

FREQUENTLY ASKED QUESTIONS – SUBSTANCE ABUSE PREVENTION AND TREATMENT BLOCK GRANT WAITING LIST REPORT

February 2014

How do we determine capacity? Is the number of people we can have per hour at any given time in the building or the number of people on any given day as a whole? The reason we are asking is because if we look at our residential unit we can only house 16 on a given day. But outpatient is a revolving door; people come and go so we can't count capacity for a given hour but can on a given day.

- Agency capacity for *outpatient treatment services* is based on the agency's staffing levels – the number of consumers your agency can accommodate in its outpatient program at any given time with the current staff assigned to deliver those services.

From a Women and Children's CSTAR program: By practice, we only provide social detox, not modified medical or medical detox. When we have a client that we think qualifies for social detox, we typically bring them into residential treatment. If we feel they need a higher level of detox, we send them to a detox facility – modified or hospital/medical. The question then becomes distinguishing between the "Services Required" field (on the Wait List Report form). If we are suggesting residential and one of the components will be social detox, which do we indicate?

- For the situation described, "Residential" should be indicated in the "Services Required" field because the CSTAR program is not certified to provide social setting detox.

The document entitled, "Important Information: Waiting List Report" states that weekly waiting list reports may only be sent via FTP. However, the sample "ADA Priority Population Waiting List Report" (the Excel sheet) states it may also be sent via secured email. Our agency has secure email capability and I wanted to confirm whether we may use it to send reports as this would be much easier. If so, what email address would we send the reports to?

- The earlier draft version had indicated that secured email was the proposed method of transmission. However, the Division needed to change this because the IT Unit automated the aggregation of the lists. The lists must be submitted via FTP for this automated process to work. The Division will not be accepting the lists via email.

Are you wanting us to designate Child Welfare referrals that are waiting?

- It is assumed the provider is referencing individuals referred through the Department of Social Services Children's Division and/or Family Support Division. These referrals should be included on the wait list report. The priority population code would be "5" to capture adolescents and families served through the Children's System of Care.

TANF referrals - we have never received a TANF referral with specific referral forms and protocol. We frequently receive referrals for services for clients who have open Children's Division (CD) cases or are at risk of having a case opened. Would we document those waiting from a Children's Division referral as a TANF referral?

- Referrals that providers receive from the Children's Division are *entirely separate* from the TANF referral process.
- The screening and referral process for TANF applicants/recipients was implemented on March 4, 2013 as a result of legislation passed by the 96th General Assembly in House Bills 47 and 73. The referral process is managed by FSD and DMH Area Treatment Coordinators. Treatment providers are alerted when a TANF applicant/recipient has made the decision to seek treatment or has been mandated to treatment by FSD. Established protocol should be followed for such cases. Providers should contact their DMH Area Treatment Coordinator with questions about this process.

Which consumers need to be counted in the fields on the Agency Capacity sheet?

- The Capacity, Census, Total Waiting and Priority Waiting numbers reported on the Agency Capacity sheet should reflect consumers who are expected to be enrolled in a program that is at least partially funded with state funds. This includes, but is not limited to CSTAR and Primary Recovery Plus programs. This does not include SATOP programs and ATR Treatment. Additionally, the Capacity and Census numbers should reflect all consumers not just priority consumers.

Which consumers need to be reported on the Waiting List sheet?

- Consumers who meet the criteria for a priority population are required to be reported on the waiting list. The priority populations are Pregnant Women, IV Drug Users, High Risk DOC Offenders (requires a DOC referral), Juvenile Court Referrals (requires a Juvenile office referral) and TANF Referrals (requires a DSS referral specific to TANF). All consumers contacting your agency for treatment are expected to be screened for qualification as a priority population and admitted according to the guidelines for these populations.

Where do I submit the waiting list data?

- Waiting Lists must be uploaded to the DMH File Transfer (FTP) using either FTP Voyager or the DMH File Transfer link on the DMH Portal Page (<https://portal.dmh.missouri.gov/>). Files are to be placed in the xxx\Reports\ADA folder of the FTP (xxx represents the agency's 3 digit facility code which can be found in CIMOR under My Organization, IDs).

If a State Holiday lands on Wednesday, will extensions be granted?

- No. Files are due by Department of Mental Health Close of Business (5:00 pm) every Wednesday regardless of whether the state offices are open. Files may be submitted earlier in the calendar week that it is due as long as the Report Date in the file reflects the date on which the data was accurate (ex. Files submitted on Monday should have Monday's date in the Report Date. If Wednesday's date is listed, the file will not process successfully.)

If the assigned staff person at the agency is out of the office on a due date or for an entire week, can an extension be granted for that week?

- No, every agency is expected to submit a file every week no later than Department of Mental Health Close of Business (5:00 pm) regardless of staff vacations or absences. All agencies are expected to train at least one back-up person who will submit the files prior to the weekly deadline in the event that the main staff is unavailable.

Can I retrieve previously submitted files?

- Yes, but only for a limited time period. Files submitted to the ADA Folder of FTP site are relocated to the WaitListArchive folder within the ADA folder when they are successfully uploaded to the database. Files that are moved to the WaitListArchive folder will remain there for 60 days at which time they will be permanently deleted.

How do I know if my file was accepted?

- Files are uploaded each evening Sunday – Thursday. Files that are not uploaded successfully will remain in the ADA Folder of the FTP site and those that are successfully uploaded are moved to the WaitListArchive folder. Email notifications will be sent out the contact person listed in the file when errors are detected in the file or if files are missing or not able to be uploaded. The emails notifications will be sent out typically during the business day following the upload process.

How do I make corrections when I am notified of errors?

- Make the appropriate corrections in your copy of the file and re-upload the file to the ADA folder of the FTP site. The revised file will be uploaded on the next scheduled run and you will be notified if there are any additional errors in the file during the next business day.

What can I do if I cannot determine how to fix an error or I have questions about an error?

- Email all questions about the Block Grant Waiting List process to BGWaitingList@dmh.mo.gov.

I cannot log in to the FTP site. Do I need special access?

- In order to log into the DMH File Transfer (FTP), you need to have a current CIMOR User ID and password. The password for CIMOR User IDs expires every 60 days. If you have not updated your password in more than 60 days, visit the DMH Portal page (<https://portal.dmh.missouri.gov/>) for instructions on resetting your password.

I can log into the FTP site but I cannot locate the ADA Folder. Where is the folder?

- If you are able to log into the FTP site and location your agency's folder identified by Facility Code (3 digit number can be found in My Organization and the IDs tab with CIMOR), but you cannot find the Reports folder and/or the ADA folder within Report, you may not have the appropriate permissions to your agency's FTP folder structure. Submit a help ticket using to ITSD Technical Support using the blue Help link on the DMH Portal page (<https://portal.dmh.missouri.gov/>). Be sure to include your agency's facility code in the help ticket.

I am able to log into the FTP site and can find the ADA folder but I receive a Permission Denied error when I try to upload my file. How do I get permission to upload my file?

- Submit a help ticket using to ITSD Technical Support using the blue Help link on the DMH Portal page requesting permission to submit files into the FTP folders for your agency. Be sure to include your agency's facility code in the help ticket.

I have a consumer who is HIV positive waiting for treatment. Should the consumer be reported on the waiting list?

- While HIV Positive consumers may be categorized as priority by your agency or other funders, the SAPT Block Grant does not identify HIV positive consumers as priority, though IV Drug Users are a priority. HIV Positive consumers who do not meet the criteria for another priority may be listed on the waiting list as Non-Priority; however, you are not required to submit information on these consumers unless they qualify as one of the listed priorities.

I noticed that I made a mistake on previous reports and want to correct it. Do I have to resubmit all of the reports that the information was not correct?

- If more than two files are affected by the change and/or the file(s) affected were processed more than two weeks ago, you may submit a help ticket to 'ADA BGWaitList' using the blue help link on the DMH Portal page (<https://portal.dmh.missouri.gov/>). Please include the identifying information for the consumer and the information that needs to be changed.

My organization has more than one type of program. Should I submit a report for each program?

- No. Only one report should be submitted for your organization each week which includes data on all programs.

What are Interim Services?

- Interim Services for IV Drug Users includes counseling and education about HIV, Tuberculosis (TB), and hepatitis; counseling and education about the risks of needle sharing; counseling and education about the risks of transmission to sexual partners and infants; steps that can be taken to ensure that HIV, TB and Hepatitis transmission does not occur; referral for HIV, TB, or Hepatitis treatment services, if

necessary; group education sessions that focus on reducing the adverse health effects of substance abuse or other aspects of treatment and recovery; and referral to recovery support programs or self-help (mutual support) groups that offer social, emotional and informational support for individuals seeking treatment and educational materials that will increase understanding about addiction and recovery, including other local resources. Additionally, consumers admitted to a lower level of care than has been determined to be required should be listed as waiting and may be listed as receiving interim services.

Can we bill for Interim Services?

- Interim services may be billed through Early Intervention Services program. Billable services for IV Drug Users include motivational interviewing, Group Education, HIV Pre Test Counseling, HIV Post Test Counseling and TB Post Test Counseling.

I have been contacted about a consumer who is currently incarcerated but needs to get into treatment when released. Should I add the consumer to the waiting list?

- If the consumer meets the priority population criteria but is not available to begin treatment, then the consumer should not be listed on the waiting list. The intent of the priority waiting list is to capture information on individuals who are available for treatment but cannot receive treatment because of lack of capacity at the agency. Once the consumer is available for treatment, then they should be added to the waiting list if the agency does not have available capacity to enroll the consumer immediately. It may be necessary for agencies to maintain a separate waiting list for consumers who are not available for treatment immediately (i.e. jail, prison, in hospital, etc.).

A consumer was added to the waiting list, was admitted to another agency the next day, then left and called again for treatment. How do I show this on the waiting list?

- A consumer may be on the waiting list more than once but only one record can show 'yes' in currently waiting and the initial contact date the second record must be on or after the disposition date for the first. For example, if the consumer called on 1/1 but must wait for services, the consumer's Initial Contact date is 1/1 and is currently waiting. Then the consumer is admitted on 1/2 to another agency, then the record should be changed to 'no' for currently waiting and a disposition of 'Admitted to another agency' and disposition date of 1/2. Then the consumer left that agency on 1/3 and called your agency again, the consumer would be listed again on your list with initial contact date of 1/3.

The person assigned to this project is no longer working here. Do we need to report who is newly assigned?

- Yes. Email the name, email address and phone number for the staff assigned to BGWaitingList@dmh.mo.gov.

If we screen someone and admit him/her on the same day do we have to put that person on the waiting list?

- No. The waiting list is for consumers who are available for treatment but the agency does not have sufficient capacity to admit the consumer immediately. If a consumer is admitted the same day then they did not 'wait' for treatment.

We have no one who meets the criteria for priority populations who is waiting. Why do we need to submit a report?

- All agencies who receive Block Grant funds for treatment services are required to submit waiting list reports weekly regardless of the number of priority population consumers they current have waiting. If you do not have priority consumers waiting, then complete the Agency Capacity sheet and leave the waiting list sheet blank.

Where can I obtain the form to submit the waiting list information?

- The "Waiting List.xlsx" can be found on the 'Information for Providers' page of the Alcohol and Drug Abuse website at <http://dmh.mo.gov/ada/provider/WaitingList.xlsx>.

If an individual has received a screening but is not entered into a program in CIMOR, do they have to be on the waiting list?

- A Consumer must be added to the waiting list if he/she qualifies as a priority population and is available to begin treatment but the agency cannot enroll the consumer because of capacity constraints. Additionally, the consumers on the waiting list are expected to be enrolled in a program that is, at least partially, funded by SAPT Block Grant funds.

I have had openings for treatment and clients have declined. Do I take them off the list after I list the disposition?

- In this case the consumer's disposition would be 'Refused Treatment' and would be reported for one submission. Then on the next submission that consumer record should be removed. The consumer may be subsequently added to the waiting list again with a different Initial Contact date that must be on or after the Disposition Date reported for the last waiting list period.

If a client is waiting for residential treatment but we admit the consumer to outpatient treatment, should we report the disposition as 'Admitted to Program' or do we wait until the consumer is actually in a residential bed?

- Wait until the consumer is admitted to residential if that is the level of care required. The consumer should continue to be listed as waiting for treatment but receiving interim services.

I am trying to make corrections to the file in the FTP site because I received a notice of errors but the file will not allow me to make changes.

- You cannot edit a file that has already been uploaded to the FTP site. You will need to update your version of the file on your computer, save it, close it and re-upload the revised version to the FTP site. You may use the same name as the original and it will replace the existing file in the FTP site. Once you upload the file successfully, you may open the file in the FTP to check that your corrections uploaded successfully.

I use FTP Voyager to upload our files but I am the only one at my agency with a license for it. How does my back-up upload the files when I am not available?

- Others in your agency may go to the DMH Portal page and click on the 'DMH File Transfer' link near the bottom of the Documents and Links section. The staff person will be required to log in using his/her CIMOR User ID and password (must be updated every 60 days).

I have consumers who are looking to receive services from us but need Detox first. We do not provide detox. Should I add the consumers to the waiting list?

- No. If a consumer must complete Detox at another agency, then the consumer is not available to begin treatment with your agency. Once the consumer completes Detox, if you are not able to admit the consumer immediately then add the consumer to the waiting list.

Do I need to keep a copy of a waiting list after I have submitted it to the FTP site?

- It is a good idea to keep a copy of each waiting list as it was submitted for your records. If a file does not process successfully due to errors, you will be expected to correct the errors and resubmit the file. It is also a good idea to include the report date in the file name to help identify which week the file is referring. Using YYYYMMDD as the date format in the file name will help keep the files in chronological order in your records. Remember that 'Waitlist' must be the first 8 characters of the title of the file for it to be processed.

Since Non-Priority is an option in the Priority drop down list, do I have to submit information on these consumers?

- Reporting of Non-Priority consumers is voluntary; however, if non-priority consumers are submitted, the data in the waiting list are subject to pass all of the processing rules for consumer information.

Several of my Juvenile Office referrals are simply waiting to be assessed and have an appointment set up for that in the upcoming month. Do I still put them on the list and count them to be waiting for treatment?

- If your agency has immediate availability to assess the consumer but the consumer chooses to wait until a later date then that consumer should not be added to the waiting list; however, if your agency does not have immediate availability to assess the consumer then he/she should be added to the waiting list.

What do I do if a consumer qualifies for more than one priority population?

- The priority populations are ranked in the 'Instruction' sheet of the submission file. The priorities in rank order from highest to lowest are Pregnant Woman, IV Drug User, High Risk DOC Offender, TANF Referral and Juvenile Office Referral. Report the consumer as the highest ranked priority. If a consumer qualifies as a higher ranked priority during the course of their time waiting, please notify BGWaitingList@dmh.mo.gov for assistance in updating the consumer's information on the previously submitted data (indicate only the Initials and Initial Contact Date to identify the consumer in the email). If a consumer no longer qualifies as a priority or only qualifies as a lower priority during the course of waiting, continue to report the consumer with the highest priority that he/she has qualified for until the consumer has a disposition.

If a consumer takes an appointment for an assessment and is a no call/no show for that appointment, should the consumer be considered 'Lost to Contact'?

- If you are not able to contact the consumer after the no show, then 'Lost to Contact' is appropriate. If you are able to make contact and the consumer does not want to reschedule, you may dispose the consumer as 'Refused Treatment'.

Do I need to report consumers who were added to the list and disposed from the list between submissions or only ones that are waiting through the due date?

- All consumers who are placed on the priority waiting list should be reported. If a consumer is placed on the list on Thursday and disposed the following Monday, that consumer should be reported on the files submitted on Wednesday even though the consumer will not be submitted as 'yes' on currently waiting.