

Exhibit: Assessor Requirements

A. Definition

The Assessor is the screening, enrollment, assessment, and referral access point for the Access to Recovery (“ATR Ohana”) Project. The Assessor is responsible for receiving referrals from a variety of community agencies and individuals, including client self-referral, screening these individuals to ensure that they meet the eligibility criteria for ATR Ohana enrollment, conducting client enrollment in the Hawaii Web Infrastructure for Treatment Services (“WITS”) electronic voucher management system (“VMS”), performing clinical substance abuse assessments and recovery support services needs assessments, assigning level of patient placement criteria and creating the related narrative reports, securing signed consent for transfer of client information to a variety of recipients, electronically referring clients to the client’s choice of service provider in each substance abuse treatment and recovery support service area of need and transferring appropriate reports to those agencies, and assuring clients are effectively linked to their choice of services and programs.

The Assessor’s purposes are:

1. To develop and maintain positive collaborative relationships with their referral sources and community substance abuse treatment and recovery support services providers in both the ATR Ohana network and with non-ATR Ohana funded provider agencies,
2. To ensure that independent, objective assessments for substance abuse treatment and recovery support services are completed, and
3. To facilitate effective linkages between the client and the client’s choice of substance abuse treatment and recovery support services once need is identified.

B. Scope of Services

Client enrollment shall include registering the client in the WITS VMS, screening the client to ensure program eligibility, and completing the electronic intake screening using the Government Performance and Results Act instrument (“GPRA”) via face-to-face interviewing.

The substance abuse assessment shall be conducted using the Addiction Severity Index (“ASI”) for adults, or the Adolescent Drug Abuse Diagnosis instrument for adolescents, and the American Society for Addiction Medicine Patient Placement Criteria (“ASAM”) electronic assessment on WITS.

The recovery support services needs assessment shall be conducted using the Recovery Support Services Questionnaire (“RSS-Q”) for all individuals regardless of age.

Assessment occurs within a single period of no more than thirty (30) consecutive days and is conducted by face-to-face contacts made by Assessor staff with clients upon enrollment in ATR Ohana. On rare occasions, a repeated assessment may be authorized by the State of Hawaii Department of Health, Alcohol and Drug Abuse Division (“ADAD”). Assessments may be conducted in the form of office appointments, home visits, or other face-to-face contacts made in the community. All assessments conducted in the community must maintain client confidentiality in compliance with Health Insurance Portability and Accountability Act of 1996 (“HIPAA”) and 42 CFR Part 2.

For the purposes of this Memorandum of Understanding (“MOU”), assessment shall be considered a clinical substance abuse treatment service. Assessment shall mean that Assessor staff work with the client to facilitate initial entry into substance abuse treatment and recovery support services programs that may be ATR Ohana grant funded or may be non-ATR Ohana grant funded. This also includes contacting and building relationships with ATR Ohana and non-ATR Ohana substance abuse treatment and recovery support services providers and assuring that electronic referrals generated in the WITS system are complemented with other efforts, telephonic or otherwise, that ensure that clients initially engage with the substance abuse treatment and recovery support services providers selected. This service does NOT require the Assessor to provide twenty-four (24) hour services, crisis services, or on-going case management for ATR Ohana clients.

For clients who complete ATR Ohana enrollment and Intake GPRA with the Assessor, but who then refuse further ATR Ohana services, the Assessor shall additionally complete a Discharge GPRA and electronic disenrollment of that client in the WITS system.

Failure of the client to comply with the Discharge GPRA does not relieve the Assessor from completing the Discharge GPRA.

The Assessor shall inform clients that they are required to complete a follow-up GPRA screening at the six (6) month anniversary of their ATR Ohana enrollment, and compliance with the six (6) month follow-up GPRA screening shall be a condition of enrollment and receipt of ATR Ohana grant funded services. Additionally, the Assessor shall inform the client that they may earn an incentive for prompt completion of the six (6) month follow-up GPRA screening in increments of up to twenty dollars (\$20)

value, based on the promptness of their compliance, to increase the likelihood that clients will comply with the six (6) month follow-up GPRA screening requirement.

Assessors may elect to augment this incentive with additional non-cash incentives at the time of enrollment valued at twenty dollars (\$20) or less. Cash incentive to clients who are experiencing active substance use related to their disorder is prohibited. The Assessor may collaborate with local businesses, services, or other enterprises to distribute incentives to clients who select their agency over another Assessor agency, or may use other resources from their budget to purchase incentives to attract clients to select their agency for assessment and enrollment in ATR Ohana.

C. Minimum Requirements

Assessor staff shall possess and utilize a wide range of higher level interpersonal and observation skills. The Assessor shall be able to effectively work with individuals of diverse backgrounds, cultures, religious beliefs, and lifestyles. The Assessor shall have the capacity to build rapport and work with substance using clients and individuals who may have criminal histories, co-occurring health and mental health issues, a history of violence, and who may at times be less than willing to fully cooperate within structured services and systems. The Assessor shall have the ability to work with individuals who may need translation services. This may require, at times, access to and collaboration with translator resources, either in house or through an independent contract with translator services, and maintain client confidentiality in compliance with Health Insurance Portability and Accountability Act of 1996 (“HIPAA”) and 42 CFR Part 2.

Assessors shall not provide any other vouchered services (e.g. clinical substance abuse treatment or recovery support services) paid for through ATR Ohana grant funds. Assessors shall not be in a business or personal relationship likely to result in secondary financial gain with any other ATR Ohana provider agency for the ATR Ohana Project, and shall not be eligible to enter into any other MOU with the ATR Ohana Project for the duration of their MOU as an Assessor. Should an Assessor decide to provide other vouchered services within the ATR Ohana provider network, the Assessor shall be required to cancel the MOU to provide assessment services for ATR Ohana. Assessors wishing to cancel the MOU shall notify the ADAD as stipulated in the MOU. Assessors who cancel their MOU for assessment services and who then decide to provide other vouchered services within the ATR Ohana provider network shall have their client referral trends for the prior year analyzed to ensure that patterns of referral to that provider agency are not questionable and that clients were not unduly influenced in their free choice of provider agency.

Assessors shall not influence a client's free choice of other service providers. Assessors shall inform clients of all ATR Ohana service providers in the needed service areas, shall make available to clients all materials, resources, or other marketing information provided by other ATR Ohana agencies and individual service providers, as well as report program specifics on other ATR Ohana agencies in response to direct client questions. Evidence of biasing a client's free choice shall be grounds for termination of the Assessor's MOU.

The Assessor shall provide services to the largest geographic region possible within their agency's resources to maximize client access to ATR Ohana enrollment.

Assessors shall collaborate and cooperate with referral agencies. The Assessor shall collaborate with the client's choice of substance abuse treatment program(s) and with the varied recovery support services providers selected by the client following initial enrollment in ATR Ohana.

Assessors shall conduct a criminal history record check for any person who is employed or volunteers in an administrative or program position which necessitates close proximity to clients. The Assessor shall have a written plan for addressing any findings that result from the criminal history record check. A copy of the criminal history record check shall be placed in the employee's or volunteer's personnel file and shall be available for review.

The Assessor shall conduct a Child Abuse and Neglect Registry check for any person who is employed or volunteers in an administrative or program position which necessitates close proximity to clients. For staff employed at the time the MOU is signed, this shall be completed within the ninety (90) days prior to activation of the Assessor's MOU. A copy of the Child Abuse and Neglect Registry check shall be placed in the employee's or volunteer's personnel file and shall be available for review. Individuals with a positive record in the Child Abuse and Neglect Registry will not be approved for direct services with youth applying for enrollment or enrolled in ATR Ohana; with minor siblings or children of an ATR Ohana client; with other youth below the age of eighteen (18) years; or with individuals who may be experiencing developmental or cognitive delays or disabilities, or individuals with mental health issues.

1. The Assessor shall ensure that staff providing assessment meet at least one of the following quality and experience:

- a. Hawaii State Certified Substance Abuse Counselors ("CSAC"), pursuant to 321-193 (10) - Hawaii Revised Statutes; or

- b. Individuals who hold a Masters level degree in behavioral health sciences preferably, and no less than two (2) years of direct experience with substance abuse treatment clients;
2. In addition, the Assessor shall ensure that staff providing assessment meet all of the following quality and experience:
 - a. Training within the past five (5) years (60 months) in the designated screening tools, the CAGE-AID and/or CRAFFT screening instruments;
 - b. Training within the past five (5) years (60 months) in the designated assessment tools (ASI and/or Adolescent Drug Abuse Diagnosis instrument) for the age population they serve;
 - c. Training within the past five (5) years (60 months) in the designated patient placement criteria (ASAM);
 - d. Training within the past five (5) years (60 months) in the designated recovery support services needs assessment (RSS-Q); and
 - e. Training within the past three (3) years (36 months) in the GPRA Intake screening tool.
3. Assessor staff unable to provide individual proof of qualification as an Assessor under standard B.2.b. and/or standard B.2.c. shall request exception to the training requirement as listed below:
 - a. Submit a written request for exception naming the staff proposed for authorization; and
 - b. Submit at least two samples of previous assessment narrative report sections completed by that staff for the ASI and/or Adolescent Drug Abuse Diagnosis instrument, including ASAM recommendations; and
 - c. Submit the raw data responses used as the basis for conclusions proposed in the narrative report by that staff, including ASAM recommendations.

Assessor staff approved by exception as defined in section B.3. shall successfully complete the next available training for the excepted instrument. Assessor staff approved by exception who fails to enroll and successfully complete the next available training for the excepted instrument shall have the staff's individual eligibility as an Assessor suspended until proof of qualification under standard B.2.b. and/or

standard B.2.c. is delivered to ADAD. The staff suspended for failure to successfully complete the next available training will be notified in writing of their suspension status.

* For further information regarding State of Hawaii regulations and process for obtaining a license as a CSAC, related standards, application process, and forms go to:

<http://oeqc.doh.hawaii.gov/sites/har/admrules/default.aspx>

The Assessor shall provide to ADAD, upon demand, any written or supporting documentation confirming training related to the designated assessment tools, including all notes, reports, conclusions, diagnoses, and recommendations for independent review to ensure cross-assessor reliability of ATR Ohana Assessment documents, diagnoses and placement recommendations.

Assessors whose volume of units billed exceeds one hundred (100) units for any two (2) of three (3) calendar months in a fiscal quarter shall assign one (1) agency staff with the qualifications and experience to serve on the twice-yearly cross-assessor reliability committee. This duty shall not be a compensated service and shall not be required to exceed four (4) total hours of commitment for both twice-yearly cross-assessor reliability evaluations.

Independent review of a sampling of assessment documents created by ATR Ohana Assessors shall occur no less than twice yearly during the first year of the ATR Ohana Project, and shall occur as frequently as monthly if any Assessor's documents vary significantly from the consensus diagnoses and placement recommendations reached by the individual or committee responsible for evaluating cross-assessor reliability for ATR Ohana assessments. Independent review of a sample of an Assessor's documents shall be required twice yearly when the volume of units billed by that Assessor exceeds one hundred (100) units for any two (2) of three (3) calendar months in a fiscal quarter. Independent review of a sample of any Assessor's documents shall be required at least once when the volume of units billed by that Assessor exceeds one hundred (100) units total across the period of the grant. Assessors whose volume of units billed does not reach the threshold where independent review is required may volunteer for review of a sample of their assessment documents for review by the individual or committee responsible for evaluating cross-assessor reliability.

D. Voucher Management System (“VMS”) Codes

The VMS code for Assessment services is 2010, sub category (-01 and -02). Payment of vouchers shall be managed through Hawaii WITS electronic voucher management system, using the following codes:

-01 Assessment. New vouchers shall be authorized for a single period of thirty (30) consecutive days and shall expire thirty (30) days after issuance.

-02 Second Assessment. Under limited circumstances, a Second Assessment may be authorized and shall require approval by the ADAD. New vouchers in this category shall be authorized for a single period of thirty (30) consecutive days and shall expire thirty (30) days after issuance.

The voucher for -01 Assessment shall be initiated by the Assessor, and shall be capped at one (1) unit of service. Vouchers unexpended within the thirty (30) day authorization period shall be automatically released back to the ATR Ohana general fund, and shall be made available for re-assignment to other ATR Ohana clients. Delinquent billing past the closing date of the single authorized voucher shall not be authorized.

ATR Ohana grant funds paid for vouchers billed inaccurately or inappropriately shall be recouped by ATR Ohana upon discovery. Audit of the VMS and agency records related to ATR Ohana assessment services shall be on-going across all four (4) years (48 months) of the grant period, and discovery of inaccurate or inappropriate payments for any billing during that time period shall be recouped by ATR Ohana and shall be payable as an adjustment out of the next balance purported to be due to the Assessor. If no additional balance is due to the Assessor, the balance shall be payable to the “State Director of Finance” within ten (10) business days of the Assessor being notified of the discrepancy, and shall be remitted to the ATR Fiscal Coordinator within that time period to 601 Kamokila Blvd., Room 360, Kapolei, HI 96707.

E. Fee Schedule

The minimum unit of billing for -01 Assessment shall be one (1) unit, which is thirty (30) consecutive days. The maximum number of units that may be billed for -01 Assessment shall be one (1) unit. -01 Assessment shall be funded as shown below:

-01 Assessment, one (1) unit, \$180

One (1) unit shall include:

1. Client Enrollment into WITS VMS.
2. Screening using the CAGE-AID or CRAFFT screening instrument.
3. Dissemination of ATR Ohana grant information including eligibility, free-choice, and compliance requirements to selected provider agencies.
4. Intake GPRA screening.
5. Substance abuse assessment using ASI or Adolescent Drug Abuse Diagnosis instrument.
6. Determination of patient placement criteria using ASAM.
7. Recovery support services needs assessment using RSS-Q.
8. Creation of electronic consent that shall be confirmed by client signature.
9. Electronic referral to WITS user agencies, as appropriate.
10. Creation of WITS format consent when referral will be to non-WITS user provider.
11. Confirmation that the client has completed first contact with the agencies of choice.
12. When authorized by written consent, an electronic or written report by the Assessor shall be provided to the referral agency that states that the client has completed ATR Ohana enrollment, including date of completion and the names of the service provider agencies selected by the client.
13. When authorized by written consent, electronic or written results of the substance abuse treatment assessment and/or the recovery support services needs assessment shall be released by the Assessor to the authorized treatment facility, probation officer, court official, or other appropriate authority.
14. Upon completion of items 1 through 13, the creation of one (1) unit voucher authorization for -01 Assessment shall be authorized in the WITS system and claim for payment may be made in WITS against that voucher for services delivered face-to-face and during the -01 Assessment voucher activation period.
15. Discharge GPRA and disenrollment from the WITS system shall be completed for clients who refuse further ATR Ohana services at the time of enrollment and prior to engagement with any other ATR Ohana provider agency.
16. Comprehensive and timely creation of all electronic and written documentation corroborating that the above actions were completed.

The minimum unit of billing for -02 Second Assessment shall be one (1) unit, which is thirty (30) consecutive days. The maximum number of units that may be billed for -02 Second Assessment shall be one (1) unit, and

shall be directed by the ADAD. -02 Second Assessment shall be funded as shown below:

-02 Second Assessment, one (1) unit, \$180

One (1) unit shall include:

1. Re-screening using the CAGE-AID or CRAFFT screening instrument, as appropriate.
2. Repeat of ATR Ohana grant information including eligibility, free-choice, and compliance requirements.
3. Correction of Intake GPRA information if original self-report data was inauthentic or inaccurate, as appropriate.
4. Repeat of substance abuse assessment using ASI or the Adolescent Drug Abuse Diagnosis instrument, as appropriate.
5. Re-determination of patient placement criteria using ASAM.
6. Repeat of recovery support services needs assessment using RSS-Q, as appropriate.
7. Verification that electronic consents are confirmed by client signature.
8. Electronic referral to WITS user agencies, as appropriate.
9. Creation of WITS format consent when referral will be to non-WITS user provider.
10. Confirmation that the client has completed first (or next) contact with the agencies of choice.
11. When authorized by written consent, electronic or written report shall be made by the Assessor to the referral agency that includes the names of the additional service provider agencies selected by the client.
12. When authorized by written consent the results of the second substance abuse clinical assessment and/or the recovery support services needs assessment shall be released by the Assessor to the treatment facility, probation officer, court official, or other appropriate authority.
13. Upon completion of items 1 through 12, the creation of one (1) unit voucher authorization for -02 Second Assessment shall be authorized in the WITS system and claim for payment may be made in WITS against that voucher for services delivered face-to-face and during the -02 Second Assessment voucher activation period.
14. Discharge GPRA and disenrollment from the WITS system shall be completed for clients who refuse further ATR Ohana services at the time of Second Assessment and who have no active engagement with any other ATR Ohana provider agency.

15. Comprehensive and timely creation of all electronic and written documentation corroborating that the above actions were completed.

ATR Ohana funds are intended to support, not supplant, existing funding options for the client and shall be billed only after all other options for funding a particular service have been exhausted.

F. Insurance

Individuals or agencies authorized to provide Assessment services shall maintain professional liability insurance ("malpractice insurance"). The provider shall obtain from a company authorized by law to issue such insurance in the State of Hawaii malpractice insurance in an amount of at least ONE MILLION and NO/100 DOLLARS (\$1,000,000.00) coverage for injury or harm arising out of each occurrence and TWO MILLION AND NO/100 DOLLARS (\$2,000,000.00) coverage in aggregate.

G. Amendments and Corrections

All corrections or updates required for ATR Ohana grant implementation and compliance with Substance Abuse and Mental Health Services Administration ("SAMHSA") Center for Substance Abuse Treatment ("CSAT") requirements of the Office of Grants Management and Office of National Drug Control Policy, stipulated by the Government Project Officer, or stipulated by the ATR Ohana Project shall be reported to the provider in writing, and significant changes of this nature shall be posted on the ATR Ohana website. Assessors shall check their written correspondence from the ADAD promptly, including newsletters, announcements, and electronic correspondence ("e-mail") for updates in order to comply with and incorporate required changes as soon as reasonably possible. Assessors shall check the ATR Ohana website no less than once monthly for updates in order to comply with and incorporate required changes as soon as reasonably possible. ATR Ohana provider meetings shall be used to disseminate important grant related information, adjustments, and updates, and providers shall be responsible for attendance at the meetings or shall designate an individual to attend on behalf of their agency. ATR Ohana providers shall be responsible for the content of information, adjustments, and updates delivered at the meetings. Updates of a more urgent or limited nature, or that constitute a substantial change, shall be communicated in writing to all service providers affected by the change. Failure to comply with Amendments or corrections as required for ATR Ohana grant on-going operation shall result in suspension of the Assessor's authorization to receive new referrals for ATR Ohana enrollment, and may result in termination of the provider's agreement to provide services through ATR

Ohana. Any changes shall be considered applicable and implemented as of the date they are posted on the ATR Ohana website and providers are notified in writing. Those providers who are unwilling to continue to provide ATR Ohana grant funded services under the amended or corrected conditions may terminate the agreement. The provider shall continue to provide services on existing open and issued vouchers. Once the voucher funds are expended, or the voucher expires, the provider shall no longer be considered authorized as an ATR Ohana clinical substance abuse treatment and/or recovery support service provider and the agreement shall be terminated.

ATR Ohana providers shall receive written notice in the event that their authorization to provide ATR Ohana funded clinical substance abuse treatment and/or recovery support services has been suspended or terminated prior to the September 29 expiration date of each year.

Any updates to this document shall be amended to this document, and shall include the date of the amendment. The original document shall be archived, along with any subsequent amendments and available for physical viewing at the ADAD offices at 601 Kamokila Blvd., Room 360, Kapolei, HI 96707, and shall be retained by the ADAD for one (1) year (12 months) after all ATR Ohana Grant funds have been expended. Any future versions of ATR Ohana funding shall be defined by new grant requirements, and terms of this agreement shall not necessarily be applicable to any future funding in the area of recovery support services.

H. Suspension and Termination

All Assessors shall be considered “at will” parties to this MOU and shall be suspended or terminated from receiving further client referrals should evidence of waste, fraud, or abuse emerge. Client referrals shall resume once concerns about waste, fraud, or abuse are positively resolved. Authorization to be an Assessor shall remain suspended or shall be terminated should concerns about waste, fraud, or abuse not be satisfactorily resolved. Either party to this MOU may choose to suspend or terminate this MOU with the other party with thirty (30) days of written notice, without cause.