support services for assistance;
- Determining whether the member is eligible for supported housing, if needed; and

- Developing a Community Integration Plan that clearly documents that the member’s decision to remain in the community was based on informed choice, and the degree to which the member’s decision has been implemented.

**4.9. Innovations and TBI Waiver Care Coordination (if applicable).** AMH+ practices and CMAs that are certified to provide Tailored Care Management to individuals enrolled in the 1915(c) Innovations and TBI waivers will be responsible for coordinating these individuals’ waiver services in addition to performing the Tailored Care Management requirements detailed in this Manual<sup>46</sup>. These additional requirements for individuals enrolled in the Innovations or TBI waiver include:

- Support completion of assessments beyond the care management comprehensive assessment, and incorporate results into care management comprehensive assessment, including support for:
  - Complete preliminary intake and screenings for the waivers, including NC Innovations Risk/Support Needs Assessment and TBI Risk/Support Needs Assessment, to see if the waiver can meet the individual’s needs;
  - Complete person-centered information toolkits and self-direction assessments; and
  - Complete Level of Care (LOC) re-evaluation annually.
- Facilitate provider choice and assignment process for Innovations and TBI waiver enrollees.
  - Help enrollee make informed choices of care team participants, provide information about providers, and arrange provider interviews as needed; and
  - Convene an in-person (as clinically indicated) care team planning meeting.
- Coordinate information and resources for self-directed services for Innovations waiver enrollees, as applicable.
  - Ensure that waiver enrollees interested in self-directed services receive relevant information and training;
  - Assist in appointing a representative to help manage self-directed services, as applicable;
  - Assess employer of record and manage employer and representative, as applicable; and
  - Provide self-directed budget information.
- Perform additional responsibilities related to developing and monitoring implementation of the ISP for Innovations and TBI waiver enrollees beyond those required for other individuals engaged in Tailored Care Management.
  - Complete the ISP so that the Tailored Plan receives it within 60 calendar days of LOC determination.
  - As part of developing the ISP:
    - Explain options regarding the services available, and discuss the duration of each service;
    - Include a plan for coordinating waiver services;
    - Ensure the enrollee provides a signature (wet or electronic) on the ISP to indicate informed consent, in addition to ensuring that the ISP includes signatures from all individuals and providers responsible for its implementation;<sup>47</sup> As part of the consent process, members must consent to the following:

---

<sup>46</sup> The Department intends to release additional guidance on 1915(i) care coordination requirements.

<sup>47</sup> 42 C.F.R. §441.301(c)(2)(ix)



- By signing this plan, I am indicating agreement with the bulleted statements listed here unless crossed through. I understand that I can cross through any statement with which I disagree.
  - My care manager helped me know what services are available.
  - I was informed of a range of providers in my community qualified to provides the service(s) included in my plan and freely chose the provider who will be providing the services/supports.
  - The plan includes the services/supports I need.
  - I participated in the development of this plan.
  - I understand that my care manager will be coordinating my care with the [Tailored Plan] network providers listed in this plan.
  - I understand that all services under the Innovations Waiver, including Residential Supports and Supported living, should be requested to the full extent of the individual’s level of medical necessity; regardless of the individual’s budgeting category.
  - I understand that services may be authorized in excess of the Individualized Budget.
    - Ensure enrollee completes Freedom of Choice statement in ISP annually;
    - Submit service authorization request to Tailored Plan for each service; and
    - Ensure that delivery of waiver services begins within 45 days of ISP approval.
- Monitor ISP implementation and resolve or escalate issues as needed:
  - Complete monthly ISP monitoring checklist (e.g., waiver service utilization, provider choice, HCBS compliance setting, etc.);
  - Monitor at least quarterly to ensure that any restrictive interventions (including protective devices used for behavioral support) are written into the ISP and the Positive Behavior Support Plan; and
  - Notify Tailored Plan of LOC determination updates.

#### **4.10. Delineation of care management functions between care managers and extenders.**

Extenders may support care managers in delivering Tailored Care Management by performing activities that fall within the below categories. When an extender performs one of the functions listed below, it may count as a Tailored Care Management contact if phone, video and audio, or in-person contact with the member is made:

- Performing general outreach, engagement, and follow-up with members;
- Coordinating services/appointments (e.g., appointment/wellness reminders, arranging transportation);
- Engaging in health promotion activities (as defined in the Tailored Care Management Provider Manual) and knowledge sharing;
- Sharing information with the care manager and other members of the care team on the member’s circumstances;
- Providing and tracking referrals and providing information and assistance in obtaining and maintaining community-based resources and social support services;
- Participating in case conferences;
- Support the care manager in assessing and addressing unmet health-related resource needs.

A care manager must be solely responsible for:

- Completing the care management comprehensive assessment;
- Developing the care plan (for members with behavioral health needs) or individual support plan (ISP) (for members with I/DD and TBI needs);
- Facilitation of case conferences;
- Ensuring that medication monitoring and reconciliation occur;
- Continuous monitoring of progress toward the goals identified in the care plan or ISP; and
- Managing care transitions, including creating 90-day transition plans.

## 5) Health IT

Population health management means caring for the whole population an organization is serving, not just individuals actively seeking care.<sup>48</sup> AMH+ practices and CMAs will be expected to take responsibility for the health outcomes of their Tailored Care Management assigned populations, through the delivery of Tailored Care Management that is underpinned and driven by the use of data – both data that is generated internally to their organization and data that originates externally.

The certification requirements below align with Standard Plan Tier 3 AMH requirements to the greatest extent possible. The Department recognizes that the requirements will represent a significant change for many behavioral health, I/DD, and TBI providers in particular. Therefore, the Department will allow a range of options for AMH+ practices and CMAs to meet the requirements. Some AMH+ practices and CMAs will choose to meet health IT criteria by partnering with a CIN or Other Partner. The AMH+ or CMA may choose to use the Tailored Plan's care management data system as an alternative to building or maintaining its own or working with a CIN or Other Partner. As part of the certification application, organizations are asked to indicate how they plan to build these functions between today and Tailored Plan go-live.

Health IT requirements that each AMH+ or CMA must meet in full prior to Tailored Plan go-live are detailed in the Tailored Care Management data strategy policy paper and summarized below:

- 1. Use an electronic health record (EHR) or Clinical System of Record:** The AMH+ or CMA must have implemented an EHR or a clinical system of record that is in use by the AMH+ practice's or CMA's providers that may electronically record, store, and transmit member clinical information.
- 2. Use a care management data system:** The AMH+ or CMA must use a care management data system, whether or not integrated within the EHR, that can:
  - Maintain up-to-date documentation of Tailored Care Management member lists and assignments of individual members to care managers;
  - Electronically document and store the care management comprehensive assessment and re-assessment;
  - Electronically document and store the care plan or ISP;
  - Consume claims and encounter data;
  - Provide access to – and electronically share, if requested – member records with the

---

<sup>48</sup> E.g., SAMHSA, September 2014: [https://www.integration.samhsa.gov/integrated-care-models/14\\_Population\\_Management\\_v3.pdf](https://www.integration.samhsa.gov/integrated-care-models/14_Population_Management_v3.pdf)

member's care team to support coordinated care management, as well as the member, in accordance with federal, state, and Department privacy, security, and data-sharing requirements; and

- Track referrals.

**3. Use ADT information:** The AMH+ or CMA must access admission, discharge, transfer (ADT) data that correctly identifies when members are admitted, discharged, or transferred to or from an ED or a hospital in real time or near-real time (see Section V. 4.8. Transitional Care Management). The AMH+ or CMA must implement a systematic, clinically appropriate process with designated staffing for responding to certain high-risk ADT alerts, including:

- Real-time (within minutes/hours) response to notifications of ED visits, for example by contacting the ED to arrange rapid follow-up;
- Same-day or next-day outreach for designated high-risk subsets of the population; and
- Additional outreach within several days after the alert to address outpatient needs or prevent future problems for other patients who have been discharged from a hospital or an ED (e.g., to assist with scheduling appropriate follow-up visits or medication reconciliations post-discharge).

**4. Use NCCARE360** once certified as fully functional statewide to identify community-based resources and connect members to such resources.<sup>49</sup> AMH+ practices and CMAs must:

- Use NCCARE360 once certified as fully functional statewide as their community-based organization and social service agency resource repository to identify local community-based resources;
- Refer members to the community-based organizations and social service agencies available on NCCARE360; and
- Track closed-loop referrals.

**5. Risk stratify the population under Tailored Care Management beyond acuity tiering (encouraged, and required from Year Three of Tailored Plans onwards):** The Department expects that the standardized acuity tiering methodology described above will be the primary method that Tailored Plans, AMH+ practices, and CMAs use to segment and manage their populations under Tailored Care Management in the initial two years of the model. Tailored Plans will have the option of establishing their own risk stratification methodologies beyond acuity tiering; if they do so, they will be required to share all risk stratification results and methodologies used with AMH+ practices and CMAs. As the Tailored Care Management model matures, AMH+ practices and CMAs will be expected to develop their own risk stratification approaches, refining the data and risk stratification scores they receive from Tailored Plans to incorporate critical clinical, unmet health-related resource, and other data to which they have access. The Department will require risk stratification at the AMH+ or CMA level from year three of the model onward. Additionally, patient registries to track patients by condition type/cohort are encouraged

---

<sup>49</sup> The Department intends to work with Tailored Plans on their use of NCCARE360 by facilitating regular meetings with Tailored Plans during the implementation, onboarding, and training process to discuss progress, challenges, and best practices. More information on NCCARE360 for providers is forthcoming.

but not required.

## **6) Quality Measurement and Improvement**

The AMH+ and CMA must use their internal data to drive quality improvement using a systematic process. At least annually, the AMH+ or CMA must evaluate the Tailored Care Management services it provides to ensure that the services are meeting the needs of empaneled members, and refine the services as necessary. The AMH+ or CMA should use a combination of clinical data, care management encounter data and quality scores to generate a set of internal targets and set annual goals for improvement. AMH+ practices and CMAs whose quality performance on selected measures exceeds specified benchmarks may also receive an incentive payment from Tailored Plans in future years. Further details about this incentive will be released prior to launch.

## **7) Training**

All care managers, care manager extenders, and supervisors conducting Tailored Care Management will be required to undergo an intensive training curriculum, regardless of previous experience. Each Tailored Plan will design and implement a training plan, using Department guidelines on the topics that must be covered. AMH+ practices and CMAs must ensure that all care managers, care manager extenders, and supervisors undergo the required training. Care managers, care manager extenders, and supervisors working in multiple Tailored Plan regions will be required to complete and pass the training curriculum in only the Tailored Plan region where they serve the most members and will not be required to complete additional training curriculums for each region. The Tailored Plan will allow care managers, care manager extenders, and supervisors to waive out of components of the required training if the care manager, care manager extenders, or supervisor can verify that he or she has previously completed training and demonstrated competency in a specific training domain. The Tailored Plan may require care managers, care manager extenders, and supervisors to complete additional region-specific trainings beyond those in the required Tailored Care Management domains. The Department will require the following domains for training, in addition to any training requirements specified in N.C. General Statute § 122c-115.4:

- Tailored Plan eligibility and services
  - Tailored Plan eligibility criteria, services available only through Tailored Plans, and differences between Standard Plan and Tailored Plan benefit package;
  - Principles of integrated and coordinated physical and behavioral health care and I/DD and TBI services;
  - Behavioral health crisis response; and
  - Knowledge of 1915(c) Innovations and TBI waiver eligibility criteria.
- Whole-person health and unmet resource needs
  - Understanding and addressing ACEs, trauma, and trauma-informed care;
  - Understanding and addressing unmet health-related resource needs, including identifying, utilizing, and helping the member navigate available social supports and resources at the

- member's local level; and
- Cultural competency, including LTSS needs, cultural sensitivity considerations for tribal populations and forms of bias that may affect Tailored Plan members.
- Community integration
  - Independent living skills;
  - Skills to conduct diversion from adult care homes and other congregate settings, institutional settings, and correctional facilities;
  - Knowledge of supportive housing; and
  - Available programs and resources to assist members in securing employment, supported employment, apprenticeships, volunteer opportunities, vocational rehabilitation and training, or other types of productive activities that support community integration.
- Components of Health Home care management
  - Health Home Overview: What is a Health Home? Whom does it serve? What is care management? How do members and their families participate in care planning?; and
  - Working effectively with a multidisciplinary care team, scheduling team meetings, planning agendas and facilitating meetings.
- Health promotion
  - Providing education on members' chronic conditions;
  - Teaching self-management skills and sharing self-help recovery resources;
  - Providing education on common environmental risk factors including but not limited to the health effects of exposure to second and third hand tobacco smoke and e-cigarette aerosols and liquids and their effects on family and children;
  - Conducting medication reviews and regimen compliance; and
  - Promoting wellness and prevention programs.
- Other care management skills
  - Transitional care management best practices;
  - Supporting health behavior change, including motivational interviewing;
  - Person-centered practices, including needs assessment and care planning, addressing LTSS and other needs;
  - Preparing members for and assisting them during emergencies and natural disasters
  - Understanding the needs of the justice-involved population; and
  - Understanding and navigating the Medicare program, including preparation for Medicare eligibility and enrollment and other programs that serve dually eligible members, such as Programs of All-Inclusive Care for the Elderly (PACE)
  - Ethics, boundaries, and personal safety, including confidentiality, informed consent, mandated reporting, protected health information, HIPAA, and ensuring personal safety when entering someone's home.
  - Building a trusting relationship, including member relations and communication and conflict resolution.

- Additional trainings for care managers, care manager extenders, and supervisors serving members with an I/DD or a TBI
  - Understanding various I/DD and TBI diagnoses and their impact on the individual’s functional abilities, physical health and behavioral health (i.e., co-occurring mental health diagnosis), as well as their impact on the individual’s family and caregivers;
  - Understanding HCBS, related planning, and 1915(c) services and requirements;
  - Accessing and using assistive technologies to support individuals with an I/DD or a TBI;
  - Understanding the changing needs of individuals with and I/DD or a TBI as they age, including when individuals age out of school-related services; and
  - Educating Members with an I/DD or a TBI about consenting to physical contact and sex.
- Additional trainings for care managers, care manager extenders, and supervisors serving children
  - Child- and family-centered teams;
  - Understanding of the System of Care approach, including knowledge of child welfare, school, and juvenile justice systems; and
  - Methods for effectively coordinating with school-related programming and transition-planning activities.
- Additional trainings for care managers, care manager extenders, and supervisors serving pregnant and postpartum women with SUD or SUD history:
  - Best practices for addressing the needs of pregnant and postpartum women with SUD or SUD history, such as general knowledge about pregnancy, medication- assisted treatment, SUD and breastfeeding, and infant opioid withdrawal.
- Additional trainings for care managers, care manager extenders, and supervisors serving members with LTSS needs.
  - Methods for coordinating with supported employment resources available through the Department, the Division for Vocational Rehabilitation, and other general employment resources such as the Employment Security Commission.

To ensure extenders are sufficiently prepared and capable to perform their duties, extenders’ training must include practical (“hands-on”) training modalities and evaluation, which may include role play, use of call scripts, and practice sessions.

The AMH+ or CMA must ensure that all care managers, care manager extenders, and supervisors complete training on all core modules identified by the Tailored Plan before being deployed to serve members; care managers, care manager extenders, and supervisors must complete the remaining training modules within 30 days. Current Innovations waiver care coordinators who are transitioning to a care management staffing role under Tailored Care Management will have additional time to complete these trainings, not to exceed six (6) months after launch. The AMH+ or CMA must ensure that care managers, care manager extenders, and supervisors attend annual refresher courses on training topics based on needs determined by care manager supervisors; care managers, care manager extenders, and supervisors may also request targeted retraining.

In addition to the above training, Tailored Plans will be required to provide ongoing technical assistance to AMH+ practices and CMAs going through the certification process to enable them to become high-performing providers of Tailored Care Management.

## **Section VI: Payment**

In recognition of the significant time and resource commitment required to successfully implement the Tailored Care Management model, provider payment rates will be significantly higher than those paid for Standard Plan care management. Each Tailored Plan beneficiary will be assigned to an “acuity tier,” as defined by the Department; the acuity tier will determine a per member per month (PMPM) rate for each beneficiary, with providers being paid more for high acuity beneficiaries and vice versa.<sup>50</sup> Acuity tiers will account for a range of beneficiary characteristics, including behavioral health, I/DD, or traumatic brain injury (TBI)-related needs, chronic physical health conditions, pharmacy utilization, service utilization (e.g., emergency department), non-health related resource needs, and other factors. The Department’s [Updated Tailored Care Management Rate Guidance](#) provides details on Tailored Care Management Year 1 rates by acuity tier and the build-up and assumptions that went into these rates. Tailored Plans will be required to pass the full amount of these rates through to AMH+ and CMA providers and may not retain a portion for members assigned to an AMH+ or CMA.

The Department will also make additional “add-on” payments for beneficiaries enrolled in the North Carolina’s Innovations and TBI 1915(c) waivers. These payments will account for the additional responsibilities associated with coordinating waiver services, as described in Section 4.9. The add-on payments will be in addition to the regular acuity tier-based rate for the beneficiary. More details about the Innovations and TBI waiver add-on payments are also available in the [updated guidance](#).

In order to access the PMPM rate for any given beneficiary, providers must deliver at least one care management contact during the month for that beneficiary (i.e., providers will not be paid for a member in months in which there were no member contacts).<sup>51</sup> The provider will be required to submit a claim to the Tailored Plan, and the Tailored Plan will pay the provider the PMPM rate (and the waiver coordination add-on payment, if applicable) after the month of service. Only contacts delivered by the assigned care manager or extender will count towards meeting the contact requirements and be eligible for payment. In the event that the supervising care manager is providing coverage for a care manager (e.g., sick leave, vacation, staff turnovers) and delivers a contact to a member, the contact will count towards meeting contact requirements and be eligible for payment. The Department will provide additional guidance on billing policies and procedures prior to launch.

---

<sup>50</sup> Individuals who are not assigned to an acuity tier (e.g., those new to Medicaid or for whom there is a data discrepancy) will be assigned to an “undetermined” acuity tier flag that will pay at the “Behavioral Health, Moderate Acuity” rate.

<sup>51</sup> The Department provides additional guidance on when contacts initiated by care manager extenders will count toward contact requirements in the Care Manager Extender Guidance available at: <https://medicaid.ncdhhs.gov/media/10740/download?attachment>.

Providers' participation as an AMH+ or CMA will not impact fee-for-service payments for clinical services, nor will it affect payment of Medical Home Fees to primary care practices.<sup>52</sup>

Note: A Certified Peer Support Specialist serving as an extender who is completing Tailored Care Management contacts for a member cannot also bill for Peer Support Services provided under Clinical Coverage Policy No. 8G for the same member. In other words, for a single member, a Certified Peer Support Specialist can either conduct Tailored Care Management contacts or provide Peer Support Services under Clinical Coverage Policy No. 8G, but not both.

### **Section VII: Oversight Model after Tailored Plan Launch**

The Department will hold Tailored Plans responsible for implementing Tailored Care Management within their regions.

Tailored Plans will be accountable to the Department through the following mechanisms:

- **Contract with the Department:** All required elements of the Tailored Care Management model reflected in this manual will be included in the contract between the Department and each Tailored Plan. Tailored Plans will be responsible for both ensuring that their own staff adhere to the requirements and for overseeing the performance of the model at the AMH+ and CMA level.
- **Reporting requirements:** Tailored Plans will be required to report data to the Department on a periodic basis, with encounter-level information on care management conducted at both the Tailored Plan level and the AMH+, CMA, or CIN or Other Partner level.
- **Required elements in Tailored Plan, AMH+, and CMA contracting:** Tailored Plans must include all the required elements of Tailored Care Management in their contracts with AMH+ practices and CMAs. Provider contract templates, including all sections and attachments, must be approved by the Department.

In turn, AMH+ practices and CMAs can expect to be held accountable to Tailored Plans. Each Tailored Plan will be required to have a written process documenting how it will identify compliance issues and allow AMH+ practices and CMAs the opportunity to correct them under a Corrective Action Plan (CAP). The process must describe clearly how a CAP may operate at the level of an individual AMH+ or CMA, and/or how a CAP may operate at the level of a CIN or Other Partner, if applicable. The Department will require each CAP process to give a minimum of 30 days to remediate any identified issues, although the parties may establish longer remediation periods by mutual agreement. To promote AMH+ practices and CMAs' ability to make informed choices about CIN or Other Partner affiliations, Tailored Plans will be required to send direct notification of any CAP imposed at the CIN or Other Partner level to each AMH+ practice or CMA describing the CAP, and to notify the Department. In the event of continued underperformance by an AMH+ practice, a CMA, or a CIN or Other Partner that is not corrected after the time limit on the CAP, the Department will permit the Tailored Plan to stop making Tailored Care Management payments and terminate its contract with the AMH+ or CMA. The Tailored Plan's policies and procedures

---

<sup>52</sup> Tailored Plans will be required to pay Medical Home Fees (fixed \$2.50 PMPM or \$5 PMPM for ABD) to all AMH practices in AMH Tiers 2 and 3, as well as \$1 PMPM Medical Home Fees to Tier 1 practices. AMH+ practices will receive Medical Home Fees in the same way as other Tier 3 practices in recognition of their role as PCPs and will receive care management payments in addition under the Tailored Care Management model.



must set out the detailed process by which this would occur. The Tailored Plan's policies and procedures must also set out the details of the options certified AMH+ practices and CMAs will have in the event that a CIN or Other Partner fails to correct continued compliance problems, such as providing Tailored Care Management without contracting with a CIN or Other Partner, which would require the AMH+ practice or CMA to enter into a direct contract with the Tailored Plan for Tailored Care Management, or contracting with another CIN or Other Partner that in turn will contract with the Tailored Plan.<sup>53</sup>

### **Section VIII: Local Health Department Programs**

Currently, North Carolina provides care management for women experiencing high-risk pregnancies and at-risk children ages zero to five through programs run by local health departments (LHDs). After managed care launch, the PMH/OBCM and CC4C programs will be known as Care Management for High-Risk Pregnant Women (CMHRP) and Care Management for At-Risk Children (CMARC), respectively. The Tailored Plan will be required to contract with LHDs during a transitional period that will align with the transitional period established for Standard Plans. Accordingly, for the first Tailored Plan contract year, the Tailored Plan is required to extend to LHDs the "right of first refusal" as contracted providers of CMHRP and CMARC.

There is one year of overlap between the LHD transition period with Standard Plans and the operation of Tailored Plans. The Department has developed requirements to ensure that Tailored Plan members participating in these programs receive whole-person care management and do not experience disruption to the continuity of their care.

- **CMHRP:** For the first Tailored Plan contract year, LHDs will have "right of first refusal" as contracted providers of CMHRP. Women enrolling in Tailored Plans who participate in CMHRP will also be eligible for Tailored Care Management (i.e., a second care manager) to address other needs not included in the LHD model.
- **CMARC:** CMARC and Tailored Care Management provide duplicative services. Thus, children will not participate in both programs at the same time. Tailored Plan eligible children who are already enrolled in CMARC at the time of Tailored Plan launch may remain in CMARC, with Tailored Plans required to continue to contract with the LHD. Otherwise, after the launch of Tailored Plans, children eligible for Tailored Plans will be enrolled in Tailored Care Management and not in CMARC.

It will be the responsibility of the Tailored Plans to ensure that care managers at AMH+ practices and CMAs have the information they need to coordinate effectively with CMHRP care managers and to manage transitions into Tailored Care Management, in the case of young children transitioning from CMARC.

---

<sup>53</sup> AMH+ practices and CMAs will have the right to appeal contracting decisions made by the Tailored Plan in accordance with guidelines to be determined by the Department.

## **APPENDIX 1: Standard Terms and Conditions for Tailored Plan Contracts with AMH+ Practices or CMAs**

Unless otherwise specified, any required element may be performed either by the Advanced Medical Home Plus (AMH+) practice or Care Management Agency (CMA) itself or by a Clinically Integrated Network (CIN) with which the AMH+ practice or CMA has a contractual agreement that contains equivalent contract requirements.

### 1. Staffing

- a. The AMH+ practice or CMA must assign each assigned member to a care manager who meets the qualifications specified in section “b.”
  - i. The assigned care manager must not be related by blood or marriage or financially responsible for any of the members to whom they are assigned or have any legal power to make financial or health-related decisions for any of their assigned members.
- b. All Tailored Care Management supervising care managers, care managers, and care manager extenders must meet the following minimum qualification requirements:
  - i. Care managers serving all members must have the following minimum qualifications:
    1. Meet North Carolina’s definition of a Qualified Professional per 10A-NCAC 27G .0104; *and*
    2. For care managers serving members with long term services and supports (LTSS) needs: two years of prior LTSS and/or home and community-based services (HCBS) coordination, care delivery monitoring, and care management experience. (This experience may be concurrent with the years of experience required to become a Qualified Professional.)
  - ii. Supervising care managers serving members with behavioral health conditions must have the following minimum qualifications:
    1. A license, provisional license, certificate, registration or permit issued by the governing board regulating a human service profession (including Licensed Clinical Social Worker (LCSW), Licensed Marriage and Family Therapist (LMFT), Licensed Clinical Addiction Specialist (LCAS), Licensed Clinical Mental Health Counselor (LCMHC), Licensed Psychological Associate (LPA)), **or** a Registered Nurse (RN) license issued by the North Carolina Board of Nursing; *and*
    2. Three years of experience providing care management, case management, or care coordination to the population being served.
  - iii. Supervising care managers serving members with an I/DD or a TBI must have one of the following minimum qualifications:
    1. A bachelor’s degree *and* five years of experience providing care management, case management, or care coordination to complex individuals with I/DD or TBI; **or**
    2. A master’s degree in a human services field *and* three years of experience providing care management, case management, or care coordination to complex individuals with an I/DD or a TBI.
  - iv. Care manager extenders must have the following qualifications:

1. At least 18 years of age; and
2. A high school diploma or equivalent; and
3. Meet one of the following requirements:
  - a. Be a person with lived experience with an I/DD or a TBI with demonstrated knowledge of and direct personal experience navigating the North Carolina Medicaid delivery system; or
  - b. Be a person with lived experience with a behavioral health condition who is a Certified Peer Support Specialist; or
  - c. A parent or guardian of an individual with an I/DD or a TBI or a behavioral health condition and has at least two years of direct experience providing care for and navigating the Medicaid delivery system on behalf of that individual (note that a parent/guardian cannot serve as an extender for their family member); or
  - d. Has two years of paid experience performing the types of functions described in the “Extender Functions” section below, with at least one year of paid experience working directly with the Tailored Care Management eligible population.
- v. If a member is dually diagnosed with a behavioral health condition and an I/DD or a TBI, the AMH+ practice or CMA must ensure that the supervising care manager is qualified to oversee the member’s care manager.
- vi. Each care manager must be supervised by a supervising care manager. One supervising care manager must not oversee more than eight (8) care managers. Supervisors must not carry a member caseload and must provide coverage for care manager vacation, sick leave, and staff turnovers. Supervisors must review all Tailored Care Management care plans and Individual Support Plans (ISPs) and provide guidance to care managers on how to meet members’ needs.
- vii. When using an extender, the care manager should direct the extender’s care management functions and ensure that the extender is only charged with responsibilities within the scope of functions specified in this document. The care manager and supervising care manager must ensure that all services are well-coordinated, including functions delegated to extenders.
- viii. Care manager extenders cannot work for the same organization where they receive services.
- ix. When an AMH+ practice or CMA relies on CIN or Other Partner-employed care managers to carry out Tailored Care Management, the AMH+ practice or CMA must demonstrate that care management is sufficiently integrated with the organization’s practice team, as described below:
  1. The AMH+ practice or CMA must have managerial control of care management staff, defined as the opportunity, at a minimum, to:
    - a. Approve the hiring and/or placement of a care manager or extender, and
    - b. Require a replacement for any care manager or extender whose performance the AMH+ practice or CMA deems unsatisfactory.

- x. AMH+ practices and CMAs with arrangements with CINs or Other Partners must demonstrate strong clinical leadership at the CIN or Other Partner level that has deep experience in NC Medicaid or NC Health Choice and/or has supported similar efforts in other states.
  - xi. All supervising care managers, care managers, and care manager extenders must participate and complete the Tailored Plan's Tailored Care Management training curriculum.
  - xii. Care managers and supervising care managers must also complete training on in-reach and transition services.
- c. The AMH+ practice or CMA must establish a multidisciplinary care team for each member.
- i. Depending on the member's needs, the required members of a multidisciplinary care team must include the member, the member's care manager, and the following individuals:
    1. Caretaker(s)/legal guardians;
    2. Supervising care manager;
    3. Care manager extenders (e.g., community navigators, community health workers, individuals with lived experience with an I/DD or a TBI, parents or guardians of an individual with an I/DD or a TBI or a behavioral health condition);
    4. Certified peer support specialist employed by the AMH+ practice, CMA, or CIN or Other Partner, as applicable;
    5. Primary care provider;
    6. Behavioral health provider(s);
    7. I/DD and/or TBI providers, as applicable;
    8. Other specialists;
    9. Nutritionists;
    10. Pharmacists and pharmacy techs;
    11. The member's obstetrician/gynecologist (for pregnant women);
    12. In-reach and transition staff, as applicable; and
    13. Other providers and individuals, as determined by the care manager and member.
  - ii. The AMH+ practice or CMA must establish a plan to activate relationships with primary care providers and other key interdisciplinary agencies/providers.
  - iii. The AMH+ practice or CMA must have written policies and procedures to ensure that multidisciplinary care team formation and communication occur in a timely manner and that the care team is documented in the care plan and is regularly updated. The AMH+ practice or CMA must conduct regular case conferences with members of the multidisciplinary care team, as appropriate based on member needs.
- d. AMH+ practices and CMAs must have access to clinical consultants in order to access expert support appropriate for the needs of the panel under Tailored Care Management. The AMH+ practice or CMA may employ or contract with consultants or do so through a CIN or Other Partner, and the consultant must be available by phone to staff within AMH+

practices and CMAs to advise on complex clinical issues on an ad hoc basis. The AMH+ practice or CMA must have access to at least the following experts:

- i. A general psychiatrist or child and adolescent psychiatrist;
- ii. A neuropsychologist or psychologist; and
- iii. For CMAs, a primary care physician (PCP) to the extent the member's PCP is not available for consultation.

## 2. Population Health and Quality Measurement

a. AMH+ practices and CMAs must meet the following population health and health information technology (HIT) requirements:

- i. The AMH+ practice or CMA must have implemented an electronic health record (EHR) or a clinical system of record that is in use by the AMH+ practice's or CMA's providers that may electronically record, store, and transmit member clinical information.
- ii. The AMH+ practice or CMA must use a care management data system, whether or not integrated within the same system as the EHR (or clinical system of record), that can:
  1. Maintain up-to-date documentation of Tailored Care Management member lists and assignments of individual members to care managers;
  2. Electronically document and store the care management comprehensive assessment and re-assessment;
  3. Electronically document and store the care plan or ISP;
  4. Consume claims and encounter data using DHHS required format;
  5. Provide access to – and electronically share, if requested – member records with the member's care team to support coordinated care management, as well as the member, in accordance with federal, state, and Department privacy, security, and data-sharing requirements;
  6. Track referrals;
  7. Allow care managers to:
    - a. Identify risk factors for individual members;
    - b. Develop actionable care plans and ISPs;
    - c. Monitor and quickly respond to changes in a member's health status;
    - d. Track a member's referrals and provide alerts where care gaps occur;
    - e. Monitor a member's medication adherence;
    - f. Transmit and share reports and summary of care records with care team members;
    - g. Support data analytics and performance;
    - h. Transmit quality measures (where applicable); and
  8. Help schedule and prepare members (via, e.g., reminders and transportation) for appointments.
- iii. The AMH+ practice or CMA must be able to receive and use enrollment data from the Tailored Plan to empanel the population in Tailored Care Management. To

- support outreach, engagement, assessment, and care planning, the AMH+ practice or CMA (or CIN or Other Partner on its behalf) must be able to:
1. Receive, in a machine-readable format specified by the Department, and maintain up-to-date records of acuity tiers by member, as determined by the Department and shared by the Tailored Plan;
  2. Receive, in a machine-readable format, and maintain up-to-date records of any other risk scoring completed and shared by the Tailored Plan; and
  3. Electronically reconcile the Tailored Care Management assignment lists received from the Tailored Plan with its list of members for whom it provides Tailored Care Management.
- iv. The AMH+ practice or CMA must access admission, discharge, transfer (ADT) data that correctly identifies when members are admitted, discharged, or transferred to or from an emergency department (ED) or a hospital in real time or near-real time.
1. The AMH+ practice or CMA must implement a systematic, clinically appropriate process with designated staffing for responding to certain high-risk ADT alerts, including:
    - a. Real-time (within minutes/hours) response to notifications of ED visits, for example by contacting the ED to arrange rapid follow-up;
    - b. Same-day or next-day outreach for designated high-risk subsets of the population; and
    - c. Additional outreach within several days after the alert to address outpatient needs or prevent future problems for other patients who have been discharged from a hospital or an ED (e.g., to assist with scheduling appropriate follow-up visits or medication reconciliations post-discharge).
- v. AMH+ practices and CMAs must:
1. Use NCCARE360 as their community-based organization and social service agency resource repository to identify local community-based resources;
  2. Refer members to the community-based organizations and social service agencies available on NCCARE360; and
  3. Track closed-loop referrals.
- vi. AMH+ practices and CMAs must use the Department's acuity tiers as the primary method for segmenting and managing their populations during the first two years of the Tailored Care Management model.
1. Tailored Plans may establish their own risk stratification methodologies beyond acuity tiering; if they do so, they must share all risk stratification results and methodologies used with AMH+ practices and CMAs.
  2. By the third year of the Tailored Care Management model, AMH+ practices and CMAs shall develop their own risk stratification approach, refining the data and risk stratification scores they receive from Tailored Plans to incorporate critical clinical, unmet health-related resource, and other data to which they have access. Additionally, AMH+ practices and CMAs' may use patient registries to track patients by condition type/cohort.

- vii. Annually, the AMH+ practice or CMA must evaluate the Tailored Care Management services it provides to ensure that the services are meeting the needs of empaneled members and refine the services as necessary. The AMH+ practice or CMA must use a combination of clinical data, care management encounter data, and quality scores to generate a set of internal targets and set annual goals for improvement.
  - b. AMH+ practices and CMAs must meet quality measurement requirements:
    - i. AMH+ practices and CMAs must gather, process, and share data with Tailored Plans for the purpose of quality measurement and reporting for the quality measures specified by DHHS.
- 3. Delivery of Tailored Care Management
  - a. Enrollment: AMH+ practices and CMAs must allow members to opt out of Tailored Care Management at any time.
    - i. In the event that a member informs the AMH+ practice or CMA that they would like to opt out of Tailored Care Management, the assigned care manager must support the member in the opt-out process, including completing and submitting the Tailored Plan's Tailored Care Management Opt-out Form, if requested by the member.
    - ii. A member who has opted out may opt back into Tailored Care Management at any time by contacting the Tailored Plan.
  - b. Communication: AMH+ practices and CMAs must develop policies for communicating and sharing information with members and their families and other caregivers with appropriate consideration for language, literacy, and cultural preferences, including sign language, closed captioning, and/or video capture. "Robocalls" or automated telephone calls that deliver recorded messages will not be an acceptable form of contacting members.
  - c. Contact Requirements: AMH+ practices and CMAs must meet the following contact requirements:
    - i. Contacts for members with behavioral health needs:
      1. High acuity: At least four contacts per month, including at least one in-person contact with the member.
      2. Moderate acuity: At least three contacts per month and at least one in-person contact with the member quarterly (includes care management comprehensive assessment if it was conducted in-person).
      3. Low acuity: At least two contacts per month and at least two in-person contacts with the member per year, approximately six months apart (includes the care management comprehensive assessment if it was conducted in-person).
    - ii. Contacts for members with an I/DD or a TBI:
      1. High acuity: At least three contacts per month, including two in-person contacts and one telephonic contact with the member.
      2. Moderate acuity: At least three contacts per month and at least one in-person contact with the member quarterly.
      3. Low acuity: At least one telephonic contact per month and at least two in person contacts per year, approximately six months apart.

- iii. For members with an I/DD or a TBI who have a guardian, telephonic contact may be with a guardian in lieu of the member, only where appropriate or necessary. In-person contact must involve the member.
  - iv. In the event that a care manager or extender delivers multiple contacts to a member in one day, only one contact shall count towards meeting the contact requirements.
  - v. Providers must share care management contacts and other care management information using the specified reporting template from DHHS.
- d. Care Management Comprehensive Assessment: The AMH+ practice or CMA must make a best effort attempt to complete the care management comprehensive assessment in person, in a location that meets the member's needs. "Best effort" is defined as including at least three documented strategic follow-up attempts to contact the member if the first attempt is unsuccessful (e.g., going to the home or working with a known provider to meet the member at an appointment).
- i. During the first year of Tailored Plan operation, the AMH+ practice or CMA must undertake best efforts to complete the care management comprehensive assessment within the following timeframes:
    - 1. Members identified as high acuity: Best efforts to complete it within forty-five (45) calendar days of assignment to Tailored Care Management and no longer than sixty (60) Calendar Days after assignment to Tailored Care Management.
    - 2. Members identified as medium/low acuity: Within ninety (90) Calendar Days of assignment to Tailored Care Management.
  - ii. During the second and subsequent years of Tailored Plan operation, the AMH+ practice or CMA shall undertake best efforts to complete the care management comprehensive assessment within 60 days of assignment to Tailored Care Management.
  - iii. As part of completing the care management comprehensive assessment, the assigned care manager must ask for the member's consent for participating in Tailored Care Management. As part of the consent process, the care manager must explain the Tailored Care Management program. Care managers should document in the care management data system that the member provided consent, including the date of consent.
  - iv. The care management comprehensive assessment must include, at a minimum, the following domains:
    - 1. Immediate care needs;
    - 2. Current services and providers across all health needs;
    - 3. Functional needs, accessibility needs, strengths, and goals;
    - 4. Other state or local services currently used;
    - 5. Physical health conditions, including dental conditions;
    - 6. Current and past mental health and substance use status and/or disorders, including tobacco use disorders;
    - 7. Physical, intellectual, or developmental disabilities;



8. Detailed medication history – a list of all medicines, including over-the-counter medication and medication that has been prescribed, dispensed, or administered – and known allergies;
9. Advance directives, including psychiatric advance directives;
10. Available informal, caregiver, or social supports;
11. Standardized unmet health-related resource need questions (to be provided by the Department) covering four priority domains:
  - a. Housing instability;
  - b. Transportation insecurity;
  - c. Food insecurity; and
  - d. Interpersonal violence/toxic stress;
12. Any other ongoing conditions that require a course of treatment or regular care monitoring;
13. For adults only, exposure to adverse childhood experiences (ACEs) or other trauma;
14. Risks to the health, well-being, and safety of the member and others (including sexual activity and potential abuse/exploitation, or exposure to second hand smoke/aerosols and other substances);
15. Cultural considerations (ethnicity, religion, language, reading level, health literacy, etc.);
16. Employment/community involvement;
17. Education (including individualized education plan and lifelong learning activities);
18. Justice system involvement (adults) or juvenile justice involvement and/or expulsions or exclusions from school (children and adolescents);
19. Risk factors that indicate an imminent need for LTSS;
20. The caregiver’s strengths and needs;
21. Upcoming life transitions (changing schools, changing employment, moving, etc.);
22. Self-management and planning skills;
23. Receipt of and eligibility for entitlement benefits;
24. For members with an I/DD or a TBI:
  - a. Financial resources and money management;
  - b. Alternative guardianship arrangements, as appropriate;
25. For children ages zero up to three, incorporate questions related to Early Intervention (EI) services for children, including:
  - a. Whether the child is receiving EI services;
  - b. The child’s current EI services;
  - c. Frequency of EI services provided;
  - d. Which local Children’s Developmental Service Agency (CDSA) or subcontracted agency is providing the services; and
  - e. Contact information for the CDSA service coordinator; and
26. For children ages three up to 21 with a mental health disorder and/or substance use disorder (SUD), including members with a dual I/DD and

mental health diagnosis, incorporate a strengths assessment process that promotes the identification of the functional strengths of each youth, family, and community.

- v. The AMH+ practice or CMA must attempt a care management comprehensive assessment for members already engaged in care management:
    - 1. At least annually;
    - 2. When the member's circumstances, needs, or health status changes significantly;
    - 3. After significant changes in scores on State-approved level-of-care determination and screening tools (e.g., Level of Care Utilization System (LOCUS) and Child and Adolescent LOCUS (CALOCUS), American Society of Addiction Medicine (ASAM), Child and Adolescent Needs and Strengths (CANS), SIS);
    - 4. At the member's request; or
    - 5. After "triggering events", defined as follows:
      - a. Inpatient hospitalization for any reason;
      - b. Two emergency department visits since the last care management comprehensive assessment (including reassessment);
      - c. An involuntary treatment episode;
      - d. Use of behavioral health crisis services;
      - e. Arrest or other involvement with law enforcement/the criminal justice system, including the Division of Juvenile Justice;
      - f. Becoming pregnant and/or giving birth;
      - g. A change in member circumstances that requires an increased need for care, a decreased need for care, transition into or out of an institution, or loss of a family/friend caretaker, or any other circumstance the plan deems to be a change in circumstance;
      - h. Loss of housing; and
      - i. Foster care involvement.
  - vi. The AMH+ practice or CMA must ensure that the results of the care management comprehensive assessment are made available to the member's primary care, behavioral health, I/DD, TBI, and LTSS providers and the Tailored Plan within 14 days of completion to inform care planning and treatment planning, with the member's consent (to the extent required by law).
- e. Care Plan and ISP: Informed by the results from the care management comprehensive assessment, the AMH+ practice or CMA must develop a care plan for each member with behavioral health needs and/or an ISP for each member with I/DD and TBI needs. Each care plan and ISP must be individualized, person-centered, and developed using a collaborative approach including member and family participation where appropriate. The care plan/ISP must be developed and presented in a manner understandable to the member, including consideration for the member's reading level and alternate formats.
- i. Care plans and ISPs must incorporate the results of the care management comprehensive assessment (including unmet health-related resource need questions), claims analysis and risk scoring, any available medical records, and

screening and/or level of care determination tools, including the following, as appropriate, unless modified by the Department:

1. LOCUS and CALOCUS;
  2. CANS;
  3. ASAM criteria;
  4. For Innovations waiver enrollees: SIS; and
  5. For TBI waiver enrollees: Rancho Los Amigos Levels of Cognitive Functioning Scale (as applicable).
- ii. For Tailored Plan members ages three to 21 with mental health conditions and/or SUD who are receiving mental health or substance use services, the AMH+ practice or CMA must follow System of Care requirements, including:
1. Involving a Child and Family Team (CFT) in facilitating the care planning process and developing the care plan or ISP;
  2. Using the strengths assessment to build strategies included in the care plan or ISP that address the critical needs and unique strengths of the youth and family as identified by and in cooperation with the CFT; and
  3. Regularly updating the care plan or ISP to respond to changes with the youth and family, as well as the results of the supports and services provided, and document the shift of activity from formal supports to informal supports for greater self-sufficiency.
- iii. AMH+ practices and CMAs must ensure that all care plans and ISPs developed under Tailored Care Management include the following minimum elements:
1. Names and contact information of key providers, care team members, family members, and others chosen by the member to be involved in planning and service delivery;
  2. Measurable goals;
  3. Clinical needs, including any behavioral health, I/DD-related, TBI-related, or dental needs;
  4. Interventions including addressing medication monitoring, including adherence;
  5. Intended outcomes;
  6. Social, educational, and other services needed by the member;
  7. Strategies to increase social interaction, employment, and community integration;
  8. An emergency/natural disaster/crisis plan;
  9. Strategies to mitigate risks to the health, well-being, and safety of the members and others;
  10. Information about advance directives, including psychiatric advance directives, as appropriate;
  11. A life transitions plan to address instances where the member is changing schools, experiencing a change in caregiver/natural supports, changing employment, moving or entering another life transition;
  12. Strategies to improve self-management and planning skills; and

13. For members with I/DD, TBI, or serious emotional disturbance (SED), the ISP should also include caregiver supports, including connection to respite services, as necessary.
- iv. The AMH+ practice or CMA must make best efforts to complete an initial care plan or ISP within 30 days of the completion of the care management comprehensive assessment. “Best effort” is defined as including at least three documented strategic follow-up attempts to contact the member if the first attempt is unsuccessful. The AMH+ practice or CMA must not delay the provision of needed services to a member in a timely manner, even if that member is waiting for a care plan or ISP to be developed.
  - v. The AMH+ practice or CMA must regularly and comprehensively update the care plan or ISP, incorporating input from the member and members of the care team, as part of ongoing care management:
    1. At minimum every 12 months;
    2. When the member’s circumstances or needs change significantly;
    3. At the member’s request;
    4. Within 30 days of care management comprehensive (re)assessment; and/or
    5. After triggering events (see above).
  - vi. The AMH+ practice or CMA must monitor the completion of care plans/ISPs and review them for quality control.
  - vii. The AMH+ practice or CMA must ensure that each care plan or ISP is documented, stored, and made available to the member and the following representatives within 14 days of completion of the care plan or ISP:
    1. Care team members, including the member’s PCP and behavioral health, I/DD, TBI, and LTSS providers;
    2. The Tailored Plan;
    3. Other providers delivering care to the member;
    4. The member’s legal representative (as appropriate);
    5. The member’s caregiver (as appropriate, with consent);
    6. Social service providers (as appropriate, with consent); and
    7. Other individuals identified and authorized by the member.
- f. Care Coordination: The AMH+ practice or CMA must ensure the member has an ongoing source of care and coordinate the member’s health care and social services, spanning physical health, behavioral health, I/DD, TBI, LTSS, pharmacy services, and services to address unmet health-related resource needs. In delivering care coordination the AMH+ practice or CMA must:
    - i. Follow up on referrals and work with the member’s providers to help coordinate resources during any crisis event as well as provide assistance in scheduling and preparing members for appointments (e.g., reminders and arranging transportation) and
    - ii. Provide referral, information, and assistance in obtaining and maintaining community-based resources and social support services, including LTSS; I/DD and TBI services (including Innovations and TBI waiver services); and any State-funded services.

- g. **Twenty-four-Hour Coverage:** The AMH+ practice or CMAs must provide or arrange for coverage for services, consultation or referral, and treatment for emergency medical conditions, including behavioral health crisis, 24 hours per day, seven days per week. The AMH+ practice or CMA must:
  - i. Share information such as care plans and psychiatric advance directives, and
  - ii. Coordinate care to place the member in the appropriate setting during urgent and emergent events. Automatic referral to the hospital ED for services does not satisfy this requirement.
- h. **Annual Physical Exam:** The AMH+ practice or CMA must ensure that the member has an annual physical exam or well-child visit, based on the appropriate age-related frequency.
- i. **Continuous Monitoring:** The AMH+ practice or CMA must conduct continuous monitoring of progress toward goals identified in the care plan or ISP through face-to-face and collateral contacts with the member and his or her support member(s) and routine care team reviews. The AMH+ practice or CMA must support the member's adherence to prescribed treatment regimens and wellness activities.
- j. **Medication Monitoring:** The AMH+ practice or CMA must conduct medication monitoring, including regular medication reconciliation (conducted by the appropriate care team member) and support of medication adherence. A community pharmacist at the CIN level, in communication with the AMH+ practice or CMA, may assume this role.
- k. **System of Care:** The AMH+ practice or CMA must utilize strategies consistent with a System of Care philosophy for children and youth, including knowledge of child welfare, school, and juvenile justice systems. For children and youth receiving behavioral health services, care management must include:
  - i. Promotion of family-driven, youth-guided service delivery and development of strategies built on social networks and natural or informal supports;
  - ii. Development of, with families and youth, strategies that maximize the skills and competencies of family members to support youth and caregivers' self-determination and enhance self-sufficiency;
  - iii. Verifiable efforts for services and supports to be delivered in the community within which the youth and family live, using the least restrictive settings possible in order to preserve community and family connections and manage costs; and
  - iv. Development and implementation of proactive and reactive crisis plans in conjunction with the care plan or ISP that anticipate crises and utilize family, team and community strengths to identify and describe who does what and when; every member of the CFT must be provided a copy of the plan.
- l. **Individual and Family Supports:** The AMH+ practice or CMA must incorporate individual and family supports by performing the following activities at a minimum:
  - i. Educate the member in self-management;
  - ii. Educate and provide guidance on self-advocacy to the member, family members, and support members;
  - iii. Connect the member and caregivers to education and training to help the member improve function, develop socialization and adaptive skills, and navigate the service system;

- iv. Provide information and connections to needed services and supports including but not limited to self-help services, peer support services, and respite services;
- v. Provide information to the member, family members, and support members about the member's rights, protections, and responsibilities, including the right to change providers, the grievance and complaint resolution process, and fair hearing processes;
- vi. Promote wellness and prevention programs;
- vii. Provide information on establishing advance directives, including psychiatric advance directives as appropriate, and guardianship options/alternatives, as appropriate;
- viii. Connect members and family members to resources that support maintaining employment, community integration, and success in school, as appropriate; and
  - 1. For high-risk pregnant women, inquiring about broader family needs, offering guidance on family planning, and beginning discussions about the potential for an Infant Plan of Safe Care.
- m. Health Promotion: The AMH+ practice or CMA must:
  - i. Educate the member on members' chronic conditions;
  - ii. Teach self-management skills and sharing self-help recovery resources;
  - iii. Educate the member on common environmental risk factors including but not limited to the health effects of exposure to second and third hand tobacco smoke and e-cigarette aerosols and liquids and their effects on family and children;
  - iv. Conduct medication reviews and regimen compliance; and
  - v. Promote wellness and prevention programs.
- n. Unmet Health-Related Resource Needs: The AMH+ practice or CMA must ensure that Tailored Care Management addresses unmet health-related resource needs by performing the following activities at a minimum:
  - i. Provide referral, information, and assistance in obtaining and maintaining community-based resources and social support services, including:
    - 1. Disability benefits;
    - 2. Food and income supports;
    - 3. Housing;
    - 4. Transportation;
    - 5. Employment services;
    - 6. Education;
    - 7. Financial literacy programs;
    - 8. Child welfare services;
    - 9. After-school programs;
    - 10. Rehabilitative services;
    - 11. Domestic violence services;
    - 12. Legal services;
    - 13. Services for justice-involved populations; and
    - 14. Other services that help individuals achieve their highest level of function and independence.

- ii. Provide comprehensive assistance securing health-related services, including assistance at initial application and renewal with filling out and submitting applications and gathering and submitting required documentation, including in-person assistance when it is the most efficient and effective approach, at a minimum, for:
      - 1. Food and Nutrition Services;
      - 2. Temporary Assistance for Needy Families;
      - 3. Child Care Subsidy;
      - 4. Low Income Energy Assistance Program;
      - 5. NC ABLE Accounts (for individuals with disabilities);
      - 6. Women, Infants, and Children (WIC) Program; and
      - 7. Other programs managed by the Tailored Plan that address unmet health-related resource needs.
    - iii. Provide referral, information, and assistance in connecting members to programs and resources that can assist in:
      - 1. Securing employment;
      - 2. Supported employment (such as through the Individual Placement and Support - Supported Employment (IPS-SE) program);
      - 3. Volunteer opportunities;
      - 4. Vocational rehabilitation and training; or
      - 5. Other types of productive activity that support community integration, as appropriate.
- 4. Transitions, Community Inclusion, and Diversions
  - a. Transitional Care Management: AMH+ practices and CMAs must manage care transitions for members under care management transitioning from one clinical setting to another, including the following activities:
    - i. Assign a care manager to manage the transition;
    - ii. Have a care manager or care team member visit the member during his/her stay in the institution and be present on the day of discharge;
    - iii. Conduct outreach to the member's providers;
    - iv. Obtain a copy of the discharge plan and review the discharge plan with the member and facility staff;
    - v. Facilitate clinical handoffs;
    - vi. Assist the member in obtaining needed medications prior to discharge, ensure an appropriate care team member conducts medication reconciliation/management, and support medication adherence;
    - vii. Prior to discharge from a residential or an inpatient setting, in consultation with the member, facility staff, and the member's care team, create and implement a 90-day transition plan as an amendment to the member's care plan or ISP that outlines how the member will maintain or access needed services and supports, transition to the new care setting, and integrate into his or her community. The 90-day transition plan must incorporate any needs for training of parents and other adults to care for a child with complex medical needs post-discharge from an inpatient setting;

- viii. Communicate with and educate the member and the member’s caregivers and providers to promote understanding of the 90-day transition plan;
  - ix. Facilitate arrangements for and scheduling of transportation, in-home services, and follow-up outpatient visits with appropriate providers within a maximum of seven calendar days, unless required within a shorter time frame;
  - x. Ensure that the assigned care manager follows up with the member within 48 hours of discharge;
  - xi. Arrange to visit the member in the new care setting after discharge/transition;
  - xii. Conduct a care management comprehensive assessment within 30 days of the discharge/transition, or update the current assessment; and
  - xiii. Update the member’s care plan or ISP in coordination with the care team within 90 days of the discharge/transition.
- b. Community Inclusion Activities: AMH+ practices and CMAs must conduct the community inclusion and transition-related responsibilities outlined in *In-Reach Activities* and *Transition Activities* below for the following members (as appropriate):
- i. Children and youth admitted to a state psychiatric hospital, psychiatric residential treatment facility (PRTF), or Residential Treatment Levels II/Program Type, III, and IV as defined in the Department’s Clinical Coverage Policy 8-D-2 (“Residential Treatment Levels”); and
  - ii. Adult members admitted to a state psychiatric hospital or an Adult Care Home (ACH) who are eligible for Tailored Care Management and who are not transitioning to supportive housing.
- c. In-Reach Activities: AMH+ practices and CMAs must conduct in-reach activities for assigned members under 18 admitted to or residing in a state psychiatric hospital and members admitted to or residing in a PRTF or congregate child residential treatment settings who may be able to have their needs safely met in a community setting.
- i. Care managers must identify and engage such members and conduct the following in-reach activities:
    1. Provide age and developmentally appropriate education and ensure that the member and their family and/or guardians are fully informed about the available community-based options; this may include accompany them on visits to community-based services;
    2. Identify and attempt to address barriers to relocation to a community setting;
    3. Provide the member and their family and/or guardians opportunities to meet with other individuals with similar diagnoses and shared lived experience, who are living, working, and receiving services in community settings;
    4. Ensure that the member and their family and/or guardians who may be eligible for supportive housing are fully informed about the available options; and
    5. Identify any specific trainings that facility staff may benefit from to support smooth transitions for members to live and work in community settings.



- ii. For members newly admitted to one of these facilities, in-reach activities must begin within seven days of admission.
  - iii. Not all members will be able or willing to continue with the in-reach process or begin transition planning. For those members, care managers must make best efforts to address member concerns and arrange for peer-to-peer meetings, when appropriate, and continue to engage the member and their family and/or guardians on a regular basis about the opportunity to transition to a more integrated setting.
- d. Transition Activities: AMH+ practices and CMAs will be responsible for transition activities for assigned members under age 21 residing in a state psychiatric hospital and all members residing in an ACH who are not transitioning to supportive housing, and assigned members in a PRTF or Residential Treatment Levels II/Program Type, III, and IV. Care managers must plan for effective and timely transition of members to the community and perform the following transition activities:
  - i. Collaborate with the appropriate individuals, specialists, and providers needed to facilitate a smooth transition to the community, including but not limited to, facility providers and discharge planners, the member's community-based primary care provider (PCP), education specialists, and other community providers and specialists as relevant to the member's needs;
  - ii. Assist the member with selecting a community-based PCP and other clinical and behavioral health specialists prior to discharge and actively engage them in the transition planning process;
  - iii. Arrange for individualized supports and services that are needed to be in place upon discharge;
  - iv. Collaborate with the member and their family and/or guardians to identify and schedule post-discharge appointments for the critical services necessary to address the member's specific needs, such as complex behavioral health, primary care and medical needs;
  - v. Work to identify any specific training needs by receiving providers and/or agencies to ensure a seamless transition for the member;
  - vi. Address any barriers to discharge planning to the most integrated setting possible, such as transportation, housing, and training for family members and/or guardians prior to discharge;
  - vii. Work with the facility providers to arrange for any post-discharge services, when applicable;
  - viii. Review the discharge plan with the member and their family and/or guardians and facility staff and assist the member in obtaining needed prescription on the day of discharge; and
  - ix. Convene and engage the member's Child and Family Team through the entire transition process.
- e. Diversion: AMH+ practices and CMAs must identify members who are at risk of entry into an adult care home or an institutional setting, such as an Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF-IID), psychiatric hospital, or psychiatric residential treatment facility, and performing diversion activities. Care managers must perform the following Diversion activities:

- i. Screen and assess members for eligibility for community-based services;
    - ii. Educate members on the choice to remain in the community and the services that would be available;
    - iii. Facilitate referrals and linkages to community support services for assistance;
    - iv. Determine whether a member is eligible for supported housing, if needed; and
    - v. Develop a Community Integration Plan that clearly documents that the member's decision to remain in the community was based on informed choice, and the degree to which the member's decision has been implemented.
  - f. Extenders may support care managers in delivering Tailored Care Management by performing activities that fall within the below categories. When an extender performs one of the functions listed below, it may count as a Tailored Care Management contact if phone or video and audio or in-person contact with the member is made:
    - i. Performing general outreach, engagement, and follow-up with members;
    - ii. Coordinating services/appointments (e.g., appointment/wellness reminders, arranging transportation);
    - iii. Engaging in health promotion activities (as defined in the Tailored Care Management Provider Manual) and knowledge sharing;
    - iv. Sharing information with the care manager and other members of the care team on the member's circumstances;
    - v. Providing and tracking referrals and providing information and assistance in obtaining and maintaining community-based resources and social support services;
    - vi. Participating in case conferences;
    - vii. Support the care manager in assessing and addressing unmet health-related resource needs.
  - g. A care manager must be solely responsible for:
    - i. Completing the care management comprehensive assessment;
    - ii. Developing the care plan (for members with behavioral health needs) or individual support plan (ISP) (for members with I/DD and TBI needs);
    - iii. Facilitation of case conferences;
    - iv. Ensuring that medication monitoring and reconciliation occur;
    - v. Continuous monitoring of progress toward the goals identified in the care plan or ISP; and
    - vi. Managing care transitions, including creating 90-day transition plans.
5. Payments
- a. To access the per member per month (PMPM) payment for any given member, the AMH+ practice or CMA must deliver at least one care management contact during the month for that member (i.e., providers will not be paid in months in which there were no member contacts). The AMH+ practice or CMA must submit a claim to the Tailored Plan, and the Tailored Plan must pay the provider the PMPM rate after the month of service.
  - b. Only contacts delivered by the assigned care manager or extender shall count towards meeting the contact requirements and be eligible for payment. In the event that the supervising care manager is providing coverage for a care manager (e.g., sick leave, vacation, staff turnovers) and delivers a contact to a member, the contact shall count towards meeting contact requirements and be eligible for payment.

## 6. Oversight

- a. The AMH+ practice or CMA must comply with oversight requirements established by the Tailored Plan and the Department, including reporting requirements and corrective action plans.
- b. When a member is receiving a service that has potential for duplication with Tailored Care Management, the AMH+ practice or CMA delivering Tailored Care Management must explicitly agree on the delineation of responsibility with the provider delivering the potentially-duplicative service and document that agreement in the care plan or ISP to avoid duplication of services.
- c. To the extent an AMH+ practice or CMA contracts with a CIN or Other Partner, the AMH+ practice or CMA must ensure that the CIN or Other Partner meets all of the applicable Tailored Care Management requirements for the functions and capabilities that the AMH+ practice or CMA has delegated to the CIN or Other Partner.
- d. In the event of continued underperformance relative to the requirements in this contract and upon receipt of a notice of underperformance from the Tailored Plan, the AMH+ practice or CMA agrees to remediate any issues identified through a Corrective Action Plan (CAP). In the event of continued underperformance by an AMH+ practice or a CMA that is not corrected after the time limit set forth in the CAP, the Tailored Plan may terminate its contract with the AMH+ practice or CMA.

**APPENDIX 2: Additional Standard Terms and Conditions for Tailored Plan Contracts with AMH+ Practices or CMAs Certified to Provide Tailored Care Management to Members Enrolled in the 1915(c) Innovations or TBI Waivers**

1. AMH+ practices and CMAs that are certified to provide Tailored Care Management to individuals enrolled in the 1915(c) Innovations and TBI waivers will be responsible for coordinating these individuals' waiver services in addition to performing the Tailored Care Management requirements. The Department also intends to release additional guidance on 1915(i) care coordination requirements.
  - a. AMH+ practices and CMAs serving members in the Innovations or TBI waiver must:
    - i. Support completion of assessments beyond the care management comprehensive assessment, and incorporate results into the care management comprehensive assessment.
      1. Complete preliminary intake and screenings for the waivers, including NC Innovations Risk/Support Needs Assessment and TBI Risk/Support Needs Assessment, to see if the waiver can meet the individual's needs;
      2. Complete person-centered information toolkits and self-direction assessments; and
      3. Complete Level of Care (LOC) re-evaluation annually.
    - ii. Facilitate provider choice and assignment process for Innovations and TBI waiver enrollees.
      1. Help enrollee make informed choices of care team participants, provide information about providers, and arrange provider interviews as needed; and
      2. Convene an in-person (as clinically indicated) care team planning meeting.
    - iii. Coordinate information and resources for self-directed services for Innovations waiver enrollees, as applicable.
      1. Ensure that waiver enrollees interested in self-directed services receive relevant information and training;
      2. Assist in appointing a representative to help manage self-directed services, as applicable;
      3. Assess employer of record and manage employer and representative, as applicable; and
      4. Provide self-directed budget information.
    - iv. Perform additional responsibilities related to developing and monitoring implementation of the ISP for Innovations and TBI waiver enrollees beyond those required for other individuals engaged in Tailored Care Management.
      1. Complete the ISP so that the Tailored Plan receives it within 60 calendar days of LOC determination.
      2. As part of developing the ISP:
        - a. Explain options regarding the services available, and discuss the duration of each service;
        - b. Include a plan for coordinating waiver services;
        - c. Ensure the enrollee provides a signature (wet or electronic) on the ISP to indicate informed consent, in addition to ensuring that the

ISP includes signatures from all individuals and providers responsible for its implementation<sup>54</sup>; As part of the consent process, members must consent to the following:

- i. By signing this plan, I am indicating agreement with the bulleted statements listed here unless crossed through. I understand that I can cross through any statement with which I disagree.
  - ii. My care manager helped me know what services are available.
  - iii. I was informed of a range of providers in my community qualified to provides the service(s) included in my plan and freely chose the provider who will be providing the services/supports.
  - iv. The plan includes the services/supports I need.
  - v. I participated in the development of this plan.
  - vi. I understand that my care manager will be coordinating my care with the [Tailored Plan] network providers listed in this plan.
  - vii. I understand that all services under the Innovations Waiver, including Residential Supports and Supported living, should be requested to the full extent of the individual's level of medical necessity; regardless of the individual's budgeting category.
  - viii. I understand that services may be authorized in excess of the Individualized Budget.
- d. Ensure enrollee completes Freedom of Choice statement in ISP annually;
  - e. Submit service authorization request to Tailored Plan for each service; and
  - f. Ensure that delivery of waiver services begins within 45 days of ISP approval.
3. Monitor ISP implementation and resolve or escalate issues as needed:
- a. Complete monthly ISP monitoring checklist (e.g., waiver service utilization, provider choice, HCBS compliance setting, etc.);
  - b. Monitor at least quarterly to ensure that any restrictive interventions (including protective devices used for behavioral support) are written into the ISP and the Positive Behavior Support Plan; and
  - c. Notify Tailored Plan of LOC determination updates.

---

<sup>54</sup> 42 C.F.R. §441.301(c)(2)(ix)