



PROVIDER MANUAL

FOR

**COMMUNITY MENTAL HEALTH,
DEVELOPMENTAL DISABILITIES AND
ADDICTIVE DISEASES
PROVIDERS**

FOR

**THE DEPARTMENT OF
BEHAVIORAL HEALTH &
DEVELOPMENTAL DISABILITIES**

FISCAL YEAR 2011

July 2010

INTRODUCTION

The FY 2011 Provider Manual for the Department of Behavioral Health and Developmental Disabilities (DBHDD) has been designed as an addendum to your contract/agreement with DBHDD to provide you structure for supporting/serving consumers residing in the state of Georgia.

Please Note: The Department of Behavioral Health and Developmental Disabilities continues to share some management services with the Department of Human Services (formerly the Department of Human Resources). Therefore, several forms, policies, and processes contained herein may still include references to these department names, yet remain applicable.

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PART I

Eligibility, Service Definition and Requirements

**Provider Manual for
Community Mental Health,
Developmental Disabilities and
Addictive Diseases
Providers**

Fiscal Year 2011



DBHDD

**Georgia Department of Behavioral Health &
Developmental Disabilities**

July 2010

Part I

Eligibility, Service Definitions and Requirements

SECTION I

***MH and AD Consumer
Eligibility, Orientation to
Authorization Packages,
Service Definitions and
Service Guidelines***

Fiscal Year 2011



**Georgia Department of Behavioral Health &
Developmental Disabilities**

July 2010

CONSUMER ELIGIBILITY- CHILD AND ADOLESCENT CORE CUSTOMER FOR MENTAL HEALTH AND ADDICTIVE DISEASE SERVICES

A. SERVICE ACCESS

Many youth/families approach the state service delivery system looking for help. Not everyone who seeks assistance is in need of mental health or addictive disease services. In order to efficiently and expeditiously address the needs of those seeking assistance, a quick assessment of the presenting circumstances is warranted. A brief assessment should be initiated by all community-based service providers on all youth who present for services or who are referred by the Georgia Crisis and Access Line (GCAL) for an evaluation. For the purposes of this definition, a brief assessment refers to a rapid determination of a youth's need for services and whether there are sufficient indications of a mental illness and/or substance related disorder to warrant further diagnostic assessment and admission to at least Brief Stabilization services.

1. If the youth does not have sufficient indications of a mental illness and/or substance related disorder, or if the youth does not appear to meet Core Customer functional criteria for at least Brief Stabilization services, then an appropriate referral to other services or agencies is provided.
2. If the youth does appear to have a mental illness and/or substance related disorder, and does appear to meet Core Customer functional criteria, then the youth may either begin in Brief Stabilization services or have their status as a Core Customer of Ongoing Support and Recovery services determined as a part of a more comprehensive assessment process (possibly resulting in the youth moving directly into Ongoing Services).

For all services, a provider must request a Prior Authorization via a MICP form. For additional information on the use of the MICP please see MICP User Guide available at www.apsero.com.

B. CORE CUSTOMER CLASSIFICATION AND ELIGIBILITY DETERMINATION

There are four variables for consideration to determine whether a youth qualifies as a "core customer" for child and adolescent mental health and addictive disease services.

1. **Age:** A youth must be under the age of 18 years old. Youth aged 18-21 years (children still in high school, in DJJ or DFCS custody or when it is otherwise developmentally/clinically indicated) may be served to assist with transitioning to adult services.
2. **Diagnostic Evaluation:** The state DBHDD system utilizes the Diagnostic and Statistical Manual of Mental Disorders (DSM) classification system to identify, evaluate and classify a youth's type, severity, frequency, duration and recurrence of symptoms. The diagnostic evaluation must yield information that supports an emotional disturbance and/or substance related disorder primary diagnosis (or diagnostic impression) on Axis I in accordance with the latest edition of the DSM. The diagnostic evaluation must be documented adequately to support the diagnosis.
3. **Functional/Risk Assessment:** Information gathered to evaluate a child/adolescent's ability to function and cope on a day-to-day basis comprises the functional/risk assessment. Such information includes child and family resource utilization and the child's role performance, social and behavioral skills, cognitive skills, communication skills, personal strengths and adaptive skills, needs and risks as related to an emotional disturbance, substance related disorder or co-occurring disorder. The functional/risk assessment must yield information that supports a behavioral health diagnosis (or diagnostic impression) on Axis I in accordance with the DSM.
4. **Financial Eligibility:** For state funded supports, the youth must have no other means of paying for the services needed. If there are no other means to pay for the authorized services then the

youth/family will pay based on his/her ability to pay in accordance with the Department's Policy on Consumer Fee Collections and Sliding Fee Scale.

C. PRIORITY FOR SERVICES

The following youth are priority for services:

1. The first priority group for services is:
 - ☐ Youth at risk of out-of home placements;
 - ☐ Youth who are in out of home placements; and,
 - ☐ Youth currently in a state operated psychiatric facility or a community-based crisis residential service including a crisis stabilization program.
2. The second priority group for services is:
 - ☐ Youth with a history of one or more hospital admissions for psychiatric/addictive disease reasons within the past 3 years;
 - ☐ Youth with a history of one or more crisis stabilization program admissions within the past 3 years;
 - ☐ Youth with a history of enrollment on an Intensive Family Intervention team within the past 3 years;
 - ☐ Youth with court orders to receive services;
 - ☐ Youth under the correctional community supervision with mental illness or substance use disorder or dependence;
 - ☐ Youth released from secure custody (county/city jails, state YDCs/RYDCs, diversion programs, forensic inpatient units) with mental illness or substance use disorder or dependence;
 - ☐ Pregnant youth;
 - ☐ Youth who are homeless; or,
 - ☐ IV drug Users.

The timeliness for providing these services is set within the agency's contract/agreement with the DBHDD.

D. EARLY INTERVENTION AND STABILIZATION- CHILD AND ADOLESCENT MENTAL HEALTH AND ADDICTIVE DISEASES

The length of Early Intervention and Stabilization services is 90 days or less. Early Intervention and Stabilization services are subject to the service and unit allowances in the Brief Registration package delineated in the Orientation to Services portion of this section of the Provider Manual:

Early Intervention and Stabilization services **must take place within a ninety (90) day timeframe**. Youth must be registered/authorized for Early Intervention and Stabilization services (complete Registration-type Multipurpose Information Consumer Profile [MICP]) prior to service provision (excluding any initial screening by the Agency). Providers have 48 hours from initial contact to submit the MICP Registration. While those registered in Early Intervention and Stabilization services, will not need the more comprehensive prior authorization for services ("Ongoing" MICP), a service plan must still be completed to guide the provision of services in accordance with the Department's standards and the provider's accrediting entity, and the plan must be maintained in the youth's record.

For any youth registered with a MICP Registration, a Diagnostic Impression is allowed for 30 days after the initial engagement with the youth and, after 30 days, the youth must have a verified diagnosis in order to continue to meet the diagnostic criteria and continue services.

Early Intervention: Indicates interventions taking place after a problem (e.g. an emotional disturbance and/or substance related disorder) is already suspected or identified, but that occur early enough to potentially avoid escalation of the problem into a crisis situation or into a chronic/significantly disabling disorder. In order for an youth to qualify for **Child and Adolescent Mental Health and Addictive Diseases Early Intervention services**, certain diagnostic and functional criteria must be met, including the following:

1. **Diagnostic-** The child or adolescent must have a primary diagnosis or diagnostic impression on Axis I, consisting of an emotional disturbance and/or substance related disorder.
2. **Functional-** The child/adolescent's level of functioning must meet **at least one** of the following criteria:
 - a. is affected by an emotional disturbance or substance related disorder;
 - b. has shown early indications of behaviors that could be disruptive to the community and the family/support system if behaviors intensified,
 - c. has shown early indications behaviors/functional problems that could cause risk of removal from the home if problems intensified;
 - d. has shown early indications of poor school performance (poor grades, disruptive behavior, lack of motivation, suspension);
 - e. has shown early indications of delinquent behaviors that could result in legal system involvement; and/or
 - f. has shown early indications of behavioral/functional problems that could result in multiple agency involvement if problems intensified.

Stabilization: Indicates interventions taking place after a problem has been identified (e.g. an emotional disturbance and/or substance related disorder) and has either developed into a crisis situation or become disabling enough to warrant at least short-term stabilization interventions. In order for a youth to qualify for **Child and Adolescent MENTAL HEALTH AND ADDICTIVE DISEASES STABILIZATION services**, certain diagnostic and functional criteria must be met, including the following:

1. **Diagnostic-** The child or adolescent must have a primary diagnosis or diagnostic impression (allowable for 30 days only) on Axis I, consisting of an emotional disturbance and/or substance related disorder.
2. **Functional -** The child/adolescent's level of functioning must meet **at least one** of the following criteria:
 - a. is significantly affected by a serious emotional disturbance or substance related disorder;
 - b. results in behaviors that demonstrate a risk of harm to self, others, or property;
 - c. causes a risk of removal from the home;
 - d. results in school problems such as poor grades, school failure, disruptive behavior, lack of motivation, drop out, suspension or expulsion;
 - e. results in legal system involvement;
 - f. indicates the need for detoxification services; and/or
 - g. is significantly disruptive to the community or the family/support system.

E. ONGOING SUPPORT AND TREATMENT- CHILD AND ADOLESCENT MENTAL HEALTH

Ongoing Support and Treatment: Indicates interventions taking place after an emotional disturbance of a severe and longer-term nature has been identified and has become disabling enough to warrant ongoing service provision to help support the child and family in order to improve the child's level of functioning and resilience. The length of Ongoing Support and Treatment services is anticipated to be longer than 90 days (though how much longer varies by medical necessity, need/s, resiliency, and biopsychosocial factors affecting functioning). A youth may either start out in Ongoing Support and Treatment services or be transitioned into this category at any point during or following Early Intervention and Stabilization services due to changes in clinical presentation, needs, circumstances or stressors. For a youth/family to qualify for **Child and Adolescent MENTAL HEALTH ONGOING SUPPORT AND TREATMENT** services, certain diagnostic and functional criteria must be met, including the following:

1. **Diagnostic-** The child/adolescent must have a primary diagnosis of a serious emotional disturbance on Axis I, (*for example:* major depression, an anxiety disorder, or other serious emotional disturbance). ***This must be a verified diagnosis, not just a diagnostic impression.*** The disturbance must have persisted for at least one year or be likely to persist for at least one year without treatment, and must require ongoing, longer-term support and treatment services. Without such services, out of home placement or hospitalization is probable.
2. **Functional-** The child/adolescent's ability to function has been significantly affected by the serious emotional disturbance to the extent that there is impairment in ability to function at an age appropriate level and difficulty with age appropriate role performance. Functional impairment must be demonstrated by ***one of the following three indicators:***
 - a. A total score of 60 or higher on the 8 subscales of the Child and Adolescent Functional Assessment Scale (CAFAS),

--OR--
 - b. **Either** a score of 20 or higher (*moderate to severe impairment*) on the "Behavior Toward Others", the "Self-Harmful Behavior" or the "Thinking" CAFAS subscale, **or** a score of 30 (*severe impairment*) on the "Moods/Emotions" CAFAS subscale,

--OR--
 - c. The child or adolescent has been in services for an extended period of time (six months or longer) with a qualifying Axis I diagnosis, but does not currently meet the functional criteria. Without the supports/services provided, the child/adolescent would *likely* be unable to maintain his or her current level of functioning to the extent that functioning would revert back to meeting the functional criteria.

F. ONGOING SUPPORT AND RECOVERY- CHILD AND ADOLESCENT ADDICTIVE DISEASES

Ongoing Support and Recovery: Indicates interventions taking place after a substance-related disorder has been identified and has become disabling enough to warrant ongoing service provision to assist in stabilizing/supporting the child and family, and to facilitate the child's recovery. The length of service is anticipated to be longer than 90 days (though how much longer varies by medical necessity, need/s, resiliency, and biopsychosocial factors affecting functioning/recovery). A youth may either start out in Ongoing Support and Recovery services or be transitioned into this category at any point during or following Early Intervention and Stabilization services due to changes in clinical presentation, needs, circumstances or stressors. For a person to qualify for **Child and Adolescent ADDICTIVE DISEASES ONGOING SUPPORT AND RECOVERY** services, certain diagnostic and functional criteria must be met, including the following:

1. **Diagnostic-** The child/adolescent must have a primary diagnosis on Axis I of a substance related disorder (excluding substance intoxication). Substances can refer to a drug of abuse, a medication or a toxin (Caffeine and nicotine are excluded). ***This must be a verified diagnosis, not just a diagnostic impression.***
2. **Functional-** The child/adolescent's ability to function has been significantly affected by the substance related disorder to the extent that there is impairment in ability to function at an age appropriate level and difficulty with age appropriate role performance. This functional difficulty must be demonstrated by ***one of the following indicators:***
 - a. A score of 20 or higher (moderate to severe impairment) on the 'Substance Abuse' subscale of the Child and Adolescent Functional Assessment Scale (CAFAS).
 - OR--**
 - b. The child or adolescent has been in services for an extended period of time (six months or longer) with a qualifying Axis I diagnosis, but does not currently meet the functional criteria. Without the supports/services provided, the child/adolescent would *likely* be unable to maintain his or her current level of functioning to the extent that functioning would revert back to meeting the functional criteria.

G. DIAGNOSTIC CATEGORIES APPROVED FOR STATE FUNDED SERVICES

1. Child and Adolescent Mental Health:

- a. Axis I disorders classified in the most recent version of the DSM.
- b. By definition, an Adjustment Disorder must resolve within 6 months of the termination of the stressor *or* its consequences.
- c. Exclusions: The following disorders are ***excluded*** unless co-occurring with a qualifying primary Axis I emotional disturbance or substance related disorder that is the focus of treatment:
 1. Tic disorders;
 2. Mental Retardation;
 3. Learning Disorders;
 4. Motor Skills Disorders;
 5. Communication Disorders;
 6. Organic Mental Disorders;
 7. Pervasive Developmental Disorders; and,
 8. V Codes

2. Child and Adolescent Addictive Diseases:

- a. Substance Related Disorders including but not limited to substance abuse, substance dependence, and substance withdrawal as classified in the most recent version of the DSM.
- b. The severity and duration of substance related disorders are not considered in regard to the Core Customer criteria (except as they may be inherent to the definition of a disorder).
- c. Exclusions: The following disorders are ***excluded:***
 1. Caffeine-Induced Disorders;
 2. Nicotine-Related Disorders; and,
 3. Substance Intoxication- only excluded for Ongoing Services.

NOTE: The presence of co-occurring emotional disturbances, substance related disorders and/or developmental disabilities is not uncommon and typically results in a more complicated clinical presentation. Youth diagnosed with the excluded Axis I disorders listed above and/or with Axis II disorders may receive services ***ONLY*** when these disorders co-occur with a qualifying primary Axis I emotional

disturbance or substance related disorder. The qualifying Axis I emotional disturbance or substance related disorder must be the presenting problem and the primary diagnosis/focus of treatment, and the youth must meet the functional criteria listed above.

H. CONTINUED REVIEW OF ELIGIBILITY

Eligibility will be reviewed as consumers' MICP service reauthorizations become due.

CONSUMER ELIGIBILITY- ADULT CORE CUSTOMER FOR MENTAL HEALTH AND ADDICTIVE DISEASE SERVICES

A. SERVICE ACCESS

Many individuals approach the state service delivery system looking for help. Not everyone who seeks assistance is in need of mental health or addictive disease services. In order to efficiently and expeditiously address the needs of those seeking assistance, a quick assessment of the presenting circumstances is warranted. A brief assessment should be initiated by all community-based service providers on all individuals who present for services or who are referred by the Georgia Crisis and Access Line (GCAL) for an evaluation. For the purposes of this definition, a brief assessment refers to a rapid determination of an individual's need for services and whether there are sufficient indications of a mental illness and/or substance related disorder to warrant further evaluation and admission to at least Brief Stabilization services.

1. If the individual does not have sufficient indications of a mental illness and/or substance related disorder, or if the individual does not appear to meet Core Customer functional criteria for at least Brief Stabilization services, then an appropriate referral to other services or agencies is provided.
2. If the individual does appear to have a mental illness and/or substance related disorder, and does appear to meet Core Customer functional criteria, then the individual may either begin in Brief Stabilization services or have their status as a Core Customer of Ongoing Support and Recovery services determined as a part of a more comprehensive assessment process (possibly resulting in the individual moving directly into Ongoing Services).

For all services, a provider must request a Prior Authorization via a MICP form. For additional information on the use of the MICP please see MICP User Guide available at www.apsero.com.

B. CORE CUSTOMER CLASSIFICATION AND ELIGIBILITY DETERMINATION

There are four variables for consideration to determine whether an individual qualifies as a "Core Customer" for adult mental health and addictive disease services.

1. **Age:** An individual must be over the age of 18 years old. Individuals under age 18 may be served in adult services if they are emancipated minors under Georgia Law, and if adult services are otherwise clinically/developmentally indicated.
2. **Diagnostic Evaluation:** The state DBHDD system utilizes the Diagnostic and Statistical Manual of Mental Disorders (DSM) classification system to identify, evaluate and classify an individual's type, severity, frequency, duration and recurrence of symptoms. The diagnostic evaluation must yield information that supports a psychiatric disorder and/or substance related disorder primary diagnosis (or diagnostic impression) on Axis I in accordance with the latest edition of the DSM. The diagnostic evaluation must be documented adequately to support the diagnostic impression/diagnosis.
3. **Functional/Risk Assessment:** Information gathered to evaluate an individual's ability to function and cope on a day-to-day basis comprises the functional/risk assessment. Such information includes the individual's resource utilization, role performance, social and behavioral skills, cognitive skills, communication skills, independent living skills, personal strengths and adaptive skills, needs and risks as related to a psychiatric disorder, substance related disorder or co-occurring disorder. The functional/risk assessment must yield information that supports a behavioral health diagnosis (or diagnostic impression) on Axis I in accordance with the DSM.

4. **Financial Eligibility:** For state funded supports, the individual must have no other means of paying for the services needed. If there are no other means to pay for the authorized services then the consumer will pay based on his/her ability to pay in accordance with the Department's Policy on Consumer Fee Collections and Sliding Fee Scale.

C. PRIORITY FOR SERVICES

The following individuals are the priority for ongoing support services:

1. The first priority group for services is individuals currently in a state operated psychiatric facility, state funded/paid inpatient services, a crisis stabilization or crisis residential program.
2. The second priority group for services is:
 - ☐ Individuals with a history of one or more hospital admissions for psychiatric/addictive disease reasons within the past 3 years;
 - ☐ Individuals with a history of one or more crisis stabilization program admissions within the past 3 years;
 - ☐ Individuals with a history of enrollment on an Assertive Community Treatment team within the past 3 years;
 - ☐ Individuals with court orders to receive services;
 - ☐ Individuals under the correctional community supervision with mental illness or substance use disorder or dependence;
 - ☐ Individuals released from secure custody (county/city jails, state prisons, diversion programs, forensic inpatient units) with mental illness or substance use disorder or dependence;
 - ☐ Individuals aging out of out of home placements or who are transitioning from intensive C&A services, for whom adult services are clinically and developmentally appropriate.
 - ☐ Pregnant women;
 - ☐ Individuals who are homeless; or,
 - ☐ IV drug Users.

The timeliness for providing these services is set within the agency's contract/agreement with the DBHDD.

D. BRIEF STABILIZATION- ADULT MENTAL HEALTH AND ADDICTIVE DISEASES

The length of Brief Stabilization services is 90 days or less. Brief Stabilization services are subject to the service and unit allowances in the Brief Registration package delineated in the Orientation to Services portion of this section of the Provider Manual.

Brief Stabilization services must take place within a ninety (90) day timeframe. Individuals must be registered/authorized for Brief Stabilization services (complete Registration-type MICP) prior to service provision (excluding any initial screening by the Agency). Providers have 48 hours from initial contact to submit the MICP Registration. While those registered in Brief Stabilization services, will not need the more comprehensive prior authorization for services ("Ongoing" MICP), a service plan must still be completed to guide the provision of services in accordance with the Department's standards and the provider's accrediting entity, and the plan must be maintained in the consumer's record.

For any individual registered with a MICP Registration, a Diagnostic Impression is allowed for 30 days after the initial engagement with the individual and, after 30 days, the individual must have a verified diagnosis in order to continue to meet the diagnostic criteria and continue services.

Brief Stabilization indicates interventions taking place after a problem has been identified (e.g. a psychiatric disturbance/disorder and/or substance related disorder), which has either already developed into a crisis situation or has become disabling enough to warrant at least short-term, low intensity outpatient stabilization interventions. In order for an individual to qualify for Adult Mental Health and Addictive Diseases Brief Stabilization services, certain diagnostic **and** functional criteria must be met, including the following:

1. **Diagnostic-** The person must have a verified Axis I diagnosis or diagnostic impression of a mental illness and/or a substance related disorder.
2. **Functional-** Item **"a"** **AND** at least item **"b"** **OR** **"c"** must be present:
 - a. The person's level of functioning must be significantly affected by the presenting mental health and/or addictive disease issue; and one or more of the following:
 - b. The person displays behaviors that are significantly disruptive to the community, to the individual's family/support system, or to the individual's ability to maintain his or her current employment/schooling, housing or personal health/safety; **and/or**
 - c. The person displays behaviors that demonstrate a potential risk of harm to self or others.

E. ONGOING SUPPORT AND RECOVERY- ADULT MENTAL HEALTH

An individual may either begin in Ongoing Support and Recovery services or be transitioned from Brief services into Ongoing Support and Recovery services either during or following the 90 day Brief services allowable time period due to changes in clinical presentation, needs, circumstances/stressors, clinician's evolving understanding of the individual's clinical issues etc. An agency must complete and submit a MICP "New Episode" or "Ongoing" for approval for individuals for whom Ongoing Support and Recovery services are desired.

Ongoing Support and Recovery: Indicates interventions taking place after a psychiatric disorder of a severe and longer-term nature has been identified and has become disabling enough to warrant ongoing service provision to help support the individual in order to improve his or her level of functioning and recovery. The length of Ongoing Support and Recovery services varies based on individual service needs and biopsychosocial factors affecting functioning in accordance with service utilization guidelines. An individual may either start out in the Ongoing services category or be transitioned to this category at any point during or following Brief Stabilization services due to changes in clinical presentation, needs, circumstances or stressors etc. In order for an individual to qualify for Adult Mental Health Ongoing Support and Recovery Services, certain diagnostic **and** functional criteria must be met, including the following:

1. **Diagnostic-** The individual must have a verified Axis I diagnosis (**note:** not just a diagnostic impression) of a severe and persistent mental illness such as schizophrenia, major depression, bipolar disorder or other severely disabling mental disorder that requires ongoing and long-term support, treatment and recovery services. The prognosis indicates a long-term, severe disability. Without supports, hospitalization or other institutionalization (e.g. incarceration) is probable.
2. **Functional-** The individual's ability to function has been **significantly affected by the mental disorder** to the degree that there is impairment in activities of daily living with an inability to function independently in the community. This difficulty with activities of daily living and difficulty in functioning independently must be demonstrated **EITHER** by **both "a" and "b"** below, **OR by "c" alone**.
 - a. The individual's score on the Level Of Care Utilization System (LOCUS) indicates that the individual would be appropriate for a Level 1 level of care.

--AND--

- b. The individual has been in services for an extended period of time (six months or longer) with a qualifying Axis I diagnosis, and functioning does not currently meet the criteria for a LOCUS Level 2 or higher level of care. Without the supports/services provided, the individual would likely be unable to maintain his or her current level of recovery to the extent that his or her functioning would revert back to meeting the criteria for a LOCUS Level 2 or higher level of care.

--OR--

- c. The individual's score on the Level of Care Utilization System (LOCUS) indicates that the individual would be appropriate for a Level 2 or above level of care.

F. ONGOING SUPPORT AND RECOVERY- ADULT ADDICTIVE DISEASES

An individual may either begin in Ongoing Support and Recovery services or be transitioned from Brief services into Ongoing services either during or following the 90 day Brief services allowable time period due to changes in clinical presentation, needs, circumstances/stressors, clinician's evolving understanding of the individual's clinical issues etc. An agency must complete and submit a MICP "New Episode" or "Ongoing" form for approval for individuals for whom Ongoing Support and Recovery services are desired.

Ongoing Support and Recovery: Indicates interventions taking place after a substance-related disorder has been identified, and has become disabling enough to warrant ongoing service provision to help support the individual to improve his or her level of functioning and recovery. The length of Ongoing Support and Recovery services varies considering support and recovery needs and by other bio-psycho-social factors affecting functioning against criteria set forth in service utilization guidelines. In order for a person to qualify for **Adult ADDICTIVE DISEASE ONGOING SUPPORT AND RECOVERY services**, certain diagnostic and functional criteria must be met, including the following:

1. **Diagnostic-** The person has a verified Axis I diagnosis (**note:** not just a diagnostic impression) of a substance related disorder (excluding substance intoxication). Substances can refer to a drug of abuse, a medication or a toxin.
2. **Functional** - The individual's level of functioning has been significantly affected by the substance related disorder to the degree that there is a marked decrease in health and in ability to function. This decrease in health or in functioning must be demonstrated **EITHER by both "a" and "b" below, OR by "c" alone.**
 - a. The individual's score on the Level Of Care Utilization System (LOCUS) indicates that the individual would be appropriate for a Level 1 level of care.

--AND--

- b. The individual has been in services for an extended period of time (six months or longer) with a qualifying Axis I diagnosis, and functioning does not currently meet the criteria for a LOCUS Level 2 or higher level of care. Without the supports/services provided, the individual would likely be unable to maintain his or her current level of recovery to the extent that his or her functioning would revert back to meeting the criteria for a LOCUS Level 2 or higher level of care.

--OR--

- c. The individual's score on the Level Of Care Utilization System (LOCUS) indicates that the individual would be appropriate for a Level 2 or above level of care.

G. DIAGNOSTIC CATEGORIES APPROVED FOR STATE FUNDED SERVICES

1. Adult Mental Health:

- a. Schizophrenia and Other Psychotic Disorders
- b. Mood Disorders
- c. Anxiety Disorders
- d. Adjustment Disorders (By definition, an Adjustment Disorder must resolve within 6 months of the termination of the stressor or its consequences)
- e. Mental Disorders Due to a General Medical Condition Not Elsewhere Classified
- f. **Exclusions:** The following disorders are **excluded** unless co-occurring with a qualifying primary Axis I mental or substance related disorder that is the focus of treatment:
 1. Tic disorders,
 2. Mental Retardation
 3. Learning Disorders
 4. Motor Skills Disorders
 5. Communication Disorders
 6. Organic Mental Disorders
 7. Pervasive Developmental Disorders
 8. Personality Change Due to a General Medical Condition
 9. Mental Disorder NOS Due to a General Medical Condition
 10. V Codes

2. Adult Addictive Diseases

- a. Substance-Related Disorders including but not limited to substance abuse, substance dependence, and substance withdrawal.
- b. Note that severity and duration of substance related disorders are not considered in regard to the Core Customer criteria (except as they may be inherent to the definition of a disorder).
- c. Exclusions:
 1. Caffeine-Induced Disorders
 2. Nicotine-Related Disorders
 3. Substance Intoxication- only excluded for Ongoing Services.

NOTE: *The presence of co-occurring mental illnesses, substance related disorders and/or developmental disabilities is not uncommon and typically results in a more complicated clinical presentation. Individuals diagnosed with the excluded Axis I mental disorders listed above and/or with Axis II disorders may receive services **ONLY** when these disorders co-occur with a qualifying primary Axis I mental illness or substance related disorder. The qualifying Axis I mental illness or substance related disorder must be the presenting problem and the primary diagnosis/focus of treatment, and the individual must meet the functional criteria listed above.*

H. CONTINUED REVIEW OF ELIGIBILITY

Eligibility will be reviewed as individuals' MICP reauthorizations become due.

Mental Health and Addictive Disease

Orientation to Services

Overview of Service Packages

In order to make it easier for providers to request groups of services that are frequently provided concurrently, the DBHDD has created service packages which can be requested to support an individual. These packages work in a manner similar to the current Brief Registration package. When a request for a package is approved, the response includes authorization for all of the services in the package without the need for the provider to individually select each of the component services. In addition, when compared to services selected individually from the À la carte menu, packages may have different authorization periods and may authorize different quantities of units within the package to reflect the particular needs of the target group of individuals. In order to utilize a package, it is not necessary that the individual receive all of the services and/or units in the package (unless otherwise noted in a specific guideline for that service).

Orders and Treatment Plans

Orders for services and treatment plans must still indicate which specific services from the package are being requested for an individual. The treatment plan must reference the individual services and the frequency with which they will be provided. The order and treatment plan must conform to the requirements listed in the *Documentation Guidelines* in Part II, Section IV of this manual.

Adding Additional Services to Packages

If additional services are needed once a package is authorized, providers may add services by using an MICP Update request type. Providers should be aware that, if the number of days remaining on the package is greater than the length of the authorization period for the additional a' la carte service selected, the end date of the package's authorization period will be rolled back to reflect the shorter authorization period of the additional service. For example, if there are 200 days remaining on a Medication Maintenance package and Individual Counseling (180-day authorization period) is added, the end of the Medication Maintenance package will be rolled back to 180 days from the date Individual Counseling is added. If there had been 150 days remaining on the Medication Maintenance package at the time Individual Counseling was added, the length of authorization for both the Medication Maintenance package and the added Individual Counseling service would remain at 150 days. The only exception to this is the Crisis Stabilization Program service, which has an authorization period of 20 days and which will continue to "float" over any other services authorized and will not cause the authorization periods for other services to be rolled back.

The available packages are detailed below:

A. Brief Registration

The Brief Registration Package is designed to provide a comprehensive package of services that can be provided to new consumers for up to 90 days. It may be requested only through submission of a MICP Registration. This package includes the services determined to be essential to completing the initial assessments and individualized resiliency/recovery plan, crisis intervention services, and a brief period of therapy and skills training services. The following table lists the services, maximum daily unit limits, and maximum units currently available during the 90-day authorization period.

Package Code	Package Name	Service Groups Included	Service Group Name	Auth Period in Days	Max Auth Units	Max Daily Units
P0001	Brief Registration	10101	Beh Health Assmt & Serv Plan Development	90	32	24
		10102	Psychological Testing	90	5	5
		10103	Diagnostic Assessment	90	2	2
		10110	Crisis Intervention	90	20	16
		10120	Psychiatric Treatment	90	6	1
		10130	Nursing Assessment & Care	90	12	12
		10140	Medication Administration	90	6	1
		10150	Community Support	90	200	96
		10160	Individual Outpatient Services	90	8	1
		10170	Group Outpatient Services	90	480	16
		10180	Family Outpatient Services	90	32	8
		21202	Community Transition Planning	90	10	10

This package may only be requested for new consumers. It cannot be requested for existing consumers, cannot follow any existing MICP authorization, and must either be followed by a MICP Discharge or a MICP Ongoing request.

B. Medication Maintenance

This package is designed for the provider to request the units of service necessary to support an individual whose mental health or substance abuse problems are essentially stable and whose needs include ongoing medication management and relatively fewer supports. The authorization period for this package is 365 days and it may be requested by submission of a *MICP New Episode* or *MICP Ongoing* request with the **Medication Maintenance** package selected.

The following table lists the services, maximum daily unit limits, and maximum units currently available during the 365-day authorization period:

Package Code	Package Name	Service Groups Included	Service Group Name	Auth Period in Days	Max Auth Units	Max Daily Units
P0002	Medication Maintenance	10101	Beh Health Assmt & Serv Plan Development	365	6	6
		10103	Diagnostic Assessment	365	2	2
		10120	Psychiatric Treatment	365	6	1
		10130	Nursing Assessment & Care	365	8	8
		10140	Medication Administration	365	30	1
		10150	Community Support	365	48	48

C. Crisis Stabilization Program

This package is designed for use by providers that operate Crisis Stabilization Programs of 16 beds or less off the grounds of a state hospital and bill Medicaid. Programs of greater than 16 beds or those on the grounds of a state hospital may **not** bill claims to Medicaid and should submit a MICP request for the individual Crisis Stabilization Program service and submit encounters as instructed in the CSP service definition.

Providers that are eligible to bill Medicaid for services provided in a CSP may bill for the unbundled services listed in the package, up to the daily maximum for each service, and should also submit encounters for the CSP service as instructed in the service definition. Although not all services provided in a CSP are individually billable, the program expectations for services to be provided within CSPs have not changed. Providers of C&A CSP services may not bill **unbundled** service encounters through the C&A fee-for-service system for services provided within any Crisis Stabilization Program due to the fact that this is a state-contracted service. Only CSP service encounters may be submitted for non-Medicaid eligible children in CSPs.

The following table lists the services, maximum daily unit limits, and maximum units currently available during the 20-day authorization period:

Package Code	Package Name	Service Groups Included	Service Group Name	Auth Period in Days	Max Auth Units	Max Daily Units
P0003	Crisis Stabilization Program	20101	Crisis Stabilization Program	20	20	1
		10101	Beh Health Assmt & Serv Plan Development	20	32	24
		10103	Diagnostic Assessment	20	2	2
		10110	Crisis Intervention	20	32	8
		10120	Psychiatric Treatment	20	20	1
		10130	Nursing Assessment & Care	20	80	5
		10140	Medication Administration	20	20	1
		10170	Group Outpatient Services	20	80	4

D. MH Intensive Outpatient (C&A)

This Intensive Outpatient package was designed to support agencies that provide services at an intensity that would be consistent with a C&A Mental Health day treatment model. Since the DBHDD was required by CMS to discontinue reimbursement for bundled day treatment services, providers have had to bill for the individual services provided within their programs.

The C&A package differs from the Adult package only in that it includes the state-funded Structured Activity Supports service. The following table lists the services, maximum daily unit limits, and maximum units currently available during the 180-day authorization period:

Service Group Code	Package Name	Service Groups Included	Service Name	Auth Period in Days	Max Auth Units	Max Daily Units
P0004	MH Intensive Outpatient (C&A)	10101	Beh Health Assmt & Serv Plan Development	180	32	24
		10102	Psychological Testing	180	10	5
		10103	Diagnostic Assessment	180	4	2
		10110	Crisis Intervention	180	24	16
		10120	Psychiatric Treatment	180	24	1
		10130	Nursing Assessment & Care	180	24	16
		10140	Medication Administration	180	40	1
		10150	Community Support	180	600	96
		10160	Individual Outpatient Services	180	36	1
		10170	Group Outpatient Services	180	1170	16
		10180	Family Outpatient Services	180	100	8
		20902	Structured Activity Supports	180	320	8

E. MH Intensive Outpatient (Adult)

The Intensive Outpatient package was designed to support agencies that provide services at an intensity that would be consistent with a day treatment model. Since the DBHDD was required by CMS to discontinue reimbursement for bundled day treatment services, providers have had to bill for the individual services provided within their programs.

The following table lists the services, maximum daily unit limits, and maximum units currently available during the 180-day authorization period:

Service Group Code	Package Name	Service Groups Included	Service Name	Auth Period in Days	Max Auth Units	Max Daily Units
P0005	MH Intensive Outpatient (Adults)	10101	Beh Health Assmt & Serv Plan Development	180	32	24
		10102	Psychological Testing	180	10	5
		10103	Diagnostic Assessment	180	4	2
		10110	Crisis Intervention	180	24	16
		10120	Psychiatric Treatment	180	24	1
		10130	Nursing Assessment & Care	180	24	16
		10140	Medication Administration	180	40	1
		10150	Community Support	180	600	96
		10160	Individual Outpatient Services	180	36	1
		10170	Group Outpatient Services	180	1170	16
		10180	Family Outpatient Services	180	100	8

F. SA Intensive Outpatient (Adolescent)

This Intensive Outpatient package was designed to support agencies that provide services at an intensity that would be consistent with a SA Adolescent day treatment model. Since the DBHDD was required by CMS to discontinue reimbursement for bundled day treatment services, providers have had to bill for the individual services provided within their programs.

The SA Adolescent package differs from the Adult package only in that it includes the state-funded Structured Activity Supports service. The following table lists the services, maximum daily unit limits, and maximum units currently available during the 180-day authorization period:

Service Group Code	Package Name	Service Groups Included	Service Name	Auth Period in Days	Max Auth Units	Max Daily Units
P0006	SA Intensive Outpatient (Adolescent)	10101	Beh Health Assmt & Serv Plan Development	180	32	24
		10103	Diagnostic Assessment	180	4	2
		10120	Psychiatric Treatment	180	12	1
		10130	Nursing Assessment & Care	180	48	16
		10150	Community Support	180	600	96
		10160	Individual Outpatient Services	180	36	1
		10170	Group Outpatient Services	180	1170	20
		10180	Family Outpatient Services	180	100	8
		20902	Structured Activity Supports	180	320	8

G. SA Intensive Outpatient (Adult)

The SA Intensive Outpatient package is designed to support agencies that provide services at an intensity that would be consistent with a day treatment model. Since the DBHDD was required by CMS to discontinue reimbursement for bundled day treatment services, providers have had to bill for the individual services provided within their programs.

The following table lists the services, maximum daily unit limits, and maximum units currently available during the 180-day authorization period:

Service Group Code	Package Name	Service Groups Included	Service Name	Auth Period in Days	Max Auth Units	Max Daily Units
P0007	SA Intensive Outpatient (Adults)	10101	Beh Health Assmt & Serv Plan Development	180	32	24
		10103	Diagnostic Assessment	180	4	2
		10120	Psychiatric Treatment	180	12	1
		10130	Nursing Assessment & Care	180	48	16
		10150	Community Support	180	600	96
		10160	Individual Outpatient Services	180	36	1
		10170	Group Outpatient Services	180	1170	20
		10180	Family Outpatient Services	180	100	8

H. Ready For Work (RFW) Services and Supports (Adult)

The Ready for Work packages are designed to allow RFW agencies to select a group of services specified in their contracts to support a very specific population (See Part I, Section V). The package format allows the DBHDD to track and monitor services for this specific set of services in an unbundled environment.

Service Group Code	Package Name	Service Groups Included	Service Name	Auth Period in Days	Max Auth Units	Max Daily Units	Medicaid/ State
P0008	RFW Intensive Outpatient	10101	Beh Health Assmt & Serv Plan Development	180	32	24	Both
		10103	Diagnostic Assessment	180	4	2	Both
		10120	Psychiatric Treatment	180	12	1	Both
		10130	Nursing Assessment & Care	180	48	16	Both
		10150	Community Support	180	600	48	Both
		10160	Individual Outpatient Services	180	36	1	Both
		10170	Group Outpatient Services	180	1170	20	Both
		10180	Family Outpatient Services	180	100	8	Both

Service Group Code	Package Name	Service Groups Included	Service Name	Auth Period in Days	Max Auth Units	Max Daily Units	Medicaid/ State
P0009	RFW Intensive Residential	20510	Structured Residential- RFW/TANF	180	180	1	State ¹
		10101	Beh Health Assmt & Serv Plan Development	180	32	24	Both
		10103	Diagnostic Assessment	180	4	2	Both
		10120	Psychiatric Treatment	180	24	1	Both
		10130	Nursing Assessment & Care	180	48	16	Both
		10140	Medication Administration	180	40	1	Both

¹ These services cannot be billed to Medicaid and should be billed as State Contracted Services or Fee for Service

Overview of Modifiers:

Certain services in the Service Guidelines contain specific modifiers. The following is a list of the modifiers included herein and their specific description:

MODIFIER DESCRIPTIONS

GT = Via Interactive audio and video telecommunication systems

HA = Child/Adolescent Program

HQ = Group Setting

HR = Family/Couple with client present

HS = Family/Couple without client present

HT = Multidisciplinary team

U1 = Practitioner Level 1

U2 = Practitioner Level 2
U3 = Practitioner Level 3
U4 = Practitioner Level 4
U5 = Practitioner Level 5
U6 = In-Clinic
U7 = Out-of-Clinic
UK = Collateral Contact

The following modifiers are State created and used on state services only:

H9 = Court-ordered
R1 = Residential Level 1 (State Code)
R2 = Residential Level 2 (State Code)
R3 = Residential Level 3 (State Code)
TB = Transitional Bed (State Code)
U2 = Crisis Stabilization Program High Intensity (State Code)
ZH = From State Hospital (State Code)
ZC = From Crisis Stabilization Program (State Code)
ZP = From PRTF - Psychiatric Residential Treatment Facility (State Code)
ZJ = From Jail / YDC / RYDC (State Code)
ZO = From Other Institutional Setting (State Code)

Mental Health and Addictive Disease

*Children and Adolescents'
CORE Benefit Package*

Behavioral Health Assessment							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Mental Health Assessment by a non-Physician	Practitioner Level 2, In-Clinic	H0031	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	H0031	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	H0031	U4	U6			\$20.30
	Practitioner Level 5, In-Clinic	H0031	U5	U6			\$15.13
	Practitioner Level 2, Out-of-Clinic	H0031	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	H0031	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	H0031	U4	U7			\$24.36
	Practitioner Level 5, Out-of-Clinic	H0031	U5	U7			\$18.15

Definition of Service: The Behavioral Health Assessment process consists of a face-to-face comprehensive clinical assessment with the individual, which must include the youth's perspective, and should include family/responsible caregiver(s) and others significant in the youth's life as well as collateral agencies/treatment providers.

The purpose of the Behavioral Health Assessment process is to gather all information needed in to determine the youth's problems, symptoms, strengths, needs, abilities and preferences, to develop a social (extent of natural supports and community integration) and medical history, to determine functional level and degree of ability versus disability, and to develop or review collateral assessment information. An age-sensitive suicide risk assessment shall also be completed. The information gathered should support the determination of a differential diagnosis and assist in screening for/ruling-out potential co-occurring disorders.

As indicated, information from medical, nursing, school, nutritional, etc. staff should serve as the basis for the comprehensive assessment and the resulting IRP.

The entire process should involve the child/youth as a full partner and should include assessment of strengths and resources as identified by the youth and his/her family.

Target Population	Children & Adolescents with a known or suspected mental health diagnosis and/or Substance-Related Disorder
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Benefit Information	Available to all known or suspected Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	32 units (Combined with H0032 – Service Plan Development)
Re-Authorization*	32 units (Combined with H0032 – Service Plan Development)
Maximum Daily Units*	24 units (Combined with H0032 – Service Plan Development)
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 231 – C&A Mental Health 831 – C&A Addictive Diseases
Admission Criteria	1. A known or suspected mental illness or substance-related disorder; and 2. Initial screening/intake information indicates a need for further assessment; and 3. At least a preliminary indication that youth meets Core Customer eligibility.
Continuing Stay Criteria	The youth's situation/functioning has changed in such a way that previous assessments are outdated.
Discharge Criteria	1. An adequate continuing care plan has been established; and one or more of the following: 2. Individual has withdrawn or been discharged from service; or 3. Individual no longer demonstrates need for additional assessment.
Service Exclusions	None
Clinical Exclusions	None

**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
2. As indicated, medical, nursing, peer, school, nutritional, etc. staff can provide information from records, and various multi-disciplinary resources to complete the comprehensive nature of the assessment and time spent gathering this information may be billed as long as the detailed documentation justifies the time and need for capturing said information.
3. An initial Behavioral Health Assessment is required within the first 30 days of service, with ongoing assessments completed as demanded by changes with an individual.
4. "Out-of-Clinic" may only be billed when:

- Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.
- If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following practitioners may provide Behavioral Health Assessment services:

- Practitioner Level 2: Psychologist, APRN, PA
- Practitioner Level 3: LCSW, LPC, LMFT, RN
- Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology (addictions counselors may only perform these functions related to treatment of addictive diseases).
- Practitioner Level 5: Certified Addiction Counselor-I, Registered Alcohol and Drug Technician (I, II, or III), Addiction Counselor Trainee with high school diploma/equivalent (practitioners at this level may only perform these functions related to treatment of addictive diseases).

C. Clinical Operations

1. The individual consumer (and caregiver/responsible family members, etc., as appropriate) should actively participate in the assessment processes.

D. Service Access

1. Children/Families access this service when it has been determined through an initial screening that the youth has mental health or addictive disease concerns.
2. Behavioral Health Assessment may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system. This service may not be provided or billed via this code for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility.

E. Additional Medicaid Requirements

1. The daily maximum within a CSP for combined Behavioral Health Assessment and Service Plan Development is 24 units/day.

F. Reporting & Billing Requirements

1. All other applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual
2. In addition to the authorization produced through this service, documentation of clinical assessment findings from this service must also be completed and placed in the individual's chart as a Comprehensive Assessment.

Community Support							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Community Support	Practitioner Level 4, In-Clinic	H2015	U4	U6			\$20.30
	Practitioner Level 5, In-Clinic	H2015	U5	U6			\$15.13
	Practitioner Level 4, Out-of-Clinic	H2015	U4	U7			\$24.36
	Practitioner Level 5, Out-of-Clinic	H2015	U5	U7			\$18.15
	Practitioner Level 4, In-Clinic, Collateral Contact	H2015	UK	U4	U6		\$20.30
	Practitioner Level 5, In-Clinic, Collateral Contact	H2015	UK	U5	U6		\$15.13
	Practitioner Level 4, Out-of-Clinic, Collateral Contact	H2015	UK	U4	U7		\$24.36
	Practitioner Level 5, Out-of-Clinic, Collateral Contact	H2015	UK	U5	U7		\$18.15

Definition of Service: Community Support services consist of rehabilitative, environmental support and resources coordination considered essential to assist a youth and family in gaining access to necessary services and in creating environments that promote resiliency and support the emotional and functional growth and development of the youth. The service activities of Community Support include:

- Assistance to the youth and family/responsible caregivers in the facilitation and coordination of the Individual Resiliency Plan (IRP) including providing skills support in the youth/family's self-articulation of personal goals and objectives;
- Planning in a proactive manner to assist the youth and family in managing or preventing crisis situations;
- Individualized interventions, which shall have as objectives:
 - 1) Identification, with the youth, of strengths which may aid him/her in achieving resilience, as well as barriers that impede the development of skills necessary for age-appropriate functioning in school, with peers, and with family;
 - 2) Support to facilitate enhanced natural and age-appropriate supports (including support/assistance with defining what wellness means to the youth in order to assist them with resiliency-based goal setting and attainment);
 - 3) Assistance in the development of interpersonal, community coping and functional skills (including adaptation to home, school and healthy social environments);
 - 4) Encouraging the development and eventual succession of natural supports in living, learning, working, other social environments;
 - 5) Assistance in the acquisition of skills for the youth to self-recognize emotional triggers and to self-manage behaviors related to the youth's identified emotional disturbance;
 - 6) Assistance with personal development, school performance, work performance, and functioning in social and family environment through teaching skills/strategies to ameliorate the effect of behavioral health symptoms;
 - 7) Assistance in enhancing social and coping skills that ameliorate life stresses resulting from the youth's emotional disturbance;

- 8) Service and resource coordination to assist the youth and family in gaining access to necessary rehabilitative, medical, social and other services and supports;
- 9) Assistance to youth and other supporting natural resources with illness understanding and self-management;
- 10) Any necessary monitoring and follow-up to determine if the services accessed have adequately met the youth's needs;
- 11) Identification, with the youth/family, of risk indicators related to substance related disorder relapse, and strategies to prevent relapse.

This service is provided to youth in order to promote stability and build towards age-appropriate functioning in their daily environment. Stability is measured by a decreased number of hospitalizations, by decreased frequency and duration of crisis episodes and by increased and/or stable participation in school and community activities. Supports based on the youth's needs are used to promote resiliency while understanding the effects of the emotional disturbance and/or substance use/abuse and to promote functioning at an age-appropriate level. The Community Support staff will serve as the primary coordinator of behavioral health services and will provide linkage to community; general entitlements; and psychiatric, substance use/abuse, medical services, crisis prevention and intervention services.

Target Population	Children and Adolescents with one of the following: Mental Health Diagnosis Substance-Related Disorder Co-Occurring Substance-Related Disorder and Mental Health Diagnosis Co-Occurring Mental Health Diagnosis and Mental Retardation/Developmental Disabilities Co-Occurring Substance-Related Disorder and Mental Retardation/Developmental Disabilities
Benefit Information	Available to Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	600 units
Re-Authorization*	600 units
Maximum Daily Units*	48 units
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 226 – C&A Mental Health 826 – C&A Addictive Diseases

Admission Criteria	<ol style="list-style-type: none"> 1. Individual must meet target population criteria as indicated above; and one or more of the following: 2. Individual may need assistance with developing, maintaining, or enhancing social supports or other community coping skills; or 3. Individual may need assistance with daily living skills including coordination to gain access to necessary rehabilitative and medical services
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Individual continues to meet admission criteria; and 2. Individual demonstrates documented progress or maintenance of community skills relative to goals identified in the Individualized Resiliency Plan.
Discharge Criteria	<ol style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of Individualized Resiliency Plan have been substantially met; or 3. Individual/family requests discharge and the individual is not imminently in danger of harm to self or others; or 4. Transfer to another service is warranted by change in the individual's condition.
Service Exclusions	<ol style="list-style-type: none"> 1. Intensive Family Intervention and CSI may be provided concurrently during transition between these services for support and continuity of care for a maximum of four units of CSI per month. If services are provided concurrently, CSI should not be duplication of IFI services. This service must be adequately justified in the Individualized Resiliency Plan. 2. Assistance to the youth and family/responsible caregivers in the facilitation and coordination of the Individual Resiliency Plan (IRP) including providing skills support in the youth/family's self-articulation of personal goals and objectives can be billed as CSI; however, the actual plan development must be billed and provided in accordance with the service guideline for Service Plan Development. 3. The billable activities of Community Support do not include: <ul style="list-style-type: none"> • Transportation • Observation/Monitoring • Tutoring/Homework Completion • Diversionary Activities (i.e. activities/time during which a therapeutic intervention tied to a goal on the individual's treatment plan is not occurring)
Clinical Exclusions	<ol style="list-style-type: none"> 1. There is a significant lack of community coping skills such that a more intensive service is needed. 2. Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: <ul style="list-style-type: none"> • mental retardation • autism • organic mental disorder, or • traumatic brain injury

**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. Community Support services must include a variety of interventions in order to assist the consumer in developing:
 - Symptom self-monitoring and self-management of symptoms
 - Strategies and supportive interventions for avoiding out-of-home placement for youth and building stronger family support skills and knowledge of the youth or youth's strengths and limitations
 - Relapse prevention strategies and plans
2. Community Support services focus on building and maintaining a therapeutic relationship with the youth and facilitating treatment and resiliency goals.
3. The organization must have policies and procedures for protecting the safety of staff that engage in these community-based service delivery activities.
4. Contact must be made with youth receiving Community Support services a minimum of twice each month. At least one of these contacts must be face-to-face and the second may be either face-to-face or telephone contact (denoted by the UK modifier) depending on the youth's support needs and documented preferences of the family.
5. At least 50% of CSI service units must be delivered face-to-face with the identified youth receiving the service and at least 80% of all face-to-face service units must be delivered in non-clinic settings over the authorization period (these units are specific to single individual consumer records and are not aggregate across an agency/program or multiple payors).
6. In the absence of the required monthly face-to-face contact **and** if at least two unsuccessful attempts to make face-to-face contact have been tried and documented, the provider may bill for a maximum of two telephone contacts in that specified month(denoted by the UK modifier).
7. Unsuccessful attempts to make contact with the consumer are not billable.
8. When this service is provided to youth and their families, the child/adolescent consumer of service must clearly remain the target of service.
9. Any diagnosis given to a youth must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
10. When the primary focus of Community Support services for youth is medication maintenance, the following allowances apply:
 - a. These youth are not counted in the offsite service requirement or the consumer-to-staff ratio; and
 - b. These youth are not counted in the monthly face-to-face contact requirement; however, face-to-face contact is required every 3 months and monthly calls are an allowed billable service.
11. CSI is an individual intervention and may **not** be provided or billed for more than one consumer during the same time period.
12. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or

- Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
- Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day. If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following practitioners may provide Community Support services:
 - Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 4 rate)
 - Practitioner Level 2: Psychologist, APRN, PA (reimbursed at Level 4 rate)
 - Practitioner Level 3: LCSW, LPC, LMFT, RN (reimbursed at Level 4 rate)
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); PP, CPRP, CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology
2. Under the documented supervision (organizational charts, supervisory notation, etc.) of one of the licensed/credentialed professionals above, the following staff may also provide Community Support:
 - Certified Peer Specialists
 - Paraprofessional staff
 - Certified Psychiatric Rehabilitation Professional
 - Certified Addiction Counselor-I
 - Registered Alcohol and Drug Technician (I,II, or III)
 - Addiction Counselor Trainee
3. Community Support practitioners may have the recommended consumer-to-staff ratio of 30 consumers per staff member and must maintain a maximum ratio of 50 consumers per staff member. Youth who receive only medication maintenance are not counted in the staff ratio calculation.

C. Clinical Operations

1. Community Support services provided to youth must include coordination with family and significant others and with other systems of care such as the school system, juvenile justice system, and child welfare and child protective services when appropriate to treatment and educational needs. This coordination is an essential component of Community Support and can be billed for up to 70 percent of the contacts when directly related to the support and enhancement of the youth's resilience. When this type of intervention is delivered, it shall be designated with a UK modifier.

2. Community Support providers must have the ability to deliver services in various environments, such as homes, schools, homeless shelters, or street locations. The provider should keep in mind that families may prefer to meet staff at a community location other than their homes or other conspicuous locations (e.g. their school), especially if staff drive a vehicle that is clearly marked as a state or agency vehicle, or if staff must identify themselves and their purpose to gain access to the youth in a way that may potentially embarrass the individual or breach the youth's privacy/confidentiality. Staff should be sensitive to and respectful of youth and family privacy/confidentiality rights and preferences in this regard to the greatest extent possible (e.g. if staff must meet with a youth during their school time, choosing inconspicuous times and locations to promote privacy).
3. If services are performed in school setting during school hours:
 - a. Documentation must indicate that intervention is most effective when provided during school hours.
 - b. IRP should indicate how the intervention has been coordinated among family system, school, and provider.
4. The organization must have policies that govern the provision of services in natural settings and can document that it respects youth and/or families' right to privacy and confidentiality when services are provided in these settings.
5. The organization must have established procedures/protocols for handling emergency and crisis situations that describe methods for supporting youth as they transition to and from psychiatric hospitalization.
6. Each provider must have policies and procedures for the provision of individual-specific outreach services, including means by which these services and youth are targeted for such efforts.
7. The organization must have a Community Support Organizational Plan that addresses the following:
 - a. Description of the particular rehabilitation, resiliency and natural support development models utilized, types of intervention practiced, and typical daily schedule for staff
 - b. Description of the staffing pattern and how staff are deployed to assure that the required staff-to-consumer ratios are maintained, including how unplanned staff absences, illnesses, or emergencies are accommodated, how case mix is managed, access, etc.
 - c. Description of the hours of operations as related to access and availability to the youth served; and
 - d. Description of how the plan for services is modified or adjusted to meet the needs specified in every Individualized Resiliency Plan
8. Utilization (frequency and intensity) of CSI should be directly related to the CAFAS and to the other functional elements of the youth's assessment. In addition, when clinical/functional needs are great, there should be complementary therapeutic services by licensed/credential professionals paired with the provision of CSI (individual, group, family, etc.).

D. Service Accessibility

1. Agencies that provide Community Support services must regularly provide individuals served with Georgia Crisis & Access Line contact information (1-800-715-4225 and 1-800-255-0056 for TTY, and 1-800-255-0135 -Voice) for appropriate crisis intervention services.
2. Specific to the "Medication Maintenance Track," consumers who require more than 4 contacts per quarter for two consecutive quarters (as based upon clinical need) are expected to be re-

- evaluated with the CAFAS for enhanced access to CSI and/or other services. The designation of the CSI "medication maintenance track" should be lifted and exceptions stated above in A.10. are no longer applied.
3. Community Support may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.
 4. This service may not be provided and billed for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility

E. Additional Medicaid Requirements

Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Reporting & Billing Requirements

1. When a billable collateral contact is provided, the H2015UK reporting mechanism shall be utilized. A collateral contact is classified as any contact that is not face-to-face with the individual.
2. All other applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Community Transition Planning							
Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Community Transition Planning	Community Transition Planning (State Hospital)	T2038	ZH				\$20.92
	Community Transition Planning (Crisis Stabilization Program)	T2038	ZC				\$20.92
	Community Transition Planning (PRTF)	T2038	ZP				\$20.92
	Community Transition Planning (Jail / Youth Detention Center)	T2038	ZJ				\$20.92
	Community Transition Planning(Other)	T2038	ZO				\$20.92

Definition of Service: Community Transition Planning is a service provided by Core and IFI providers to address the care, service, and support needs of children and adolescents with serious emotional disturbance and/or co-occurring disorders to ensure a coordinated plan of transition from a qualifying facility to the community. Each episode of Community Transition Planning must include contact with the consumer, family, or caregiver with a minimum of one (1) face-to-face contact with the consumer prior to release from a facility. Additional Transition Planning activities include: educating the consumer, family, and/or caregiver on service options offered by the chosen primary service agency; participating in facility treatment team meetings to develop a transition plan.

In partnership between other community service providers and the hospital/facility staff, the community service agency maintains responsibility for carrying out transitional activities either by the consumer's chosen primary service coordinator or by the service coordinator's designated Community Transition Liaison. Community Transition Planning may also be used for Community Support staff, ACT team members and Certified Peer Specialists who work with the consumer in the community or will work with the consumer in the future to maintain or establish contact with the consumer.

Community Transition Planning consists of the following interventions to ensure the youth, family, and/or caregiver transitions successfully from the facility to their local community:

- Establishing a connection or reconnection with the youth/parent/caregiver through supportive contacts while in the qualifying facility. By engaging with the youth, this helps to develop and strengthen a relationship. Educate the youth/parent/caregiver about local community resources and service options available to meet their needs upon transition into the community. This allows the youth/parent/caregiver to make self-directed, educated choices on those service options that they feel will best meet their needs.
- Participating in qualifying facility team meetings especially in person centered planning for those in an out-of-home treatment facility for longer than 60 days, to share hospital and community information related to estimated length of stay, present problems related to admission, discharge/release criteria, progress toward treatment goals, personal strengths, available supports and assets, medical condition, medication issues, and community treatment needs
- Linking the youth with community services including visits between the youth and the Community Support staff, or IFI team members who will be working with the youth/parent/caregiver in the community which improves the likelihood of the youth accepting services and working toward change

Target Population	Children and Adolescents with one of the following: Mental Health Diagnosis Substance Related Disorder Co-Occurring Substance-Related and Mental Health Diagnosis
Benefit Information	Available to Core Customers in need of Brief Stabilization or Ongoing Services. Requires a MICP Registration or MICP New Episode...
Utilization Criteria	Available to those currently in qualifying facilities who meet Core Customer Eligibility Definition
Unit Value	15 minutes
Reimbursement Rate	\$20.92 /unit
Initial Authorization	10 units
Re-Authorization	10 units
Authorization Period	90 days (Registration) 180 days (New Episode)
UAS: Budget and Expense Categories	262 – C&A Mental Health 862 – C&A Addictive Diseases (This is a FFS service and thus providers will not submit MIERS)
Admission Criteria	Individual who meet Core Customer Eligibility while in one of the following qualifying facilities: <ol style="list-style-type: none"> 1. State Operated Hospital 2. Crisis Stabilization Program (CSP) 3. Psychiatric Residential Treatment Facility (PRTF) 4. Jail/Youth Development Center (YDC) 5. Other (ex: Community Psychiatric Hospital) <p>Note: Modifier on Procedure Code indicates setting in which the consumer is transitioning from.</p>
Continuing Stay Criteria	Same as above.
Discharge Criteria	<ol style="list-style-type: none"> 1. Individual/family requests discharge; or 2. Individual no longer meets Core Customer Eligibility; or 3. Individual is discharged from a qualifying facility.
Service Exclusions	None
Clinical Exclusions	Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a co-occurring Behavioral Health condition: <ol style="list-style-type: none"> a. Developmental Disability without a co-occurring mental illness or addictive disease diagnosis b. Autism c. Organic Mental Disorder d. Traumatic Brain Injury

Additional Service Criteria:

A. Required Components

Prior to Release from a Qualifying Facility:

When the youth has had (a) a length of stay of 60 days or longer in a facility or (b) youth is readmitted to a facility within 30 days of discharge, a community transition plan in partnership with the facility is required. Evidence of planning shall be recorded and a copy of the Plan shall be included in both the youth's hospital and community record.

B. Staffing Requirements

1. A Master's/Bachelor's degree in behavioral or social science that is primarily psychological in nature under the supervision of a licensed practitioner; or
2. A Georgia Certified Peer Specialist or trained Paraprofessional under the supervision of a licensed practitioner; or
3. An LPN practicing under supervision in accordance with the Georgia Practice Acts.

C. Clinical Operations

Community Transition Planning activities shall include:

1. Telephone and Face-to-face contacts with youth/family/caregiver;
2. Participating in youth's clinical staffing(s) prior to their discharge from the facility;
3. Applications for youth resources and services prior to discharge from the facility including
 - a. Healthcare
 - b. Entitlements for which they are eligible
 - c. Education
 - d. Consumer Support Services
 - e. Applicable waivers, i.e., PRTF, and/or MRDD

D. Service Access

1. This service must be available 7 days a week (if the qualifying facility discharges or releases 7 days a week).

E. Reporting & Billing Requirements

1. There must be a minimum of one face-to-face with the youth prior to release from hospital or qualifying facility in order to bill for any telephone contacts.
2. Complete the Multipurpose Information Consumer Profile (MICP) information.
3. Providers must document services in accordance with the specifications for documentation requirements specified in PART II, Section V of the Provider Manual.

F. Documentation Requirements

1. A documented Community Transition Plan for:
 - a. Individuals with a length of stay greater than 60 days; or
 - b. Individuals readmitted within 30 days of discharge.
2. Documentation of all face-to-face and telephone contacts and a description of progress with Community Transition Plan implementation and outcomes.

Crisis Intervention							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Crisis Intervention	Practitioner Level 1, In-Clinic	H2011	U1	U6			\$58.21
	Practitioner Level 2, In-Clinic	H2011	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	H2011	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	H2011	U4	U6			\$20.30
	Practitioner Level 1, Out-of-Clinic	H2011	U1	U7			\$74.09
	Practitioner Level 2, Out-of-Clinic	H2011	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	H2011	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	H2011	U4	U7			\$24.36

Definition of Service: Services directed toward the support of a child who is experiencing an abrupt and substantial change in behavior which is usually associated with a precipitating situation and which is in the direction of severe impairment of functioning or a marked increase in personal distress. Crisis Intervention is designed to prevent out of home placement or hospitalization. Often, a crisis exists at such time as a child and/or his or her family/responsible caregiver(s) decide to seek help and/or the individual, family/responsible caregiver(s), or practitioner identifies the situation as a crisis. Crisis services are time-limited and present-focused in order to address the immediate crisis and develop appropriate links to alternate services. Services may involve the youth and his/her family/responsible caregiver(s) and/or significant other, as well as other service providers.

The current family-owned safety plan, if existing, should be utilized to help manage the crisis. Interventions provided should honor and be respectful of the child and family's wishes/choices by following the plan as closely as possible in line with appropriate clinical judgment. Plans/advanced directives developed during the Assessment/IRP process should be reviewed and updated (or developed if the individual is a new consumer) as part of this service to help prevent or manage future crisis situations.

Some examples of interventions that may be used to de-escalate a crisis situation could include: a situational assessment; active listening and empathic responses to help relieve emotional distress; effective verbal and behavioral responses to warning signs of crisis related behavior; assistance to, and involvement/participation of the individual (to the extent he or she is capable) in active problem solving planning and interventions; facilitation of access to a myriad of crisis stabilization and other services deemed necessary to effectively manage the crisis; mobilization of natural support systems; and other crisis interventions as appropriate to the individual and issues to be addressed.

Target Population	Children/Adolescents with known or suspected Mental Health issues and/or Substance Related Disorders Children/Adolescents experiencing a severe situational crisis
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Benefit Information	Available to all known or suspected Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	48 units
Re-Authorization*	48 units
Maximum Daily Units*	16 units
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 221 – C&A Mental Health 821 – C&A Addictive Diseases
Admission Criteria	1. Treatment at a lower intensity has been attempted or given serious consideration; and #2 and/or #3 are met: 2. Youth has a known or suspected mental health diagnosis or substance related disorder; or 3. Youth is at risk of harm to self, others and/or property. Risk may range from mild to imminent; and one or both of the following: a. Youth has insufficient or severely limited resources or skills necessary to cope with the immediate crisis; or b. Youth demonstrates lack of judgment and/or impulse control and/or cognitive/perceptual abilities.
Continuing Stay Criteria	This service may be utilized at various points in the child's course of treatment and recovery, however, each intervention is intended to be a discrete time-limited service that stabilizes the individual and moves him/her to the appropriate level of care.
Discharge Criteria	1. Individual no longer meets continued stay guidelines; and 2. Crisis situation is resolved and an adequate continuing care plan has been established.
Service Exclusions	
Clinical Exclusions	Severity of clinical issues precludes provision of services at this level of care.

*(unless authorized as a part of a specific "package" which changes the authorization parameters)

Additional Service Criteria:

A. Required Components

1. H2011 U6 is provided in clinic-based settings.
2. H2011 U7 is provided in out-of-clinic settings.

3. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
4. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following practitioners may provide Crisis Intervention services:
 - Practitioner Level 1: Physician/Psychiatrist
 - Practitioner Level 2: Psychologist, APRN, PA
 - Practitioner Level 3: LCSW, LPC, LMFT, RN
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state.

C. Clinical Operations

1. In any review of clinical appropriateness of this service, the mix of services offered to the individual is important. The use of crisis units will be looked at by the External Review Organization in combination with other supporting services. For example, if an individual presents in crisis and the crisis is alleviated within an hour but ongoing support continues, it is expected that 4 units of crisis will be billed and then some supporting service such as individual counseling will be utilized to support the individual during that interval of service.

D. Service Access

1. All crisis service response times for this service must be within 2 hours of the consumer or other constituent contact to the provider agency.
2. Services are available 24-hours per day, 7 days per week, and may be offered by telephone and/or face-to-face in most settings (e.g. home, school, community, clinic etc).
3. Crisis Intervention may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.

4. This service may not be provided and billed for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility

E. Additional Medicaid Requirements

1. This service must be billed as either In-Clinic or Out-of-Clinic Crisis Management/ Intervention for Medicaid recipients in accordance with A. above.
2. The daily maximum within a CSP for Crisis Intervention is 8 units/day.

F. Reporting & Billing Requirements

1. All other applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Diagnostic Assessment							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Psychiatric Diagnostic Examination	Practitioner Level 1, In-Clinic, Child Program	90801	HA	U1	U6		\$174.63
	Practitioner Level 1, Out-of-Clinic, Child Program	90801	HA	U1	U7		\$222.26
	Practitioner Level 1, Via interactive audio and video telecommunication systems, Child Program	90801	GT	HA	U1		\$174.63
	Practitioner Level 2, In-Clinic, Child Program	90801	HA	U2	U6		\$116.90
	Practitioner Level 2, Out-of-Clinic, Child Program	90801	HA	U2	U7		\$140.28
	Practitioner Level 2, Via interactive audio and video telecommunication systems, Child Program	90801	GT	HA	U2		\$116.90
Psychiatric Diagnostic Examination, Interactive	Practitioner Level 1, In-Clinic, Child Program	90802	HA	U1	U6		\$174.63
	Practitioner Level 1, Out-of-Clinic, Child Program	90802	HA	U1	U7		\$222.26
	Practitioner Level 1, Via interactive audio and video telecommunication systems, Child Program	90802	GT	HA	U1		\$174.63
	Practitioner Level 2, In-Clinic, Child Program	90802	HA	U2	U6		\$116.90
	Practitioner Level 2, Out-of-Clinic, Child Program	90802	HA	U2	U7		\$140.28
	Practitioner Level 2, Via interactive audio and video telecommunication systems, Child Program	90802	GT	HA	U2		\$116.90

Definition of Service: Psychiatric diagnostic interview examination includes a history; mental status exam; evaluation and assessment of physiological phenomena (including co-morbidity between behavioral and physical health care issues); psychiatric diagnostic evaluation (including assessing for co-occurring disorders and the development of a differential diagnosis); screening and/or assessment of any withdrawal symptoms for youth with substance related diagnoses; assessment of the appropriateness of initiating or continuing services; and a disposition. These are completed by face-to-face evaluation of the youth and may include communication with family and other sources and the ordering and medical interpretation of laboratory or other medical diagnostic studies.

Interactive diagnostic interview examinations are typically furnished to children and involve the use of physical aids and non-verbal communication to overcome barriers to therapeutic interaction between the clinician and a patient as a result of expressive or receptive language deficits. Interactive diagnostic interview examinations are also used when a sign language interpreter or other language interpreter is utilized order to facilitate communication between the clinician and a consumer with a hearing impairment or with limited English proficiency.

Target Population	Youth with known or suspected Mental Illness or Substance Related Disorders
Benefit Information	Available to all known or suspected Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	1 encounter
Initial Authorization*	2 units
Re-Authorization*	2 units
Maximum Daily Units*	1 unit per procedure code
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 220 – C&A Mental Health 820 – C&A Addictive Diseases
Admission Criteria	1. Youth has a known or suspected mental illness or a substance-related disorder and has recently entered the service system; or 2. Youth is in need of annual assessment and re-authorization of service array; or 3. Youth has need of an assessment due to a change in clinical/functional status.
Continuing Stay Criteria	Individual's situation/functioning has changed in such a way that previous assessments are outdated.
Discharge Criteria	1. An adequate continuing care plan has been established; and one or more of the following: 2. Individual has withdrawn or been discharged from service; or 3. Individual no longer demonstrates need for continued diagnostic assessment.
Service Exclusions	None
Clinical Exclusions	None

**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. Telemedicine may be utilized for an initial Psychiatric Diagnostic Examination as well as for ongoing Psychiatric Diagnostic Examination via the use of appropriate procedure codes with the GT modifier.
2. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
3. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following practitioners can provide a Psychiatric Diagnostic Examination:
 - Practitioner Level 1: Physician/Psychiatrist
 - Practitioner Level 2: Psychologist, APRN, PA

C. Clinical Operations

1. It is expected that youth and families will be treated as full partners in the treatment regimen/services planned and received. As such, it is expected that practitioners will fully discuss treatment options with youth and families and allow for individual choice when possible. Discussion of treatment options should include a full disclosure of the pros and cons of each option (e.g. full disclosure of medication/treatment regimen potential side effects, potential adverse reactions--including potential adverse reaction from not taking medication as prescribed, and expected benefits). If such full discussion/disclosure to the youth is not possible or advisable according to the clinical judgment of the practitioner, this should be documented in the youth's chart (including the specific information that was not discussed and a compelling rationale for lack of discussion/disclosure). The family/caregiver's role is an essential component of this dialogue.

D. Service Access

1. Diagnostic Assessment may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.
2. This service may not be provided and billed for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility

E. Additional Medicaid Requirements

1. The daily maximum within a CSP for Diagnostic Assessment (Psychiatric Diagnostic Interview) for children and adolescents is 2 units. Two units should be utilized only if it is necessary in a complex diagnostic case for the physician extender (PA or APRN) to call in the physician for an assessment of the child to corroborate or verify the correct diagnosis.

F. Reporting & Billing Requirements

1. All applicable Medicaid, MICP, and other DBHDD reporting requirements must be adhered to.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Family Outpatient Services: Family Counseling

HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Family – Behavioral health counseling and therapy (<u>without</u> client present)	Practitioner Level 2, In-Clinic	H0004	HS	U2	U6		\$38.97
	Practitioner Level 3, In-Clinic	H0004	HS	U3	U6		\$30.01
	Practitioner Level 4, In-Clinic	H0004	HS	U4	U6		\$20.30
	Practitioner Level 5, In-Clinic	H0004	HS	U5	U6		\$15.13
	Practitioner Level 2, Out-of-Clinic	H0004	HS	U2	U7		\$46.76
	Practitioner Level 3, Out-of-Clinic	H0004	HS	U3	U7		\$36.68
	Practitioner Level 4, Out-of-Clinic	H0004	HS	U4	U7		\$24.36
	Practitioner Level 5, Out-of-Clinic	H0004	HS	U5	U7		\$18.15
Family -- Behavioral health counseling and therapy (<u>with</u> client present)	Practitioner Level 2, In-Clinic	H0004	HR	U2	U6		\$38.97
	Practitioner Level 3, In-Clinic	H0004	HR	U3	U6		\$30.01
	Practitioner Level 4, In-Clinic	H0004	HR	U4	U6		\$20.30
	Practitioner Level 5, In-Clinic	H0004	HR	U5	U6		\$15.13
	Practitioner Level 2, Out-of-Clinic	H0004	HR	U2	U7		\$46.76
	Practitioner Level 3, Out-of-Clinic	H0004	HR	U3	U7		\$36.68
	Practitioner Level 4, Out-of-Clinic	H0004	HR	U4	U7		\$24.36
	Practitioner Level 5, Out-of-Clinic	H0004	HR	U5	U7		\$18.15
Family Psycho-therapy without the patient present (appropriate license required)	Practitioner Level 2, In-Clinic	90846	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	90846	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	90846	U4	U6			\$20.30
	Practitioner Level 5, In-Clinic	90846	U5	U6			\$15.13
	Practitioner Level 2, Out-of-Clinic	90846	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	90846	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	90846	U4	U7			\$24.36
	Practitioner Level 5, Out-of-Clinic	90846	U5	U7			\$18.15
	Practitioner Level 2, In-Clinic	90847	U2	U6			\$38.97

Conjoint Family Psychotherapy with the patient present (appropriate license required)	Practitioner Level 3, In-Clinic	90847	U3	U6		\$30.01
	Practitioner Level 4, In-Clinic	90847	U4	U6		\$20.30
	Practitioner Level 5, In-Clinic	90847	U5	U6		\$15.13
	Practitioner Level 2, Out-of-Clinic	90847	U2	U7		\$46.76
	Practitioner Level 3, Out-of-Clinic	90847	U3	U7		\$36.68
	Practitioner Level 4, Out-of-Clinic	90847	U4	U7		\$24.36
	Practitioner Level 5, Out-of-Clinic	90847	U5	U7		\$18.15

Definition of Service: A counseling service shown to be successful with identified family populations, diagnoses and service needs, provided by a licensed/credentialed therapist. Services are directed toward achievement of specific goals defined by the individual youth and by the parent(s)/responsible caregiver(s) and specified in the Individualized Resiliency Plan (**Note:** Although interventions may involve the family, the focus or primary beneficiary of intervention must always be the individual consumer). Family counseling provides systematic interactions between the identified individual consumer, staff and the individual's family members directed toward the restoration, development, enhancement or maintenance of functioning of the identified consumer/family unit. This may include specific clinical interventions/activities to enhance family roles; relationships, communication and functioning that promote the resiliency of the individual/family unit. Specific goals/issues to be addressed though these services may include the restoration, development, enhancement or maintenance of:

- 1) cognitive processing skills;
- 2) healthy coping mechanisms;
- 3) adaptive behaviors and skills;
- 4) interpersonal skills;
- 5) family roles and relationships;
- 6) the family's understanding of the person's mental illness and substance-related disorders and methods of intervention, interaction and mutual support the family can use to assist their family member therapeutic goals.

Best practices such as Multi-systemic Family Therapy, Multidimensional Family Therapy, Behavioral Family Therapy, Functional Family Therapy or others appropriate for the family and issues to be addressed should be utilized in the provision of this service.

Target Population	Children & Adolescents with Mental Illness and/or Substance-Related Disorders
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.

Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	If a MICP Registration is submitted - 32 units (combined with Family Training) If a MICP New Episode is submitted - 60 units (combined with Family Training)
Reauthorization*	60 units (Family Training and Family Counseling combined)
Maximum Daily Units*	16 units (Family Training and Family Counseling combined)
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 230 – C&A Mental Health 830 – C&A Addictive Diseases
Admission Criteria	1. Individual must have an emotional disturbance and/or substance-related disorder diagnosis that is at least destabilizing (markedly interferes with the ability to carry out activities of daily living or places others in danger) or distressing (causes mental anguish or suffering); and 2. Individual's level of functioning does not preclude the provision of services in an outpatient milieu; and 3. Individual's assessment indicates needs that may be supported by a therapeutic intervention shown to be successful with identified family populations and individual's diagnoses.
Continuing Stay Criteria	1. Individual continues to meet Admission Criteria as articulated above; and 2. Progress notes document progress relative to goals identified in the Individualized Resiliency Plan, but all treatment/support goals have not yet been achieved.
Discharge Criteria	1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Resiliency Plan have been substantially met; or 3. Individual/family requests discharge and individual is not in imminent danger of harm to self or others; or 4. Transfer to another service is warranted by change in individual's condition; or 5. Individual requires more intensive services.
Service Exclusions	Intensive Family Intervention

Clinical Exclusions	<ol style="list-style-type: none"> 1. Severity of behavioral health impairment precludes provision of services. 2. Severity of cognitive impairment precludes provision of services in this level of care. 3. There is a lack of social support systems such that a more intensive level of service is needed. 4. There is no outlook for improvement with this particular service 5. This service is not intended to supplant other services such as MR/DD Personal and Family Support or any day services where the individual may more appropriately receive these services with staff in various community settings. 6. Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a qualifying psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder, and traumatic brain injury.
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**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. The treatment orientation, modality, and goals must be specified and agreed upon by the youth/family/caregiver.
2. The Individualized Resiliency Plan for the individual includes goals and objectives specific to the family for whom the service is being provided.
3. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
4. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide behavioral health counseling and psychotherapy to families:
 - Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 2 rate)
 - Practitioner Level 2: Psychologist, CNS-PMH

- Practitioner Level 3: LCSW, LPC, LMFT, RN
- Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology (addiction counselors may only perform these functions related to treatment of addictive diseases).
- Practitioner Level 5: CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent (practitioners at this level may only perform these functions related to treatment of addictive diseases).

C. Clinical Operations

1. Models of best practice delivery may include (as clinically appropriate) Multidimensional Family Therapy, Behavioral Family Therapy, Functional Family Therapy, and others as appropriate the family and issues to be addressed.

D. Service Access

1. Services may not exceed 16 Billable units (combined Family Counseling and Family Therapy) in a single day. If clinical need indicates this level of intensity, other services may need to be considered for authorization.
2. Family Counseling may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.
3. This service may not be provided and billed for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility
4. For the purposes of this specific service, the definition of family **excludes** employees of Child Caring Institution, employees of DJJ or employees of DFCS as recipients of service.

E. Additional Medicaid Requirements

Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.
2. If there are multiple family members in the Family Counseling session who are enrolled consumers for whom the focus of treatment is related to goals on their treatment plans, we recommend the following:

- a. Document the family session in the charts of each individual consumer for whom the treatment is related to a specific goal on the individual's IRP
- b. Charge the Family Counseling session units to one of the consumers.
- c. Indicate "NC" (No Charge) on the documentation for the other consumer(s) in the family session and have the note reflect that the charges for the session are assigned to another family member in the session.

Family Outpatient Services: Family Training

HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Family Skills Training and Development	Practitioner Level 4, In-Clinic, without client present	H2014	HS	U4	U6		\$20.30
	Practitioner Level 5, In-Clinic, without client present	H2014	HS	U5	U6		\$15.13
	Practitioner Level 4, Out-of-Clinic, without client present	H2014	HS	U4	U7		\$24.36
	Practitioner Level 5, Out-of-Clinic, without client present	H2014	HS	U5	U7		\$18.15
	Practitioner Level 4, In-Clinic, with client present	H2014	HR	U4	U6		\$20.30
	Practitioner Level 5, In-Clinic, with client present	H2014	HR	U5	U6		\$15.13
	Practitioner Level 4, Out-of-Clinic, with client present	H2014	HR	U4	U7		\$24.36
	Practitioner Level 5, Out-of-Clinic, with client present	H2014	HR	U5	U7		\$18.15

Definition of Service: A therapeutic interaction shown to be successful with identified family populations, diagnoses and service needs, provided by qualified staff. Services are directed toward achievement of specific goals defined by the individual youth and by the parent(s)/responsible caregiver(s) and specified in the Individualized Resiliency Plan (note: although interventions may involve the family, the focus or primary beneficiary of intervention must always be the individual consumer).

Family training provides systematic interactions between the identified individual consumer, staff and the individual's family members directed toward the restoration, development, enhancement or maintenance of functioning of the identified consumer/family unit. This may include support of the family, as well as training and specific activities to enhance family roles; relationships, communication and functioning that promote the resiliency of the individual/family unit.

Specific goals/issues to be addressed through these services may include the restoration, development, enhancement or maintenance of:

- 1) illness and medication self-management knowledge and skills (e.g. symptom management, behavioral management, relapse prevention skills, knowledge of medications and side effects, and motivational/skill development in taking medication as prescribed/helping a family member to take medication as prescribed);
- 2) problem solving and practicing functional support;
- 3) healthy coping mechanisms;
- 4) adaptive behaviors and skills;
- 5) interpersonal skills;

- 6) daily living skills;
- 7) resource access and management skills; and
- 8) the family's understanding of mental illness and substance related disorders, the steps necessary to facilitate recovery/resiliency, and methods of intervention, interaction and mutual support the family can use to assist their family member.

Target Population	Children & Adolescents with Mental Illness and/or Substance-Related Disorders
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	If a MICP Registration is submitted - 32 units (combined with Family Counseling) If a MICP New Episode is submitted - 60 units (combined with Family Counseling)
Reauthorization *	60 units (Family Training and Family Counseling combined)
Authorization Period*	180 days
Maximum Daily Units*	16 units (Family Training and Family Counseling combined)
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 230 – C&A Mental Health 830 – C&A Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Individual must have an emotional disturbance and/or substance-related disorder diagnosis that is at least destabilizing (markedly interferes with the ability to carry out activities of daily living or places others in danger) or distressing (causes mental anguish or suffering); and 2. Individual's level of functioning does not preclude the provision of services in an outpatient milieu; and 3. Individual's assessment indicates needs that may be supported by a therapeutic intervention shown to be successful with identified family populations and individual's diagnoses.
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Individual continues to meet Admission Criteria as articulated above; and 2. Progress notes document progress relative to goals identified in the Individualized Resiliency Plan, but all treatment/support goals have not yet been achieved.

Discharge Criteria	<ol style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Resiliency Plan have been substantially met; or 3. Individual/family requests discharge and individual is not in imminent danger of harm to self or others; or 4. Transfer to another service is warranted by change in individual's condition; or 5. Individual requires more intensive services.
Service Exclusions	Designated Crisis Stabilization Program services and Intensive Family Intervention
Clinical Exclusions	<ol style="list-style-type: none"> 1. Severity of behavioral health impairment precludes provision of services. 2. Severity of cognitive impairment precludes provision of services in this level of care. 3. There is a lack of social support systems such that a more intensive level of service is needed. 4. There is no outlook for improvement with this particular service 5. This service is not intended to supplant other services such as Personal and Family Support or any day services where the individual may more appropriately receive these services with staff in various community settings. 6. Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder, and traumatic brain injury.

**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. The treatment orientation, modality and goals must be specified and agreed upon by the youth/family/caregiver.
2. The Individualized Resiliency Plan for the individual includes goals and objectives specific to the youth and family for whom the service is being provided.
3. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
4. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or

- Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day. If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide skills training and development to families:

- Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 4 rate)
- Practitioner Level 2: Psychologist, APRN, PA (reimbursed at Level 4 rate)
- Practitioner Level 3: LCSW, LPC, LMFT, RN (reimbursed at Level 4 rate)
- Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); PP, CPRP, CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology
- Practitioner Level 5: CPS, PP, CPRP, CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent under supervision of one of the licensed/credentialed professionals above

C. Clinical Operations

D. Service Access

1. Services may not exceed 16 Billable units (combined Family Counseling and Family Therapy) in a single day. If clinical need indicates this level of intensity, other services may need to be considered for authorization.
2. Family Training may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.
3. This service may not be provided and billed for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility
4. For the purposes of this specific service, the definition of family **excludes** employees of Child Caring Institution, employees of DJJ or employees of DFCS as recipients of service.

E. Additional Medicaid Requirements

Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual
2. If there are multiple family members in the Family Training session who are enrolled consumers for whom the focus of treatment in the group is related to goals on their treatment plans, we recommend the following:
 - a. Document the family session in the charts of each individual consumer for whom the treatment is related to a specific goal on the individual's IRP
 - b. Charge the Family Training session units to one of the consumers.
 - c. Indicate "NC" (No Charge) on the documentation for the other consumer(s) in the family session and have the note reflect that the charges for the session are assigned to another family member in the session.

Group Outpatient Services: Group Counseling

HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Group – Behavioral health counseling and therapy	Practitioner Level 2, In-Clinic	H0004	HQ	U2	U6		\$8.50
	Practitioner Level 3, In-Clinic	H0004	HQ	U3	U6		\$6.60
	Practitioner Level 4, In-Clinic	H0004	HQ	U4	U6		\$4.43
	Practitioner Level 5, In-Clinic	H0004	HQ	U5	U6		\$3.30
	Practitioner Level 2, Out-of-Clinic	H0004	HQ	U2	U7		\$10.39
	Practitioner Level 3, Out-of-Clinic	H0004	HQ	U3	U7		\$8.25
	Practitioner Level 4, Out-of-Clinic	H0004	HQ	U4	U7		\$5.41
	Practitioner Level 5, Out-of-Clinic	H0004	HQ	U5	U7		\$4.03
	Practitioner Level 2, In-Clinic, Multi-family group, with client present	H0004	HQ	HR	U2	U6	\$8.50
	Practitioner Level 3, In-Clinic, Multi-family group, with client present	H0004	HQ	HR	U3	U6	\$6.60
	Practitioner Level 4, In-Clinic, Multi-family group, with client present	H0004	HQ	HR	U4	U6	\$4.43
	Practitioner Level 5, In-Clinic, Multi-family group, with client present	H0004	HQ	HR	U5	U6	\$3.30
	Practitioner Level 2, Out-of-Clinic, Multi-family group, with client present	H0004	HQ	HR	U2	U7	\$10.39
	Practitioner Level 3, Out-of-Clinic, Multi-family group, with client present	H0004	HQ	HR	U3	U7	\$8.25
	Practitioner Level 4, Out-of-Clinic, Multi-family group, with client present	H0004	HQ	HR	U4	U7	\$5.41
	Practitioner Level 5, Out-of-Clinic, Multi-family group, with client present	H0004	HQ	HR	U5	U7	\$4.03
	Practitioner Level 2, In-Clinic, Multi-family group, without client present	H0004	HQ	HS	U2	U6	\$8.50

	Practitioner Level 3, In-Clinic, Multi-family group, without client present	H0004	HQ	HS	U3	U6	\$6.60
	Practitioner Level 4, In-Clinic, Multi-family group, without client present	H0004	HQ	HS	U4	U6	\$4.43
	Practitioner Level 5, In-Clinic, Multi-family group, without client present	H0004	HQ	HS	U5	U6	\$3.30
	Practitioner Level 2, Out-of-Clinic, Multi-family group, without client present	H0004	HQ	HS	U2	U7	\$10.39
	Practitioner Level 3, Out-of-Clinic, Multi-family group, without client present	H0004	HQ	HS	U3	U7	\$8.25
	Practitioner Level 4, Out-of-Clinic, Multi-family group, without client present	H0004	HQ	HS	U4	U7	\$5.41
	Practitioner Level 5, Out-of-Clinic, Multi-family group, without client present	H0004	HQ	HS	U5	U7	\$4.03
Group Psychotherapy other than of a multiple family group (appropriate license required)	Practitioner Level 2, In-Clinic	90853	U2	U6			\$8.50
	Practitioner Level 3, In-Clinic	90853	U3	U6			\$6.60
	Practitioner Level 4, In-Clinic	90853	U4	U6			\$4.43
	Practitioner Level 5, In-Clinic	90853	U5	U6			\$3.30
	Practitioner Level 2, Out-of-Clinic	90853	U2	U7			\$10.39
	Practitioner Level 3, Out-of-Clinic	90853	U3	U7			\$8.25
	Practitioner Level 4, Out-of-Clinic	90853	U4	U7			\$5.41
	Practitioner Level 5, Out-of-Clinic	90853	U5	U7			\$4.03

Definition of Service: A therapeutic intervention or counseling service shown to be successful with identified populations, diagnoses and service needs. Services are directed toward achievement of specific goals defined by the youth and by the parent(s)/responsible caregiver(s) and specified in the Individualized Resiliency Plan. Services may address goals/issues such as promoting resiliency, and the restoration, development, enhancement or maintenance of:

- 1)cognitive skills;
- 2)healthy coping mechanisms;
- 3)adaptive behaviors and skills;
- 4)interpersonal skills
- 5)identifying and resolving personal, social, intrapersonal and interpersonal concerns.

Target Population	Individuals with Mental Illness and/or Substance-Related Disorders
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP

	New Episode.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	If a MICP Registration is submitted - 32 units If a MICP New Episode is submitted - 200 units
Re-Authorization*	200 units
Authorization Period*	180 days
Maximum Daily Units *	16 units for Brief Registration 20 units for Ongoing MICP
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 229 – C&A Mental Health 829 – C&A Addictive Diseases
Admission Criteria	1. Youth must have a primary emotional disturbance/substance-related disorder diagnosis that is at least destabilizing (markedly interferes with the ability to carry out activities of daily living or places others in danger) or distressing (causes mental anguish or suffering); and 2. The youth's level of functioning does not preclude the provision of services in an outpatient milieu; and 3. The individual's resiliency goal/s that are to be addressed by this service must be conducive to response by a group milieu.
Continuing Stay Criteria	1. Youth continues to meet admission criteria; and 2. Youth demonstrates documented progress relative to goals identified in the Individualized Resiliency Plan, but treatment goals have not yet been achieved.
Discharge Criteria	1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Resiliency Plan have been substantially met; or 3. Youth and family requests discharge and the youth is not in imminent danger of harm to self or others; or 4. Transfer to another service/level of care is warranted by change in youth's condition; or 5. Youth requires more intensive services.
Service Exclusions	See also below, Item A.2.

Clinical Exclusions	<ol style="list-style-type: none"> 1. Severity of behavioral health issue precludes provision of services. 2. Severity of cognitive impairment precludes provision of services in this level of care. 3. There is a lack of social support systems such that a more intensive level of service is needed. 4. This service is not intended to supplant other services such as MR/DD Personal and Family Support or any day services where the individual may more appropriately receive these services with staff in various community settings. 5. Youth with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder, and traumatic brain injury.
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**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. The treatment orientation, modality and goals must be specified and agreed upon by the youth/family/caregiver. If there are disparate goals between the youth and family, this is addressed clinically as part of the resiliency building plans and interventions.
2. When billed concurrently with IFI services, this service must be curriculum based and/or targeted to a very specific clinical issue (e.g. incest survivor groups, perpetrator groups, sexual abuse survivor groups).
3. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
4. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide group counseling:
 - Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 2 rate)
 - Practitioner Level 2: Psychologist, CNS-PMH
 - Practitioner Level 3: LCSW, LPC, LMFT, RN
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such

as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology (may only perform these functions related to treatment of addictive diseases).

- Practitioner Level 5: CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent (practitioners at this level may only perform these functions related to treatment of addictive diseases).
2. Students and individuals working toward licensure as a professional counselor, social worker, or marriage and family therapist must work under direction and documented clinical supervision of a licensed professional in accordance with the rules of the Georgia Composite Board of Professional Counselors, Social Workers and Marriage and Family Therapists. Agencies should refer to O.C.G.A. 43-10A-3 for the definitions of "direction" and "supervision" and the Documentation Guidelines included in this Provider Manual.
 3. The three specialties governed by the board referenced in B.2. above have different supervision requirements for individuals working toward licensure and it is the responsibility of the agency to ensure that the supervision requirements specified by the Board for the specialty (professional counseling, social work or marriage and family therapy) for which the individual is working toward licensure are met (also reference Documentation Guidelines included in this manual).
 4. Addiction counselor trainees may perform counseling as a trainee for a period of up to 3 years if they meet the requirements in O.C.G.A. 43-10A. This is limited to the provision of chemical dependency treatment under direction and supervision of a clinical supervisor approved by the certification body under which the trainee is seeking certification. Agencies should refer to O.C.G.A. 43-10A-3 for the definitions of "direction" and "supervision" and to the Documentation Guidelines set forth in this Provider Manual.
 5. The status of students, trainees, and individuals working toward licensure must be disclosed to the individuals receiving services from trainees and interns and signatures/titles of these practitioners must also include "S/T."
 6. Maximum face-to-face ratio cannot be more than 10 consumers to 1 direct service staff based on average group attendance

C. Clinical Operations

1. The membership of a multiple family group (H0004 HQ) consists of multiple family units such as a group of two or more parent(s) from different families either with (HR) or without (HS) participation of their child/children.
2. Practitioners and supervisors of those providing this service are expected to maintain knowledge and skills regarding group practice such as selecting appropriate participants for a particular group, working with the group to establish necessary group norms and goals, and understanding and managing group dynamics and processes.

D. Service Access

1. Group Counseling may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.
2. This service may not be provided and billed for individuals who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or

other involuntary detainment proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility

3. For the purposes of this specific service, when this service is provided to multi-family groups, the definition of family **excludes** employees of Child Caring Institution, employees of DJJ or employees of DFCS as recipients of service.

E. Additional Medicaid Requirements

The daily maximum within a CSP for combined Group Training/Counseling is 4 units/day.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Group Outpatient Services: Group Training

HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Group Skills Training & Development	Practitioner Level 4, In-Clinic	H2014	HQ	U4	U6		\$4.43
	Practitioner Level 5, In-Clinic	H2014	HQ	U5	U6		\$3.30
	Practitioner Level 4, Out-of-Clinic	H2014	HQ	U4	U7		\$5.41
	Practitioner Level 5, Out-of-Clinic	H2014	HQ	U5	U7		\$4.03
	Practitioner Level 4, In-Clinic, with client present	H2014	HQ	HR	U4	U6	\$4.43
	Practitioner Level 5, In-Clinic, with client present	H2014	HQ	HR	U5	U6	\$3.30
	Practitioner Level 4, Out-of-Clinic, with client present	H2014	HQ	HR	U4	U7	\$5.41
	Practitioner Level 5, Out-of-Clinic, with client present	H2014	HQ	HR	U5	U7	\$4.03
	Practitioner Level 4, In-Clinic, without client present	H2014	HQ	HS	U4	U6	\$4.43
	Practitioner Level 5, In-Clinic, without client present	H2014	HQ	HS	U5	U6	\$3.30
	Practitioner Level 4, Out-of-Clinic, without client present	H2014	HQ	HS	U4	U7	\$5.41
	Practitioner Level 5, Out-of-Clinic, without client present	H2014	HQ	HS	U5	U7	\$4.03

Definition of Service: A therapeutic interaction shown to be successful with identified populations, diagnoses and service needs. Services are directed toward achievement of specific goals defined by the youth and by the parent(s)/responsible caregiver(s) and specified in the Individualized Resiliency Plan. Services may address goals/issues such as promoting resiliency, and the restoration, development, enhancement or maintenance of:

- 1) illness and medication self-management knowledge and skills (e.g. symptom management, behavioral management, relapse prevention skills, knowledge of medications and side effects, and motivational/skill development in taking medication as prescribed);
- 2) problem solving skills;
- 3) healthy coping mechanisms;
- 4) adaptive skills;
- 5) interpersonal skills;
- 6) daily living skills;
- 7) resource management skills;
- 8) knowledge regarding emotional disturbance, substance related disorders and other relevant topics

that assist in meeting the youth's and family's needs; and 9) skills necessary to access and build community resources and natural support systems.	
Target Population	Individuals with Mental Illness and/or Substance-Related Disorders
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	If a MICP Registration is submitted - 32 units If a MICP New Episode is submitted - 200 units
Re-Authorization*	200 units
Maximum Daily Units*	16 units
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 229 – C&A Mental Health 829 – C&A Addictive Diseases
Admission Criteria	1. Youth must have a primary emotional disturbance/substance-related disorder diagnosis that is at least destabilizing (markedly interferes with the ability to carry out activities of daily living or places others in danger) or distressing (causes mental anguish or suffering); and 2. The youth's level of functioning does not preclude the provision of services in an outpatient milieu; and 3. The individual's resiliency goal/s that are to be addressed by this service must be conducive to response by a group milieu.
Continuing Stay Criteria	1. Youth continues to meet admission criteria; and 2. Youth demonstrates documented progress relative to goals identified in the Individualized Resiliency Plan, but treatment goals have not yet been achieved.
Discharge Criteria	1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Resiliency Plan have been substantially met; or 3. Youth and family requests discharge and the youth is not in imminent danger of harm to self or others; or 4. Transfer to another service/level of care is warranted by change in youth's condition; or 5. Youth requires more intensive services.
Service Exclusions	See also below, Item A.2.

<p>Clinical Exclusions</p>	<ol style="list-style-type: none"> 1. Severity of behavioral health issue precludes provision of services. 2. Severity of cognitive impairment precludes provision of services in this level of care. 3. There is a lack of social support systems such that a more intensive level of service is needed. 4. This service is not intended to supplant other services such as MR/DD Personal and Family Support or any day services where the individual may more appropriately receive these services with staff in various community settings. 5. Youth with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder, and traumatic brain injury.
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**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. The functional goals addressed through this service must be specified and agreed upon by the youth/family/caregiver. If there are disparate goals between the youth and family, this is addressed clinically as part of the resiliency building plans and interventions.
2. When billed concurrently with IFI services, this service must be curriculum based and/or targeted to a very specific clinical issue (e.g. incest survivor groups, perpetrator groups, sexual abuse survivor groups).
3. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
4. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide group training:
 - Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 4 rate)
 - Practitioner Level 2: Psychologist, APRN, PA (reimbursed at Level 4 rate)

- Practitioner Level 3: LCSW, LPC, LMFT, RN (reimbursed at Level 4 rate)
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); PP, CPRP, CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology
 - Practitioner Level 5: CPS, PP, CPRP, CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent under supervision of one of the licensed/credentialed professionals above
2. Maximum face-to-face ratio cannot be more than 10 consumers to 1 direct service staff based on average group attendance

C. Clinical Operations

1. Out-of-clinic group skills training is allowable and clinically valuable for some consumers; therefore, this option should be explored to the benefit of the consumer. In this event, staff must be able to assess and address the individual needs and progress of each consumer consistently throughout the intervention/activity (e.g. in an example of teaching 2-3 consumers to access public transportation in the community, group training may be given to help each consumer individually to understand the bus schedule in a way that makes sense to them, to address questions/concerns each may have about how to use the bus, perhaps to spend time riding the bus with the consumers and assisting each to understand and become comfortable with riding the bus in accordance with *individual* goals, etc).
2. The membership of a multiple family Group Training session (H2014 HQ) consists of multiple family units such as a group of two or more parent(s) from different families either with (HR) or without (HS) participation of their child/children.

D. Service Access

1. Group Training may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.
2. This service may not be provided and billed for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility

E. Additional Medicaid Requirements

The daily maximum within a CSP for combined Group Training/Counseling is 4 units/day.

F. Reporting & Billing Requirements

1. All applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.
2. Out-of-clinic group skills training is denoted by the U7 modifier.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual

Individual Counseling							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Individual Psychotherapy, insight oriented, behavior-modifying and/or supportive in an office or outpatient facility, approximately <u>20-30 minutes</u> face-to-face with patient	Practitioner Level 2, In-Clinic	90804	U2	U6			64.95
	Practitioner Level 3, In-Clinic	90804	U3	U6			50.02
	Practitioner Level 4, In-Clinic	90804	U4	U6			33.83
	Practitioner Level 5, In-Clinic	90804	U5	U6			25.21.
	Practitioner Level 2, Out-of-Clinic	90804	U2	U7			77.93
	Practitioner Level 3, Out-of-Clinic	90804	U3	U7			61.13
	Practitioner Level 4, Out-of-Clinic	90804	U4	U7			40.59
	Practitioner Level 5, Out-of-Clinic	90804	U5	U7			30.25
Individual Psychotherapy, insight oriented, behavior-modifying and/or supportive in an office or outpatient facility, approximately <u>45-50 minutes</u> face-to-face with patient	Practitioner Level 2, In-Clinic	90806	U2	U6			116.90
	Practitioner Level 3, In-Clinic	90806	U3	U6			90.03
	Practitioner Level 4, In-Clinic	90806	U4	U6			60.89
	Practitioner Level 5, In-Clinic	90806	U5	U6			45.38
	Practitioner Level 2, Out-of-Clinic	90806	U2	U7			140.28
	Practitioner Level 3, Out-of-Clinic	90806	U3	U7			110.04
	Practitioner Level 4, Out-of-Clinic	90806	U4	U7			73.07
	Practitioner Level 5, Out-of-Clinic	90806	U5	U7			54.46
Individual Psychotherapy, insight oriented, behavior-modifying and/or supportive in an office or outpatient facility, approximately <u>75-80 minutes</u> face-to-face with patient	Practitioner Level 2, In-Clinic	90808	U2	U6			194.84
	Practitioner Level 3, In-Clinic	90808	U3	U6			150.05
	Practitioner Level 4, In-Clinic	90808	U4	U6			101.48
	Practitioner Level 5, In-Clinic	90808	U5	U6			75.64
	Practitioner Level 2, Out-of-Clinic	90808	U2	U7			233.80
	Practitioner Level 3, Out-of-Clinic	90808	U3	U7			183.39
	Practitioner Level 4, Out-of-Clinic	90808	U4	U7			121.78
	Practitioner Level 5, Out-of-Clinic	90808	U5	U7			90.76
Individual psychotherapy,	Practitioner Level 2, In-Clinic	90810	U2	U6			64.95

interactive, using play equipment, physical devices, language interpreter, or other mechanisms of non-verbal communication, in an office or outpatient facility, approximately <u>20-30 minutes</u> face-to-face with patient	Practitioner Level 3, In-Clinic	90810	U3	U6		50.02
	Practitioner Level 4, In-Clinic	90810	U4	U6		33.83
	Practitioner Level 5, In-Clinic	90810	U5	U6		25.21
	Practitioner Level 2, Out-of-Clinic	90810	U2	U7		77.93
	Practitioner Level 3, Out-of-Clinic	90810	U3	U7		61.13
	Practitioner Level 4, Out-of-Clinic	90810	U4	U7		40.59
	Practitioner Level 5, Out-of-Clinic	90810	U5	U7		30.25
Individual psychotherapy, interactive, using play equipment, physical devices, language interpreter, or other mechanisms of non-verbal communication, in an office or outpatient facility, approximately <u>45-50 minutes</u> face-to-face with patient	Practitioner Level 2, In-Clinic	90812	U2	U6		116.90
	Practitioner Level 3, In-Clinic	90812	U3	U6		90.03
	Practitioner Level 4, In-Clinic	90812	U4	U6		60.89
	Practitioner Level 5, In-Clinic	90812	U5	U6		45.38
	Practitioner Level 2, Out-of-Clinic	90812	U2	U7		140.28
	Practitioner Level 3, Out-of-Clinic	90812	U3	U7		110.04
	Practitioner Level 4, Out-of-Clinic	90812	U4	U7		73.07
Individual psychotherapy, interactive, using play equipment, physical devices, language interpreter, or other mechanisms of non-verbal	Practitioner Level 5, Out-of-Clinic	90812	U5	U7		54.46
	Practitioner Level 2, In-Clinic	90814	U2	U6		194.84
	Practitioner Level 3, In-Clinic	90814	U3	U6		150.05
	Practitioner Level 4, In-Clinic	90814	U4	U6		101.48
	Practitioner Level 5, In-Clinic	90814	U5	U6		75.64
	Practitioner Level 2, Out-of-Clinic	90814	U2	U7		233.80

communication, in an office or outpatient facility, approximately <u>75-80 minutes</u> face-to-face with patient	Practitioner Level 3, Out-of-Clinic	90814	U3	U7		183.39
	Practitioner Level 4, Out-of-Clinic	90814	U4	U7		121.78
	Practitioner Level 5, Out-of-Clinic	90814	U5	U7		90.76

Definition of Service: A therapeutic intervention or counseling service shown to be successful with identified youth populations, diagnoses and service needs, provided by a qualified clinician. Techniques employed involve the principles, methods and procedures of counseling that assist the youth in identifying and resolving personal, social, vocational, intrapersonal and interpersonal concerns. Services are directed toward achievement of specific goals defined by the youth and by the parent(s)/responsible caregiver(s) and specified in the Individualized Resiliency Plan. These services address goals/issues such as promoting resiliency, and the restoration, development, enhancement or maintenance of:

- 1) the illness/emotional disturbance and medication self-management knowledge and skills (e.g. symptom management, behavioral management, relapse prevention skills, knowledge of medications and side effects, and motivational/skill development in taking medication as prescribed);
- 2) problem solving and cognitive skills;
- 3) healthy coping mechanisms;
- 4) adaptive behaviors and skills;
- 5) interpersonal skills; and
- 6) knowledge regarding the emotional disturbance, substance related disorders and other relevant topics that assist in meeting the youth's needs.

Best/evidence based practice modalities may include (as clinically appropriate): Motivational Interviewing/Enhancement Therapy, Cognitive Behavioral Therapy, Behavioral Modification, Behavioral Management, Rational Behavioral Therapy, Dialectical Behavioral Therapy, Interactive Play Therapy, and others as appropriate to the individual and clinical issues to be addressed.

Target Population	Children/Adolescents with a Mental Illness/Emotional Disturbance and/or Substance-Related Disorders
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	1 encounter
Initial Authorization*	24 units

Re-Authorization*	24 units
Maximum Daily Units*	1 unit
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 228 – C&A Mental Health 828 – C&A Addictive Diseases
Admission Criteria	1. Youth must have a primary emotional disturbance/substance-related disorder diagnosis that is at least destabilizing (markedly interferes with the ability to carry out activities of daily living or places others in danger) or distressing (causes mental anguish or suffering); and 2. The youth's level of functioning does not preclude the provision of services in an outpatient milieu; and
Continuing Stay Criteria	1. Individual continues to meet admission criteria; and 2. Individual demonstrates documented progress relative to goals identified in the Individualized Resiliency Plan, but treatment goals have not yet been achieved.
Discharge Criteria	1. Adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Resiliency Plan have been substantially met; or 3. Individual/family requests discharge and individual is not in imminent danger of harm to self or others; or 4. Transfer to another service is warranted by change in individual's condition; or 5. Individual requires a service approach which supports less or more intensive need.
Service Exclusions	Designated Crisis Stabilization Program services and Intensive Family Intervention
Clinical Exclusions	1. Severity of behavioral health disturbance precludes provision of services. 2. Severity of cognitive impairment precludes provision of services in this level of care. 3. There is a lack of social support systems such that a more intensive level of service is needed. 4. There is no outlook for improvement with this particular service 5. Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder and traumatic brain injury.

**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. The treatment orientation, modality and goals must be specified and agreed upon by the youth/family/caregiver.
2. Any diagnosis given to an individual must come from persons identified in

O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.

3. "Out-of-Clinic" may only be billed when:

- Travel by the practitioner is to a non-contiguous location; and/or
- Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
- Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
- Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide group training:

- Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 2 rate)
- Practitioner Level 2: Psychologist, CNS-PMH
- Practitioner Level 3: LCSW, LPC, LMFT, RN
- Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); CAC-I or Addiction Counselor Trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology (addiction counselors may only perform these functions related to treatment of addictive diseases).
- Practitioner Level 5: CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent (practitioners at this level may only perform these functions related to treatment of addictive diseases).

2. Students and individuals working toward licensure as a professional counselor, social worker, or marriage and family therapist must work under direction and documented clinical supervision of a licensed professional in accordance with the rules of the Georgia Composite Board of Professional Counselors, Social Workers and Marriage and Family Therapists. Agencies should refer to O.C.G.A. 43-10A-3 for the definitions of "direction" and "supervision" and the Documentation Guidelines included in this Provider Manual.
3. The three specialties governed by the board referenced in B.2. above have different supervision requirements for individuals working toward licensure and it is the responsibility of the agency to ensure that the supervision requirements specified by the Board for the specialty (professional

counseling, social work or marriage and family therapy) for which the individual is working toward licensure are met.

4. Addiction counselor trainees may perform counseling as a trainee for a period of up to 3 years if they meet the requirements in O.C.G.A. 43-10A. This is limited to the provision of chemical dependency treatment under direction and supervision of a clinical supervisor approved by the certification body under which the trainee is seeking certification. Agencies should refer to O.C.G.A. 43-10A-3 and to the Documentation Guidelines included in this Provider Manual for the definitions of "direction" and "supervision".
5. The status of students, trainees, and individuals working toward licensure must be disclosed to the individuals receiving services from trainees and interns and signatures/titles of these practitioners must also include "S/T."

C. Clinical Operations

Practitioners and supervisors of those providing this service are expected to maintain knowledge and skills regarding current research trends in best/evidence based counseling practices.

D. Service Access

1. Individual Counseling may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.
2. This service may not be provided and billed for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detention proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility

E. Additional Medicaid Requirements

Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Medication Administration							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Comprehensive Medication Services	Practitioner Level 2, In-Clinic	H2010	U2	U6			\$33.40
	Practitioner Level 3, In-Clinic	H2010	U3	U6			\$25.39
	Practitioner Level 4, In-Clinic	H2010	U4	U6			\$17.40
	Practitioner Level 5, In-Clinic	H2010	U5	U6			\$12.97
	Practitioner Level 2, Out-of-Clinic	H2010	U2	U7			\$42.51
	Practitioner Level 3, Out-of-Clinic	H2010	U3	U7			\$33.01
	Practitioner Level 4, Out-of-Clinic	H2010	U4	U7			\$22.14
Therapeutic, prophylactic or diagnostic injection	Practitioner Level 2, In-Clinic	96372	U2	U6			\$33.40
	Practitioner Level 3, In-Clinic	96372	U3	U6			\$25.39
	Practitioner Level 4, In-Clinic	96372	U4	U6			\$17.40
	Practitioner Level 2, Out-of-Clinic	96372	U2	U7			\$42.51
	Practitioner Level 3, Out-of-Clinic	96372	U3	U7			\$33.01
	Practitioner Level 4, Out-of-Clinic	96372	U4	U7			\$22.14
Alcohol, and/or drug services, methadone administration and/or service (provision of the drug by a licensed program)	Practitioner Level 2, In-Clinic	H0020	U2	U6			\$33.40
	Practitioner Level 3, In-Clinic	H0020	U3	U6			\$25.39
	Practitioner Level 4, In-Clinic	H0020	U4	U6			\$17.40

Definition of Service: As reimbursed through this service, medication administration includes the act of introducing a drug (any chemical substance that, when absorbed into the body of a living organism, alters normal bodily function) into the body of another person by any number of routes including, but not limited to the following: oral, nasal, inhalant, intramuscular injection, intravenous, topical, suppository or intraocular. Medication administration requires a physician's order and must be administered by licensed or credentialed* medical personnel under the supervision of a physician or registered nurse in accordance with O.C.G.A.

This service does not cover the supervision of self-administration of medications (See Clinical Exclusions below).

The service must include:

1. An assessment, by the licensed or credentialed medical personnel administering the medication, of the youth's physical, psychological and behavioral status in order to make a recommendation regarding whether to continue the medication and/or its means of administration, and whether to refer the youth to the physician for a medication review.
2. Education to the youth and/or family/responsible caregiver(s), by appropriate licensed medical personnel, on the proper administration and monitoring of prescribed medication in accordance with the youth's resiliency plan.

For individuals who need opioid maintenance, the Opioid Maintenance service should be requested.

Target Population	Youth with SED Youth with Substance Related Disorders Youth with Co-occurring SED and Substance Related Disorders Youth with Co-occurring SED and MR/DD (if the medications are related to the SED issue) Youth with Co-occurring Substance Related Disorders and MR/DD (if the medications are related to the substance use/abuse issue)
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	1 encounter
Initial Authorization*	With the submission of MICP Registration - 6 units shared With the submission of MICP New Episode: H2010 & 96372 = 60 units shared
Re-Authorization*	H2010 & 96372 = 60 units shared
Maximum Daily Units*	1 unit
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 224 – C&A Mental Health 824 – C&A Addictive Diseases

Admission Criteria	<ol style="list-style-type: none"> 1. Youth presents symptoms that are likely to respond to pharmacological interventions; and 2. Youth has been prescribed medications as a part of the treatment array; and 3. Youth/family/responsible caregiver is unable to self-administer/administer prescribed medication because: <ol style="list-style-type: none"> a. Although the youth is willing to take the prescribed medication, it is in an injectable form and must be administered by licensed medical personnel; or b. Although youth is willing to take the prescribed medication, it is a Class A controlled substance which must be stored and dispensed by medical personnel in accordance with state law; or c. Administration by licensed/credentialed medical personnel is necessary because an assessment of the youth's physical, psychological and behavioral status is required in order to make a determination regarding whether to continue the medication and/or its means of administration and/or whether to refer the youth to the physician for a medication review. d. Due to the family/caregiver's lack of capacity there is no responsible party to manage/supervise self-administration of medication (refer youth/family for CSI and/or Family or Group Training in order to teach these skills)
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Youth continues to meet admission criteria.
Discharge Criteria	<ol style="list-style-type: none"> 1. Youth no longer needs medication; or 2. Youth/Family/Caregiver is able to self-administer, administer, or supervise self-administration medication; and 3. Adequate continuing care plan has been established.
Service Exclusions	<ol style="list-style-type: none"> 1. Does not include medication given as a part of Ambulatory Detoxification. Medication administered as part of Ambulatory Detoxification is billed as "Ambulatory Detoxification." 2. Must not be billed in the same day as Nursing Assessment 3. For individuals who need opioid maintenance, the Opioid Maintenance service should be requested.
Clinical Exclusions	<p>This service does not cover the supervision of self-administration of medications. Self-administration of medications can be done by anyone physically and mentally capable of taking or administering medications to himself/herself. Youth and adults with mental health issues, or developmental disabilities are very often capable of self administration of medications even if supervision by others is needed in order to adequately or safely manage self-administration of medication and other activities of daily living.</p>

**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. There must be a physician's order for the medication and for the administration of the medication. The order must be in the youth's chart. Telephone orders are acceptable provided they are co-signed by the physician in accordance with DBHDD standards.
2. Documentation must support that the individual is being trained in the risks and benefits of the medications being administered and that symptoms are being monitored by the staff member administering the medication.
3. Documentation must support the medical necessity of administration by licensed/credentialed medical personnel rather than by the youth, family or caregiver.
4. Documentation must support that the youth AND family/caregiver is being trained in the principles of self-administration of medication and supervision of self-administration or that the youth/family/caregiver is physically or mentally unable to self-administer/administer. This documentation will be subject to scrutiny by the External Review Organization in reauthorizing services in this category.
5. This service does **not** include the supervision of self-administration of medication.
6. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
7. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide comprehensive medication services:
 - Practitioner Level 2: Advanced Practice Registered Nurse (APRN), PA, Pharmacist
 - Practitioner Level 3: Registered Nurse (RN)
 - Practitioner Level 4: Licensed Practical Nurse (LPN)
 - Practitioner Level 5: Qualified Medication Aide (QMA) who works in a CLA
2. The following individuals can provide therapeutic, prophylactic or diagnostic injections:
 - Practitioner Level 2: Advanced Practice Registered Nurse (APRN), PA, Pharmacist
 - Practitioner Level 3: Registered Nurse (RN)

- Practitioner Level 4: Licensed Practical Nurse (LPN)
3. The following individuals can provide alcohol to drug services, methadone administration and/or service provision:
 - Practitioner Level 2: Advanced Practice Registered Nurse (APRN), PA, Pharmacist
 - Practitioner Level 3: Registered Nurse (RN)
 - Practitioner Level 4: Licensed Practical Nurse (LPN)
 4. Qualified Medication Aides working in a Community Living Arrangement (CLA) may administer medication only in a CLA.

C. Clinical Operations

1. Medication administration may not be billed for the provision of single or multiple doses of medication that a consumer has the ability to self-administer, either independently or with supervision by a caregiver, either in a clinic or a community setting. In a group home/CCI setting, for example, medications may be managed by the house parents or residential care staff and kept locked up for safety reasons. Staff may hand out medication to the residents but this does not constitute administration of medication for the purposes of this definition and, like other watchful oversight and monitoring functions, are not reimbursable treatment services.
2. If consumer/family requires training in skills needed in order to learn to manage his/her own medications and their safe self-administration and/or supervision of self-administration, this skills training service can be provided via the Community Support or Family/Group Training services in accordance with the person's individualized recovery/resiliency plan.
3. Foster parents are eligible for CSI or Family/Group Training in the supervision of medication self-administration by youth living in their care, but agency employees, including those working in residential settings such as group homes and CCIs, are not eligible for CSI or Family/Group Training in the supervision of medication self-administration by youth in their care.

D. Service Access

1. Medication Administration may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.
2. This service may not be provided and billed for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility.

E. Additional Medicaid Requirements

As in all other settings, the daily maximum within a CSP for Medication Administration is 1 unit/day.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Nursing Assessment and Health Services							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Nursing Assessment/ Evaluation	Practitioner Level 2, In-Clinic	T1001	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	T1001	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	T1001	U4	U6			\$20.30
	Practitioner Level 2, Out-of-Clinic	T1001	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	T1001	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	T1001	U4	U7			\$24.36
RN Services, up to 15 minutes	Practitioner Level 2, In-Clinic	T1002	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	T1002	U3	U6			\$30.01
	Practitioner Level 2, Out-of-Clinic	T1002	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	T1002	U3	U7			\$36.68
LPN/LVN Services, up to 15 minutes	Practitioner Level 4, In-Clinic	T1003	U4	U6			\$20.30
	Practitioner Level 4, Out-of-Clinic	T1003	U4	U7			\$24.36
Health and Behavior Assessment, Face-to-Face with the Patient, Initial Assessment	Practitioner Level 2, In-Clinic	96150	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	96150	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	96150	U4	U6			\$20.30
	Practitioner Level 2, Out-of-Clinic	96150	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	96150	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	96150	U4	U7			\$24.36
Health and Behavior Assessment, Face-to-Face with the Patient, Re-assessment	Practitioner Level 2, In-Clinic	96151	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	96151	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	96151	U4	U6			\$20.30
	Practitioner Level 2, Out-of-Clinic	96151	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	96151	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	96151	U4	U7			\$24.36

Definition of Service: This service requires face-to-face contact with the youth/family/caregiver to monitor, evaluate, assess, and/or carry out a physician's orders regarding the psychological and/or

physical problems and general wellness of the youth. It includes:

- 1) Providing nursing assessments and interventions to observe, monitor and care for the physical, nutritional, behavioral health and related psychosocial issues, problems or crises manifested in the course of the youth's treatment;
- 2) Assessing and monitoring the youth's response to medication(s) to determine the need to continue medication and/or to determine the need to refer the youth to a physician for a medication review;
- 3) Assessing and monitoring a youth's medical and other health issues that are either directly related to the mental health or substance related disorder, or to the treatment of the disorder (e.g. diabetes, cardiac and/or blood pressure issues, substance withdrawal symptoms, weight gain and fluid retention, seizures, etc);
- 4) Consulting with the youth's family/caregiver about medical, nutritional and other health issues related to the individual's mental health or substance related issues;
- 5) Educating the youth and family/responsible caregiver(s) on medications and potential medication side effects (especially those which may adversely affect health such as weight gain or loss, blood pressure changes, cardiac abnormalities, development of diabetes or seizures, etc);
- 6) Consulting with the youth and family/caregiver (s) about the various aspects of informed consent (when prescribing occurs/APRN)
- 7) Training for self-administration of medication; and
- 8) Venipuncture required to monitor and assess mental health, substance disorders or directly related conditions, and to monitor side effects of psychotropic medications, as ordered by a Licensed Physician, Physician Assistant or Advanced Practice Nurse.
- 9) Providing assessment, testing, and referral for infectious diseases.

Target Population	Youth with Mental Health issues/SED and/or Substance Related Disorders Individuals with Mental Health issues/SED and MR/DD Individuals with Substance Related Disorders and MR/DD
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	15 minutes
Initial Authorization*	With the submission of MICP Registration -12 units With the submission of MICP New Episode - 60 units
Re-Authorization*	60 units
Maximum Daily Units*	16 units (32 for Ambulatory Detox)
Authorization Period*	180 days

UAS: Budget and Expense Categories	<u>Core Services Provider</u> 223 – C&A Mental Health 823 – C&A Addictive Diseases
Admission Criteria	1. Youth presents with symptoms that are likely to respond to medical/nursing interventions; or 2. Youth has been prescribed medications as a part of the treatment array or has a confounding medical condition.
Continuing Stay Criteria	1. Youth continues to demonstrate symptoms that are likely to respond to or are responding to medical interventions; or 2. Youth exhibits acute disabling conditions of sufficient severity to bring about a significant impairment in day-to-day functioning; or 3. Youth demonstrates progress relative to medical/medication goals identified in the Individualized Resiliency Plan, but treatment goals have not yet been achieved.
Discharge Criteria	1. An adequate continuing care plan has been established; and one or more of the following: 2. Youth no longer demonstrates symptoms that are likely to respond to or are responding to medical/nursing interventions; or 3. Goals of the Individualized Resiliency Plan have been substantially met; or 4. Youth/family requests discharge and youth is not in imminent danger of harm to self or others.
Service Exclusions	Medication Administration, Opioid Maintenance
Clinical Exclusions	Routine nursing activities that are included as a part of ambulatory detoxification and medication administration/methadone administration.

**(unless authorized as a part of a specific “package” which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. Nutritional assessments indicated by a youth’s confounding health issues might be billed under this code (96150, 96151). No more than 8 units specific to nutritional assessments can be billed for an individual within a year. This specific assessment must be provided by a Registered Nurse or by a Licensed Dietician (LD).
2. This service does **not** include the supervision of self-administration of medication.
3. Each nursing contact should document the checking of vital signs (Temperature, Pulse, Blood Pressure, Respiratory Rate, and weight, if medically indicated or if related to behavioral health symptom or behavioral health medication side effect) in accordance with general psychiatric nursing practice.
4. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
5. “Out-of-Clinic” may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or

- Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
- Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day. If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide nursing assessment and evaluation services:
 - Practitioner Level 2: Advanced Practice Registered Nurse (APRN)
 - Practitioner Level 3: Registered Nurse (RN)
 - Practitioner Level 4: Licensed Practical Nurse (LPN), Licensed Dietician (LD)
2. The following individuals can provide RN services:
 - Practitioner Level 2: Advanced Practice Registered Nurse (APRN)
 - Practitioner Level 3: Registered Nurse (RN)
3. The following individuals can provide LPN/LVN services:
 - Practitioner Level 4: Licensed Practical Nurse (LPN)
4. The following individuals can provide Health or Behavior Assessment (initial and reassessment) services:
 - Practitioner Level 2: Advanced Practice Registered Nurse (APRN)
 - Practitioner Level 3: Registered Nurse (RN), Licensed Dietician (LD)
 - Practitioner Level 4: Licensed Practical Nurse (LPN)

C. Clinical Operations

1. Venipuncture billed under this service must include documentation that includes canula size utilized, insertion site, number of attempts, location, and consumer tolerance of procedure.
2. All nursing procedures must include relevant consumer-centered, family-oriented education regarding the procedure.

D. Service Access

1. Nursing Assessment and Care may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.

2. This service may not be provided and billed for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility

E. Additional Medicaid Requirements

The daily maximum within a CSP for Nursing Assessment and Health Services is 5 units/day.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Pharmacy & Lab

Definition of Service: Pharmacy and Lab Services include operating or purchasing services to order, package, and distribute prescription medications. It includes provision of assistance to consumers to access indigent medication programs, sample medication programs and payment for necessary medications when no other funding source is available. This service provides for appropriate lab work, such as drug screens and medication levels, to be performed. This service is to ensure that necessary medication and lab services are not withheld or delayed to consumers based on inability to pay.

Target Population	Individuals with Mental Illness or Substance Related Disorders
Benefit Information	Available to all Core Customers with emphasis on priority populations.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Unit Value	
Initial Authorization	
Re-Authorization	
Authorization Period	
UAS: Budget and Expense Categories	
Admission Criteria	Individual has been assessed by a prescribing professional to need a psychotropic, anti-cholinergic, addiction specific, or anti-convulsant (as related to behavioral health issue) medication and/or lab work required for persons entering services, and/or monitoring medication levels.
Continuing Stay Criteria	Individual continues to meet the admission criteria as determined by the prescribing professional
Discharge Criteria	1. Individual no longer demonstrates symptoms that are likely to respond to or are responding to pharmacologic interventions; or 2. Individual requests discharge and individual is not imminently dangerous or under court order for this intervention.
Service Exclusions	
Clinical Exclusions	

Additional Service Requirements:

A. Required Components

1. Service must be provided by a licensed pharmacy or through contract with a licensed pharmacy.

2. Agency must participate in any pharmaceutical rebate programs or pharmacy assistance programs that promote consumer access in obtaining medication.
3. Providers shall refer all consumers who have an inability to pay for medications or services to the local county offices of the Department's Division of Family and Children's Services for the purposes of determining Medicaid eligibility.

B. Staffing Requirements

C. Clinical Operations

D. Service Access

E. Additional Medicaid Requirements

Not a Medicaid Rehabilitation Option service. Medicaid recipients may access the general Medicaid pharmacy program as prescribed by the Department of Community Health.

F. Reporting & Billing Requirements

All applicable MICP and other DBHDD reporting requirements must be met.

Psychiatric Treatment							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Individual Psychotherapy, insight oriented, behavior-modifying and/or supportive in an office or outpatient facility, approximately <u>20-30 minutes</u> face-to-face with patient with medical evaluation and management services.	Practitioner Level 1, In-Clinic, Child Program	90805	HA	U1	U6		\$97.02
	Practitioner Level 1, Out-of-Clinic, Child Program	90805	HA	U1	U7		\$123.48
	Practitioner Level 2, In-Clinic, Child Program	90805	HA	U2	U6		\$64.95
	Practitioner Level 2, Out-of-Clinic, Child Program	90805	HA	U2	U7		\$77.93
Individual Psychotherapy, insight oriented, behavior-modifying and/or supportive in an office or outpatient facility, approximately <u>45-50 minutes</u> face-to-face with patient with medical evaluation and management services.	Practitioner Level 1, In-Clinic, Child Program	90807	HA	U1	U6		\$174.63
	Practitioner Level 1, Out-of-Clinic, Child Program	90807	HA	U1	U7		\$222.26
	Practitioner Level 2, In-Clinic, Child Program	90807	HA	U2	U6		\$116.90
	Practitioner Level 2, Out-of-Clinic, Child Program	90807	HA	U2	U7		\$140.28

Pharmaceutical Management	Practitioner Level 1, In-Clinic, Child Program	90862	HA	U1	U6		\$58.21
	Practitioner Level 1, Via interactive audio and video telecommunication systems, Child Program	90862	GT	HA	U1		\$58.21
	Practitioner Level 1, Out-of-Clinic, Child Program	90862	HA	U1	U7		\$74.09
	Practitioner Level 2, In-Clinic, Child Program	90862	HA	U2	U6		\$38.97
	Practitioner Level 2, Via interactive audio and video telecommunication systems, Child Program	90862	GT	HA	U2		\$38.97
	Practitioner Level 2, Out-of-Clinic, Child Program	90862	HA	U2	U7		\$46.76

Definition of Service: The provision of specialized medical and/or psychiatric services that include, but are not limited to:

- Psychotherapeutic services with medical evaluation and management including evaluation and assessment of physiological phenomena (including co-morbidity between behavioral and physical health care issues);
- Assessment and monitoring of an individual's status in relation to treatment with medication,
- Assessment of the appropriateness of initiating or continuing services.

Youth must receive appropriate medical interventions as prescribed and provided by a physician (or physician extender) that shall support the individualized goals of resiliency as identified by the youth/family/caregiver and their Individualized Resiliency Plan (within the parameters of the youth/family's informed consent).

Target Population	Youth with SED or Substance Related Disorders
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	Available to those with CAFAS scores: 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	1 encounter
Initial Authorization*	12 units
Re-Authorization*	12 units
Maximum Daily Units*	1 unit (see Item F.1, and F.2. for exceptions)

Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 222 – C&A Mental Health 822 – C&A Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Individual is determined to be in need of psychotherapy services and has confounding medical issues which interact with behavioral health diagnosis, requiring medical oversight; or 2. Individual has been prescribed medications as a part of the treatment array
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Individual continues to meet the admission criteria; or 2. Individual exhibits acute disabling conditions of sufficient severity to bring about a significant impairment in day-to-day functioning; or 3. Individual continues to present symptoms that are likely to respond to pharmacological interventions; or 4. Individual continues to demonstrate symptoms that are likely to respond or are responding to medical interventions; or 5. Individual continues to require management of pharmacological treatment in order to maintain symptom remission.
Discharge Criteria	<ol style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Individual has withdrawn or been discharged from service; or 3. Individual no longer demonstrates symptoms that need pharmacological interventions.
Service Exclusions	
Clinical Exclusions	

**(unless authorized as a part of a specific “package” which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. Telemedicine may be utilized for an initial Psychiatric Diagnostic Examination as well as for ongoing Psychiatric Diagnostic Examination via the use of appropriate procedure codes with the GT modifier.
2. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a Physician's Assistant (PA) or Advanced Practice Registered Nurse (APRN: Nurse Practitioner or Clinical Nurse Specialist—Psychiatry & Mental Health) working in conjunction with a physician with an approved job description or protocol.
3. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide individual psychotherapy face to face with medical evaluation and management services:
 - Practitioner Level 1: Physician/Psychiatrist
 - Practitioner Level 2: CNS-PMH (Clinical Nurse Specialist in Psychiatric/Mental Health)
2. The following individuals can provide pharmacological management:
 - Practitioner Level 1: Physician/Psychiatrist
 - Practitioner Level 2: PA or APRN (if authority to perform this task is delegated by physician through approved job description or protocol)

C. Clinical Operations

1. It is expected that youth and families will be treated as full partners in the treatment regimen/services planned and received. As such, it is expected that practitioners will fully discuss treatment options with youth and families and allow for individual choice when possible. Discussion of treatment options should include a full disclosure of the pros and cons of each option (e.g. full disclosure of medication/treatment regimen potential side effects, potential adverse reactions-- including potential adverse reaction from not taking medication as prescribed, and expected benefits). If such full discussion/disclosure to the youth is not possible or advisable according to the clinical judgment of the practitioner, this should be documented in the youth's chart (including the specific information that was not discussed and a compelling rationale for lack of discussion/disclosure). The family/caregiver's role is an essential component of this dialogue.

D. Service Access

1. Telemedicine is the use of medical information exchanged from one site to another via electronic communications to improve a patient's health. Electronic communication means the use of interactive telecommunications equipment that includes, at a minimum, audio and video equipment permitting two-way, real time interactive communication between the patient, and the physician or practitioner at the distant site.
2. Psychiatric Treatment may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.
3. This service may not be provided and billed for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility

E. Additional Medicaid Requirements

1. The Daily maximum within a CSP for Pharmacologic Management is 1 unit/day.

2. Even if a physician providing behavioral health treatment and care also has his/her own Medicaid number, he/she should bill this code via the approved provider agency's Medicaid number through the Medicaid Category of Service (COS) 440.

F. Reporting & Billing Requirements

1. Within this service group, there is an allowance for when a U2 practitioner conducts an intervention and, because of clinical indicators presenting during this intervention, a U1 practitioner needs to provide another unit due to the concern of the U2 supervisee (e.g. Physician's Assistant provides and bills 90805U2U6 and because of concerns, requests U1 intervention following his/her billing of U2 intervention). The use of this practice should be rare and will be subject to additional utilization review scrutiny.
2. Within this service group, a second unit with a U1 modifier may be used in the event that a Telemedicine Psychiatric Treatment unit is provided and it indicates a need for a face-to-face assessment (e.g. 90862GTU1 is billed and it is clinically indicated that a face-to-face by an on-site physician needs to immediately follow based upon clinical indicators during the first intervention, then 90862U1, can also be billed in the same day).
3. All applicable Medicaid, MICP, and other DBHDD reporting requirements must be adhered to.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Psychological Testing							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Psychological Testing – Psycho-diagnostic assessment of emotionality, intellectual abilities, personality and psycho-pathology e.g. MMP, Rorschach, WAIS (per hour of psychologist's or physician's time, both face-to-face with the patient and time interpreting test results and preparing the report)	Practitioner Level 2, In-Clinic	96101	U2	U6			155.87
	Practitioner Level 2, Out-of-Clinic	96101	U2	U7			187.04
Psychological Testing – Psycho-diagnostic assessment of emotionality, intellectual abilities, personality and psycho-pathology e.g. MMP, Rorschach, WAIS) with qualified healthcare professional interpretation and report, administered by technician, per hour of technician time, face-to-face	Practitioner Level 3, In-Clinic	96102	U3	U6			120.04
	Practitioner Level 3, Out-of-Clinic	96102	U3	U7			146.71
	Practitioner Level 4, In-Clinic	96102	U4	U6			81.18
	Practitioner Level 4, Out-of-Clinic	96102	U4	U7			97.42

Definition of Service: Psychological testing consists of a face-to-face assessment of emotional functioning, personality, cognitive functioning (e.g. thinking, attention, memory) or intellectual abilities using an objective and standardized tool that has uniform procedures for administration and scoring and utilizes normative data upon which interpretation of results is based.

Psychological tests are only administered and interpreted by those who are properly trained in their

selection and application. The practitioner administering the test ensures that the testing environment does not interfere with the performance of the examinee and ensures that the environment affords adequate protections of privacy and confidentiality.

This service covers both the face-to-face administration of the test instrument(s) by a qualified examiner as well as the time spent by a psychologist or physician (with the proper education and training) interpreting the test results and preparing a written report.

Target Population	Children & Adolescents with a known or suspected mental health diagnosis and/or Substance-Related Disorder
Benefit Information	Requires a MICP Registration or MICP New Episode.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	1 hour
Initial Authorization	5 units
Re-Authorization	5 units
Maximum Daily Units	5 units
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 232 – C&A Mental Health 832 – C&A Addictive Diseases
Admission Criteria	1. A known or suspected mental illness or substance-related disorder; and 2. Initial screening/intake information indicates a need for additional undetermined supports and recovery/resiliency planning; and 3. Youth meets Core Customer eligibility.
Continuing Stay Criteria	The youth's situation/functioning has changed in such a way that previous assessments are outdated.
Discharge Criteria	Each intervention is intended to be a discrete time-limited service that modifies treatment/support goals or is indicated due to change in illness/disorder.
Service Exclusions	None
Clinical Exclusions	None

Additional Service Criteria:

A. Required Components

1. There may be no more than one comprehensive battery of 96101 and 96102 provided to one individual within a year.

2. There may be no more than 10 combined hours of 96101 and 96012 provided to one individual within a year.
3. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
4. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

The following practitioners can perform Psychological Testing:

- Practitioner Level 2: Psychologist
- Practitioner Level 3: LCSW, LPC, LMFT in conjunction with Psychologist
- Practitioner Level 4: Psychologist's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state.

C. Clinical Operations

The individual consumer (and caregiver/responsible family members etc as appropriate) must actively participate in the assessment processes.

B. Service Access

1. Psychological Testing may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.
2. This service may not be provided and billed for individuals who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detention proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility

C. Additional Medicaid Requirements

These services are performed in accordance with GA Practice Acts.

D. Reporting & Billing Requirements

All other applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

E. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual
2. In addition to the authorization produced through this service, documentation of clinical assessment findings from this service should also be completed and placed in the individual's chart.

Service Plan Development							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Service Plan Development	Practitioner Level 2, In-Clinic	H0032	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	H0032	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	H0032	U4	U6			\$20.30
	Practitioner Level 5, In-Clinic	H0032	U5	U6			\$15.13
	Practitioner Level 2, Out-of-Clinic	H0032	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	H0032	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	H0032	U4	U7			\$24.36
	Practitioner Level 5, Out-of-Clinic	H0032	U5	U7			\$18.15

Definition of Service: Children/Families access this service when it has been determined through an initial screening that the youth has mental health or addictive disease concerns. The Individualized Recovery/Resiliency Plan results from the Diagnostic and Behavioral Health Assessments and is required within the first 30 days of service, with ongoing plans completed as demanded by individual consumer need and/or by service policy.

The Individualized Recovery/Resiliency Planning process includes the individual's perspective, and should include family and/or significant others as well as collateral agencies/treatment providers/relevant individuals.

Information from a comprehensive assessment should ultimately be used to develop, together with the child and caretakers an Individualized Resiliency Plan that supports resilience and that is based on goals identified by the individual with parent(s)/responsible caregiver(s) involvement. As indicated, medical, nursing, peer, school, nutritional, etc staff should provide information from records, and various multi-disciplinary assessments for the development of the Individualized Resiliency Plan (IRP).

The cornerstone component of the child and adolescent Individualized Recovery/Resiliency Plan (IRP) involves a discussion with the child/adolescent and parent(s)/responsible caregiver(s) regarding what resiliency means to them personally (e.g. the child having more friends, improvement of behavioral health symptoms, staying in school, improved family relationships etc), and the development of goals (i.e. outcomes) and objectives that are defined by and meaningful to the child/adolescent based upon the individual's articulation of their recovery hopes. Concurrent with the development of the IRP, an individualized safety plan should also be developed, with the individual child and parent(s)/responsible caregiver(s) guiding the process through the free expression of their wishes and through their assessment of the components developed for the safety plan as being realistic for them.

The entire process should involve the child/youth as a full partner and should focus on service and resiliency goals/outcomes as identified by the individual and his/her family.

Recovery/Resiliency planning shall set forth the course of care by:

- Prioritizing problems and needs;
- Stating goals which will honor achievement of stated hopes, choice, preferences and desired outcomes of the youth/family;
- Assuring goals/objectives are related to the assessment;
- Defining goals/objectives that are individualized, specific, and measurable with achievable timeframes;
- Defining discharge criteria and desired changes in levels of functioning and quality of life to objectively measure progress;
- Transition planning at onset of service delivery;
- Selecting services and interventions of the right duration, intensity, and frequency to best accomplish these objectives;
- Assuring there is a goal/objective that is consistent with the service intent; and
- Identifying qualified staff who are responsible and designated for the provision of services.

Target Population	Children & Adolescents with a known or suspected mental health diagnosis and/or Substance-Related Disorder
Benefit Information	Available to all known or suspected Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 10-50: Resiliency Maintenance 60-90: Low Intensity Community-Based Services 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	32 units (Combined with H0031 – Behavioral Health Assessment)
Re-Authorization*	32 units (Combined with H0031 – Behavioral Health Assessment)
Maximum Daily Units*	24 units (Combined with H0031 – Behavioral Health Assessment)
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 231 – C&A Mental Health 831 – C&A Addictive Diseases
Admission Criteria	1. A known mental illness or substance-related disorder; and 2. Initial screening/intake information indicates a need for additional undetermined supports and recovery/resiliency planning; and 3. Youth meets Core Customer eligibility.
Continuing Stay Criteria	The youth's situation/functioning has changed in such a way that previous assessments are outdated.
Discharge Criteria	Each intervention is intended to be a discrete time-limited service that

	modifies treatment/support goals or is indicated due to change in illness/disorder.
Service Exclusions	None
Clinical Exclusions	None

**(unless authorized as a part of a specific “package” which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. The service plan must include elements articulated in the Documentation Guideline chapter in this Provider Manual.
2. “Out-of-Clinic” may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following practitioners can perform Service Planning:
 - Practitioner Level 2: Psychologist, APRN, PA
 - Practitioner Level 3: LCSW, LPC, LMFT, RN
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC(II, III); CAC-I or Addiction Counselor Trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology (addictions counselors may only perform these functions related to treatment of addictive diseases).
 - Practitioner Level 5: CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent (practitioners at this level may only perform these functions related to treatment of addictive diseases).

C. Clinical Operations

1. The individual consumer (and caregiver/responsible family members etc as appropriate) should actively participate in planning processes.

2. The Individualized Resiliency Plan should be directed by the individual's/family's personal resiliency goals as defined by them.
3. Safety/crisis planning should be directed by the youth/family and their needs/wishes to the extent possible and clinically appropriate. Plans should not contain elements/components that are not agreeable to, meaningful for, or realistic for the youth/family and that the youth/family is therefore not likely to follow through with.
4. The Multipurpose Informational Consumer Profile (MICP) format for treatment planning does not meet the requirements for a comprehensive Individualized Recovery/Resiliency Plan and should not be used as such. Guidelines for treatment planning are contained in the "Documentation Guidelines" referenced above and in the DBHDD Standards contained in this Provider Manual.
5. For youth at or above age 17 who may need long-term behavioral health supports, plan elements should include transitional elements related to post-primary education, adult services, employment (supported or otherwise), and other transitional approaches to adulthood.

D. Service Access

1. Service Plan Development may not be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.
2. This service may not be provided and billed for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detention proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility

E. Additional Medicaid Requirements

The daily maximum within a CSP for combined Behavioral Health Assessment and Service Plan Development is 24 units/day.

F. Reporting & Billing Requirements

All other applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual
2. The initial authorization/IRP and each subsequent authorization/IRP must be completed within the time-period specified by DBHDD.
3. Every record must contain an IRP in accordance with these Service Guidelines and with the DBHDD Standards contained in this Provider Manual.

Mental Health and Addictive Disease

***Children and Adolescents'
SPECIALTY Benefit Package***

Behavioral Assistance							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Behavioral Assistance	Therapeutic Behavioral Services, Per 15 minutes	H2019					\$11.31
	Therapeutic Behavioral Services, Per 15 minutes, Group	H2019	HQ				\$2.83
	Therapeutic Behavioral Services, Per 15 minutes, In School	H2019	IS				\$11.31

Definition of Service: Behavioral Assistance provided by Core or IFI providers and is designed to support youth and their families in meeting behavioral goals in various community settings. Behavioral Assistance is targeted for children and adolescents who are at risk of out-of-home placement or who have returned home from residential placement and need flexible wrap-around supports to ensure safety and to support community integration. Behavioral Assistants aid the family in implementing safety plans and behavior management plans when youth are at risk for offending behaviors, aggression, and oppositional defiance. The service must be tied to specific treatment goals and be developed in coordination with the youth and family.

Behavioral Assistants provide support to youth and their families during periods when behaviors have been typically problematic, such as during morning preparation for school, at bedtime, after school or other times when there is evidence of a pattern of an escalation of problem behaviors. Behavior Assistance can be provided during times when a youth is transitioning from a PRTF, residential program, hospital or CSP and the family needs hands on support. It may be provided in school classrooms or on school busses for short periods of time to help a youth's transition from hospitals and residential settings but is not intended as a permanent solution to problem behaviors at school.

Behavioral Assistance provides the youth and family support in a variety of environments, i.e., the home, community, and after school recreation programs. The Behavioral Assistants have flexible schedules in response to individualized consumer and family needs. The service cannot be utilized to supplant parental supervision or as a substitute for routine child-care. The service is available during the day, evenings, on weekends, and on holidays. It may include time spent transporting a youth to an activity but will not allow for reimbursement for staff members to travel when the youth is not in the vehicle.

Behavioral Assistance may not be used to supplant other services, such as Community Support or Intensive Family Intervention. The service may be used as an adjunct to CSI or IFI when a clear and distinct behavioral challenge has been identified that threatens to disrupt the child's ability to live in the community or participate in school and community life. This service may be utilized in conjunction with CSI or IFI when the need for supervision, support and positive role modeling has been demonstrated in addition to the skills training offered by CSI or the clinical services and family training provided by IFI teams. IFI services require a specific team composition dedicated to the IFI team; therefore, a staff member who provides IFI services may not also provide Behavioral Assistance. CSI and Behavioral Assistance may be provided by a single staff member at different times, according to the type of service that is provided. For example, when a CSI staff member is training a child to follow a reward system as

part of a behavior plan, CSI would be billed. However, if a child's behavior is being monitored as part of a behavioral plan and no direct skills training occurs, Behavioral Assistance would be billed.

Behavioral Assistants work closely with the treatment team, attending clinical and supervision meetings, and work in a collaborative way with family members. This service cannot be used to supplant services provided through other funding mechanisms or through other agencies.

Target Population	C&A with SED C&A with AD Issues C&A with Co-occurring SED/AD
Benefit Information	Available to Youth identified as core customers who are: -enrolled in "regular" Medicaid due to disability and are receiving core and/or specialty services; or -are covered by the DBHDD's Fee-For-Service Core and/or IFI via contract or Provider Agreement with the DBHDD. This service is not available to consumers whose benefits are managed through CMOs or other insurance plans.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 100-130: High Intensity Community-Based Services
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization	320 units
Re-Authorization	320 units
Maximum Daily Units	96 units (32 units if receiving this service in a group setting/HQ or in a school setting/IS)
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Core Services Providers</u> 258-C&A Mental Health 858-C&A Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Children and adolescents who meet the target population and core services definition; and 2. Children and adolescents with multi-agency involvement; or 3. Children and adolescents at risk of going into residential support or detention; or 4. Children and adolescents and family need support and assistance in implementing a community safety plan; or 5. Children and adolescents and family need additional supports during a crisis period in order to be safely maintained in the home during periods of stabilization; or 6. Children and adolescents have behavioral challenges that require direct supervision in order to access community activities; or 5. Children and adolescents who are transitioning from hospitals, residential settings, PRTFs, or CSPs.
Continuing Stay Criteria	1. Individual continues to meet the admission criteria.

Discharge Criteria	<ol style="list-style-type: none"> 1. No longer meets admission criteria, and 2. Consumer is no longer at risk for out of home placement, and/or 3. Family has skills to support the child without assistance, or 4. Consumer or family/guardian requests discharge from service, or; 5. Consumer requires a more intensive level of supports than are available through this service
Service Exclusions	PRTF Individuals served through CMOs or other insurance plans
Clinical Exclusions	None

Additional Service Criteria:

A. Required Components

1. In any review of this service, the mix of services to support the consumer will be important. A combination of other therapeutic services such as CSI, individual, group, or family therapy or training is allowed. Services, interventions, and schedules must be planned with the consumer and family.
2. Behavioral Assistance is typically provided one-to-one; however, small groups up to 4 consumers to 1 staff member may occasionally participate together in community events, such as a special recreational event or an outing to a restaurant, museum, or park.
3. Collaboration between family, Behavioral Assistants and other members of the treatment team regarding activities, interventions, and service components is an on-going process.
4. The family's cultural, religious, and social preferences are considered in the development and implementation of any service plan.
5. The family's scheduling needs are emphatically considered in the provision of this service.
6. Behavioral Assistants respect the privacy, routines, and authority of the parent/caregiver, unless there is a suspicion of abuse, or neglect which must be reported as defined by agency policy.
7. Only Core or IFI providers may deliver this service.

B. Staffing Requirements

1. Bachelor's degree in a related field; or
2. Associate's degree with 1 year direct experience working with children or adolescents in a behavioral health setting; or
3. High School Diploma and 3 years direct experience working with children or adolescents in a behavioral health setting; and
4. Ability to communicate effectively with the family and consumer according to the intervention plan; and
5. Ability to communicate effectively in writing to prepare correspondence, reports, and progress notes.

C. Clinical Operations

1. Individualized behavioral support services must be related to the goals and objectives on the IRP. The Behavioral Assistant must engage in purposeful, goal related visits in the consumer's home or other community setting.
2. Behavioral Assistants must be supervised by a LCSW, LMSW, LPC, LAPC, LMFT, LAMFT, or Licensed Clinical Psychologist.
3. Behavioral Assistants must attend clinical meetings related to a consumer's treatment needs.

4. Parents/caregivers are partners with the Behavioral Assistant. The Behavioral Assistant does not relieve the family of parental responsibility or decision-making.
5. Children and Adolescents receiving this service are also enrolled in Core Services and/or IFI services.

D. Service Access

Behavioral Assistance is available during the day, evening, weekends, and holidays. Hours are determined by the specific needs of the consumer and family.

E. Additional Medicaid Requirements

This is not a Medicaid reimbursable service; ABD Medicaid recipients may receive this service, if medically necessary, but it shall be billed via encounter to the DBHDD.

F. Reporting & Billing Requirements

1. See Item E. above.
2. All applicable MICP and other required DBHDD reporting must be followed.

G. Documentation Requirements

1. As with all interventions, this intervention must be documented on the IRP and must be tied to a treatment goal. There must be a weekly summary note indicating progress towards IRP goals. In addition, a daily attendance log that captures the amount of time each consumer spent in the program and supports billing must be maintained. Any unusual or significant events must be documented and communicated to the program supervisor on the day of the occurrence. A current schedule of activities must be posted. All collateral contacts should be documented in the consumer's medical record.
2. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Community Based Inpatient Psychiatric and Substance Detoxification Services							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Psychiatric Health Facility Service, Per Diem		H2013					

Definition of Service: A short-term stay in a licensed and accredited community-based hospital for the treatment or rehabilitation of a psychiatric and/or substance related disorder. Services are of short duration and provide treatment for an acute psychiatric or behavioral episode. This service may also include Medically Managed Inpatient Detoxification at ASAM Level IV-D.

Target Population	Children and Adolescents with a SED Children and Adolescents with a Substance Related Disorder Children and Adolescents with Co-occurring SMI and a Substance Related Disorder
Benefit Information	Available to Core Customers in need of Ongoing Services and requires MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 190-240: Medically Managed Inpatient Residential (transition)
Ordering Practitioner	
Unit Value	Per Diem
Reimbursement Rate	Per negotiation
Initial Authorization	5 days
Maximum Daily Units	1 unit
Re-Authorization	3 days
Authorization Period	5 days
UAS: Budget and Expense Categories	C&A Crisis Services Provider 235 – C&A Mental Health 835 – C&A Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Youth with SED that is experiencing serious impairment; persistent, recurrent, severe, or major symptoms (such as psychoses); or who is experiencing major suicidal, homicidal or high risk tendencies as a result of the mental illness; or 2. Youth's need is assessed for 24/7 supports which must be one-on-one and may not be met by any service array which is available in the community; or 3. Youth is assessed as meeting diagnostic criteria for a Substance Related Disorder according to the latest version of the DSM; and one or more of the following: <ol style="list-style-type: none"> A. Youth is experiencing signs of severe withdrawal, or there is evidence (based on history of substance intake, age, gender,

	<p>previous withdrawal history, present symptoms, physical condition, and/or emotional/behavioral condition) that severe withdrawal syndrome is imminent; or</p> <p>B. Level IV-D is the only available level of service that can provide the medical support and comfort needed by the youth, as evidenced by:</p> <ul style="list-style-type: none"> i. A detoxification regimen or Youth's response to that regimen that requires monitoring or intervention more frequently than hourly, or ii. The youth's need for detoxification or stabilization while pregnant, until she can be safely treated in a less intensive service.
Continuing Stay Criteria	<ul style="list-style-type: none"> 1. Youth continues to meet admission criteria; and 2. Youth's withdrawal signs and symptoms are not sufficiently resolved to the extent that they can be safely managed in less intensive services;
Discharge Criteria	<ul style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Youth no longer meets admission and continued stay criteria; or 3. Family requests discharge and youth is not imminently dangerous to self or others; or 4. Transfer to another service/level of care is warranted by change in the individual's condition; or 5. Individual requires services not available in this level of care.
Service Exclusions	<p>This service may not be provided simultaneously to any other service in the service array excepting short-term access to services that provide continuity of care or support planning for discharge from this service.</p>
Clinical Exclusions	<p>Youths with any of the following unless there is clearly documented evidence of an acute psychiatric/addiction episode overlaying the primary diagnosis:</p> <ul style="list-style-type: none"> a. Autism b. Mental Retardation/Developmental Disabilities c. Organic Mental Disorder; or d. Traumatic Brain Injury

Additional Service Criteria:

A. Required Components

1. This service must be licensed by DCH/HFR under the Rules and Regulations for Drug Abuse Treatment Programs, 290-4-2
2. A physician's order in the individual's record is required to initiate detoxification services. Verbal orders or those initiated by a Physician's Assistant or Clinical Nurse Specialist are acceptable provided they are signed by the physician within 24 hours or the next working day.

B. Staffing Requirements

Only nursing or other licensed medical staff under supervision of a physician may provide detoxification services.

C. Clinical Operations

Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.

D. Service Access

E. Additional Medicaid Requirements

Not applicable. This is not a Medicaid billable service.

F. Reporting & Billing Requirements

All applicable MICP and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Community Transition Planning							
Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Community Transition Planning	Community Transition Planning (State Hospital)	T2038	ZH				\$20.92
	Community Transition Planning (Crisis Stabilization Program)	T2038	ZC				\$20.92
	Community Transition Planning (PRTF)	T2038	ZP				\$20.92
	Community Transition Planning (Jail / Youth Detention Center)	T2038	ZJ				\$20.92
	Community Transition Planning (Other)	T2038	ZO				\$20.92

If you are an IFI provider, you may provide this service to those youth who are working towards transition into the community (as defined in the CTP guideline) and are expected to receive services from the IFI team. Please refer to the Core Guidelines for the detail.

Crisis Stabilization Program Services							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Behavioral Health; Short-term Residential (Non-Hospital Residential Treatment Program Without Room & Board, Per Diem)		H0018	HA	U2			209.22
Behavioral Health; Short-term Residential (Non-Hospital Residential Treatment Program Without Room & Board, Per Diem)		H0018	HA	TB	U2		

Definition of Service: This is a residential alternative to or diversion from inpatient hospitalization, offering psychiatric stabilization and detoxification services. The program provides medically monitored residential services for the purpose of providing psychiatric stabilization and substance detoxification services on a short-term basis. Specific services may include:

- 1) Psychiatric medical assessment;
- 2) Crisis assessment, support and intervention;
- 3) Medically Monitored Residential Substance Detoxification (at ASAM Level III.7-D).
- 4) Medication administration, management and monitoring;
- 5) Brief individual, group and/or family counseling; and
- 6) Linkage to other services as needed.

Services must be provided in a facility designated and certified by the DBHDD as an emergency receiving and evaluation facility

Target Population	Children and Adolescents experiencing: Severe situational crisis SED Substance-Related Disorders Co-Occurring Substance-Related Disorders and Mental Illness Co-Occurring Mental Illness and Mental Retardation Co-Occurring Substance-Related Disorders and Mental Retardation
Benefit Information	Available to Core Customers in need of Ongoing Services. Requires a MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential OR "clinical information to justify the service provided in the "justification text" on the MICP if CAFAS scores are higher/lower.
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)

Unit Value	1 day
Initial Authorization	20 units
Re-Authorization	
Maximum Daily Units	1 unit
Authorization Period	20 days
UAS: Budget and Expense Categories	<u>Crisis Services Provider</u> 234 – C&A Mental Health 834 – C&A Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Treatment at a lower level of care has been attempted or given serious consideration; and #2 and/or #3 are met: 2. Child/Youth has a known or suspected illness/disorder in keeping with target populations listed above; or 3. Child/Youth is experiencing a severe situational crisis which has significantly compromised safety and/or functioning; and one or more of the following: <ol style="list-style-type: none"> a. Child/Youth presents a substantial risk of harm or risk to self, others, and/or property or is so unable to care for his or her own physical health and safety as to create a life-endangering crisis. Risk may range from mild to imminent; or b. Child/Youth has insufficient or severely limited resources or skills necessary to cope with the immediate crisis; or c. Child/youth demonstrates lack of judgment and/or impulse control and/or cognitive/perceptual abilities to manage the crisis; or d. For detoxification services, individual meets admission criteria for Medically Monitored Residential Detoxification.
Continuing Stay Criteria	This service may be utilized at various points in the child's course of treatment and recovery; however, each intervention is intended to be a discrete time-limited service that stabilizes the individual.
Discharge Criteria	<ol style="list-style-type: none"> 1. Child/youth no longer meets admission guidelines requirements; or 2. Crisis situation is resolved and an adequate continuing care plan has been established; or 3. Child/youth does not stabilize within the evaluation period and must be transferred to a higher intensity service.
Service Exclusions	None
Clinical Exclusions	<ol style="list-style-type: none"> 1. Youth is not in crisis. 2. Youth does not present a risk of harm to self or others or is able to care for his/her physical health and safety. 3. Severity of clinical issues precludes provision of services at this level of intensity.

Additional Service Criteria:

A. Required Components

1. Crisis Stabilization Programs (CSP) providing medically monitored short-term residential psychiatric stabilization and detoxification services, shall be designated by the Department as both an emergency receiving facility and an evaluation facility and must be surveyed and certified by the DBHDD.

2. In addition to all service qualifications specified in this document, providers of this service must adhere to and be certified under the *Provider Manual for Community Mental Health, Developmental Disability and Addictive Disorders* "Core Requirements for All Providers" and DBHDD "Core Requirements for Crisis Stabilization Programs Operated by Community Service Boards."
3. The maximum length of stay in a crisis bed is 14 adjusted days (excluding Saturdays, Sundays and state holidays) for children and adolescents.
4. The maximum length of stay in crisis AND transitional beds combined is 29 adjusted calendar days (excluding Saturdays, Sundays and state holidays).
5. Youth occupying transitional beds must receive services from outside the CSP (i.e. community-based services) on a daily basis.
6. Services must be provided in a facility designated as an emergency receiving and evaluation facility that is not also an inpatient hospital, a freestanding Institute for Mental Disease (IMD), or a licensed substance abuse detoxification facility.
7. A CSP must have documented operating agreements and referral mechanisms for psychiatric disorders, addictive disorders, and physical healthcare needs that are beyond the scope of the CSP and that require inpatient treatment. Operating agreements must delineate the type and level of service to be provided by the private or public inpatient hospital or treatment facility. These agreements must specifically address the criteria and procedures for transferring the youth to a designated treatment facility when the CPS is unable to stabilize the youth.

B. Staffing Requirements

1. A physician or a staff member under the supervision of a physician, practicing within the scope of State law, must provide Crisis Stabilization Program (CSP) Services.
2. All services provided within the CPS must be delivered under the direction of a physician. A physician must conduct an assessment of new admissions, address issues of care, and write orders as required.
3. A CSP must employ a fulltime Nursing Administrator who is a Registered Nurse.
4. A CSP must have a Registered Nurse present at the facility at all times.
5. Staff-to-client ratios must be established based on the stabilization needs of clients being served and in accordance with the "Core Requirements for Crisis Stabilization Programs Operated by Community Service Boards."
6. Functions performed by Physician Assistants, Nurse Practitioners, Clinical Nurse Specialists, Registered Nurses, and Licensed Practical Nurses must be performed within the scope of practice allowed by State law and Professional Practice Acts.

C. Clinical Operations

1. A physician must evaluate a child/youth referred to a CSP within 24 hours of the referral.
2. A CSP must follow the seclusion and restraint procedures included in the Department's "Core Requirements for Crisis Stabilization Programs operated by Community Service Boards."
3. For youth with co-occurring diagnoses including mental retardation/developmental disabilities, this service must target the symptoms, manifestations, and skills-development related to the identified behavioral health issue.
4. Youth served in transitional beds may access an array of community-based services in preparation for their transition out of the CSP, and are expected to engage in community-based services daily while in a transitional bed.

D. Service Access

E. Additional Medicaid Requirements

1. Effective July 1, 2007, Medicaid stopped paying a bundled daily rate for these services. Crisis Stabilization Programs with less than 16 beds should bill individual services for Medicaid recipients.
2. The individual services listed below may be billed up to the daily maximum listed for services provided in a Crisis Stabilization Program. Billable services and daily limits within CSPs are as follows:

Service	Daily Maximum Billable Units
Crisis Intervention	8 units
Diagnostic Assessment	2 units
Psychiatric Treatment	1 unit (Pharmacological Mgmt)
Nursing Assessment and Care	5 units
Medication Administration	1 unit
Group Training/Counseling	4 units
Beh Health Assmnt & Serv. Plan Devel.	24 units
Medication Administration	1 unit

3. Medicaid claims for the services in E.2. above may **not** be billed for any service provided to Medicaid-eligible individuals in CSPs with greater than 16 beds.

F. Reporting & Billing Requirements

1. Providers must report information on all consumers served in CSPs no matter the funding source:
 - a. The CSP shall submit MICPs for all individuals served (state-funded, Medicaid funded, private pay, other third party payor, etc);
 - b. The CSP shall submit per diem encounters (H0018HAU2 or H0018HATBU2) for all individuals served (state-funded, Medicaid funded, private pay, other third party payor, etc) even if sub-parts cited in E.2 above are also billed as a claim to Medicaid;
 - c. Providers must designate either CSP bed use or transitional bed use in encounter submissions through the absence of or use of the TB modifier. TB represents "Transitional Bed."
2. Unlike all other DBHDD residential services, the start date of a CSP span encounter submission may be in one month and the end date may be in the next. The span of reporting must cover continuous days of service and the number of units must equal the days in the span.
3. All other applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

1. In order to report a per diem encounter, the consumer must have participated in the program for a minimum of 8 hours in the identified 12:00AM to 11:59PM day.
2. For individuals transferred to transitional beds, the date of transfer must be documented in a progress note and filed in the individual's chart.

3. Daily engagement in community-based services must also be documented in progress notes for those occupying transitional beds.
4. Specific to item F.2. above, the notes for the program must have documentation to support the per diem AND, if the program bills sub-parts to Medicaid (in accordance with E. above), each discrete service delivered must have documentation to support that sub-billable code (e.g. Group is provided for 1 hour, Group is billed for 1 hour, Group note is for 4 units at the 15 minute rate and meets all the necessary components of documentation for that sub-code).
5. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Intensive Family Intervention							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Intensive Family Intervention	Practitioner Level 3, In-Clinic	H0036	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	H0036	U4	U6			\$22.14
	Practitioner Level 5, In-Clinic	H0036	U5	U6			\$16.50
	Practitioner Level 3, Out-of-Clinic	H0036	U3	U7			\$41.26
	Practitioner Level 4, Out-of-Clinic	H0036	U4	U7			\$27.06
	Practitioner Level 5, Out-of-Clinic	H0036	U5	U7			\$20.17

Definition of Service: A service intended to improve family functioning by clinically stabilizing the living arrangement, promoting reunification or preventing the utilization of out of home therapeutic venues (i.e. psychiatric hospital, therapeutic foster care, psychiatric residential treatment facilities, or therapeutic residential intervention services) for the identified youth. Services are delivered utilizing a team approach and are provided primarily to youth in their living arrangement and within the family system. Services promote a family-based focus in order to:

- Defuse the current behavioral health crisis, evaluate its nature and intervene to reduce the likelihood of a recurrence;
- Ensure linkage to needed community services and resources; and
- Improve the individual child's/adolescent's ability to self-recognize and self-manage behavioral health issues, as well as the parents'/responsible caregivers' capacity to care for their children.

Services should include crisis intervention, intensive supporting resources management, individual and/or family counseling/training, and other rehabilitative supports to prevent the need for out-of-home placement or other more intensive/restrictive services. Services are based upon a comprehensive, individualized assessment and are directed towards the identified youth and his or her behavioral health needs/strengths and goals as identified in the Individualized Resiliency Plan.

Services shall also include resource coordination/acquisition to achieve the youth's and their family's goals and aspirations of self-sufficiency, resiliency, permanency, and community integration.

Target Population	Children and Adolescents with SED and/or Substance Related Disorders.
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Benefit Information	Available to Core Customers in need of Ongoing Services and requires a MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 100-130: High Intensity Community-Based Services 140-180: Medically Monitored Community Residential (transition) 190-240: Medically Managed Community Residential (transition) 190-240: Medically Managed Inpatient Residential (transition)
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization	288 units
Re-Authorization	288 units
Maximum Daily Units	48 Units is the standard maximum
Authorization Period	90 days
UAS: Budget and Expense Categories	<u>Intensive Treatment Services Provider</u> 253 – C&A Mental Health 853 – C&A Addictive Diseases
Admission Criteria	<p>1. Youth has a diagnosis and duration of symptoms which classify the illness as SED (youth with SED have a diagnosable mental, behavioral, or emotional disorder of sufficient duration to meet DSM diagnostic criteria and results in a functional impairment which substantially interferes with or limits the child's role or functioning in the family, school, or community activities) and/or is diagnosed Substance Related Disorder;</p> <p>and one or more of the following:</p> <p>2. Youth has received documented services through other services such as Core Services and exhausted less intensive out-patient programs. Treatment at a lower intensity has been attempted or given serious consideration, but the risk factors for out-of-home placement are compelling (see item G.1. below); The less intensive services previously provided must be documented in the clinical record (even if it via by self-report of the youth and family). or</p> <p>3. Youth and/or family has insufficient or severely limited resources or skills necessary to cope with an immediate behavioral health crisis; or</p> <p>4. Youth and/or family behavioral health issues are unmanageable in traditional outpatient treatment and require intensive, coordinated clinical and supportive intervention; or</p> <p>5. Because of behavioral health issues, the youth is at immediate risk of out-of-home placement or is currently in out-of-home placement (non-institutional-See D.3. and D.4. below) and reunification is imminent (therefore, intensive work needs to begin with the youth and family regarding the youth's treatment goals); or</p> <p>6. Because of behavioral health issues, the youth is at immediate risk of</p>

	legal system intervention or is currently involved with DJJ for behaviors/issues related to SED and/or the Substance-related disorder.
Continuing Stay Criteria	1. Same as above.
Discharge Criteria	<ol style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Youth no longer meets the admission criteria; or 3. Goals of the Individualized Resiliency Plan have been substantially met; or 4. Individual and family request discharge, and the individual is not imminently dangerous; or 5. Transfer to another service is warranted by change in the individual's condition; or 6. Individual requires services not available within this service.
Service Exclusions	<p>Not offered in conjunction with Individual Counseling, Family Counseling/Training, Crisis Intervention Services, and/or Crisis Stabilization Program, PRTF, or inpatient hospitalization.</p> <p>May utilize Community Support for continuity of care.</p> <p>This service may not be provided to youth who reside in a congregate setting in which the caregivers are paid (such as group homes, child caring institutions, intensive residential treatment facilities, or any other living environment that is not comprised of family, guardians, or other more permanent caregivers). A short-term exception would be if the youth were preparing for transition back to a single-family unit, the family member is present during the intervention, and the service is directed to supporting the unification/reunification of the youth and his/her identified family/caregiver and takes place in that home and community.</p> <p>The billable activities of IFI do not include:</p> <ol style="list-style-type: none"> 1) Transportation 2) Observation/Monitoring 3) Tutoring/Homework Completion 4) Diversionary Activities (i.e. activities without therapeutic value)
Clinical Exclusions	<ol style="list-style-type: none"> 1. Youth with any of the following unless there is clearly documented evidence of an acute psychiatric/addiction episode overlaying the primary diagnosis: <ol style="list-style-type: none"> a. Autism Spectrum Disorders including Asperger's Disorder (any youth currently enrolled June 30, 2010 shall remain eligible throughout current authorization. b. Mental Retardation/Developmental Disabilities c. Organic Mental Disorder; or d. Traumatic Brain Injury 2. Youth can effectively and safely be treated at a lower intensity of service. This service may not be used in lieu of family preservation and post-adoption services for youth who do not meet the admission criteria for IFI.

Additional Service Criteria: *(Elements below which are different from the FY10 version of this definition will be effective 8/1/2010)*

A. Required Components:

1. The organization has established procedures/protocols for handling emergency and crisis situations that describe methods for intervention with youth who require psychiatric hospitalization.
2. Each Intensive Family Intervention (IFI) provider must have policies and procedures governing the provision of outreach services, including methods for protecting the safety of staff that engage in outreach activities.
3. The organization must have an Intensive Family Intervention Organizational Plan that addresses the description of:
 - Particular evidence-based family preservation, resource coordination, crisis intervention and wraparound service models utilized (MST, DBT, MDFT, etc), types of intervention practiced. The organization must show documentation that each staff member is trained in the model for in-home treatment (i.e., certification, ongoing supervision provided by the training entity, documentation of annual training in the model).
 - Effective July 1, 2011: The organization must have demonstrable evidence that they are working towards fidelity to the model that they have chosen (via internal Quality Assurance documentation, staff training documentation, etc). There should not be an eclectic approach to utilizing models. Fidelity to the chosen model is the expectation for each IFI team. If an agency chooses to develop a plan which incorporates more than one evidenced-based model within the organization, there must be a particular evidenced-based model chosen for each IFI team (e.g. an agency administers 3 teams, 2 which will adhere to one model, one to another model). Documentation of training for each staff person on the evidenced-based in-home model they will be utilizing in the provision of services should exist in their personnel files beginning January 1, 2011. Some models do not have the stringent staffing requirements that this service requires. The expectation is that staffing patterns in accordance with the specific model used are in compliance with staffing requirements noted in this service definition
 - Hours of operation, the staff assigned, and types of services provided to consumers, families, parents, and/or guardians,
 - How the plan for services is modified or adjusted to meet the needs specified in each Individualized Resiliency Plan, and
4. At least 60% of service units must be provided face-to-face with children and their families, and 80% of all face-to-face service units must be delivered in non-clinic settings over the authorization period.
5. At least 50% of IFI face-to-face units must include the child (identified consumer). However, when the child is not included in the face-to-face contacts, the focus of the contacts must remain on the child and their goals as identified on their IRP.
6. Documentation of how the team works with the family and other agencies/support systems (such as LIPTs, provider agencies, etc) to build a clinically oriented transition and discharge plan is required and should be documented in the clinical record of the consumer.
7. IFI is an individual intervention and may not be provided or billed for more than 1 youth at the same time (including siblings); however, youth participating in an IFI program may receive group skills training and/or group counseling in keeping with his/her individual recovery plan. Siblings who are each authorized to receive IFI must receive individualized services, but family interventions can be

done jointly, with only one bill being submitted to the payor (For example, Sibling 1 and Sibling 2 are being seen for 2 units with the parents. Sibling 1 and Sibling 2 each have the documentation in both records, but only one claim for 2 units of reimbursement may be submitted to the payor source.)

8. IFI is intended to be provided to youth/families in their living arrangement. Services provided in school settings are allowable up to 3 hours/week as a general rule and the clinical record shall include documentation of partnership with the school. Exceptions to this 3 hours/week should be documented to include approval by the IFI Team Leader of clinical need (CAFAS scores, inpatient hospitalization transition, PRTF transition, crisis interventions, etc.). The record should indicate why a specific intervention took place in the school during school hours instead of after school in the home or community. Youth receiving this service must never be taken out of the classroom for the convenience of the service provider. IFI should not supplant what schools must provide for support of a child based on the IEP.
9. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day. If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following practitioners can provide Intensive Family Intervention within the scope of the team definition which is defined in this Section:
 - Practitioner Level 2: Psychologist, CNS-PMH (reimbursed at Level 3 rate)
 - Practitioner Level 3: LCSW, LPC, LMFT, RN
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); PP, CPRP, CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology (addictions counselors may only perform counseling functions related to treatment of addictive diseases).
 - Practitioner Level 5: CPS, PP, CPRP, CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent under supervision of one of the licensed/credentialed professionals above

2. Intensive Family Intervention is provided by a team consisting of the family and the following practitioners:
 - One fulltime Team Leader who is licensed (and/or certified as a CAC II if the target population is solely diagnosed with substance related disorders) by the State of Georgia under the Practice Acts and has at least 3 years of experience working with children with serious emotional disturbances. LAMFT, LMSW, LAPC staff do not qualify for this position. The team leader must be actively engaged in the provision of the IFI service in the following manner:
 - (a) Convene, at least weekly, team meetings that serve as the way to staff a child with the team, perform case reviews, team planning, and to provide for the team supervision and coordination of treatment/supports between and among team members. When a specific plan for a specific youth results from this meeting, there shall be an administrative note made in the youth's clinical record. In addition, there should exist a log of meeting minutes from this weekly team meeting that documents team supervision. In essence, there should be two documentation processes for these meetings; one child specific in the clinical record, and the other a log of meeting minutes for each team meeting that summarizes the team supervision process. This supervision and team meeting process is not a separately-billable activity, but the cost is accounted for within the rate methodology and supports the team approach to treatment.
 - (b) meet at least twice a month with families face-to-face or more often as clinically indicated.
 - (c) provide weekly, individual, clinical supervision to each IFI team member (outside of the weekly team meeting) for all services provided by that member of the IFI team. The individual supervision process is to be one-on-one supervision, documented in a log, with appropriate precautions for consumer confidentiality and indicating date/time of supervision, issues addressed, and placed in the personnel file for the identified IFI team staff.
 - (d) be dedicated to a single IFI team ("Dedicated" means that the team leader works with only one team at least 32 hours/week [up to 40 hours/week] and is a full-time employee of the agency [not a subcontractor/1099 employee]).
 - Two to three fulltime equivalent paraprofessionals who work under the supervision of the Team Leader.
 - The team may also include an additional mental health professional, substance abuse professional or paraprofessional. The additional staff may be used .25 percent between 4 teams.
3. To facilitate access for those families who require it, the specialty IFI providers must have access to psychiatric and psychological services, as provided by a Physician, Psychiatrist or a Licensed Psychologist (via contract or referral agreement). These contracts or agreements must be kept in the agency's administrative files and be available for review.
4. Practitioners providing this service are expected to maintain knowledge and skills regarding current research trends in best/evidence based practices. Some examples of best/evidence based practice components/models are multi-systemic therapy, multidimensional family therapy, dialectic behavioral therapy and others as appropriate to the child, family and issues to be addressed. Their personnel files must indicate documentation of training and/or certification in the evidenced-based model chosen by the organization. Beginning January 1, 2011, there should be training documentation indicating the evidenced-based in-home practice model each particular staff person will be utilizing in the provision of services.

5. The IFI Team's family-to-staff ratio must not exceed 12 families for teams with two paraprofessional, and 16 families for teams with three paraprofessionals (which is the maximum limit which shall not be exceeded at any given time). The staff-to-family ratio takes into consideration evening and weekend hours, needs of special populations, and geographic areas to be covered.
6. Documentation must demonstrate that at least 2 team members (one of whom must be licensed/credentialed) are providing IFI services in the support of each consumer served by the team in each month of service. One of these team members must be appropriately licensed/credentialed to provide the professional counseling and treatment modalities/interventions needed by the consumer and must provide these modalities/interventions as clinically appropriate according to the needs of the consumer.
7. It is critical that IFI team members are fully engaged participants in the supports of the served individuals. To that end, no more than 50% of staff can be "contracted"/1099 team members. Team members must work for only one IFI organization at a time and cannot be providing this service when they are a member of another team because they cannot be available as directed by families need or for consumer crises while providing on-call services for another program.
8. When a team is newly starting, there may be a period when the team does not have a "critical mass" of individuals to serve. During this time, a short-term waiver may be granted to the agency's team by the DBHDD Regional Coordinator/s for the counties served. The waiver request may address the part-time nature of a team leader and the paraprofessionals serving less than consumer-load capacity. For example, a team may only start by serving 4-6 families (versus full capacity 12-16 families) and therefore could request to have the team leader serve ½ time and a single paraprofessional. A waiver of this nature will not be granted for any time greater than 6 months. The waiver request to a Regional Coordinator must include:
 - (a) the agency's plan for building consumer capacity (not to exceed 6 months)
 - (b) the agency's corresponding plan for building staff capacity which shall be directly correlated to the item above

The Regional Coordinator has the authority to approve these short-term waivers and must copy APS Healthcare on its approval and/or denial of these waiver requests. No extension on these waivers will be granted.

9. It is understood that there may be periodic turn-over in the Team Leader position; however, the service fails to meet model-integrity in the absence of a licensed/credentialed professional to provide supervision, therapy, oversight of Individualized Recovery/Resiliency Plans, and team coordination. Understanding this scenario, an IFI team who loses a Team Leader must provide the critical functions articulated via one of the following means:
 - Documentation that there is a temporary contract for Team Leader who meets the Team Leader qualifications; or
 - Documentation that there is another fully licensed/credentialed professional who meets the Team Leader qualifications and is currently on the team providing the Team Leader functions temporarily (this would reduce the team staff to either 2 or 3 members based on the numbers of families served by the team); or
 - Documentation that there is another fully licensed/credentialed professional who meets the Team Leader qualifications and is currently employed by the agency providing the Team Leader functions temporarily (this professional would devote a minimum of 15-20 hours/week to supervision, therapy, oversight of Individualized Recovery/Resiliency Plans, and team coordination); or

- Documentation that there is an associate-licensed professional who could work full-time dedicated to therapy, oversight of Individualized Recovery/Resiliency Plans, and team coordination with a fully licensed/credentialed professional supporting the team for 5 hours/week for clinical supervision.

For this to be allowed, the agency must be able to provide documentation that recruitment is underway. Aggressive recruitment shall be evidenced by documentation in administrative files of position advertising. In the event that a position cannot be filled within 60 days OR in the event that there is no ability to provide the coverage articulated in this item (B.8.), there shall be notification to the State DBHDD Office and the Regional Coordinator of the intent to cease billing for the IFI service.

11. IFI providers may not share contracted team members with other IFI agencies. Staff may not work part-time for one agency and part-time with another agency due to the need for staff availability in accord with the specific needs, requirements, and requests of the families served. Team members must be dedicated to each specific team to ensure intensity, consistency, and continuity for the consumers served.

C. Clinical Operations:

1. In-home services include consultation with the individual, parents, or other caregivers regarding medications, behavior management skills, and dealing with the responses of the individual, other caregivers and family members, and coordinating with other child-serving treatment providers.
2. Individuals receiving this service must have a qualifying and verified diagnosis present in the medical record prior to the initiation of services. The verified diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
3. The Individualized Resiliency Plan must be individualized, strengths-based, and not developed from a template used for other consumers and their families. Team services are individually designed for each family, in full partnership with the family, to minimize intrusion and maximize independence.
4. Intensive Family Intervention must be provided through a team approach (as evidenced in documentation) and flexible services designed to address concrete therapeutic and environmental issues in order to stabilize a situation quickly. Services are family-driven, child focused, and focus on developing resiliency in the child. They are active and rehabilitative, and delivered primarily in the home or other locations in the community. Services are initiated when there is a reasonable likelihood that such services will lead to specific, observable improvements in the individual's functioning (with the family's needs for intensity and time of day as a driver for service delivery).
5. Service delivery must be preceded by a thorough assessment of the child and the family in order to develop an appropriate and effective treatment plan. This assessment must be clearly documented in the clinical record.
6. IFI services provided to children and youth must be coordinated with the family and significant others and with other systems of care such as the school system, the juvenile justice system, and children's protective services when appropriate to treatment and educational needs.
7. IFI providers must have the ability to deliver services in various environments, such as homes (birth, kin, adoptive, and foster), schools, homeless shelters, or street locations. The provider should keep in mind that youth/families may prefer to meet staff at a community location other than their homes or other conspicuous locations (e.g. parents' place of employment or school),

especially if staff drive a vehicle that is clearly marked as a state or agency vehicle, or if staff must identify themselves and their purpose to gain access to the individual in a way that may potentially embarrass the individual or breach the individual's privacy/confidentiality. Staff should be sensitive to and respectful of youth's privacy/confidentiality rights and preferences in this regard to the greatest extent possible (e.g. if staff must meet with a youth during their school time, mutually agree upon a meeting time during the day that is the least conspicuous from the youth's point of view).

8. The organization must have policies that govern the provision of services in natural settings and can document that it respects the youth's and/or family's right to privacy and confidentiality when services are provided in these settings
9. When a projected discharge date for the service has been set, the youth may begin to receive more intensified Community Support services two weeks prior to IFI discharge for continuity of care purposes only.
10. When there is a crisis situation identified or there is potential risk of youth harm to self or others, there must be documentation that a licensed/credentialed practitioner is involved in that crisis resolution.
11. Safety planning with the family must be evident at the beginning of treatment and all parties involved, including community partners, will need to know the plan and who is responsible for supporting its implementation. When aggression is an issue within the family, a written safety plan must be developed and signed by the parents/caregivers, staff, youth, and other agency staff involved in the plan. This plan must be given to the family, other agency staff, the youth, and a copy kept in the consumer's record
12. Service delivery should be organized in a way such that there is a high frequency of services delivered at the onset of support and treatment and a tapering off as the youth moves toward discharge. As it applies to the specific youth, this shall be documented in the record.

D. Service Accessibility

1. Services must be available 24 hours a day, 7 days a week, through on-call arrangements with practitioners skilled in crisis intervention. A team response is preferable when a family requires face-to-face crisis intervention.
2. Due to the intensity of the service, providers must offer a minimum of 3 contacts per week with the youth/family except during periods where service intensity is being tapered toward the goal of transition to another service or discharge.
3. Intensive Family Intervention may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital, psychiatric residential treatment facility or crisis stabilization program with greater than 16 beds), jail, youth development center (YDC) or prison system.
4. This service may not be provided and billed for youth who are involuntarily detained in Regional Youth Detention Centers (RYDCs) awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings. Any exception to this requires supporting documentation from the DJJ partners. The provider holds the risk for assuring the youth's eligibility
5. Services provided for over 6 hours on any given day must be supported with rigorous reasons in the documentation. Anything over 6 hours would need to relate to a crisis situation and the support administrative documentation should spell out the reasons for extended hours and be signed by the Team Leader.

E. Additional Medical Requirements

Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

1. If admission criteria #2 is utilized to establish admission, notation of other services provision intensity/failure should be documented in the record (even if it is self-reported by the youth/family).
2. As the team, youth, and family work toward discharge, documentation must indicate planning with the youth/family for the supports and treatment needed post-discharge from the IFI service. Referrals to subsequent services should be a part of this documentation.
3. In addition to all the references within this service guideline, providers must also document services in accordance with the specifications for documentation requirements specified in Part II, Section IV of the Provider Manual.

Outdoor Therapeutic Program							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Therapeutic Camping, Overnight		T2036					

Definition of Service: The Outdoor Therapeutic Program is a therapeutic wilderness program for troubled youth. The mission of the OTP is to operate a program that promotes growth through challenge, education, positive reinforcement and nurturing to youth and families who are deemed most in need and likely to benefit.

Referral to this program is appropriate for youth who have social, emotional, or behavioral problems in their homes, schools, and communities. Many of the youth have poor school performance, family problems, and peer relationship problems. All youth enrolled in the program are assessed by gathering information from the referral sources (sponsors) and parents or legal guardians. From the assessment process, an individualized service plan is developed with the youth, parents and referral "sponsor" to guide the youth in the program. The newly admitted youth join an existing group of peers and counselors living in a wilderness setting. Each group is an autonomous community with campers learning to accept and share responsibility for basic living requirements. Skills in teamwork, compromise and leadership emerge and develop, as campers must learn to cooperate in order for the camp community to function. The counselors provide guidance and suggestions, but the group members are responsible for planning and accomplishing the required chores and for maintaining group cohesiveness.

Target Population	Youth who are experiencing social, emotional or behavioral problems
Benefit Information	Requires a MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	N/A
Unit Value	1 day
Initial Authorization	90 days
Maximum Daily Units	1 unit
Re-Authorization	90 days
Authorization Period	90 days
UAS: Budget and Expense Categories	<u>Residential Services Provider</u> 250 – C&A Mental Health 850 – C&A Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Youth has serious social, emotional or behavioral problems; and 2. Youth has poor school performance, family problems, and/or peer relationship problems; and 3. Youth has exhausted other less restrictive, community based options as demonstrated by documentation from multiple community resources 4. Level of functioning precludes provision of services in less restrictive services 5. Full scale IQ of 70 or higher

	6. Psychological evaluation within past 24 months
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Youth has behavior that continues to create a risk for more restrictive placement despite efforts and youth and family needs more time in the program to acquire social, functional improvements 2. Continued presence of presenting problems associated with placement. 3. Continuing stay criteria will be reviewed every 90 days. The maximum length of stay shall be 9 months. If the program is not successful within this designated amount of time, other intensive support options should be tried as alternatives.
Discharge Criteria	<ol style="list-style-type: none"> 1. No longer meets admission criteria 2. Refuses to participate in program activities 3. Alternative placement is available 4. Adequate aftercare plan have been established 5. Family/guardian requests discharge 6. Youth requires services not available through this program
Service Exclusions	Community Inpatient Services, IFI
Clinical Exclusions	<ol style="list-style-type: none"> 1. Presence of any behaviors that require a more intensive level of service due to dangerousness to self or others 2. Refuses to participate in program activities.

Additional Service Criteria:

A. Required Components

1. The Outdoor Therapeutic Camps are state-operated and administered by the DBHDD.
2. The newly admitted youth join an existing group of peers and counselors living in a wilderness setting. Each group is an autonomous community with campers learning to accept and share responsibility for basic living requirements.
3. Each camp has the capacity for 40-44 youth, ranging in age from age 12-17.
4. Staff arranges home visits/passes, when appropriate, each month to visit with their families or agency sponsors.
5. Youth typically stay in the program between 3 and 9 months, with an average length of stay of 6 months.
6. Linkages with other child-serving agencies and community supports should be clearly described within the comprehensive program descriptions.
7. There is a fully accredited school program at each camp, which is regularly monitored by the Department of Education. School attendance is required for each group and each camper is expected to demonstrate effort toward improving school behavior and school skills. Instruction is based on the Georgia Performance Standards and the assessed academic level of each camper. Teachers are certified in Special Education and one core subject area.
8. The program is accredited as an Outdoor Wilderness Program through the Council on Accreditation.
9. There will be offered 20 hours per week for school/vocational assignments.
10. There will be daily goal setting and group meetings.
11. There will be 3 meals, 1 snack, and recreation time each day.

B. Staffing Requirements

1. Two camp counselors are with each group of ten to eleven campers around the clock to monitor and supervise youth, as well as to provide training and support whenever needed.
2. Outdoor Therapeutic Camps each have four groups of ten to eleven campers. The staff to youth ratio for each group must be no less than 2:11.
3. A Camp Director who has a minimum of a bachelor's degree and experience supervising groups must supervise services.
4. The program will have one registered nurse on staff at each site that provides nursing assessment, and medication monitoring of administration under physician's orders.
5. All direct care staff must have an understanding of and ability to assess symptoms, medication issues, and behaviors in order to identify situations that require additional interventions.
6. The camp must have an educational supervisor and teachers to meet the educational needs of the campers.
7. The camp must have staff called "Family Workers" who coordinate services and help develop individualized service plans and communicate with the families, referring agencies/sponsors and provide parent/family training and education.
8. The program will refer youth who have behavioral health needs to core providers or private providers of behavioral health services and the legal guardian will have the choice of which behavioral health provider is selected. Camp staff will assist in making arrangements for youth who have identified behavioral health needs to have appointments/sessions with the outside behavioral health provider.
9. Services must have staff who has proficiency in working with the target population, with families as partners, and with local systems of care between child-serving agencies and providers of other service. They must have training and demonstrate proficiency in cultural competence as related to youth and families who are culturally different from them.
10. Staff must be trained in evidenced based practices specific to wilderness adventure-based interventions with youth/families who are experiencing social, emotional or behavioral problems.

C. Clinical Operations

1. Skills in teamwork, compromise and leadership emerge and develop, as campers must learn to cooperate in order for the camp community to function. The counselors provide guidance and suggestions, but the group members are responsible for planning and accomplishing the required chores and for maintaining group cohesiveness.
2. The most effective counseling is provided in sessions called "groups" that are called by individual campers or counselors at any time a camper's behavior or attitude is having a negative impact on the group and its goals. Campers also call "groups" to express and share feelings with other campers and to resolve conflicts.
3. Campers participate in outdoor, experiential adventure-based activities such as hiking, canoeing, caving and ropes course skills building on site and off-site as planned and scheduled by program staff.
4. When appropriate and applicable, families participate in monthly parent and family training and educational groups at camp and have opportunities to learn new parenting skills while their child is at camp.
5. Services must operate in accordance with all identified safety and health standards.
6. Services must be evidence-based, strength-based, family-driven and youth-guided and system of care oriented.
7. Discharge planning is conducted monthly and is addressed through daily monitoring of the youth's progress towards established goals in the service plan.

D. Service Access

1. Referrals are made directly to the Outdoor Therapeutic Program. The service team reviews and screens each referral to determine that the youth is appropriate and can benefit from the service. The service team also ensures that other less restrictive resources and services have been exhausted in the community. Referrals come directly from the DJJ for youth who are committed to DJJ, the Division of Family & Children Services (DFCS) for youth who are in DFCS custody and from DBHDD for youth who are in parental custody and are deemed likely to benefit from the service and other resources have been exhausted.
2. Services are available 24/7, which include monthly home visits. Youth have home visits/passes, when appropriate and applicable for family reunification goals and to practice new skills in their homes and communities.

E. Billing/Reporting Requirements

1. Youth enrolled in this service are reported through MICP enrollment and reporting mechanisms.
2. On the MICP, the required diagnostic field can be populated with 799.99 if there is no available diagnosis to report.
3. On the MICP, the required CAFAS field can be populated with 0 if there is no available CAFAS score to report.

F. Documentation Requirements

1. Documentation must reflect the activities that the youth and families participate in by date, time, and duration. Weekly documentation must indicate counselor's notes on each individual goals and objectives. Weekly group notes must be individualized and placed in each youth's medical record. Weekly documentation must reflect progress towards the resolution of presenting problems, and progress towards being fully re-integrated into school and community activities.
2. Quarterly documentation must address discharge planning progress and coordination with other agencies and the family towards this end.
3. Family Workers must coordinate with the outside behavioral health providers, such as core providers or private providers for clinical service goals and objectives that may be applicable for youth enrolled in the wilderness program. Agencies with legal custody or family members with legal custody are given choices about which provider of behavioral health services are available to serve the needs of the youth.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Structured Activity Supports							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Structured Activity Supports		SAS01					\$2.11

Definition of Service: Structured Activity Support Services provide children and adolescents who are core customers with homework assistance, leisure, and recreational activities. Services can be provided for up to two hours a day and are offered only in conjunction with treatment services, i.e. individual counseling, group training or counseling, and/or family training/counseling. For example, consumers receive one hour of group therapy and remain at the facility to participate in Structured Activity Supports or consumers arrive at the facility, participate in a recreational activity, receive assistance with homework, and then participate in a group therapy session. Services are to be utilized as an adjunct to clinical services, providing support to youth who have significant behavioral health problems and who need structured activities in addition to treatment services. Services are primarily group-based and are intended to provide consumers with opportunities for positive socialization experiences and skill building. Services will provide the child or adolescent with experiences and supports that will enable them to develop skills to become fully integrated into their communities and to develop positive and emotionally satisfying peer relationships. Services are planned in partnership with the youth and family and are designed to assist consumers in progressing toward treatment goals identified in the IRP.

Recreational and leisure activities may include group sports, games or hobbies and are designed to promote pro-social behaviors, competence and confidence in working and playing with others, and a positive attitude toward physical activities as an important component of a healthy and satisfying life. Play activities are also important to the development of positive relationships with adults. Diversionary activities that do not encourage interaction with consumers and staff, such as watching entertainment videos or movies, are not allowed. Homework assistance may be provided for consumers to improve or maintain academic achievement and to ensure that consumers complete school assignments. The service assists consumers according to level of need in an atmosphere of support. Homework assistance activities provide academic enrichment and skill building. It is designed to help children perform well in school, increase their experiences of success in academics, and internalize learning and academic goal attainment as positive experiences and is not simply monitoring youths while they complete their homework.

Youth typically attend Structured Activity Supports from three to five days a week. This service may be billed only when offered in conjunction (on the same day) with individual counseling, group training, group counseling, family training, and/or family counseling. It is primarily facility-based, although activities may involve excursions into the community for recreation.

Target Population	C&A with SED C&A with AD Issues C&A with Co-occurring SED/AD
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Benefit Information	Available to Core Customers enrolled in MRO or Fee-For-Services Core Services and in need of Ongoing Services and requires a MICP.
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 100-130: High Intensity Community-Based Services *May be used for consumers transitioning to the community from structured residential settings even when the CAFAS score is below 60.
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization	1248 units
Re-Authorization	1248 units
Maximum Daily Units	8 units
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 270 – C&A Mental Health 870 – C&A Addictive Diseases
Admission Criteria	1. Individual must meet target population criteria as indicated above; and 2. Individual needs assistance with developing, maintaining, or enhancing social supports or other community coping skills; and 3. Individual needs assistance with daily living skills including homework assistance and social activity supervision
Continuing Stay Criteria	1. Individual continues to meet admission criteria; and 2. Individual demonstrates documented progress or maintenance of community skills relative to goals identified in the Individualized Resiliency Plan.
Discharge Criteria	1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of Individualized Resiliency Plan have been substantially met; or 3. Individual/family requests discharge or 4. Transfer to another service is warranted by change in the individual's condition.
Service/Clinical Exclusions	PRTF Individuals served through CMOs or other insurance plans

Additional Service Criteria:

A. Required Components

1. Because this service must be offered in conjunction with individual counseling, family training/counseling, or group training/counseling, it may only be provided by providers offering the whole range of core services as defined in a DBHDD "Core Services" Provider Agreement/Contract.
2. This service is facility-based, although excursions into the community are allowed.
3. Structured Activity Supports are provided in small groups up to 1:5 staff to child ratio according to the specific educational and behavioral support needs of the child or adolescent.
4. Collaboration occurs with parents and/or school personnel regarding homework assignments and recreational and leisure activity needs.

5. Structured Activity Supports staff providing homework assistance must be familiar with best and promising practices in homework assistance and out-of-school learning programs and these practices, i.e. positive support and reinforcement, creating an organized homework environment, and communicating with teachers and parents must be evident. (Information about effective homework assistance is available on the Internet.)
6. Structured Activity Supports uses a wide range of materials that are appropriate for youth and will provide further enhancement in the development of recreation, leisure, and homework skills.
7. Direct supervision of computer use and/or blocking software must be ensured by program staff in order to protect youth from inappropriate material on the Internet.

B. Staffing Requirements

1. Program planning and supervision must be provided by a staff member with a master's degree in behavioral sciences. This supervisor must be on-site and available to the program during the hours it is in operation. The supervisor must accompany the group during off-site activities.
2. Because this service may be provided for extended periods of time, adequate supervision must be present at all times. A staff to consumer ratio of at least 1 staff member for 5 children must be maintained.
3. Direct services may be provided by paraprofessionals with experience serving children and adolescents in behavioral health settings.

C. Clinical Operations

1. Individualized services must be provided to the consumer and must be related to goals identified on the IRP.
2. This service is provided on the same day that the consumer is scheduled for individual therapy, group training or counseling and/or family training/counseling. For example, the child has group therapy and after that service participates in Structured Activity Supports with other consumers. Under no circumstance may a child receive this service as a stand alone, but instead must be provided Structured Activity Supports in conjunction with having participated in a clinical service on the same day.
3. Structured Activity Support Services must be coordinated with the parent/caregiver, the school system, and other child-serving agencies when appropriate and indicated regarding the consumer's homework and recreational/leisure needs.

D. Service Access

1. Structured Activity Services must be available at least 2 days per week and up to 6 days a week according to the needs of consumers and the capacity of the Provider agency.
2. Structured Activity Services is primarily facility-based but may involve excursions into the community.
3. This service may not be used to supplant or duplicate other support/supervision/activity services that are funded through other sources. For example, a residential program where structured group activities are program expectations may not supplant residential programming with this service.

E. Additional Medicaid Requirements

This is not a Medicaid reimbursable service.

F. Reporting & Billing Requirements

All applicable MICP and other required DBHDD reporting must be followed.

G. Documentation Requirements

1. As with all interventions, this intervention must be documented on the IRP and must be tied to a treatment goal. There must be a weekly summary note indicating progress towards IRP goals. In addition, a daily attendance log that captures the amount of time each consumer spent in the program and supports billing must be maintained. Any unusual or significant events must be documented and communicated to the program supervisor on the day of the occurrence. A current schedule of activities must be posted. All collateral contacts should be documented in the consumer's medical record.
2. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Structured Residential Supports							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Structured Residential	Child Program	H0043	HA				As negotiated

Definition of Service: Structured Residential Supports (formerly Rehabilitation Supports for Individuals in Residential Alternatives, Levels 1 & 2) are comprehensive rehabilitative services to aid youth in developing daily living skills, interpersonal skills, and behavior management skills; and to enable youth to learn about and manage symptoms; and aggressively improve functioning/behavior due to SED, substance abuse, and/or co-occurring disorders. This service provides support and assistance to the youth and caregivers to identify, monitor, and manage symptoms; enhance participation in group living and community activities; and, develop positive personal and interpersonal skills and behaviors to meet the youth's developmental needs as impacted by his/her behavioral health issues.

Services are delivered to youth according to their specific needs. Individual and group activities and programming must consist of services to develop skills in functional areas that interfere with the ability to live in the community, participate in educational activities; develop or maintain social relationships; or participate in social, interpersonal, recreational or community activities.

Rehabilitative services must be provided in a licensed residential setting (see A.2.) with no more than 16 individuals and must include supportive counseling, psychotherapy and adjunctive therapy supervision, and recreational, problem solving, and interpersonal skills development. All facilities providing residential rehabilitative supports must be staffed 24 hours a day, 7 days a week.

Target Population	Children & Adolescents with Serious Emotional Disturbance, Children & Adolescents with Substance Abuse Issues, Children & Adolescents with Co-Occurring Substance Abuse and Mental Illness Children & Adolescents with Co-Occurring Mental Illnesses and MR/DD. Children & Adolescents with Co-Occurring Substance Related Disorders and MR/DD.
Benefit Information	Available to Core Customers in need of Ongoing Services and requires a MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with CAFAS scores:</u> 140-180: Medically Monitored Community Residential 190-240: Medically Managed Community Residential 190-240: Medically Managed Inpatient Residential or clinical justification is explained in the justification text on the MICP for lower CAFAS scores
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	1 day
Initial Authorization	180 days

Re-Authorization	180 days
Maximum Daily Units	1 unit
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Residential Services Provider</u> 244 – C&A Mental Health 844 – C&A Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Youth must have symptoms of a SED or a substance related disorder; and one or more of the following: 2. Youth's symptoms/behaviors indicate a need for continuous monitoring and supervision by 24-hour staff to ensure safety; or 3. Youth/family has insufficient or severely limited skills to maintain an adequate level of functioning, specifically identified deficits in daily living and social skills and/or community/family integration; or 4. Youth has adaptive behaviors that significantly strain the family's or current caretaker's ability to adequately respond to the youth's needs; or 5. Youth has a history of unstable housing due to a behavioral health issue or a history of unstable housing which exacerbates a behavioral health condition.
Continuing Stay Criteria	Youth continues to meet Admissions Criteria.
Discharge Criteria	<ol style="list-style-type: none"> 1. Youth/family requests discharge; or 2. Youth has acquired rehabilitative skills to independently manage his/her own housing; or 3. Transfer to another service is warranted by change in youth's condition
Service Exclusions	Cannot be billed on the same day as Crisis Stabilization Program.
Clinical Exclusions	<ol style="list-style-type: none"> 1. Severity of identified youth issues precludes provision of services in this service 2. Youth with the following conditions are excluded from admission unless there is clearly documented evidence of psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder, or traumatic brain injury. 3. Youth is actively using unauthorized drugs or alcohol (which should not indicate a need for discharge, but for a review of need for more intensive services). 4. Youth can effectively and safely be supported with a lower intensity service.

Additional Service Criteria:

A. Required Components:

1. The organization must have an executive director or program director charged with the responsibility for day-to-day management of the organization.
2. If applicable, the organization must be licensed by the Georgia Department of Human Services/CCI or the Department of Community Health/HRF to provide residential services to youth with SED and/or substance abuse diagnosis. If the agency does not have a license/letter from either the DHS/CCI or DCH/HRF related to operations, there must be enough administrative documentation to support the non-applicability of a license.

3. The residential program must provide a structured and supported living environment 24 hours a day, 7 days a week.
4. Structured Residential Supports must provide at least 5 hours per week of structured programming and/or services.

B. Staffing Requirements:

1. Any Level 5 and higher practitioner may provide all Residential Rehabilitation Services.
2. If applicable, facilities must comply with any staffing requirements set forth for mental health and substance abuse facilities by the Office of Regulatory Services (see A.2).
3. An independently licensed practitioner or CACII/MAC/CADC must provide clinical supervision for all Residential Support Services. This person is available for emergencies 24 hours/7 days a week.
4. The organization that provides direct residential services must have written policies and procedures for selecting and hiring residential and clinical staff in accordance with their applicable license/accreditation/certification.
5. The organization must have a mechanism for ongoing monitoring of staff licensure, certification, or registration such as an annual confirmation process concurrent with a performance evaluation that includes repeats of screening checks outlined above.

C. Clinical Operations

1. The organization must have a written description of the Structured Residential Support services it offers that includes, at a minimum, the purpose of the service; the intended population to be served; treatment modalities provided by the service; level of supervision and oversight provided; and typical treatment objectives and expected outcomes.
2. Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
3. Structured Residential Supports assist youth in developing daily living skills that enable them to manage the symptoms and behaviors linked to their psychiatric or addictive disorder. Services must be delivered to individuals according to their specific needs. Individual and group activities and programming consists of services geared toward developing skills in functional areas that interfere with the youth's ability to participate in the community, retain school tenure, develop or maintain social relationships, or age-appropriately participate in social, interpersonal, or community activities.
4. Structured Residential Supports must include symptom management or supportive counseling; behavioral management; medication education, training and support; support, supervision, and problem solving skill development; development of community living skills that serve to promote age-appropriate utilization of community-based services; and/or social or recreational skill training to improve communication skills, manage symptoms, and facilitate age-appropriate interpersonal behavior.

D. Service Access

E. Additional Medicaid Requirements

This is not a Medicaid-billable service.

F. Reporting & Billing Requirements

All applicable MICP and other DBHDD reporting requirements must be adhered to.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.
2. The organization must develop and maintain sufficient written documentation to support the Structured Residential Support Services for which billing is made. This documentation, at a minimum, must confirm that the individual for whom billing is requested was a resident of the residential service on the date of service. The youth's record must also include each week's programming/service schedule in order to document the provision of the required amount of service.
3. Weekly progress notes must be entered in the youth's record to enable the monitoring of the youth's progress toward meeting treatment and rehabilitation goals and to reflect the Individualized Resiliency Plan implementation. Each note must be signed and dated and must include the professional designation of the individual making the entry.
4. Documentation must be legible and concise and include the printed name and the signature of the treating practitioner. The name, title, and credentials of the individual providing the service must reflect the staffing requirements established for the Rehabilitation Service being delivered.

H. Facilities Management (applicable to traditional residential settings such as group homes, treatment facilities, etc)

1. Structured Residential Supports may only be provided in facilities that have no more than 16 beds.
2. Each residential facility must be arranged and maintained to provide adequate measures for the health, safety, access and well being of the residents.
3. Each residential facility must comply with all relevant fire safety codes.
4. All areas of the residential facility must appear clean, safe, appropriately equipped, and furnished for the services delivered.
5. The organization must comply with the Americans with Disabilities Act.
6. The organization must maintain a written evacuation plan to be used in the case of fire or other disaster. An appropriate written certificate of compliance must be obtained indicating that all applicable fire and safety code requirements have been satisfied. Periodic fire drills must be conducted.
7. Evacuation routes must be clearly marked by exit signs.
8. The program must be responsible for providing physical facilities that are structurally sound and that meet all applicable federal, state, and local regulations for adequacy of construction, safety, sanitation, and health.

Substance Abuse Intensive Outpatient Package (C&A): (SA Adolescent Day Treatment)

HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
See Item E.1. Below							

Definition of Service: A time limited multi-faceted approach treatment service for adolescents who require structure and support to promote resiliency and achieve and sustain recovery from substance related disorders. These specialized services are available after school and/or weekends and include:

1. Behavioral Health Assessment
2. Nursing Assessment
3. Psychiatric Treatment
4. Diagnostic Assessment
5. Consumer Support Individual Services
6. Individual Counseling
7. Group Counseling (including psycho-educational groups focusing, relapse prevention and recovery)
8. Family Counseling/Psycho-Educational Groups for Family Members
9. Structured Activity Supports

These services are to be available at least 5 days per week to allow youth's access to support and treatment within his/her community, school, and family. These services are to be age appropriate and providers are to use best/evidenced based practices for service delivery to adolescent consumers. Intense coordination with schools and other child serving agencies is mandatory. This service promotes resiliency and recovery from substance abuse disorders incorporating the basic tenets of clinical practice. These services should follow Adolescent ASAM Level Guidelines. These guidelines are as follows: II.1 (at least 6 hours of structured programming per week); II.2 (at least 9 hours per week); II.3 (at least 12 hours per week); II.4 (at least 15 hours per week); and II.5 (at least 20 hours of structured activity per week). The maximum number of units that can be billed differs depending on the individual service. Please refer to the table below or in the Mental Health and Addictive Disease Orientation to Authorization Packages Section of this manual.

A consumer may have variable length of stay. The level of care should be determined as a result of consumers' multiple assessments. It is recommended that individuals attend at a frequency appropriate to their level of need. Ongoing clinical assessment should be conducted to determine step down in level of care.

Target Population	Adolescents with substance abuse related disorders, including those with co-occurring mental illness and secondary development disability
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Benefit Information	available to all ongoing core customers, requires a MICP New Episode or Ongoing Authorization
Utilization Criteria	<u>Available to those with CAFAS Scores</u> 100-130: High Intensity Community Based Services 140-180: Medically Monitored Community Residential (transition) 190-240: Medically Managed Community Residential (transition) 190-240: Medically Managed Inpatient Residential (transition)
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	See Authorization/Group Package Detail
Initial Authorization	See Authorization/Group Package Detail
Re-Authorization	See Authorization/Group Package Detail
Maximum Daily Units	See Authorization/Group Package Detail
Authorization Period	180 Days
UAS: Budget and Expense Categories	See Authorization/Group Package Detail
Admission Criteria	1. A DSM IV diagnosis of Substance Abuse or Dependence or substance-related disorder with a co-occurring DSM IV-TR diagnosis of mental illness and 2. Consumer meets the age criteria for adolescent treatment; and 3. Youth's biomedical conditions are stable or are being concurrently addressed (if applicable) and one or more of the following: a. Youth is currently unable to maintain behavioral stability for more than a 72 hour period, as evidenced by distractibility, negative emotions, or generalized anxiety or b. Youth has a diagnosed emotional/behavioral disorder that requires monitoring and/or management due to a history indicating a high potential for distracting the individual from recovery/treatment, or c. There is a likelihood of drinking or drug use without close monitoring and structured support d. The substance use is incapacitating, destabilizing or causing the individual anguish or distress and the individual demonstrates a pattern of alcohol and/or drug use that has resulted in a significant impairment of interpersonal, occupational and/or educational See also Adolescent ASAM Level II continued service criteria
Continuing Stay Criteria	1. Youth continues to meet admission criteria 1, 2, and/or 3 or 2. Youth is responding to treatment as evidenced by progress towards goals, but has not yet met the full expectation of the objectives or 3. Youth begins to recognize and understand his/her responsibility for addressing his/her illness, but still requires services and strategies to sustain personal responsibility and progress in treatment or 4. Youth recognizes and understands relapse triggers, but has not developed sufficient coping skills to interrupt or postpone gratification or to change related inadequate impulse control behaviors or

	5. Youth's substance seeking behaviors, while diminishing, have not been reduced sufficiently to support function outside of a structure treatment environment
Discharge Criteria	<p>An adequate continuing care or discharge plan is established and linkages are in place; and one or more of the following:</p> <ol style="list-style-type: none"> 1. Goals of the treatment plan have been substantially met; or 2. Youth's problems have diminished in such a way that they can be managed through less intensive services; or 3. Youth recognizes the severity of his/her drug/alcohol usage and is beginning to apply the skills necessary to maintain recovery by accessing appropriate community supports 4. Clinical staff determines that youth no longer needs ASAM Level II and is now eligible for aftercare and/or transitional services <p>Transfer to a higher level of service is warranted by change in the</p> <ol style="list-style-type: none"> 1. Youth's condition or nonparticipation; or 2. The youth refuses to submit to random drug screens; or 3. Youth's exhibits symptoms of acute intoxication and/or withdrawal or 4. The youth requires services not available at this level or 5. Youth has consistently failed to achieve essential treatment objectives despite revisions to the treatment plan and advice concerning the consequences of continues alcohol/drug use to such an extent that no further process is likely to occur <p>See also Adolescent ASAM Level II discharge criteria</p>
Service Exclusions	1. Substance Abuse C&A Intensive Outpatient Package cannot be offered at the same time as C&A Mental Health IOP Package. Documentation must indicate efforts to minimize duplication of services and effectively transition the individual to the appropriate services. This combination of services is subject to review by the External Review Organization.
Clinical Exclusions	<ol style="list-style-type: none"> 1. Youth manifests overt physiological withdrawal symptoms 2. Youth with any of the following unless there is clearly documented evidence of an acute psychiatric/addiction episode overlaying primary diagnosis <ol style="list-style-type: none"> a. Autism b. Developmental Disabilities c. Organic mental disorder d. Traumatic Brain Injury

A. Required Components

1. This service must be licensed by DCH/HFR under the Rules and Regulations for Drug Abuse Treatment Programs, 290-4-2.
2. The program provides structured treatment or therapeutic services, utilizing activity schedules as part of its operational method, i.e., plans or schedules of days or times of day for certain activities. The program should also utilize group and/or individual counseling and/or therapy.

3. Best/evidence based practice must be utilized. Some examples are motivational interviewing, behavioral family therapy, functional family therapy, brief strategic family therapy, cognitive behavioral therapy, seven challenges, teen MATRIX and ACRA.
4. The program utilizes methods, materials, settings, and outside resources appropriate to the developmental and cognitive levels, capabilities, age, and gender of participants.
5. The program utilizes methods, materials, approaches, activities, settings, and outside resources appropriate for and targeted to individuals with co-occurring disorders of mental illness and substance abuse and targeted to individuals with co-occurring and substance abuse when such individuals are referred to the program.
6. The program conducts random drug screening and uses the results of these tests for marking consumers' progress toward goals and for service planning.
7. The program is provided over a period of several weeks or months and often follows detoxification or residential services and should be evident in individual youth records.
8. Intense coordination with schools and other child serving agencies is mandatory.
9. This service must operate at an established site approved to bill Medicaid for services. However, limited individual or group activities may take place off-site in natural community settings as is appropriate to each individual's treatment plan.
 - a. Narcotics Anonymous (NA) and/or Alcoholics Anonymous (AA) meetings offsite may be considered part of these limited individual or group activities for billing purposes only when time limited and only when the purpose of the activity is introduction of the participating individual to available NA and/or AA services, groups or sponsors. NA and AA meetings occurring during the SA C&A Intensive Outpatient Package may not be counted toward the billable hours for any individual outpatient services, nor may billing related to these meetings be counted beyond the basic introduction of an individual to the NA/AA experience.
10. This service may operate in the same building as other services; however, there must be a distinct separation between services in staffing, program description, and physical space during the hours the SA Intensive Outpatient Services is in
11. Adequate space, equipment, furnishings, supplies, and other resources must be provided in order to effectively provide services and so that the program environment is clean and in good repair. Space, equipment, furnishings, supplies, transportation, and other resources for participating individuals' use within the Substance Abuse C&A Intensive Outpatient package must not be substantially different from that provided for other uses for similar numbers of individuals.

B. Staffing Requirements

1. The program must be under the clinical supervision of a **Level 4 or above** who is onsite a minimum of 50% of the hours the service is in operation.
2. Services must be provided by staff who are at least:
 - a. An LAPC, LMSW, CACII, CADC, CCADC, and Addiction Counselor Trainee with supervision
 - b. Paraprofessionals, RADTs under the supervision of a Level 4 or above
3. It is necessary for all staff who treat "co-occurring capable" services to have basic knowledge in the Georgia DBHDD Suggested Best Practices catering co-occurring consumers
4. Programs must have documentation that there is one Level 4 staff (excluding Addiction Counselor Trainee) that is "co-occurring capable." This person's knowledge must go beyond basic understanding and must demonstrate actual staff capabilities in using that knowledge for individuals with co-occurring disorders. Personnel documentation should demonstrate that this staff

person has received a minimum of 4 hours of training in co-occurring treatment within the past 2 years.

5. There must be at least a Level 4 on-site at all times the service is in operation, regardless of the number of individuals participating.
6. The maximum face-to-face ratio cannot be more than 10 youths to 1 direct program staff based on average daily attendance of individuals in the program.
7. A physician and/or a Registered Nurse or a Licensed Practical Nurse with appropriate supervision must be available to the program either by a physician and/or nurse employed by the agency, through a contract with a licensed practitioner, or by written referral or affiliation agreement with another agency or agencies that offer such services.
 - a. The physician is responsible for addiction and psychiatric consultation, assessment, and care (including but not limited to ordering medications and/or laboratory testing) as needed.
 - b. The nurse is responsible for nursing assessments, health screening, medication administration, health education, and other nursing duties as needed.
8. Staff identified in B.2.a may be shared with other programs as long as they are available as required for supervision and clinical operations and as long as their time is appropriately allocated to staffing ratios for each program.

C. Clinical Operations

1. It is expected that the transition planning for less intensive service will begin at the onset of these services. Documentation must demonstrate this planning.
2. Consumers receiving the Substance Abuse C&A Intensive Outpatient Package must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis.
3. Services are to be age appropriate with each youth and address the needs of C&A which will include an educational component, relapse prevention/refusal skills, healthy coping mechanisms and sober social activities.
4. Each consumer must be provided assistance in the development and acquisition of needed skills and resources necessary to achieve sobriety and/or reduction in abuse and maintenance of recovery.
5. Substance Abuse C&A Intensive Outpatient Package must offer a range of skill-building and recovery activities within the program.

The functions/activities of the Substance Abuse C&A Intensive Outpatient Package include but are not limited to:

- a. **Group Outpatient Services:**
 - i. Age appropriate psycho-educational activities focusing on the disease of addiction, prevention, and recovery
 - ii. Therapeutic group treatment and counseling
 - iii. Linkage to natural supports and self-help opportunities
- b. **Individual Outpatient Services**
 - i. Individual counseling
 - ii. Individualized treatment, service, and recovery planning
- c. **Family Outpatient Services**
 - i. Family education and engagement focusing on adolescent developmental issues and impact of addiction on the family

- ii. Interpersonal skills building including family communication and developing relationships with healthy individuals
 - d. **Community Support**
 - e. Educational/Vocational readiness and support
 - i. Services/resources coordination unless provided through another service provider
 - ii. Community living skills
 - iii. Linkage to health care
 - f. **Structured Activity Supports**
 - i. Leisure and social skill-building activities without the use of substances
 - g. **Behavioral Health Assessment & Service Plan Development and Diagnostic Assessment**
 - i. Assessment and reassessment
 - h. **Pharmacy/Labs (Core providers may report costs via "Pharmacy/Lab")**
 - i. Drug screening/toxicology examinations
- 6. In addition to the above required activities within the program, the following must be offered as needed either within the program or through referral to/or affiliation with another agency or practitioner, and may be billed in addition to the billing for Substance Abuse C&A Intensive Outpatient Package:
 - a. Community Support –for housing, legal and other issues
 - b. Individual counseling in exceptional circumstances for traumatic stress and other mental illnesses for which special skills or licenses are required
 - c. Physician assessment and care
 - d. Psychological testing
 - e. Health screening (Nursing Assessment & Care)
- 7. The program must have a Substance Abuse C&A Intensive Outpatient Services Organizational Plan addressing the following:
 - a. The philosophical model of the program and the expected outcomes for program participants (i.e., harm reduction, abstinence, beginning of or maintaining individually defined recovery, employment readiness, relapse prevention, stabilization and treatment of those with co-occurring disorders).
 - b. The schedule of activities and hours of operations.
 - c. Staffing patterns for the program.
 - d. How assessments will be conducted.
 - e. How staff will be trained in the administration of addiction services and technologies.
 - f. How staff will be trained in the recognition and treatment of substance abuse and treatment in an adolescent population
 - g. How services for individuals with co-occurring disorders will be flexible and will include services and activities addressing both mental health and substance abuse issues of varying intensities and dosages based on the symptoms, presenting problems, functioning, and capabilities of such individuals.
 - h. How individuals with co-occurring disorders who cannot be served in the regular program activities will be provided and/or referred for time-limited special integrated services that are co-occurring enhanced as described in the Georgia Suggested Best Practices
 - i. How services will be coordinated with the substance abuse array of services including assuring or arranging for appropriate referrals and transitions.
 - j. How the requirements in these service guidelines will be met.

D. Service Access

1. This package is to be available at least 5 days per week to allow youth's access to support and treatment within his/her community, school, and family.
2. These services should follow Adolescent ASAM Level Guidelines II.1 (at least 6 hours of structured programming per week) and II.5 (at least 20 hours of structured activity per week).

E. Additional Medicaid Requirements

1. The Substance Abuse C&A Intensive Outpatient Package allows providers to select all services that will be offered in a substance abuse outpatient setting. Billable services and daily limits within SA C&A Intensive Outpatient are as follows:

Service	Maximum Authorization Units	Maximum Daily Units
Behavioral Health Assessment & Service Plan Development	32	24
Diagnostic Assessment	4	2
Psychiatric Treatment	12	1
Nursing Assessment & Care	48	16
Community Support	600	96
Individual Outpatient Services	36	1
Group Outpatient Services	1170	20
Family Outpatient Services	100	8
Structured Activity Support	320	8

F. Billing/Reporting Requirements

1. The maximum number of units that can be billed differs depending on the individual service.
2. All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

1. Provider must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.
2. Every admission and assessment must be documented.
3. Progress notes must include written daily documentation of important occurrences; level of functioning; acquisition of skills necessary for recovery; progress on goals identified in the IRP including acknowledgement of addiction, progress toward recovery and use/abuse reduction and/or abstinence; use of drug screening results by staff; and evaluation of service effectiveness.
4. Daily attendance of each youth participating in the program must be documented showing the number of units in attendance for billing purposes.
5. Documentation of a structured activity support is also required (see specific guideline for detail).

GEORGIA DBHDD – BEST PRACTICE SUGGESTIONS

PRINCIPLES AND STAFF CAPABILITIES FOR SERVICES WITH CO-OCCURRING DISORDERS – April 17, 2002

Principles

1. Services for persons with co-occurring disorders should be integrated, rather than sequential. That is, they should be structured to deal with both disorders at once rather than requiring one disorder or one set of symptoms to be dealt with before services for the other can begin.
2. Psychosocial Rehabilitation (PSR) programs and Substance Abuse (SA) Day Services programs will be initially encouraged and eventually required to work toward becoming "co-occurring capable," that is, able to deal flexibly with the issues of persons with co-occurring disorders.
3. "Co-occurring enhanced" services are time limited and go beyond co-occurring capable services and programs. They are characterized by the following:
 - Additional or special assessments requiring additional training or competencies, perhaps utilizing additional or specialized assessment tools;
 - Special training, experience, licensure, certification, or other qualifications of staff beyond basic recognition and general capabilities of addressing the needs of persons with co-occurring disorders within a larger program (see recommended staff capabilities below);
 - Availability of addictionologist and/or MAC, CACII, or CADC consultation;
 - Availability of psychiatric consultation and/or medication management;
 - Availability of crisis services if needed, either directly or through an interagency agreement with a mobile crisis service;
 - Additional staff to client ratio beyond the minimum requirements for a limited period of time, in order to deal effectively with individuals needing more intense or more frequent services than those offered in a co-occurring capable day services program; and
 - Additional programming intensity or specialized approaches or activities requiring significant adjustments to the usual day services activities to assure adequate dosing, frequency, and integration of services for individuals with co-occurring disorders.
4. Programs that provide PSR or SA Day Services will be required to either provide or arrange for co-occurring enhanced integrated services for adults with co-occurring disorders until those individuals can move back into regular co-occurring capable day services. Adults with co-occurring disorders should not be expected to simply adapt to usual or routine PSR or SA Day Services activities.
5. Co-occurring enhanced day services may be provided within a larger SA Day Services or PSR program, may be a separate day services program within a larger agency, or may be a stand-alone service provider.
6. An adult with serious and persistent mental illness and a co-occurring substance abuse disorder should be served in a co-occurring capable or co-occurring enhanced PSR program. Adults with substance abuse or dependence who also have a co-occurring mental health needs that do not rise to the level of serious and persistent mental illness should be served in a co-occurring capable or co-occurring enhanced SA Day Services.
7. An adult with serious and persistent mental illness whose symptoms are stable enough so that Intensive Day Treatment is not indicated; whose cognitive functioning is high enough to participate in and benefit from a co-occurring capable SA Day Services program without distraction; whose coping skills and abilities are sufficiently intact to allow attention to his/her substance abuse; and who can

understand the emotional concerns related to the negative consequences and effects of addiction should be allowed to choose service in a SA Day Services program. An adult with serious and persistent mental illness may not be refused service in an SA Day Services program simply because he/she is seriously and persistently mentally ill. Likewise, a seriously and persistently mentally ill adult may not be refused service in a PSR program simply because he/she is abusing or dependent on alcohol or other drugs.

8. Adults with serious and persistent mental illness whose symptoms, cognition, functioning, or coping skills are sufficiently impaired to prevent participation or benefit from a co-occurring capable day services program but who meet the admission criteria for either PSR or SA Day Services, must be served by a co-occurring enhanced PSR or SA Day Services program.
9. The service guidelines for PSR Services and for SA Day Services will include the same requirements about cross training and capabilities of staff to recognize and treat adults with co-occurring disorders.
10. DMHM RSA will work to ensure that there is no financial disincentive to serving individuals with co-occurring disorders in any particular day services program.
12. Basic knowledge necessary for all staff serving persons with mental illness or substance abuse in "co-occurring capable" day services must include the content areas below. For programs that are "co-occurring enhanced," this knowledge must go beyond basic understanding and must demonstrate actual staff competencies in using that knowledge to serve adults with co-occurring disorders.
13. PSR and SA Day Services Program Managers and staff are encouraged to become familiar with ASAM Patient Placement Criteria – 2R and current evidence-based practices literature about serving adults with co-occurring disorders.

GEORGIA DBHDD – BEST PRACTICES SUGGESTIONS

Staff Knowledge and Capabilities About Serving Persons with Co-Occurring Disorders

Necessary Capabilities For Substance Abuse Staff	Necessary Capabilities For Mental Health Staff
<ul style="list-style-type: none">• knowledge of mental illness diagnoses, symptoms, and cognitive impairments where applicable;• medications used to treat various types of mental illness and their effects, including undesired medication side effects and the effects of discontinuing these medications;• assessment of mental illness;• likely coping strategies of individuals with mental illness, including use and abuse of substances,• concept of role of family members and psychoeducational approaches for working collaboratively with them;• motivational counseling for clients who are not ready to take full responsibility for self-management and recovery from substance abuse;• behavioral counseling for those who are actively working on recovery;• denial about mental illness or its symptoms, while respecting and encouraging individual choice and responsibility;• individual strategies for preventing symptom exacerbation; and• difference between recovery and engagement concepts in mental health and in substance abuse.	<ul style="list-style-type: none">• knowledge of substances of abuse and how they affect mental illnesses;• symptoms of withdrawal from various types of substances of abuse;• complications of interactions between psychotropic medications and substances of abuse, especially in detoxification and withdrawal processes;• assessment of substance abuse;• special considerations in assessing substance abuse in adults who have symptoms associated with a mental illness or who are taking or are candidates for taking prescribed medications for a diagnosed mental illness;• motivational counseling to use with clients who appear to be unmotivated for substance abuse treatment;• behavioral substance abuse counseling for those who are motivated to work toward abstinence;• denial and its role in addiction;• methods for overcoming denial while respecting and encouraging individual choice and responsibility;• relapse prevention strategies for persons with addictions; and• difference between recovery and engagement concepts in substance abuse and in mental health.

Mental Health and Addictive Disease Services

Adults' CORE Benefit Package

Behavioral Health Assessment							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Mental Health Assessment by a non-Physician	Practitioner Level 2, In-Clinic	H0031	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	H0031	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	H0031	U4	U6			\$20.30
	Practitioner Level 5, In-Clinic	H0031	U5	U6			\$15.13
	Practitioner Level 2, Out-of-Clinic	H0031	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	H0031	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	H0031	U4	U7			\$24.36
	Practitioner Level 5, Out-of-Clinic	H0031	U5	U7			\$18.15

Definition of Service: The Behavioral Health Assessment process consists of a face-to-face comprehensive clinical assessment with the individual, which must include the individual's perspective, and may also include consumer-identified family and/or significant others as well as interviews with collateral agencies/treatment providers (including Certified Peer Specialists who have been working with consumers on goal discovery) and other relevant individuals.

The purpose of the assessment process is to determine the individual's problems, strengths, needs, abilities and preferences, to develop a social (extent of natural supports and community integration) and medical history, to determine functional level and degree of ability versus disability, and to develop or review collateral assessment information. A suicide risk assessment shall also be completed. The information gathered should support the determination of a differential diagnosis and assist in screening for/ruling-out potential co-occurring disorders.

As indicated, information from medical, nursing, peer, vocational, nutritional, etc. staff should serve as the basis for the comprehensive assessment and the resulting IRP.

The entire process should involve the individual as a full partner and should include strengths and resources as identified by the individual.

Target Population	An adult with a known or suspected mental health diagnosis and/or substance-related disorder.
Benefit Information	Available to all known or suspected Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential

	5: Medically Monitored Community Residential 6: Medically Managed Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	32 units (Combined with H0032 – Service Plan Development)
Re-Authorization*	32 units (Combined with H0032 – Service Plan Development)
Maximum Daily Units*	24 units (Combined with H0032 – Service Plan Development)
Authorization Period*	180 days
UAS: Budget and Expense Categories	Adult Core Services Provider 131 – Adult Mental Health 731 – Adult Addictive Diseases
Admission Criteria	1. Individual has a known or suspected mental illness or substance-related disorder; and 2. Initial screening/intake information indicates a need for further assessment; and 3. It is expected that individual meets Core Customer eligibility.
Continuing Stay Criteria	Individual's situation/functioning has changed in such a way that previous assessments are outdated.
Discharge Criteria	1. An adequate continuing care plan has been established; and one or more of the following: 2. Individual has withdrawn or been discharged from service; or 3. Individual no longer demonstrates need for continued behavioral health assessment.
Service Exclusions	Assertive Community Treatment
Clinical Exclusions	None

**(unless authorized as a part of a specific “package” which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

- Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
- As indicated and with consumer permission, medical, nursing, peer, nutritional, etc. staff can provide information from records, and various multi-disciplinary resources to complete the comprehensive nature of the assessment and time spent gathering this information may be billed as long as the detailed documentation justifies the time and need for capturing said information
- An initial Behavioral Health Assessment is required within the first 30 days of service, with ongoing assessments completed as demanded by changes with an individual.
- “Out-of-Clinic” may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or

- Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.
- If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following practitioners may provide Behavioral Health Assessment services:

- Practitioner Level 2: Psychologist, APRN, PA
- Practitioner Level 3: LCSW, LPC, LMFT, RN
- Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology (addictions counselors may only perform these functions related to treatment of addictive diseases).
- Practitioner Level 5: Certified Addiction Counselor-I, Registered Alcohol and Drug Technician (I, II, or III), Addiction Counselor Trainee with high school diploma/equivalent (practitioners at this level may only perform these functions related to treatment of addictive diseases).

C. Clinical Operations

The individual consumer (and caregiver/responsible family members etc as appropriate) should actively participate in the assessment processes.

D. Service Access

1. Individuals access this service when it has been determined through an initial screening that the person has suspected mental health or addictive disease needs.
2. Behavioral Health Assessment may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
3. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

The daily maximum within a CSP for combined Behavioral Health Assessment and Service Plan Development is 24 units/day.

F. Reporting & Billing Requirements

All other applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.
2. In addition to the authorization, documentation of clinical assessment findings from this service should also be completed and placed in the individual's chart as a Comprehensive Assessment.

Community Support							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Community Support Services	Practitioner Level 4, In-Clinic	H2015	U4	U6			\$20.30
	Practitioner Level 5, In-Clinic	H2015	U5	U6			\$15.13
	Practitioner Level 4, Out-of-Clinic	H2015	U4	U7			\$24.36
	Practitioner Level 5, Out-of-Clinic	H2015	U5	U7			\$18.15
	Practitioner Level 4, In-Clinic, Collateral Contact	H2015	UK	U4	U6		\$20.30
	Practitioner Level 5, In-Clinic, Collateral Contact	H2015	UK	U5	U6		\$15.13
	Practitioner Level 4, Out-of-Clinic, Collateral Contact	H2015	UK	U4	U7		\$24.36
	Practitioner Level 5, Out-of-Clinic, Collateral Contact	H2015	UK	U5	U7		\$18.15

Definition of Service: Community Support services consist of rehabilitative skills building, the development of environmental supports and resources coordination considered essential to assist a person in improving functioning, gaining access to necessary services and in creating environments that promote recovery and support the emotional and functional improvement of the individual. The service activities of Community Support include:

- Assistance to the person and other identified recovery partners in the facilitation and coordination of the Individual Recovery Plan (IRP) including providing skills support in the person's self-articulation of personal goals and objectives;
- Planning in a proactive manner to assist the person in managing or preventing crisis situations;
- Individualized interventions, which shall have as objectives:
 - 1) Identification, with the person, of strengths which may aid him/her in achieving recovery, as well as barriers that impede the development of skills necessary for functioning in work, with peers, and with family/friends;
 - 2) Support to facilitate enhanced natural supports (including support/assistance with defining what wellness means to the person in order to assist them with recovery-based goal setting and attainment);
 - 3) Assistance in the development of interpersonal, community coping and functional skills (which may include adaptation to home, adaptation to work, adaptation to healthy social environments, learning/practicing skills such as personal financial management, medication self-monitoring, symptom self-monitoring, etc);
 - 4) Encouraging the development and eventual succession of natural supports in living, learning, working, other social environments;
 - 5) Assistance in the acquisition of skills for the person to self-recognize emotional triggers and to

- self-manage behaviors related to the behavioral health issue;
- 6) Assistance with personal development, work performance, and functioning in social and family environments through teaching skills/strategies to ameliorate the effect of behavioral health symptoms;
 - 7) Assistance in enhancing social and coping skills that ameliorate life stresses resulting from the person's mental illness/addiction;
 - 8) Service and resource coordination to assist the person in gaining access to necessary rehabilitative, medical, social and other services and supports;
 - 9) Assistance to the person and other supporting natural resources with illness understanding and self-management (including medication self-monitoring);
 - 10) Any necessary monitoring and follow-up to determine if the services accessed have adequately met the person's needs;
 - 11) Identification, with the individual and named natural supporters, of risk indicators related to substance related disorder relapse, and strategies to prevent relapse.

This service is provided in order to promote stability and build towards functioning in their daily environment. Stability is measured by a decreased number of hospitalizations, by decreased frequency and duration of crisis episodes and by increased and/or stable participation in community/work activities. Supports based on the person's needs are used to promote recovery while understanding the effects of the mental illness and/or substance use/abuse and to promote functioning. The Community Support staff will serve as the primary coordinator of behavioral health services and will provide linkage to community; general entitlements; and psychiatric, substance use/abuse, medical services, crisis prevention and intervention services.

Target Population	Individuals with one of the following: Mental Health Diagnosis Substance-Related Disorder Co-Occurring Substance-Related Disorder and Mental Health Diagnosis, Co-Occurring Mental Health Diagnosis and Mental Retardation/Developmental Disabilities Co-Occurring Substance-Related Disorder and Mental Retardation/Developmental Disabilities
Benefit Information	Available to Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Managed Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	600 units

Re-Authorization*	600 units
Maximum Daily Units*	48 units
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 126 – Mental Health 726 – Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Individual must meet target population criteria as indicated above; and one or more of the following: 2. Individual may need assistance with developing, maintaining, or enhancing social supports or other community coping skills; or 3. Individual may need assistance with daily living skills including coordination to gain access to necessary rehabilitative and medical services
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Individual continues to meet admission criteria; and 2. Individual demonstrates documented progress or maintenance of community skills relative to goals identified in the Individualized Resiliency Plan.
Discharge Criteria	<ol style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Recovery Plan have been substantially met; or 3. Individual requests discharge and the individual is not in imminent danger of harm to self or others; or 4. Transfer to another service/level of care is warranted by change in individual's condition; or 5. Individual requires more intensive services.
Service Exclusions	
Clinical Exclusions	<ol style="list-style-type: none"> 1. There is a significant lack of community coping skills such that a more intensive service is needed. 2. Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: <ul style="list-style-type: none"> • mental retardation • autism • organic mental disorder, or • traumatic brain injury

**(unless authorized as a part of a specific “package” which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. Community Support services must include a variety of interventions in order to assist the consumer in developing:
 - Symptom self-monitoring and self-management of symptoms
 - Strategies and supportive interventions for avoiding out-of-community treatment for adults and building stronger knowledge of the adult's strengths and limitations

- Relapse prevention strategies and plans
- 2. Community Support services focus on building and maintaining a therapeutic relationship with the individual and facilitating treatment and recovery goals.
- 3. The organization must have policies and procedures for protecting the safety of staff that engage in these community-based service delivery activities.
- 4. Contact must be made with the individual receiving Community Support services a minimum of twice each month. At least one of these contacts must be face-to-face and the second may be either face-to-face or telephone contact (denoted by the UK modifier) depending on the individual's support needs and documented preferences.
- 5. At least 50% of CSI service units must be delivered face-to-face with the identified individual receiving the service and at least 80% of all face-to-face service units must be delivered in non-clinic settings over the authorization period (these units are specific to single individual consumer records and are not aggregate across an agency/program or multiple payors).
- 6. In the absence of the required monthly face-to-face contact **and** if at least two unsuccessful attempts to make face-to-face contact have been tried and documented, the provider may bill for a maximum of two telephone contacts in that specified month(denoted by the UK modifier).
- 7. Unsuccessful attempts to make contact with the consumer are not billable.
- 8. Any diagnosis given to a youth must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
- 9. When the primary focus of Community Support services for is medication maintenance, the following allowances apply:
 - a. These consumers are not counted in the offsite service requirement or the consumer-to-staff ratio; and
 - b. These consumers are not counted in the monthly face-to-face contact requirement; however, face-to-face contact is required every 3 months and monthly calls are an allowed billable service.
- 10. CSI is an individual intervention and may **not** be provided or billed for more than one consumer during the same time period.
- 11. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following practitioners may provide Community Support services:
 - Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 4 rate)
 - Practitioner Level 2: Psychologist, APRN, PA (reimbursed at Level 4 rate)

- Practitioner Level 3: LCSW, LPC, LMFT, RN (reimbursed at Level 4 rate)
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); CPS, PP, CPRP, CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology
2. When provided by one of the practitioners cited below, must be under the documented supervision (organizational charts, supervisory notation, etc.) of one of the licensed/credentialed professionals above:
 - Certified Peer Specialists
 - Paraprofessional staff
 - Certified Psychiatric Rehabilitation Professional
 - Certified Addiction Counselor-I
 - Registered Alcohol and Drug Technician (I,II, or III)
 - Addiction Counselor Trainee
 3. Community Support practitioners may have the recommended consumer-to-staff ratio of 30 consumers per staff member and must maintain a maximum ratio of 50 consumers per staff member. Youth who receive only medication maintenance are not counted in the staff ratio calculation.

C. Clinical Operations

1. Community Support may include (with the permission of the Adult consumer) coordination with family and significant others and with other systems/supports (e.g., work, religious entities, corrections, aging agencies, etc) when appropriate for treatment and recovery needs. Coordination is an essential component of Community Support and can be billed for up to 70 percent of the contacts when directly related to the support and enhancement of the person's recovery.
2. Community Support providers must have the ability to deliver services in various environments, such as homes, homeless shelters, or street locations. The provider should keep in mind that individuals may prefer to meet staff at a community location other than their homes or other conspicuous locations (e.g. their place of employment), especially if staff drive a vehicle that is clearly marked as a state or agency vehicle, or if staff must identify themselves and their purpose to gain access to the individual in a way that may potentially embarrass the individual or breach the individual's privacy/confidentiality. Staff should be sensitive to and respectful of individuals' privacy/confidentiality rights and preferences in this regard to the greatest extent possible (e.g. if staff must meet with an individual during their work time, if the consumer wishes, mutually agree upon a meeting place nearby that is the least conspicuous from the individual's point of view).
3. The organization must have policies that govern the provision of services in natural settings and can document that it respects individuals' rights to privacy and confidentiality when services are provided in these settings.
4. The organization must have established procedures/protocols for handling emergency and crisis situations that describe methods for supporting individuals as they transition to and from psychiatric hospitalization/crisis stabilization.

5. Each provider must have policies and procedures for the provision of individual-specific outreach services, including means by which these services and individuals are targeted for such efforts.
6. The organization must have a Community Support Organizational Plan that addresses the following:
 - description of the particular rehabilitation, recovery and natural support development models utilized, types of intervention practiced, and typical daily schedule for staff
 - description of the staffing pattern and how staff are deployed to assure that the required staff-to-consumer ratios are maintained, including how unplanned staff absences, illnesses, or emergencies are accommodated, case mix, access, etc.
 - description of the hours of operations as related to access and availability to the individuals served and
 - description of how the plan for services is modified or adjusted to meet the needs specified in every Individualized Recovery Plan
7. Utilization (frequency and intensity) of CSI should be directly related to the LOCUS and to the other functional elements in the person's assessment. In addition, when clinical/functional needs are great, there should be complementary therapeutic services by licensed/credential professionals paired with the provision of CSI (individual, group, family, etc.).

D. Service Accessibility

1. Agencies that provide Community Support services must regularly provide individuals served with Georgia Crisis & Access Line contact information (1-800-715-4225 and 1-800-255-0056 for TTY, and 1-800-255-0135 -Voice) for appropriate crisis intervention services.
2. Specific to the "Medication Maintenance Track," consumers who require more than 4 contacts per quarter for two consecutive quarters (as based upon clinical need) are expected to be re-evaluated with the LOCUS for enhanced access to CSI and/or other services. The designation of the CSI "medication maintenance track" should be lifted and exceptions stated above in A.10. are no longer applied.
3. Community Support may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
4. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Reporting & Billing Requirements

1. When a billable collateral contact is provided, the UK reporting modifier shall be utilized. A collateral contact is classified as any contact that is not face-to-face with the individual.
2. All other applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Community Transition Planning							
Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Community Transition Planning	Community Transition Planning (State Hospital)	T2038	ZH				\$20.92
	Community Transition Planning (Crisis Stabilization Program)	T2038	ZC				\$20.92
	Community Transition Planning (Jail / Youth Detention Center)	T2038	ZJ				\$20.92
	Community Transition Planning(Other)	T2038	ZO				\$20.92

Definition of Service: Community Transition Planning is a service for contracted Core and ACT providers to address the care, service, and support needs of adults with mental illness and/or addictive diseases to ensure a coordinated plan of transition from a qualifying facility to the community. Each episode of Community Transition Planning must include contact with the consumer and their identified family with a minimum of one (1) face-to-face contact with the consumer prior to release from the state hospital/facility. Additional Transition Planning activities include: educating the consumer and their identified family on service options offered by the chosen primary service agency; participating in state hospital or facility treatment team meetings to develop a transition plan, and making collateral contacts with other agencies and community resources when indicated.

In partnership between other community service providers and the hospital/facility staff, the community service agency maintains responsibility for carrying out transitional activities either by the consumer's chosen primary service coordinator or by the service coordinator's designated Community Transition Liaison. Community Transition Planning may also be used for Community Support staff, ACT team members and Certified Peer Specialists who work with the consumer in the community or will work with the consumer in the future to maintain or establish contact.

Community Transition Planning consists of the following interventions to ensure the person transitions successfully from the facility to their local community:

- Establishing a connection or reconnection with the person through supportive contacts while in the qualifying facility. By engaging with the person, this helps to develop and strengthen a foundation for the therapeutic relationship.
- Educate the person and his/her identified supports about local community resources and service options available to meet their needs upon transition into the community. This allows the person to make self-directed, educated choices on those service options that they feel will best meet their needs and increases the likelihood of post-facility engagement.
- Participating in qualifying facility team meetings especially in person centered planning for those in a treatment facility for longer than 60 days, to share hospital and community information related to estimated length of stay, present problems related to admission, discharge/release criteria, progress toward treatment goals, personal strengths, available supports and assets, medical condition, medication issues, and community treatment needs.

- Linking the adult with community services including visits between the person and the Community Support staff, ACT team members and/or Certified Peer Support Specialists who will be working with the consumer in the community (including visits and telephone contacts between the consumer and the community-based providers.

Target Population	Adults with one of the following: Mental Health Diagnosis Substance Related Disorder Co-Occurring Substance-Related Disorder and Mental Health Diagnosis
Benefit Information	Available to Core Customers in need of Brief Stabilization or Ongoing Services. Requires a MICP Registration or MICP New Episode.
Utilization Criteria	Available to those currently in state hospitals and other qualifying facilities who meet Core Customer Eligibility Definition
Unit Value	15 minutes
Reimbursement Rate	\$20.92 /unit
Initial Authorization	10 units
Re-Authorization	10 units
Authorization Period	90 days (Registration) 180 days (New Episode)
UAS: Budget and Expense Categories	<u>Core Service Providers</u> 162 – Adult Mental Health 762 – Adult Addictive Diseases <u>ACT Providers</u> 152 – Adult Mental Health (include with MIER for ACT)
Admission Criteria	Individual who meet Core Customer Eligibility while in one of the following qualifying facilities: 1. State Operated Hospital 2. Crisis Stabilization Program (CSP) 3. Jail/Youth Development Center (YDC) 4. Other (ex: Community Psychiatric Hospital) Note: Modifier on Procedure Code indicates setting in which the consumer is transitioning from.
Continuing Stay Criteria	Same as above.
Discharge Criteria	1. Individual/family requests discharge; or 2. Individual no longer meets Core Customer Eligibility; or 3. Individual is discharged from a state hospital or qualifying facility.
Service Exclusions	None

Clinical Exclusions	<p>Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a co-occurring Behavioral Health condition:</p> <ol style="list-style-type: none"> Developmental Disability without a co-occurring mental illness or addictive disease diagnosis Autism Organic Mental Disorder Traumatic Brain Injury
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Additional Service Criteria:

A. Required Components

Prior to Release from a State Hospital or Qualifying Facility:

When the youth has had (a) a length of stay of 60 days or longer in a facility or (b) youth is readmitted to a facility within 30 days of discharge, a community transition plan in partnership with the facility is required. Evidence of planning shall be recorded and a copy of the Plan shall be included in both the youth's hospital and community record.

B. Staffing Requirements

1. A Master's/Bachelor's degree in behavioral or social science that is primarily psychological in nature under the supervision of a licensed practitioner; **or**
2. A Georgia Certified Peer Specialist or trained Paraprofessional under the supervision of a licensed practitioner; **or**
3. An LPN practicing under supervision in accordance with the Georgia Practice Acts.

C. Clinical Operations

Community Transition Planning activities shall include:

1. Telephone and Face-to-face contacts with consumer and their identified family;
2. Participating in consumer's clinical staffing(s) prior to their discharge from the facility;
3. Applications for consumer resources and services prior to discharge from the facility including:
 - a. Healthcare
 - b. Entitlements (i.e., SSI, SSDI) for which they are eligible
 - c. Self-Help Groups and Peer Supports
 - d. Housing
 - e. Employment, Education, Training
 - f. Consumer Support Services

D. Service Access

This service must be available 7 days a week (if the state hospital/qualifying facility discharges or releases 7 days a week).

E. Reporting & Billing Requirements

1. There must be a minimum of one face-to-face with the youth prior to release from hospital or qualifying facility in order to bill for any telephone contacts.
2. Complete the Multipurpose Information Consumer Profile (MICP) information
3. Providers must document services in accordance with the specifications for documentation requirements specified in PART II, Section V of the Provider Manual.

F. Documentation Requirements

1. A documented Community Transition Plan for:
 - a. Individuals with a length of stay greater than 60 days; or
 - b. Individuals readmitted within 30 days of discharge.
2. Documentation of all face-to-face and telephone contacts and a description of progress with Community Transition Plan implementation and outcomes.

Crisis Intervention							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Crisis Intervention	Practitioner Level 1, In-Clinic	H2011	U1	U6			\$58.21
	Practitioner Level 2, In-Clinic	H2011	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	H2011	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	H2011	U4	U6			\$20.30
	Practitioner Level 1, Out-of-Clinic	H2011	U1	U7			\$74.09
	Practitioner Level 2, Out-of-Clinic	H2011	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	H2011	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	H2011	U4	U7			\$24.36
<p>Definition of Service: Services directed toward the support of an individual who is experiencing an abrupt and substantial change in behavior which is usually associated with a precipitating situation and which is in the direction of severe impairment of functioning or a marked increase in personal distress. Crisis Intervention is designed to prevent out of community placement or hospitalization. Often, a crisis exists at such time as an individual consumer and his or her identified natural resources decide to seek help and/or the individual, identified natural resources, or practitioner identifies the situation as a crisis. Crisis services are time-limited and present-focused in order to address the immediate crisis and develop appropriate links to alternate services. Services may involve the individual consumer and the individual's family and/or significant other, as well as other service providers.</p> <p>The individual's current behavioral health care advanced directive, if existing, should be utilized to help manage the crisis. Interventions provided should honor and respect the individual's wishes/choices by following the plan/advanced directive as closely as possible in line with appropriate clinical judgment. Plans/advanced directives developed during the Behavioral Health Assessment/IRP process should be reviewed and updated (or developed if the individual is a new consumer) as part of those services to help prevent or manage future crisis situations.</p> <p>Some examples of interventions that may be used to de-escalate a crisis situation could include: a situational assessment; active listening and empathic responses to help relieve emotional distress; effective verbal and behavioral responses to warning signs of crisis related behavior; assistance to, and involvement/participation of the individual (to the extent he or she is capable) in active problem solving planning and interventions; facilitation of access to a myriad of crisis stabilization and other services deemed necessary to effectively manage the crisis; mobilization of natural support systems; and other crisis interventions as appropriate to the individual and issues to be addressed.</p>							
Target Population		Adults with Mental Health issues and/or Substance Related Disorders Adults experiencing a severe situational crisis					
Benefit Information		Available to all Core Customers. Requires a MICP Registration or a MICP					

	New Episode.
Utilization Criteria	Available to those with LOCUS scores: 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Monitored Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	16 units
Re-Authorization*	16 units <i>Any use beyond 16 units will not be denied but will trigger an immediate retrospective review.</i>
Maximum Daily Units*	16 units
Authorization Period	180 days
UAS: Budget and Expense Categories	Adult Core Services Provider 121– Adult Mental Health 721 – Adult Addictive Diseases
Admission Criteria	1. Treatment at a lower intensity has been attempted or given serious consideration; and #2 and/or #3 are met: 2. Individual has a known or suspected mental health diagnosis or Substance Related Disorder; or 3. Individual is at risk of harm to self, others and/or property. Risk may range from mild to imminent; and one or both of the following: 4. Individual has insufficient or severely limited resources or skills necessary to cope with the immediate crisis; or 5. Individual demonstrates lack of judgment and/or impulse control and/or cognitive/perceptual abilities.
Continuing Stay Criteria	This service may be utilized at various points in the individual's course of treatment and recovery, however, each intervention is intended to be a discrete time-limited service that stabilizes the individual and moves him/her to the appropriate level of care.
Discharge Criteria	1. Individual no longer meets continued stay guidelines; and 2. Crisis situation is resolved and an adequate continuing care plan has been established.
Service Exclusions	
Clinical Exclusions	Severity of clinical issues precludes provision of services at this level of care.

*(unless authorized as a part of a specific "package" which changes the authorization parameters)

Additional Service Criteria:

A. Required Components

1. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
2. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following practitioners may provide Crisis Intervention services:
 - Practitioner Level 1: Physician/Psychiatrist
 - Practitioner Level 2: Psychologist, APRN, PA
 - Practitioner Level 3: LCSW, LPC, LMFT, RN
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state.

C. Clinical Operations

1. In any review of clinical appropriateness of this service, the mix of services offered to the individual is important. The use of crisis units will be looked at by the External Review Organization in combination with other supporting services. For example, if an individual presents in crisis and the crisis is alleviated within an hour but ongoing support continues, it is expected that 4 units of crisis will be billed and then some supporting service such as individual counseling will be utilized to support the individual during that interval of service

D. Service Access

1. All crisis service response times for this service must be within 2 hours of the consumer or other constituent contact to the provider agency.
2. Services are available 24-hours per day, 7 days per week, and may be offered by telephone and/or face-to-face in any setting (e.g. home, jail, hospital, clinic etc).
3. Crisis Intervention may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.

4. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

The daily maximum within a CSP for Crisis Intervention is 8 units/day.

F. Billing/Reporting Requirements

1. This service must be billed as either In-Clinic or Out-of-Clinic Crisis Management/ Intervention for Medicaid recipients in accordance with A. above.
2. Any use of a telephonic intervention must be coded/reported with a U6 modifier as the person providing the telephonic intervention is not expending the additional agency resources in order to be in the community where the person served is at during the time of crisis.
3. All other applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Diagnostic Assessment							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Psychiatric Diagnostic Examination	Practitioner Level 1, In-Clinic	90801	U1	U6			\$174.63
	Practitioner Level 1, Out-of-Clinic	90801	U1	U7			\$222.26
	Practitioner Level 1, Via interactive audio and video telecommunication systems	90801	GT	U1			\$174.63
	Practitioner Level 2, In-Clinic	90801	U2	U6			\$116.90
	Practitioner Level 2, Out-of-Clinic	90801	U2	U7			\$140.28
	Practitioner Level 2, Via interactive audio and video telecommunication systems	90801	GT	U2			\$116.90
Psychiatric Diagnostic Examination, Interactive	Practitioner Level 1, In-Clinic	90802	U1	U6			\$174.63
	Practitioner Level 1, Out-of-Clinic	90802	U1	U7			\$222.26
	Practitioner Level 1, Via interactive audio and video telecommunication systems	90802	GT	U1			\$174.63
	Practitioner Level 2, In-Clinic	90802	U2	U6			\$116.90
	Practitioner Level 2, Out-of-Clinic	90802	U2	U7			\$140.28
	Practitioner Level 2, Via interactive audio and video telecommunication systems	90802	GT	U2			\$116.90
Definition of Service: Psychiatric diagnostic interview examination includes a history; mental status exam; evaluation and assessment of physiological phenomena (including co-morbidity between behavioral and physical health care issues); psychiatric diagnostic evaluation (including assessing for co-occurring disorders and the development of a differential diagnosis); screening and/or assessment of							

any withdrawal symptoms for individuals with substance related diagnoses; assessment of the appropriateness of initiating or continuing services; and a disposition. These are completed by face-to-face evaluation of the individual and may include communication with family and other sources, as well as the ordering and medical interpretation of laboratory or other medical diagnostic studies.

Interactive diagnostic interview examinations are typically furnished to children (but may be justified for use with adults) and involve the use of physical aids and non-verbal communication to overcome barriers to therapeutic interaction between the clinician and a patient as a result of expressive or receptive language deficits. Interactive diagnostic interview examinations are also used when a sign language interpreter or other language interpreter is utilized order to facilitate communication between the clinician and an individual with a hearing impairment or with limited English proficiency.

Target Population	Adults with known or suspected Mental Illness or Substance Related Disorders
Benefit Information	Available to all known or suspected Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Monitored Inpatient Residential
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	1 encounter
Initial Authorization*	2 units
Re-Authorization*	2 units
Maximum Daily Units*	1 unit per procedure code
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 120 – Mental Health 720 – Addictive Diseases
Admission Criteria	1. Individual has a known or suspected mental illness or a substance-related disorder and has recently entered the service system; or 2. Individual is in need of annual assessment and re-authorization of service array; or 3. Individual has need of an assessment due to a change in clinical/functional status.
Continuing Stay Criteria	Individual's situation/functioning has changed in such a way that previous assessments are outdated.

Discharge Criteria	1. An adequate continuing care plan has been established; and one or more of the following: a. Individual has withdrawn or been discharged from service; or a. Individual no longer demonstrates need for additional assessment.
Service Exclusions	Not offered in conjunction with Intensive Day Treatment or ACT
Clinical Exclusions	Services defined as a part of ACT and Intensive Day Treatment.

**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. Telemedicine may not be utilized for an initial physician's assessment, but shall be utilized for ongoing physician evaluation and management via the use of appropriate procedure codes in Psychiatric Treatment.
2. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol. **Note:** Diagnostic evaluations conducted by psychologists are covered under Behavioral Health Assessment service.
3. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.
 If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

The following practitioners can provide a Psychiatric Diagnostic Examination:

- Practitioner Level 1: Physician/Psychiatrist
- Practitioner Level 2: Psychologist, APRN, PA

C. Clinical Operations

It is expected that the individual will be treated as a full partner in the treatment regimen/services planned and received. As such, it is expected that practitioners will fully discuss treatment options and allow for individual choice when possible. Discussion of treatment options should include a full disclosure of the pros and cons of each option (e.g. full disclosure of medication/treatment regimen potential side effects, potential adverse reactions--including potential adverse reaction from not taking medication as prescribed, and expected benefits).

D. Service Access

1. Diagnostic Assessment may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
2. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

1. The daily maximum within a CSP for Diagnostic Assessment (Psychiatric Diagnostic Interview) for adults is 2 units. Two units should be utilized only if it is necessary in a complex diagnostic case for the physician extender (PA or APRN) to call in the physician for an assessment of the child to corroborate or verify the correct diagnosis.
2. Nutritional Assessments which were billed to the Diagnostic Assessment service definition prior to July 1, 2006 are no longer be encompassed under this code. Please see the Nursing Assessment and Care definition.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be adhered to.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Family Outpatient Services: Family Counseling

HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Family – Behavioral health counseling and therapy (<u>without</u> client present)	Practitioner Level 2, In-Clinic	H0004	HS	U2	U6		\$38.97
	Practitioner Level 3, In-Clinic	H0004	HS	U3	U6		\$30.01
	Practitioner Level 4, In-Clinic	H0004	HS	U4	U6		\$20.30
	Practitioner Level 5, In-Clinic	H0004	HS	U5	U6		\$15.13
	Practitioner Level 2, Out-of-Clinic	H0004	HS	U2	U7		\$46.76
	Practitioner Level 3, Out-of-Clinic	H0004	HS	U3	U7		\$36.68
	Practitioner Level 4, Out-of-Clinic	H0004	HS	U4	U7		\$24.36
	Practitioner Level 5, Out-of-Clinic	H0004	HS	U5	U7		\$18.15
Family -- Behavioral health counseling and therapy (<u>with</u> client present)	Practitioner Level 2, In-Clinic	H0004	HR	U2	U6		\$38.97
	Practitioner Level 3, In-Clinic	H0004	HR	U3	U6		\$30.01
	Practitioner Level 4, In-Clinic	H0004	HR	U4	U6		\$20.30
	Practitioner Level 5, In-Clinic	H0004	HR	U5	U6		\$15.13
	Practitioner Level 2, Out-of-Clinic	H0004	HR	U2	U7		\$46.76
	Practitioner Level 3, Out-of-Clinic	H0004	HR	U3	U7		\$36.68
	Practitioner Level 4, Out-of-Clinic	H0004	HR	U4	U7		\$24.36
	Practitioner Level 5, Out-of-Clinic	H0004	HR	U5	U7		\$18.15
Family Psycho-therapy without the patient present (appropriate license required)	Practitioner Level 2, In-Clinic	90846	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	90846	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	90846	U4	U6			\$20.30
	Practitioner Level 5, In-Clinic	90846	U5	U6			\$15.13
	Practitioner Level 2, Out-of-Clinic	90846	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	90846	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	90846	U4	U7			\$24.36
	Practitioner Level 5, Out-of-Clinic	90846	U5	U7			\$18.15

Conjoint Family Psychotherapy with the patient present (appropriate license required)	Practitioner Level 2, In-Clinic	90847	U2	U6		\$38.97
	Practitioner Level 3, In-Clinic	90847	U3	U6		\$30.01
	Practitioner Level 4, In-Clinic	90847	U4	U6		\$20.30
	Practitioner Level 5, In-Clinic	90847	U5	U6		\$15.13
	Practitioner Level 2, Out-of-Clinic	90847	U2	U7		\$46.76
	Practitioner Level 3, Out-of-Clinic	90847	U3	U7		\$36.68
	Practitioner Level 4, Out-of-Clinic	90847	U4	U7		\$24.36
	Practitioner Level 5, Out-of-Clinic	90847	U5	U7		\$18.15

Definition of Service: A therapeutic intervention or counseling service shown to be successful with identified family populations, diagnoses and service needs, provided by a qualified clinician or practitioner. Services are directed toward achievement of specific goals defined with/by the individual consumer and targeted to the consumer-identified family and specified in the Individualized Recovery Plan (note: although interventions may involve the family, the focus or primary beneficiary of intervention must always be the individual consumer). Family counseling provides systematic interactions between the identified individual consumer, staff and the individual's identified family members directed toward the restoration, development, enhancement or maintenance of functioning of the identified consumer/family unit. This includes support of the family and specific therapeutic interventions/activities to enhance family roles, relationships, communication and functioning that promote the recovery of the individual. Specific goals/issues to be addressed though these services may include the restoration, development, enhancement or maintenance of:

1. processing skills;
2. healthy coping mechanisms;
3. adaptive behaviors and skills;
4. interpersonal skills;
5. family roles and relationships;
6. the family's understanding of mental illness and substance related disorders, the steps necessary to facilitate recovery, and methods of intervention, interaction and mutual support the family can use to assist their family member.

Best practices such as Multi-systemic Family Therapy, Multidimensional Family Therapy, Behavioral Family Therapy, Functional Family Therapy or others appropriate for the family and issues to be addressed should be utilized in the provision of this service.

Target Population	Individuals with Mental Illness and/or Substance-Related Disorders
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Monitored Inpatient Residential

Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	If a MICP Registration is submitted -32 units (combined with Family Training) If a MICP New Episode is submitted - 60 units (combined with Family Training)
Reauthorization*	60 units (Family Training and Family Counseling combined)
Maximum Daily Units*	8 units (Family Training and Family Counseling combined)
Authorization Period*	180 days
UAS: Budget and Expense Categories	Adult Core Services Provider 130 – Adult Mental Health 730 – Adult Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Individual must have a mental illness and/or substance-related disorder diagnosis that is at least destabilizing (markedly interferes with the ability to carry out activities of daily living or places others in danger) or distressing (causes mental anguish or suffering); and 2. Individual's level of functioning does not preclude the provision of services in an outpatient milieu; and 3. Individual's assessment indicates needs that may be supported by a therapeutic intervention shown to be successful with identified family populations and individual's diagnoses.
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Individual continues to meet Admission Criteria as articulated above; and 2. Progress notes document progress relative to goals identified in the Individualized Recovery Plan, but all treatment/support goals have not yet been achieved.
Discharge Criteria	<ol style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Recovery Plan have been substantially met; or 3. Individual requests discharge and individual is not in imminent danger of harm to self or others; or 4. Transfer to another service is warranted by change in individual's condition; or 5. Individual requires more intensive services.
Service Exclusions	ACT
Clinical Exclusions	<ol style="list-style-type: none"> 1. Severity of behavioral health impairment precludes provision of services. 2. Severity of cognitive impairment precludes provision of services in this level of care. 3. There is a lack of social support systems such that a more intensive level of service is needed. 4. This service is not intended to supplant other services such as MR/DD Personal and Family Support or any day services where the individual may more appropriately receive these services with staff in various

	community settings. 5. Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder and traumatic brain injury.
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**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. The treatment orientation, modality and goals must be specified and agreed upon by the individual.
2. Couples counseling is included under this service code as long as the counseling is directed toward the identified consumer and his/her goal attainment as identified in the Individualized Recovery Plan.
3. The Individualized Recovery Plan for the individual includes goals and objectives specific to the consumer-identified family for whom the service is being provided.
4. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
5. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.
 If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

The following individuals can provide behavioral health counseling and psychotherapy to families:

- Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 2 rate)
- Practitioner Level 2: Psychologist, CNS-PMH
- Practitioner Level 3: LCSW, LPC, LMFT, RN
- Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling,

psychology, or criminology (addiction counselors may only perform these functions related to treatment of addictive diseases).

- Practitioner Level 5: CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent (practitioners at this level may only perform these functions related to treatment of addictive diseases).

C. Clinical Operations

Models of best practice delivery may include (as clinically appropriate) Multidimensional Family Therapy, Behavioral Family Therapy, Functional Family Therapy, and others as appropriate the family and issues to be addressed.

D. Service Access

1. Services may not exceed 8 Billable units (combined Family Counseling and Family Therapy) in a single day. If clinical need indicates this level of intensity, other services may need to be considered for authorization.
2. Family Counseling may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
3. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

H. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.
2. If there are multiple family members in the Family Counseling session who are enrolled consumers for whom the focus of treatment is related to goals on their treatment plans, we recommend the following:
 - a. Document the family session in the charts of each individual consumer for whom the treatment is related to a specific goal on the individual's IRP
 - b. Charge the Family Counseling session units to one of the consumers.
 - c. Indicate "NC" (No Charge) on the documentation for the other consumer(s) in the family session and have the note reflect that the charges for the session are assigned to another family member in the session.

Family Outpatient Services: Family Training

HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Family Skills Training and Development	Practitioner Level 4, In-Clinic, without client present	H2014	HS	U4	U6		\$20.30
	Practitioner Level 5, In-Clinic, without client present	H2014	HS	U5	U6		\$15.13
	Practitioner Level 4, Out-of-Clinic, without client present	H2014	HS	U4	U7		\$24.36
	Practitioner Level 5, Out-of-Clinic, without client present	H2014	HS	U5	U7		\$18.15
	Practitioner Level 4, In-Clinic, with client present	H2014	HR	U4	U6		\$20.30
	Practitioner Level 5, In-Clinic, with client present	H2014	HR	U5	U6		\$15.13
	Practitioner Level 4, Out-of-Clinic, with client present	H2014	HR	U4	U7		\$24.36
	Practitioner Level 5, Out-of-Clinic, with client present	H2014	HR	U5	U7		\$18.15

Definition of Service: A therapeutic interaction shown to be successful with identified family populations, diagnoses and service needs. Services are directed toward achievement of specific goals defined by the individual consumer and targeted to the consumer-identified family and specified in the Individualized Recovery Plan (note: although interventions may involve the family, the focus or primary beneficiary of intervention must always be the individual consumer). Family training provides systematic interactions between the identified individual consumer, staff and the individual's identified family members directed toward the enhancement or maintenance of functioning of the identified consumer/family unit. This may include support of the family, as well as training and specific activities to enhance functioning that promote the recovery of the individual. Specific goals/issues to be addressed though these services may include the restoration, development, enhancement or maintenance of:

1. illness and medication self-management knowledge and skills (e.g. symptom management, behavioral management, relapse prevention skills, knowledge of medications and side effects, and motivational/skill development in taking medication as prescribed);
2. problem solving and practicing functional skills;
3. healthy coping mechanisms;
4. adaptive behaviors and skills;
5. interpersonal skills;
6. daily living skills;
7. resource access and management skills; and
8. the family's understanding of mental illness and substance related disorders, the steps necessary to facilitate recovery, and methods of intervention, interaction and mutual support the family can use to assist their family member.

Target Population	Individuals with Mental Illness and/or Substance-Related Disorders
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Monitored Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	If a MICP Registration is submitted - 32 units (combined with Family Counseling) If a MICP New Episode is submitted - 60 units (combined with Family Counseling)
Reauthorization*	60 units (Family Training and Family Counseling combined)
Maximum Daily Units*	8 units (Family Training and Family Counseling combined)
Authorization Period*	180 days
UAS: Budget and Expense Categories	Adult Core Services Provider 130 – Adult Mental Health 730 – Adult Addictive Diseases
Admission Criteria	1. Individual must have a mental illness and/or substance-related disorder diagnosis that is at least destabilizing (markedly interferes with the ability to carry out activities of daily living or places others in danger) or distressing (causes mental anguish or suffering); and 2. Individual's level of functioning does not preclude the provision of services in an outpatient milieu; and 3. Individual's assessment indicates needs that may be supported by a therapeutic intervention shown to be successful with identified family populations and individual's diagnoses.
Continuing Stay Criteria	1. Individual continues to meet Admission Criteria as articulated above; and 2. Progress notes document progress relative to goals identified in the Individualized Recovery Plan, but all treatment/support goals have not yet been achieved.

Discharge Criteria	<ol style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Recovery Plan have been substantially met; or 3. Individual requests discharge and individual is not in imminent danger of harm to self or others; or 3. Transfer to another service is warranted by change in individual's condition; or 4. Individual requires more intensive services.
Service Exclusions	ACT
Clinical Exclusions	<ol style="list-style-type: none"> 1. Severity of behavioral health impairment precludes provision of services. 2. Severity of cognitive impairment precludes provision of services in this level of care. 3. There is a lack of social support systems such that a more intensive level of service is needed. 4. There is no outlook for improvement with this particular service. 5. This service is not intended to supplant other services such as Personal and Family Support or any day services where the individual may more appropriately receive these services with staff in various community settings. 6. Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder and traumatic brain injury.

**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. The treatment orientation, modality and goals must be specified and agreed upon by the individual.
2. The Individualized Recovery Plan for the individual includes goals and objectives specific to the consumer-identified family for whom the service is being provided.
3. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
4. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

The following individuals can provide skills training and development to families:

- Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 4 rate)
- Practitioner Level 2: Psychologist, APRN, PA (reimbursed at Level 4 rate)
- Practitioner Level 3: LCSW, LPC, LMFT, RN (reimbursed at Level 4 rate)
- Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); PP, CPRP, CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology
- Practitioner Level 5: CPS, PP, CPRP, CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent under supervision of one of the licensed/credentialed professionals above

C. Clinical Operation

D. Service Access

1. Services may not exceed 8 Billable units (combined Family Counseling and Family Therapy) in a single day. If clinical need indicates this level of intensity, other services may need to be considered for authorization.
2. Family Training may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
3. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detention proceedings.

E. Additional Medicaid Requirements

Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

2. If there are multiple family members in the Family Training session who are enrolled consumers for whom the focus of treatment in the group is related to goals on their treatment plans, we recommend the following:
 - a. Document the family session in the charts of each individual consumer for whom the treatment is related to a specific goal on the individual's IRP
 - b. Charge the Family Training session units to **one** of the consumers.
 - c. Indicate "NC" (No Charge) on the documentation for the other consumer(s) in the family session and have the note reflect that the charges for the session are assigned to another family member in the session.

Group Outpatient Services: Group Counseling

HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Group – Behavioral health counseling and therapy	Practitioner Level 2, In-Clinic	H0004	HQ	U2	U6		\$8.50
	Practitioner Level 3, In-Clinic	H0004	HQ	U3	U6		\$6.60
	Practitioner Level 4, In-Clinic	H0004	HQ	U4	U6		\$4.43
	Practitioner Level 5, In-Clinic	H0004	HQ	U5	U6		\$3.30
	Practitioner Level 2, Out-of-Clinic	H0004	HQ	U2	U7		\$10.39
	Practitioner Level 3, Out-of-Clinic	H0004	HQ	U3	U7		\$8.25
	Practitioner Level 4, Out-of-Clinic	H0004	HQ	U4	U7		\$5.41
	Practitioner Level 5, Out-of-Clinic	H0004	HQ	U5	U7		\$4.03
	Practitioner Level 2, In-Clinic, Multi-family group, with client present	H0004	HQ	HR	U2	U6	\$8.50
	Practitioner Level 3, In-Clinic, Multi-family group, with client present	H0004	HQ	HR	U3	U6	\$6.60
	Practitioner Level 4, In-Clinic, Multi-family group, with client present	H0004	HQ	HR	U4	U6	\$4.43
	Practitioner Level 5, In-Clinic, Multi-family group, with client present	H0004	HQ	HR	U5	U6	\$3.30
	Practitioner Level 2, Out-of-Clinic, Multi-family group, with client present	H0004	HQ	HR	U2	U7	\$10.39
	Practitioner Level 3, Out-of-Clinic, Multi-family group, with client present	H0004	HQ	HR	U3	U7	\$8.25
	Practitioner Level 4, Out-of-Clinic, Multi-family group, with client present	H0004	HQ	HR	U4	U7	\$5.41
	Practitioner Level 5, Out-of-Clinic, Multi-family group, with client present	H0004	HQ	HR	U5	U7	\$4.03
	Practitioner Level 2, In-Clinic, Multi-family group, without client present	H0004	HQ	HS	U2	U6	\$8.50

	Practitioner Level 3, In-Clinic, Multi-family group, without client present	H0004	HQ	HS	U3	U6	\$6.60
	Practitioner Level 4, In-Clinic, Multi-family group, without client present	H0004	HQ	HS	U4	U6	\$4.43
	Practitioner Level 5, In-Clinic, Multi-family group, without client present	H0004	HQ	HS	U5	U6	\$3.30
	Practitioner Level 2, Out-of-Clinic, Multi-family group, without client present	H0004	HQ	HS	U2	U7	\$10.39
	Practitioner Level 3, Out-of-Clinic, Multi-family group, without client present	H0004	HQ	HS	U3	U7	\$8.25
	Practitioner Level 4, Out-of-Clinic, Multi-family group, without client present	H0004	HQ	HS	U4	U7	\$5.41
	Practitioner Level 5, Out-of-Clinic, Multi-family group, without client present	H0004	HQ	HS	U5	U7	\$4.03
Group Psychotherapy other than of a multiple family group (appropriate license required)	Practitioner Level 2, In-Clinic	90853	U2	U6			\$8.50
	Practitioner Level 3, In-Clinic	90853	U3	U6			\$6.60
	Practitioner Level 4, In-Clinic	90853	U4	U6			\$4.43
	Practitioner Level 5, In-Clinic	90853	U5	U6			\$3.30
	Practitioner Level 2, Out-of-Clinic	90853	U2	U7			\$10.39
	Practitioner Level 3, Out-of-Clinic	90853	U3	U7			\$8.25
	Practitioner Level 4, Out-of-Clinic	90853	U4	U7			\$5.41
	Practitioner Level 5, Out-of-Clinic	90853	U5	U7			\$4.03

Definition of Service: A therapeutic intervention or counseling service shown to be successful with identified populations, diagnoses and service needs, provided in a group format by a qualified clinician or practitioner. Services are directed toward achievement of specific goals defined by the individual consumer and specified in the Individualized Recovery Plan. Services may address goals/issues such as promoting recovery, and the restoration, development, enhancement or maintenance of:

- 1) cognitive processing skills;
- 2) healthy coping mechanisms;
- 3) adaptive behaviors and skills;
- 4) interpersonal skills;
- 5) identifying and resolving personal, social, intrapersonal and interpersonal concerns

Target Population	Individuals with Mental Illness and/or Substance-Related Disorders
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.

Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Monitored Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	If a MICP Registration is submitted - 32 units If a MICP New Episode is submitted - 200 units <i>(unless authorized as a part of a specific "package" which changes the authorization parameters)</i>
Re-Authorization*	200 units
Maximum Daily Units*	20 units
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 129 – Adult Mental Health 729 – Adult Addictive Diseases
Admission Criteria	1. Individual must have a primary mental illness/substance-related disorder diagnosis that is at least destabilizing (markedly interferes with the ability to carry out activities of daily living or places others in danger) or distressing (causes mental anguish or suffering); and 2. The individual's level of functioning does not preclude the provision of services in an outpatient milieu; and 3. The individual's recovery goal/s which are to be addressed by this service must be conducive to response by a group milieu.
Continuing Stay Criteria	1. Individual continues to meet admission criteria; and 2. Individual demonstrates documented progress relative to goals identified in the Individualized Recovery Plan, but treatment goals have not yet been achieved.
Discharge Criteria	1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Recovery Plan have been substantially met; or 3. Individual requests discharge and individual is not in imminent danger of harm to self or others; or 4. Transfer to another service/level of care is warranted by change in individual's condition; or 5. Individual requires more intensive services.
Service Exclusions	See also below, Item A.2. and A.3.

Clinical Exclusions	<ol style="list-style-type: none"> 1. Severity of behavioral health impairment precludes provision of services. 2. Severity of cognitive impairment precludes provision of services in this level of care. 3. There is a lack of social support systems such that a more intensive level of service is needed. 4. This service is not intended to supplant other services such as MR Personal and Family Support or any day services where the individual may more appropriately receive these services with staff in various community settings. 5. Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder and traumatic brain injury.
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**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. The treatment orientation, modality and goals must be specified and agreed upon by the individual.
2. Group outpatient services should very rarely be offered in addition to day services such as Psychosocial Rehabilitation. Any exceptions must be clinically justified in the record and may be subject to scrutiny by the external review organization. Exceptions in offering group outpatient services external to day services include such sensitive and targeted clinical issue groups as incest survivor groups, perpetrator groups, and sexual abuse survivors groups. When an exception is clinically justified, services must not duplicate day services activities.
3. When billed concurrently with ACT services, group counseling must be curriculum-based.
4. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
5. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide group counseling:
 - Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 2 rate)

- Practitioner Level 2: Psychologist, CNS-PMH
 - Practitioner Level 3: LCSW, LPC, LMFT, RN
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology (may only perform these functions related to treatment of addictive diseases).
 - Practitioner Level 5: CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent (practitioners at this level may only perform these functions related to treatment of addictive diseases).
2. Students and individuals working toward licensure as a professional counselor, social worker, or marriage and family therapist must work under direction and documented clinical supervision of a licensed professional in accordance with the rules of the Georgia Composite Board of Professional Counselors, Social Workers and Marriage and Family Therapists. Agencies should refer to O.C.G.A. 43-10A-3 for the definitions of "direction" and "supervision" and the Documentation Guidelines included in this Provider Manual.
 3. The three specialties governed by the board referenced in B.2. above have different supervision requirements for individuals working toward licensure and it is the responsibility of the agency to ensure that the supervision requirements specified by the Board for the specialty (professional counseling, social work or marriage and family therapy) for which the individual is working toward licensure are met (also reference Documentation Guidelines included in this manual).
 4. Addiction counselor trainees may perform counseling as a trainee for a period of up to 3 years if they meet the requirements in O.C.G.A. 43-10A. This is limited to the provision of chemical dependency treatment under direction and supervision of a clinical supervisor approved by the certification body under which the trainee is seeking certification. Agencies should refer to O.C.G.A. 43-10A-3 for the definitions of "direction" and "supervision" and to the Documentation Guidelines set forth in this Provider Manual.
 5. The status of students, trainees, and individuals working toward licensure must be disclosed to the individuals receiving services from trainees and interns and signatures/titles of these practitioners must also include "S/T."
 6. Maximum face-to-face ratio cannot be more than 10 consumers to 1 direct service staff based on average group attendance

C. Clinical Operations

1. The membership of a multiple family group (H0004 HQ) consists of multiple family units such as a group of two or more parent(s) from different families either with (HR) or without (HS) participation of their child/children.
2. Practitioners and supervisors of those providing this service are expected to maintain knowledge and skills regarding group practice such as selecting appropriate participants for a particular group, working with the group to establish necessary group norms and goals, and understanding and managing group dynamics and processes.

D. Service Access

1. Group Counseling may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
2. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

The daily maximum within a CSP for combined Group Training/Counseling is 4 units/day.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Group Outpatient Services: Group Training

HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Group Skills Training & Development	Practitioner Level 4, In-Clinic	H2014	HQ	U4	U6		\$4.43
	Practitioner Level 5, In-Clinic	H2014	HQ	U5	U6		\$3.30
	Practitioner Level 4, Out-of-Clinic	H2014	HQ	U4	U7		\$5.41
	Practitioner Level 5, Out-of-Clinic	H2014	HQ	U5	U7		\$4.03
	Practitioner Level 4, In-Clinic, with client present	H2014	HQ	HR	U4	U6	\$4.43
	Practitioner Level 5, In-Clinic, with client present	H2014	HQ	HR	U5	U6	\$3.30
	Practitioner Level 4, Out-of-Clinic, with client present	H2014	HQ	HR	U4	U7	\$5.41
	Practitioner Level 5, Out-of-Clinic, with client present	H2014	HQ	HR	U5	U7	\$4.03
	Practitioner Level 4, In-Clinic, without client present	H2014	HQ	HS	U4	U6	\$4.43
	Practitioner Level 5, In-Clinic, without client present	H2014	HQ	HS	U5	U6	\$3.30
	Practitioner Level 4, Out-of-Clinic, without client present	H2014	HQ	HS	U4	U7	\$5.41
	Practitioner Level 5, Out-of-Clinic, without client present	H2014	HQ	HS	U5	U7	\$4.03

Definition of Service: A therapeutic interaction shown to be successful with identified populations, diagnoses and service needs. Services are directed toward achievement of specific goals defined by the individual and specified in the Individualized Resiliency Plan. Services may address goals/issues such as promoting recovery, and the restoration, development, enhancement or maintenance of:

- 1) illness and medication self-management knowledge and skills (e.g. symptom management, behavioral management, relapse prevention skills, knowledge of medications and side effects, and motivational/skill development in taking medication as prescribed);
- 2) problem solving skills;
- 3) healthy coping mechanisms;
- 4) adaptive skills;
- 5) interpersonal skills;
- 6) daily living skills;
- 7) resource management skills;
- 8) knowledge regarding mental illness, substance related disorders and other relevant topics that

assist in meeting the youth's and family's needs; and 9) skills necessary to access and build community resources and natural support systems.	
Target Population	Individuals with Mental Illness and/or Substance-Related Disorders
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Monitored Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization*	If a MICP Registration is submitted - 32 units (combined with Group Counseling) If a MICP New Episode is submitted - 200 units (combined with Group Counseling)
Re-Authorization*	200 units
Maximum Daily Units*	16 units
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 129 – Adult Mental Health 729 – Adult Addictive Diseases
Admission Criteria	1. Individuals must have a primary mental illness/substance-related disorder diagnosis that is at least destabilizing (markedly interferes with the ability to carry out activities of daily living or places others in danger) or distressing (causes mental anguish or suffering); and 2. The individual's level of functioning does not preclude the provision of services in an outpatient milieu; and 3. The individual's resiliency goal/s that are to be addressed by this service must be conducive to response by a group milieu.
Continuing Stay Criteria	1. Individual continues to meet admission criteria; and 2. Individual demonstrates documented progress relative to goals identified in the Individualized Recovery Plan, but treatment goals have not yet been achieved.
Discharge Criteria	1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Recovery Plan have been substantially met; or 3. Individual requests discharge and the individual is not in imminent danger of harm to self or others; or 4. Transfer to another service/level of care is warranted by change in individual's condition; or 5. Individual requires more intensive services.

Service Exclusions	See also below, Item A.2.
Clinical Exclusions	<ol style="list-style-type: none"> 1. Severity of behavioral health issue precludes provision of services. 2. Severity of cognitive impairment precludes provision of services in this level of care. 3. There is a lack of social support systems such that a more intensive level of service is needed. 4. This service is not intended to supplant other services such as MR/DD Personal and Family Support or any day services where the individual may more appropriately receive these services with staff in various community settings. 5. Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder, traumatic brain injury.

**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. The functional goals addressed through this service must be specified and agreed upon by the individual.
2. Group outpatient services should very rarely be offered in addition to day services such as Psychosocial Rehabilitation. Any exceptions must be clinically justified in the record and may be subject to scrutiny by the external review organization. Exceptions in offering group outpatient services external to day services include such sensitive and targeted clinical issue groups as incest survivor groups, perpetrator groups, and sexual abuse survivors groups. When an exception is clinically justified, services must not duplicate day services activities.
3. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
4. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide group training:
 - Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 4 rate)

- Practitioner Level 2: Psychologist, APRN, PA (reimbursed at Level 4 rate)
 - Practitioner Level 3: LCSW, LPC, LMFT, RN (reimbursed at Level 4 rate)
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); PP, CPRP, CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology
 - Practitioner Level 5: CPS, PP, CPRP, CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent under supervision of one of the licensed/credentialed professionals above
2. Maximum face-to-face ratio cannot be more than 10 consumers to 1 direct service staff based on average group attendance

C. Clinical Operations

1. Practitioners providing this service are expected to maintain knowledge and skills regarding group practice such as selecting appropriate participants for a particular group, working with the group to establish necessary group norms and goals, and understanding and managing group dynamics and processes.
2. Out-of-clinic group skills training is allowable and clinically valuable for some consumers; therefore, this option should be explored to the benefit of the consumer. In this event, staff must be able to assess and address the individual needs and progress of each consumer consistently throughout the intervention/activity (e.g. in an example of teaching 2-3 consumers to access public transportation in the community, group training may be given to help each consumer individually to understand the bus schedule in a way that makes sense to them, to address questions/concerns each may have about how to use the bus, perhaps to spend time riding the bus with the consumers and assisting each to understand and become comfortable with riding the bus in accordance with *individual* goals, etc).

D. Service Access

1. Group Training may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
2. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

The daily maximum within a CSP for combined Group Training/Counseling is 4 units/day.

F. Reporting & Billing Requirements

1. All applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.
2. If this service is provided out-of-clinic, a U7 modifier is utilized on the claim/encounter submission.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Individual Counseling							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Individual Psychotherapy, insight oriented, behavior-modifying and/or supportive in an office or outpatient facility, approximately <u>20-30 minutes</u> face-to-face with patient	Practitioner Level 2, In-Clinic	90804	U2	U6			64.95
	Practitioner Level 3, In-Clinic	90804	U3	U6			50.02
	Practitioner Level 4, In-Clinic	90804	U4	U6			33.83
	Practitioner Level 5, In-Clinic	90804	U5	U6			25.21.
	Practitioner Level 2, Out-of-Clinic	90804	U2	U7			77.93
	Practitioner Level 3, Out-of-Clinic	90804	U3	U7			61.13
	Practitioner Level 4, Out-of-Clinic	90804	U4	U7			40.59
	Practitioner Level 5, Out-of-Clinic	90804	U5	U7			30.25
Individual Psychotherapy, insight oriented, behavior-modifying and/or supportive in an office or outpatient facility, approximately <u>45-50 minutes</u> face-to-face with patient	Practitioner Level 2, In-Clinic	90806	U2	U6			116.90
	Practitioner Level 3, In-Clinic	90806	U3	U6			90.03
	Practitioner Level 4, In-Clinic	90806	U4	U6			60.89
	Practitioner Level 5, In-Clinic	90806	U5	U6			45.38
	Practitioner Level 2, Out-of-Clinic	90806	U2	U7			140.28
	Practitioner Level 3, Out-of-Clinic	90806	U3	U7			110.04
	Practitioner Level 4, Out-of-Clinic	90806	U4	U7			73.07
	Practitioner Level 5, Out-of-Clinic	90806	U5	U7			54.46
Individual Psychotherapy, insight oriented, behavior-	Practitioner Level 2, In-Clinic	90808	U2	U6			194.84
	Practitioner Level 3, In-Clinic	90808	U3	U6			150.05
	Practitioner Level 4, In-Clinic	90808	U4	U6			101.48

modifying and/or supportive in an office or outpatient facility, approximately <u>75-80 minutes</u> face-to-face with patient	Practitioner Level 5, In-Clinic	90808	U5	U6		75.64
	Practitioner Level 2, Out-of-Clinic	90808	U2	U7		233.80
	Practitioner Level 3, Out-of-Clinic	90808	U3	U7		183.39
	Practitioner Level 4, Out-of-Clinic	90808	U4	U7		121.78
	Practitioner Level 5, Out-of-Clinic	90808	U5	U7		90.76
Individual psychotherapy, interactive, using play equipment, physical devices, language interpreter, or other mechanisms of non-verbal communication, in an office or outpatient facility, approximately <u>20-30 minutes</u> face-to-face with patient	Practitioner Level 2, In-Clinic	90810	U2	U6		64.95
	Practitioner Level 3, In-Clinic	90810	U3	U6		50.02
	Practitioner Level 4, In-Clinic	90810	U4	U6		33.83
	Practitioner Level 5, In-Clinic	90810	U5	U6		25.21
	Practitioner Level 2, Out-of-Clinic	90810	U2	U7		77.93
	Practitioner Level 3, Out-of-Clinic	90810	U3	U7		61.13
	Practitioner Level 4, Out-of-Clinic	90810	U4	U7		40.59
	Practitioner Level 5, Out-of-Clinic	90810	U5	U7		30.25
Individual psychotherapy, interactive, using play equipment, physical devices, language interpreter, or other	Practitioner Level 2, In-Clinic	90812	U2	U6		116.90
	Practitioner Level 3, In-Clinic	90812	U3	U6		90.03
	Practitioner Level 4, In-Clinic	90812	U4	U6		60.89
	Practitioner Level 5, In-Clinic	90812	U5	U6		45.38

mechanisms of non-verbal communication, in an office or outpatient facility, approximately <u>45-50 minutes</u> face-to-face with patient	Practitioner Level 2, Out-of-Clinic	90812	U2	U7		140.28
	Practitioner Level 3, Out-of-Clinic	90812	U3	U7		110.04
	Practitioner Level 4, Out-of-Clinic	90812	U4	U7		73.07
	Practitioner Level 5, Out-of-Clinic	90812	U5	U7		54.46
Individual psychotherapy, interactive, using play equipment, physical devices, language interpreter, or other mechanisms of non-verbal communication, in an office or outpatient facility, approximately <u>75-80 minutes</u> face-to-face with patient	Practitioner Level 2, In-Clinic	90814	U2	U6		194.84
	Practitioner Level 3, In-Clinic	90814	U3	U6		150.05
	Practitioner Level 4, In-Clinic	90814	U4	U6		101.48
	Practitioner Level 5, In-Clinic	90814	U5	U6		75.64
	Practitioner Level 2, Out-of-Clinic	90814	U2	U7		233.80
	Practitioner Level 3, Out-of-Clinic	90814	U3	U7		183.39
	Practitioner Level 4, Out-of-Clinic	90814	U4	U7		121.78
	Practitioner Level 5, Out-of-Clinic	90814	U5	U7		90.76

Definition of Service: A therapeutic intervention or counseling service shown to be successful with identified populations, diagnoses and service needs, provided by a qualified clinician. Techniques employed involve the principles, methods and procedures of counseling that assist the person in identifying and resolving personal, social, vocational, intrapersonal and interpersonal concerns. Services are directed toward achievement of specific goals defined by the individual consumer and specified in the Individualized Recovery Plan. These services address goals/issues such as promoting recovery, and the restoration, development, enhancement or maintenance of:

- 1) illness and medication self-management knowledge and skills (e.g. symptom management, behavioral management, relapse prevention skills, knowledge of medications and side effects, and motivational/skill development in taking medication as prescribed);
- 2) problem solving and cognitive skills;
- 3) healthy coping mechanisms;

- 4) adaptive behaviors and skills;
- 5) interpersonal skills; and
- 6) knowledge regarding mental illness, substance related disorders and other relevant topics that assist in meeting the individual's or the support system's needs.

Best/evidence based practice modalities may include (as clinically appropriate): Motivational Interviewing/Enhancement, Cognitive Behavioral Therapy, Behavioral Modification, Behavioral Management, Rational Behavioral Therapy, Dialectical Behavioral Therapy, and others as appropriate to the individual and clinical issues to be addressed.

Target Population	Individuals with Mental Illness and/or Substance-Related Disorders
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Monitored Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	1 encounter
Initial Authorization*	24 units
Re-Authorization*	24 units
Maximum Daily Units*	1 unit
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 128 – Adult Mental Health 728 – Adult Addictive Diseases
Admission Criteria	1. Individual must have a primary mental illness/substance-related disorder diagnosis that is at least destabilizing (markedly interferes with the ability to carry out activities of daily living or places others in danger) or distressing (causes mental anguish or suffering); and 2. The individual's level of functioning does not preclude the provision of services in an outpatient milieu
Continuing Stay Criteria	1. Individual continues to meet admission criteria; and . 2. Individual demonstrates documented progress relative to goals identified in the Individualized Recovery Plan, but treatment goals have not yet been achieved.

Discharge Criteria	<ol style="list-style-type: none"> 1. Adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Recovery Plan have been substantially met; or 3. Individual requests discharge and individual is not in imminent danger of harm to self or others; or 4. Transfer to another service is warranted by change in individual's condition; or 5. Individual requires a service approach that supports less or more intensive need.
Service Exclusions	ACT and Crisis Stabilization Program services
Clinical Exclusions	<ol style="list-style-type: none"> 1. Severity of behavioral health impairment precludes provision of services. 2. Severity of cognitive impairment precludes provision of services in this level of care. 3. There is a lack of social support systems such that a more intensive level of service is needed. 4. Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder and traumatic brain injury.

**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. The treatment orientation, modality and goals must be specified and agreed upon by the individual.
2. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
3. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide group training:
 - Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 2 rate)

- Practitioner Level 2: Psychologist, CNS-PMH
 - Practitioner Level 3: LCSW, LPC, LMFT, RN
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); CAC-I or Addiction Counselor Trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology (addiction counselors may only perform these functions related to treatment of addictive diseases).
 - Practitioner Level 5: CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent (practitioners at this level may only perform these functions related to treatment of addictive diseases).
2. Students and individuals working toward licensure as a professional counselor, social worker, or marriage and family therapist must work under direction and documented clinical supervision of a licensed professional in accordance with the rules of the Georgia Composite Board of Professional Counselors, Social Workers and Marriage and Family Therapists. Agencies should refer to O.C.G.A. 43-10A-3 for the definitions of "direction" and "supervision" and the Documentation Guidelines included in this Provider Manual.
 3. The three specialties governed by the board referenced in B.2. above have different supervision requirements for individuals working toward licensure and it is the responsibility of the agency to ensure that the supervision requirements specified by the Board for the specialty (professional counseling, social work or marriage and family therapy) for which the individual is working toward licensure are met.
 4. Addiction counselor trainees may perform counseling as a trainee for a period of up to 3 years if they meet the requirements in O.C.G.A. 43-10A. This is limited to the provision of chemical dependency treatment under direction and supervision of a clinical supervisor approved by the certification body under which the trainee is seeking certification. Agencies should refer to O.C.G.A. 43-10A-3 and to the Documentation Guidelines included in this Provider Manual for the definitions of "direction" and "supervision".
 5. The status of students, trainees, and individuals working toward licensure must be disclosed to the individuals receiving services from trainees and interns and signatures/titles of these practitioners must also include "S/T."

C. Clinical Operations

Practitioners and supervisors of those providing this service are expected to maintain knowledge and skills regarding current research trends in best/evidence based counseling practices.

D. Service Access

1. Individual Counseling may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
2. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Legal Skills / Competency Training						
HIPAA Transaction Code	Code	Mod1	Mod2	Mod3	Mod4	Rate
Patient Education, Not otherwise Classified, Non-Physician Provider, Individual per Session	S9445	H9				
Patient Education, Not otherwise Classified, Non-Physician Provider, Group per Session	S9446	H9				

Definition of Service: A therapeutic interaction shown to be successful with mentally ill or developmentally disabled individuals involved with the criminal justice system. Services are directed toward achievement of specific goals defined in a Court Order and/or pretrial forensic report. Services will address goals/issues related to development or restoration of skills related to competency to stand trial. This would include some or all of the following:

- 1) Communication skills that enable the individual to effectively convey information to another
- 2) Listening skills that allow the individual to summarize information heard, maintain attention, and identify false statements
- 3) Decision making skills to aid in responding to well-explained alternatives
- 4) Knowledge of the role of courtroom participants and procedures
- 5) Understanding of the adversarial nature of legal proceedings and one's role as a defendant

Target Population	Individuals with Mental Illness and/or Developmental Disabilities and/or Substance-Related Disorders who have been found Incompetent to Stand Trial.
Benefit Information	Available to anyone with a court order for competency restoration. Does not currently require a MICP.
Utilization Criteria	Available to anyone with a court order for competency restoration.
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes (1 Session = 1 Unit = 15 minutes)
Reimbursement Rate	\$16.69
Initial Authorization	N/A
Re-Authorization	N/A
Authorization Period	N/A
UAS:	<u>Core Services Provider</u>
Budget and Expense Categories	161 – Adult Mental Health 761 – Adult Addictive Diseases
Admission Criteria	1. Individuals must have a court order authorizing community restoration for competency and 2. The individual's level of functioning does not preclude the provision of services in an outpatient milieu.

Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Individual continues to be incompetent to stand trial or individual is presently competent, but needs additional intervention or refresher sessions to maintain competency until trial; and 2. Individual remains under a court order that authorizes competency restoration.
Discharge Criteria	<ol style="list-style-type: none"> 1. Individual is presently competent to stand trial as determined by a DHR Forensic Evaluator or judge and not in need of ongoing training to maintain competency for trial. 2. Individual continues to be incompetent to stand trial and it has been determined by a DHR Forensic Evaluator or judge that the individual is not restorable or 3. Individual has participated in this service for 12 consecutive months; or 4. Transfer to another service/level of care is warranted by change in individual's condition; or 5. Individual requires more intensive services.
Service Exclusions	See Below
Clinical Exclusions	<ol style="list-style-type: none"> 1. Individual presents significant and imminent risk to self or other such that a more intensive level of service is needed.

Additional Service Criteria:

A. Required Components

1. The functional goals addressed through this service must be specified.
2. Any services in excess of 3 hours in a given day (combination of individual legal/competency skills training, group legal/competency skills training) may be subject to scrutiny by the external review organization.
3. Provider shall notify DHR Evaluator Contact of decompensation in consumer mental status or need for more intensive services.
4. Provider shall notify DHR Evaluator Contact in a timely manner of either of the following situations:
 - a. the individual appears to have attained competency
 - b. it is determined that the individual has achieved maximum benefits
5. Practitioners are to utilize accepted or established competency training materials consistent with best practices. (Practitioners may request sample materials from DBHDD's Office of Forensic Services and may submit proposed materials for review.)

B. Staffing Requirements

1. Training is provided by staff with a minimum education of bachelor's degree.
2. Individual: Maximum consumer to staff ratio cannot be more than one consumer to one direct service staff.
Group: Maximum consumer to staff ratio cannot be more than 10 consumers to one direct service staff.
3. Practitioners providing this service are expected to maintain knowledge and skills regarding group training and competency restoration.

C. Clinical Operations

D. Service Access

1. Consumers will be referred by the Director of Forensic Services or designee at the state hospital in the catchment area of the provider.
2. The provider shall notify the referring state hospital if the consumer appears to be competent, is not likely to ever become competent, or appears to be in need of more intensive mental health services.

E. Additional Medicaid Requirements

This is not a Medicaid reimbursable service.

F. Reporting & Billing Requirements

1. All applicable DBHDD reporting requirements must be met.
2. Provider shall report to DBHDD's Office of Forensic Services quarterly (March 31, June 30, September 30, and December 31) the names of consumers served and for each consumer, the date and type of service (individual or group) and the number of 15-minute units delivered (e.g. 60 minute group = 4 units of S9446 H9)

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of this Provider Manual

Medication Administration							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Comprehensive Medication Services	Practitioner Level 2, In-Clinic	H2010	U2	U6			\$33.40
	Practitioner Level 3, In-Clinic	H2010	U3	U6			\$25.39
	Practitioner Level 4, In-Clinic	H2010	U4	U6			\$17.40
	Practitioner Level 5, In-Clinic	H2010	U5	U6			\$12.97
	Practitioner Level 2, Out-of-Clinic	H2010	U2	U7			\$42.51
	Practitioner Level 3, Out-of-Clinic	H2010	U3	U7			\$33.01
	Practitioner Level 4, Out-of-Clinic	H2010	U4	U7			\$22.14
Therapeutic, prophylactic or diagnostic injection	Practitioner Level 2, In-Clinic	96372	U2	U6			\$33.40
	Practitioner Level 3, In-Clinic	96372	U3	U6			\$25.39
	Practitioner Level 4, In-Clinic	96372	U4	U6			\$17.40
	Practitioner Level 2, Out-of-Clinic	96372	U2	U7			\$42.51
	Practitioner Level 3, Out-of-Clinic	96372	U3	U7			\$33.01
	Practitioner Level 4, Out-of-Clinic	96372	U4	U7			\$22.14
Alcohol, and/or drug services, methadone administration and/or service (provision of the drug by a licensed program)	Practitioner Level 2, In-Clinic	H0020	U2	U6			\$33.40
	Practitioner Level 3, In-Clinic	H0020	U3	U6			\$25.39
	Practitioner Level 4, In-Clinic	H0020	U4	U6			\$17.40
Definition of Service: As reimbursed through this service, medication administration includes the act of introducing a drug (any chemical substance that, when absorbed into the body of a living organism, alters normal bodily function) into the body of another person by any number of routes including, but not limited to the following: oral, nasal, inhalant, intramuscular injection, intravenous, topical, suppository or intraocular. Medication administration requires a physician's order and must be administered by licensed or credentialed* medical personnel under the supervision of a physician or registered nurse in accordance with O.C.G.A.							

This service does not cover the supervision of self-administration of medications (See Clinical Exclusions below).

The service must include:

3. An assessment, by the licensed or credentialed medical personnel administering the medication, of the individual's physical, psychological and behavioral status in order to make a recommendation regarding whether to continue the medication and/or its means of administration, and whether to refer the individual to the physician for a medication review.
4. Education to the individual and/or family/responsible caregiver(s), by appropriate licensed medical personnel, on the proper administration and monitoring of prescribed medication in accordance with the youth's resiliency plan.

For individuals who need opioid maintenance, the Opioid Maintenance service should be requested

Target Population	Individuals with Mental Illness Individuals with Substance Related Disorders Individuals with Co-occurring Mental Illness and Substance Related Disorders Individuals with Co-occurring Mental Illness and MR/DD Individuals with Co-occurring Substance Related Disorders and MR/DD
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Monitored Inpatient Residential
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	1 encounter
Initial Authorization*	With the submission of MICP Registration - 6 units shared With the submission of MICP New Episode: H2010 & 96372= 60 units shared
Re-Authorization*	H2010 & 96372= 60 units shared
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 124 – Adult Mental Health 724 – Adult Addictive Diseases

Admission Criteria	<ol style="list-style-type: none"> 1. Individual presents symptoms that are likely to respond to pharmacological interventions; and 2. Individual has been prescribed medications as a part of the treatment array; and 3. Individual /family/responsible caregiver is unable to self-administer/administer prescribed medication because: <ol style="list-style-type: none"> a. Although the individual is willing to take the prescribed medication, it is in an injectable form and must be administered by licensed medical personnel; or b. Although individual is willing to take the prescribed medication, it is a Class A controlled substance which must be stored and dispensed by medical personnel in accordance with state law; or c. Administration by licensed/credentialed medical personnel is necessary because an assessment of the individual's physical, psychological and behavioral status is required in order to make a determination regarding whether to continue the medication and/or its means of administration and/or whether to refer the individual to the physician for a medication review. d. Due to the family/caregiver's lack of capacity there is no responsible party to manage/supervise self-administration of medication (refer individual /family for CSI and/or Family or Group Training in order to teach these skills)
Continuing Stay Criteria	Individual continues to meet admission criteria.
Discharge Criteria	<ol style="list-style-type: none"> 1. Individual no longer needs medication; or 2. Individual is able to self-administer medication; and 3. Adequate continuing care plan has been established
Service Exclusions	<ol style="list-style-type: none"> 1. Does not include medication given as a part of Ambulatory Detoxification. Medication administered as part of Ambulatory Detoxification is billed as "Ambulatory Detoxification." 2. Must not be billed in the same day as Nursing Assessment. 3. Must not be billed while enrolled in ACT except if this Medication Administration service is utilized only for the administration of methadone (for Medicaid recipients). 4. May not be billed in conjunction with Intensive Day Treatment (Partial Hospitalization).
Clinical Exclusions	This service does not cover the supervision of self-administration of medications. Self-administration of medications can be done by anyone physically and mentally capable of taking or administering medications to himself/herself. Youth and adults with mental health issues, or developmental disabilities are very often capable of self-administration of medications even if supervision by others is needed in order to adequately or safely manage self-administration of medication and other activities of daily living.

**(unless authorized as a part of a specific "package" which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. There must be a physician's order for the medication and for the administration of the medication. The order must be in the individual's chart. Telephone/verbal orders are acceptable provided they are signed by the physician in accordance with DBHDD standards.
2. Documentation must support that the individual is being trained in the risks and benefits of the medications being administered and that symptoms are being monitored by the staff member administering the medication.
3. Documentation must support the medical necessity of administration by licensed/credentialed medical personnel rather than by the individual, family or caregiver.
4. Documentation must support that the individual is being trained in the principle of self-administration of medication or that the individual is physically or mentally unable to self-administer. This documentation will be subject to scrutiny by the External Review Organization in reauthorizing services in this category.
5. This service does **not** include the supervision of self-administration of medication.
6. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
7. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide comprehensive medication services:
 - Practitioner Level 2: Advanced Practice Registered Nurse (APRN), PA, Pharmacist
 - Practitioner Level 3: Registered Nurse (RN)
 - Practitioner Level 4: Licensed Practical Nurse (LPN)
 - Practitioner Level 5: Qualified Medication Aide (QMA) who works in a CLA
2. The following individuals can provide therapeutic, prophylactic or diagnostic injections:
 - Practitioner Level 2: Advanced Practice Registered Nurse (APRN), PA, Pharmacist
 - Practitioner Level 3: Registered Nurse (RN)

- Practitioner Level 4: Licensed Practical Nurse (LPN)
- 3. The following individuals can provide alcohol to drug services, methadone administration and/or service provision:
 - Practitioner Level 2: Advanced Practice Registered Nurse (APRN), PA, Pharmacist
 - Practitioner Level 3: Registered Nurse (RN)
 - Practitioner Level 4: Licensed Practical Nurse (LPN)
- 4. Qualified Medication Aides working in a Community Living Arrangement (CLA) may administer medication only in a CLA.

C. Clinical Operations

1. Medication administration may not be billed for the provision of single or multiple doses of medication that a consumer has the ability to self-administer, either independently or with supervision by a caregiver, either in a clinic or a community setting. In a group home/CCI setting, for example, medications may be managed by the house parents or residential care staff and kept locked up for safety reasons. Staff may hand out medication to the residents but this does not constitute administration of medication for the purposes of this definition and, like other watchful oversight and monitoring functions, are not reimbursable treatment services.
2. If consumer/family requires training in skills needed in order to learn to manage his/her own medications and their safe self-administration and/or supervision of self-administration, this skills training service can be provided via the Community Support or Family/Group Training services in accordance with the person's individualized recovery/resiliency plan.

D. Service Access

1. Medication Administration may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
2. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

As in all other settings, the daily maximum within a CSP for Medication Administration is 1 unit/day.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Nursing Assessment and Health Services							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Nursing Assessment/ Evaluation	Practitioner Level 2, In-Clinic	T1001	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	T1001	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	T1001	U4	U6			\$20.30
	Practitioner Level 2, Out-of-Clinic	T1001	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	T1001	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	T1001	U4	U7			\$24.36
RN Services, up to 15 minutes	Practitioner Level 2, In-Clinic	T1002	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	T1002	U3	U6			\$30.01
	Practitioner Level 2, Out-of-Clinic	T1002	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	T1002	U3	U7			\$36.68
LPN/LVN Services, up to 15 minutes	Practitioner Level 4, In-Clinic	T1003	U4	U6			\$20.30
	Practitioner Level 4, Out-of-Clinic	T1003	U4	U7			\$24.36
Health and Behavior Assessment, Face-to-Face with the Patient, Initial Assessment	Practitioner Level 2, In-Clinic	96150	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	96150	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	96150	U4	U6			\$20.30
	Practitioner Level 2, Out-of-Clinic	96150	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	96150	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	96150	U4	U7			\$24.36
Health and Behavior Assessment, Face-to-Face with the Patient, Re- assessment	Practitioner Level 2, In-Clinic	96151	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	96151	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	96151	U4	U6			\$20.30
	Practitioner Level 2, Out-of-Clinic	96151	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	96151	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	96151	U4	U7			\$24.36
Definition of Service: This service requires face-to-face contact with the individual to monitor, evaluate, assess, and/or carry out a physician's orders regarding the physical and/or psychological problems of the individual. It includes:							

- 1) Providing nursing assessments and interventions to observe, monitor and care for the physical, nutritional, behavioral health and related psychosocial issues, problems or crises manifested in the course of an individual's treatment;
- 2) Assessing and monitoring individual's response to medication(s) to determine the need to continue medication and/or to determine the need to refer the individual to a physician for a medication review;
- 3) Assessing and monitoring an individual's medical and other health issues that are either directly related to the mental health or substance related disorder, or to the treatment of the disorder (e.g. diabetes, cardiac and/or blood pressure issues, substance withdrawal symptoms, weight gain and fluid retention, seizures, etc);
- 4) Consulting with the individual and individual-identified family and significant other(s) about medical, nutritional and other health issues related to the individual's mental health or substance related issues;
- 5) Educating the individual and any identified family about potential medication side effects (especially those which may adversely affect health such as weight gain or loss, blood pressure changes, cardiac abnormalities, development of diabetes or seizures, etc);
- 6) Consulting with the individual and the individual-identified family and significant other(s) about the various aspects of informed consent (when prescribing occurs/APRN);
- 7) Training for self-administration of medication; and
- 8) Venipuncture required to monitor and assess mental health, substance disorders or directly related conditions, and to monitor side effects of psychotropic medications, as ordered by a Licensed Physician, Physician Assistant or Advanced Practice Nurse.
- 9) Providing assessment, testing, and referral for infectious diseases.

Target Population	Individuals with Mental Health issues/Serious Mental Illness and/or Substance Related Disorders Individuals with Mental Health issues/Serious Mental Illness and MR/DD Individuals with Substance Related Disorders and MR/DD
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Managed Residential
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	15 minutes
Initial Authorization*	With the submission of MICP Registration -12 units With the submission of MICP New Episode- 60 units
Re-Authorization*	60 units
Maximum Daily Units*	16 units (32 for Ambulatory Detox)
Authorization Period*	180 days

UAS: Budget and Expense Categories	<u>Core Services Provider</u> 123 – Adult Mental Health 723 – Adult Addictive Diseases
Admission Criteria	1. Individual presents with symptoms that are likely to respond to medical/nursing interventions; or 2. Individual has been prescribed medications as a part of the treatment array or has a confounding medical condition.
Continuing Stay Criteria	1. Individual continues to demonstrate symptoms that are likely to respond to or are responding to medical interventions; or 2. Individual exhibits acute disabling conditions of sufficient severity to bring about a significant impairment in day-to-day functioning; or 3. Individual demonstrates progress relative to goals identified in the Individualized Recovery Plan, but treatment goals have not yet been achieved.
Discharge Criteria	1. An adequate continuing care plan has been established; and one or more of the following: 2. Individual no longer demonstrates symptoms that are likely to respond to or are responding to medical/nursing interventions; or 3. Goals of the Individualized Recovery Plan have been substantially met; or 4. Individual requests discharge and individual is not in imminent danger of harm to self or others.
Service Exclusions	ACT, Medication Administration, Opioid Maintenance.
Clinical Exclusions	Routine nursing activities that are included as a part of medication administration/methadone administration

**(unless authorized as a part of a specific “package” which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. Nutritional assessments indicated by an individual's confounding health issues may be billed under this code (96150, 96151). No more than 8 units specific to nutritional assessments can be billed for an individual within a year. This specific assessment must be provided by a Registered Nurse or by a Licensed Dietician.
2. This service does **not** include the supervision of self-administration of medication.
3. Each nursing contact should document the checking of vital signs (Temperature, Pulse, Blood Pressure, Respiratory Rate, and weight, if medically indicated or if related to behavioral health symptom or behavioral health medication side effect) in accordance with general psychiatric nursing practice.
4. Nursing assessments should assess health risks, health indicators, and health conditions given that behavioral health conditions, behavioral health medications, and physical health are intertwined. Personal and family history of Diabetes, Hypertension, and Cardiovascular Disease should be explored as well as tobacco use history, substance use history, blood pressure status, and Body Mass Index (BMI). Any sign of major health concerns should yield a medical referral to a primary health care physician/center.
5. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a

physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.

6. "Out-of-Clinic" may only be billed when:

- Travel by the practitioner is to a non-contiguous location; and/or
- Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
- Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
- Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide nursing assessment and evaluation services:

- Practitioner Level 2: Advanced Practice Registered Nurse (APRN)
- Practitioner Level 3: Registered Nurse (RN),
- Practitioner Level 4: Licensed Practical Nurse (LPN), Licensed Dietician (LD)

2. The following individuals can provide RN services:

- Practitioner Level 2: Advanced Practice Registered Nurse (APRN)
- Practitioner Level 3: Registered Nurse (RN)

3. The following individuals can provide LPN/LVN services:

- Practitioner Level 4: Licensed Practical Nurse (LPN)

4. The following individuals can provide Health or Behavior Assessment (initial and reassessment) services:

- Practitioner Level 2: Advanced Practice Registered Nurse (APRN)
- Practitioner Level 3: Registered Nurse (RN), Licensed Dietician (LD)
- Practitioner Level 4: Licensed Practical Nurse (LPN)

C. Clinical Operations

1. Venipuncture billed under this service must include documentation that includes canula size utilized, insertion site, number of attempts, location, and consumer tolerance of procedure.
2. All nursing procedures must include relevant consumer centered education regarding the procedure.

D. Service Access

1. Nursing Assessment and Health Services may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
2. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

The daily maximum within a CSP for Nursing Assessment and Health Services is 5 units/day.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Pharmacy & Lab

Definition of Service: Pharmacy and Lab Services include operating or purchasing services to order, package, and distribute prescription medications. It includes provision of assistance to consumers to access indigent medication programs, sample medication programs and payment for necessary medications when no other funding source is available. This service provides for appropriate lab work, such as drug screens and medication levels, to be performed. This service is to ensure that necessary medication and lab services are not withheld or delayed to consumers based on inability to pay.

Target Population	Individuals with Mental Illness or Substance Related Disorders
Benefit Information	Available to all Core Customers with emphasis on priority populations.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Managed Residential
Unit Value	
Initial Authorization	
Re-Authorization	
Authorization Period	
UAS: Budget and Expense Categories	
Admission Criteria	Individual has been assessed by a prescribing professional to need a psychotropic, anti-cholinergic, addiction specific, or anti-convulsant (as related to behavioral health issue) medication and/or lab work required for persons entering services, and/or monitoring medication levels.
Continuing Stay Criteria	Individual continues to meet the admission criteria as determined by the prescribing professional
Discharge Criteria	1. Individual no longer demonstrates symptoms that are likely to respond to or are responding to pharmacologic interventions; or 2. Individual requests discharge and individual is not imminently dangerous or under court order for this intervention.
Service Exclusions	
Clinical Exclusions	

Additional Service Requirements:

A. Required Components

1. Service must be provided by a licensed pharmacy or through contract with a licensed pharmacy.
2. Agency must participate in any pharmaceutical rebate programs or pharmacy assistance programs that promote consumer access in obtaining medication.

3. Providers shall refer all consumers who have an inability to pay for medications or services to the local county offices of the Department's Division of Family and Children's Services for the purposes of determining Medicaid eligibility.

B. Staffing Requirements

C. Clinical Operations

D. Service Access

E. Additional Medicaid Requirements

Not a Medicaid Rehabilitation Option "service." Medicaid recipients may access the general Medicaid pharmacy program as prescribed by the Department of Community Health.

F. Reporting & Billing Requirements

All applicable MICP and other DBHDD reporting requirements must be met.

Psychiatric Treatment							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Individual Psychotherapy, insight oriented, behavior-modifying and/or supportive in an office or outpatient facility, approximately <u>20-30 minutes</u> face-to-face with patient with medical evaluation and management services.	Practitioner Level 1, In-Clinic	90805	U1	U6			97.02
	Practitioner Level 1, Out-of-Clinic	90805	U1	U7			123.48
	Practitioner Level 2, In-Clinic	90805	U2	U6			64.95
	Practitioner Level 2, Out-of-Clinic	90805	U2	U7			77.93
Individual Psychotherapy, insight oriented, behavior-modifying and/or supportive in an office or outpatient facility, approximately <u>45-50 minutes</u> face-to-face with patient with medical evaluation and management services.	Practitioner Level 1, In-Clinic	90807	U1	U6			174.63
	Practitioner Level 1, Out-of-Clinic	90807	U1	U7			222.26
	Practitioner Level 2, In-Clinic	90807	U2	U6			116.90
	Practitioner Level 2, Out-of-Clinic	90807	U2	U7			140.28
Pharma-	Practitioner Level 1, In-Clinic	90862	U1	U6			58.21

cological Management	Practitioner Level 1, Via interactive audio and video telecommunication systems	90862	GT	U1		58.21
	Practitioner Level 1, Out-of-Clinic	90862	U1	U7		74.09
	Practitioner Level 2, In-Clinic	90862	U2	U6		38.97
	Practitioner Level 2, Via interactive audio and video telecommunication systems	90862	GT	U2		38.97
	Practitioner Level 2, Out-of-Clinic	90862	U2	U7		46.76

Definition of Service: The provision of specialized medical and/or psychiatric services that include, but are not limited to:

- a. Psychotherapeutic services with medical evaluation and management including evaluation and assessment of physiological phenomena (including co-morbidity between behavioral and physical health care issues);
- b. Assessment and monitoring of an individual's status in relation to treatment with medication,
- c. Assessment of the appropriateness of initiating or continuing services.

Individuals must receive appropriate medical interventions as prescribed and provided by a physician (or physician extender) that shall support the individualized goals of recovery as identified by the individual and their Individualized Recovery Plan (within the parameters of the person's informed consent).

Target Population	Individuals with Mental Illness or Substance Related Disorders
Benefit Information	Available to all Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Managed Residential
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	Unit=1 encounter
Initial Authorization*	12 units
Re-Authorization*	12 units
Maximum Daily Units	1 unit (see qualifier in definition below)
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 122 – Adult Mental Health 722 – Adult Addictive Diseases

Admission Criteria	<ol style="list-style-type: none"> 1. Individual is determined to be in need of psychotherapy services and has confounding medical issues which interact with behavioral health diagnosis, requiring medical oversight; or 2. Individual has been prescribed medications as a part of the treatment array
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Individual continues to meet the admission criteria; or 2. Individual exhibits acute disabling conditions of sufficient severity to bring about a significant impairment in day-to-day functioning; or 3. Individual continues to present symptoms that are likely to respond to pharmacological interventions; or 4. Individual continues to demonstrate symptoms that are likely to respond or are responding to medical interventions; or 5. Individual continues to require management of pharmacological treatment in order to maintain symptom remission.
Discharge Criteria	<ol style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Individual has withdrawn or been discharged from service; or 3. Individual no longer demonstrates symptoms that need pharmacological interventions.
Service Exclusions	Not offered in conjunction with ACT
Clinical Exclusions	Services defined as a part of ACT

**(unless authorized as a part of a specific “package” which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. Telemedicine may be utilized for an initial Psychiatric Diagnostic Examination as well as for ongoing Psychiatric Diagnostic Examination via the use of appropriate procedure codes with the GT modifier.
2. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a Physician's Assistant (PA) or Advanced Practice Registered Nurse (APRN: Nurse Practitioner or Clinical Nurse Specialist—Psychiatry & Mental Health) working in conjunction with a physician with an approved job description or protocol.
3. “Out-of-Clinic” may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following individuals can provide individual psychotherapy face to face with medical evaluation and management services:
 - Practitioner Level 1: Physician/Psychiatrist
 - Practitioner Level 2: CNS-PMH (Clinical Nurse Specialist in Psychiatric/Mental Health)
2. The following individuals can provide pharmacological management:
 - Practitioner Level 1: Physician/Psychiatrist
 - Practitioner Level 2: PA or APRN (if authority to perform this task is delegated by physician through approved job description or protocol)

C. Clinical Operations

1. In accordance with recovery philosophy, it is expected that individuals will be treated as full partners in the treatment regimen/services planned and received. As such, it is expected that practitioners will fully discuss treatment options with individuals and allow for individual choice when possible. Discussion of treatment options should include a full disclosure of the pros and cons of each option (e.g. full disclosure of medication/treatment regimen potential side effects, potential adverse reactions--including potential adverse reaction from not taking medication as prescribed, and expected benefits). If such full discussion/disclosure is not possible or advisable according to the clinical judgment of the practitioner, this should be documented in the individual's chart (including the specific information that was not discussed and a compelling rationale for lack of discussion/disclosure).
2. Assistive tools, technologies, worksheets, etc. can be used by the served individual to facilitate communication about treatment, symptoms, improvements, etc. with the treating practitioner.

D. Service Access

1. Telemedicine is the use of medical information exchanged from one site to another via electronic communications to improve a patient's health. Electronic communication means the use of interactive telecommunications equipment that includes, at a minimum, audio and video equipment permitting two-way, real time interactive communication between the patient, and the physician or practitioner at the distant site.
2. Psychiatric Treatment may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
3. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

1. The daily maximum within a CSP for Pharmacologic Management is 1 unit/day.
2. Even if a physician also has his/her own Medicaid number, the physician providing behavioral health treatment and care through this code should bill via the approved provider agency's Medicaid number through the Medicaid Category of Service (COS) 440.

F. Reporting & Billing Requirements

1. Within this service group, a second unit with a U1 modifier may be used in the event that a Telemedicine Psychiatric Treatment unit is provided and it indicates a need for a face-to-face assessment (e.g. 90862GTU1 is billed and it is clinically indicated that a face-to-face by an on-site physician needs to immediately follow based upon clinical indicators during the first intervention, then 90862U1, can also be billed in the same day).
2. Within this service group, there is an allowance for when a U2 practitioner conducts an intervention and, because of clinical indicators presenting during this intervention, a U1 practitioner needs to provide another unit due to the concern of the U2 supervisee (e.g. Physician's Assistant provides and bills 90805U2U6 and because of concerns, requests U1 intervention following his/her billing of U2 intervention). The use of this practice should be rare and will be subject to additional utilization review scrutiny.
3. All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Psychological Testing							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Psychological Testing – Psycho-diagnostic assessment of emotionality, intellectual abilities, personality and psycho-pathology e.g. MMP, Rorschach, WAIS (per hour of psychologist's or physician's time, both face-to-face with the patient and time interpreting test results and preparing the report)	Practitioner Level 2, In-Clinic	96101	U2	U6			155.87
	Practitioner Level 2, Out-of-Clinic	96101	U2	U7			187.04
Psychological Testing – Psycho-diagnostic assessment of emotionality, intellectual abilities, personality and psycho-pathology e.g. MMP, Rorschach, WAIS) with qualified healthcare professional interpretation and report, administered by technician, per hour of technician time, face-to-face	Practitioner Level 3, In-Clinic	96102	U3	U6			120.04
	Practitioner Level 3, Out-of-Clinic	96102	U3	U7			146.71
	Practitioner Level 4, In-Clinic	96102	U4	U6			81.18
	Practitioner Level 4, Out-of-Clinic	96102	U4	U7			97.42

Definition of Service: Psychological testing consists of a face-to-face assessment of emotional functioning, personality, cognitive functioning (e.g. thinking, attention, memory) or intellectual abilities using an objective and standardized tool that has uniform procedures for administration and scoring and utilizes normative data upon which interpretation of results is based.

Psychological tests are only administered and interpreted by those who are properly trained in their selection and application. The practitioner administering the test ensures that the testing environment does not interfere with the performance of the examinee and ensures that the environment affords

adequate protections of privacy and confidentiality.

This service covers both the face-to-face administration of the test instrument(s) by a qualified examiner as well as the time spent by a psychologist or physician (with the proper education and training) interpreting the test results and preparing a written report.

Target Population	Individuals with a known or suspected mental health diagnosis and/or Substance-Related Disorder
Benefit Information	Requires a MICP Registration or MICP New Episode.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Monitored Inpatient Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	1 hour
Initial Authorization	5 units
Re-Authorization	5 units
Maximum Daily Units	5 units
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 132 – Adult Mental Health 732 – Adult Addictive Diseases
Admission Criteria	1. A known or suspected mental illness or substance-related disorder; and 2. Initial screening/intake information indicates a need for additional undetermined supports and recovery/resiliency planning; and 3. Individual meets Core Customer eligibility.
Continuing Stay Criteria	The Individual's situation/functioning has changed in such a way that previous assessments are outdated.
Discharge Criteria	Each intervention is intended to be a discrete time-limited service that modifies treatment/support goals or is indicated due to change in illness/disorder.
Service Exclusions	None
Clinical Exclusions	None

Additional Service Criteria:

A. Required Components

1. There may be no more than one comprehensive battery of 96101 and 96102 provided to one individual within a year.
2. There may be no more than 10 combined hours of 96101 and 96012 provided to one individual within a year.

3. Any diagnosis given to an individual must come from persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
4. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following practitioners can perform Psychological Testing:
 - Practitioner Level 2: Psychologist
 - Practitioner Level 3: LCSW, LPC, LMFT in conjunction with Psychologist
 - Practitioner Level 4: Psychologist's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state.

C. Clinical Operations

The individual consumer (and caregiver/responsible family members etc as appropriate) must actively participate in the assessment processes.

D. Service Access

1. Psychological Testing may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
2. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

These services are performed in accordance with GA Practice Acts.

F. Reporting & Billing Requirements

All other applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

2. In addition to the authorization produced through this service, documentation of clinical assessment findings from this service should also be completed and placed in the individual's chart.

Service Plan Development							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Service Plan Development	Practitioner Level 2, In-Clinic	H0032	U2	U6			\$38.97
	Practitioner Level 3, In-Clinic	H0032	U3	U6			\$30.01
	Practitioner Level 4, In-Clinic	H0032	U4	U6			\$20.30
	Practitioner Level 5, In-Clinic	H0032	U5	U6			\$15.13
	Practitioner Level 2, Out-of-Clinic	H0032	U2	U7			\$46.76
	Practitioner Level 3, Out-of-Clinic	H0032	U3	U7			\$36.68
	Practitioner Level 4, Out-of-Clinic	H0032	U4	U7			\$24.36
	Practitioner Level 5, Out-of-Clinic	H0032	U5	U7			\$18.15

Definition of Service: Individuals access this service when it has been determined through an assessment that the individual has mental health or addictive disease concerns. The Individualized Recovery Plan results from the Diagnostic and Behavioral Health Assessments and is required within the first 30 days of service, with ongoing plans completed as demanded by individual consumer need and/or by service policy.

Information from a comprehensive assessment should ultimately be used to develop with the individual an Individualized Recovery Plan that supports resilience and that is based on goals identified by the individual. Friends, family and other natural support resources may be included at the discretion and direction of the individual for whom services and supports are being planned. Also, as indicated, medical, nursing, peer support, community support, school, nutritional staff, etc. should provide information from records, and various multi-disciplinary assessments for the development of the Individualized Recovery Plan (IRP).

The Individualized Recovery Planning process includes the individual's perspective, and should include family and/or significant others as well as collateral agencies/treatment providers/relevant individuals.

The cornerstone component of the adult Individualized Recovery Plan (IRP) involves a discussion with the individual regarding what recovery means to him/her personally (e.g. getting/keeping a job, having more friends/improved relationships, improvement of behavioral health symptoms, etc.), and the development of goals (i.e. outcomes) and objectives that are defined by and meaningful to the individual based upon the individual's articulation of their recovery hopes. Concurrent with the development of the IRP, the individual should be offered the opportunity to develop an Advanced Directive for behavioral healthcare with the individual guiding the process through the free expression of their wishes and through his/her assessment of the components developed for the Advanced Directive as being realistic for him/her.

The entire process should involve the individual as a full partner and should focus on service and recovery goals/outcomes as identified by the individual.

Recovery planning shall set forth the course of care by:

- Prioritizing problems and needs;
- Stating goals which will honor achievement of stated hopes, choice, preferences and desired outcomes of the individual;
- Assuring goals/objectives are related to the assessment;
- Defining goals/objectives that are individualized, specific, and measurable with achievable timeframes;
- Defining discharge criteria and desired changes in levels of functioning and quality of life to objectively measure progress;
- Transition planning at onset of service delivery;
- Selecting services and interventions of the right duration, intensity, and frequency to best accomplish these objectives;
- Assuring there is a goal/objective that is consistent with the service intent; and
- Identifying qualified staff who are responsible and designated for the provision of services.

Target Population	Individuals with a known or suspected Mental Illness or Substance Related Disorders
Benefit Information	Available to all known or suspected Core Customers. Requires a MICP Registration or a MICP New Episode.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Managed Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value*	15 minutes
Initial Authorization*	32 units (Combined with H0031 – Behavioral Health Assessment)
Re-Authorization*	32 units (Combined with H0031 – Behavioral Health Assessment)
Maximum Daily Units*	24 units (Combined with H0031 – Behavioral Health Assessment)
Authorization Period*	180 days
UAS: Budget and Expense Categories	<u>Core Services Provider</u> 131 – Adult Mental Health 731 – Adult Addictive Diseases
Admission Criteria	1. A known or suspected mental illness or substance-related disorder; and 2. Initial screening/intake information indicates a need for additional undetermined supports and recovery/resiliency planning; and 3. Individual meets Core Customer eligibility.
Continuing Stay Criteria	The individual's situation/functioning has changed in such a way that previous assessments are outdated.

Discharge Criteria	Each intervention is intended to be a discrete time-limited service that modifies treatment/support goals or is indicated due to change in illness/disorder.
Service Exclusions	Assertive Community Treatment
Clinical Exclusions	None

**(unless authorized as a part of a specific “package” which changes the authorization parameters)*

Additional Service Criteria:

A. Required Components

1. The service plan must include elements articulated in the Documentation Guideline chapter in this Provider Manual.
2. “Out-of-Clinic” may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.

If the service does not qualify to be billed as “out of clinic,” then the “in-clinic” rate may still be billed.

B. Staffing Requirements

1. The following practitioners can perform Service Planning:
 - Practitioner Level 2: Psychologist, APRN, PA
 - Practitioner Level 3: LCSW, LPC, LMFT, RN
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT’s supervisee/trainee with at least a Bachelor’s degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC(II, III); CAC-I or Addiction Counselor Trainee with at least a Bachelor’s degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology (addictions counselors may only perform these functions related to treatment of addictive diseases).
 - Practitioner Level 5: CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent (practitioners at this level may only perform these functions related to treatment of addictive diseases).

C. Clinical Operations

1. The individual consumer (and any other consumer-identified natural supports) should actively participate in planning processes.

2. The Individualized Recovery Plan should be directed by the individual's personal recovery goals as defined by that individual.
3. Advanced Directive/crisis planning shall be directed by the individual served and their needs/wishes to the extent possible and clinically appropriate. Plans should not contain elements/components that are not agreeable to, meaningful for, or realistic for the youth/family and that the youth/family is, therefore, not likely to follow through with.
4. The Multipurpose Informational Consumer Profile (MICP) format for treatment planning does not meet the requirements for a comprehensive Individualized Recovery Plan and should not be used as such. Guidelines for treatment planning are contained in the "Documentation Guidelines" in Part II, Section V of this Manual and in the DBHDD Standards for Community Providers contained in this Provider Manual.

D. Service Access

1. Service Plan Development may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.
2. This service may not be provided and billed for individuals who are involuntarily detained awaiting criminal proceedings, penal dispositions, or other involuntary detainment proceedings.

E. Additional Medicaid Requirements

The daily maximum within a CSP for combined Behavioral Health Assessment and Service Plan Development is 24 units/day.

F. Reporting & Billing Requirements

All other applicable Medicaid, MICP, and other DBHDD reporting requirements must be followed.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual
2. The initial authorization/IRP and each subsequent authorization/IRP must be completed within the time-period specified by DBHDD.
3. Every record must contain an IRP in accordance with these Service Guidelines and with the DBHDD Standards contained in this Provider Manual.

Mental Health and Addictive Disease Services

Adults' SPECIALTY Benefit Package

Ambulatory Substance Abuse Detoxification							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Alcohol And/Or Drug Services; Ambulatory Detoxification	Practitioner Level 2, In-Clinic	H0014	U2	U6			38.97
	Practitioner Level 3, In-Clinic	H0014	U3	U6			30.01
	Practitioner Level 4, In-Clinic	H0014	U4	U6			20.30

Definition of Service: This service is the medical monitoring of the physical process of withdrawal from alcohol or other drugs in an outpatient setting for those individuals with an appropriate level of readiness for behavioral change and level of community/social support. It is indicated when the individual experiences physiological dysfunction during withdrawal, but life or significant bodily functions are not threatened.

This service must reflect ASAM (American Society of Addiction Medication) Levels I-D (Ambulatory Without Extended On-Site Monitoring) and II-D (Ambulatory With Extended Onsite Monitoring) and focuses on rapid stabilization and entry into the appropriate level of care/treatment based upon the ASAM guidelines placement criteria. These services may be provided in traditional Outpatient, Intensive Outpatient, Day Treatment, Intensive Day Treatment or other ambulatory settings.

Target Population	Adults and Older Adolescents with a diagnosis of one of the following: 303.00 291.81 291.0 292.89 292.0
Benefit Information	Available to Core Customers in need of Ongoing Services Requires MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 4: Medically-monitored Non-Residential
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	15 minutes
Initial Authorization	60 units
Re-Authorization	60 units
Maximum Daily Units	32 units
Authorization Period	30 days
UAS: Budget and Expense Categories	Addictive Disease Detoxification Services Provider 766 – Adult Addictive Diseases 866- C&A Addictive Diseases (for older adolescents)
Admission Criteria	Individual has a Substance Related Disorder (ASAM PPC-2, Dimension-1) that is incapacitating, destabilizing or distressing. If the severity is incapacitating, there must be sufficient optimization in other dimensions of

	<p>the individual's life to provide for safe detoxification in an outpatient setting, and individual meets the following three criteria:</p> <ol style="list-style-type: none"> 1. Individual is experiencing signs and symptoms of withdrawal, or there is evidence (based on history of substance intake, age, gender, previous withdrawal history, present symptoms, physical condition, and/or emotional/behavioral condition) that withdrawal is imminent; and the individual is assessed to be at minimal (Level I-D) to moderate (Level II-D) risk of severe withdrawal syndrome outside the program setting and can safely be managed at this service level; and 2. Individual has no incapacitating physical or psychiatric complications that would preclude ambulatory detoxification services; and 3. Individual is assessed as likely to complete needed detoxification and to enter into continued treatment or self-help recovery as evidenced by: 1) Individual or support persons clearly understand and are able to follow instructions for care, and 2) Individual has adequate understanding of and expressed interest to enter into ambulatory detoxification services, or 3) Individual has adequate support services to ensure commitment to completion of detoxification and entry into ongoing treatment or recovery, or 4) Individual evidences willingness to accept recommendations for treatment once withdrawal has been managed.
Continuing Stay Criteria	Individual's withdrawal signs and symptoms are not sufficiently resolved so that the individual can participate in self-directed recovery or ongoing treatment without the need for further medical or detoxification monitoring.
Discharge Criteria	<ol style="list-style-type: none"> 1. Adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Recovery Plan have been substantially met; or 3. Individual/family requests discharge and individual is not imminently dangerous; or 4. Withdrawal signs and symptoms have failed to respond to treatment and have intensified (as confirmed by higher scores on CIWA-Ar or other comparable standardized scoring system) such that transfer to a more intensive level of detoxification service is indicated, or 5. Individual has been unable to complete Level I-D/II-D despite an adequate trial.
Service Exclusions	ACT, Nursing Assessment and Medication Administration (Medication administered as a part of Ambulatory Detoxification is not to be billed separately as Medication Administration.)
Clinical Exclusions	<ol style="list-style-type: none"> 1. Substance Abuse issue has incapacitated the individual in all aspects of daily living, there is resistance to treatment as in ASAM Dimension 4, relapse potential is high (Dimension 5), and the recovery environment is poor (Dimension 6). 2. Concomitant medical condition and/or other behavioral health issues warrant inpatient/residential treatment. 3. This service code does not cover detoxification treatment for cannabis, amphetamines, cocaine, hallucinogens and phencyclines.

Additional Service Criteria:

A. Required Components

1. This service must be licensed by DCH/HFR under the Rules and Regulations for Drug Abuse Treatment Programs, 290-4-2.
2. A physician's order in the individual's record is required to initiate ambulatory detoxification services. Verbal orders or those initiated by a Physician's Assistant or Clinical Nurse Specialist are acceptable provided the physician signs them within 24 hours or the next working day.
3. Programmatic philosophy must reflect emphasis on the development of a Plan of Care, which provides services in the least restrictive most empowering setting. This is an essential consideration for each individual's plan of care. This empowers individuals by fostering independence.

B. Staffing Requirements

1. Services must be provided under supervision of a physician.
 - a. The following individuals can provide Alcohol and/or drug services, Ambulatory Detoxification:
 - Practitioner Level 1: Physician/Psychiatrist (may be billed at the Level 2 rate or under any evaluation service encompassed under the Psychiatric Treatment service group)
 - Practitioner Level 2: PA or APRN
 - Practitioner Level 3: Registered Nurse (RN)
 - Practitioner Level 4: Licensed Practical Nurse (LPN)

C. Clinical Operations

1. The severity of the individual's symptoms, level of supports needed, and the physician's authorization for the service will determine the setting, as well as the amount of nursing and physician supervision necessary during the withdrawal process. The individual may or may not require medication, and 24-hour nursing services are not required. However, there is a contingency plan for "after hours" concerns/emergencies.
2. Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
3. In order for this service to have best practice impact, the Individualized Recovery/Resiliency Plan should consider group and individual counseling and training to fully support recovery.

D. Service Access

E. Additional Medicaid Requirements

Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Assertive Community Treatment							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Assertive Community Treatment	Practitioner Level 1, In-Clinic	H0039	U1	U6			\$32.46
	Practitioner Level 2, In-Clinic	H0039	U2	U6			\$32.46
	Practitioner Level 3, In-Clinic	H0039	U3	U6			\$32.46
	Practitioner Level 4, In-Clinic	H0039	U4	U6			\$32.46
	Practitioner Level 5, In-Clinic	H0039	U5	U6			\$32.46
	Practitioner Level 1, Out-of-Clinic	H0039	U1	U7			\$32.46
	Practitioner Level 2, Out-of-Clinic	H0039	U2	U7			\$32.46
	Practitioner Level 3, Out-of-Clinic	H0039	U3	U7			\$32.46
	Practitioner Level 4, Out-of-Clinic	H0039	U4	U7			\$32.46
	Practitioner Level 5, Out-of-Clinic	H0039	U5	U7			\$32.46
	Practitioner Level 1, Via interactive audio and video telecommunication systems	H0039	GT	U1			\$32.46
	Practitioner Level 1, Via interactive audio and video telecommunication systems	H0039	GT	U2			\$32.46
	Multidisciplinary Team Meeting	H0039	HT				\$0

Definition of Service: ACT is a client-centered, recovery-oriented, high intensity, community based service for individuals who have severe and persistent mental illness that significantly impairs functioning; who have been unsuccessfully treated in the traditional mental health service system; who may have experienced chronic homelessness and/or criminal justice involvement; and have multiple or extended stays in public hospitals. The service utilizes multidisciplinary mental health staff, including addiction, vocational and peer specialists who work in shifts 24-hours/7 days a week as a team to provide intensive, integrated, trauma-informed and rehabilitative crisis, treatment and community-based interventions, services and supports. Services emphasize relationship building and active involvement in assisting individuals to make improvements in functioning, to better manage symptoms, to achieve individual goals and maintain optimism. The service provider must develop programmatic goals that clearly articulate the use of best/evidence-based practices for ACT, co-occurring and trauma-informed service delivery and support. Practitioners of this service are expected to maintain knowledge and skills according to current research trends in best/evidence-based practices for delivery of ACT, trauma-informed and co-occurring services. ACT services are individually tailored with each consumer to address his/her preferences and identified goals, which are the basis of the Individualized Recovery Plan. Based on the needs of the individual, services may include (in addition to those services provided by other systems):

1. Assistance to facilitate the individual's active participation in the development of the Individualized Recovery Plan (IRP);
2. Psycho educational and instrumental support to individuals and their identified family;
3. Crisis planning (WRAP), assessment, support and intervention; and
4. Psychiatric assessment and care; nursing assessment and care; psychosocial and functional assessment which includes identification of strengths, skills, resources and needs.
5. Individualized interventions, which may include:
 - a. Identification, with the consumer, of barriers that impede the development of skills necessary for independent functioning in the community; as well as existing strengths which may aid the individual in recovery and goal achievement;
 - b. Support to facilitate recovery (including emotional/therapeutic support/assistance with defining what recovery means to the individual in order to assist individual with recovery-based goal setting and attainment);
 - c. Service and resource coordination to assist the individual with the acquisition and maintenance of recovery capital (i.e. gaining access to necessary internal and external rehabilitative, medical and other services) required for recovery initiation and self-maintenance;
 - d. Family counseling/training for individuals and their families (as related to the person's IRP);
 - e. Assistance to develop both mental illness and physical health symptom monitoring and illness self-management skills in order to identify and minimize the negative effects of symptoms which interfere with the individual's daily living (may include medication administration and/or observation and assistance with self-medication motivation and skills) and to promote wellness;
 - f. Assistance with accessing entitlement benefits and financial management skill development;
 - g. Motivational assistance to develop and work on goals related to personal development and school or work performance;
 - h. Substance abuse counseling and intervention (e.g. motivational interviewing, stage based interventions, refusal skill development, cognitive behavioral therapy, psycho educational approaches, instrumental support such as helping individual relocate away from friends/neighbors who influence drug use, relapse prevention planning and techniques etc);
 - i. Individualized, restorative one-to-one psychosocial rehabilitation and skill development, including assistance in the development of interpersonal/social and community coping and functional skills (i.e. adaptation/functioning in home, school and work environments);
 - j. Psychotherapeutic techniques involving the in depth exploration and treatment of interpersonal and intrapersonal issues, including trauma issues; and
 - k. Any necessary monitoring and follow-up to determine if the services accessed have adequately met the individual's needs.

Individuals receiving this intensive level of community support are expected to experience increased community tenure and decreased frequency and/or duration of hospitalization/crisis services. Through individualized, team-based supports, it is expected that individuals will achieve housing stability, decreased symptomatology (or a decrease in the debilitating effects of symptoms), decreased medication side effects, improved social integration and functioning, and increased movement toward self-defined recovery.

Target Population	Adults with Serious and Persistent Mental Illness, Adult with Co-Occurring Substance Related Disorders and Serious and Persistent Mental Illness Adults with Co-Occurring Serious and Persistent Mental Illness and MR/DD
Benefit Information	Available to Core Customers in need of Ongoing Services Requires MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential (transition) 6: Medically Managed Residential (transition)
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	15 minutes
Initial Authorization	240 units
Re-Authorization	240 units
Maximum Daily Units	96 units
Authorization Period	90 days
UAS: Budget and Expense Categories	<u>Intensive Treatment Services Provider</u> 152 – Adult Mental Health
Admission Criteria	<ol style="list-style-type: none"> 1. Individuals with severe and persistent mental illness that seriously impairs the ability to live in the community. Priority is given to people recently discharged from an institutional setting with schizophrenia, other psychotic disorders (e.g., schizoaffective disorder) or bipolar disorder, because these illnesses more often cause long-term psychiatric disability; and 2. Individuals with significant functional impairments as demonstrated by the inability to consistently engage in at least two of the following: <ol style="list-style-type: none"> a. Maintaining personal hygiene; b. meeting nutritional needs; c. caring for personal business affairs; d. obtaining medical, legal, and housing services; e. recognizing and avoiding common dangers or hazards to self and possessions; f. persistent or recurrent failure to perform daily living tasks except with significant support or assistance from others such as friends, family, or other relatives; g. Employment at a self-sustaining level or inability to consistently carry out homemaker roles (e.g., household meal preparation, washing clothes, budgeting, or childcare tasks and responsibilities); h. Maintaining a safe living situation (e.g. evicted from housing, or recent loss of housing, or imminent risk of loss of housing); and 3. Individuals with one or more of the following problems that are

	<p>indicators of continuous high-service needs (i.e., greater than 8 hours of service per month):</p> <ol style="list-style-type: none"> High use of acute psychiatric hospitals or crisis/emergency services including mobile, in-clinic or crisis residential (e.g., 3 or more admission per year) or extended hospital stay (60 days within the past year) or psychiatric emergency services. Persistent, recurrent, severe, or major symptoms (e.g., affective, psychotic, suicidal). Coexisting substance use disorder of significant duration (e.g., greater than 6 months) or co-diagnosis of substance abuse (ASAM Levels I, II.1, II.5, III.3, III.5). High risk or a recent history of criminal justice involvement (e.g., arrest and incarceration). Chronically homeless defined as a) continuously homeless for one full year; OR b) having at least four (4) episodes of homelessness within the past three (3) years. Residing in an inpatient bed or in a supervised community residence, but clinically assessed to be able to live in a more independent living situation if intensive services are provided, or requiring a residential or institutional placement if more intensive services are not available. Inability to participate in traditional clinic-based services; and <p>4. A lower level of service/support has been tried or considered and found inappropriate at this time.</p>
Continuing Stay Criteria	<ol style="list-style-type: none"> Individual meets the requirements above; and Continued inability to participate in traditional clinic-based services or a community setting at a less intensive level of service/supports; and/or Substandard housing, homeless, or at imminent risk of becoming homeless due to functional impairments associated with behavioral health issues.
Discharge Criteria	<ol style="list-style-type: none"> An adequate continuing care plan has been established; and one or more of the following: <ol style="list-style-type: none"> Individual no longer meets admission criteria; or Goals of the Individualized Recovery Plan have been substantially met; or Individual requests discharge and is not in imminent danger of harm to self or others, or Transfer to another service/level of care is warranted by a change in individual's condition, or Individual requires services not available in this level of care.

Service Exclusions	<ol style="list-style-type: none"> 1. ACT is a comprehensive team intervention and most services are excluded, with the exceptions of <ul style="list-style-type: none"> • Peer Supports, • Residential Supports, • Group Training/Counseling (within parameters listed in Section A), and • Supported Employment. 2. On an individual basis, up to four (4) weeks of some services may be provided to ACT consumers to facilitate a smooth transition from ACT to these other community services. A transition plan must be adequately documented in the Individualized Recovery Plan and clinical record. These service are: <ul style="list-style-type: none"> • Psychosocial Rehabilitation • Community Support • Behavioral Health Assessment • Service Plan Development • Diagnostic Assessment • Physician Assessment (specific to engagement only) • Individual Counseling (specific to engagement only) 3. ACT recipients who also receive an DBHDD Residential Service may not receive ACT-provided skills training which is a part of the "residential" service. The ACT provider shall be in close coordination with the Residential provider such that there is no duplication of services supports/efforts. 4. Those receiving Medicaid DD Waivers are excluded from the service.
Clinical Exclusions	<p>Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder, substance-related disorder.</p>

Additional Service Criteria:

A. Required Components

1. Assertive Community Treatment must include a comprehensive and integrated set of medical and psychosocial services provided in non-office settings 75% of the time by a mobile multidisciplinary team. The team must provide community support services interwoven with treatment and rehabilitative services and regularly scheduled team meetings which will be documented in the served individual's medical record.
2. Team meetings must be held a minimum of 3 times a week and time dedicated to discussion of support to a specific individual must be documented in the individual's medical record and submitted as a claim/encounter. Effective 7/1/11, the psychiatrist must participate at least one time/week in the ACT team meetings.
3. Services and interventions must be individually tailored to the needs, goals, preferences and assets of the individual with the goals of maximizing independence and recovery as defined by the consumer.

4. At least 60% of all service units must involve face-to-face contact with consumers. Seventy-five percent (75%) or more of face-to-face service units must be provided outside of program offices in locations that are comfortable and convenient for consumers (including the individual's home, based on individual need and preference and clinical appropriateness).
5. During the course of treatment, it is recommended that the ACT Team provide at least 5 face-to-face contacts per week for most individuals on an ongoing basis, and all individuals participating in ACT must receive a minimum of 12 face-to-face contacts per month. The Team must see each individual at least once a month for symptom assessment/management and management of medications.
6. During discharge transition, it is recommended that the ACT Team provide at least 3 face-to-face contacts per week for most individuals on an ongoing basis, and all individuals participating in ACT must receive a minimum of 4 face-to-face contacts per month. The Team must see each individual at least once a month for symptom assessment/management and medication management.
7. Service may be delivered by a single team member to 2 ACT consumers at the same time if their goals are compatible, however, this cannot be a standard practice. Services cannot be offered to more than 2 individuals at a time (exception: Item A.8.).
8. ACT recipients can receive limited Group Training/Counseling (up to 8 units/week) when a curriculum-based therapeutic group is offered such as Dialectical Behavioral Therapy (DBT). For this to be allowable, the ACT participants must have clinical needs and recovery goals that justify intervention by staff trained in the implementation of the specific curriculum-based therapy. This group may be offered to no more than 8 ACT participants at one time and must be directed by no fewer than 2 staff in order to be billed as Group Training/Counseling. This may be offered for no more than 2 hours in any given week. Only ACT consumers are permitted to attend these group services.
9. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following practitioners can provide Assertive Community Treatment:
 - Practitioner Level 1: Physician/Psychiatrist
 - Practitioner Level 2: Psychologist, APRN, PA
 - Practitioner Level 3: LCSW, LPC, LMFT, RN
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's
Supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-I, CAC-II, CADC, CCADC, GCADC (II, III); PP, CPRP, CPS, or Addiction Counselor Trainees with Master's or Bachelor's degree in one of the helping professions such as social work, community

counseling, psychology, or criminology (addictions counselors may only perform counseling functions related to treatment of addictive diseases).

- Practitioner Level 5: CPS, PP, CPRP, CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent under supervision of one of the licensed/credentialed professionals above

2. Assertive Community Treatment Team members must include:

- (1 FT Employee required) A fulltime Team Leader who is the clinical and administrative supervisor of the team and also functions as a practicing clinician on the team; this individual must have at least 2 years of documented experience working with adults with a SPMI and one of the following qualifications to be an "independently licensed practitioner:"
 - Physician
 - Psychologist
 - Physician's Assistant
 - APRN
 - RN with a 4-year BSN
 - LCSW
 - LPC
 - LMFT
- (.40 FTE required) A full or part time Psychiatrist who provides clinical and crisis services to all team consumers, works with the team leader to monitor each individual's clinical and medical status and response to treatment, and directs psychopharmacologic and medical treatment. The psychiatrist to ACT consumer ratio must not be greater than 1:100 and the psychiatrist must provide a minimum of 16 hours per week of direct support to the ACT team/ACT consumers. Effective 7/1/11, the psychiatrist must participate at least one time/week in the ACT team meetings.
- (1 FTE July 1, 2010-December 31, 2010; 1 FT Employee effective January 1, 2011) One fulltime equivalent Registered Nurse who provides nursing services for all team consumers and works with the team to monitor each individual's physical health, clinical status and response to treatment.
- (1/2 FTE minimum) A 1/2 to fulltime equivalent substance abuse practitioner who holds a CACI (or an equally recognized SA certification equivalent or higher and assesses the need for and provides and/or accesses substance abuse treatment and supports for team consumers. If any single team serves 50 or more individuals with a co-occurring SA issue, then there must be 1 FTE as staff on the team.
- (1 FT employee) A full-time practitioner licensed to provide psychotherapy/counseling under the practice acts or a person with an associate license who is supervised by a fully licensed clinician, and provides individual and group support to team consumers (this position is in addition to the Team Leader).
- (1 FTE) One FTE certified Peer Specialist who is fully integrated into the team and promotes consumer self-determination and decision-making and provides essential expertise and consultation to the entire team to promote a culture in which each client's point of view and preferences are recognized, understood, respected and integrated into treatment, rehabilitation and community self-help activities.
- (2 FTEs) Two paraprofessional mental health workers who provide rehabilitation and support services under the supervision of a Licensed Clinician. The sum of the FTE counts for the following two bullets must equal 2 FTEs.

- (1/2 to 1 FTE) One of these staff must be a Vocational Rehabilitation Specialist. (A VRS is a person with a minimum of one year verifiable vocational rehabilitation experience, *effective January 1, 2011*). This person may be a ½ FTE if the team serves less than 50 individuals.
 - (1 to 1 ½) FTE Other Paraprofessional
3. It is critical that ACT team members build a sound relationship with and fully engage in supporting the served individuals. To that end, effective 1/1/11, no more than 1/3 of staff can be "contracted"/1099 team members.
 4. The ACT team maintains a small consumer-to-clinician ratio, of no more than 12 consumers per staff member. This does not include the psychiatrist, program assistant/s, transportation staff, or administrative personnel. Staff-to-consumer ratio takes into consideration evening and weekend hours, needs of special populations, and geographical areas to be served. (effective October 1, 2010 this ratio changes to 1 staff:10 consumers).
 5. Documentation must demonstrate that all team members are engaged in the support of each consumer served by the team including the "time-in" and "time-out" for each staff intervention (excluding the SAP if substance related issues have been ruled out).
 6. The ACT Team Leader must be dedicated to a single ACT team. Effective 1/1/11, the Team RN must be dedicated to a single ACT team. "Dedicated" means that the team leader works with only one team at least 32 hours/week (up to 40 hours/week) and is a full-time employee of the agency (not a subcontractor/1099 employee).
 7. At least one ACT RN must be dedicated to a single ACT team. "Dedicated" means that the RN works with only one team at least 32 hours/week (up to 40 hours/week) and is a full-time employee of the agency (not a subcontractor/1099 employee). *This requirement is effective January 1, 2011.*

C. Clinical Operations

1. Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The verified diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
2. ACT Teams must incorporate assertive engagement techniques to identify, engage, and retain the most difficult to engage consumers which include using street outreach approaches and legal mechanisms such as outpatient commitment and collaboration with parole and probation officers.
3. Because ACT-eligible individuals may be difficult to engage, the initial treatment/recovery plan for an individual may be more generic at the onset of treatment/support. It is expected that the treatment plan be individualized and recovery-oriented after the team becomes engaged with the individual and comes to know the individual. The allowance for "generic" content of the IRP shall not extend beyond one initial authorization period.
4. Because many individuals served may have a mental illness and co-occurring addiction disorder, the ACT team may not discontinue services to any individual based solely upon a relapse in his/her addiction recovery.
5. ACT Teams must be designed to deliver services in various environments, such as homes, schools, homeless shelters, and street locations. The provider should keep in mind that individuals may prefer to meet staff at a community location other than their homes or other conspicuous locations (e.g. their place of employment or school), especially if staff drive a vehicle that is clearly marked as a state or agency vehicle, or if staff must identify themselves and their purpose to gain access to the individual in a way that may potentially embarrass the individual or breach the

individual's privacy/confidentiality. Staff should be sensitive to and respectful of individuals' privacy/confidentiality rights and preferences in this regard to the greatest extent possible (e.g. if staff must meet with an individual during their work time, mutually agree upon a meeting place nearby that is the least conspicuous from the individual's point of view).

6. The organization must have policies that govern the provision of services in natural settings and can document that it respects consumers' and/or families' right to privacy and confidentiality when services are provided in those settings.
7. Each ACT Team provider must have policies and procedures governing the provision of outreach services, including methods for protecting the safety of staff that engage in outreach activities.
8. The organization must have established procedures/protocols for handling emergency and crisis situations that describe methods for supporting and handling individuals who require psychiatric hospitalization and/or crisis stabilization.
9. The organization must have an Assertive Community Treatment Organizational Plan that addresses the following descriptions:
 - a. Particular rehabilitation, recovery and resource coordination models utilized, types of intervention practiced, and typical daily schedule for staff
 - b. Staffing pattern and how staff are deployed to assure that the required staff-to-consumer ratios are maintained, including how unplanned staff absences, illnesses, and emergencies are accommodated
 - c. Hours of operation, the staff assigned, and types of services provided to consumers, families, and/or guardians
 - d. How the plan for services is modified or adjusted to meet the needs specified in the Individualized Recovery Plan
 - e. Inter-team communication plan regarding consumer support (e.g., e-mail, team staffings, staff safety plan such as check-in protocols etc.)
 - f. A physical health management plan
 - g. How the organization will integrate consumers into the community including assisting consumers in preparing for employment
 - h. How the organization (team) will respond to crisis for individuals served.

D. Service Accessibility

1. Services must be available by ACT Team staff skilled in crisis intervention 24 hours a day, 7 days a week with emergency response coverage, including psychiatric services. Answering devices/services/Georgia Crisis and Access Line do not meet the expectation of "emergency response."
2. The team must be able to rapidly respond to early signs of relapse and decompensation and must have the capability of providing multiple contacts daily to individuals in acute need.
3. An ACT staff member must provide this on-call coverage.
4. There must be documented evidence that service hours of operation include evening, weekend and holiday hours.
5. Telemedicine is the use of medical information exchanged from one site to another via electronic communications to improve a patient's health. Electronic communication means the use of interactive telecommunications equipment that includes, at a minimum, audio and video equipment permitting two-way, real time interactive communication between the patient, and the physician or practitioner at the distant site. The ACT Physician may use telemedicine to provide this service by using the code above with the GT modifier.

E. Additional Medicaid Requirements

1. Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Billing/Reporting Requirements

1. All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.
2. All time spent between 2 or more team practitioners discussing a served individual must be reported as H0039HT. While this claim/encounter is reimbursed at \$0, it is imperative that the team document these encounters (see Section G. below) to demonstrate program integrity AND submit the claim/encounter for this so this service can be included in future rate setting.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section IV of the Provider Manual and in keeping with this section G.
2. All time spent between 2 or more team practitioners discussing a served individual must be documented in the medical record as H0039HT. While this claim/encounter is reimbursed at \$0, it is imperative that the team document these encounters to demonstrate program integrity AND submit the claim/encounter for this so this service can be included in future rate setting. HT documentation parameters include:
 - a. If the staff interaction is specific to a single consumer for 15 minutes, then the H0039HT code shall be billed to that consumer (through claims or encounters).
 - b. If the staff interaction is for multiple consumers served and is for a minimum single 15 minute unit and:
 - 1) the majority of time is for a single individual served, then the claim/encounter shall be submitted attached to the individual's name who was the focus of this staffing conversation; or
 - 2) the time is spent discussing multiple consumers (with no one consumer being the focus of the time), then the team should create a rotation list (see below) in which a different consumer would be selected for each of these staffing notes in order to submit claims and account for this staffing time, and
 - c. An agency is not required to document every staffing conversation in the individual's medical record; however every attempt should be made to accurately document the time spent in staffing or case conferencing for individual consumers. The exceptions (which shall be documented in a medical record) are:
 - when the staffing conversation modifies an individual's treatment planning or intervention strategy,
 - when observations are discussed that may lead to treatment or intervention changes, and/or that change the course of treatment
 - d. When a HT note is not required (per guidance above), a documentation log for staff meetings will be sufficient. The ACT team must have documentation (e.g., notebook, binder, file, etc.) which contains all H0039HT staffing interactions (which shall become a document for audit purposes, and by which claims/encounters can be revoked-even though there are no funds attached). The documentation notebook shall include:
 - 1) the team's protocol for submission of H0039HT encounters (how the team is accounting for the submissions of H0039HT in accordance with the above);
 - 2) the protocol for staffings which occur ad hoc (e.g. team member is remote supporting a consumer and calls a clinical supervisor for a consult on support, etc.);
 - 3) date of staffing;
 - 4) time start/end for the "staffing" interaction;

- 5) if a regular team meeting, names of team participants involved in staffing (signed/certified by the team leader or team lead designee in the absence of the team leader);
- 6) if ad hoc staffing note, names of the team participants involved (signed by any one of the team members who is participating);
- 7) name of individuals discussed/planned for during staffing;
- 8) minimal documentation of content of discussion (1-2 sentences is sufficient).

Community Based Inpatient Psychiatric and Substance Detoxification Services							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Psychiatric Health Facility Service, Per Diem		H2013					Per negotiation

Definition of Service: A short-term stay in a licensed and accredited community-based hospital for the treatment or habilitation of a psychiatric and/or substance related disorder. Services are of short duration and provide treatment for an acute psychiatric or behavioral episode. This service may also include Medically Managed Inpatient Detoxification at ASAM Level IV-D.

Target Population	Adults with a serious mental illness Adults with a Substance Related Disorder Adults with Co-occurring SMI and a Substance Related Disorder
Benefit Information	Available to Core Customers in need of Ongoing Services Requires MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 6: Medically Managed Residential
Ordering Practitioner	
Unit Value	1 day
Initial Authorization	5 days
Re-Authorization	3 days
Maximum Daily Units	1 unit
Authorization Period	5 days
UAS: Budget and Expense Categories	Adult Crisis Services Provider 135 – Adult Mental Health 735 – Adult Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Individual with serious mental illness/SED that is experiencing serious impairment; persistent, recurrent, severe, or major symptoms (such as psychoses); or who is experiencing major suicidal, homicidal or high risk tendencies as a result of the mental illness; or 2. Individual's need is assessed for 24/7 supports which must be one-on-one and may not be met by any service array which is available in the community; or 3. Individual is assessed as meeting diagnostic criteria for a Substance Related Disorder according to the latest version of the DSM; and one or more of the following: <ol style="list-style-type: none"> A. Individual is experiencing signs of severe withdrawal, or there is evidence (based on history of substance intake, age, gender, previous withdrawal history, present symptoms, physical condition, and/or emotional/behavioral condition) that severe

	<p>withdrawal syndrome is imminent; or</p> <p>B. Level IV-D is the only available level of service that can provide the medical support and comfort needed by the individual, as evidenced by:</p> <ul style="list-style-type: none"> i. A detoxification regimen or individual's response to that regimen that requires monitoring or intervention more frequently than hourly, or ii. The individual's need for detoxification or stabilization while pregnant, until she can be safely treated in a less intensive service.
Continuing Stay Criteria	<ul style="list-style-type: none"> 1. Individual continues to meet admission criteria; and 2. Individual's withdrawal signs and symptoms are not sufficiently resolved to the extent that they can be safely managed in less intensive services;
Discharge Criteria	<ul style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Individual no longer meets admission and continued stay criteria; or 3. Individual requests discharge and individual is not imminently dangerous to self or others; or 4. Transfer to another service/level of care is warranted by change in the individual's condition; or 5. Individual requires services not available in this level of care.
Service Exclusions	This service may not be provided simultaneously to any other service in the service array excepting short-term access to services that provide continuity of care or support planning for discharge from this service.
Clinical Exclusions	<p>Individuals with any of the following unless there is clearly documented evidence of an acute psychiatric/addiction episode overlaying the primary diagnosis:</p> <ul style="list-style-type: none"> a. Autism b. Mental Retardation/Developmental Disabilities c. Organic Mental Disorder; or d. Traumatic Brain Injury

Additional Service Criteria:

A. Required Components

- 1. This service must be licensed by DCH/HFR under the Rules and Regulations for Drug Abuse Treatment Programs, 290-4-2
- 2. A physician's order in the individual's record is required to initiate detoxification services. Verbal orders or those initiated by a Physician's Assistant or Clinical Nurse Specialist are acceptable provided the physician signs them within 24 hours or the next working day.

B. Staffing Requirements

Detoxification services must be provided only by nursing or other licensed medical staff under supervision of a physician.

C. Clinical Operations

Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.

D. Service Access

E. Additional Medicaid Requirements

Not applicable. Not a Medicaid billable service.

F. Reporting & Billing Requirements

All applicable MICP and other DBHDD reporting requirements must be met.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Community Transition Planning							
Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Community Transition Planning	Community Transition Planning (State Hospital)	T2038	ZH				\$20.92
	Community Transition Planning (Crisis Stabilization Program)	T2038	ZC				\$20.92
	Community Transition Planning (Jail / Youth Detention Center)	T2038	ZJ				\$20.92
	Community Transition Planning(Other)	T2038	ZO				\$20.92

If you are an ACT provider, you may also bill this service. Please refer to the Core Guidelines for the detail.

Consumer/Family Assistance							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Mental Health Services, Not Otherwise Specified		H0046					Variable in accordance with Items C.6. below

Definition of Service: Individuals may need a range of goods and community support services to fully benefit from mental health and addictive disease services. This time-limited service consists of goods and services purchased/procured on behalf of the consumer (e.g. purchase of a time-limited mentor, a one-time rental payment to prevent eviction/homelessness, a utility deposit to help an individual move into the community and/or their own housing, environmental modification to the individual's home to enhance safety and ability to continue living independently etc) that will help promote individual functional enhancement to the benefit of the individual and his/her behavioral health stability. The goods/services procured must provide a *direct and critical* benefit to the individualized needs of the consumer, in accordance with the IRP, and lead to an enhancement of specific positive behaviors/skills/resources that will allow the individual to leave an institution and/or achieve a more independent living status, or prevent an imminent crisis or out-of home placement (e.g. eviction, homelessness, loss of independent living, loss of ability or resources needed to maintain the individual's living in the home, etc). This service is intended to be of short duration and is not intended to pay for/provide ongoing service programming through the provider agency.

Target Population	Adults defined as Core Customers of Ongoing Services who are diagnosed with: Mental Illness Substance Related Disorders Co-Occurring Mental Illness and Substance Related Disorders Co-Occurring Mental Illness/Substance Related Disorders and Mental Retardation/Developmental Disabilities
Benefit Information	Available to Core Customers in need of Ongoing Services. Requires a MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Managed Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	Variable in accordance with Items C.6. below

Initial Authorization	While the actual assistance should be very short-term in nature, this service can be authorized as part of a 180 day Recovery plan. Financial max \$2000/\$5000 (see Clinical Operations section below)
Re-Authorization	One within a single fiscal year.
Maximum Daily Units	
Authorization Period	180 days
UAS: Budget and Expense Categories	Adult Consumer/Family Support Services Provider 137 – Adult Mental Health 737 – Adult Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Individual must meet Core Customer criteria for Ongoing services, and 2. Individual must be in need of a specific good or service that will directly improve functioning (e.g. directly lead to an enhancement of specific positive behaviors/skills/resources that will allow the individual to leave an institution and/or achieve a more independent living status), or prevent a crisis or out-of home placement (e.g. eviction, homelessness, loss of independent living, loss of ability or resources needed to maintain the individual's living in the home, etc.), and 3. Individual or provider must exhaust all other possible resources for obtaining the needed goods/services—this service provides payment of last resort, and 4. Individual has not received this service for more than one other episode of need during the current fiscal year.
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Individual must continue to meet Core Customer criteria for Ongoing services, and 2. Individual must continue to be in need of the same specific good or service as when enrolled in Consumer/Family Assistance, that will directly improve functioning (e.g. directly lead to an increase in specific positive behaviors/skills/resources that will allow the individual to leave an institution and/or obtain more independent living), or prevent a crisis or out-of home placement (e.g. eviction, homelessness, loss of independent living, loss of ability or resources needed to maintain the individual's living in the home, etc.), and 3. Individual or provider must continue to lack any other possible resources for obtaining the needed goods/services.
Discharge Criteria	<ol style="list-style-type: none"> 1. Individual no longer meets Core Customer criteria for Ongoing services, or 2. Individual no longer continues to be in need of the good or service, or 3. Individual has received the good in the allotted amount or service for the allotted timeframe as described below in "Additional Service Criteria" # 3, or 4. The individual requests discontinuance of the service.
Service Exclusions	<ol style="list-style-type: none"> 1. Goods and services that are included as a part of other services the individual is enrolled in or could be enrolled in are excluded.
Clinical Exclusions	

Additional Service Criteria:

A. Required Components

B. Staffing Requirements

1. This service must not pay for the regular staffing of specific programs or services in the provider's agency.
2. Service may pay for a 1:1 mentor, etc for an individual consumer, within the following limits:
 - a. Other means are not available to pay for the mentor, etc., such as state funding, Medicaid, self-pay or private insurance.
 - b. The mentor, etc. cannot be used to supplement the staffing of any program or service in the provider agency.
 - c. The mentor, etc. cannot be used as a 1:1 staff for the consumer during the times the consumer is attending other programming/services offered by the provider agency.

C. Clinical Operations

1. This service must not pay for transportation to MH/DD/AD services.
2. Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
3. This service must not pay for the operating, programmatic, or administrative expenses of any other program or service offered by the provider agency.
4. Individual cannot receive this service for more than two episodes of need per fiscal year.
5. Services obtained (e.g. a mentor, etc.) are intended to be of short duration and must be provided through this service for no longer than 3 months, or until the direct consumer benefit is realized, whichever occurs sooner.
6. Each type of necessary good obtained through this service is intended to be of short duration and must be purchased for no longer/in no greater amount than is reasonably necessary to avoid/resolve the immediate crisis or achieve the targeted increase in functioning. Some items have specific limits that cannot be surpassed during a single episode of need. The least duration and/or amount necessary of such items should be provided. Except for individuals leaving institutions as described below, up to:
 - one month's rental/mortgage assistance;
 - one month's assistance with utilities and/or other critical bills;
 - one housing deposit;
 - one month's supply of groceries (for the individual);
 - one month of medications;
 - one assistive device (unless a particular device is required in multiple according to commonly understood definition/practice such as a hearing aide for each ear, a one month supply of diabetic supplies etc);
 - one to two weeks' worth of clothing.

Similar guidelines should be used with other items not on this list.

* Individuals leaving an institution after a stay of at least 60 days who have had their benefits suspended or who do not yet have income or other benefits established may need greater assistance than the allowances indicated above for rent, bills, groceries and other items/services.

7. The maximum yearly monetary limit for this service is \$2000 per individual per fiscal year except for individuals who have left an institution after a 60-day stay. For such individuals, multiple months of rent, bills, groceries, services etc may be purchased, at a maximum yearly monetary limit of \$5000 per individual per fiscal year. This amount will be controlled by the Third Party Administrator (when operational) and the availability of funds.
8. Eligibility for the Consumer/Family Assistance service does not equate to an entitlement to the service. Prioritizing eligible individuals to receive services is the responsibility of the service provider. A standard protocol must be utilized by the service provider to assess and approve the individual's needs in regard to 1) the criticalness of the need(s) in terms of the individual's functioning and ability to return to/remain in the community, and 2) the individual's or provider's ability to obtain the needed goods or services through other viable means.

D. Service Access

E. Additional Medicaid Requirements

Not applicable. Not a Medicaid billable service.

F. Reporting & Billing Requirements

1. The agency must submit a monthly report on expenditures in a specified format (and upon request at anytime) to the DBHDD.
2. All applicable DBHDD reporting requirements.

G. Documentation Requirements

1. Documentation that authorized goods/services are not available through other viable means must be made in the individual's chart.
2. Details regarding the goods/services procured and resulting benefit to the individual consumer must be documented in the individual's chart.

H. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Crisis Stabilization Program Services							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Behavioral Health; Short-term Residential (Non-Hospital Residential Treatment Program Without Room & Board, Per Diem)		H0018	U2				Per negotiation and specific to Medicaid, see item E.2. below.
Behavioral Health; Short-term Residential (Non-Hospital Residential Treatment Program Without Room & Board, Per Diem)		H0018	TB	U2			Per negotiation

Definition of Service: This is a residential alternative to or diversion from inpatient hospitalization, offering psychiatric stabilization and detoxification services. The program provides medically monitored residential services for the purpose of providing psychiatric stabilization and substance detoxification services on a short-term basis. Specific services may include:

- 1) Psychiatric medical assessment;
- 2) Crisis assessment, support and intervention;
- 3) Medically Monitored Residential Substance Detoxification (at ASAM Level III.7-D).
- 4) Medication administration, management and monitoring;
- 5) Brief individual, group and/or family counseling; and
- 6) Linkage to other services as needed.

Services must be provided in a facility designated and certified by the DBHDD as an emergency receiving and evaluation facility

Target Population	Adults experiencing: Severe situational crisis Severe Mental Illness Substance-Related Disorders Co-Occurring Substance-Related Disorders and Mental Illness Co-Occurring Mental Illness and Mental Retardation Co-occurring Substance-Related Disorders and Mental Retardation,
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Benefit Information	Available to Core Customers in need of Ongoing Services. Requires a MICP New Episode Request or Update Request.
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 4: Medically Monitored Non-Residential (residential detoxification only) 5: Medically Monitored Community Residential 6: Medically Managed Residential (with ERO Care Management Review)
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	1 day
Initial Authorization	20 units
Re-Authorization	
Maximum Daily Units	1 unit
Authorization Period	20 Days
UAS: Budget and Expense Categories	Adult Crisis Services Provider 134 – Adult Mental Health 734 – Adult Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Treatment at a lower level of care has been attempted or given serious consideration; and #2 and/or #3 are met: 2. Individual has a known or suspected illness/disorder in keeping with target populations listed above; or 3. Individual is experiencing a severe situational crisis which has significantly compromised safety and/or functioning; and one or more of the following: 4. Individual presents a substantial risk of harm to self, others, and/or property or is so unable to care for his or her own physical health and safety as to create a life-endangering crisis. Risk may range from mild to imminent; or 5. Individual has insufficient or severely limited resources or skills necessary to cope with the immediate crisis; or 6. Individual demonstrates lack of judgment and/or impulse control and/or cognitive/perceptual abilities to manage the crisis; or 7. For detoxification services, individual meets admission criteria for Medically Monitored Residential Detoxification.
Continuing Stay Criteria	This service may be utilized at various points in the individual's course of treatment and recovery; however, each intervention is intended to be a discrete time-limited service that stabilizes the individual.
Discharge Criteria	<ol style="list-style-type: none"> 1. Individual no longer meets admission guidelines requirements; or 2. Crisis situation is resolved and an adequate continuing care plan has been established; or 3. Individual does not stabilize within the evaluation period and must be transferred to a higher intensity service.
Service Exclusions	<p>This is a comprehensive service intervention that is not to be provided with any other service(s), except for the following:</p> <ul style="list-style-type: none"> • Methadone Administration

Clinical Exclusions	<ol style="list-style-type: none"> 1. Individual is not in crisis. 2. Individual does not present a risk of harm to self or others or is able to care for his or her own physical health and safety. 3. Severity of clinical issues precludes provision of services at this level of intensity.
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Additional Service Criteria:

A. Required Components

1. Crisis Stabilization Programs (CSP) providing medically monitored short-term residential psychiatric stabilization and detoxification services shall be designated by the Department as both an emergency receiving facility and an evaluation facility and must be surveyed and certified by the DBHDD.
2. In addition to all service qualifications specified in this document, providers of this service must adhere to and be certified under the *Provider Manual for Community Mental Health, Developmental Disability and Addictive Disorders* "Core Requirements for All Providers" and DBHDD "Core Requirements for Crisis Stabilization Programs Operated by Community Service Boards."
3. Individual referred to a CSP must be evaluated by a physician within 24 hours of the referral.
4. The maximum length of stay in a crisis bed is 10 adjusted days (excluding Saturdays, Sundays and state holidays) for adults (an adult occupying a transitional bed may remain in the CSP for an unlimited number of additional days if the date of transfer and length of stay in the transitional bed is documented).
5. Individuals occupying transitional beds must receive services from outside the CSP (i.e. community-based services) on a daily basis.
6. Services must be provided in a facility designated as an emergency receiving and evaluation facility that is not also an inpatient hospital, a freestanding Institute for Mental Disease (IMD), or a licensed substance abuse detoxification facility.
7. All services provided within the CSP must be delivered under the direction of a physician. A physician must conduct an assessment of new admissions, address issues of care, and write orders as required.

B. Staffing Requirements

1. Crisis Stabilization Program (CSP) Services must be provided by a physician or a staff member under the supervision of a physician, practicing within the scope of State law.
2. A CSP must employ a fulltime Nursing Administrator who is a Registered Nurse.
3. A CSP must have a Registered Nurse present at the facility at all times.
4. Staff-to-client ratios must be established based on the stabilization needs of clients being served and in accordance with the "Core Requirements for Crisis Stabilization Programs Operated by Community Service Boards."
5. Functions performed by Physician Assistants, Nurse Practitioners, Clinical Nurse Specialists, Registered Nurses, and Licensed Practical Nurses must be performed within the scope of practice allowed by State law and Professional Practice Acts.

C. Clinical Operations

1. CSP must have documented operating agreements and referral mechanisms for psychiatric disorders, addictive disorders, and physical healthcare needs that are beyond the scope of the CSP and that require inpatient treatment. Operating agreements must delineate the type and level

of service to be provided by the private or public inpatient hospital or treatment facility. These agreements must specifically address the criteria and procedures for transferring an individual to a designated treatment facility when the CSP is unable to stabilize the individual.

2. CSPs must follow the seclusion and restraint procedures included in the Department's "Core Requirements for Crisis Stabilization Programs operated by Community Service Boards."
3. For individuals with co-occurring diagnoses including mental retardation/developmental disabilities, this service must target the symptoms, manifestations, and skills-development related to the identified behavioral health issue.
4. Individuals served in transitional beds may access an array of community-based services in preparation for their transition out of the CSP, and are expected to engage in community-based services daily while in a transitional bed.

D. Service Access

E. Additional Medicaid Requirements

1. Effective July 1, 2007, Medicaid stopped paying a bundled daily rate for this service. Crisis Stabilization Programs with less than 16 beds should bill individual services for Medicaid recipients.
2. The individual services listed below may be billed up to the daily maximum listed for services provided in a Crisis Stabilization Program. Billable services and daily limits within CSPs are as follows:

Service	Daily Maximum Billable Units
Crisis Intervention	8 units
Diagnostic Assessment	2 units
Psychiatric Treatment	1 unit (Pharmacological Mgmt)
Nursing Assessment and Care	5 units
Medication Administration	1 unit
Group Training/Counseling	4 units
Beh Health Assmnt & Serv. Plan Devel.	24 units
Medication Administration	1 unit

3. Medicaid claims for the services in E.2. above may **not** be billed for any service provided to

F. Reporting & Billing Requirements

1. Providers must report information on all consumers served in CSPs no matter the funding source:
 - a. The CSP shall submit MICPs for all individuals served (state-funded, Medicaid funded, private pay, other third party payor, etc);
 - b. The CSP shall submit per diem encounters (H0018HAU2 or H0018HATBU2) for all individuals served (state-funded, Medicaid funded, private pay, other third party payor, etc) even if sub-parts cited in E.2 above are also billed as a claim to Medicaid;
 - c. Providers must designate either CSP bed use or transitional bed use in encounter submissions through the presence or absence of the TB modifier. TB represents "Transitional Bed."
2. Unlike all other DBHDD residential services, the start date of a CSP span encounter submission may be in one month and the end date may be in the next. The span of reporting must cover continuous days of service and the number of units must equal the days in the span.
3. All other applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

1. For individuals transferred to transitional beds, the date of transfer must be documented in a progress note and filed in the individual's chart.
2. Specific to item F.1. above, the notes for the program must have documentation to support the per diem AND, if the program bills sub-parts to Medicaid (in accordance with E. above), each discrete service delivered must have documentation to support that sub-billable code (e.g. Group is provided for 1 hour, Group is billed for 1 hour, Group note is for 4 units at the 15 minute rate and meets all the necessary components of documentation for that sub-code).
3. Daily engagement in community-based services must also be documented in progress notes for those occupying transitional beds.
4. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Housing Supplements							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Housing Supplements		ROOM1					Actual cost

Definition of Service: This is a rental/housing subsidy that must be justified by a personal consumer budget.

Target Population	Adults experiencing: Severe and Persistent Mental Illness Substance-Related Disorders Co-Occurring Substance-Related Disorders and Mental Illness Co-Occurring Mental Illness and Mental Retardation Co-occurring Substance-Related Disorders and Mental Retardation
Benefit Information	Available to Core Customers in need of Ongoing Services and requires a MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Managed Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	Unit=1 day
Initial Authorization	180 days
Re-Authorization	180 days
Maximum Daily Units	
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Residential Services Provider</u> 148– Adult Mental Health 748 – Adult Addictive Diseases
Admission Criteria	1. Individual meets target population as identified above; and 2. Based upon a personal budget, individual has a need for financial support for a living arrangement.
Continuing Stay Criteria	1. Individual continues to meet admission criteria as defined above; and 2. Individual has developed a Recovery goal to develop natural supports that promote the family/caregiver-management of these needs.
Discharge Criteria	Individual requests discharge; or Individual has acquired natural supports that supplant the need for this service.

Service Exclusions	None
Clinical Exclusions	Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder, traumatic brain injury.

Opioid Maintenance Treatment							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Alcohol and/or Drug Services; Methadone Administration and/or Service (Provision of the drug by a licensed program)		H0020	U2	U6			33.40
		H0020	U3	U6			25.39
		H0020	U4	U6			17.40

Definition of Service: An organized, usually ambulatory, addiction treatment service for opiate-addicted individuals. (For Medicaid consumers, the actual administration of the opioid maintenance medication is conducted under the Medication Administration service code). The nature of the services provided (such as dose, level of care, length of service or frequency of visits) is determined by the patient's clinical needs, but such services always include regularly scheduled psychosocial treatment sessions and daily medication visits within a structured program. Services function under a defined set of policies and procedures, including admission, discharge and continued service criteria stipulated by state law and regulation and the federal regulations at FDA 21 CFR Part 291. Length of service varies with the severity of the individual's illness, as well as his or her response to and desire to continue treatment. Treatment with methadone or LAAM is designed to address the individual's need to achieve changes in his or her level of functioning, including elimination of illicit opiate and other alcohol or drug use. To accomplish such change, the Individualized Recovery/Resiliency Plan must address major lifestyle, attitudinal and behavioral issues that have the potential to undermine the goals of recovery and inhibit the individual's ability to cope with life. The Individualized Recovery/Resiliency Plan should also include individualized treatment, resource coordination, and personal health education specific to addiction recovery (including education about human immunodeficiency virus [HIV], tuberculosis [TB], and sexually transmitted diseases [STD]).

Target Population	Individuals with a diagnosis of Opioid Dependence.
Benefit Information	Available to all Ongoing Core Customers. Requires MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	Available to those with LOCUS scores: 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	1 encounter
Initial Authorization	With the submission of MICP New Episode: 180 units
Re-Authorization	180 units
Maximum Daily Units	1 unit
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Opioid Maintenance Treatment Provider</u> 763 – Adult Addictive Diseases

Admission Criteria	Must meet criteria established by the Georgia Regulatory body for opioid administration programs (Department of Human Resources, Office of Regulatory Services) and the Food and Drug Administration's guidelines for this service.
Continuing Stay Criteria	Must meet criteria established by the Georgia Regulatory body for opioid administration programs (Department of Human Resources, Office of Regulatory Services) and the Food and Drug Administration's guidelines for this service.
Discharge Criteria	Must meet criteria established by the Georgia Regulatory body for opioid administration programs (Department of Human Resources, Office of Regulatory Services) and the Food and Drug Administration's guidelines for this service.
Service Exclusions	
Clinical Exclusions	

Additional Service Criteria:

A. Required Components

1. This service must be licensed by DCH/HFR under the Rules and Regulations for Drug Abuse Treatment Programs, 290-4-2.
2. Must meet and follow criteria established by the Georgia regulatory body for opioid administration programs (Department of Human Resources, Office of Regulatory Services) and the Food and Drug Administration's guidelines for this service.

B. Staffing Requirements

C. Clinical Operations

D. Service Access

E. Additional Medicaid Requirements

Core providers who are approved to bill Medication Administration may bill H0020 for Medicaid recipients who receive this service.

F. Reporting & Billing Requirements

All applicable MICP and other DBHDD reporting requirements must be met.

G. Documentation Requirements

1. If medically necessary for the individual, the Individualized Recovery/Resiliency Plan should also include individualized treatment, resource coordination, and personal health education specific to addiction recovery (including education about human immunodeficiency virus [HIV], tuberculosis [TB], and sexually transmitted diseases [STD]).
2. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Peer Support Services							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Peer Support Services	Practitioner Level 4, In-Clinic	H0038	HQ	U4	U6		\$4.43
	Practitioner Level 5, In-Clinic	H0038	HQ	U5	U6		\$3.30
	Practitioner Level 4, Out-of-Clinic	H0038	HQ	U4	U7		\$5.41
	Practitioner Level 5, Out-of-Clinic	H0038	HQ	U5	U7		\$4.03

Definition of Service: This service provides structured activities within a peer support center that promote socialization, recovery, wellness, self-advocacy, development of natural supports, and maintenance of community living skills. Activities are provided between and among individuals who have common issues and needs, are consumer motivated, initiated and/or managed, and assist individuals in living as independently as possible. Activities must promote self-directed recovery by exploring consumer purpose beyond the identified mental illness, by exploring possibilities of recovery, by tapping into consumer strengths related to illness self-management (including developing skills and resources and using tools related to communicating recovery strengths, communicating health needs/concerns, self-monitoring progress), by emphasizing hope and wellness, by helping consumers develop and work toward achievement of specific personal recovery goals (which may include attaining meaningful employment if desired by the individual), and by assisting consumers with relapse prevention planning. A Consumer Peer Support Center may be a stand-alone center or housed as a "program" within a larger agency, and must maintain adequate staffing support to enable a safe, structured recovery environment in which consumers can meet and provide mutual support.

Target Population	Adults with serious mental illness or co-occurring mental illness and substance related disorders Adolescents transitioning into adulthood with SED or co-occurring SED and substance related disorders
Benefit Information	Available to all Ongoing Core Customers. Requires a MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	15 minutes
Initial Authorization	3600 units
Re-Authorization	3600 units

Maximum Daily Units	96
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Peer Support Services Provider</u> 138 – Adult Mental Health 738 – Adult Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Individual must have a primary mental health issue; and one or more of the following: 2. Individual requires and will benefit from support of peer professionals for the acquisition of skills needed to manage symptoms and utilize community resources; or 3. Individual may need assistance to develop self-advocacy skills to achieve decreased dependency on the mental health system; or 4. Individual may need assistance and support to prepare for a successful work experience; or 5. Individual may need peer modeling to take increased responsibilities for his/her own recovery; or 6. Individual needs peer supports to develop or maintain daily living skills.
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Individual continues to meet admission criteria; and 2. Progress notes document progress relative to goals identified in the Individualized Recovery/Resiliency Plan, but treatment/recovery goals have not yet been achieved.
Discharge Criteria	<ol style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Recovery Plan have been substantially met; or 3. Consumer/family requests discharge; or 4. Transfer to another service/level is more clinically appropriate.
Service Exclusions	Crisis Stabilization Program (however, those utilizing transitional beds within a Crisis Stabilization Program may access this service).
Clinical Exclusions	<ol style="list-style-type: none"> 1. Individuals diagnosed with a Substance-Related Disorder and no other concurrent mental illness; or 2. Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder, or traumatic brain injury

Additional Service Criteria:

A. Required Components

1. A Peer Supports service may operate as a program within:
 - A freestanding Peer Support Center
 - A Peer Support Center that is within a clinical service provider
 - A larger clinical or community human service provider administratively, but with complete programmatic autonomy.

2. A Peer Supports service must be operated for no less than 3 days a week, no less than 12 hours a week, no less than 4 hours per day, typically during day, evening and weekend hours. Any agency may offer additional hours on additional days in addition to these minimum requirements.
3. The governing board of a freestanding Peer Center must be composed of 75% consumers and represent the cultural diversity of the population of the community being served. The board is encouraged to have either board members or operating relationships with someone with legal and accounting expertise. For programs that are part of a larger organizational structure that is not consumer led and operated, the Peer Supports Program must have an advisory body with the same composition as a freestanding Peer Center's board. The board or advisory committee must have the ability to develop programmatic descriptions and guidelines (consistent with state and federal regulations, accreditation requirements, and sponsoring agency operating policies), review and comment on the Peer Support Program's budgets, review activity offerings, and participate in dispute resolution activities for the program.
4. Individuals participating in the service at any given time must have the opportunity to participate in and make decisions about the activities that are conducted or services offered within the Peer Supports program, and about the schedule of those activities and services, as well as other operational issues.
5. Regardless of organizational structure, the service must be directed and led by consumers themselves.
6. Peer Supports may include meals or other social activities for purpose of building peer relationships, but meals cannot be the central or core activity offered. The focus of the service must be skill maintenance and enhancement and building individual consumer's capacity to advocate for themselves and other consumers.
7. Peer Supports cannot operate in isolation from the rest of the programs within the facility or affiliated organization. The Program Leader must be able to call multidisciplinary team meetings regarding a participating individual's needs and desires, and a Certified Peer Specialist providing services for and with a participating individual must be allowed to participate in multidisciplinary team meetings.
8. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or
 - Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
 - Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day.If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The following practitioners can provide Peer Support Services:
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; and CPSs and PPs with at least a

Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology.

- Practitioner Level 5: CPS and PP under supervision of a Physician, Psychologist, LCSW, LPC, LMFT, RN, APRN, PA, LMSW, LAPC, or LAMFT
2. The individual leading and managing the day-to-day operations of the program, the Program Leader, must be a Georgia-certified Peer Specialist, who is a CPRP or can demonstrate activity toward attainment of the CPRP credential.
 3. The Program Leader must be employed by the sponsoring agency at least 0.5 FTE.
 4. The Program Leader and Georgia-certified Peer Specialists in the Peer Supports program may be shared with other programs as long as the Program Leader is present at least 75% of the hours the Peer Supports program is in operation, and as long as the Program Leader and the Georgia-certified Peer Specialists are available as required for supervision and clinical operations, and as long as they are not counted in consumer to staff ratios for 2 different programs operating at the same time.
 5. Services must be provided and/or activities led by staff who are Georgia-certified Peer Specialists or other consumers under the supervision of a Georgia-certified Peer Specialist. A specific activity may be led by someone who is not a consumer but is an invited guest.
 6. There must be at least 2 Georgia-certified Peer Specialists on staff either in the Peer Supports Program or in a combination of Peer Supports and other programs and services operating within the agency.
 7. The maximum face-to-face ratio cannot be more than 30 consumers to 1 Certified Peer Specialist based on average daily attendance in the past three (3) months of consumers in the program.
 8. The maximum face-to-face ratio cannot be more than 15 consumers to 1 direct service/program staff, based on the average daily attendance in the past three (3) months of consumers in the program.
 9. All staff must have an understanding of recovery and psychosocial rehabilitation principles as defined by the Georgia Consumer Council and psychosocial rehabilitation principles published by USPRA and must possess the skills and ability to assist other consumers in their own recovery processes.

C. Clinical Operations

1. This service must operate at an established site approved to bill Medicaid for services. However, individual or group activities may take place offsite in natural community settings as appropriate for the Individualized Recovery Plan (IRP) developed by each consumer with assistance from the Program Staff.
2. Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
3. This service may operate in the same building as other day services; however, there must be a distinct separation between services in staffing, program description, and physical space during the hours the Peer Supports program is in operation except as noted above.
4. Adequate space, equipment, furnishings, supplies, and other resources must be provided in order to effectively provide services and so that the program environment is clean and in good repair.

Space, equipment, furnishings, supplies, transportation, and other resources for consumer use within the Peer Supports program must not be substantially different from space provided for other uses for similar numbers of individuals.

5. Staff of the Peer Supports Program must be treated as equal to any other staff of the facility or organization and must be provided equivalent opportunities for training (both mandated and offered) and pay and benefits competitive and comparable to other staff based on experience and skill level.
6. When this service is used in conjunction with Psychosocial Rehabilitation and ACT, documentation must demonstrate careful planning to maximize the effectiveness of this service as well as appropriate reduction in service amounts. Utilization of this service in conjunction with these services is subject to review by the External Review Organization.
7. Consumers should set their own individualized goals and assess their own skills and resources related to goal attainment. Goals are set by exploring strengths and needs in the consumer's living, learning, social, and working environments. Goal attainment should be supported through a myriad of approaches (e.g. coaching approaches, assistance via technology, etc.)
8. Implementation of services may take place individually or in groups.
9. Each consumer must be provided the opportunity for peer assistance in the development and acquisition of needed skills and resources necessary to achieve stated goals.
10. A Peer Supports Program must offer a range of skill-building and recovery activities developed and led by consumers. These activities must include those that will most effectively support achievement of the consumer's rehabilitation and recovery goals.
11. The program must have a Peer Supports Organizational Plan addressing the following:
 - A service philosophy reflecting recovery principles as articulated by the Georgia Consumer Council, August 1, 2001. This philosophy must be actively incorporated into all services and activities and:
 - (a) View each individual as the director of his/her rehabilitation and recovery process
 - (b) Promote the value of self-help, peer support, and personal empowerment to foster recovery
 - (c) Promote information about mental illness and coping skills
 - (d) Promote peer-to-peer training of individual skills, social skills, community resources, and group and individual advocacy
 - (e) Promote the concepts of employment and education to foster self-determination and career advancement
 - (f) Support each individual to "get a life" using community resources to replace the resources of the mental health system no longer needed
 - (g) Support each individual to fully integrate into accepting communities in the least intrusive environment that promote housing of his/her choice
 - (h) Actively seek ongoing consumer input into program and service content so as to meet each individual's needs and goals and foster the recovery process
 - A description of the particular consumer empowerment models utilized, types of activities offered, and typical daily activities and schedule. If offered, meals must be described as an adjunctive peer relationship building activity rather than as a central activity.
 - A description of the staffing pattern, plans for staff who have or will have achieved Certified Peer Specialist and CPRP credentials, and how staff are deployed to assure that the required staff-to-consumer ratios are maintained, including how unplanned staff absences, illnesses, and emergencies are accommodated.

- A description of how consumer staff within the agency are given opportunities to meet with or otherwise receive support from other consumers (including Georgia-certified Peer Specialists) both within and outside the agency.
 - A description of how consumers are encouraged and supported to seek Georgia certification as a Peer Specialist through participation in training opportunities and peer or other counseling regarding anxiety following certification.
 - A description of test-taking skills and strategies, assistance with study skills, information about training and testing opportunities, opportunities to hear from and interact with consumers who are already certified, additional opportunities for consumer staff to participate in clinical team meetings at the request of a consumer, and the procedure for the Program Leader to request a team meeting.
 - A description of the hours of operation, the staff assigned, and the types of services and activities provided for and by consumers as well as for families, parents, and/or guardians.
 - A description of the program's decision-making processes including how consumers direct decision-making about both individual and program-wide activities and about key policies and dispute resolution processes.
 - A description of how consumers participating in the service at any given time are given the opportunity to participate in and make decisions about the activities that are conducted or services offered within the Peer Supports program, about the schedule of those activities and services, and other operational issues.
 - A description of the space, furnishings, materials, supplies, transportation, and other resources available for individuals participating in the Peer Supports services.
 - A description of the governing body and/or advisory structures indicating how this body/structure meets requirements for consumer leadership and cultural diversity.
 - A description of how the plan for services and activities is modified or adjusted to meet the needs specified in each IRP.
 - A description of how consumer requests for discharge and change in services or service intensity are handled.
12. Assistive tools, technologies, worksheets, etc. can be used by the Peer Support staff to work with the served individual to improve his/her communication about treatment, symptoms, improvements, etc. with treating behavioral health and medical practitioners.

D. Service Access

Peer Supports may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.

E. Additional Medicaid Requirements

Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Reporting & Billing Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

2. Each 15 minute unit of service provided must be documented within the individual's medical record. Although there is no single prescribed format for documentation (a log may be used), the following elements MUST be included for every unit of service provided:
 - a. the specific type of intervention must be documented
 - b. the date of service must be named
 - c. the number of unit(s) of service must be named
 - d. the practitioner level providing the service/unit must be namedFor example, a group led by a Practitioner Level 4 that lasts 1 hour should be documented as 4 units of H0038HQU4U6 and the intervention type should be noted (such as "Enhancement of Recovery Readiness" group).
3. Weekly progress notes must document the individual's progress relative to functioning and skills related to the person-centered goals identified in his/her IRP. This progress note aligns the weekly activities reported on the daily log or in daily notes to the stated interventions on the individualized recovery plan, and documents progress toward goals. The progress note may be written by any practitioner who provided services over the course of that week.
4. If a daily log format is utilized, the consumer and Program Supervisor are required to sign the log once per week. . The Supervisor's signature is an attestation that the daily activities documented did indeed occur over the course of that week. The consumer should also sign the log (if the consumer refuses, documentation of his/her refusal would be indicated in the weekly summary).
5. While billed in increments, the Peer Support service is a program model. Daily time in/time out is tracked for while the person is present in the program, but due to time/in out not being required for each intervention, the time in/out may not correlate with the units billed as the time in/out will include breaks taken during the course of the program. However, the units noted on the log should be consistent with the units billed and, if noted, on the weekly progress note. If the units documented are not consistent, the most conservative number of units will be utilized and may result in a billing discrepancy.
6. A provider shall only record units in which the consumer was actively engaged in services. Meals and breaks must not be included in the reporting of units of service delivered. Should a consumer leave the program or receive other services during the range of documented time in/time out for Peer Support hours, the absence should be documented on the log.

Psychosocial Rehabilitation							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Psychosocial Rehabilitation	Practitioner Level 4, In-Clinic	H2017	U4	U6			\$4.43
	Practitioner Level 5, In-Clinic	H2017	U5	U6			\$3.30
	Practitioner Level 4, Out-of-Clinic	H2017	U4	U7			\$5.41
	Practitioner Level 5, Out-of-Clinic	H2017	U5	U7			\$4.03

Definition of Service: A therapeutic, rehabilitative, skill building and recovery promoting service for individuals to gain the skills necessary to allow them to remain in or return to naturally occurring community settings and activities. Services include, but are not limited to:

- 1) Individual or group skill building activities that focus on the development of skills to be used by individuals in their living, learning, social and working environments,
- 2) Social, problem solving and coping skill development;
- 3) Illness and medication self-management;
- 4) Prevocational skills (for example: preparing for the workday; appropriate work attire and personal presentation including hygiene and use of personal effects such as makeup, jewelry, perfume/cologne etc as appropriate to the work environment; time management; prioritizing tasks; taking direction from supervisors; appropriate use of break times and sick/personal leave; importance of learning and following the policies/rules and procedures of the workplace; workplace safety; problem solving/conflict resolution in the workplace; communication and relationships with coworkers and supervisors; resume and job application development; on-task behavior and task completion skills such as avoiding distraction from work tasks, following a task through to completion, asking for help when needed, making sure deadlines are clarified and adhered to, etc; learning common work tasks or daily living tasks likely to be utilized in the workplace such as telephone skills, food preparation, organizing/filing, scheduling/participating in/leading meetings, computer skills etc) and
- 5) Recreational activities/leisure skills that improve self-esteem and recovery.

The programmatic goals of the service must be clearly articulated by the provider, utilizing a best/evidence based model for service delivery and support. These best/evidence based models may include: the Boston University Psychosocial Rehabilitation approach, the Lieberman Model, the International Center for Clubhouse Development approach, or blended models/approaches in accordance with current psychosocial rehabilitation research. Practitioners providing this service are expected to maintain knowledge and skills regarding current research trends in best/evidence based models and practices for psychosocial rehabilitation.

This service is offered in a group setting, though individual activities are allowable within the service when more circumstantially appropriate. Group activities and interventions should be made directly relevant to the needs, desires and IRP goals of the individual participants (i.e. an additional activity/group should be made available as an alternative to a particular group for those individuals who do not need or wish to be in that group, as clinically appropriate).

This service may be provided as a step-down from intensive day treatment. Services must be provided in a clinic or other facility-based setting and available at least 25 hours per week. This service is offered for a maximum of 5 hours per day.

Target Population	Adults with Serious Mental Illness Adults with a Co-Occurring Serious Mental Illness and Substance Related Disorder Adults with a Co-Occurring Serious Mental Illness and MR/DD
Benefit Information	Available to all Ongoing Core Customers. Requires a MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential (transition) 5: Medically Monitored Community Residential (transition)
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	Unit=15 minutes
Initial Authorization	450 units
Re-Authorization	450 units
Maximum Daily Units	5 units
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>MH Day Services Provider</u> 155 – Adult Mental Health
Admission Criteria	1. Individual must have primary behavioral health issues (including those with a co-occurring substance abuse disorder or MR/DD) and present a low or no risk of danger to themselves or others; and one or more of the following: 2. Individual lacks many functional and essential life skills such as daily living, social skills, vocational/academic skills and/or community/family integration; or 3. Individual needs frequent assistance to obtain and use community resources.
Continuing Stay Criteria	1. Primary behavioral health issues that continue to present a low or no imminent risk of danger to themselves or others (or is at risk of moderate to severe symptoms); and one or more of the following: 2. Individual improvement in skills in some but not all areas; or 3. If services are discontinued there would be an increase in symptoms and decrease in functioning

Discharge Criteria	<ol style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Individual has acquired a significant number of needed skills; or 3. Individual has sufficient knowledge and use of community supports; or 4. Individual demonstrates ability to act on goals and is self sufficient or able to use peer supports for attainment of self sufficiency; or 5. Consumer/family need a different level of care; or 6. Consumer/family requests discharge.
Service Exclusions	<ol style="list-style-type: none"> 1. Cannot be offered in conjunction with SA Day Services. 2. Service can be offered while enrolled in a Crisis Stabilization Program in a limited manner when documentation supports this combination as a specific need of the individual. Time and intensity of services in PSR must be at appropriate levels when PSR is provided in conjunction with other services. (This will trigger a review by the External Review Organization). This service cannot be offered in conjunction with Medicaid MR Waiver services.
Clinical Exclusions	<ol style="list-style-type: none"> 1. Individuals who require one-to-one supervision for protection of self or others. 2. Individual has primary diagnosis of substance abuse, developmental disability, autism, or organic mental disorder without a co-occurring DSM IV mental disorder diagnosis. 3. Legal status requiring a locked facility.

Additional Service Criteria:

A. Required Components

1. This service must operate at an established site approved to bill Medicaid for services. However, individual or group activities should take place offsite in natural community settings as is appropriate to the participating consumer's Individualized Recovery Plan.
2. This service may operate in the same building as other day-model services; however, there must be a distinct separation between services in staffing, program description, and physical space during the hours the PSR program is in operation except as described above.
3. Adequate space, equipment, furnishings, supplies and other resources must be provided in order to effectively provide services and so that the program environment is clean and in good repair. Space, equipment, furnishings, supplies, transportation, and other resources for consumer use within the PSR program must not be substantially different from that provided for other uses for similar numbers of individuals.
4. A PSR program must be operated for no less than 25 hours a week, typically during day, evening and weekend hours. No more than 5 hours per day may be billed for any one consumer.
5. A PSR program must operate to assist individuals in attaining, maintaining, and utilizing the skills and resources needed to aid in their own rehabilitation and recovery.
6. "Out-of-Clinic" may only be billed when:
 - Travel by the practitioner is to a non-contiguous location; and/or
 - Travel by the practitioner is to a facility not owned, leased, controlled or named as a service site by the agency who is billing the service(excepting visits to Shelter Plus sites); and/or

- Travel is to a facility owned, leased or controlled by the agency billing the service, but no more than 6 individuals are being served in the course of that day by a single practitioner in non-group services; and/or
- Travel is to a facility owned, leased, controlled or named as a service site by the agency, but no more than 24 individuals are being served in groups at that site in the course of a day. If the service does not qualify to be billed as "out of clinic," then the "in-clinic" rate may still be billed.

B. Staffing Requirements

1. The program must be under the direct programmatic supervision of a Certified Psychiatric Rehabilitation Practitioner (CPRP)¹, or staff who can demonstrate activity toward attainment of certification (an individual can be working toward attainment of the certification for up to one year under a non-renewable waiver which will be granted by the DBHDD Regional Coordinator). For purposes of this service "programmatic supervision" consists of the day-to-day oversight of the program as it operates (including elements such as maintaining the required staffing patterns, staff supervision, daily adherence to the program model, etc.)
2. Additionally, the program must be under the clinical oversight of an independently licensed practitioner (this should include meeting with the programmatic leadership on a regular basis to provide direction and support on whether the individuals in the program are clinically improving, whether the design of the program promotes recovery outcomes, etc.).
3. The following practitioners can provide psychosocial rehabilitation services:
 - Practitioner Level 1: Physician/Psychiatrist (reimbursed at Level 4 rate)
 - Practitioner Level 2: Psychologist, APRN, PA (reimbursed at Level 4 rate)
 - Practitioner Level 3: LCSW, LPC, LMFT, RN (reimbursed at Level 4 rate)
 - Practitioner Level 4: LMSW; LAPC; LAMFT; Psychologist/LCSW/LPC/LMFT's supervisee/trainee with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology, functioning within the scope of the practice acts of the state; MAC, CAC-II, CADC, CCADC, GCADC (II, III); CPS, PP, CPRP, CAC-I or Addiction Counselor Trainees with at least a Bachelor's degree in one of the helping professions such as social work, community counseling, counseling, psychology, or criminology
 - Practitioner Level 5: CPS, PP, CPRP, CAC-I, RADT (I, II, or III), Addiction Counselor Trainees with high school diploma/equivalent under supervision of one of the licensed/credentialed professionals above
4. There must be a CPRP with a Bachelor's Degree present at least 80% of all time the service is in operation regardless of the number of consumers participating.
5. The maximum face-to-face ratio cannot be more than 12 consumers to 1 direct service/program staff (including CPRPS) based on average daily attendance of consumers in the program.

6. At least one CPRP (or someone demonstrating activity toward attainment of certification) must be onsite face-to-face at all times (either the supervising CPRP or other CPRP staff) while the program is in operation regardless of the number of consumers participating. All staff are encouraged to seek and obtain the CPRP credential. All staff must have an understanding of recovery and psychosocial rehabilitation principles as published by USPRA and must possess the skills and ability to assist individuals in their own recovery processes.
7. Basic knowledge necessary for all staff serving individuals with mental illness or substance abuse in "co-occurring capable" day services must include the content areas in Georgia DBHDD Suggested Best Practices: Principles and Staff Capabilities for Day Services Serving Adults with Co-Occurring Disorders of Substance Abuse and Mental Illness.
8. Programs must have documentation that there is one staff person that is "co-occurring capable." This person's knowledge must go beyond basic understanding and must demonstrate actual staff capabilities in using that knowledge for individuals with co-occurring disorders. Personnel documentation should demonstrate that this staff person has received a minimum of 4 hours of training in co-occurring treatment within the past 2 years.
9. If the program does not employ someone who meets the criteria for a MAC, CACII, and/or CADC, then the program must have documentation of access to an addictionologist and/or one of the above for consultation on addiction-related disorders as co-occurring with the identified mental illness.

C. Clinical Operations

1. Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.
2. Rehabilitation services facilitate the development of an individual's skills in the living, learning, social, and working environments, including the ability to make decisions regarding: self-care, management of illness, life work, and community participation. The services promote the use of resources to integrate the individual into the community.
3. Rehabilitation services are consumer driven and are founded on the principles and values of individual choice and active involvement of individuals in their rehabilitation. Through the provision of both formal and informal structures consumers are able to influence and shape service development.
4. Rehabilitation services must include education on self-management of symptoms, medications and side effects; identification of rehabilitation preferences; setting rehabilitation goals; and skills teaching and development.
5. All individuals should participate in setting individualized goals for themselves and in assessing their own skills and resources related to goal attainment. Goals are set by exploring strengths and needs in the individual's living, learning, social, and working environments. Implementation of services may take place individually or in groups.
6. Each individual must be provided assistance in the development and acquisition of needed skills and resources necessary to achieve stated goals.
7. PSR programs must offer a range of skill-building and recovery activities from which individuals choose those that will most effectively support achievement of the individual's rehabilitation and recovery goals. These activities must be developed based on participating individual's input and

stated interests. Some of these activities should be taught or led by consumers themselves as part of their recovery process.

8. A PSR program must be capable of serving individuals with co-occurring disorders of mental illness and substance abuse utilizing integrated methods and approaches that address both disorders at the same time (e.g. groups and occasional individual interventions utilizing approaches to co-occurring disorders such as motivational interviewing/building motivation to reduce or stop substance use, stage based interventions, refusal skill development, cognitive behavioral techniques, psychoeducational approaches, relapse prevention planning and techniques etc). For those individuals whose substance abuse and dependence makes it difficult to benefit from the PSR program, even with additional or modified methods and approaches, the PSR program must offer co-occurring enhanced services or make appropriate referrals to specialty programs specifically designed for such individuals.
9. The program must have a PSR Organizational Plan addressing the following:
 - a. Philosophical principles of the program must be actively incorporated into all services and activities including²:
 - i. View each individual as the director of his/her rehabilitation process
 - ii. Solicit and incorporate the preferences of the individuals served
 - iii. Believe in the value of self-help and facilitate an empowerment process
 - iv. Share information about mental illness and teach the skills to manage it
 - v. Facilitate the development of recreational pursuits
 - vi. Value the ability of each individual with a mental illness to seek and sustain employment and other meaningful activities in a natural community environment
 - vii. Help each individual to choose, get, and keep a job (or other meaningful daily activity)
 - viii. Foster healthy interdependence
 - ix. Be able to facilitate the use of naturally occurring resources to replace the resources of the mental health system
 - b. Services and activities described must include attention to the following:
 - i. Engagement with others and with community
 - ii. Encouragement
 - iii. Empowerment
 - iv. Consumer Education and Training
 - v. Family Member Education and Training
 - vi. Assessment
 - vii. Financial Counseling
 - viii. Program Planning
 - ix. Relationship Development
 - x. Teaching
 - xi. Monitoring
 - xii. Enhancement of vocational readiness
 - xiii. Coordination of Services
 - xiv. Accommodations
 - xv. Transportation
 - xvi. Stabilization of Living Situation
 - xvii. Managing Crises
 - xviii. Social Life

² Adapted from Best Practices in Psychosocial Rehabilitation, edited by Hughes and Weinstein.

- xix. Career Mobility
 - xx. Job Loss
 - xxi. Vocational Independence
- c. A description of the particular rehabilitation models utilized, types of interventions practiced, and typical daily activities and schedule.
- d. A description of the staffing pattern, plans for staff who will achieve CPRP credentials, and how staff are deployed to assure that the required staff-to-consumer ratios are maintained, including how unplanned staff absences, illnesses, and emergencies are accommodated.
- e. A description of how the program will assure that it is co-occurring capable and how it will adjust or make appropriate referrals for individuals needing a co-occurring enhanced PSR program.
- f. A description of the hours of operation, the staff assigned, and the types of services and activities provided for consumers, families, parents, and/or guardians including how consumers are involved in decision-making about both individual and program-wide activities.
- g. A description of how the plan for services and activities will be modified or adjusted to meet the needs specified in each IRP.
- h. A description of services and activities offered for education and support of family members.
- i. A description of how consumer requests for discharge and change in services or service intensity are handled and resolved.

D. Service Access

1. A PSR program must be operated for no less than 25 hours a week, typically during day, evening and weekend hours. No more than 5 hours per day may be billed for any one consumer.
2. Psychosocial Rehabilitation may **not** be provided in an Institution for Mental Diseases (IMD, e.g. state or private psychiatric hospital or crisis stabilization program with greater than 16 beds), jail, or prison system.

E. Additional Medicaid Requirements

1. Currently, there are no additional Medicaid requirements to be added to the requirements above when billing Medicaid for this service.

F. Reporting & Billing Requirements

1. Units of service by practitioner level must be aggregated daily before claim submission
2. All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.
2. Each 15 minute unit of service provided must be documented within the individual's medical record. Although there is no single prescribed format for documentation (a log may be used), the following elements **MUST** be included for every unit of service provided:
 - a. the specific type of intervention must be documented
 - b. the date of service must be named
 - c. the number of unit(s) of service must be named
 - d. the practitioner level providing the service/unit must be named

For example, a group led by a Practitioner Level 4 that lasts 1 hour should be documented as 4 units of H0017U4U6 and the intervention type should be noted (such as "Enhancement of Recovery Readiness" group).

3. Weekly progress notes must document the individual's progress relative to functioning and skills related to the person-centered goals identified in his/her IRP. This progress note aligns the weekly activities reported on the daily log or in daily notes to the stated interventions on the individualized recovery plan, and documents progress toward goals. The progress note may be written by any practitioner who provided services over the course of that week.
4. If a daily log format is utilized, the consumer and Program Supervisor are required to sign the log once per week. The Supervisor's signature is an attestation that the daily activities documented did indeed occur over the course of that week. The consumer should also sign the log (if the consumer refuses, documentation of his/her refusal would be indicated in the weekly summary).
5. While billed in increments, the PSR service is a program model. Daily time in/time out is tracked for while the person is present in the program, but due to time/in out not being required for each intervention, the time in/out may not correlate with the units billed as the time in/out will include breaks taken during the course of the program. However, the units noted on the log should be consistent with the units billed and, if noted, on the weekly progress note. If the units documented are not consistent, the most conservative number of units will be utilized and may result in a billing discrepancy.
6. A provider shall only record units in which the consumer was actively engaged in services. Meals and breaks must not be included in the reporting of units of service delivered. Should a consumer leave the program or receive other services during the range of documented time in/time out for PSR hours, the absence should be documented on the log.
7. When this service is used in conjunction with Crisis Stabilization Programs, Peer Supports, and ACT (on a limited basis), documentation must demonstrate careful planning to maximize the effectiveness of this service as well as appropriate reduction in service amounts of PSR. Utilization of psychosocial rehabilitation in conjunction with these services is subject to additional review by the External Review Organization.

Residential: Independent Residential Services					
HIPAA Transaction Code	Code	Mod1	Mod2	Mod3	Mod4
Supported Housing (Mental Health)	H0043	R1			
Supported Housing (Addictive Diseases)	H0043	HF	R1		

Definition of Service: Independent Residential Service provides scheduled residential service to a consumer who requires a low level of residential structure to maintain stable housing, continue with their recovery, and increase self-sufficiency. This residential placement will be of the consumer's choice and may be fully integrated in the community in a scattered site individual residence.

Independent Residential Services may only be provided by a DBHDD Contracted Provider.

Target Population	Adults aged 18 or older with 1. Serious Mental Illness, Addictive Diseases or Co-occurring Mental Illness and Addictive Diseases Diagnoses and 2. Demonstrates the need for scheduled residential visits and mild assistance with residential responsibilities.
Utilization Criteria	Available to those eligible for core customer Ongoing Support and Recovery services.
Benefit Information	<u>Available to those with a LOCUS Level of Care:</u> 1: Recovery Maintenance and Health Management 2: Low Intensity Community Based Services 3: High Intensity Community Based Services 4: Medically Monitored Non-residential Services
Unit Value	Unit= 1 day
Reimbursement Rate	N/A
Initial Authorization	180 units
Re-Authorization	180 units
Maximum Daily Units	1 unit
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Residential Services Provider</u> 141– Adult Mental Health 744 – Adult Addictive Diseases
Admission Criteria	1. Individual must meet target population as indicated above, and 2. Individual demonstrates ability to live with minimal supports and 3. Individual, states a preference to live independently.
Continuing Stay Criteria	Consumer continues to benefit from and require minimal community supports.
Discharge Criteria	1. Consumer, or appropriate legal representative, no longer desires service, or 2. Consumer no longer meets program and/or housing criteria.

Service Exclusions	None.
Clinical Exclusions	1. Individuals with the following conditions are excluded from admission unless there is documented evidence of a psychiatric condition: developmentally disabled persons who do not have co-occurring mental illness or substance abuse issues, autism, organic mental disorder, or traumatic brain injury.

Additional Service Criteria:

A. Required Components

1. The organization must have an executive director or program director charged with the responsibility for day-to-day management of the organization.
2. If applicable, the organization must be licensed by the Georgia Office of Regulatory Services to provide residential services to consumers with mental illness and/or substance abuse diagnosis.
3. The Independent Residential Service provides scheduled visits to a consumer's apartment or home to assist with residential responsibilities.
4. Services must be provided at a time that accommodates consumers' needs, which may include during evenings, weekends, and holidays.
5. This service requires a minimum of 1 face-to-face contact with the consumer in their home each week.
6. Independent Residential Services may only be provided within a supportive housing program or within the consumer's own apartment or home.
7. There must be a written emergency response plan which is clearly conveyed to the consumer and gives 24/7 access to a residential services specialist in the event of a crisis.

B. Staffing Requirements

1. Residential Managers may be persons with at least 2 years experience providing MH or AD services and with at least a high school diploma; however, this person must be supervised by a licensed staff member (including LMSW, LAMFT, LAPC or 4 year RN).
2. Persons with high school diplomas, GEDs, or higher degrees may provide direct support services under the supervision of a Residential Manager.
3. A staff person must be available 24/7 to respond to emergency calls within one hour.
4. A minimum of one staff per 35 consumers may not be exceeded.

C. Program Operations

1. The organization must have a written description of the Independent Residential Service offered that includes, at a minimum, the purpose of the service; the intended population to be served; service philosophy/model; level of supervision and oversight provided; and outcome expectations for its residents.
2. The focus of Independent Residential Service is to view each consumer as the director of his/her own recovery; to promote the value of self-help and peer support; to provide information about mental illness and coping skills; to promote social skills, community resources, and individual advocacy; to promote employment and education to foster self-determination and career advancement; to support each consumer in using community resources to replace the resources of the mental health system no longer needed; to support

- each consumer to fully integrate into scattered site residential placement or in housing of his or her choice; and to provide necessary support and assistance to the consumer that furthers recovery goals, including transportation to appointments and community activities that promote recovery.
3. The Goal of Independent Residential Supports is to fully integrate the consumer into an accepting community in the least intrusive environment that promotes housing of his/her choice.
 4. The outcomes of Independent Residential Supports will focus on recovery, housing, employment and meaningful life in the community. These outcomes will be measured based upon:
 - a. Reduction in hospitalizations;
 - b. Reduction in incarcerations;
 - c. Maintenance of housing stability;
 - d. Participation in education, vocational training or gainful employment, if this is a goal in the Individualized Recovery plan;
 - e. Participation in community meetings and other social and recreational activities;
 - f. Participation in activities that promote recovery and community integration.

D. Service Access

In addition to receiving Independent Residential Services, consumers shall be linked to adult mental health and/or addictive disease services, as applicable, including Core or Private psychiatrist and Specialty services.

E. Additional Medicaid Requirements

This is not a Medicaid reimbursable service.

F. Reporting & Billing Requirements

All applicable MICP and other DBHDD reporting requirements must be met.

G. Documentation Requirements

1. Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A. Practice Acts as qualified to provide a diagnosis.
2. Providers must document services in accordance with the specifications for documentation found in "Documentation Guidelines" in Part II, Section IV of this manual.
3. The organization must develop and maintain sufficient written documentation to support the Independent Residential Services for which billing is submitted. This documentation, at a minimum, must confirm that the individual for whom billing is requested was enrolled in the Independent Residential Services on the billing date and that residential contact and support services are being provided at least once per week. The individual's record must also include each week's programming/service schedule in order to document the provision of the personal support activities.
4. Providers must provide documentation that demonstrates compliance with a minimum of 1 face-to-face contact per week, which includes date and time in/time out.
5. Weekly progress notes must be entered in the individual's record to enable the monitoring of the individual's progress toward recovery goals and to reflect the Individualized Recovery Plan implementation. The individual's record should include health issues or concerns and how they

- are being addressed, appointments for psychiatric and medical care that are scheduled for the consumer, attendance at other treatments such as addictive diseases counseling that staff may be assisting the consumer to attend, assistance provided to the consumer to help him or her reach recovery goals and the consumer's participation in other recovery activities.
6. Each note must be signed and dated and must include the professional designation of the individual making the entry.
 7. Documentation must be legible and concise and include the printed name and the signature of the treating practitioner. The name, title, and credentials of the individual providing the service must reflect the staffing requirements established for Independent Residential Services being delivered.

Residential: Intensive Residential Services					
HIPAA Transaction Code	Code	Mod1	Mod2	Mod3	Mod4

Supported Housing (Mental Health)	H0043	R3		
Supported Housing (Addictive Diseases)	H0043	HF	R3	

Definition of Service: Intensive Residential Service provides around the clock assistance to consumers within a residential setting that assists them to successfully maintain housing stability in the community, continue with their recovery, and increase self-sufficiency.

Intensive Residential Service may only be delivered by a DBHDD Contracted Provider.

Target Population	Adults aged 18 or older with 1. Serious Mental Illness, Addictive Disease Issues, or Co-occurring Mental Illness and Addictive Diseases Diagnosis and 2. Frequent psychiatric hospitalizations, i.e., more than 2 admissions in the last year and/or lengthy admission in the last year (more than 30 days); or 3. Frequent incarcerations, i.e., more than 2 incarcerations in the last year or lengthy incarceration in the last year (more than 60 days) or 4. Those who require a highly supportive environment with 24/7 awake staff to divert from going to a more intensive level of care.
Utilization Criteria	Available to those eligible for Core Customer Ongoing Support and Recovery services.
Benefit Information	<u>Available to those with a LOCUS Level Of Care :</u> 3: High Intensity Community Based Services 4: Medically Monitored Non-Residential Services 5: Medically Monitored Residential Services
Unit Value	Unit= 1 day
Reimbursement Rate	N/A
Initial Authorization	180 units
Re-Authorization	180 units
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Residential Services Provider</u> 143 – Adult Mental Health 744 – Adult Addictive Diseases
Admission Criteria	Individual must meet target population as indicated above and have a Core Provider, ACT Provider, or private psychiatrist; and one or more of the following: 1. Individual's symptoms/behaviors indicate a need for continuous monitoring and supervision by 24/7 awake staff to ensure safety; or 2. Individual has insufficient or severely limited skills needed to maintain stable housing and had failed using less intensive residential supports.
Continuing Stay Criteria	Individual continues to meet Admission Criteria
Discharge Criteria	1. Individual can effectively and safely be supported with a more appropriate level of service due to change in individual's level of functioning; or

	2. Individual or appropriate legal representative, requests discharge.
Service Exclusions	None
Clinical Exclusions	1. Individuals with the following conditions are excluded from admission unless there is documented evidence of psychiatric condition: developmentally disabled persons who do not have co-occurring mental illness or substance abuse issues, autism, organic mental disorder, or traumatic brain injury.

Additional Service Criteria:

A. Required Components

1. The organization must have an executive director or program director charged with the responsibility for day-to-day management of the organization.
2. If applicable, the organization must be licensed by the Georgia Office of Regulatory Services to provide residential services to consumers with mental illness and/or substance abuse diagnosis.
3. The residential program must provide a structured and supported living environment 24 hours a day, 7 days a week with AWAKE staff on-site at all times.
4. Intensive Residential Service must provide a minimum of 5 hours per week of skills training programming relevant to the consumer's Individual Recovery Plan (IRP).

B. Staffing Requirements

1. Residential Managers may be persons with at least 2 years experience providing MH or AD services and at least a high school diploma; however this person must be directly supervised by a licensed staff member (including LMSW, LAMFT, LAPC, or 4-year RN).
2. Persons with high school diplomas, GEDs or higher, who have completed the paraprofessional training required for DBHDD contracted organizations and under the supervision of a Residential Manager may perform residential services.
3. A minimum of at least one (1) awake on-site staff 24/7.

C. Program Operations

1. The organization must have a written description of the Intensive Residential Service offered that includes, at a minimum, the purpose of the service; the intended population to be served; service philosophy/model, level of supervision and oversight provided; and outcome expectations for its residents.
2. Intensive Residential Service assists those individuals with an intensive need for personal supports and skills training to restore, develop, or maintain skills in functional areas in order to live meaningful lives in the community; develop or maintain social relationships, and participate in social, interpersonal, vocational, recreational or community activities. Services must be delivered to consumers relevant to their individualized Recovery Plan.
3. Intensive Residential Service must provide a minimum of 5 hours of skills training and/or support activities per week that relate to the individual's IRP.

Skills Training may include interpersonal skills training; coping skills/problem solving; symptom identification and management; cooking; maintaining a residence; using public transportation; shopping; budgeting and other needed skills training as identified in the IRP.

Support Activities may include daily contacts by Intensive Residential Service staff daily to monitor physical and mental health needs; crisis intervention when needed; assistance with scheduling of medical and mental health appointments; the supervision of the self-administration of medications; transportation to medical/dental/mental health/employment/recreational activities; participation in community activities; and other needed supports as identified in the IRP.

D. Service Access

In addition to receiving Intensive Residential Services, consumers will be linked to adult mental health services including Core or private psychiatrist or Specialty Services.

E. Additional Medicaid Requirements

This is not a Medicaid reimbursable service.

F. Reporting & Billing Requirements

All applicable MICP and other DBHDD reporting requirements must be met.

G. Documentation Requirements

1. Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A. Practice Acts as qualified to provide a diagnosis.
2. Providers must document services in accordance with the specifications for documentation found in "Documentation Guidelines" in Part II, Section IV of this document.
3. The organization must develop and maintain sufficient written documentation to support the Intensive Residential Service for which billing is made. This documentation, at a minimum, must confirm that the individual for whom billing is requested was a resident of the Intensive Residential Service on the date of service. The individual's record must also include each week's programming/service schedule in order to document the provision of the required amount of skills training and support activities.
4. Weekly progress notes must be entered in the individual's record to enable the monitoring of the individual's progress toward IRP and recovery goals.
5. The record should include health issues and how they are being addressed; appointments for psychiatric and medical care that are scheduled for the consumer; attendance at other treatments such as addictive diseases counseling that staff may be assisting consumer to attend; assistance provided to the consumer to help him or her reach recovery goals; and the consumer's participation in other recovery activities.
6. Each note must be signed and dated and must include the professional designation of the individual making the entry.
7. Documentation must be legible and concise and include the printed name and the signature of the service provider. The name, title, and credentials of the individual providing the service must reflect the staffing requirements established for the Intensive Residential Service being delivered.

H. Facilities Management (applicable to traditional residential settings such as group homes, Treatment facilities, etc.)

1. Each resident facility must be arranged and maintained to provide adequate measures for the health, safety, access and well being of the residents.
2. Each resident facility must comply with all relevant safety codes.

3. All areas of the residential facility must be clean, safe, appropriately equipped, and furnished for the services delivered.
4. The facility must comply with the Americans with Disabilities Act.
5. The facility must maintain a written evacuation plan to be used in the case of fire or other disaster. An appropriate written certification of compliance must be obtained indicating that all applicable fire and safety code requirements have been satisfied. Periodic fire and other safety drills must be conducted.
6. Evacuation routes must be clearly marked by exit signs.
7. The program must be responsible for providing physical facilities that are structurally sound and that meet all applicable federal, state, and local regulations for adequacy of construction, safety, sanitation, and health.

Residential: Semi-Independent Residential Services					
HIPAA Transaction Code	Code	Mod1	Mod2	Mod3	Mod4
Supported Housing (Mental Health)	H0043	R2			
Supported Housing (Addictive Diseases)	H0043	HF	R2		

Definition of Service: Semi-Independent Residential Service on-site programming for consumers within a residential setting to assist them to successfully maintain stable housing, continue with their recovery, and increase self-sufficiency.

Semi Independent Residential Services may only be provided by a DBHDD Contracted Provider.

Target Population	Adults aged 18 or older with 1. Serious Mental Illness, Addictive Disease Issues, or Co-occurring Mental Illness and Addictive Diseases Diagnoses and 2. Demonstrates the need for 24/7 available staff support, daily contact, and moderate assistance with residential responsibilities.
Utilization Criteria	Available to those eligible for Core Customer Ongoing Support and Recovery services.
Benefit Information	<u>Available to those with a LOCUS Level Of Care:</u> 2. Low Intensity Community based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential Services
Unit Value	Unit= 1 day
Reimbursement Rate	N/A
Initial Authorization	180 units
Re-Authorization	180 units
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Residential Services Provider</u> 142– Adult Mental Health 744 Adult Addictive Diseases
Admission Criteria	1. Individual must meet target population as indicated above; and one or more of the following: 2. Individual's symptoms/behaviors indicate a need for moderate skills training and personal supports; or 3. Individual has limited skills needed to maintain stable housing and has failed using a less intensive residential service; or 4. Individual requires frequent medication assistance to prevent relapse.
Continuing Stay Criteria	Individual continues to meet Admission Criteria
Discharge Criteria	1. Individual can effectively and safely be supported with a more appropriate level of service due to change in individual's level of functioning; or 2. Individual or appropriate legal representative requests discharge.

Service Exclusions	None
Clinical Exclusions	1. Individuals with the following conditions are excluded from admission unless there is documented evidence of psychiatric condition: developmentally disabled persons who do not have co-occurring mental illness or substance abuse issues, autism, organic mental disorder, or traumatic brain injury.

Additional Service Criteria:

A. Required Components

1. The organization must have an executive director or program director charged with the responsibility for day-to-day management of the organization.
2. If applicable, the organization must be licensed by the Georgia Office of Regulatory Services to provide residential services to consumers with mental illness and/or substance abuse diagnosis.
3. The residential program must provide a supported living environment 24 hours, 7 days a week. Staff will be on-site for at least 36 hours each week to accommodate residents' needs. There must be an emergency response plan when staff is not scheduled on-site.
4. Within the required 36 hours of staffing coverage, Semi-Independent Residential Service must provide a minimum of 3 hours per week of skills training and/or personal support relevant to the consumer's Individualized Recovery Plan.

B. Staffing Requirements

1. Residential Managers may be persons with at least 2 years experience providing MH or AD services and at least a high school diploma; however, this person must be directly supervised by a licensed staff member (including LMSW, LAMFT, LAPC or 4 year RN).
2. Persons with high school diplomas, GEDs, or higher, who have completed the paraprofessional training required for DBHDD contracted organizations may provide direct support services under the supervision of a Residential Manager.
3. A staff person must be available 24/7 to respond to emergency calls within one (1) hour.
4. A staff person must be on site at least 36 hours a week.

C. Program Operations

1. The organization must have a written description of the Semi-Independent Residential Service offered that includes, at a minimum, the purpose of the service; the intended population to be served; level of supervision and oversight provided; and outcome expectations for its residents.
2. The focus of Semi-Independent Residential Service is to view each consumer as the director of his/her own recovery; to promote the value of self-help and peer support; to provide information about mental illness and coping skills; to promote social skills, community resources, and individual advocacy; to promote employment and education to foster self-determination and career advancement; to support each consumer in using community resources to replace the resources of the mental health system no longer needed; and to support each consumer to fully integrate into scattered site residential placement or in housing of his or her choice, and to provide necessary support and assistance to the consumer that furthers recovery goals, including transportation to appointments and community activities that promote recovery.

3. The Goal of Semi-Independent Residential Supports is to further integrate the consumer into an accepting community in the least intrusive environment that promotes housing of his/her choice.
4. The outcomes of Semi-Independent Residential Supports will focus on recovery, housing, employment, and meaningful life in the community. These outcomes will be measured based upon:
 - a. Reduction in hospitalizations;
 - b. Reduction in incarcerations;
 - c. Maintenance of housing stability;
 - d. Participation in education, vocational training or gainful employment, if this is a goal in the Individualized Recovery Plan;
 - e. Participation in community meetings and other social and recreational activities;
 - f. Participation in activities that promote recovery and community integration.
5. Semi-Independent Residential Service assists those individuals who will benefit from a moderate level of personal support and skill training to restore, develop, or maintain skills in functional areas in order to live meaningful lives in the community; develop or maintain social relationships; and participate in social, interpersonal, recreational or community activities. Services must be delivered to individuals according to their IRP.
6. Semi-Independent Residential Service provides at least 36 hours of on-site residential service and a minimum of 3 hours of direct skills training and/or individual support each week. This level of residential service shall include:

Skill Training Activities such as budgeting, shopping, menu planning and food preparation, leisure skill development, maintaining a residence, using public transportation, symptom identification and management, medication self-administrating training, and other needed skills training as identified in the IRP.

AND

Personal Support Activities such as daily face-to-face contact with the consumer by Residential Service staff to ensure needs are being met; supportive counseling; crisis intervention as needed; tracking of appointments, assistance with transportation to appointments, shopping, employment, academics, recreational and support activities, and other needed supports as identified in the IRP

D. Service Access

In addition to receiving Semi Independent Residential Services, consumers will be linked to adult mental health and/or addictive disease services including Core or private Psychiatrist or Specialty services.

E. Additional Medicaid Requirements

This is not a Medicaid reimbursable service.

F. Reporting & Billing Requirements

All applicable MICP and other DBHDD reporting requirements must be met.

G. Documentation Requirements

1. Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A. Practice Acts as qualified to provide a diagnosis.

2. Providers must document services in accordance with the specifications for documentation found in "Documentation Guidelines" in Part II, Section IV of this manual.
3. The organization must develop and maintain sufficient written documentation to support that Semi-Independent Residential Services were provided to the individual, as defined herein and according to billing. This documentation must confirm that the individual for whom billing is requested was a resident of the Semi-Independent Residential Services on the date billed. The individual's record must also include each week's programming/ service schedule in order to document provision of the required amount of skill training and personal support activities.
4. Providers must provide documentation that demonstrates compliance with a minimum of 3 hours each week of skills training and personal support activities, which include date, and time in/time out of contact.
5. Weekly progress notes must be entered in the individual's record to enable the monitoring of the individual's progress toward meeting treatment and rehabilitation goals and to reflect the Individualized Recovery Plan implementation.
6. The record should include health issues or concerns and how they are being addressed, appointments for psychiatric and medical care that are scheduled for the consumer, attendance at other treatments, such as addictive diseases counseling that staff may be assisting the consumer to attend, assistance provided to the consumer to help him or her reach recovery goals, and the consumer's participation in other recovery activities.
7. Each note must be signed and dated and must include the professional designation of the individual making the entry.
8. Documentation must be legible and concise and include the printed name and the signature of the treating practitioner. The name, title, and credentials of the individual providing the service must reflect the staffing requirements established for Semi-Independent Residential Services being delivered.

H. Facilities Management (applicable to traditional residential settings such as group homes, Treatment facilities, etc.)

1. Each resident facility must be arranged and maintained to provide adequate measures for the health, safety, access and well being of the residents.
2. Each resident facility must comply with all relevant safety codes.
3. All areas of the residential facility must be clean, safe, appropriately equipped, and furnished for the services delivered.
4. The facility must comply with the Americans with Disabilities Act.
5. The facility must maintain a written evacuation plan to be used in the case of fire or other disaster. An appropriate written certification of compliance must be obtained indicating that all applicable fire and safety code requirements have been satisfied. Periodic fire and other safety drills must be conducted.
6. Evacuation routes must be clearly marked by exit signs.
7. The program must be responsible for providing physical facilities that are structurally sound and that meet all applicable federal, state, and local regulations for adequacy of construction, safety, sanitation, and health.

Residential Substance Detoxification							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Alcohol and/or Other Drug Services; Sub-acute Detoxification (Residential Addiction Program Outpatient)		H0012					\$85.00

Definition of Service: Residential Substance Detoxification is an organized and voluntary service that may be delivered by appropriately trained staff who provide 24-hour per day, 7 day per week supervision, observation and support for individuals during detoxification. Residential detoxification is characterized by its emphasis on medical monitoring and/or on peer/social support, and should reflect a range of residential detoxification service intensities from ASAM (American Society of Addiction Medication) Level III.2D to III.7D. These levels provide care for individuals whose intoxication/withdrawal signs and symptoms may only require 24-hour supervision, observation and support by appropriately trained staff with an emphasis on peer/social support that cannot be provided by the individual's natural support system, or that are sufficiently severe enough to require 24-hour medically monitored withdrawal management and support from medical and nursing professionals in a permanent facility with inpatient beds. All programs at these levels rely on established clinical protocols to identify individuals who are in need of medical services beyond the capacity of the facility and to transfer such individuals to more appropriate levels of service.

Target Population	Adults and Older Adolescents with a diagnosis of one of the following: 303.00 291.81 291.0 292.89 292.0
Benefit Information	Available to all Ongoing Core Customers. Requires a MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential 5: Medically Monitored Community Residential 6: Medically Managed Residential
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	Unit=1 day (per diem)
Initial Authorization	30 days
Maximum Daily Units	1 unit
Re-Authorization	
Authorization Period	30 days

UAS: Budget and Expense Categories	<u>Addictive Diseases Detoxification Services Provider</u> 765 – Adult Addictive Diseases 865 – C&A Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Individual has a Substance Related Disorder as defined in the latest version of the DSM (ASAM PPC-2, Dimension-1 and is experiencing signs of severe withdrawal, or there is evidence (based on history of substance intake, age, gender, previous withdrawal history, present symptoms, physical condition, and/or emotional/behavioral condition) that severe withdrawal syndrome is imminent; and is assessed as manageable at this level of service; and 2. There is strong likelihood that the individual will not complete detoxification at another level of service and enter into continued treatment or self-help recovery as evidenced by one of the following: <ol style="list-style-type: none"> a. individual requires medication and has recent history of detoxification at a less intensive service level, marked by past and current inability to complete detoxification and enter continuing addiction treatment; individual continues to lack skills or supports to complete detoxification, or b. individual has a recent history of detoxification at less intensive levels of service marked by inability to complete detoxification or enter into continuing addiction treatment and continues to have insufficient skills to complete detoxification, or c. individual has co-morbid physical or emotional/behavioral condition that is manageable in a Level III.7-D setting but which increases the clinical severity of the withdrawal and complicates detoxification.
Continuing Stay Criteria	Individual's withdrawal signs and symptoms are not sufficiently resolved so that the individual can be managed in a less intensive service.
Discharge Criteria	<ol style="list-style-type: none"> 1. An adequate continuing care plan has been established; and one or more of the following: 2. Goals of the Individualized Recovery Plan have been substantially met; or 3. Individual requests discharge and individual is not in imminent danger of harm to self or others; or 4. Individual's signs and symptoms of withdrawal have failed to respond to treatment and have intensified (as confirmed by higher scores on the CIWA-Ar or other comparable standardized scoring system), such that transfer to a Level IV-D detoxification service is indicated.
Service Exclusions	ACT, Nursing Assessment and Medication Administration (Medication administered as a part of Residential Detoxification is not to be billed as Medication Administration.)
Clinical Exclusions	Concomitant medical condition and/or other behavioral health issues warrant inpatient treatment or Crisis Stabilization Program admission.

Additional Service Criteria:

A. Required Components

1. This service must be licensed by DCH/HFR under the Rules and Regulations for Drug Abuse Treatment Programs, 290-4-2.
2. A physician's order in the individual's record is required to initiate a detoxification regimen.
3. Medication administration may be initiated only upon the order of a physician.
4. Verbal orders or those initiated by a Physician's Assistant or Clinical Nurse Specialist are acceptable provided they are signed by the physician within 24 hours or the next working day.

B. Staffing Requirements

1. Services must be provided by a combination of nursing, other licensed medical staff, and other residential support under supervision of a physician.
2. In programs that are designed to target older adolescents, staffing patterns must reflect staff expertise in the delivery of services to that age population. In addition, higher staffing ratios would be expected in these programs related to supervision.

C. Clinical Operations

1. Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.

D. Service Access

E. Additional Medicaid Requirements

1. For Medicaid recipients, certain individual services may be billed to Medicaid if the individual is receiving this service as a part of a Crisis Stabilization Program (see CSP service description for billable services).
2. For those CSPs that bill Medicaid, the program bed capacity is limited to 16 beds.

F. Reporting & Billing Requirements

All applicable MICP and other DBHDD reporting requirements must be met.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Respite							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
Respite Care Services, Not in the Home (Out of Home), Per Diem		H0045					\$56.00
Unskilled Respite Care, Not Hospice (In Home), Per Diem		S5151					\$56.00

Definition of Service: Respite services are brief periods of support or relief from current debilitating situations for individuals with mental illnesses and/or substance related disorders. Respite is provided: (1) when an individual is experiencing a psychiatric, substance related or behavioral crisis and needs structured, short-term support; (2) consumer-identified natural supports are unable to provide necessary illness-management support and thus the individual is in need of additional support or relief; or (3) when the individual and his/her identified natural supports experience the need for therapeutic relief from the stresses of their mutual cohabitation. Respite may be provided in-home (i.e. provider delivers service in individual's home) or out-of-home (individual receives service outside of their home), and may include day activities as well as overnight activities/accommodations as appropriate to the situation.

Target Population	Adults experiencing: Severe and Persistent Mental Illness Substance-Related Disorders Co-Occurring Substance-Related Disorders and Mental Illness Co-Occurring Mental Illness and Mental Retardation Co-occurring Substance-Related Disorders and Mental Retardation
Benefit Information	Available to all Ongoing Core Customers. Requires a MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 2: Low Intensity Community-Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	1 day
Initial Authorization	While the actual respite should be very short-term in nature, this service can be authorized as part of a 180 day Recovery/Resiliency plan. A maximum of 30 days may be provided to a single individual in a single authorization period.
Re-Authorization	180 days
Maximum Daily Units	1 unit
Authorization Period	180 days

UAS: Budget and Expense Categories	<u>Consumer/Family Support Services Provider</u> 136 – Adult Mental Health 736 – Adult Addictive Diseases
Admission Criteria	<ol style="list-style-type: none"> 1. Individual meets target population as identified above; and 2. Individual has a need for short-term support which could delay or prevent the need for out-of-home placement or higher levels of service intensity (such as acute hospitalization); and one or more of the following: 3. Individual has a circumstance which destabilizes his/her current living arrangement and the provision of this service would provide short-term relief and support of the individual; or 4. The consumer-identified natural supports network has an immediate need for support and relief from its role of supporting the individual in his/her behavioral health crises 5. The consumer-identified natural supports network has an immediate need to participate in an emergency event during which lack of support may cause the individual a setback in his/her Recovery plan.
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Individual continues to meet admission criteria as defined above; and 2. Individual has developed a Recovery goal to develop natural supports that promote the self/family-management of these needs.
Discharge Criteria	<ol style="list-style-type: none"> 1. Individual requests discharge; or 2. Individual has acquired natural supports that supplant the need for this service.
Service Exclusions	Traditional 24/7 Residential Supports
Clinical Exclusions	<ol style="list-style-type: none"> 1. Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder, traumatic brain injury. 2. Individual is actively using unauthorized drugs or alcohol (which should not indicate a need for discharge, but for a review of need for more intensive services).

Additional Service Criteria:

A. Required Components

B. Staffing Requirements

C. Clinical Operations

Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol.

D. Service Access

A maximum of 30 days may be provided to a single individual in a single authorization period.

E. Additional Medicaid Requirements

Not applicable. Not a Medicaid-billable service.

F. Reporting & Billing Requirements

All other applicable MICP and DBHDD reporting requirements must be met.

G. Documentation Requirements

Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

Substance Abuse Intensive Outpatient (SA Day Treatment)					
HIPAA Transaction Code	Code	Mod1	Mod2	Mod3	Mod4
See Item E.1. Below					

Definition of Service: A time limited multi-faceted approach treatment service for adults who require structure and support to achieve and sustain recovery from substance related disorders. These services are available during the day and evening hours to enable individuals to maintain residence in their community, continue to work or go to school and to be a part of their family life. The following elements of this service model will include:

1. Behavioral Health Assessment
2. Psychiatric Treatment
3. Nursing Assessment
4. Diagnostic Assessment
5. Consumer Support Individual Services
6. Individual Counseling
7. Group Counseling (including psycho-educational groups focusing, relapse prevention and recovery)
8. Family Counseling/Training (including psychoeducation) for Family Members

The SA Intensive Outpatient Package emphasizes reduction in use and abuse of substances and/or continued abstinence; the negative consequences of substance abuse; development of social support network and necessary lifestyle changes; educational skills; vocational skills leading to work activity by reducing substance abuse as a barrier to employment; social and interpersonal skills; improved family functioning; the understanding of addictive disease; and the continued commitment to a recovery and maintenance program.

Services are provided according to individual needs and goals as articulated in the treatment plan. The programmatic goal of the service must be clearly articulated by the provider, utilizing the best/evidenced based practices for the service delivery and support that are based on the population(s) and issues to be addressed. Practitioners providing this service are expected to maintain knowledge and skills regarding current research trends in best/evidence based practices.

Target Population	Adult Core Customers with substance abuse disorders, including those with co-occurring mental illness, or Developmental Disabilities
Benefit Information	Requires a MICP New Episode Request or Update request (to add as a single service to an existing authorization)

Utilization Criteria	<u>Available to those with LOCUS scores:</u> 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential (transition) 5: Medically Monitored Community Residential (transition) 6: Medically Managed Residential (transition)
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner)
Unit Value	See Authorization Package/Service Group Detail
Initial Authorization	See Authorization Package/Service Group Detail
Re-Authorization	See Authorization Package/Service Group Detail
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Addictive Disease Day Services Provider</u> Report UAS Codes as associated with unbundled services in Item E1 below.
Admission Criteria	<ol style="list-style-type: none"> 1. A DSM IV diagnosis of Substance Abuse or Dependence or substance-related disorder with a co-occurring DSM IV diagnosis of mental illness or DD; and 2. The individual is able to function in a community environment even with impairments in social, medical, family, or work functioning; and 3. The individual is sufficiently motivated to participate in treatment; and 4. One or more of the following: <ol style="list-style-type: none"> a. The substance use is incapacitating, destabilizing or causing the individual anguish or distress and the individual demonstrates a pattern of alcohol and/or drug use that has resulted in a significant impairment of interpersonal, occupational and/or educational functioning; or b. The individual's substance abuse history after previous treatment indicates that provision of outpatient services alone (without an organized program model) is not likely to result in the individual's ability to maintain sobriety; or c. There is a reasonable expectation that the individual can improve demonstrably within 3-6 months; or d. The individual is assessed as needing ASAM Level II or III.1; or e. The individual has no significant cognitive and/or intellectual impairments that will prevent participation in and benefit from the services offered and has sufficient cognitive capacity to participate in and benefit from the services offered; or f. The individual is not actively suicidal or homicidal, and the individual's crisis, and/or inpatient needs (if any) have been met prior to participation in the program.
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. The individual's condition continues to meet the admission criteria. 2. Progress notes document progress in reducing use and abuse of substances; developing social networks and lifestyle changes; increasing educational, vocational, social and interpersonal skills; understanding addictive disease; and/or establishing a commitment to a recovery and maintenance program, but the overall goals of the treatment plan have not

	<p>been met.</p> <p>3. There is a reasonable expectation that the individual can achieve the goals in the necessary reauthorization time frame.</p>
Discharge Criteria	<p>An adequate continuing care or discharge plan is established and linkages are in place; and one or more of the following:</p> <ol style="list-style-type: none"> 1. Goals of the treatment plan have been substantially met; or 2. Consumer recognizes the severity of his/her drug/alcohol usage and is beginning to apply the skills necessary to maintain recovery by accessing appropriate community supports 3. Clinical staff determines that consumer no longer needs ASAM Level II and is now eligible for aftercare and/or transitional services <p>Transfer to a higher level of service is warranted by change in the</p> <ol style="list-style-type: none"> 1. Individual's condition or nonparticipation; or 2. The individual refuses to submit to random drug screens; or 3. Consumer exhibits symptoms of acute intoxication and/or withdrawal or 4. The individual requires services not available at this level or 5. Consumer has consistently failed to achieve essential treatment objectives despite revisions to the treatment plan and advice concerning the consequences of continues alcohol/drug use to such an extent that no further process is likely to occur
Service Exclusions	<p>Services cannot be offered with Mental Health Intensive Outpatient Package or Psychosocial Rehabilitation. When offered with ACT, documentation must indicate efforts to minimize duplication of services and effectively transition the individual to the appropriate services. This combination of services is subject to review by the External Review Organization</p>

Additional Service Criteria:

A. Required Components

1. This service must be licensed by DCH/HFR under the Rules and Regulations for Drug Abuse Treatment Programs, 290-4-2.
2. The program provides structured treatment or therapeutic services, utilizing activity schedules as part of its operational method, i.e., plans or schedules of days or times of day for certain activities.
3. These services should be scheduled and available at least 5 hours per day, 4 days per week (20 hrs/week), with no more than 2 consecutive days without service availability for high need individuals (ASAM Level II.5). For programs that have a lower intensity program Level, it should be at least ASAM Level II.1 which includes 9 hours of programming per week.
4. The program utilizes methods, materials, settings, and outside resources appropriate to the developmental and cognitive levels, capabilities, age, gender, and culture of participants.
5. The program utilizes methods, materials, approaches, activities, settings, and outside resources appropriate for and targeted to individuals with co-occurring disorders of mental illness and substance abuse and targeted to individuals with co-occurring developmental disabilities and substance abuse when such individuals are referred to the program.

6. The program conducts random drug screening and uses the results of these tests for marking participant's progress toward goals and for service planning.
7. The program is provided over a period of several weeks or months and often follows detoxification or residential services.
8. This service must operate at an established site approved to bill Medicaid for services. However, limited individual or group activities may take place off-site in natural community settings as is appropriate to each individual's treatment plan. (Narcotics Anonymous (NA) and/or Alcoholics Anonymous (AA) meetings offsite may be considered part of these limited individual or group activities for billing purposes only when time limited and only when the purpose of the activity is introduction of the participating individual to available NA and/or AA services, groups or sponsors. NA and AA meetings occurring during the SA Intensive Outpatient package may not be counted toward the billable hours for any individual outpatient services, nor may billing related to these meetings be counted beyond the basic introduction of an individual to the NA/AA experience.).
9. This service may operate in the same building as other services; however, there must be a distinct separation between services in staffing, program description, and physical space during the hours the SA Intensive Outpatient Services is in operation.
10. Adequate space, equipment, furnishings, supplies, and other resources must be provided in order to effectively provide services and so that the program environment is clean and in good repair. Space, equipment, furnishings, supplies, transportation, and other resources for participating individuals' use within the Substance Abuse Intensive Outpatient package must not be substantially different from that provided for other uses for similar numbers of individuals.

B. Staffing Requirements

1. The program must be under the clinical supervision of a **Level 4 or above** who is onsite a minimum of 50% of the hours the service is in operation.
2. Services must be provided by staff who are:
 - a. Level 4 (LAPC, LMSW, CACII, CADC, CCADC and Addiction Counselor Trainee with supervision)
 - b. Level 5 (Paraprofessionals, high school graduates) under the supervision of an Level 4 or above
3. It is necessary for all staff who provide this "co-occurring capable" service to have basic knowledge in the Georgia DBHDD content areas in the Suggested Best Practices Principles and Staff Capabilities for Services Serving Individuals with Co-Occurring Disorders document included in this Provider Manual
4. Programs must have documentation that there is one Level 4 staff (excluding Addiction Counselor Trainee) that is "co-occurring capable." This person's knowledge must go beyond basic understanding and must demonstrate actual staff capabilities in using that knowledge for individuals with co-occurring disorders. Personnel documentation should demonstrate that this staff person has received a minimum of 4 hours of training in co-occurring treatment within the past 2 years.
5. There must be at least a Level 4 practitioner on-site at all times the service is in operation, regardless of the number of individuals participating.
6. The maximum face-to-face ratio cannot be more than 12 individuals to 1 direct program staff based on average daily attendance of individuals in the program.
7. The maximum face-to-face ratio cannot be more than 20 individuals to 1 SAP based on average daily attendance of individuals in the program.

8. A physician and/or a Registered Nurse or a Licensed Practical Nurse with appropriate supervision must be available to the program either by a physician and/or nurse employed by the agency, through a contract with a licensed practitioner, or by written referral or affiliation agreement with another agency or agencies that offer such services.
 - a. The physician is responsible for addiction and psychiatric consultation, assessment, and care (including but not limited to ordering medications and/or laboratory testing) as needed.
 - b. The nurse is responsible for nursing assessments, health screening, medication administration, health education, and other nursing duties as needed.
9. Level 4 staff may be shared with other programs as long as they are available as required for supervision and clinical operations and as long as their time is appropriately allocated to staffing ratios for each program.

C. Clinical Operations

1. It is expected that the transition planning for less intensive service will begin at the onset of these services. Documentation must demonstrate this planning.
2. Consumers receiving the Substance Abuse Intensive Outpatient Package must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis (Level 1).
3. A consumer may have variable length of stay. The level of care should be determined as a result of consumers' multiple assessments. It is recommended that individuals attend at a frequency appropriate to their level of need. Ongoing clinical assessment should be conducted to determine step down in level of care.
4. Each consumer should participate in setting individualized goals for themselves and in assessing their own skills and resources related to sobriety, use/abuse, and maintaining recovery. Goals are set by exploring strengths and needs in the consumer's living, learning, social, and working environments. Implementation of services may take place individually or in groups.
5. Each consumer must be provided assistance in the development and acquisition of needed skills and resources necessary to achieve sobriety and/or reduction in abuse and maintenance of recovery.
6. Substance Abuse Intensive Outpatient Package must offer a range of skill-building and recovery activities within the program.
7. The following the services must be included in the SA Intensive Outpatient Package. Many of these activities are reimbursable through Medicaid.

The activities include but not limited to:

k. Group Outpatient Services:

- i. Psycho-educational activities focusing on the disease of addiction prevention, the health consequences of addiction, and recovery
- ii. Therapeutic group treatment and counseling
- iii. Leisure and social skill-building activities without the use of substances
- iv. Linkage to natural supports and self-help opportunities

l. Individual Outpatient Services

- i. Individual counseling
- ii. Individualized treatment, service, and recovery planning
- iii. Linkage to health care

m. Family Outpatient Services

- i. Family education and engagement

- n. **Community Support**
 - i. Vocational readiness and support
 - ii. Service coordination unless provided through another service provider
 - o. **Behavioral Health Assessment & Service Plan Development and Diagnostic Assessment**
 - i. Assessment and reassessment
 - p. **Services not covered by Medicaid**
 - i. Drug screening/toxicology examinations
8. In addition to the above required activities within the program, the following must be offered as needed either within the program or through referral to/or affiliation with another agency or practitioner, and may be billed in addition to the billing for Substance Abuse Intensive Outpatient Package:
- q. Community Support– for housing, legal and other issues
 - r. Individual counseling in exceptional circumstances for traumatic stress and other mental illnesses for which special skills or licenses are required
 - s. Physician assessment and care
 - t. Psychological testing
 - u. Health screening.
9. The program must have a Substance Abuse Intensive Outpatient Services Organizational Plan addressing the following:
- v. The philosophical model of the program and the expected outcomes for program participants (i.e., harm reduction, abstinence, beginning of or maintaining individually defined recovery, employment readiness, relapse prevention, stabilization and treatment of those with co-occurring disorders).
 - w. The schedule of activities and hours of operations.
 - x. Staffing patterns for the program.
 - y. How the activities listed above in Items 4 and 5 will be offered and/or made available to those individuals who need them, including how that need will be determined.
 - z. How assessments will be conducted.
 - aa. How staff will be trained in the administration of addiction services and technologies.
 - bb. How staff will be trained in the recognition and treatment of co-occurring disorders of mental illness and substance abuse pursuant to the Georgia Best Practices
 - cc. How services for individuals with co-occurring disorders will be flexible and will include services and activities addressing both mental health and substance abuse issues of varying intensities and dosages based on the symptoms, presenting problems, functioning, and capabilities of such individuals.
 - dd. How individuals with co-occurring disorders who cannot be served in the regular program activities will be provided and/or referred for time-limited special integrated services that are co-occurring enhanced as described in the Georgia Suggested Best Practices
 - ee. How services will be coordinated with the substance abuse array of services including assuring or arranging for appropriate referrals and transitions.
 - ff. How the requirements in these service guidelines will be met.

D. Service Access

The package is offered at least 5 hours per day at least 4 days per week with no more than 2 consecutive days between offered services, and distinguishes between those individuals needing between 9 and 20 hours per week of structured services per week (ASAM Level II.1) and those

needing 20 hours or more of structured services per week (ASAM Level II.5 or III.1) in order to begin recovery and learn skills for recovery maintenance. The program may offer services a minimum of only 3 hours per day for only 3 days per week with no more than 2 consecutive days between offered services if only individuals at ASAM Level II.1 are served.

E. Additional Medicaid Requirements

1. Effective July 1, 2009 Medicaid stopped paying a bundled daily rate for Substance Abuse Day Services. These services now will be unbundled and billed per service. As mentioned above Substance Abuse Intensive Outpatient Package allows providers to select all services that will be offered in a substance abuse outpatient setting. Billable services and daily limits within SA Intensive Outpatient Package are as follows:

Service	Maximum Authorization Units	Maximum Daily Units
Behavioral Health Assessment & Service Plan Development	32	24
Diagnostic Assessment	4	2
Psychiatric Treatment	12	1
Nursing Assessment & Care	48	16
Community Support	600	96
Individual Outpatient Services	36	1
Group Outpatient Services	1170	20
Family Outpatient Services	100	8

F. Reporting/Billing Requirements

1. All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.
2. The maximum number of units that can be billed differs depending on the individual service. Please refer to the table below or in the Mental Health and Addictive Disease Orientation to Authorization Packages Section of this manual.
3. Approved providers of this service may submit claims/encounters for the unbundled services listed in the package, up to the daily maximum amount for each service. Program expectations are that this model follow the content of this Service Guideline as well as the clearly defined service group elements.

G. Documentation Requirements

1. Provider must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.
2. Every admission and assessment must be documented.
3. Progress notes must include written daily documentation of important occurrences; level of functioning; acquisition of skills necessary for recovery; progress on goals identified in the IRP including acknowledgement of addiction, progress toward recovery and use/abuse reduction and/or abstinence; use of drug screening results by staff; and evaluation of service effectiveness.
4. Daily attendance of each individual participating in the program must be documented showing the number of hours in attendance for billing purposes.

5. This service may be offered in conjunction with ACT or Crisis Residential Services for a limited time to transition consumers from one service to the more appropriate one. When this service is used in conjunction with ACT or Crisis Residential services, documentation must demonstrate careful planning to maximize the effectiveness of this service as well as an appropriate reduction in service amounts of the service to be discontinued. Utilization of Substance Abuse Day Services in conjunction with these services is subject to review by the External Review Organization.

Supported Employment					
HIPAA Transaction Code	Code Detail	Code	Mod1	Mod2	Rate
Supported Employment		H2024			\$410.00

Definition of Service: In line with current best practice, this service emphasizes that a rapid job search and placement approach be prioritized above traditional prevocational training or traditional vocational rehabilitation. Job development, placement and training are for people who, due to the severity of their disabilities, need support to locate, choose, obtain, learn and maintain a job. Services include supports to choose and obtain paid employment in competitive wage, individual-based community jobs, as well as brief training support to learn the specific job skills/tasks necessary to perform and retain a particular job. Services are provided to any individual interested in obtaining employment, regardless of the degree of disability, and with particular attention and consideration to the individual's interests, strengths, needs, capabilities, priorities, concerns, previous work experiences and informed choice (**i.e. job placement should be individualized**).

Once a job is obtained, brief on-the-job training and support is available through this service to assist individuals in learning the job-specific skills/tasks necessary to successfully performing the new job.

It is expected that service staff will maintain regular, meaningful collaboration with the individual's mental health/substance abuse treatment team.

Managers and staff are encouraged to become familiar with evidence-based practice on Supported Employment such as the SAMHSA (Substance Abuse and Mental Health Services Administration Supported Employment Toolkit that provides guidelines and practices that enhance outcomes for consumers). Website for SAMHSA toolkit is:

<http://mentalhealth.samhsa.gov/cmhs/communitysupport/toolkits/employment>

Services may be provided in a variety of settings and must meet the following specific service criteria:

- 1) Employment is paid;
- 2) Employment provides opportunities to interact with people who do not have disabilities;
- 3) Training includes brief teaching/modeling of the specific skills/tasks necessary to perform the job; and
- 4) Regular, meaningful collaboration with the mental health/substance abuse treatment team is maintained.

Moreover, the service should maintain a focus on the individual's long-term career goals if a career is important to the individual, and attempt to place the individual in a job accordingly, rather than simply placing the individual in the easiest, lowest requirement job available. Jobs may be full or part time, and frequent opportunities for individuals to interact with non-disabled co-workers during the performance of their jobs or during breaks, working hour meals or travel to and from work is an important benefit. More than one individual consumer with a disability could work for the same employer and still be considered to receive this service, as long as consumers are not grouped within the work site. Wages must be paid in compliance with all applicable Department of Labor requirements.

The programmatic goals of this service must be clearly articulated by the provider, utilizing best/evidence based practices for employment services. Practitioners providing this service are expected to maintain knowledge and skills regarding current research trends in best/evidence based practices.

Target Population	Adults and Older Adolescents with a: Mental Illness Substance Related Disorder Co-Occurring Substance-Related Disorder and Mental Illness, Co-Occurring Mental Illness and Mental Retardation/Developmental Disabilities Co-Occurring Substance-Related Disorder and Mental Retardation/Developmental Disabilities
Benefit Information	Available to all Ongoing Core Customers. Requires a MICP New Episode Request or Update Request (to add as a single service to an existing authorization).
Utilization Criteria	<u>Available to those with LOCUS scores:</u> 2: Low Intensity Community-Based Services* 3: High Intensity Community-Based Services *Those who enter this service with a LOCUS score of 2 may continue to receive the service at LOCUS level 1 with ERO approval.
Ordering Practitioner	Physician, Psychologist, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner), LPC, LMFT, LCSW
Unit Value	1 month – Weekly documentation via daily attendance or weekly time sheet.
Initial Authorization	180 days
Re-Authorization	180 days
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Employment Services Provider</u> 139 – Adult Mental Health 739 – Adult Addictive Diseases
Admission Criteria	1. Individuals who meet the target population criteria and indicate an interest through Recovery Planning in establishing or enhancing work skills; and 2. Individuals for whom behavioral health issues have caused unemployment or underemployment.
Continuing Stay Criteria	1. Individuals who meet the target population criteria and indicate an interest through Recovery Planning in establishing or enhancing work skills; and 2. Individuals for whom behavioral health issues have caused unemployment or underemployment; and 3. Individual demonstrates documented progress relative to goals identified in the Individualized Recovery Plan for employment, but employment goals have not yet been achieved.
Discharge Criteria	1. Goals of the Individualized Recovery Plan related to employment have

	been substantially met; or 2. Individual requests a discharge from this support.
Service Exclusions	
Clinical Exclusions	Individuals with the following conditions are excluded from admission unless there is clearly documented evidence of a psychiatric condition overlaying the primary diagnosis: mental retardation, autism, organic mental disorder.

Additional Service Criteria:

A. Required Components

1. The programmatic goals of this service must be clearly articulated by the provider, utilizing best/evidence based practices for employment services.
2. Wages must be paid in compliance with all applicable Department of Labor requirements.

B. Staffing Requirements

Practitioners providing this service are expected to maintain knowledge and skills regarding current research trends in best/evidence based practices.

C. Clinical Operations

1. Individuals should be encouraged to be as involved and self-directed in the job location and placement process as possible (e.g. the individual should call a potential employer to inquire about a job rather than staff calling when possible (which may entail coaching the individual), and the individual should be offered assistance—though not advice-- from staff in making the personal decision about whether or not to disclose his or her disability to a potential employer).
2. Individuals receiving this service must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis. These practitioners include a licensed psychologist, a physician or a PA or APRN (NP and CNS-PMH) working in conjunction with a physician with an approved job description or protocol

D. Service Access

E. Additional Medicaid Requirements

Not Applicable. Not a Medicaid-billable service.

F. Reporting & Billing Requirements

1. All applicable MICP and other DBHDD reporting requirements must be met.
2. A monthly, standardized report may be required by the DBHDD to monitor outcomes.

G. Documentation Requirements

1. Providers must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.

GEORGIA DBHDD – BEST PRACTICE SUGGESTIONS

PRINCIPLES AND STAFF CAPABILITIES FOR SERVICES FOR ADULTS WITH CO-OCCURRING DISORDERS – April 17, 2002

Principles

11. Services for persons with co-occurring disorders should be integrated, rather than sequential. That is, they should be structured to deal with both disorders at once rather than requiring one disorder and one set of symptoms to be dealt with before services for the other can begin.
12. Psychosocial Rehabilitation (PSR) programs and Substance Abuse (SA) Day Services programs will be initially encouraged and eventually required to work toward becoming “co-occurring capable,” that is, able to deal flexibly with the issues of persons with co-occurring disorders.
13. “Co-occurring enhanced” services are time limited and go beyond co-occurring capable services and programs. They are characterized by the following:
 - Additional or special assessments requiring additional training or competencies, perhaps utilizing additional or specialized assessment tools;
 - Special training, experience, licensure, certification, or other qualifications of staff beyond basic recognition and general capabilities of addressing the needs of persons with co-occurring disorders within a larger program (see recommended staff capabilities below);
 - Availability of addictionologist and/or MAC, CACII, or CADC consultation;
 - Availability of psychiatric consultation and/or medication management;
 - Availability of crisis services if needed, either directly or through an interagency agreement with a mobile crisis service;
 - Additional staff to client ratio beyond the minimum requirements for a limited period of time, in order to deal effectively with individuals needing more intense or more frequent services than those offered in a co-occurring capable day services program; and
 - Additional programming intensity or specialized approaches or activities requiring significant adjustments to the usual day services activities to assure adequate dosing, frequency, and integration of services for individuals with co-occurring disorders.
14. Programs that provide PSR or SA Day Services will be required to either provide or arrange for co-occurring enhanced integrated services for adults with co-occurring disorders until those individuals can move back into regular co-occurring capable day services. Adults with co-occurring disorders should not be expected to simply adapt to usual or routine PSR or SA Day Services activities.
15. Co-occurring enhanced day services may be provided within a larger SA Day Services or PSR program, may be a separate day services program within a larger agency, or may be a stand-alone service provider.
16. An adult with serious and persistent mental illness and a co-occurring substance abuse disorder should be served in a co-occurring capable or co-occurring enhanced PSR program. Adults with substance abuse or dependence who also have a co-occurring mental health needs that do not rise to the level of serious and persistent mental illness should be served in a co-occurring capable or co-occurring enhanced SA Day Services.
17. An adult with serious and persistent mental illness whose symptoms are stable enough so that Intensive Day Treatment is not indicated; whose cognitive functioning is high enough to participate in and benefit from a co-occurring capable SA Day Services program without distraction; whose coping

skills and abilities are sufficiently intact to allow attention to his/her substance abuse; and who can understand the emotional concerns related to the negative consequences and effects of addiction should be allowed to choose service in a SA Day Services program. An adult with serious and persistent mental illness may not be refused service in an SA Day Services program simply because he/she is seriously and persistently mentally ill. Likewise, a seriously and persistently mentally ill adult may not be refused service in a PSR program simply because he/she is abusing or dependent on alcohol or other drugs.

18. Adults with serious and persistent mental illness whose symptoms, cognition, functioning, or coping skills are sufficiently impaired to prevent participation or benefit from a co-occurring capable day services program but who meet the admission criteria for either PSR or SA Day Services, must be served by a co-occurring enhanced PSR or SA Day Services program.
19. The service guidelines for PSR Services and for SA Day Services will include the same requirements about cross training and capabilities of staff to recognize and treat adults with co-occurring disorders.
20. DBHDD will work to ensure that there is no financial disincentive to serving individuals with co-occurring disorders in any particular day services program.
14. Basic knowledge necessary for all staff serving persons with mental illness or substance abuse in "co-occurring capable" day services must include the content areas below. For programs that are "co-occurring enhanced," this knowledge must go beyond basic understanding and must demonstrate actual staff competencies in using that knowledge to serve adults with co-occurring disorders.
15. PSR and SA Day Services Program Managers and staff are encouraged to become familiar with ASAM Patient Placement Criteria – 2R and current evidence-based practices literature about serving adults with co-occurring disorders.

GEORGIA DBHDD – BEST PRACTICES SUGGESTIONS

Staff Knowledge and Capabilities About Serving Persons with Co-Occurring Disorders

Necessary Capabilities for Substance Abuse Staff	Necessary Capabilities for Mental Health Staff
<ul style="list-style-type: none">• knowledge of mental illness diagnoses, symptoms, and cognitive impairments where applicable;• medications used to treat various types of mental illness and their effects, including undesired medication side effects and the effects of discontinuing these medications;• assessment of mental illness;• likely coping strategies of individuals with mental illness, including use and abuse of substances,• concept of role of family members and psychoeducational approaches for working collaboratively with them;• motivational counseling for clients who are not ready to take full responsibility for self-management and recovery from substance abuse;• behavioral counseling for those who are actively working on recovery;• denial about mental illness or its symptoms, while respecting and encouraging individual choice and responsibility;• individual strategies for preventing symptom exacerbation; and• difference between recovery and engagement concepts in mental health and in substance abuse.	<ul style="list-style-type: none">• knowledge of substances of abuse and how they affect mental illnesses;• symptoms of withdrawal from various types of substances of abuse;• complications of interactions between psychotropic medications and substances of abuse, especially in detoxification and withdrawal processes;• assessment of substance abuse;• special considerations in assessing substance abuse in adults who have symptoms associated with a mental illness or who are taking or are candidates for taking prescribed medications for a diagnosed mental illness;• motivational counseling to use with clients who appear to be unmotivated for substance abuse treatment;• behavioral substance abuse counseling for those who are motivated to work toward abstinence;• denial and its role in addiction;• methods for overcoming denial while respecting and encouraging individual choice and responsibility;• relapse prevention strategies for persons with addictions; and• difference between recovery and engagement concepts in substance abuse and in mental health.

Part I

Eligibility, Service Definitions and Requirements

SECTION II

***DD Individual Eligibility,
Service Definitions and
Service Guidelines***

***For
Developmental Disability Services***

Fiscal Year 2011



**Georgia Department of Behavioral Health &
Developmental Disabilities**

July 2010

Eligibility for Developmental Disabilities Services (including DD Family Support Services)

To be eligible for Developmental Disabilities Services, individuals must meet disability and financial criteria. One of the Department of Behavioral Health and Developmental Disabilities (DBHDD) Regional Offices determines disability eligibility for persons residing in that region. The Department of Family and Children Services (DFCS) determines financial and Medicaid eligibility for services which are funded through Medicaid Waiver resources. Eligibility for the Medicaid waiver programs is determined by DBHDD Regional Offices in accordance with waiver policies.

To be eligible for developmental disabilities services, a person must meet the eligibility criteria below. The contractor will deliver services to individuals who meet the following criteria:

A. **Most in Need:** The individual demonstrates:

1. Substantial risk of harm to self or others; or
2. Substantial inability to demonstrate community living skills at an age-appropriate level; or
3. Substantial need for supports to augment or replace insufficient or unavailable natural resources

AND

B. **Diagnosis:**

1. **Developmental Disability:** The individual meets the following diagnostic criteria for a developmental disability, which is a severe, chronic disability of the individual, as determined by a professional licensed to do so:
 1. Is attributable to a significant intellectual disability, or any combination of a significant intellectual disability and physical impairments;
 2. Is manifested before the individual attains age 22;
 3. Is likely to continue indefinitely;
 4. Results in substantial functional limitations in three or more of the following areas of major life activities;
 - a. Self-care;
 - b. Receptive and expressive language;
 - c. Learning;
 - d. Mobility;
 - e. Self-direction; and
 - f. Capacity for independent living; and
 5. Reflects the person's need for a combination and sequence of special, interdisciplinary, or generic services, individualized supports, or other forms of assistance which are of lifelong or extended duration and are individually planned and coordinated.

OR

- C. Mental Retardation: The individual has a diagnosis of mental retardation based on assessment findings of significantly subaverage general intellectual functioning and significantly impaired adaptive functioning.

Mental Retardation/Developmental Disabilities Services Definitions NOW & COMP Waiver Services¹

¹Participants have the option to self-direct NOW services with the exception of Financial Support Services, Prevocational, and Support Coordination. The co-employer, participant direction option is available under the NOW for Community Access, Community Guide, Community Living Support, Respite, Supported Employment, and Transportation.

Participants have the option to self-direct COMP services with the exception of Community Residential Alternative, Financial Support Services, Prevocational, and Support Coordination. The co-employer, participant direction option is available under the COMP for Community Access, Community Guide, Community Living Supports, Supported Employment, and Transportation.

Behavioral Supports Consultation

NOW & COMP Waiver

HIPAA Transaction Code	Code	Mod1 Self D	Mod2	Mod3	Mod4
Behavioral Supports Consultation	H2019	UC			

Definition of Service: Participants can choose the self-direction option with Behavioral Supports Consultation Services.

Behavioral Supports Consultation Services are professional consultation services that assist the participant with significant, intensive challenging behaviors that interfere with activities of daily living, social interaction, work or similar situations. These services consist of behavioral supports professional evaluation, training, and intervention services. Evaluation services by the Behavioral Supports professional consultant include functional assessment of behavior and other diagnostic assessment of behavior. Training and intervention services by the Behavioral Supports professional consultant comprise direct skills training of participants as well as family education and training on Positive Behavioral Supports.

Behavioral Supports Consultation Services provide for the development of Behavior Supports plans for the acquisition or maintenance of appropriate behaviors for community living and behavioral intervention for the reduction of maladaptive behaviors. Intervention modalities described in plans must relate to the identified behavioral needs of the waiver participant, and specific criteria for remediation of the behavior must be established and specified in the plan. Behavioral Supports Consultation Services may not be provided to participants receiving Community Residential Alternative Services in the Comprehensive Supports Waiver (COMP).

Behavioral Supports Consultation services are provided by appropriately qualified individuals with expertise in behavioral supports evaluation and services for people with developmental disabilities. These services may be provided in a participant's own or family home, the Behavioral Supports Consultant's office, outpatient clinics, facilities in which Community Access or Prevocational Services are provided, Supported Employment work sites, or other community settings specific to community-based behavioral supports goals specified in the Individual Service Plan.

ADDITIONAL SERVICE INFORMATION:

1. Providers of Behavioral Supports Consultation services must comply with the guidelines and requirements for the provision of behavioral supports to individuals with developmental disabilities in the DHR, MHDDAD Guidelines for Supporting Adults with Challenging Behaviors in Community Settings and Behavioral Supports Guidelines (see Guidelines in Appendix D) in the delivery of these services; providers rendering Behavioral Supports Consultation services to participants under the age of eighteen years must comply with any guidelines and requirements in these DBHDD Guidelines that are applicable to children and adolescents with developmental disabilities.

2. Providers can provide Behavioral Supports Consultation Services at facilities where Community Access and Prevocational Services are rendered; however, the services must be documented and billed separately, and any waiver participant receiving multiple services may not receive these services at the same time of the same day.

Community Access Services

NOW & COMP Waiver

HIPAA Transaction Code	Code	Mod1	Mod2 Self D	Mod3 Co Emp	Mod4
Community Access Group	T2025	HQ	UC	UA	
Community Access Individual	T2025	UB	UC	UA	

Definition of Service:

Community Access Services are designed to assist the participant in acquiring, retaining, or improving self-help, socialization, and adaptive skills required for active community participation and independent functioning *outside* the participant's home or family home. These services are interventions in the areas of social, emotional, physical, and intellectual development and may include training in the areas of daily living skills (including leisure/recreation skills); communication training; mobility training; programming to reduce inappropriate and/or maladaptive behaviors; and training in the use of common community resources.

The emphasis of training will be on assisting the individual in increasing self help, socialization skills, skills or daily living and adaptive skills required for active community participation and independent functioning outside the participant's home or family home. These activities include accompanying individuals to the grocery store, or eating establishments; teaching an individual how to participate in appropriate social and recreational activities; and assessing other activities of community living.

The services typically occur during the day but may also take place in the evenings and weekends. Community Access services are individually planned to meet the participant's needs and preferences for active community participation. These services are provided in either community-based or facility-based settings but not in the participant's home or family home or any other residential setting.

The intended outcome of these services is to improve the participant's access to the community through increased skills and/or less paid supports.

Community Access Group services are provided to individual participants or to groups of individuals. Community Access Group services are provided to groups of individuals, with a staff to individual ratio of one to two or more. The staff to individual ratio for Community Access Group services cannot exceed one (1) to ten (10). Community Access Individual services are provided to an individual participant, with a one-to-one staff to participant ratio. Community Access Services Providers offer (or arrange when needed) any of the Community Access Services that are needed by the participants served and specified in the participants' Individual Service Plans.

The following Community Access Services are offered:

Community Access Group
Community Access Individual

ADDITIONAL SERVICE INFORMATION:

1. Service design is based on self-determination principles and evidenced based practices, which support individuals to express their choices and direct their services.
2. Service design and implementation encourage and build on existing social networks and natural sources of support and result in increased interdependence, contribution and inclusion in community life.
3. Services and planning meetings shall be scheduled to accommodate individual and family needs.
4. Provider shall collaborate with the Regional Office Intake and Evaluation and Planning List Administrators, and Support Coordination agencies in the development of the Individual Support Plan and implementation of the Support Intensity Scale for each person in service. Contractor's direct support staff will directly participate in both the ISP and the SIS.
5. Provider shall have the capacity (by staff expertise or through contract) to support individuals with complex behavioral and or medical needs.
6. Service design shall be outcome based with focus on self-determination principles and evidence based practices that continually support individuals towards responsible citizenship.
7. Providers rendering facility-based Community Access and other services (e.g., Prevocational Services and adult therapy services) can provide these services in the same facility; however, the services must be documented and billed separately, and any waiver participant receiving multiple services may not receive these services at the same time of the same day.

Community Guide

NOW & COMP Waiver

HIPAA Transaction Code	Code	Mod1	Mod2	Mod3	Mod4
Community Guide Self Directed	H2015	UC			
Community Guide Co-Employer	H2015	UA			

Definition of Service: Community Guide Services are direct assistance to participants in skills building and information in meeting participant-direction responsibilities. These services are available *only* for participants who choose the participant-direction option for service delivery. The participant, with the Support Coordinator, determines the amount of Community Guide Services, if any, and the specific services that the Community Guide will provide. The specific Community Guide Services for the participant are specified in the Individual Service Plan. Participants may elect to receive Community Guide Services, and when elected, participants choose their Community Guide.

Community Guide Services are individualized services designed to assist participants in meeting their responsibilities in the participant-direction option for service delivery. Community Guides provide information, direct assistance, and training to participants in support of participant direction. The intended outcome of these services is to improve the participant's knowledge and skills for participant direction.

Community Guides assist and train participants to build the skills required for participant direction, such as exploring and brokering available community resources, problem solving and decision-making, being an effective employer of support workers, developing and managing the individual budget, and record keeping. Information provided by the Community Guide helps the participant's understanding of provider qualifications, record keeping, and other participant-direction responsibilities.

The scope, intensity, and frequency of Community Guide Services may change over time, based on the needs of the participant.

ADDITIONAL SERVICE INFORMATION:

1. Community Guide Services are only for participants who opt for participant-direction.
2. The participant determines the amount of Community Guide Services, if any, and the specific services that the Community Guide will provide.
3. The specific Community Guide Services for the participant are specified in the Individual Service Plan.
4. Participants may elect to receive Community Guide Services, and when elected, participants choose their Community Guide.

5. The need for Community Guide Services must be related to the individual disability and tied to a specific goal in the Intake and Evaluation Team approved Individual Service Plan (ISP).

Community Residential Alternative Services

COMP Waiver

HIPAA Transaction Code	Code	Mod1	Mod2	Mod3	Mod4
Community Residential Alternative	T2033				

Definition of Service:

Community Residential Alternative (CRA) services are targeted for participants who require intense levels of support. These services are a range of interventions with a particular focus on training and support in one or more of the following areas: eating and drinking, toileting, personal grooming and health care, dressing, communication, interpersonal relationships, mobility, home management, and use of leisure time. CRA Services are individually planned and tailored to meet the specific needs of the participant and to accommodate fluctuations in his or her needs for various services.

CRA services include assistance with and/or training in activities of daily living, such as bathing, dressing, grooming, other personal hygiene, feeding, toileting, transferring, and other similar tasks. These services also include training and/or assistance in household care, such as meal preparation, clothes laundering, bed-making, housecleaning, simple home repair, yard care, and other similar tasks. CRA services consist of medically related services, such as basic first aid, arranging and transporting participants to medical appointments, assisting with therapeutic exercises, and assisting with or supervising self-administration of medication. These services also consist of implementing behavioral support plans designed for participants to reduce inappropriate and/or maladaptive behaviors and to acquire alternative adaptive skills and behaviors. CRA Services include transportation to all other waiver services specified in the Individual Service Plan and as needed to facilitate the individual's participation in personal shopping, recreation and other community activities.

Participants receive CRA services in small group settings of four or less, in host home/life sharing situations for adults 19 years and above, or foster home for participants under the age of 19 years through an approved foster home operating under a licensed Child Placing Agency. CRA Services may not be provided to persons living in their own or family homes.

Community Residential Alternative Services is provided to individuals who live in one of the following settings:

1. "Host Home" (Lifesharing). A home where an individual, who receives services, resides in an owner occupied home where the owner/family is funded to include the person with the disability into their household routines and provide training and supervision. This is an unlicensed setting for two adults (19 years or above) receiving community residential alternative services. For CRA services rendered in life sharing/host home settings to individuals under the age of 19 years, the provider agency must have a Child Placing Agencies license from the Office of Regulatory Services. These homes can only serve a maximum of two (2) individuals under the age of 19 years at a time and can only serve individuals receiving services through the COMP Waiver.
2. Community Living Arrangement (CLA). Agencies providing this community residential alternative

service must have a Community Living Arrangement License from the Office of Regulatory Services. If anyone in the home receives Medicaid Waiver funding no more than four people may reside in the home, unless granted an exception by the Office of DD.

3. Personal Care Home (PCH). Agencies providing this community residential alternative service must have a Personal Care Home Permit from the Office of Regulatory Services. If anyone in the home receives Medicaid Waiver funding no more than four people may reside in the home, unless granted an exception by the Office of DD.

The services provided, the frequency and intensity of services are specific to the individual receiving services as detailed in his/her Individual Services Plan (ISP).

ADDITIONAL SERVICE INFORMATION:

1. Service design and implementation encourage and build on existing social networks and natural sources of support and result in increased interdependence, contribution and inclusion in community life.
2. The selection of living environments shall include consideration of opportunities for community inclusion of persons receiving services, individual choice (including preference to be close to family) and distance from other homes (e.g. apartments, house) of persons receiving services to assure that persons with developmental disabilities are not grouped in a conspicuous manner.
3. Daily and weekly rhythms and routines shall be directly related to individual's needs, interests and preferences.
4. Service design shall be outcome based with focus on self-determination principles and evidence based practices that continually support individuals towards responsible citizenship.
5. Provider shall collaborate with the Regional Office Intake and Evaluation staff and Planning List Administration staff and Support Coordination agencies in the development of the Individual Support Plan and implementation of the Support Intensity Scale for each person in service. The Contractor's direct support staff will directly participate in both the ISP and the SIS.
6. The Provider *must* have Regional Office approval before moving individual(s) to a new address. Emergency relocation plans identified in the Individual Service Plans is acceptable as prior approval for moving to a new location in emergencies. Each individual Community Residential Alternative site must be individually enrolled.
7. Provider will adhere to Policy on Personal Spending and Protection of Funds for individuals receiving community residential alternative services. See Part IV.
8. Provider shall have the capacity (by staff expertise or through contract) to support individuals with complex behavioral and or medical needs.
9. A health exam is required for each individual in residential services on an annual basis. See Part I Section IV for the Annual Health Form to be used to document the annual health exam and maintained in the individual's record.

Community Living Support Services

NOW & COMP Waiver

HIPAA Transaction Code	Code	Mod1	Mod2 Self D	Mod3 CoEmp	Mod4
Community Living Support Services 15 Minutes	T2025	U5	UC	UA	
Community Living Supports Daily (COMP only)	T2025	U6	UC	UA	

Definition of Service: Participants can choose the self-direction OR co-employer options with CLS services.

Community Living Support (CLS) Services are individually tailored supports that assist with the acquisition, retention, or improvement in skills related to a participant's continued residence in his or her own or family home. Personal care/assistance may be a component part of CLS services but may not comprise the entirety of the services. CLS services are offered to participants who live in their own or family home.

CLS services include training and assistance with activities of daily living (ADLs), such as bathing, dressing, toileting, and transferring, and with instrumental activities of daily living (IADLs), such as personal hygiene, light housework, laundry, meal preparation, transportation, grocery shopping, using the telephone, and medication and money management. These services include transportation to facilitate the individual's participation in grocery or personal shopping, banking, and other community activities that support continued residence of the participant in his or her own or family home. CLS services may include medically related services, such as basic first aid, arranging and transporting participants to medically appointments, accompanying participants on medical appointments, documenting a participant's food and/or liquid intake or output, reminding participants to take medication, and assisting with or supervising self-administration of medication.

Personal care/assistance may be a component part of CLS services but may not be the only service provided to a participant. The amount of personal care/assistance is specific to the individual needs of the participant, as determined by the Supports Intensity Scale, the Health Risk Screening Tool, and other participant-centered assessment data. The individual amount of personal care/assistance provided the participant is specified in the Individual Service Plan.

A personal assistance retainer is a component of Community Living Support Services. This retainer allows continued payment to personal caregivers under the waiver for the following: (1) up to seven (7) days from

the date of each admission to a general hospital or nursing facility, including ICF/MR and skilled nursing facilities; and (2) up to thirty (30) days per year for other absences of the participant from his or her home, such as vacations and family/relative visits.

CLS services are only for participants who live in their own or family home. The types and intensity of services provided are specific to the individual participant and detailed in his or her Individual Service Plan.

ADDITIONAL SERVICE INFORMATION:

1. Service design and implementation encourage and build on existing social networks and natural sources of support and result in increased interdependence, contribution and inclusion in community life.
2. Daily and weekly rhythms and routines shall be directly related to individual's needs, interests and preferences.
3. Service design shall be outcome based with focus on self-determination principles and evidence based practices that continually support individuals towards responsible citizenship.
4. Provider shall collaborate with the Regional Office Intake and Evaluation and Planning List Administration staff and Support Coordination agencies in the development of the Individual Support Plan and implementation of the Support Intensity Scale for each person in service. Provider's direct support staff will directly participate in both the ISP and the SIS.
5. Provider shall have the capacity (by staff expertise or through contract) to support individuals with complex behavioral and or medical needs.
6. **Personal Assistance Retainer Documentation:** Providers, except for providers of participant-directed services, must document the following in the record of each participant for whom a personal assistance retainer is a component of Community Living Support Services: (1) Beginning and end date of absence, (2) Reason for absence, (3) Scheduled days and units per day for Community Living Support Services as specified in the ISP.
7. Provider agencies must have a Private Home Care Provider License from the Office of Regulatory Services if providing covered services as required by DCH/HFR.

Financial Support Services

NOW & COMP Waiver

HIPAA Transaction Code	Code	Mod1	Mod2	Mod3	Mod4
Financial Support Services	T2040	UC			

Definition of Service:

Financial Support Services (FSS) are designed to perform fiscal and related finance functions for the participant or representative who elects the participant-direction option for service delivery and supports. FSS assure that the funds to provide services and supports, outlined in the Individual Service Plan (ISP) and to be implemented through a self-directed approach are managed and distributed as intended.

Additional Service Information:

1. Financial Support Services are provided by a Fiscal Intermediary Agency (FIA) established as a legally recognized entity in the United States, qualified and registered to do business in the state of Georgia, and approved as a Medicaid provider by the Department of Community Health (DCH.).
2. Financial Support Services are mandatory and integral to participant-direction through a fiscal intermediary.
3. Financial Support Services are not available to individuals who choose the Co-Employer model for self-directed services and supports.
4. Financial Support Services are provided by agencies that do not provide any other Medicaid services in Georgia.

Individual Directed Goods and Services

NOW Waiver

HIPAA Transaction Code	Code	Mod1	Mod2 Self D	Mod3	Mod4
Individual Directed Goods and Services (NOW only)	T2025	U7	UC		

Definition of Service:

Individual Directed Goods and Services are goods and services not otherwise provided through the NOW or the Medicaid State Plan but are identified by the waiver participant/representative who opts for participant direction and the Support Coordinator or interdisciplinary team. These services are available *only* for participants who choose the participant-direction option for service delivery. Individual Directed Goods and Services must be clearly linked to an assessed need of the individual participant due to his or her disability and be documented in the participant's Individual Service Plan.

Individual Directed Goods and Services are purchased from the participant-directed budget and cover services that include improving and maintaining the participant's opportunities for full membership in the community. Goods and services purchased under this coverage may not circumvent other restrictions on NOW services, including the prohibition against claiming for the costs of room and board. Individual Directed Goods and Services must be authorized by the operating agency prior to service delivery.

The Individual Directed Goods and Services must:

Decrease the need for other Medicaid services; AND

Not be available through another source, including the participant not having the funds to purchase the item or service; AND

Promote inclusion in the community; OR

Increase the participant's safety in the home environment.

The participant/representative must submit a request to the Support Coordinator for the goods or service to be purchased that includes the supplier/vendor name and identifying information and the cost of the service/goods. A paid invoice or receipt that provides clear evidence of the purchase must be on file in the participant's records to support all goods and services purchased. Authorization for these services requires Support Coordinator documentation that specifies how the Individual Directed Goods and Services meet the above-specified criteria for these services. Participants receiving flexible support coordination are required to follow these same procedures.

ADDITIONAL SERVICE INFORMATION:

1. Individual Directed Goods and Services are provided by vendors with the applicable Georgia business license as required by the local, city or county government in which the services are provided.

Supported Employment NOW & COMP Waiver

HIPAA Transaction Code	Code	Mod1	Mod2 Self D	Mod3 CoEmp	Mod4
Supported Employment Individual	T2019	UB	UC	UA	
Supported Employment Group	T2019	HQ	UC	UA	

Definition of Service: Participants can choose the self-direction or co-employer options with Supported Employment Services.

Supported Employment services are ongoing supports that enable participants, for whom competitive employment at or above the minimum wage is unlikely absent the provision of supports, and who, because of their disabilities, need supports, to perform in a regular work setting. The scope and intensity of Supported Employment supports may change over time, based on the needs of the participant. Supported Employment services are conducted in a variety of settings, particularly work sites where persons without disabilities are employed.

Participants who receive Supported Employment services must require long-term, direct or indirect job-related support in job supervision, adapting equipment, adapting behaviors, transportation assistance, peer support, and/or personal care assistance during the work day. Supported Employment services consist of activities needed to obtain and sustain paid work by participants, including job location, job development, supervision, training, and services and supports that assist participants in achieving self-employment through the operation of a business, including helping the participant identify potential business opportunities, assisting in the development of a business plan, identifying the supports that are necessary for the participant to operate a business, and ongoing assistance, counseling and guidance once the business has been launched. These services do not include the supervisory activities rendered as a normal part of the business setting.

The planned outcomes of these services are to increase the hours worked by each participant toward the goal of forty hours per week and to increase the wages of each participant toward the goal of increased financial independence. Supported Employment services are based on the individual participant's needs, preferences, and informed choice. These services allow for flexibility in the amount of support a participant receives over time and as needed in various work sites.

Supported Employment Group services are provided to groups of participants, with a staff to participant ratio of one to two or more. The staff to participant ratio for Supported Employment Group services cannot exceed one (1) to ten (10). Supported Employment Individual services are provided to an individual participant, with a one-to-one staff to participant ratio.

ADDITIONAL SERVICE INFORMATION:

1. Supported Employment may be provided in individual or group settings. When contracts or Memorandums of Agreement require providers to report the types of settings in which Supported Employment has occurred, providers will report those settings using the following categories:

Community Based Employment Services – Individual
Community Based Employment Services – Group

2. Service design is based on self-determination principles and evidenced based practices, which support individuals to express their choices and direct their services.
3. Provider supports persons receiving services to experience meaningful days by assuring that activities are directly related to the individual's interests and preferences as documented in the ISP.
4. Service design and implementation encourage and build on existing social networks and natural sources of support and result in increased interdependence, contribution and inclusion in community life.
5. Provider shall assure that individuals (and/or their families, as appropriate) have accurate and individualized information regarding the impact and value of employment and wages on benefits.
6. Service shall be aimed at increased opportunities for meaningful adult career development with focus towards paid employment.
7. Services and planning meetings shall be scheduled to accommodate individual and family needs.
8. Provider shall collaborate with the Regional Office Intake and Evaluation and Planning List Administrators, and Support Coordination agencies in the development of the Individual Support Plan and implementation of the Support Intensity Scale for each person in service. Contractor's direct support staff will directly participate in both the ISP and the SIS.
9. The SIS will contribute to, but not determine exclusively, the nature of the employment goals identified in the ISP as they shall always be primarily identified through person-centered planning and discovery.
10. Provider shall have the capacity (by staff expertise or through contract) to support individuals with complex behavioral and or medical needs.
11. Service design shall be outcome based with focus on self-determination principles and evidence based practices that continually support individuals towards responsible citizenship.
12. Group Supported Employment Services: a staff to participant ratio of one to two or more, not to exceed one (1) to ten (10).
13. Individual Supported Employment Services: a one-to-one staff to participant ratio.

Prevocational NOW & COMP Waiver

HIPAA Transaction Code	Code	Mod1	Mod2 Self D	Mod3 Co Emp	Mod4
Prevocational Services	T2015				

Definition of Service:

Prevocational Services prepare a participant for paid or unpaid employment. These services are for the participant not expected to be able to join the general work force within one year as documented in the Individual Service Plan. If compensated, individuals are paid in accordance with the requirements of Part 525 of the Fair Labor Standards Act.

Prevocational Services occur in facility-based settings or at community sites outside the facility for small groups of participants, called mobile crews, who travel from the facility to these community sites. Mobile crews receive Prevocational Services by performing tasks, such as cleaning or landscaping, at community sites other than the participant's home or family home or any residential setting.

The emphasis of Prevocational Services is directed to habilitative rather than explicit employment objectives. These services include teaching participants individual concepts necessary to perform effectively in a job in the community. Activities included in these services are directed at teaching concepts such as rule compliance, attendance, task completion, problem solving, endurance, work speed, work accuracy, increased attention span, motor skills, safety, and appropriate social skills.

The intended outcome of these services is to prepare the participant for paid or unpaid employment through increased skills. Prevocational Services are individually planned to meet the participant's needs for preparation for paid or unpaid employment. These services are provided either facility-based or at community sites other than the participant's home or family home or any other residential setting.

Prevocational Services are provided to groups of participants at a facility or to small groups of participants who travel to sites outside the facility, referred to as mobile crews. The staff to participant ratio for facility-based Prevocational Services cannot exceed one (1) to ten (10). The staff to participant ratio for Mobile Crew Prevocational Services cannot exceed one (1) to six (6).

ADDITIONAL SERVICE INFORMATION:

1. Service design is based on self-determination principles and evidenced based practices, which support individuals to express their choices and direct their services.
2. Service design and implementation encourage and build on existing social networks and natural sources of support and result in increased interdependence, contribution and inclusion in community life.
3. Provider shall assure that individuals (and/or their families, as appropriate) have accurate and individualized information regarding the impact and value of wages on benefits.
4. Service shall be aimed at increased opportunities for meaningful adult career development with focus towards paid employment.

5. Services and planning meetings shall be scheduled to accommodate individual and family needs.
6. Provider shall collaborate with the Regional Office Intake and Evaluation and Planning List Administrators, and Support Coordination agencies in the development of the Individual Support Plan and implementation of the Support Intensity Scale for each person in service. Contractor's direct support staff will directly participate in both the ISP and the SIS.
7. Provider shall have the capacity (by staff expertise or through contract) to support individuals with complex behavioral and or medical needs.
8. Service design shall be outcome based with focus on self-determination principles and evidence based practices that continually support individuals towards responsible citizenship.
9. Providers rendering facility-based Prevocational Services and other services (e.g., Community Access Services and adult therapy services) can provide these services in the same facility; however, the services must be documented and billed separately, and any waiver participant receiving multiple services may not receive these services at the same time of the same day.

Respite Services

NOW Waiver

HIPAA Transaction Code	Code	Mod1	Mod2	Mod3	Mod4
Respite Care Services 15 Minutes	S5150				
Respite Care Services Overnight	S5151				

Definition of Service:

Respite Services provide brief periods of support or relief for caregivers of individuals with disabilities. Respite is provided in the following situations:

When families or the usual caretakers are in need of additional support or relief;

When the participant needs relief or a break from the caretaker;

When a participant is experiencing a crisis and needs structured, short-term support;

When relief from care giving is necessitated by unavoidable circumstances, such as a family emergency.

Planned or scheduled respite, or Maintenance Respite, provides brief periods of support or relief for caregivers or participants. Respite Services might also be needed to respond to emergency situations. Emergency/Crises Respite is intended to be a short term service for a participant experiencing a crisis (usually behavioral) and requires a period of structured support, or when respite services are necessitated by unavoidable circumstances, such as a family emergency. Maintenance Respite and Emergency/Crises Respite may be provided In-Home (provider delivers service in participant's home) or Out-Of-Home (participant receives service outside of their home).

Respite Services may be provided in the participant's own or family home, or outside the participant's home in a private residence of a Respite Services provider (i.e., a home that is owned or rented by the provider or an employee of the provider) or in a licensed Personal Care Home. Respite Services include short-term services during a day or overnight services.

ADDITIONAL SERVICE INFORMATION:

1. Provider agencies that render in-home Respite Services must hold a Private Home Care license if providing services as required by DCH/HFR.
2. Provider agencies that render out-of-home Respite Services in a Personal Care Home must have a Personal Care Home license.
3. Respite Services in personal care homes can only be rendered in personal care homes in which *all* residents are adults with developmental disabilities.
4. Respite Services provided in Personal Care Homes serve no more than a total of four (4) individuals at a time.

5. DBHDD may grant an exception to the Personal Care Home capacity limit up to a capacity of a total of six (6) individuals.
6. Respite Services provided in the private residence of a provider serve no more than one (1) individual in the home at a time.
7. DBHDD may grant an exception of the private residence capacity limit up to two (2) individuals when serving *only* individuals under the age of 18.

Specialized Services

NOW & COMP Waiver

HIPAA Transaction Code	Code	Mod1 Self D	Mod2	Mod3	Mod4
Specialized Medical Supplies	T2028	UC			
Specialized Medical Equipment	T2029	UC			
Vehicle Adaptation	T2039	UC			
Environmental Accessibility Adaptation	S5165	UC			

Definition of Service: Specialized Medical Supplies (SMS) Services include various supplies which enable individuals to interact more independently with their environment thus enhancing their quality of life and reducing their dependence on physical support from others. SMS consist of food supplements, special clothing, diapers, bed wetting protective chucks, and other supplies that are specified in the Individual Service Plan and are not available under the Medicaid State Plan. Ancillary supplies necessary for the proper functioning of approved devices are also included in this service.

Specialized Medical Equipment (SME) Services include various devices, controls or appliances which are designed to enable individuals to interact more independently with their environment thus enhancing their quality of life and reducing their dependence on physical support from others. SME services also include assessment or training needed to assist participants with mobility, seating, bathing transferring, security or other skills such as operating a wheelchair, locks, door openers, or side lyers. These services additionally consist of customizing a device to meet a participant's needs.

Vehicle Adaptation Services include various adaptations and technical assistance to individually or family owned vehicles which are designed to enable individuals to interact more independently with their environment thus enhancing their quality of life and reducing their dependence on physical support from others. Vehicle Adaptations are limited to a participant's or his or her family's privately owned vehicle and include such things as a hydraulic lift, ramps, special seats and other interior modifications to allow for access into and out of the vehicle as well as safety while moving. The adapted or to be adapted vehicle must be the participant's primary means of transportation.

Environmental Accessibility Adaptation Services include adaptations and technical assistance to individually or family owned private residences which are designed to enable individuals to interact more independently with their environment thus enhancing their quality of life and reducing their dependence on physical support from others. These services include physical adaptations to the participant's or family's home which are necessary to ensure the health, welfare and safety of the individual, or enable the individual to function with greater independence in the home and without which, the participant would require institutionalization. Environmental Accessibility Adaptations consist of the installation of ramps and grab-bars, widening of doorways, modification of bathroom facilities, or installation of specialized electric and plumbing systems which are necessary to accommodate the medical equipment and supplies necessary for the welfare of the participant and are of direct medical or remedial benefit to the participant.

ADDITIONAL SERVICE INFORMATION:

1. Specialized Medical Supplies services must be documented to be the payer of last resource. The DME program prior approval process is used to determine medical necessity for medical supplies. The NOW and COMP do not cover items that have been denied through the DME and other programs for lack of medical necessity. Providers for Specialized Medical Supplies should refer to the Department of Community Health, Division of Medical Assistance, Part II, Policies and Procedures for Durable Medical Equipment, Part II, Policies and Procedures for Orthotics and Prosthetics and Part III, Hearing Services for additional information about coverage of these services.
2. Specialized Medical Equipment services must be documented to be the payer of last resource. The DME program prior approval process is used to determine medical necessity for medical equipment. The NOW and COMP do not cover items that have been denied through the DME and other programs for lack of medical necessity.
3. Participants may choose the self-direction option with Specialized Medical Equipment Services. Providers for Specialized Medical Equipment should refer to the Department of Community Health, Division of Medical Assistance, Part II, Policies and Procedures for Durable Medical Equipment, Part II, Policies and Procedures for Orthotics and Prosthetics and Part III, Hearing Services for additional information about coverage of these services.
4. Any item billed under Vehicle Adaptation Services must not be available under the State Medicaid plan. These services must also be documented to be the payer of last resource. The NOW and COMP do not cover items that have been denied through the DME and other programs for lack of medical necessity.
5. Any item billed under Environmental Accessibility Adaptation Services must not be available under the State Medicaid Plan. These services must also be documented to be the payer of last resource. The NOW and COMP do not cover items that have been denied through the DME and other programs for lack of medical necessity.

Natural Support Training Service

NOW Waiver

HIPAA Transaction Code	Code	Mod1	Mod2 Self D	Mod3	Mod4
Natural Support Training Service	T2025	UD	UC		

Definition of Service: Participants can choose the self-direction option with Natural Support Training Services.

Natural Support Training (NST) Services provide training and education to individuals who provide *unpaid* support, training, companionship or supervision to participants. For purposes of this service, individual is defined as any person, family member, neighbor, friend, companion, or co-worker who provides uncompensated care, training, guidance, companionship or support to a person served on the waiver. These services must relate to the individual participant's needs due to his or her disability and tie to a specific goal in the Individual Service Plan. All training for individuals who provide unpaid support to the participant provided through NST Services must be included in the participant's ISP.

NST Services include individualized training of families and members of the participants' natural support networks for the acquisition or enhancement of their ability to support the waiver participant. This training consists of instruction about treatment regimens and other services included in the ISP. NST Services comprise training on the use of equipment as specified in the ISP. These services may include updates in training required to maintain the participant safely at home. NST Services encompass the costs of registration and training fees associated with formal instruction in areas relevant to the participant's disability needs identified in the ISP. These services do not include the costs of travel, meals, and overnight lodging to attend a training event or conference.

NST Services are provided by Developmental Disability Professionals (see Provider Manual for definition). These services may be provided in a participant's own or family home, the Developmental Disability Professional's office, outpatient clinics, Supported Employment work sites, or other community settings specific to community-based Natural Support Training goals specified in the Individual Service Plan.

ADDITIONAL SERVICE INFORMATION:

1. NST Services must not duplicate any family education or training provided through Adult Physical Therapy Services, Adult Occupational Therapy Services, Adult Speech and Language Therapy Services, or Behavioral Supports Consultation Services.
2. NST Services may not occur simultaneously or on the same day as Adult Physical Therapy Services, Adult Occupational Therapy Services, Adult Speech and Language Therapy Services, or Behavioral Supports Consultation Services.

Therapy Services

NOW & COMP Waiver

HIPAA Transaction Code	Code	Mod1	Mod2 Self D	Mod3	Mod4
Adult Occupational Therapy	97003		UC		
	97530	GO	UC		
	97533	GO	UC		
Adult Physical Therapy	97001		UC		
	97110		UC		
Adult Speech and Language Therapy	92506		UC		
	92507	GN	UC		
	92609		UC		

Definition of Service: Participant can choose self-direction option with these therapies.

Adult Occupational Therapy Services are evaluation and therapeutic services that are not otherwise covered by Medicaid State Plan services. These services address the occupational therapy needs of the adult participant that result from his or her developmental disability. Adult Occupational Therapy Services include occupational therapy evaluation, participant/family education, occupational therapy activities to improve functional performance, and sensory integrative techniques to enhance sensory processing and promote adaptive responses to environmental demands. Adult Occupational Therapy Services are provided by a Georgia licensed occupational therapist and by order of a physician. These services may be provided in a participant's own or family home, the Occupational Therapist's office, outpatient clinics, facilities in which Community Access or Prevocational Services are provided, Supported Employment work sites, or other community settings specific to community-based therapy goals specified in the Individual Service Plan. Adult Occupational Therapy Services may not be provided to participants receiving Community Residential Alternative Services in the Comprehensive Supports Waiver.

Adult Physical Therapy Services are evaluation and therapeutic services that are not otherwise covered by Medicaid State Plan services. These services address the physical therapy needs of the adult participant that result from his or her developmental disability. Adult Physical Therapy Services include physical therapy evaluation, participant/family education, and therapeutic exercises to develop sitting and standing balance, strength and endurance, and range of motion and flexibility. Adult Physical Therapy Services also consist of muscle strengthening and endurance to facilitate transfers from wheelchairs and the use of other equipment. Adult Physical Therapy Services are provided by a Georgia licensed physical therapist and by order of a physician. These services may be provided in a participant's own or family home, the Physical Therapist's office, outpatient clinics, facilities in which Community Access or Prevocational Services are provided, Supported Employment work sites, or other community settings specific to community-based therapy goals specified in the Individual Service Plan. Adult Physical Therapy Services may not be provided to participants receiving Community Residential Alternative Services in the Comprehensive Supports Waiver.

Adult Speech and Language Therapy Services cover evaluation and therapeutic services that are not

otherwise covered by Medicaid State Plan services. These services address the speech and language therapy needs of the adult participant that result from his or her developmental disability. Adult Speech and Language Therapy Services include the evaluation of speech language, voice, and language communication, auditory processing, and/or aural rehabilitation status. Adult Speech and Language Therapy Services also consist of participant/family education, speech language therapy, and therapeutic services for the use of speech-generating devices, including programming and modification. Adult Speech and Language Therapy Services are provided by a Georgia licensed speech and language pathologist and by order of a physician. These services may be provided in a participant's own or family home, the Speech and Language Pathologist's office, outpatient clinics, facilities in which Community Access or Prevocational Services are provided, Supported Employment work sites, or other community settings specific to community-based therapy goals specified in the Individual Service Plan. Adult Speech and Language Therapy Services may not be provided to participants receiving Community Residential Alternative Services in the Comprehensive Supports Waiver.

ADDITIONAL SERVICE INFORMATION:

1. Services must be provided by a Georgia licensed individual in the specific therapy discipline.
2. Provider agencies must have available a sufficient number of employees or professionals under contract that are Georgia licensed individuals in the specific therapy discipline.

Support Coordination

NOW & COMP Waiver

HIPAA Transaction Code	Code	Mod1	Mod2	Mod3	Mod4
Support Coordination	T2022				

Definition of Service:

Support Coordination services are a set of interrelated activities for identifying, coordinating, and reviewing the delivery of appropriate services for participants. Support Coordination services include the following:

- Assessment and Periodic Reassessment
- Development and Periodic Revision of the Individual Service Plan
- Referral and Related Activities
- Monitoring and Follow-up Activities

Support Coordination services assist participants in coordinating all services, whether Medicaid reimbursed services or services provided by other funding sources. These services include completing the Individual Service Plan (ISP) document and any revisions, and monitoring the implementation of the ISP and the health and welfare of participants. The frequency of Support Coordination services is based on the individual needs of the participant and as required to address any identified health and safety risks or service provider issues.

Support Coordination services are provided by agencies that employ a sufficient number of Support Coordinators to meet the Support Coordination services needs of participants served by the agency. Support Coordinators assure the completion of the written ISP document and any revisions. Support Coordinators are also responsible for monitoring the implementation of the ISP, the health and welfare of participants, and the quality and outcome of services. Monitoring includes direct observation, review of documents, and follow up to ensure that services plans have the intended effect and that approaches to address challenging behaviors, medical and health needs, and skill acquisition are coordinated in their approach and anticipated outcome. Support Coordinators are also responsible for the ongoing evaluation of the satisfaction of participants and their families with the ISP and its implementation. Support Coordinators assist participants and their families or representatives in making informed decisions about the participant-direction option and assist those who opt for participant-direction with enrollment in this option.

ADDITIONAL SERVICE INFORMATION:

1. Support Coordination is provided by Support Coordination Agencies only.
2. Provider agencies rendering Support Coordination services must:

- Have at minimum five (5) years experience in providing case management services for individuals with MR/DD, and demonstrate success in supporting individuals in community inclusion and person centered planning;
- Have established working relationships with local advocacy groups, experience advocating for individuals in the community, and preparing individuals for self advocacy;
- Have experience and demonstrated success with person centered outcome based planning, and developing plans based on the individual's choices and support needs identified in the Supports Intensity Scale;
- Have experience with measuring quality of services and satisfaction with services, ensuring that the services that are provided are consistent with quality measures and expectations of the individual;
- Demonstrate experience in serving diverse cultural and socioeconomic populations.

Transportation Services

NOW & COMP Waiver

HIPAA Transaction Code	Code	Mod1	Mod2	Mod3	Mod4
Transportation – Trip	T2003				
Transportation – Trip – Self Directed	T 2003	UC			
Transportation – Trip – Co-Employer	T 2003	UA			
Transportation Commercial Carrier, Multi Pass	T 2004				
Transportation Commercial Carrier, Multi Pass Self Directed	T 2004	UC			

Definition of Service: Participants may choose the participant-direction or co-employer options with Transportation Services.

Transportation Services enable waiver participants to access non-medical services, activities, resources, and organizations typically utilized by the general population. These services are only provided as independent, stand-alone waiver services when transportation is not otherwise included as an element of another waiver service. Transportation services are not intended to replace available formal or informal transit options for participants. Whenever possible, family, neighbors, friends or community agencies, which can provide this service, without charge, are to be utilized. The need for Transportation Services and the unavailability of other resources for transportation must be documented in the Individual Service Plan (ISP).

Transportation Services provide transportation for the participant to waiver services and other community services, activities, resources, and organizations typically utilized by the general population. These services include:

One-way or round trips provided by Georgia licensed drivers and/or DD Service Agencies; and

Transit by commercial carrier available to the community at large.

Transportation Services must not be available under the Medicaid Non-Emergency Transportation Program, State Plan, Individual with Disabilities Education Act (IDEA), or the Rehabilitation Act. These services do not include transit provided through Medicaid non-emergency transportation. Transportation Services are not available to transport an individual to school (through 12th grade). These services do not include transportation that is included as an element of another waiver service as follows:

- Community Living Support Services
- Prevocational Services
- Supported Employment Group Services
- Community Access Group or Individual Services, which entail activities and settings primarily utilized by people with disabilities, such as transportation to and from a Mental Retardation Service

Center or other day center.

Transportation Services are only for participants who do not have formal or informal transit options available. The type and amount of Transportation Services provided are specific to the individual participant and detailed in his or her Individual Service Plan.

ADDITIONAL SERVICE INFORMATION:

1. Individual Providers rendering Transportation Services must hold a valid Class C license as defined by the Georgia Department of Driver Services (or any allowable other state license per Department of Community Health, Division of Medical Assistance policy).
2. DD Service Provider Agency driver staff providing Transportation Services must hold the class of license appropriate to the vehicle operated as defined by the Georgia Department of Driver Services (or any allowable other state license per Department of Community Health, Division of Medical Assistance policy).

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Part I

Eligibility, Service Definitions and Requirements

SECTION III

***DD Intake Screening and
Annual Health Forms***

For

Developmental Disability Services

Fiscal Year 2011



**Georgia Department of Behavioral Health &
Developmental Disabilities**

July 2010

Georgia DHR Division of MHDDAD Developmental Disabilities Intake Screening Summary

- ☐ Initial Family Supports Screening: Date: / /
- ☐ Initial Intake and Evaluation Screening: Date: / /

I. Personal and Demographic Information

Name:			
	* First	* Middle	* Last
Address:			
	* Street/Apartment number (if applicable)	* City	
			() -
	* County	* State	* Zip code * Telephone:
* Marital Status:	* Gender:	* Race:	* Ethnicity (Hispanic/Latino Origin)
<input type="checkbox"/> S <input type="checkbox"/> M <input type="checkbox"/> D <input type="checkbox"/> W	<input type="checkbox"/> M <input type="checkbox"/> F	Select One...	Select One...
* Birth date: / /	* SSN#: - -	* Medicaid #:	
MHID#:		* Primary Diagnosis:	Select One...
Supporting Documentation Included:	<input type="checkbox"/> Yes <input type="checkbox"/> No	Secondary Diagnosis:	
Legal Status:	<input type="checkbox"/> Minor <input type="checkbox"/> Competent	<input type="checkbox"/> Legally Incompetent (Documentation Required)	
Legal Guardian: (if applicable)		Relationship to Consumer:	
Address:		Telephone #:	() -

* Primary Contact for Correspondence:			* Relationship to Consumer:		
* Address:			* Telephone:	() -	
Next of Kin:			Relationship to Consumer:		
Address:			Telephone #:	() -	
*Date of Contacts	*Contact Successful (Person Spoke With)	*No Answer	*Left Message	*Date of Appointment:	*Location of Appointment
/ /		Select One...	Select One...	/ /	
/ /		Select One...	Select One...	/ /	
/ /		Select One...	Select One...	/ /	
Appointment	Select One...		Individuals Present	<input type="checkbox"/> Applicant <input type="checkbox"/> Legal Guardian <input type="checkbox"/> Family <input type="checkbox"/> Other:	

**Georgia DHR Division of MHDDAD Developmental Disabilities
Intake Screening Summary**

<i>* Sensory Impairments:</i>	<i>* English Proficiency</i>
Select One...	Select One...

II. Services currently receiving:

<i>Generic</i>	<input type="checkbox"/> Early Intervention	<input type="checkbox"/> Source	<input type="checkbox"/> CCSP	<input type="checkbox"/> School	<input type="checkbox"/> Other (specify)
<i>GIA</i>	<input type="checkbox"/> Family Support (specify)	<input type="checkbox"/> Day Services (specify)	<input type="checkbox"/> Residential (specify)	<input type="checkbox"/> Other (specify)	
<i>Waiver</i>	<input type="checkbox"/> MRWP (specify)				
	<input type="checkbox"/> CHSS (specify)				
Comments:					

III. Programs & Placements

<i>* Prior Placement (Check all that apply)</i>			
<input type="checkbox"/> Own Home	<input type="checkbox"/> Homeless	<input type="checkbox"/> Other Service/Program Option	<input type="checkbox"/> SWSH
<input type="checkbox"/> Gracewood	<input type="checkbox"/> Group Home	<input type="checkbox"/> Surrogate Home	<input type="checkbox"/> GRH-Atlanta
<input type="checkbox"/> Bainbridge (historical)	<input type="checkbox"/> Out of State	<input type="checkbox"/> DFCS Custody	<input type="checkbox"/> West Central Regional
<input type="checkbox"/> Rome Regional	<input type="checkbox"/> Brook Run (historical)	<input type="checkbox"/> Nursing Home	<input type="checkbox"/> Incarcerated
<input type="checkbox"/> Central State	<input type="checkbox"/> GRH-Savannah	<input type="checkbox"/> Rivers Crossing (historical)	<input type="checkbox"/> Other

IV. * Provided Information on (Check all that were provided):

State Resources	Advocacy Groups / Other Resources	
<input type="checkbox"/> Voc Rehab	<input type="checkbox"/> Unlock the Waiting List	<input type="checkbox"/> Local Community contacts
<input type="checkbox"/> Division of Aging	<input type="checkbox"/> Family Connections	<input type="checkbox"/> Respite Provider
<input type="checkbox"/> DFCS	<input type="checkbox"/> Parent to Parent	<input type="checkbox"/> Division of Aging
<input type="checkbox"/> Family Support Provider	<input type="checkbox"/> Emory Autism Center	<input type="checkbox"/> Support Coordination
<input type="checkbox"/> CMS	<input type="checkbox"/> SOURCE	<input type="checkbox"/> United Way
<input type="checkbox"/> Who to contact for PL changes (Regional Office)	<input type="checkbox"/> Marcus Institute	
	<input type="checkbox"/> Other	
Comments:		

Georgia DHR Division of MHDDAD Developmental Disabilities
Intake Screening Summary

DOCUMENTATION OF NEED FOR SERVICES

Immediate Need (person needs service immediately):

- ☐ Death of the caregiver with no other supports (i.e., other family) available.
- ☐ Caregiver incapacitated with no other supports (i.e., other family) available (due to physical or psychological reasons).
- ☐ Caregiver unable or unwilling to continue providing care (Person dropped off; caregiver not found).
- ☐ Current placement poses an immediate danger to health and/or safety of the individual or others.
- ☐ Other family crisis with no caregiver support available.
Specify: _____

Short Term Need (person needs services within 6 months): Y/N

Level 1 Short Term Need (1 – 5)

- ☐ 1. There has been a death or other family crisis in the family, significantly jeopardizing the capacity of the caregiver to provide care.
- ☐ 2. Caregiver is ill and will soon be unable to continue providing care .
- ☐ 3. Person has behavioral issues posing potential serious bodily harm to self or others or behavior is likely to come to the attention of law enforcement.
- ☐ 4. Individual's health or behavioral needs have increased and needs cannot be met by current caregivers. Without additional support health and/or safety are jeopardized.

Level 2 Short Term Need (6 - 11)

- ☐ 5. Caregiver is ill and will soon be unable to continue to provide care.
- ☐ 6. Person has a caregiver(s) who would be unable to work if services are not provided.
Person is losing eligibility for DFCS support within the next 6 month
- ☐ 7. Person is scheduled to leave jail, prison, DJJ or MHDDAD Forensic services in the next 6 months and does not have an adequate natural support system.
- ☐ 8. Caregiver has diminished capacity to meet needs.
- ☐ 9. Behavioral issues are moderate to severe but do not currently pose a danger to self or others.
- ☐ 10. Person is "aging out" of DFCS residential placement within 6 months and does not have an adequate support system.

Level 3 Short Term Need (12 - 15)

- ☐ 11. Inappropriate placement, awaiting proper placement (can manage for a short term).
- ☐ 12. Person has an aging caregiver (age 60+) who will soon not be able to continue providing care.
- ☐ 13. Person has exited special education or will exit within next 6 months and needs day/employment services
- ☐ 14. Circumstances of person or caregiver demonstrate clear need for alternative living arrangements within 6 months. Specify:

Georgia DHR Division of MHDDAD Developmental Disabilities Intake Screening Summary

Planning for Long Term need (person needs services 6 months or more in the future)

- ☐ Person is eligible, is not currently in need of services, but will need service if something happens to the caregiver
- ☐ Known need for service more than a year away.
Specify: _____
Enter date (/ /)
- ☐ Person is "aging out" of DFCS residential placement 6 months to 3 years in the future
Enter date (/ /)
- ☐ Person is leaving jail, prison, or other criminal justice setting 6 months or more in the future and will need services when he/she returns to the community.
Enter date (/ /)

V. * Screening Recommendations for Services

Services Needed – Long Term				
<input type="checkbox"/> Residential	<input type="checkbox"/> Day Program	<input type="checkbox"/> Supported Employment	<input type="checkbox"/> Personal Supports	
<input type="checkbox"/> Respite	<input type="checkbox"/> Day Hab	<input type="checkbox"/> NSE	<input type="checkbox"/> Self Directed NSE	<input type="checkbox"/> Family Supports
<input type="checkbox"/> Other (specify):				

Services Needed – Short Term				
<input type="checkbox"/> Residential	<input type="checkbox"/> Day Program	<input type="checkbox"/> Supported Employment	<input type="checkbox"/> Personal Supports	
<input type="checkbox"/> Respite	<input type="checkbox"/> Day Hab	<input type="checkbox"/> NSE	<input type="checkbox"/> Self Directed NSE	<input type="checkbox"/> Family Supports
<input type="checkbox"/> Other (specify):				
* Eligibility:	* Services:	* More information Needed to determine eligibility:		
Select One...	Select One...	Select One...		

VI. Service Recommendations

* Recommendation/Comments:

	/ /
Staff Completing the Screening (Include Name, Credentials, Position, Title)	Date of Screening

Georgia DHR Division of MHDDAD Developmental Disabilities
Intake Screening Summary

VII. * Regional I&E Office Preliminary Determination

<i>Services Needed – Long Term</i>				
<input type="checkbox"/> Residential	<input type="checkbox"/> Day Program	<input type="checkbox"/> Supported Employment	<input type="checkbox"/> Personal Supports	
<input type="checkbox"/> Respite	<input type="checkbox"/> Day Hab	<input type="checkbox"/> NSE	<input type="checkbox"/> Self Directed NSE	<input type="checkbox"/> Family Supports
<input type="checkbox"/> Other (specify):				

<i>Services Needed – Short Term</i>				
<input type="checkbox"/> Residential	<input type="checkbox"/> Day Program	<input type="checkbox"/> Supported Employment	<input type="checkbox"/> Personal Supports	
<input type="checkbox"/> Respite	<input type="checkbox"/> Day Hab	<input type="checkbox"/> NSE	<input type="checkbox"/> Self Directed NSE	<input type="checkbox"/> Family Supports
<input type="checkbox"/> Other (specify):				

* Eligibility:	* Services:	* More information Needed to determine eligibility:
Select One...	Select One...	Select One...

* Recommendations/Comments:

	/ /
<i>Regional I&E Signature</i>	<i>Date of Determination</i>

Georgia DHR Division of MHDDAD Developmental Disabilities
Intake Screening Summary

VIII. Clinical Information

* Reason for Referral:	
<p><i>Document changes in support needs/living situation/health/etc. that contributed to the request for services at this time (include current daily activities), as well as services to be considered:</i></p>	

* Communication:				
<input type="checkbox"/> No Impairment noted	<input type="checkbox"/> Single Words or Gestures	<input type="checkbox"/> Unable to communicate verbally	<input type="checkbox"/> American Sign Language	<input type="checkbox"/> Utilizes Language Technology
* Referral Source (Check all that apply):				
<input type="checkbox"/> Self	<input type="checkbox"/> DFCS	<input type="checkbox"/> Clergy	<input type="checkbox"/> Physician	<input type="checkbox"/> General Hospital
<input type="checkbox"/> Family	<input type="checkbox"/> State Hospital	<input type="checkbox"/> Criminal Court	<input type="checkbox"/> School	<input type="checkbox"/> Law Enforcement
<input type="checkbox"/> Juvenile Justice	<input type="checkbox"/> Access/Crisis Line	<input type="checkbox"/> Support Coordinator	<input type="checkbox"/> Service Provider	<input type="checkbox"/> Regional Office
Contact Person:		Telephone #:	() -	

* Special Population (Check all that apply):				
<input type="checkbox"/> Vision Impairment	<input type="checkbox"/> Veteran	<input type="checkbox"/> HIV +	<input type="checkbox"/> Hearing Impairment	<input type="checkbox"/> SSI/Disabled
<input type="checkbox"/> Pregnant	<input type="checkbox"/> IV Drug User	<input type="checkbox"/> None/Not Reported		
* Has the individual previously received MH/AD Brief/Stabilization Services?		<input type="checkbox"/> Yes		<input type="checkbox"/> No
		Date of Last Contact: / Month/Year		

* Payor/Funding Source (Check all that apply)			
<input type="checkbox"/> Medicaid	<input type="checkbox"/> Medicare	<input type="checkbox"/> Peachcare	<input type="checkbox"/> Champus
<input type="checkbox"/> DJJ	<input type="checkbox"/> DFCS	<input type="checkbox"/> State Contracted Svcs	<input type="checkbox"/> Medicaid Waiver
<input type="checkbox"/> Self Pay	<input type="checkbox"/> Private Insurance If Private, please specify:		

Sources of Information:		
<input type="checkbox"/> Applicant	<input type="checkbox"/> Residential Staff	<input type="checkbox"/> Chart/Records
<input type="checkbox"/> Day Support Staff	<input type="checkbox"/> Support Coordinator	<input type="checkbox"/> Family/Legal Guardian

Georgia DHR Division of MHDDAD Developmental Disabilities
Intake Screening Summary

IX. Financial Status

<i>Current Expenses:</i>		<i>May require help with:</i>		<i>Assisted by</i>	
Select One...		<input type="checkbox"/> Purchases		Select One...	
		<input type="checkbox"/> Budgeting			
		<input type="checkbox"/> Bills			
<i>House Hold Income (Monthly Gross)</i>			<i>Number of Individuals in Household</i>		

X. Educational History

<i>Education Status:</i>				
Select One...				
<i>Check All Completed or Current:</i>				
<input type="checkbox"/> Elementary	<input type="checkbox"/> Middle/Jr. High	<input type="checkbox"/> High School	<input type="checkbox"/> Pursuing GED	<input type="checkbox"/> College
<input type="checkbox"/> Special Education # of years:				
<input type="checkbox"/> * Number of years of Education Completed:				
<input type="checkbox"/> Other (specify):				

XI. Family/Residential/Social/Recreational Supports

<i>Significant life events (within past 2 years) which impact current physical and mental status:</i>		
<i>Current Natural Support System/Community Involvement:</i>		
<i>Check all that apply</i>		<i>Frequency of Contact/Describe</i>
Family <input type="checkbox"/> Not applicable	<input type="checkbox"/> Mother	
	<input type="checkbox"/> Father	
	<input type="checkbox"/> Grandparents	
	<input type="checkbox"/> Siblings	
	<input type="checkbox"/> Other	
Community Involvement: <input type="checkbox"/> Not applicable	<input type="checkbox"/> Church	
	<input type="checkbox"/> Social Clubs	
	<input type="checkbox"/> Sports	
	<input type="checkbox"/> Other:	

Georgia DHR Division of MHDDAD Developmental Disabilities Intake Screening Summary

Describe individual's current living situation (include family makeup/involvement/home environment):

Select One...

XII. Functional Abilities/Activities of Daily Living

Rate (using this number system) current functional ability to accomplish the following daily living activities/skills and provide details below:

1: Total Assistance Needed

2: Assistance by more than one person

3: Assistance with one person

4: Needs Assistive/Adaptive Equipment

5: Performs with Verbal Prompts

6: Independent

Rate	Task	Rate	Task	Rate	Task	Rate	Task	Rate	Task
	Eating		Dressing		Bathing		Toileting		Grooming
	Walking		Transfer		Meal Prep		Housekeeping		Money Management
	Nutritional Habits		Shopping		Health Monitoring		Medication Administration & Management		Laundry
	Mobility		Travel						

Description of Skills

XIII. Developmental History & Milestones

Prenatal History and noted Developmental Delays: (include at what age, loss/improvement of skills etc.)

Milestones

Approximate Age Individual when:	Sat unassisted		Crawled		Walked	
	Talked		Toilet Trained			

Georgia DHR Division of MHDDAD Developmental Disabilities
Intake Screening Summary

XIV. Behavioral Assessment

<i>Check all that apply</i>		<i>Frequency/Describe</i>			
<i>Self Injurious Behaviors</i> <input type="checkbox"/> Not applicable	<input type="checkbox"/> Biting				
	<input type="checkbox"/> Scratching				
	<input type="checkbox"/> Head banging				
	<input type="checkbox"/> Other:				
<i>Aggressive Behaviors</i> <input type="checkbox"/> Not applicable	<input type="checkbox"/> Physical towards others				
	<input type="checkbox"/> Verbal				
	<input type="checkbox"/> Sexual				
<i>Touching Behaviors</i> <input type="checkbox"/> Not applicable	<input type="checkbox"/> Inappropriate Greetings				
	<input type="checkbox"/> Hugging				
	<input type="checkbox"/> Kissing				
<i>Inappropriate Behaviors</i> <input type="checkbox"/> Not applicable	<input type="checkbox"/> Self-stimulation	<input type="checkbox"/> Towards Others	<input type="checkbox"/> Displays in Public	<input type="checkbox"/> Other	
<i>Other Behaviors & Symptoms</i> <input type="checkbox"/> Not applicable	<input type="checkbox"/> Hypersomnia	<input type="checkbox"/> Insomnia	<input type="checkbox"/> Weight Loss	<input type="checkbox"/> Reclusive	
	<input type="checkbox"/> Destructive	<input type="checkbox"/> Hoarding	<input type="checkbox"/> Excessive Complaints	<input type="checkbox"/> Anxious	
	<input type="checkbox"/> Angry	<input type="checkbox"/> Bladder Incontinence	<input type="checkbox"/> Uncooperative	<input type="checkbox"/> Refuses Medications	
	<input type="checkbox"/> Irritable	<input type="checkbox"/> Bowel Incontinence	<input type="checkbox"/> Stealing	<input type="checkbox"/> Requires Restraints	
	<input type="checkbox"/> Confused	<input type="checkbox"/> Suspicious	<input type="checkbox"/> Restless	<input type="checkbox"/> Wandering	
	Ideations:	Plan:	Attempts	# of Times:	
	<input type="checkbox"/> Suicidal	Means:	<input type="checkbox"/> Suicide	Method:	
	<input type="checkbox"/> Homicidal		<input type="checkbox"/> Homicidal		
* Type of Substances Used	* Employment Status	Reason not in work force		Non-Competitive Work	
Select One...	Select One...	Select One...		Select One...	
Additional Information: (include any psychiatric symptoms/history noted)					

Georgia DHR Division of MHDDAD Developmental Disabilities
Intake Screening Summary

XV. Legal Status

* Legal Status (Check one)	<input type="checkbox"/> Voluntary		<input type="checkbox"/> Involuntary	
Legal Custody (Check all that apply)	<input type="checkbox"/> DFCS Custody		<input type="checkbox"/> Other Court-Appointed Guardian	
Legal Involvement (Check all that apply)	<input type="checkbox"/> DFCS	<input type="checkbox"/> Juvenile Justice	<input type="checkbox"/> Treatment Court (MH/AD)	<input type="checkbox"/> Probate Court
	<input type="checkbox"/> Jail/Law Enforcement	<input type="checkbox"/> Adult Criminal Court	<input type="checkbox"/> Adult Probation	<input type="checkbox"/> Parole
Agency Requiring Consumer to Obtain Services (Check all that apply)	<input type="checkbox"/> DFCS	<input type="checkbox"/> Juvenile Justice	<input type="checkbox"/> Treatment Court (MH/AD)	<input type="checkbox"/> Probate Court
	<input type="checkbox"/> Jail/Law Enforcement	<input type="checkbox"/> Adult Criminal Court	<input type="checkbox"/> Adult Probation	<input type="checkbox"/> Parole
* Justice System Involvement	Has consumer been involved with criminal/juvenile justice system in the past year? (Includes arrests, probation, parole, commitments, adjudications, diversions, or awaiting sentencing) <input type="checkbox"/> Yes <input type="checkbox"/> No			
* Arrests	Number of arrests, regardless of nature of offense or outcome, in the past 30 days.			

	/ /
Staff Completing the Screening (Include Name, Credentials, Position, Title)	Date of Screening

ANNUAL HEALTH EXAMINATION

PART I: To be completed by the provider agency prior to the physician visit

Full Name		Preferred Name		Gender
Address		City	County	Zip
Telephones	Home	Work/Day	Other	
Age	DOB	Race/Ethnicity	Marital Status	
Religious Preference		Legal Status: Guardian		

Contacts/Next of Kin (if minor or adjudicated, parent or legal guardian)

Name	Relationship	Legal Guardian Y N
Address		
Telephones	Home	Work Cell

Allergies (if none specify NKA)

Type of Allergy	Specific Allergy
Medication	
Food	
Insect Bites/Stings	
Other Allergies	

Current Medication Summary: List all medications currently ordered for the person.

Medication Name	Dosage/Route/Frequency	Purpose of Medication	Ordered By	Original Date Ordered	Specific Concerns

Illness/ Surgery/Hospitalization

Date

Illness/surgery/Hospitalization

Date

Chronic and ongoing medical issues, including how it affects the person's life.

Description of the issue or concern causing the physician visit including how it is affecting the person. Bring tracking documents if applicable, such as vital signs, frequent use of PRN medications, etc.

Additional information that might be pertinent to the issue, concern or that would be helpful to know about the person

Part I completed by _____ Date _____

+++++

Part II: To be completed by Physician, Physician’s Assistant, MD completing annual health exam

SUMMARY OF FINDINGS

TREATMENTS ORDERED

MEDICATIONS ORDERED

INSTRUCTIONS/PRECAUTIONS/LIMITATIONS

FOLLOW-UP REQUIRED INCLUDING RETURN VISIT

ADDITIONAL COMMENTS.

Date_____

Health Care Staff Signature_____
(MD, Physician's Assistant, Nurse Practitioner)**PART III: Agency Review of Annual Health Exam. Describe follow-up within provider agency.**

Date_____

Staff Signature/Title_____

Part I

Eligibility, Service Definitions and Requirements

SECTION IV

***Consumer Eligibility, Service
Definition and Service
Guidelines***

For

Other Specialty Services

Fiscal Year 2011



**Georgia Department of Behavioral Health
& Developmental Disabilities**

July 2010

Treatment Court Services

Definition of Service: Treatment Courts are specialized judicial forums designed to facilitate treatment for first-time, non-violent offenders with addictive diseases and/or mental illness. Treatment Courts combine intense judicial supervision, comprehensive substance abuse and/or mental health treatment, random and frequent drug testing, incentives and sanctions, clinical case management and ancillary services. A variety of different services are available through treatment courts:

- Treatment Courts – Screening, Outreach & Crisis Services
- Treatment Courts – Outpatient Services
- Treatment Courts – Day & Employment Services
- Treatment Courts – Residential Services

Please refer to the service definitions following for details.

Treatment Courts: Screening, Crisis & Outreach Services (Mental Health & Addictive Diseases)

Definition of Service: The intent of these services is to assess the needs of individuals served, development service plan, refer to appropriate services, and address crisis situations as needed. These services may include: initial screening, diagnostic evaluation, outreach referral and/or crisis intervention.

Target Population:	Adults with mental health and/or substance abuse issues who are directed to services through treatment courts.
Expected Benefit:	Reduction of symptoms and improvement in quality of life resulting in decreased or no involvement with the criminal justice system.
UAS: Budget and Expense Categories	115 – Adult Mental Health 715 – Adult Addictive Diseases

Additional Service Information:

1. Providers who deliver screening, crisis and outreach services under Treatment Court contracts should report expenses for those services using the appropriate UAS budget codes listed above, not the 100 or 700 budget codes.
2. Screening, crisis and outreach services provided under Treatment Court contracts should be reported to MHMRIS using only the subunits listed above and no other subunits.
3. A provider may report screening, crisis and outreach expenses and services using budget codes and subunits other than those listed above only for services that are not provided under Treatment Court contracts.

Treatment Courts: Outpatient Services (Mental Health & Addictive Diseases)

Definition of Service: These services shall be provided as needed to individuals receiving services through treatment courts and may include: individual, group and family counseling, ambulatory detoxification, community support services, physician and nursing assessment to address the issues that led to involvement in the criminal justice system.

Target Population:	Adults with mental health and/or substance abuse issues who are directed to services through treatment courts.
Expected Benefit:	Reduction of symptoms and improvement in quality of life resulting in decreased or no involvement with the criminal justice system.
UAS: Budget and Expense Categories	115 – Adult Mental Health 715 – Adult Addictive Diseases

Additional Service Information:

1. Providers who deliver outpatient services under Treatment Court contracts should report expenses for those services using the appropriate UAS budget codes listed above, not the 100 or 700 budget codes.
2. Outpatient services provided under Treatment Court contracts should be reported to MHMRIS using only the subunits listed above and no other subunits.
3. A provider may report outpatient expenses and services using budget codes and subunits other than those listed above only for services that are not provided under Treatment Court contracts.

Treatment Courts: Day & Employment Services (Mental Health & Addictive Diseases)

Definition of Service: These services are intended for individuals with more severe issues and may include the following services: substance abuse day treatment, peer support, psychosocial rehabilitation services and community-based employment services.

Target Population:	Adults with mental health and/or substance abuse issues who are directed to services through treatment courts.
Expected Benefit:	Reduction of symptoms and improvement in quality of life resulting in decreased or no involvement with the criminal justice system.
UAS: Budget and Expense Categories	115 – Adult Mental Health 715 – Adult Addictive Diseases

Additional Service Information:

1. Providers who deliver day and employment services under Treatment Court contracts should report expenses for those services using the appropriate UAS budget codes listed above, not the 100 or 700 budget codes.
2. Day and employment services provided under Treatment Court contracts should be reported to UAS using only the categories above.

3. A provider may report day and employment expenses and services using budget codes and subunits other than those listed above only for services that are not provided under Treatment Court contracts.

<p style="text-align: center;">Treatment Courts: Residential Services (Mental Health & Addictive Diseases)</p>
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<p>Definition of Service: These services shall be provided to individuals served by treatment courts and may include a wide variety of residential treatment options based on the needs of the individual served.</p>
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Target Population:	Adults with mental health and/or substance abuse issues who are directed to services through treatment courts.
Expected Benefit:	Reduction of symptoms and improvement in quality of life resulting in decreased or no involvement with the criminal justice system.
UAS: Budget and Expense Categories	115 – Adult Mental Health 715 – Adult Addictive Diseases

Additional Service Information:

1. Providers who deliver residential services under Treatment Court contracts should report expenses for those services using the appropriate UAS budget codes listed above, not the 100 or 700 budget codes.
2. Residential services provided under Treatment Court contracts should be reported to MHRIS using only the subunits listed above and no other subunits.
3. A provider may report residential expenses and services using budget codes and subunits other than those listed above only for services that are not provided under Treatment Court contracts.

Ready For Work: Outpatient Services							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
See Item E.2. Below							
<p>Definition of Service: Ready for Work Intensive Outpatient Services will provide comprehensive gender specific treatment for addiction, beginning with ASAM level II.5 (at least 20 hours/week) that includes: substance abuse treatment, group and individual therapy, outreach, parenting, family involvement, recovery group attendance, psycho education, pharmacotherapy, relapse prevention, trauma groups, and ongoing treatment and aftercare. All components of gender specific treatment should be included. This program is designed for those who meet the TANF needy family definition in order to promote employment, parenting and other life skills. Limited slots are available for Non-TANF individual's who meet the most in need criteria or core customer definition and would benefit from gender specific services.</p> <p>The services that the Ready for Work Intensive Outpatient Package will include are as follows:</p> <ol style="list-style-type: none"> 1. Behavioral Health Assessment 2. Nursing Assessment 3. Psychiatric Treatment 4. Diagnostic Assessment 5. Consumer Support Services 6. Individual Counseling 7. Group Counseling (including psycho-educational groups focusing, relapse prevention and recovery) 8. Family Counseling/Psycho-Educational Groups for Family Members <p>RFW Providers that are eligible to bill Medicaid for services provided in an outpatient program may bill for the unbundled services listed in the package, up to the daily maximum amount for each service. Although not all services provided in outpatient services are Medicaid billable, the program expectations for services are clearly defined in the Ready For Work Manual.</p> <p>A consumer may have variable length of stay. The level of care should be determined as a result of consumers' multiple assessments. It is recommended that individuals attend at a frequency appropriate to their level of need. Ongoing clinical assessment should be conducted to determine step down in level of care and/or addition of other ancillary services.</p> <p>In addition to the MHDDAD Provider Manual guidelines, all RFW Providers must adhere to the Ready for Work Program Manual.</p>							
Target Population		Adult women who are diagnosed with substance abuse disorders who may or may not be receiving TANF cash assistance, a child welfare case, or have children in their custody					

Benefit Information	Available to all ongoing core customers, requires a MICP New Episode Request or Update request (to add as a single service to an existing authorization)
Utilization Criteria	<u>Available to those with LOCUS Scores:</u> 2: Low Intensity Community Based Services 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential (transition)
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner).
Unit Value	See Item E.2.
Initial Authorization	180 days
Re-Authorization	180 days
Maximum Daily Units	See Item E.2.
Authorization Period	180 days
UAS: Budget and Expense Categories	Adult Addictive Diseases: SAPT BG: 620 TANF: 621 State Funds: 622
Admission Criteria	<ol style="list-style-type: none"> 1. A DSM IV diagnosis of Substance Abuse or Dependence or substance-related disorder with a co-occurring DSM IV diagnosis of mental illness 2. Substance abuse is a barrier to employability 3. The individual would benefit from participating in a women's program to process gender specific issues associated with addiction and recovery <p>TANF Criteria:</p> <ol style="list-style-type: none"> 1. Consumer must meet the DFCS definition for "Needy Family". To meet this definition the individuals must meet one of three non-financial criteria and one financial requirement <ol style="list-style-type: none"> a. Current TANF Recipients- Individuals with active TANF cash assistance cases b. Former TANF Recipients- Individuals whose TANF assistance with terminated within the previous twelve months due to employment c. Families at Risk- Individuals with active DFCS child protective cases 2. Financial Criteria. The limit for the RFW program is set at 235% of the Federal Poverty Level for individuals who are not eligible for TANF cash assistance. <p>Non-TANF Criteria: Consumers determined to be Non-TANF and not eligible for services in the above criteria but do meet the core customer definition may be served with limited service slots funded with SAPTBG Federal funds. A consumer is determined Non-TANF if:</p> <ol style="list-style-type: none"> 1. A woman pregnant for the first time 2. A woman who has lost parental custody of her children, i.e. is not

	<p>working on reunification</p> <p>3. A woman who is not associated with DFCS (TANF or CPS), meets core customer definition and would benefit from gender specific treatment</p> <p>Prioritization Criteria for Eligible Recipients</p> <ol style="list-style-type: none"> 1. Pregnant women will be given priority status for admission to this program. If no slots are available for this program, preference must be given to admitting her to another appropriate program, even if out of catchment area. If a provider is unable to admit a pregnant consumer, provider must place her on a waiting list and within 48 hours pregnant consumer must be in a program. 2. High priority is given to women who meet the Needy Family Definition. <p>Preference is to be given to those women who are in a condition to benefit most from the services and opportunities provided by this program.</p>
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. The individual's condition continues to meet the admission criteria. 2. Progress notes document progress in reducing use and abuse of substances; developing social networks and lifestyle changes; increasing educational, vocational, social and interpersonal skills; understanding addictive disease; and/or establishing a commitment to a recovery and maintenance program, but the overall goals of the treatment plan have not been met. 3. There is a reasonable expectation that the individual can achieve the goals in the necessary time frame.
Discharge Criteria	<p>An adequate continuing care or discharge plan is established and linkages are in place; and one or more of the following:</p> <ol style="list-style-type: none"> 1. Goals of the treatment plan have been substantially met; or 2. Consumer recognizes the severity of her drug/alcohol usage and is beginning to apply the skills necessary to maintain recovery by accessing appropriate community supports 3. If a consumer is involved with DFCS or another referring agency a discharge staffing should be completed in collaboration both RFW and other referring organization. 4. Receiving recommended prenatal care if pregnant 5. Deliver a drug free baby if pregnant 6. If consumer is staffed to be discharged before clinically appropriate, a clinical staffing must be completed and provide the following information: documented reason for early discharge, and an aftercare plan. <p>Transfer to a higher level of service is warranted if:</p> <ol style="list-style-type: none"> 1. Individual's condition or nonparticipation; or 2. The individual refuses to submit or has positive random drug screens; or 3. Consumer exhibits symptoms of acute intoxication and/or

	<p>withdrawal or</p> <ol style="list-style-type: none"> The individual requires services not available at this level or Consumer has consistently failed to achieve essential treatment objectives despite revisions to the treatment plan and advice concerning the consequences of continues alcohol/drug use to such an extent that no further process is likely to occur
Service Exclusions	Services cannot be offered with Mental Health Intensive Outpatient Package, Psychosocial Rehabilitation, or other Residential treatment service.
Clinical Exclusions	<ol style="list-style-type: none"> If an individual is actively suicidal or homicidal Women should have no cognitive and/or intellectual impairments which will prevent them from participating in and benefiting from the recommended level of care Detoxification and inpatient needs must be met prior to admission to the program (alternative provider and/or community resources should be used to serve women with acute treatment needs) Women must be medically stable to treat on an outpatient basis

A. Required Components

- This service must be licensed by DCH/HFR under the Rules and Regulations for Drug Abuse Treatment Programs, 290-4-2.
- Ready For Work Intensive Outpatient Services must have at least 3 levels of care. II.5 (20 hrs/week), II.1 (10 or more hrs), and Level I (9 or less hours). Hours of operation should be accommodating for consumers who work (i.e. evening/weekend hours)
- Evidence based practices are to be utilized. These may include Motivational Interviewing/Enhancement, stage-based interventions, refusal skill development, Cognitive Behavioral Therapy, Matrix model, TREM. Relapse prevention planning and techniques, and others as appropriate to the individual and issues to be addressed. Practitioners providing this service are expected to maintain knowledge and skills regarding current research trends in best/evidence based practices.
- The program provides structured treatment or therapeutic services, utilizing activity schedules as part of its operational method, i.e., plans or schedules of days or times of day for certain activities. The program should also utilize group and/or individual counseling and/or therapy.
- The program utilizes methods, materials, settings, and outside resources appropriate to the developmental and cognitive levels, capabilities, age, and gender of participants.
- The program utilizes methods, materials, approaches, activities, settings, and outside resources appropriate for and targeted to individuals with co-occurring disorders of mental illness and substance abuse and targeted to individuals with co-occurring developmental disabilities and substance abuse when such individuals are referred to the program.
- The program conducts random drug screening and uses the results of these tests for marking consumers' progress toward goals and for service planning.
- This service must operate at an established site approved to bill Medicaid for services. However, limited individual or group activities may take place off-site in natural community settings as is appropriate to each individual's treatment plan.

- a. Narcotics Anonymous (NA) and/or Alcoholics Anonymous (AA) meetings offsite may be considered part of these limited individual or group activities for billing purposes only when time limited and only when the purpose of the activity is introduction of the participating individual to available NA and/or AA services, groups or sponsors. NA and AA meetings occurring during the SA Intensive Outpatient package may not be counted toward the billable hours for any individual outpatient services, nor may billing related to these meetings be counted beyond the basic introduction of an individual to the NA/AA experience.
9. RFW services may operate in the same building as other services; however, there must be a distinct separation between services in staffing, program description, and physical space during the hours the RFW Intensive Outpatient Services is in operation.
10. Adequate space, equipment, furnishings, supplies, and other resources must be provided in order to effectively provide services and so that the program environment is clean and in good repair. Space, equipment, furnishings, supplies, transportation, and other resources for participating individuals' use within the Substance Abuse Intensive Outpatient package must not be substantially different from that provided for other uses for similar numbers of individuals.

B. Staffing Requirements

1. The program must be under the clinical supervision of a **Level 4 or above** who is onsite a minimum of 50% of the hours the service is in operation.
2. Services must be provided by staff who are:
 - a. Level 4 (LAPC, LMSW, CACII, CADC, CCADC and Addiction Counselor Trainee with supervision)
 - b. Level 5 (Paraprofessionals, high school graduates) under the supervision of an Level 4 or above
3. Programs must have documentation that there is one Level 4 staff that is "co-occurring capable." This person's knowledge must go beyond basic understanding and must demonstrate actual staff capabilities in using that knowledge for individuals with co-occurring disorders. Personnel documentation should demonstrate that this staff person has received a minimum of 5 hours/year of training in co-occurring treatment. Effective January 1, 2010, programs must have documentation that there is at least 1 level 4 staff (excluding an Addiction Counselor Trainee) that is "co-occurring capable."
4. There must be at least a Level 4 on-site at all times the service is in operation, regardless of the number of individuals participating.
5. The maximum face-to-face ratio cannot be more than 12 individuals to 1 direct program staff based on average daily attendance of individuals in the program.
6. A physician and/or a Registered Nurse or a Licensed Practical Nurse with appropriate supervision must be available to the program either by a physician and/or nurse employed by the agency, through a contract with a licensed practitioner, or by written referral or affiliation agreement with another agency or agencies that offer such services.
 - a. The physician is responsible for addiction and psychiatric consultation, assessment, and care (including but not limited to ordering medications and/or laboratory testing) as needed. The nurse is responsible for nursing assessments, health screening, medication administration, health education, and other nursing duties as needed.

7. Level 4 staff may be shared with other programs as long as they are available as required for supervision and clinical operations and as long as their time is appropriately allocated to staffing ratios for each program.

C. Clinical Operations

1. It is expected that the transition planning for less intensive service will begin at the onset of RFW services. Documentation must demonstrate this planning.
2. Consumers receiving RFW Outpatient services must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis.
3. Each consumer should participate in setting individualized goals for themselves and in assessing their own skills and resources related to sobriety, use/abuse, and maintaining recovery. Goals are set by exploring strengths and needs in the consumer's living, learning, social, and working environments. Implementation of services may take place individually or in groups.
4. As mentioned above RFW Outpatient Services must have different phases of treatment for consumers. These levels are to be assessed regularly and highly individualized. In the beginning phase of treatment, the consumers are to receive intensive substance abuse treatment and when clinically appropriate receive less substance abuse services and more wrap around services. Primary work or work related activities should be implemented in to treatment no later than 90 days from admission. Services to include documentation of an assessment of work skills, abilities, and all work activities taking place, and if clinically appropriate the initiation of work activities. If not clinically appropriate for a consumer to engage in work related activities, it must be documented.

The following services must be included in the Ready For Work Outpatient Program, many of these activities are reimbursable through Medicaid. RFW Services are required to have a multitude of wrap around services, see RFW Provider manual for a description.

The activities include but are not limited to:

- a. **Group Outpatient Services:**
 - i. Psycho-educational activities focusing on the disease of addiction prevention, the health consequences of addiction, and recovery
 - ii. Therapeutic group treatment and counseling
 - iii. Parenting groups
 - iv. Trauma group
 - v. Linkage to natural supports and self-help opportunities
- b. **Individual Outpatient Services**
 - i. Individual counseling
 - ii. Individualized treatment, service, and recovery planning
- c. **Family Outpatient Services**
 - i. Family education and engagement
 - ii. Nurturing parenting
- d. **Community Support Individual**
 - i. Vocational readiness and support
 - ii. Service coordination unless provided through another service provider
 - iii. Life skills training (i.e. education on healthy eating habits, hygiene)

- iv. Continuing Care: Providers need to have at least 7 contacts per month one of which must be a face-to-face interaction with a consumer (If CSI is billed as a discrete service it must meet that guideline's additional requirements)
 - v. Linkage to health care
 - e. **Behavioral Health Assessment & Service Plan Development and Diagnostic Assessment**
 - i. Assessment and reassessment
 - ii. Service Plan Development
 - f. **Services not covered by Medicaid**
 - i. Drug screening/toxicology examinations
 - ii. Transportation
 - iii. Work Activities
5. In addition to the above required activities within the program, the following must be offered as needed either within the program or through referral to/or affiliation with another agency or practitioner, and may be billed in addition to the billing for Substance Abuse Intensive Outpatient Package:
- a. Individual counseling in exceptional circumstances for traumatic stress and other mental illnesses for which special skills or licenses are required
 - b. Physician assessment and care
 - c. Psychological testing
 - d. Health screening
6. The program must have a Ready for Work Outpatient Services Organizational Plan addressing the following:
- a. The philosophical model of the program and the expected outcomes for program participants (i.e., harm reduction, abstinence, beginning of or maintaining individually defined recovery, employment readiness, relapse prevention, stabilization and treatment of those with co-occurring disorders).
 - b. The schedule of activities and hours of operations.
 - c. Staffing patterns for the program.
 - d. How assessments will be conducted.
 - e. How staff will be trained in the administration of addiction services and technologies.
 - f. How staff will be trained in the recognition and treatment of co-occurring disorders of mental illness and substance abuse pursuant to the Georgia Best Practices
 - g. How services for individuals with co-occurring disorders will be flexible and will include services and activities addressing both mental health and substance abuse issues of varying intensities and dosages based on the symptoms, presenting problems, functioning, and capabilities of such individuals.
 - h. How individuals with co-occurring disorders who cannot be served in the regular program activities will be provided and/or referred for time-limited special integrated services that are co-occurring enhanced as described in the Georgia Suggested Best Practices
 - i. How services will be coordinated with the substance abuse array of services including assuring or arranging for appropriate referrals and transitions.
 - j. How the requirements in these service guidelines will be met.

D. Service Access

The package is offered at least 5 hours per day at least 4 days per week with no more than 2 consecutive days between offered services, and distinguishes between those individuals needing between 9 and 20 hours per week of structured services per week (ASAM Level II.1) and those needing 20 hours or more of structured services per week (ASAM Level II.5 or III.1) in order to begin recovery and learn skills for recovery maintenance.

E. Additional Medicaid Requirements

1. Work activities referenced in Item C.4. may not be billed to the Medicaid authority via services identified in E.2. below.
2. RFW Outpatient providers that are Medicaid approved and serving Medicaid consumers shall utilize the RFW Intensive Outpatient Package. This allows providers to select all services that will be offered in a substance abuse outpatient setting. Billable services and daily limits within RFW Intensive Outpatient Package are as follows:

Package	Service Group	Maximum Authorization Units	Maximum Daily Units
RFW Intensive Outpatient	Behavioral Health Assessment & Service Plan Development	32	24
P0008	Diagnostic Assessment	4	2
	Psychiatric Treatment	12	1
	Nursing Assessment & Care	48	16
	Community Support Individual	600	48
	Individual Outpatient Services	36	1
	Group Outpatient Services	1170	20
	Family Outpatient Services	100	8

F. Billing/Reporting Requirements

1. All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.
2. Under the "Package," each service must meet the requirements of the Service Group in order for the service to be billed (refer to Part I, Section I of this manual)

G. Documentation Requirements

1. Provider must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.
2. Every admission and assessment must be documented.
3. Progress notes must include written daily documentation of important occurrences; level of functioning; acquisition of skills necessary for recovery; progress on goals identified in the IRP including acknowledgement of addiction, progress toward recovery and use/abuse reduction and/or abstinence; use of drug screening results by staff; and evaluation of service effectiveness. Clinicians are to sign and date each note.
4. Daily attendance of each individual participating in the program must be documented showing the number of units in attendance for billing purposes.

5. This service may be offered in conjunction with ACT or Crisis Residential Services for a limited time to transition consumers from one service to the more appropriate one. When this service is used in conjunction with ACT or Crisis Residential services, documentation must demonstrate careful planning to maximize the effectiveness of this service as well as an appropriate reduction in service amounts of the service to be discontinued. Utilization of Ready for Work Outpatient Services with these services is subject to review by the External Review Organization.

Ready For Work Independent Living Supports (SafePort, TANF A/P)							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
See Item E.2. Below							
<p>Definition of Service: Ready for Work Independent Living Support Services will provide comprehensive gender specific treatment for addiction, beginning with ASAM level II.5 (at least 20 hours/week) that includes: substance abuse treatment, group and individual therapy, outreach, parenting, family involvement, recovery group attendance, psycho education, pharmacotherapy, relapse prevention, trauma groups, and ongoing treatment and aftercare. All components of gender specific treatment should be included. This program is designed for those who meet the TANF needy family definition in order to promote employment, parenting and other life skills. Limited slots are available for Non-TANF individual's who meet the most in need criteria or core customer definition and would benefit from gender specific services. Independent Living Support Services must have safe and secure housing for consumers. This housing can be funded through another organization or state agency. Independent living services can utilize the Substance Abuse Intensive Outpatient Package.</p> <p>The services that the RFW Intensive Outpatient Package will include are as follows:</p> <ol style="list-style-type: none"> 1. Behavioral Health Assessment 2. Nursing Assessment 3. Psychiatric Treatment 4. Diagnostic Assessment 5. Consumer Support Individual Services 6. Individual Counseling 7. Group Counseling (including psycho-educational groups focusing, relapse prevention and recovery) 8. Family Counseling/Psycho-Educational Groups for Family Members <p>RFW Providers that are eligible to bill Medicaid for services provided in an outpatient program may bill for the unbundled services listed in the package, up to the daily maximum amount for each service. Although not all services provided in outpatient services are Medicaid billable, the program expectations for services are clearly defined in the Ready For Work Manual.</p> <p>A consumer may have variable length of stay. The level of care should be determined as a result of consumers' multiple assessments. It is recommended that individuals attend at a frequency appropriate to their level of need. Ongoing clinical assessment should be conducted to determine step down in level of care and/or addition of other ancillary services.</p> <p>In addition to the MHDDAD Provider Manual guidelines, all RFW Providers must adhere to the Ready for Work Program Manual.</p>							
Target Population		Adult women who are diagnosed with substance abuse disorders who may or may not be receiving TANF cash assistance, a child welfare case, or have children in their custody					

Benefit Information	Available to all ongoing core customers, requires a MICP New Episode Request or Update request (to add as a single service to an existing authorization)
Utilization Criteria	<u>Available to those with LOCUS Scores:</u> 3: High Intensity Community-Based Services 4: Medically Monitored Non-Residential (transition) 5: Medically Monitored Residential Services
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner).
Unit Value	See Item E.2.
Initial Authorization	180 days
Re-Authorization	180 days
Maximum Daily Units	See Item E.2.
Authorization Period	180 days
UAS: Budget and Expense Categories	See Item E.2. and <u>Adult Addictive Diseases:</u> 627, 626
Admission Criteria	<ol style="list-style-type: none"> 1. A DSM IV diagnosis of Substance Abuse or Dependence or substance-related disorder with a co-occurring DSM IV diagnosis of mental illness 2. Substance abuse is a barrier to employability 3. The individual would benefit from participating in a women's program to process gender specific issues associated with addiction and recovery <p>TANF Criteria:</p> <ol style="list-style-type: none"> 1. Consumer must meet the DFCS definition for "Needy Family". To meet this definition the individuals must meet one of three non-financial criteria and one financial requirement <ol style="list-style-type: none"> a. Current TANF Recipients- Individuals with active TANF cash assistance cases b. Former TANF Recipients- Individuals whose TANF assistance with terminated within the previous twelve months due to employment c. Families at Risk- Individuals with active DFCS child protective cases 2. Financial Criteria. The limit for the RFW program is set at 235% of the Federal Poverty Level for individuals who are not eligible for TANF cash assistance. <p>Non-TANF Criteria: Consumers determined to be Non-TANF and not eligible for services in the above criteria but do meet the core customer definition may be served with limited service slots funded with SAPTBG Federal funds. A consumer is determined Non-TANF if:</p> <ol style="list-style-type: none"> 1. A woman pregnant for the first time 2. A woman who has lost parental custody of her children, i.e. is not

	<p>working on reunification</p> <p>3. A woman who is not associated with DFCS (TANF or CPS), meets core customer definition and would benefit from gender specific treatment</p> <p>Prioritization Criteria for Eligible Recipients</p> <ol style="list-style-type: none"> 1. Pregnant women will be given priority status for admission to this program. If no slots are available for this program, preference must be given to admitting her to another appropriate program, even if out of catchment area. If a provider is unable to admit a pregnant consumer, provider must place her on a waiting list and within 48 hours pregnant consumer must be in a program. 2. High priority is given to women who meet the Needy Family Definition. <p>Preference is to be given to those women who are in a condition to benefit most from the services and opportunities provided by this program.</p>
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. The individual's condition continues to meet the admission criteria. 2. Progress notes document progress in reducing use and abuse of substances; developing social networks and lifestyle changes; increasing educational, vocational, social and interpersonal skills; understanding addictive disease; and/or establishing a commitment to a recovery and maintenance program, but the overall goals of the treatment plan have not been met. 3. There is a reasonable expectation that the individual can achieve the goals in the necessary time frame.
Discharge Criteria	<p>An adequate continuing care or discharge plan is established and linkages are in place; and one or more of the following:</p> <ol style="list-style-type: none"> 1. Goals of the treatment plan have been substantially met; or 2. Consumer recognizes the severity of her drug/alcohol usage and is beginning to apply the skills necessary to maintain recovery by accessing appropriate community supports 3. If a consumer is involved with DFCS or another referring agency a discharge staffing should be completed in collaboration both RFW and other referring organization. 4. Receiving recommended prenatal care if pregnant 5. Deliver a drug free baby if pregnant 6. If consumer is staffed to be discharged before clinically appropriate, a clinical staffing must be completed and provide the following information: documented reason for early discharge, and an aftercare plan. <p>Transfer to a higher level of service is warranted if:</p> <ol style="list-style-type: none"> 1. Individual's condition or nonparticipation; or 2. The individual refuses to submit or has positive random drug screens; or 3. Consumer exhibits symptoms of acute intoxication and/or

	<p>withdrawal or</p> <ol style="list-style-type: none"> The individual requires services not available at this level or Consumer has consistently failed to achieve essential treatment objectives despite revisions to the treatment plan and advice concerning the consequences of continues alcohol/drug use to such an extent that no further process is likely to occur
Service Exclusions	Services cannot be offered with Mental Health Intensive Outpatient Package, Psychosocial Rehabilitation or any Residential treatment service.
Clinical Exclusions	<ol style="list-style-type: none"> If an individual is actively suicidal or homicidal Women should have no cognitive and/or intellectual impairments which will prevent them from participating in and benefiting from the recommended level of care Detoxification and inpatient needs must be met prior to admission to the program (alternative provider and/or community resources should be used to serve women with acute treatment needs) Women must be medically stable.

A. Required Components

- This service must be licensed by DCH/HFR under the Rules and Regulations for Drug Abuse Treatment Programs, 290-4-2.
- RFW Independent Living Services are mandated to have safe and secure housing for consumers. This housing may be funded through other state agencies or organizations.
- Ready For Work Independent Living Services must have at least 3 levels of care. II.5 (20 hrs/week), II.1 (10 or more hrs), and Level I (9 or more hours). Hours of operation should be accommodating for consumers who work (i.e. evening/weekend hours)
- Evidence based practices are to be utilized. These may include Motivational Interviewing/Enhancement, stage-based interventions, refusal skill development, Cognitive Behavioral Therapy, Matrix model, TREM. Relapse prevention planning and techniques, and others as appropriate to the individual and issues to be addressed. Practitioners providing this service are expected to maintain knowledge and skills regarding current research trends in best/evidence based practices.
- The program provides structured treatment or therapeutic services, utilizing activity schedules as part of its operational method, i.e., plans or schedules of days or times of day for certain activities. The program should also utilize group and/or individual counseling and/or therapy.
- The program utilizes methods, materials, settings, and outside resources appropriate to the developmental and cognitive levels, capabilities, age, and gender of participants.
- The program utilizes methods, materials, approaches, activities, settings, and outside resources appropriate for and targeted to individuals with co-occurring disorders of mental illness and substance abuse and targeted to individuals with co-occurring developmental disabilities and substance abuse when such individuals are referred to the program.
- The program conducts random drug screening and uses the results of these tests for marking consumers' progress toward goals and for service planning.

9. This service must operate at an established site approved to bill Medicaid for services. However, limited individual or group activities may take place off-site in natural community settings as is appropriate to each individual's treatment plan.
 - a. Narcotics Anonymous (NA) and/or Alcoholics Anonymous (AA) meetings offsite may be considered part of these limited individual or group activities for billing purposes only when time limited and only when the purpose of the activity is introduction of the participating individual to available NA and/or AA services, groups or sponsors. NA and AA meetings occurring during the SA Intensive Outpatient package may not be counted toward the billable hours for any individual outpatient services, nor may billing related to these meetings be counted beyond the basic introduction of an individual to the NA/AA experience.
10. RFW services may operate in the same building as other services; however, there must be a distinct separation between services in staffing, program description, and physical space during the hours the RFW Independent Living Services is in operation.
11. Adequate space, equipment, furnishings, supplies, and other resources must be provided in order to effectively provide services and so that the program environment is clean and in good repair. Space, equipment, furnishings, supplies, transportation, and other resources for participating individuals' use within the Substance Abuse Intensive Outpatient package must not be substantially different from that provided for other uses for similar numbers of individuals.

B. Staffing Requirements

1. The program must be under the clinical supervision of a **Level 4 or above** who is onsite a minimum of 50% of the hours the service is in operation.
2. Services must be provided by staff who are:
3. Level 4 (LAPC, LMSW, CACII, CADC, CCADC and Addiction Counselor Trainee with supervision)
4. Level 5 (Paraprofessionals, high school graduates) under the supervision of an Level 4 or above
5. Programs must have documentation that there is one Level 4 staff that is "co-occurring capable." This person's knowledge must go beyond basic understanding and must demonstrate actual staff capabilities in using that knowledge for individuals with co-occurring disorders. Personnel documentation should demonstrate that this staff person has received a minimum of 4 hours of training in co-occurring treatment within the past 2 years. Effective January 1, 2010, programs must have documentation that there is at least 1 level 4 staff (excluding an Addiction Counselor Trainee) that is "co-occurring capable.
6. There must be at least a Level 4 on-site at all times the service is in operation, regardless of the number of individuals participating.
7. The maximum face-to-face ratio cannot be more than 12 individuals to 1 direct program staff based on average daily attendance of individuals in the program.
8. A physician and/or a Registered Nurse or a Licensed Practical Nurse with appropriate supervision must be available to the program either by a physician and/or nurse employed by the agency, through a contract with a licensed practitioner, or by written referral or affiliation agreement with another agency or agencies that offer such services.
9. The physician is responsible for addiction and psychiatric consultation, assessment, and care (including but not limited to ordering medications and/or laboratory testing) as

needed. The nurse is responsible for nursing assessments, health screening, medication administration, health education, and other nursing duties as needed.

10. Level 4 staff may be shared with other programs as long as they are available as required for supervision and clinical operations and as long as their time is appropriately allocated to staffing ratios for each program.

C. Clinical Operations

1. It is expected that the transition planning for less intensive service will begin at the onset of RFW services. Documentation must demonstrate this planning.
2. Consumers receiving RFW Independent Living Services (SA Intensive Outpatient Package) must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis.
3. Each consumer should participate in setting individualized goals for themselves and in assessing their own skills and resources related to sobriety, use/abuse, and maintaining recovery. Goals are set by exploring strengths and needs in the consumer's living, learning, social, and working environments. Implementation of services may take place individually or in groups.
4. As mentioned above, RFW Independent Living Services must have different phases of treatment for consumers. These levels are to be assessed regularly and highly individualized. In the beginning phase of treatment, the consumers are to receive intensive substance abuse treatment and when clinically appropriate receive less substance abuse services and more wrap around services. Primary work or work related activities should be implemented in to treatment no later than 90 days from admission. Services to include documentation of an assessment of work skills, abilities, and all work activities taking place, and if clinically appropriate the initiation of work activities. If not clinically appropriate for a consumer to engage in work related activities, it must be documented.

The following services must be included in the Ready For Work Independent Living Support Program., Many of these activities are reimbursable through Medicaid. RFW Services are required to have a multitude of wrap around services, see RFW Provider manual for a description.

The activities include but are not limited to:

a. Group Outpatient Services:

- i. Psycho-educational activities focusing on the disease of addiction prevention, the health consequences of addiction, and recovery
- ii. Therapeutic group treatment and counseling
- iii. Parenting groups
- iv. Trauma group
- v. Linkage to natural supports and self-help opportunities

b. Individual Outpatient Services

- i. Individual counseling
- ii. Individualized treatment, service, and recovery planning

c. Family Outpatient Services

- i. Family education and engagement

- ii. Nurturing parenting
 - d. **Community Support Individual**
 - i. Vocational readiness and support
 - ii. Service coordination unless provided through another service provider
 - iii. Life skills training (i.e. education on healthy eating habits, hygiene)
 - iv. Continuing Care: Providers need to have at least 7 contacts per month one of which must be a face-to-face interaction with a consumer (If CSI is billed as a discrete service it must meet that guideline's additional requirements)
 - v. Linkage to health care
 - e. **Behavioral Health Assessment & Service Plan Development and Diagnostic Assessment**
 - i. Assessment and reassessment
 - ii. Service Plan Development
 - f. **Services not covered by Medicaid**
 - i. Drug screening/toxicology examinations
 - ii. Transportation
 - iii. Work Activities
5. In addition to the above required activities within the program, the following must be offered as needed either within the program or through referral to/or affiliation with another agency or practitioner, and may be billed in addition to the billing for Substance Abuse Intensive Outpatient Package:
- a. Individual counseling in exceptional circumstances for traumatic stress and other mental illnesses for which special skills or licenses are required
 - b. Physician assessment and care
 - c. Psychological testing
 - d. Health screening
6. The program must have a Ready for Work Independent Living Supports Organizational Plan addressing the following:
- a. The philosophical model of the program and the expected outcomes for program participants (i.e., harm reduction, abstinence, beginning of or maintaining individually defined recovery, employment readiness, relapse prevention, stabilization and treatment of those with co-occurring disorders).
 - b. The schedule of activities and hours of operations.
 - c. Staffing patterns for the program.
 - d. How assessments will be conducted.
 - e. How staff will be trained in the administration of addiction services and technologies.
 - f. How staff will be trained in the recognition and treatment of co-occurring disorders of mental illness and substance abuse pursuant to the Georgia Best Practices
 - g. How services for individuals with co-occurring disorders will be flexible and will include services and activities addressing both mental health and substance abuse issues of varying intensities and dosages based on the symptoms, presenting problems, functioning, and capabilities of such individuals.
 - h. How individuals with co-occurring disorders who cannot be served in the regular program activities will be provided and/or referred for time-limited special

integrated services that are co-occurring enhanced as described in the Georgia Suggested Best Practices

- i. How services will be coordinated with the substance abuse array of services including assuring or arranging for appropriate referrals and transitions.
- j. How the requirements in these service guidelines will be met.

D. Service Access

The SA Intensive Outpatient package is offered at least 5 hours per day at least 4 days per week with no more than 2 consecutive days between offered services, and distinguishes between those individuals needing between 9 and 20 hours per week of structured services per week (ASAM Level II.1) and those needing 20 hours or more of structured services per week (ASAM Level II.5 or II.1) in order to begin recovery and learn skills for recovery maintenance.

E. Additional Medicaid Requirements

1. Work activities referenced in Item C.4. may not be billed to the Medicaid authority via services identified in E.2. below.
2. RFW Independent Living supports provided by an approved Medicaid provider for a Medicaid consumer shall utilize RFW Intensive Outpatient Package. This allows providers to select all services that will be offered in a substance abuse outpatient setting. Billable services and daily limits within RFW Intensive Outpatient Package are as follows:

Package	Service Group	Maximum Authorization Units	Maximum Daily Units
RFW Intensive Outpatient	Behavioral Health Assessment & Service Plan Development	32	24
P0008	Diagnostic Assessment	4	2
	Psychiatric Treatment	12	1
	Nursing Assessment & Care	48	16
	Community Support Individual	600	48
	Individual Outpatient Services	36	1
	Group Outpatient Services	1170	20
	Family Outpatient Services	100	8

F. Billing/Reporting Requirements

1. All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.
2. Under the "Package," each service must meet the requirements of the Service Group in order for the service to be billed (refer to Part I, Section I of this manual)

G. Documentation Requirements

1. Provider must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.
2. Every admission and assessment must be documented.
3. Progress notes must include written daily documentation of important occurrences; level of functioning; acquisition of skills necessary for recovery; progress on goals identified in the IRP including acknowledgement of addiction, progress toward recovery and use/abuse

reduction and/or abstinence; use of drug screening results by staff; and evaluation of service effectiveness. Clinicians are to sign and date each note.

4. Daily attendance of each individual participating in the program must be documented showing the number of units in attendance for billing purposes.
5. This service may be offered in conjunction with ACT or Crisis Residential Services for a limited time to transition consumers from one service to the more appropriate one. When this service is used in conjunction with ACT or Crisis Residential services, documentation must demonstrate careful planning to maximize the effectiveness of this service as well as an appropriate reduction in service amounts of the service to be discontinued. Utilization of Ready for Work Independent Services with these services is subject to review by the External Review Organization.

Ready For Work Residential Services							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
See Package Detail in Section F. below.							

Definition of Service: Ready for Work Residential Services will provide comprehensive gender specific treatment for addiction, beginning with ASAM level III.5 (at least 25 hours/week) through level I. Services include: substance abuse treatment, group and individual therapy, outreach, parenting, family involvement, recovery group attendance, psycho education, pharmacotherapy, relapse prevention, trauma groups, and ongoing treatment and aftercare. All components of gender specific treatment should be included. This program is designed for those who meet the TANF needy family definition in order to promote employment, parenting and other life skills. Therapeutic child care services are required for Residential programs. Limited slots are available for Non-TANF individual's who meet the most in need criteria or core customer definition and would benefit from gender specific services.

The services that the RFW Residential Package will include are as follows:

1. Structured Residential RFW/TANF
2. Beh Health Assmt & Serv Plan Dev
3. Diagnostic Assessment
4. Psychiatric Treatment
5. Nursing Assessment and Care
6. Medication Administration

A consumer may have variable length of stay. The level of care should be determined as a result of consumers' multiple assessments. It is recommended that individuals attend at a frequency appropriate to their level of need. Ongoing clinical assessment should be conducted to determine step down in level of care and/or addition of other ancillary services.

In addition to the MHDDAD Provider Manual guidelines, all RFW Providers must adhere to the Ready for Work Program Manual.

Target Population	Adult women who are diagnosed with substance abuse disorders who may or may not be receiving TANF cash assistance, a child welfare case, or have children in their custody
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Benefit Information	Available to all ongoing core customers, requires a MICP New Episode Request or Update request (to add as a single service to an existing authorization)
Utilization Criteria	<u>Available to those with LOCUS Scores:</u> 4: Medically Monitored Non-Residential 5: Medically Monitored Residential Services
Ordering Practitioner	Physician, Physician's Assistant, Advanced Practice Registered Nurse (Clinical Nurse Specialist or Nurse Practitioner).
Unit Value	1 day
Initial Authorization	180 days
Re-Authorization	180 days
Maximum Daily Units	1 unit
Authorization Period	180 days
UAS: Budget and Expense Categories	<u>Adult Addictive Diseases:</u> SAPT Block Grant: 624 TANF: 625 State-funded: 626
Admission Criteria	<ol style="list-style-type: none"> 1. A DSM IV diagnosis of Substance Abuse or Dependence or substance-related disorder with a co-occurring DSM IV-TR diagnosis of mental illness 2. Substance abuse is a barrier to employability 3. The individual would benefit from participating in a women's program to process gender specific issues associated with addiction and recovery <p>TANF Criteria:</p> <ol style="list-style-type: none"> 1. Consumer must meet the DFCS definition for "Needy Family". To meet this definition the individuals must meet one of three non-financial criteria and one financial requirement 2. Current TANF Recipients- Individuals with active TANF cash assistance cases 3. Former TANF Recipients- Individuals whose TANF assistance with terminated within the previous twelve months due to employment 4. Families at Risk- Individuals with active DFCS child protective cases 5. Financial Criteria. The limit for the RFW program is set at 235% of the Federal Poverty Level for individuals who are not eligible for TANF cash assistance. <p>Non-TANF Criteria:</p> <p>Consumers determined to be Non-TANF and not eligible for services in the above criteria but do meet the core customer definition may be served with limited service slots funded with SAPTBG Federal funds. A consumer is determined Non-TANF if:</p> <ol style="list-style-type: none"> 1. A woman pregnant for the first time 2. A woman who has lost parental custody of her children, (i.e. is not working on reunification)

	<p>3. A woman who is not associated with DFCS (TANF or CPS), meets core customer definition and would benefit from gender specific treatment</p> <p>Prioritization Criteria for Eligible Recipients</p> <ol style="list-style-type: none"> 1. Pregnant women will be given priority status for admission to this program. If no slots are available for this program, preference must be given to admitting her to another appropriate program, even if out of catchment area. If a provider is unable to admit a pregnant consumer, provider must place her on a waiting list and within 48 hours pregnant consumer must be in a program. 2. High priority is given to women who meet the Needy Family Definition. 3. Preference is to be given to those women who are in a condition to benefit most from the services and opportunities provided by this program.
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. The individual's condition continues to meet the admission criteria. 2. Progress notes document progress in reducing use and abuse of substances; developing social networks and lifestyle changes; increasing educational, vocational, social and interpersonal skills; understanding addictive disease; and/or establishing a commitment to a recovery and maintenance program, but the overall goals of the treatment plan have not been met. 3. There is a reasonable expectation that the individual can achieve the goals in the necessary time frame.
Discharge Criteria	<p>An adequate continuing care or discharge plan is established and linkages are in place; and one or more of the following:</p> <ol style="list-style-type: none"> 1. Goals of the treatment plan have been substantially met; or 2. Consumer recognizes the severity of her drug/alcohol usage and is beginning to apply the skills necessary to maintain recovery by accessing appropriate community supports 3. If a consumer is involved with DFCS or another referring agency a discharge staffing should be completed in collaboration both RFW and other referring organization. 4. Receiving recommended prenatal care if pregnant 5. Deliver a drug free baby if pregnant 6. If consumer is staffed to be discharged before clinically appropriate, a clinical staffing must be completed and provide the following information: documented reason for early discharge, and an aftercare plan. <p>Transfer to a higher level of service is warranted if:</p> <ol style="list-style-type: none"> 1. The individual refuses to submit or has positive random drug screens; or 2. Consumer exhibits symptoms of acute intoxication and/or withdrawal or

	<ol style="list-style-type: none"> 3. The individual requires services not available at this level or 4. Consumer has consistently failed to achieve essential treatment objectives despite revisions to the treatment plan and advice concerning the consequences of continues alcohol/drug use to such an extent that no further process is likely to occur
Service Exclusions	Services cannot be offered with Mental Health Intensive Outpatient Package, SA Intensive Outpatient Package, RFW Outpatient Package, Psychosocial Rehabilitation, or other residential treatment service .
Clinical Exclusions	<ol style="list-style-type: none"> 1. If an individual is actively suicidal or homicidal with a plan and intent 2. Women should have no cognitive and/or intellectual impairments which will prevent them from participating in and benefiting from the recommended level of care 3. Detoxification and inpatient needs must be met prior to admission to the program (alternative provider and/or community resources should be used to serve women with acute treatment needs) 4. Women must be medically stable in order to reside in a group living conditions and participate in treatment

Additional Service Criteria:

A. Required Components

1. This service must be licensed by DCH/HFR under the Rules and Regulations for Drug Abuse Treatment Programs, 290-4-2.
2. Ready For Work Residential Services must have at least 3 levels of care. III.5 (25 hrs/week), III.3 (10 to 20), and Level III.1 (5 or less hours). Hours of operation should be accommodating for consumers who work (i.e. evening/weekend hours)
3. Evidence based practices are to be utilized. These may include Motivational Interviewing/Enhancement, stage-based interventions, refusal skill development, Cognitive Behavioral Therapy, Matrix model, TREM. Relapse prevention planning and techniques, and others as appropriate to the individual and issues to be addressed. Practitioners providing this service are expected to maintain knowledge and skills regarding current research trends in best/evidence based practices.
4. The program provides structured treatment or therapeutic services, utilizing activity schedules as part of its operational method, i.e., plans or schedules of days or times of day for certain activities. The program should also utilize group and/or individual counseling and/or therapy.
5. Therapeutic Childcare Services are required for Ready For Work Residential Services. See the Ready For Work Manual for specific details of these services
6. The program utilizes methods, materials, settings, and outside resources appropriate to the developmental and cognitive levels, capabilities, age, and gender of participants.
7. The program utilizes methods, materials, approaches, activities, settings, and outside resources appropriate for and targeted to individuals with co-occurring disorders of mental illness and substance abuse and targeted to individuals with co-occurring developmental disabilities and substance abuse when such individuals are referred to the program.

8. The program conducts random drug screening and uses the results of these tests for marking consumers' progress toward goals and for service planning.
9. An adequate and safe living environment must be provided for dependent children age 13 and younger that includes therapeutic child care services. After school and weekend programming should be available.
10. This service must operate at an established site approved to bill for services. However, limited individual or group activities may take place off-site in natural community settings as is appropriate to each individual's treatment plan.
11. RFW services may operate in the same building as other services; however, there must be a distinct separation between services in staffing, program description, and physical space during the hours the RFW Residential Services are in operation.
12. Adequate space, equipment, furnishings, supplies, and other resources must be provided in order to effectively provide services and so that the program environment is clean and in good repair. Space, equipment, furnishings, supplies, transportation, and other resources for participating individuals' use within the Ready For Work Residential Services must not be substantially different from that provided for other uses for similar numbers of individuals.

B. Staffing Requirements

1. The program must be under the clinical supervision of a **Level 4 or above** who is onsite a minimum of 50% of the hours the service is in operation.
2. Services must be provided by staff who are:
 - a. Level 4 (LAPC, LMSW, CACII, CADC, CCADC and Addiction Counselor Trainee with supervision) or practitioners with a higher credential
 - b. Level 5 (Paraprofessionals, high school graduates) under the supervision of an Level 4 or above
3. Programs must have documentation that there is one Level 4 staff that is "co-occurring capable." This person's knowledge must go beyond basic understanding and must demonstrate actual staff capabilities in using that knowledge for individuals with co-occurring disorders. Personnel documentation should demonstrate that this staff person has received a minimum of 5 hours/year of training in co-occurring treatment.
4. There must be at least a Level 4 on-site at all times the service is in operation, regardless of the number of individuals participating.
5. The maximum face-to-face ratio cannot be more than 12 individuals to 1 direct program staff based on average daily attendance of individuals in the program.
6. A physician and/or a Registered Nurse or a Licensed Practical Nurse with appropriate supervision must be available to the program either by a physician and/or nurse employed by the agency, through a contract with a licensed practitioner, or by written referral or affiliation agreement with another agency or agencies that offer such services.
7. The physician is responsible for addiction and psychiatric consultation, assessment, and care (including but not limited to ordering medications and/or laboratory testing) as needed. The nurse is responsible for nursing assessments, health screening, medication administration, health education, and other nursing duties as needed.
8. Level 4 staff may be shared with other programs as long as they are available as required for supervision and clinical operations and as long as their time is appropriately allocated to staffing ratios for each program.

C. Clinical Operations

1. It is expected that the transition planning for less intensive service will begin at the onset of RFW Residential Services. Documentation must demonstrate this planning.
2. Consumers receiving RFW Residential Services must have a qualifying diagnosis present in the medical record prior to the initiation of services. The diagnosis must be given by persons identified in O.C.G.A Practice Acts as qualified to provide a diagnosis (Level 1).
3. Each consumer should participate in setting individualized goals for themselves and in assessing their own skills and resources related to sobriety, use/abuse, and maintaining recovery. Goals are set by exploring strengths and needs in the consumer's living, learning, social, and working environments. Implementation of services may take place individually or in groups.
4. As mentioned above RFW Residential Services must have different phases of treatment for consumers. These levels are to be assessed regularly and highly individualized. In the beginning phase of treatment, the consumers are to receive intensive substance abuse treatment and when clinically appropriate receive less substance abuse services and more wrap around services. An appropriate step-down service shall include recommending/referring outpatient services. Continuing Care: Providers need to have at least 7 contacts per month one of which must be a face to face interaction with a consumer.
5. Primary work or work related activities should be implemented in to treatment no later than 90 days from admission. Services to include documentation of an assessment of work skills, abilities, and all work activities taking place, and if clinically appropriate the initiation of work activities. If not clinically appropriate for a consumer to engage in work related activities, it must be documented.
6. The following the services must be included in the Ready For Work Residential Package.. RFW Services are required to have a multitude of wrap around services, see RFW Provider manual for a description.

The activities include but not limited to:

- Psycho-educational activities focusing on the disease of addiction prevention, the health consequences of addiction, and recovery
- Therapeutic group treatment and counseling
- Parenting groups
- Trauma group
- Linkage to natural supports and self-help opportunities
- Individual counseling
- Individualized treatment, service, and recovery planning
- Linkage to health care
- Family education and engagement
- Nurturing parenting
- Vocational readiness and support
- Service coordination unless provided through another service provider
- Life skills training (i.e. education on healthy eating habits, hygiene)
- Assessment and reassessment
- Drug screening/toxicology examinations

- Transportation
 - Individual counseling in exceptional circumstances for traumatic stress and other mental illnesses for which special skills or licenses are required
 - Physician assessment and care
 - Psychological testing
 - Health screening
7. The program must have a Ready for Work Residential Services Organizational Plan addressing the following:
- a. The philosophical model of the program and the expected outcomes for program participants (i.e., harm reduction, abstinence, beginning of or maintaining individually defined recovery, employment readiness, relapse prevention, stabilization and treatment of those with co-occurring disorders).
 - b. The schedule of activities and hours of operations.
 - c. Staffing patterns for the program.
 - d. How assessments will be conducted.
 - e. How staff will be trained in the administration of addiction services and technologies.
 - f. How staff will be trained in the recognition and treatment of co-occurring disorders of mental illness and substance abuse pursuant to the Georgia Best Practices
 - g. How services for individuals with co-occurring disorders will be flexible and will include services and activities addressing both mental health and substance abuse issues of varying intensities and dosages based on the symptoms, presenting problems, functioning, and capabilities of such individuals.
 - h. How individuals with co-occurring disorders who cannot be served in the regular program activities will be provided and/or referred for time-limited special integrated services that are co-occurring enhanced as described in the Georgia Suggested Best Practices
 - i. How services will be coordinated with the substance abuse array of services including assuring or arranging for appropriate referrals and transitions.
 - j. How the requirements in these service guidelines will be met.

D. Service Access

Services are to be offered at least 5 hours per day at least 5 days per week with no more than 2 consecutive days between offered services, and distinguishes between those individuals needing between levels.

E. Additional Medicaid Requirements

The provider, via its DBHDD RFW contract, is paid for the complete set of services defined here. If the provider agency is a Medicaid-approved provider and is serving a Medicaid consumer, then it may bill Medicaid for the services provided only up to the "admission" to the RFW Residential program.

F. Reporting Requirements

All applicable Medicaid, MICP, and other DBHDD reporting requirements must be met.

Service Group Code	Package Name	Service Groups Included	Service Name	Auth Period in Days	Max Auth Units	Max Daily Units	Medicaid/ State
P0009	RFW Intensive Residential	20510	Structured Residential- RFW/TANF	180	180	1	State ¹
		10101	Beh Health Assmt & Serv Plan Development	180	32	24	Both
		10103	Diagnostic Assessment	180	4	2	Both
		10120	Psychiatric Treatment	180	24	1	Both
		10130	Nursing Assessment & Care	180	48	16	Both
		10140	Medication Administration	180	40	1	Both

G. Documentation Requirements

1. Provider must document services in accordance with the specifications for documentation requirements specified in Part II, Section V of the Provider Manual.
2. Every admission and assessment must be documented.
3. Progress notes must include daily logs of attendance. Daily attendance of each individual participating in the program must be documented showing.
4. Written weekly summaries of important occurrences; level of functioning; acquisition of skills necessary for recovery; progress on goals identified in the treatment plan including acknowledgement of addiction, progress toward recovery and use/abuse reduction and/or abstinence; use of drug screening results by staff; and evaluation of service effectiveness. Clinicians are to sign and date.
5. This documentation must confirm that the consumer was a resident of the Ready For Work Residential Program on that day.

Ready For Work Transitional Housing Service							
HIPAA Transaction Code	Code Detail	Code	Mod 1	Mod 2	Mod 3	Mod 4	Rate
TBD							

Definition of Service: Ready for Work Transitional Housing Service provides a safe, stable, drug free residence for no more than 6 months to a TANF eligible woman or a woman who is involved with a Child Protective Service case and her dependent children. The environment should be gender specific and can include dependent children between birth and 18 years old. This service also includes aftercare programming that consists of no more than 9 hours per week. Aftercare Programming must include: continuing care groups (relapse prevention, gradual transitioning back into the community), linkage within the community (i.e. 12 step groups, health care) with intensive case management, life skills (i.e. parenting, budgeting, healthy eating habits, etc.), job skills/ job readiness groups, transportation, consumer oversight in residences and random drug screens (at least 2 per month). Transitional housing is to be a step down in service from Ready for Work residential or outpatient programs; thus, a successful completion of Ready for Work residential, outpatient, or at least an ASAM level II program is necessary.

Length of stay can be 1-6 months if clinically appropriate.

Target Population	Adult Women (and their dependent children) who are diagnosed with substance abuse disorder(s) AND who are TANF Eligible OR have an active Child Protective Service (CPS) case with Dept of Family and Children Services (DFCS)
Benefit Information	Available for DFCS involved women and their dependent children, requires a MICP Update Request (to add as a single service to an existing authorization)
Utilization Criteria	<u>Available to those with LOCUS Scores:</u> 1: Recovery Maintenance and Health Maintenance 2: Low Intensity Community Based Services
Ordering Practitioner	Licensed Professionals (LPC, LCSW, LAPC, LMSW), Certified Professionals (MAC, CACII, CCADC, CADC)
Unit Value	1 Day
Initial Authorization	180 Days
Re-Authorization	n/a
Maximum Daily Units	1 Unit
Authorization Period	180 Days
UAS: Budget and Expense Categories	<u>Adult Addictive Diseases</u> TANF: 630

Admission Criteria	<ol style="list-style-type: none"> 1. DSM IV diagnosis of Substance Dependence or Abuse 2. DFCS Involvement (Meets TANF Needy Family Definition or has an open CPS case) 3. Successfully completed a Ready For Work Residential, Outpatient, or an ASAM Level II Program 4. Alcohol and drug free and stable on medications (if applicable) 5. Substance Abuse has been a barrier in self-sufficiency (parenting and employment) in the past 6. The individual would benefit from participating in a women's transitional housing program to receive supportive services while transitioning back into the community
Continuing Stay Criteria	<ol style="list-style-type: none"> 1. Individual's condition continues to meet the admission criteria 2. Found and/or maintaining employment, but continues to need supportive services and stable living environment 3. Participation in aftercare programming and remaining alcohol and drug free
Discharge Criteria	<p>A discharge plan must be established with the following:</p> <ol style="list-style-type: none"> 1. Linkage of consumer with community (i.e. self help groups, mental physical health needs) 2. Stable living environment 3. Plans and arrangements for children (i.e. school enrollment, childcare) 4. Employment <p>Transfer to a higher level of service is warranted if:</p> <ol style="list-style-type: none"> 1. Individual's condition or nonparticipation; or 2. The individual refuses to submit or has positive random drug screens; or 3. Consumer exhibits symptoms of acute intoxication and/or withdrawal or 4. The individual requires services not available at this level or 5. Consumer has consistently failed to achieve essential objectives despite revisions to the treatment plan and advice concerning the consequences of continues alcohol/drug use to such an extent that no further process is likely to occur
Service Exclusions	Transitional Housing Services cannot be offered with Ready For Work Residential or Outpatient Packages or any other substance abuse services.
Clinical Exclusions	<ol style="list-style-type: none"> 1. If an individual is actively suicidal or homicidal 2. Women should have no cognitive and/or intellectual impairments which will prevent them from participating in and benefiting from the recommended level of care 3. Detoxification and inpatient needs must be met prior to admission to the program (alternative provider and/or community resources should be used to serve women with acute treatment needs) 4. Women must be medically stable

Additional Service Criteria:

A. Required Components

1. The Contractor shall provide a safe, stable, drug free residence and utilities (power and water) for no more than 6 months to a TANF eligible woman or a woman who is involved with a Child Protective Service case and her dependent children.
 - a) If children are residing with their mother, provider must childproof the home and provide a safe play area.
 - b) The transitional home must provide a bathroom for every four residents and a tub/shower for every eight residents.
 - c) The home must provide a living room, a dining area, a kitchen and a bedroom for all residents
 - d) Staff persons are checked for previous criminal history, must have basic training in first aid, cardiopulmonary resuscitation
 - e) Providers must be mindful of the placement of a family that has older children (ages 12-18) taking into consideration trauma, privacy, and gender issues. Clinical teams must evaluate age appropriateness of housing situation taking in consideration ages of children 12 years and older.
2. ASAM Level I services must be provided to all participants in transitional housing for no more than 9 hours per week. Consumers in this level of care shall not count for a providers' outpatient or residential TANF consumers. The aftercare for transitional housing service can be Provider's Ready For Work Aftercare program; however, this programming must provide the services listed below.
 - a) These topics must be a part of Transitional Housing Services:
 - i. Relapse prevention,
 - ii. Linkage within the community (i.e. 12 step groups, health care)
 - iii. intensive case management (transitioning out of treatment),
 - iv. Life skills (i.e. parenting, budgeting, healthy eating habits, etc.),
 - v. Job skills/ job readiness groups
 - vi. Randomized drug screens (at least 2 per month)
 - b) This is a step down level in the continuum of care. Women in this phase of treatment should have more independence with support.
 - i. Consumer should have a comprehensive case management in the first 2 months and then a gradual tapering of services
 - ii. Staff should be available for empowerment and supervision and to complete randomized (or as clinically appropriate). Room/apartment checks should be completed as a clinical tool to hold consumers accountable.
 - c) Transportation must be provided for the consumers, this may include public transportation fare, staff transporting consumers using agency vehicles, and/or providing gas for consumer's automobile.
3. Providers should continue to work with the consumers' DFCS case workers to ensure consistency of care

B. Staffing Requirements

1. The program must be under the clinical supervision of a level 4(LAPC, LMSW, CACII, CADC, CCADC and Addiction Counselor Trainees) or above

2. Aftercare Services must be provided by staff who are at least a level 5 (RADT, CACI, paraprofessionals)
3. Staff who are providing case management should be a professional, paraprofessional, and/or sober and in recovery for at least 1 year.

C. Clinical Operations

1. Transitional Housing Services should provide a schedule for aftercare programming and to ensure stability and consistency for consumers
2. Transitional Housing Services may be in the same apartment complex or building as the residential services; however, the living space designated to transitional housing must be distinctly different. Consumers who are in the Residential or Outpatient treatment must not be living in the same apartment as a consumer in transitional housing services
3. Food and shopping must be completed by consumers, providers should not provide food, charge, or collect money/EBT cards
4. Medications and medical needs should be the responsibility of the consumer. The provider should not hold or dispense medications to consumers in Transitional Housing Services
5. Each Consumer should participate in setting individualized goals for themselves and in assessing their own skills and resources related to sobriety, use/abuse, and maintaining recovery. Goals are set by exploring strength and needs in the consumer's living, learning social and working environments.
6. Transitional Housing Services must have a written organizational plan addressing the following:
 7. Schedule of Activities and hours
 8. Staffing Patterns of the Program
 9. Policies and Procedures
 10. House Rules for Consumers
11. A consumer must be in a slot for at least 16 consecutive days of the month for the full reimbursement. If a consumer is in a slot for 7-15 days, providers shall be reimbursed for half of the reimbursement.

D. Service Access

Aftercare services are to be offered at during the evenings and/or weekends to accommodate consumers' work schedules

E. Additional Medicaid Requirements

Medicaid does not reimburse for this service

F. Reporting Requirements

1. Department requires providers to provide information regarding the consumer information. The reporting form has been supplied to the providers by the Division. This report must be submitted by the 10th of the following month. The consumers that providers count for the transitional housing service program must not be counted in the provider's regular TANF reporting.
2. All applicable DBHDD reporting requirements must be met

G. Documentation Requirements

1. Providers must document weekly summaries of consumers' progress
2. Results of Drug screens must be documented
3. Admissions and discharges must be captured.

PART II

Community Service Standards

**Provider Manual for
Community Mental Health,
Developmental Disabilities and
Addictive Diseases
Providers**

Fiscal Year 2011



DBHDD

**Georgia Department of Behavioral Health &
Developmental Disabilities**

JULY 2010

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Part II

Community Service Standards

SECTION I

Standards for All Providers

Fiscal Year 2011



**Georgia Department of Behavioral Health &
Developmental Disabilities**

July 2010

THE DEPARTMENT OF BEHAVIORAL HEALTH AND DEVELOPMENTAL DISABILITIES STANDARDS FOR ALL PROVIDERS FY 2011

VISION: A SATISFYING, INDEPENDENT LIFE WITH DIGNITY AND RESPECT

It is the vision of the Department of Behavioral Health and Developmental Disabilities (DBHDD) that every person who participates in our services leads a satisfying, independent life with dignity and respect.

BEHAVIORAL HEALTH SERVICES

The DBHDD is working to implement the vision found in President George W. Bush's *New Freedom Initiative on Mental Health*, which says:

"We are committed to a future where recovery is the expected outcome and when mental illness can be prevented or cured. We envision a nation where everyone with a mental illness will have access to early detection and the effective treatment and supports essential to live, work, learn and participate fully in their community."

For children and adolescents, DBHDD is working to provide services, support, care and treatment that are family-driven and youth-guided that supports the resiliency of the individual child or youth within their natural environment.

DEVELOPMENTAL DISABILITY SERVICES

The DBHDD believes it is critical that services, supports, treatment and care respect the vision of the individual. Each agency or organization must incorporate this belief and practice into its service delivery to support individuals with intellectual and developmental disabilities in living a meaningful life in the community. Specifically, the provider must ensure:

- Person-centered service planning and delivery that address what is important to and for individuals
- Capacity and capabilities, including qualified and competent providers and staff
- Participant safeguards
- Satisfactory participant outcomes
- Systems of care that have the infrastructure necessary to provide coordinated services, supports, treatment and care
- Participants rights and responsibilities
- Participant access

The Standards that follow are applicable to DBHDD or organizations that provide services to individuals that are financially supported in whole or in part by funds authorized through DBHDD, regardless of the age or disability of the individual served.

Participant self-determination includes freedom, authority and responsibility and is considered key to achieving the vision of *a satisfying, independent life with dignity and respect for everyone*.

ORGANIZATIONAL PRACTICES

A. The Organization Clearly Describes Available Services, Supports, Care and Treatment

1. The organization has a description of its services, supports, care and treatment that includes a description of:
 - a. The population served;
 - b. How the organization plans to strategically address the needs of those served; and
 - c. Services available to potential and current individuals.
2. The organization details the desired expectation of the services, supports, care and treatment offered and the outcomes for each of these services.
3. The level and intensity of services, supports, care and treatment offered is:
 - a. Within the scope of the organization;
 - b. According to benchmarked practices; and
 - c. Timely as required by individual need.
4. The program description identifies staff to consumer ratios for services offered:
 - a. Ratios reflect the needs of consumers served, implementation of behavioral procedures, best practice guidelines and safety considerations.
 - b. Ratios reflect considerations such as licensure waivers, special rates reflecting unique individual care needs, etc.
5. Children seventeen and younger may not be served with adults unless the children are residing with their parents or legal guardians in residential programs such as the Ready for Work program.
 - a. Emancipated minors and juveniles who are age 17 years may be served with adults when their life circumstances demonstrate they are more appropriately served in an adult environment.
 - b. Situations representing exceptions to this standard must have written documentation from the DBHDD Regional office.
 - i. Exceptions must demonstrate that it would be disruptive to the living configuration and relationships to disturb the 'family' make-up of those living together.

B. Strong Operational Procedures Support the Organization, Its Staff and Individuals Served

1. Applicable statutory requirements, rules, regulations, licensing and contractual requirements are evident in organizational policies and practices.
2. The organization has internal structures that support good business practices.
 - a. There are clearly stated current policies and procedures for all aspects of the operation of the organization;
 - b. Policies and corresponding procedures direct the practice of the organization; and
 - c. Staff is trained in organization policies and procedures.
3. The organization has administrative and clinical structures that are clear and that support individual care.
 - a. Administrative and clinical structures promote unambiguous relationships and responsibilities.
4. Organizations that provide developmental disabilities services must participate in the Georgia Developmental Disabilities Provider Information website. The address is www.georgiaddproviders.org/
5. There is a written budget that serves as a plan for managing resources.
 - a. Utilization of fiscal resources is assessed in Quality Improvement processes and/or by the Board of Directors.
6. The organization must state explicitly in writing whether research is conducted or not on individuals served by the organization.
 - a. If the organization wishes to conduct research involving individuals, a research design shall be developed and must be approved by:
 - i. The agency's governing authority;

- ii. The Regional Coordinator for the DBHDD; and
 - iii. The Institutional Review Board operated by the Department of Community Health (DCH) and its policies regarding the Protection of Human Subjects found in DBHDD directive.
- b. The Research design shall include:
 - i. A statement of rationale;
 - ii. A plan to disclose benefits and risks of research to the participating person;
 - iii. A commitment to obtain written consent of the persons participating; and
 - iv. A plan to acquire documentation that the person is informed that they can withdraw from the research process at any time.
- c. The organization using unusual medication and investigational experimental drugs shall be considered to be doing research.
 - i. Policies and procedures governing the use of unusual medications and unusual investigational and experimental drugs shall be in place;
 - ii. Policies, procedures, and guidelines for research promulgated by the DCH Institutional Review Board shall be followed;
 - iii. The research design shall be approved and supervised by a physician; and
 - iv. Information on the drugs used shall be maintained including:
 - 1. Drug dosage forms;
 - 2. Dosage range;
 - 3. Storage requirements;
 - 4. Adverse reactions; and
 - 5. Usage and contraindications.
 - v. Pharmacological training about the drug(s) shall be provided to nurses who administer the medications; and
 - vi. Drugs utilized shall be properly labeled.
- d. If research is conducted, there is evidence that involved individuals are:
 - i. Fully aware of the risks and benefits of the research;
 - ii. Have documented their willingness to participate through full informed consent; and
 - iii. Can verbalize their wish to participate in the research.

If the individual is unable to verbalize or otherwise communicate this information, there is evidence that a legal representative, guardian or guardian ad litem has received this information and consented accordingly.

OUTCOME OF SERVICES

C. Individuals receive Services, Supports, Care or Treatment that result in a Satisfying Independent Life with Dignity and Respect

- 1. Services, supports, care or treatment approaches support the individual in:
 - a. Living in the most integrated community setting appropriate to the individual's requirements and preferences;
 - b. Exercising meaningful choices about living environments, providers of services received, the types of supports, and the manner by which services are provided; and
 - c. Obtaining quality services in a manner as consistent as possible with community living preferences and priorities.

D. Respect for the Dignity of the Individual is demonstrated

1. Access to appropriate services, supports, care and treatment is available regardless of:
 - a. Age;
 - b. Ethnicity;
 - c. Gender;
 - d. Religion;
 - e. Social status;
 - f. Physical disability;
 - g. Mental disability; or
 - h. Payer source.
2. There are no barriers in accessing the services, supports, care and treatment offered by the organization, including but not limited to:
 - a. Geographic;
 - b. Architectural;
 - c. Communication:
 - i. Language access is provided to individuals with limited English proficiency or who are sensory impaired;
 - ii. All applicable DBHDD policies regarding Limited English Proficiency and Sensory Impairment are followed.
 - d. Attitudinal;
 - e. Procedural; and
 - f. Organizational scheduling or availability.
3. There is evidence of organizational person-centered planning and service delivery.
4. Sensitivity to individual's differences and preferences is evident.
5. Practices and activities that reduce stigma are implemented.
6. Interactions with individuals demonstrate:
 - a. Respect;
 - b. Careful listening; and
 - c. Are positive and supportive.

E. Human and Civil Rights are maintained

1. The organization has policies and promotes practices that:
 - a. Do not discriminate;
 - b. Promote receiving equitable supports from the organization;
 - c. Provide services, supports, care and treatment in the least restrictive environment;
 - d. Emphasize the use of positive communication and less restrictive interventions; and
 - e. Incorporate Clients Rights or Patients Rights Rules found at www.dbhdd.gov, as applicable to the organization; and
 - f. Delineates the rights and responsibilities of persons served.
2. In policy and practice, the organization makes it clear that under no circumstances will the following occur:
 - a. Threats (overt or implied);
 - b. Corporal punishment;
 - c. Fear-eliciting procedures;
 - d. Abuse of any kind;
 - e. Withholding nutrition or nutritional care; or
 - f. Withholding of any basic necessity such as clothing, shelter, rest or sleep.
3. Grievance, complaint and appeals policies and processes are clearly written in language accessible to individuals served and are promulgated and consistent with all applicable DBHDD policies regarding *Complaints and Grievances* regarding community services. Notice of procedures is provided to individuals, staff and other interested parties, and providers maintain records of all complaints and grievances and the resolutions of same.

4. Federal and state laws and rules are evident in policy and practice including, but not limited to:
 - a. **For all community based programs**, practices promulgated by DBHDD or the Rules and Regulations for Clients Rights, Chapter 290-4-9 are incorporated into the care of individuals served. Issues addressed include but are not limited to the right to:
 - i. Care in the least restrictive environment;
 - ii. Humane treatment or habilitation that affords protection from harm, exploitation or coercion.
 - iii. Unless adjudicated incompetent by a court of law, be considered legally competent for any purpose without due process of law, including to maintain:
 1. Civil;
 2. Political
 3. Personal; and
 4. Property rights.
 - b. **For all crisis stabilization programs serving adults, children or youth**, practices promulgated by DBHDD or the Rules and Regulations for Patients Rights, Chapter 290-4-6 are incorporated into the care of adults, children and youth served in crisis stabilization programs. Issues addressed include but are not limited to the right to:
 - i. Care in the least restrictive environment;
 - ii. Humane treatment or habilitation that affords protection from harm, exploitation or coercion;
 - iii. Unless adjudicated incompetent by a court of law, be considered legally competent for any purpose without due process of law, including:
 1. Civil;
 2. Political
 3. Personal; or
 4. Property rights.
 - c. **For all programs serving individuals with substance use and abuse issues**, in addition to practices promulgated by DBHDD or the Rules and Regulations for Clients Rights, Chapter 290-4-9, confidentiality procedures for substance abuse individual records comply with 42 CFR, Part 2, Confidentiality of Alcohol and Drug Abuse Patient Records, Final Rule (June 9, 1987), or subsequent revisions thereof.
 - i. All substance abuse individuals are provided written notice about the confidentiality of substance abuse records at the time of admission or soon thereafter when the individual is capable of rational communication;
 - ii. This notification is documented in the individual's record; and
 - iii. The individual's signature on the notification form serves as documentation of notification.
5. All individuals are informed about their rights and responsibilities:
 - a. At the onset of services, supports, care and treatment;
 - b. At least annually during care; and
 - c. Through information that is readily available, well prepared and written using language accessible and understandable to the individual.
6. All individuals determine how their right to confidentiality will be addressed, including but not limited to who they wish to be informed about their services, supports, care and treatment.

F. Behavioral Support Services are addressed

1. In policy and practice, the organization makes it clear whether and under what circumstances the following restrictive interventions occur. In all cases, federal and state laws and rules are followed and include but are not limited to the following:

- a. Use of adaptive supportive devices or medical protective devices;
 - i. May be used in any service, support, care and treatment environment; and
 - ii. Use is defined by a physician's order (order not to exceed six calendar months).
 - iii. Written order to include rationale and instructions for the use of the device.
 - iv. Authorized in the individual service plan (ISP).
- b. Time out (used only in DD or C&A services):
 - i. Under no circumstance is egress restricted;
 - ii. Time out periods must be brief, not to exceed 15 minutes.
 - iii. Procedure for time-out utilization.
 - iv. Reason and justification for time out utilization.
- c. Personal restraint (also known as manual hold or manual restraint): The application of physical force, without the use of any device, for the purpose of restricting the free movement of a person's body;
 - i. May be used in all community settings except residential settings licensed as Personal Care Homes;
 - ii. Circumstances of use must represent an emergency safety intervention of last resort affecting the safety of the individual or of others.
 - iii. Brief handholding (less than 10 seconds) or support for the purpose of providing safe crossing, safety or stabilization does not constitute a personal hold
 - iv. May be utilized for a period of 10 seconds or more, not to exceed 5 minutes.
- d. Physical restraint (also known as mechanical restraint): A device attached or adjacent to the individual's body that one cannot easily remove and that restricts freedom of movement or normal access to one's body or body parts.
 - i. May be used in the community **only** in programs designated as crisis stabilization programs for adults, children or youth;
 - ii. Circumstances of use in behavioral health, crisis stabilization programs must represent an emergency safety intervention of last resort affecting the safety of the individual or of others.
- e. Seclusion: The involuntary confinement of an individual alone in a room or in any area of a room where the individual is prevented from leaving, regardless of the purpose of the confinement. The practice of "restrictive time-out" (RTO) is seclusion and may not be utilized except in compliance with the requirements related to seclusion. The phrase "prevented from leaving" includes not only the use of a locked door, but also the use of physical or verbal control to prevent the individual from leaving.
 - i. Seclusion may be used in the community **only** in programs designated as crisis stabilization programs for adults, children or adolescents;
 - ii. Circumstances of use in behavioral health crisis stabilization programs must represent an emergency safety intervention of last resort affecting the safety of the individual or of others;
 - iii. Is not permitted in developmental disabilities services.
- f. **Chemical restraint may never be used under any circumstance.** Chemical restraint is defined as a medication or drug that is:
 - i. Not a standard treatment for the individual's medical or psychiatric condition;
 - ii. Used to control behavior;
 - iii. Used to restrict the individual's freedom of movement.

- g. Examples of chemical restraint are the following:
 - i. The use of over the counter medications such as Benadryl for the purpose of decreasing an individual's activity level during regular waking hours;
 - ii The use of an antipsychotic medication for a person who is not psychotic but simply 'pacing' or mildly agitated.
- h. PRN psychotropic medications for behavior control are not permitted.

2. When individuals demonstrate challenging behaviors, *Guidelines for Supporting Adults with Challenging Behaviors in Community Settings* is implemented. (The Guidelines are found at www.dbhdd.georgia.gov Provider Information; Provider Tool Kit.) When a behavior support plan is necessary, providers of developmental disabilities services develop these plans in accordance with the *Best Practice Standards for Behavioral Support Services* (www.dbhdd.georgia.gov). Care is taken to determine, from the perspective of the individual, what the function of that behavior may be while also considering:

- a Physiological issues such as possible medical and psychiatric issues; including physical disabilities such as difficulty seeing, hearing, or ambulating;
- b Social issues such as lack of available, inclusive social networks;
- c Psychological issues;
- d Environmental issues such as staffing concerns;
- e The need for a crisis/safety plan.

3. All organizations must have the capacity to address individuals' behavioral concerns. If the cause of the challenging behavior cannot be determined or satisfactorily addressed, there should be evidence of consultation with a professional who is licensed or qualified through education, supervised training and experience.

G. Integration into the Larger Natural Community is Evident

- 1. Inclusion and community integration is supported and evident.
- 2. Individuals have responsibilities in the community such as employment, volunteer activities, church and civic membership and participation, school attendance, and other age-appropriate activities.
- 3. The organization has community partnerships that demonstrate input and involvement by:
 - a. Advocates;
 - b. The person served;
 - c. Families; and
 - d. Business and community representatives.
- 4. The organization makes known its role, functions and capacities to the community including other organizations as appropriate to its array of services, supports, care and treatment as a basis for:
 - a. Joint planning efforts;
 - b. Continuity in cooperative service delivery, including the educational system;
 - c. Provider networking;
 - d. Referrals; and
 - e. Sub-contracts.

H. Quality Improvement Processes and Management of Risk to Individuals, Staff and Others is a Priority

- 1. There is a well-defined quality improvement plan for assessing and improving organizational quality. The organization is able to demonstrate how:
 - a. Issues are identified;
 - b. Solutions are implemented;

- c. New or additional issues are identified and managed on an ongoing basis;
 - d. Internal structures minimize risks for individuals and staff; and
 - e. Processes used for assessing and improving organizational quality are identified.
- 2. Areas of risk to persons served and to the organization are identified based on services, supports, treatment or care offered including, but not limited to:
 - a. Incidents;
 - i. There is evidence that incidents are reported to the DBHDD as required by DBHDD Policy, *Reporting of Consumer Deaths and Critical Incidents*.
 - b. Accidents;
 - c. Complaints;
 - d. Grievances;
 - e. Rights Violations;
 - f. Practices that limit freedom of choice or movement;
 - g. Medication Management;
 - h. Infection Control; and
 - i. Behavior Support Plan tracking and monitoring.
- 1. Indicators of performance are in place for assessing and improving organizational quality. The organization is able to demonstrate:
 - a. The indicators of performance established for each issue;
 - i. The method of routine measurement;
 - ii. The method of routine evaluation;
 - iii. Target goals/expectations for each ;
 - b. Outcomes determined by indicators on a quarterly basis;
 - c. Distribution of findings on a quarterly basis to:
 - i. Individuals served or their representatives as indicated;
 - ii. Organizational staff;
 - iii. The governing body; and
 - iv. Other stakeholders, as determined by the governance authority.
- 2. The organization's practice of cultural diversity competency is evident by:
 - a. Staff articulating an understanding of the social, cultural, religious and other needs and differences unique to the individual;
 - b. Staff honoring these differences and preferences (such as worship or dietary preferences) in the daily care of the individual; and
 - c. The inclusion of cultural competency in Quality Improvement processes.
- 3. At least five per cent (5%) of records of persons served are reviewed each quarter. Records of individuals who are "at risk" are included. Reviews include these determinations:
 - a. That the record is:
 - i. Organized;
 - ii. Complete;
 - iii. Accurate; and
 - iv. Timely
 - b. Whether services are based on assessment and need;
 - c. That individuals have choices;
 - d. Documentation of service delivery including individuals' responses to services and progress toward ISP goals;
 - e. Documentation of health service delivery;
 - f. Medication management and delivery, including the use of PRN medications; and
 - g. That approaches implemented for persons with challenging behaviors are addressed as specified in the *Guidelines for Supporting Adults with Challenging Behaviors in Community Settings*. When a behavioral support plan is necessary, providers of developmental disabilities

services develop these plans in accordance with the *Best Practice Standards for Behavioral Support Services* (www.dbhdd.georgia.gov).

- h. Record reviews should be kept for a period of at least two years.
- 4. Appropriate utilization of human resources is assessed, including but not limited to:
 - a. Competency;
 - b. Qualifications;
 - c. Numbers and type of staff, for example, a behavior specialist, required based on the services, supports, treatment and care needs of persons served; and
 - d. Staff to individual ratios.
- 5. The organization has an advisory board made up of citizens, local business providers, consumers and family members. The Board:
 - a. Meets at least semi-annually;
 - b. Reviews items such as but not limited to:
 - i. Policies;
 - ii. Risk management reports; and
 - iii. Budgetary issues.
 - c. Provides objective guidance to the organization.

I. Holistic Services, Supports, Care and Treatment to the Individual that Enhance the Individual's Capacity for a Satisfying, Independent Life are Available

- 1. Individualized services, supports, care and treatment determinations are made on the basis of an assessment of what is important to and for an individual. The purpose of the assessment is to determine the individual's hopes, dreams or vision for their life and to determine how best to assist the individual in reaching those hopes, dreams or vision, including determining appropriate staff.
- 2. Assessments should include but are not limited to the following:
 - a. The individual's:
 - i. Hopes and dreams, or personal life goals;
 - ii. Perception of the issue(s) of concern;
 - iii. Strengths;
 - iv. Needs;
 - v. Abilities; and
 - vi. Preferences.
 - b. Medical history;
 - c. A current health status report or examination in cases where:
 - i. Medications or other ongoing health interventions are required;
 - ii. Chronic or confounding health factors are present;
 - iii. Medication prescribed as a part of DBHDD services has research indicating necessary surveillance of the emergence of diabetes, hypertension, and/or cardiovascular disease;
 - iv. Allergies or adverse reactions to medications have occurred; or
 - v. Withdrawal from a substance is an issue.
 - d. Appropriate diagnostic tools such as impairment indices, psychological testing, or laboratory tests;
 - e. Social history;
 - f. Family history;
 - g. School records (for C&A); and
 - h. Collateral history from family or persons significant to the individual, if available.
 - i. NOTE that when collateral history is taken, information about the individual **may not be shared** with the person giving the collateral history unless the individual has given specific written consent.

3. Additional assessments should be performed or obtained by the provider if required to fully inform the services, supports, care and treatment provided. These may include but are not limited to:
 - a. Assessment of trauma or abuse;
 - b. Suicide risk assessment;
 - c. Functional assessment;
 - d. Cognitive assessment;
 - e. Behavioral assessments;
 - f. Spiritual assessment;
 - g. Assessment of independent living skills;
 - h. Cultural assessment;
 - i. Recreational assessment;
 - j. Educational assessment;
 - k. Vocational assessment;
 - l. Nutritional assessment;
 - m. Review of legal concerns including:
 - i. Advance directives;
 - ii. Legal competence;
 - iii. Legal involvement of the courts;
 - iv. Legal status as it relates to Title 37; and
 - v. Legal status as adjudicated by a court.
4. The individual is informed of the findings of the assessments in language he or she can understand.
5. An individualized service plan or individualized recovery plan is developed with the guidance of an in-field professional (Refer to Section IV of the *Standards for All Providers* for definitions related to in-field professionals).
 - a. Individuals direct decisions that impact their lives;
 - b. Others assisting in the development of the individualized plan are persons who:
 - i. Are significant in the life of the individual;
 - ii. Have a historical perspective of the wishes and preferences of the individual;
 - iii. The individual gives consent to have input from family and friends, if desired; and
 - iv. Will deliver the specific services, supports, care and treatment identified in the plan.
 1. For individuals with coexisting, complex and confounding needs, cross disciplinary approaches to planning should be used;
 2. Planning should be facilitated by professional(s) qualified to plan or provide supports to persons with this level of complexity;
 3. Representatives of other agencies outside of the DBHDD or providers affecting the daily life of the individual should be present and participating.
6. Each individualized plan should be:
 - a. Driven by the individual;
 - b. Focused on outcomes the individual wishes to achieve;
 - c. Fully explained to the individual using language he or she can understand; and
 - d. Agreed to by the individual.
7. Components of the plan are:
 - a. Statement(s) of goals or desired outcomes;
 - b. Documented objectives that are:
 - i. Specific

- ii. **Measurable**
 - iii. **Achievable**
 - iv. **Relevant**
 - v. **Realistic**
 - vi. **Time-limited with specified target dates**
- c. Specific services, supports, care and treatment to be provided related to each goal or outcome;
- d. The frequency or intensity that the specific service, support, care and treatment will be given or provided;
- e. Identification of staff responsible to deliver or provide the specific service, support, care and treatment;
- f. A page for signature, title and date by participants (including the individual) that is attached to the plan, indicating participant presence;
 - i. There is evidence of involvement in the plan of all professionals providing services, supports, care and treatment to the individual;
- g. Clear authorization of the plan;
 - i. Refer to definitions of service to determine who must authorize the plan, found at www.dbhdd.gov; Provider Information; Provider Manual:
 - 1. Part I, Section I: *MH and AD Consumer Eligibility, Service Definitions and Service Guidelines*;
 - 2. Part I, Section II: *DD Consumer Eligibility, Access and Planning List, Service Definitions and Service Guidelines*.
 - ii. A physician must authorize the plan when it includes medical care and treatment or as required by Georgia Department of Community Health Division of Medical Assistance, Part II Policies and Procedures for Comprehensive Support Waiver Program (COMP) and New Option Waiver Program (NOW): *Protocol for Physician Signature is in waiver manual*;
 - iii. When more than one physician is involved in individual care, there is evidence that a RN or MD has reviewed all in-field information to assure there are no contradictions or inadvertent contraindications within the care and treatment orders or plan.
 - iv. When a behavior support plan is used to reduce challenging behaviors, there must be evidence that the following issues have been addressed. The plan is:
 - 1. Individualized;
 - 2. Based on a functional assessment;
 - 3. One that has ruled out medical causes;
 - 4. Developed and overseen by a qualified professional (Refer to Section IV of the *Standards for All Providers* for definitions related to in-field professionals);
 - 5. Inclusive of rationale for the following:
 - a. Use of identified approaches;
 - b. The timing of their use;
 - c. An assessment of the impact on personal choice of the individual;
 - d. The targeted behavior; and
 - e. How the targeted behavior will be recognized for success.
 - 6. Implemented by trained and competent staff;
 - 7. Has monitoring plans and termination criteria;
 - 8. Discussed with the individual and family (as permitted by the individual);

9. Developed in accordance with Best Practice Standards for Behavioral Supports Services for providers of developmental disabilities services (www.dbhdd.gov).
 - v. Intensive or restrictive procedures must be clearly justified, authorized and supervised by an in-field professional and may not be in conflict with federal or state laws, rules, regulations or standards;
 - vi. Refer to the document *Guidelines for Supporting Adults with Challenging Behaviors in Community Settings* for additional detail, found at www.dbhdd.gov; Provider Information; Provider Tool Kit.
8. Documents to be incorporated by reference into an individualized plan include but are not limited to:
 - a. Medical updates as indicated by physician orders or notes;
 - b. Addenda as required when a portion of the plan requires reassessment;
 - c. A personal crisis plan which directs in advance the individual's desires/wishes/plans/objectives in the event of a crisis;
 - d. A behavior support plan for individuals demonstrating:
 - i. challenging behaviors and /or
 - ii. with a Developmental Disability who receive psychotropic medications for symptom management of a mental illness
 - e. Wellness Recovery Action (WRAP) plan;
 - f. Safety Plan.
9. The intent of the development of the ISP is a process that focuses on the individual's hopes, dreams and vision of a "life well-lived". Information included within this individualized plan should be presented as a single plan describing the individual's service/support needs within a daily life versus a daily service. Support networks should work closely together to identify issues of risk and needed supports to address those risks while never losing sight that the individual is at the center of the planning process and included in all discussions.
10. Individualized plans or portions of the plan must be reassessed as indicated by the following:
 - a. Changing needs, circumstances and responses of the individual, including but not limited to:
 - i. Any life change;
 - ii. Change in provider;
 - iii. Change of address;
 - iv. Change in frequency of service.
 - b. As requested by the individual;
 - c. As required for re-authorization;
 - d. At least annually;
 - e. When goals are not being met.
11. There is evidence that the person's data from tracking sheets and learning logs have been reviewed, analyzed for trends, and summarized to determine progress toward goals at least quarterly.
12. Wellness of individuals is facilitated through:
 - a. Advocacy;
 - b. Individual care practices;
 - c. Education;
 - d. Sensitivity to issues affecting wellness including but not limited to:
 - i. Gender;
 - ii. Culture; and
 - iii. Age.
 - e. Incorporation of wellness goals within the individual plan.
13. Policies, procedures and practice describe processes for referral of the individual based on ongoing assessment of individual need:
 - a. Internally to different programs or staff; or

- b. Externally to services, supports, care and treatment not available within the organization including, but not limited to:
 - i. Health care for:
 - 1. Routine assessment such as annual physical examinations;
 - 2. Chronic medical issues;
 - 3. Ongoing psychiatric issues;
 - 4. Acute and emergent needs;
 - a. Medical
 - b. Psychiatric
 - ii. Diagnostic testing such as psychological testing or labs; and
 - iii. Dental services.

J. Infection Control Practices are Evident in Service Settings

- 1. The organization, at a minimum, has a basic Infection Control Plan that includes the following:
 - a. Universal Precautions;
 - b. Hand washing;
 - c. Proper disposal of biohazards, such as needles, lancets, scissors, tweezers, and other sharp instruments; and
 - d. Management of common illness likely to be emergent in the particular service setting.
- 2. The organization has effective cleaning and maintenance procedures sufficient to maintain a sanitary and comfortable environment that prevents the development and transmission of infection.
- 3. The organization adheres to policies and procedures for controlling and preventing infections in the service setting. Staff is trained and monitored to ensure infection control policies and procedures are followed.
- 4. All staff adheres to Universal Precautions and follows the organization's written policies and procedures in infection control techniques.
- 5. The organization's infection control plan is reviewed biannually for effectiveness and revision, if necessary.
- 6. The organization has available the quantity of bed linens and towels, etc., essential for the proper care of individuals at all times. These items are washed, stored, and transported in a manner that prevents the spread of infection.
- 7. Routine laundering of an individual's clothing and personal items is done separately from the belongings of other individuals.
- 8. Procedures for the prevention of infestation by insects, rodents or pests shall be maintained and conducted continually to protect the health of individuals served.
- 9. The organization ensures that an individual's personal hygiene items, such as toothbrushes, hairbrushes, razors, nail clippers, etc., are maintained separately and in a sanitary condition.
- 10. Any pets living in the service setting must meet the following requirements:
 - a. No vicious animals shall be kept;
 - b. All animals must be inoculated for rabies annually;
 - c. Exotic animals must be obtained from federally approved sources; and
 - d. Parrots and Psittacine family birds must be USDA inspected and banded.

K. Organizations having Oversight for Medication or that Administer Medication Follow Federal and State Laws, Rules, Regulations and Best Practice Guidelines

- 1. A copy of the physician's order or current prescription is placed in the individual's record for every medication administered or self-administered with supervision. These include:
 - a. Regular, on-going medications;
 - b. Controlled substances;
 - c. Over-the-counter medications;

- d. PRN (when needed) medications; or
- e. Discontinuance order.

A valid physician's order must contain:

- a. The individual's name;
- b. The name of the medication;
- c. The dose;
- d. The route;
- e. The frequency;
- f. Special instructions, if needed; and
- g. The physician's signature.
- h. A copy of the Medical Office Visit Record with the highlighted physician's medication order may also be kept as documentation.

Anti-psychotic medications must be prescribed by a psychiatrist or psychiatric nurse practitioner.

2. The organization has written policies, procedures, and practices for all aspects of medication management including, but not limited to:
 - a. Prescribing: requires the comparison of the physician's medication prescription to the label on the prescription drug container and to the entry on the Medication Administration Record (MAR) to ensure they are all the same before each medication is administered or supervised self-administration is done.
 - b. Ordering: describes the process by which medication orders are filled by a pharmacy.
 - c. Authenticating orders: describes the required time frame for actual physician's signature on telephone or verbal orders.
 - d. Procuring medication and refills: procuring initial prescription medication and over-the-counter drugs within twenty-four hours of prescription receipt, and refills before twenty-four hours of the exhaustion of current drug supply.
 - e. Labeling: includes the Rights of Medication Administration.
 - f. Storing: includes prescribed medications, floor stock drugs, refrigerated drugs, and controlled substances.
 - g. Security: signing out a dose for an individual, and at a minimum, a daily inventory for controlled medications and floor stock medications; and daily temperature logs for locked, refrigerated medications are required.
 - h. Storage, inventory, dispensing and labeling of sample medications: requires documented accountability of these substances at all stages of possession.
 - i. Dispensing: describes the process allowed for pharmacists and/or physicians only. Includes the verification of the individual's medications from other agencies and provides a documentation log with the pharmacist's or physician's signature and date when the drug was verified.
 - j. Supervision of individual self-administration: includes all steps in the process from verifying the physician's medication order to documentation and observation of the individual for the medication's effects. Makes clear that staff members may not administer medications unless licensed to do so, and the methods staff members may use to supervise or assist, such as via hand-over-hand technique, when an individual self-administers his/her medications.
 - k. Administration of medications includes all aspects of the process to be done from verifying the physician's medication order to documentation and observation of the individual for the medication's effects.

Administration of medications may be done only by those who are licensed in this state to do so.

1. Recording: includes the guidelines for documentation of all aspects of medication management. This includes adding and discontinuing medication, charting scheduled and as needed medications, observations regarding the effects of drugs, refused and missing doses, making corrections, and a legend for recording. The legend includes initials, signature, and title of staff member.
 - m. Disposal of discontinued or out-of-date medication: via an environmentally friendly method such as mixing with used coffee grounds or unused cat litter; and
 - n. Education to the individual and family (as desired by the individual) regarding all medications prescribed and documentation of the education provided in the clinical record.
3. Organizational policy stipulates that (and practice is consistent with policy):
- a. Only licensed medical personnel can directly administer medication;
 - i. In homes licensed as Community Living Arrangements, staff may directly administer medications if:
 1. The staff member has completed a course in a Department of Technical Adult Education (DTAE) school and is certified as a Certified Nursing Assistant (CNA) and Qualified Medication Aide (QMA);
 2. The staff member has satisfactorily passed the NCLEX-style exam for QMA's; AND
 3. An RN supervises the staff member.
 - ii. In homes licensed as Community Living Arrangements under Community Living Arrangement Rules 290-9-37-.01 through .25, staff may appropriately administer epinephrine for anaphylactic reaction, insulin required for diabetes, suppositories for ameliorating serious seizure activity, and medications through a nebulizer under the following conditions:
 1. The Community Living Arrangement shall have written protocol for the administration of the medication as ordered by a physician for a resident;
 2. The staff shall have been trained by a licensed nurse or physician's assistant in the written protocol and proper technique for the administration of the medication as ordered by a physician for a resident;
 3. The written protocol and staff training shall be updated annually; and
 4. A licensed nurse or physician's assistant shall verify the training and ability of the unlicensed staff member by signing and dating a copy of the written protocol. The signed and dated copy shall be kept in the file of the staff member.
 - iii. In homes licensed as Personal Care Homes under Personal Care Home Rules 111-8-62-.01 through .25, all medications required by a resident shall be self-administered by the resident except when a resident, although generally capable of self-administration, requires administration of oral or topical medication by or under supervision of a functionally literate staff person, through arrangements made by the resident or the home. Injectable medications may only be self-administered or administered by an appropriately licensed person with the following exceptions:
 1. Administration of epinephrine under established medical

protocol by a staff person to residents with a known anaphylactic reaction; and

2. Administration of insulin under established medical protocol by a staff person provided that the resident's personal physician has designated a staff person or persons who have been trained and are qualified to administer the insulin to that particular resident. The statement from the resident's physician certifying which staff person or persons have been trained must be maintained in the resident's file.

- b. Only physicians or pharmacists may re-package or dispense medications.
 - 1. This includes the re-packaging of medications into containers such as "day minders" and medications that are sent with the individual when the individual is away from his residence.
 - 2. Note that an individual capable of independent self-administration of medication may be coached in setting up their personal "day minder".
- c. There are safeguards utilized for medications known to have substantial risk or undesirable effects, including but not limited to:
 - 1. Storage;
 - 2 Handling;
 - 3 Insuring appropriate lab testing or assessment tools accompany the use of the medication
 - 4 Obtaining and maintaining copies of appropriate lab testing and assessment tools that accompany the use of the medications prescribed from the individual's physician for the individual's clinical record, or at a minimum, documenting in the clinical record the requests for the copies of these tests and assessments.
- d Education regarding the risks and benefits of the medication is documented and explained in language the individual can understand. Medication education provided by the organization's staff should be documented in the clinical record. Informed consent for the medication is the responsibility of the physician; however, the organization obtains and maintains copies of these, or at a minimum, documents its request for copies of these in the clinical record.
- e Where medications are self-administered, protocols are defined for training to support individual self-administration of medication.
- f. Staff is educated regarding:
 - i Medications taken by individuals, including the benefits and risks;
 - ii Monitoring and supervision of individual self-administration of medications;
 - iii The individual's right to refuse medication;
 - iv Documentation of medication requirements.
- g. There are protocols for the handling of licit and illicit drugs brought into the service setting. This includes confiscating, reporting, documenting, educating, and appropriate discarding of the substances.

- h Requirements for safe storage of medication are as required by law includes single and double locks, shift counting of the medications, individual dose sign-out recording, documented planned destruction, and refrigeration and daily temperature logs.

- i The organization defines requirements for timely notification of the prescribing professional regarding:
 - i Drug reactions;
 - ii Medication problems;
 - iii Medication errors; and
 - iv Refusal of medication by the individual.

- j. When the organization allows verbal orders from physicians, those orders will be authenticated:
 - i. Immediately by a fax of the order with the physician signature on the page;
 - ii The fax must be included in the individual's record; and
 - iii By original physician signature within a policy-designated time frame, but not more than 72 hours.

- k There are practices for regular and ongoing physician review of prescribed medications including, but not limited to:
 - i Appropriateness of the medication;
 - ii Documented need for continued use of the medication;
 - iii Monitoring of the presence of side effects;
(Individuals on medications likely to cause tardive dyskinesia are monitored at prescribed intervals using an Abnormal Involuntary Movement Scale [AIMS]).
 - iv Monitoring of therapeutic blood levels if required by the medication such as Blood Glucose testing, Dilantin blood levels and Depakote blood levels; such as kidney or liver function tests;
 - v Ordering specific monitoring and treatment protocols for Diabetic, hypertensive, seizure disorder, and cardiac individuals, especially related to medications prescribed and required vital sign parameters for administration;
 - vi Writing medication protocols for specific individuals in:
 - 1. Homes licensed as Community Living Arrangements or Personal Care Homes for identified staff members to administer:
 - a) epinephrine for anaphylactic reaction;
 - b) insulin required for diabetes;
 - c) suppositories for ameliorating serious seizure activity; and
 - d) medications through a nebulizer under conditions described in the Community Living Arrangement Rule 290-9-37-.20 (2).
 - vii Monitoring of other associated laboratory studies.

- l. For organizations that secure their medications from retail pharmacy, there is a biennial assessment of agency practice of management of medications **at all sites housing medications**. An independent licensed pharmacist or licensed registered nurse

conducts the assessment. The report shall include, but may not be limited to:

- a) A written report of findings, including corrections required;
- b) A photocopy of the pharmacist license or a photocopy of the license of the Registered Nurse;
- c) A statement of attestation from the independent licensed pharmacist or licensed Registered Nurse that all issues have been corrected.

m For organizations that employ a licensed pharmacist, there is a biennial assessment of agency practice of management of medications **at all sites housing medications**. A licensed pharmacist or licensed registered nurse conducts the assessment. The report shall include, but may not be limited to:

- i A written report of findings, including corrections required;
- ii A photocopy of the pharmacist license or a photocopy of the license of the Registered Nurse.
- iii. A statement of attestation from the independent licensed pharmacist or licensed Registered Nurse that all issues have been corrected.

n. For organizations that conduct any of the appropriate laboratory tests on-site, documented evidence is provided that the organization's Clinical Laboratory Improvement Amendment (CLIA) Waiver is current. Refer to the list of waived tests updated January 15, 2010 on the Centers for Medicaid and Medicare Services website.

4. The "Eight Rights" for medication administration are defined and practiced within the organization and each right is expanded to describe guidelines for staff(s) use to verify that right:
- a. Right person: includes the use of at least two identifiers and verification of the physician's medication order with the label on the prescription drug container and the MAR entry to ensure that all are the same every time before a medication is taken via self-administration or administered by a licensed staff member. The amount of the medication should make sense as to the volume of liquid or number of tablets to be taken.
 - b. Right medication: includes verification of the medication order with the label on the prescription drug container and the MAR entry to verify that all are the same every time before a medication is taken via self-administration or administered by a licensed staff member. The medication is inspected for expiration date. Insulin should be verified with another person prior to administering.
 - c. Right time: includes the times the agency schedules medications, or the specific physician's instructions related to the drug.
 - d. Right dose: includes verification of the physician's medication order with the label on the prescription drug container and the Medication Administration Record entry to ensure that all are the same every time before a medication is taken via self-administration or administered by a licensed staff member. The amount of the medication should make sense as to the volume of liquid or number of tablets to be taken.
 - e. Right route: includes the method of administration.

- f. Right position: individual should be assisted to assume the correct position for the medication method or route to ensure its proper effect, instillation, and retention.
 - g. Right documentation; and
 - h. Right to refuse medications: includes staff responsibilities to encourage compliance, document the refusal, and report the refusal to the administration, nurse administrator, and physician.
- 5. There are policies and procedures governing documentation of self-administration or administration of medication.
 - a. Medication must be recorded each day and each time that it is given.
 - b. Missed, refused, or other reasons a medication is not given shall be recorded, including adverse reactions or implications.
- 6. A Medication Administration Record is in place for each calendar month that an individual takes or receives medication:
 - a. Documentation of routine, ongoing medications occur in one discreet portion of the MAR and include but may not be limited to:
 - i. Documentation by calendar month that is sequential according to the days of the month;
 - ii. A listing of all medications taken or administered during that month including a full replication of information in the physician's order for each medication:
 - 1. Name of the medication;
 - 2. Dose as ordered;
 - 3. Route as ordered;
 - 4. Time of day as ordered; and
 - 5. Special instructions accompanying the order, if any, such as but not limited to:
 - a. Must be taken with meals;
 - b. Must be taken with fruit juice;
 - c. May not be taken with milk or milk products.
 - iii. If the individual is to take or receive the medication more than one time during one calendar day:
 - 1. Each time of day must have a corresponding line that permits as many entries as there are days in the month;
 - iv. All lines representing days and times preceding the beginning or ending of an order for medications shall be marked through with a single line;
 - v. When a physician discontinues a medication order, that discontinuation is reflected by:
 - 1. The entry of "D/C" at the date and time representing the discontinuation; followed by
 - 2. A mark through of all lines representing days and times that were discontinued.
 - b. Documentation of medications that are taken or received on a periodic basis, including over the counter medications, occur in a separate discreet portion of the MAR and include but may not be limited to:
 - i. A listing of each medication taken or received on a periodic basis during that month including a full replication of information in the physician's order for each medication:
 - 1. Name of the medication;
 - 2. Dose as ordered;
 - 3. Route as ordered;
 - 4. Purpose of the medication such as but not limited to:
 - a. For upset stomach;

- b. For fever over 100F;
 - c. For itching, etc.
 - 5. Frequency that the medication may be taken such as but not limited to:
 - a. Every four hours not to exceed five doses in 24 hours;
 - b. Not to exceed two doses in 24 hours;
 - c. Every four hours until fever drops below 100F.
 - ii. The date and time the medication is taken or received is documented for each use.
 - iii. When 'prn' or 'as needed' medication is used, the effectiveness is documented.
- c. Each MAR has a legend that clarifies:
 - i. Identity of authorized staff initials using full signature and title;
 - ii. Reasons that a medication may be not given, is held or otherwise not received by the individual, such as but not limited to:
 - 1. "H" = Hospital
 - 2. "R" = Refused
 - 3. "NPO" = Nothing by mouth
 - 4. "HM" = Home Visit
- 7. For a review of medication management information in power point form, see www.dbhdd.georgia.gov; Provider Information; Provider Toolkit.

L. Person Centered Focus is Evident in Documentation

- 1. The individual's record is a legal document that is current, comprehensive and includes those persons who are:
 - a. Assessed;
 - b. Served;
 - c. Supported;
 - d. Cared for; or
 - e. Treated.
- 2. Information in the record is:
 - a. Organized;
 - b. Complete;
 - c. Current;
 - d. Meaningful;
 - e. Succinct; and
 - f. Essential to:
 - i. Provide adequate and accurate services, supports, care and treatment;
 - ii. Tell an accurate story of services, supports, care and treatment rendered and the individual's response;
 - iii. Protect the individual; their rights; and
 - iv. Comply with legal regulation.
 - g. Dated, timed, and authenticated with the authors identified by name, credential and by title;
 - i. Notes entered retroactively into the record after an event or a shift must be identified as a "late entry";
 - ii. Documentation is to be done each shift or service contact by staff providing the service;
 - iii. If notes are voice recorded and typed or a computer is used to write notes that are printed, each entry must be dated and the physical documentation must be signed and dated by the staff writing the note. Notes should then be placed in the individual's record;

- iv. If handwritten notes are transcribed electronically at a later date, the former should be kept to demonstrate that documentation occurred on the day billed.
- h. Written in black or blue ink;
- i. Red ink may be used to denote allergies or special precautions;
- j. Corrected as legally prescribed by:
 - i. Drawing a single line through the error;
 - ii. Labeling the change with the word “error”;
 - iii. Inserting the corrected information; and
 - iv. Initialing and dating the correction.
- 3. At a minimum, the individual's information shall include:
 - a. The name of the individual, precautions, allergies (or no known allergies - NKA) and “volume #x of #y” on the front of the record;
 - i. Note that the individual's name, allergies and precautions must also be flagged on the medication administration record;
 - b. Individual's identification and emergency contact information;
 - c. Financial information;
 - d. Rights, consent and legal information including but not limited to:
 - i. Consent for service;
 - ii. Release of information documentation;
 - iii. Any psychiatric or other advanced directive;
 - iv. Legal documentation establishing guardianship;
 - v. Evidence that individual rights are reviewed at least one time a year;
 - vi. Evidence that individual responsibilities are reviewed at least one time a year; and
 - vii. Legal status as it relates to Title 37.
 - e. Pertinent medical information;
 - f. Screening information and assessments, including but not limited to:
 - i. Functional, psychosocial and diagnostic assessments;
 - g. Individual service plan or individual recovery plan, including:
 - i. Identified outcomes or goals (in measurable terms);
 - ii. Interventions or activities occurring to achieve the goals;
 - iii. The individual's response to the interventions or activities (progress notes, tracking sheets, learning logs or data);
 - iv. A projected plan to modify or decrease the intensity of services, supports, care and treatment as goals are achieved; and
 - v. Discharge planning is begun at the time of admission that includes specific objectives to be met prior to decreasing the intensity of service or discharge.
 - h. Discharge summary information provided to the individual at the time of discharge that includes:
 - i. Strengths, needs, preferences and abilities of the individual;
 - ii. Services, supports, care and treatment provided;
 - iii. Achievements;
 - iv. Necessary plans for referral; and,
 - v. Service or organization to which the individual was discharged, if applicable.
 - 1. A dictated or hand-written summary of the course of services, supports, treatment or care incorporating the discharge summary information must be placed in the record within 30 days of discharge.
 - i. Progress notes or Learning Logs (for DD individuals) describing progress toward goals, including:
 - i. Implementation of interventions specified in the plan;

- ii. The individual's response to the intervention or activity based on data.
 - j. Event notes documenting:
 - i. Issues, situations or events occurring in the life of the individual;
 - ii. The individual's response to the issues, situations or events;
 - iii. Relationships and interactions with family and friends, if applicable;
 - iv. Missed appointments including:
 - 1. Findings of follow-up; and,
 - 2. Strategies to avoid future missed appointments.
 - k. Records or reports from previous or other current providers;
 - l. Correspondence.
4. Documentation in the record reflects intensity of the services, supports, care and treatment.
 - a. Frequency and style of documentation are appropriate to the frequency and intensity of services, supports, care and treatment;
 - b. Documentation includes record of contacts with persons involved in other aspects of the individual's care, including but not limited to internal or external referrals.
 5. The individual's response to the services, supports, care and treatment is a consistent theme in documentation.
 6. There is a process for ongoing communication between staff members working with the same individuals in different programs, activities, schedules or shifts.
 7. Assessments, ISPs, and documentation required by Medicaid are to be retained in the individuals' records for three years.
 8. For a review of documentation requirements in power point form, see www.dbhdd.gov; Provider Information; Provider Toolkit.

M. The Organization Maintains a System of Information Management that Protects Individual Information and that is Secure, Organized and Confidential

1. The organization has clear policies, procedures, and practices that support secure, organized and confidential management of information, to include electronic individual records if applicable.
2. Maintenance and transfer of both written and spoken information is addressed:
 - a. Personal individual information;
 - b. Billing information; and
 - c. All service related information.
3. HIPAA Privacy Rules, as outlined at 45 CFR Parts 160 and 164 are reviewed with staff and individuals and practiced.
4. Confidentiality procedures for substance abuse individual records comply with 42 CFR Part 2, Confidentiality of Alcohol and Drug Abuse Patient Records, Final Rule (June 9, 1987).
5. Authorization for release of information is obtained when individual information is to be released or shared between organizations or with others outside the organization. All applicable DBHDD policies and procedures and HIPAA Privacy Rules (45 CFR parts 160 and 164) related to disclosure and authorization of protected health information are followed. Information contained in each release of information must include:
 - a. Specific information to be released or obtained;
 - b. The purpose for the authorization for release of information;
 - c. To whom the information may be released or given;
 - d. The time period that the release authorization remains in effect (reasonable based on the topic of information, generally not to exceed a year); and,
 - e. A statement that authorization may be revoked at any time by the individual in advance of the exchange of information;

6. Exceptions to use of a release of information are clear in policy:
 - a. Release if required or permitted by law;
 - b. Release is authorized by law as a valid exception;
 - c. A valid court order or subpoena is served;
 - d. When required to share individual information with the DBHDD or any provider under contract or LOA with the DBHDD for the purpose of meeting your own obligations to the department; or
 - e. In the case of an emergency treatment situation, Protected Health Information (PHI) can be released to a health care provider.
7. The organization has written operational procedures, consistent with legal requirements governing the retention, maintenance and purging of records.
 - a. Records are safely secured, maintained, and retained for a minimum of six (6) years from the date of its creation or the date when last in effect (whichever is later).

N. The Personal Funds of an Individual are Managed by the Individual and are Protected

1. Policies and clear accountability practices regarding individual valuables and finances comply with all applicable DBHDD policies and Social Security Guide for Organizational and /or Representative Payees regarding management of personal needs spending accounts for individuals served.
2. Providers are encouraged to utilize persons outside the organization to serve as “representative payee” such as, but not limited to:
 - a. Family
 - b. Other person of significance to the individual
 - c. Other persons in the community not associated with the agency
3. The agency is able to demonstrate documented effort to secure a qualified, independent party to manage the individual’s valuables and finances when the person served is unable to manage funds and there is no other person in the life of the individual who is able to assist in the management of individual valuables or funds.
4. Individual funds cannot be co-mingled with the agency’s funds or other individuals’ funds.

O. Individuals are provided Services, Supports, Care and Treatment by Staff who are properly Licensed, Credentialed, Trained, and who are Competent

1. One or more professionals in the field are attached to the organization as employees of the organization or as consultants on contract.
 - a. The professional(s) attached to the organization have experience in the field of expertise best suited to address the needs of the individual(s) served.
 - i. Refer to Section IV of the *Standards for All Providers* for discussion of qualified professionals.
 - ii. Information regarding the professional(s) that must be attached to specific services may also be found at:
 1. Part I, Section I: *MH and AD Consumer Eligibility, Service Definitions and Service Guidelines*;
 2. Part I, Section II: *DD Consumer Eligibility, Access and Planning List, Service Definitions and Service Guidelines*.
 - b. When medical, psychiatric services involving medication or detoxification services are provided, the organization receives direction for that service from a professional with experience in the field, such as medical director, physician consultant, psychiatrist or addictionologist.
2. Organizational policy and practice demonstrates that appropriate professional staff conduct the following services, supports, care and treatment, including but not limited to:
 - a. Overseeing the services, supports, care and treatment provided to individuals;

- b. Supervising the formulation of the individual service plan or individual recovery plan;
 - c. Conducting diagnostic, behavioral, functional and educational assessments;
 - d. Designing and writing behavior support plans;
 - e. Implementing assessment, care and treatment activities as defined in professional practice acts; and
 - f. Supervising high intensity services such as screening or evaluation, assessment, partial hospitalization, and ambulatory or residential crisis services.
- 3. The type and number of professional staff attached to the organization are:
 - a. Properly licensed or credentialed in the professional field as required;
 - b. Present in numbers to provide adequate supervision to staff;
 - c. Present in numbers to provide services, supports, care and treatment to individuals as required;
 - d. Experienced and competent in the profession they represent; and
 - e. In 24 hour or residential care settings, at least one staff trained in CPR and first aid is scheduled at all times.
- 4. The type and number of all other staff attached to the organization are:
 - a. Properly trained or credentialed in the professional field as required;
 - i. Paraprofessionals working in mental health and addictive diseases services must demonstrate mastery of each topic area within the Standard Training Requirements in Essential Learning. This includes paraprofessionals in all community programs, including those affiliated with the regional hospitals. The following individuals must complete the standard training requirement:
 - i. Community program employees who are not licensed professionals or holders of an approved credential are considered paraprofessionals with regard to the standard training requirements;
 - ii. Individuals who are not licensed or do not hold an approved credential must fulfill the standard training requirements, regardless of education level;
 - iii. Contract employees providing outsourced services who fall within the paraprofessional criterion;
 - iv. Individuals who have not yet completed the certification process to be Certified Peer Specialists;
 - v. Individuals who may be eligible in the future to be licensed or certified but who are not yet licensed or certified;
 - vi. Individuals providing Psychiatric Residential Treatment Facility (PRTF) services but not staff providing services through foster care, ICSP, and child & adolescent group homes.
 - b. Present in numbers to provide services, supports, care and treatment to individuals as required; and
 - c. Experienced and competent in the services, supports, care and treatment they provide.
- 5. The organization has procedures for verifying licenses, credentials, experience and competence of staff:
 - a. There is documentation of implementation of these procedures for all staff attached to the organization; and
 - b. Licenses and credentials are current as required by the field.
- 6. Federal law, state law, professional practice acts and in-field certification requirements are followed regarding:
 - a. Professional or non-professional licenses and qualifications required to provide the services offered. If it is determined that a service requiring licensure or certification by State law is being provided by an unlicensed staff, it is the responsibility of the organization to comply with DBHDD

Policy regarding Licensing and Certification Requirements and the Reporting of Practice Act Violations.

- b. Laws governing hours of work such as but not limited to the Fair Labor Standards Act.
- 7. Job descriptions are in place for all personnel that include:
 - a. Qualifications for the job;
 - b. Duties and responsibilities;
 - c. Competencies required;
 - d. Expectations regarding quality and quantity of work; and
 - e. Documentation that the individual staff has reviewed, understands, and is working under a job description specific to the work performed within the organization.
- 8. There is evidence that a national criminal records check (NCIC) is completed for all employees who provide services, supports, care and treatment to persons served within the organization. See www.dbhdd.georgia.gov; Provider Information; Provider Manual; Section IV: "Criminal Records Checks and Investigations". DBHDD Policy, Criminal History Records Checks is followed and fingerprints are obtained by electronic fingerprint submission through Cogent Systems. See www.ga.cogentid.com:
 - a. Mandatory disqualification from employment for a minimum of five (5) years from the date of conviction, plea of no lo contendere, or release from incarceration or probation, whichever is later, is required for the following crimes:
 - i. Murder or felony murder;
 - ii. Attempted murder;
 - iii. Kidnapping;
 - iv. Rape;
 - v. Armed robbery;
 - vi. Cruelty to children;
 - vii. Sexual offenses;
 - viii. Aggravated assault;
 - ix. Aggravated battery;
 - x. Arson;
 - xi. Theft by taking, by deception or by conversion; and
 - xii. Forgery in the first degree.
 - b. The organization is prohibited from hiring into positions providing services, supports, care and treatment any persons convicted of the following:
 - i. Child, or Adult, individual or patient abuse;
 - ii. Child, or Adult, individual or patient neglect;
 - iii. Child, or Adult individual or patient mistreatment;
- 9. The organization has policies and procedures detailing all human resources practices, including but not limited to:
 - a. Processes for determining staff qualifications including:
 - i. License or certification status;
 - ii. Training;
 - iii. Experience; and
 - iv. Competence.
 - b. Processes for managing personnel information and records including but not limited to:
 - i. Criminal records checks (including process for reporting CRC status change) and
 - ii. Drivers license checks.
 - c. Provisions for and documentation of:
 - i. Timely orientation of personnel;

- ii. Periodic assessment of training needs;
 - 1. Development of activities responding to those needs; and
 - iii. Annual work performance evaluations.
 - d. Provisions for sanctioning and removal of staff when:
 - i. Staff are determined to have deficits in required competencies;
 - ii. Staff is accused of abuse, neglect or exploitation.
10. All staff, volunteers and consultants shall be trained and show evidence of competence in the following:
- a. Orientation requirements are specified for all staff and are provided **prior to direct contact with individuals** and are as follows:
 - i. The purpose, scope of services, supports, care and treatment offered including related policies and procedures;
 - ii. HIPAA and Confidentiality of individual information, both written and spoken;
 - iii. Rights and responsibilities of individuals;
 - iv. Requirements for recognizing and reporting suspected abuse, neglect or exploitation of any individual:
 - 1. To the DBHDD;
 - 2. Within the organization;
 - 3. To appropriate regulatory or licensing agencies; and,
 - 4. To law enforcement agencies.
 - b. Within the first sixty days all staff having direct contact with consumers shall receive the following training including, but not limited to:
 - i. Person centered values, principles and approaches;
 - ii. Holistic care of the individual;
 - iii. Medical, physical, behavioral and social needs and characteristics of the persons served;
 - iv. Human rights and responsibilities (*);
 - v. Promoting positive, appropriate and responsive relationships with persons served and their families;
 - vi. The utilization of:
 - 1 Positive communication (*);
 - 2 Applied Behavior Analysis (*) and
 - 3 Crisis intervention techniques to de-escalate challenging and unsafe behaviors (*)
 - i. Nationally benchmarked techniques for safe utilization of emergency interventions of last resort (if such techniques are permitted in the purview of the organization);
 - vii. Ethics, cultural preferences and awareness;
 - viii. Fire safety (*)
 - ix. Emergency and disaster plans and procedures (*)
 - x. Techniques of standard precautions, including:
 - 1 Preventative measures to minimize risk of HIV;
 - 2 Current information as published by the Centers for Disease Control (CDC); and
 - 3 Approaches to individual education.
 - xi. CPR/AED through the American Heart Association or the American Red Cross.
 - 1. All medically licensed staff (nurses, physicians, psychiatrists, dentists, and CNAs) are required to have the Professional Rescuers level of training (Basic Life Support for Healthcare Providers and AED or CPR/AED for the Professional Rescuer).
 - 2. All other staff should have the Lay Rescuers level of training (Heartsaver CPR and AED or CPR/AED).

- xii First aid and safety;
 - xiii Specific individual medications and their side effects (*)
 - xiv Services, support, care and treatment specific topics appropriate to the care of persons served, such as but not limited to:
 - 1 Symptom management;
 - 2 Principles of recovery relative to individuals with mental illness;
 - 3 Principles of recovery relative to individuals with addictive disease;
 - 4 Principles of recovery and resiliency relative to children and youth; and
 - 5 Relapse prevention.
 - xv A minimum of 16 hours of training must be completed annually to include the trainings noted by an asterisk (*) in 10.b, VIII, IX, XIII above.
3. The organization details in policy by job classification:
 - a. Training that must be repeated annually;
 - b. Additional training required for professional level staff;
 - c. Additional training required for all other staff.
 4. Regular review and evaluation of the performance of all staff is evident at least annually.
 - a. The evaluation should occur annually;
 - b. Managers who are clinically, administratively and experientially qualified conduct evaluations.
 5. It is evident that the organization demonstrates administration of personnel policies without discrimination.

P. The Service Environment Demonstrates Respect for the Persons Served and is Appropriate to the Services Provided

1. Services are provided in an appropriate environment that is respectful of persons supported or served. The environment is:
 - a. Clean;
 - b. Age appropriate;
 - c. Accessible (individuals who need assistance with ambulation shall be provided bedrooms that have access to a ground level exit to the outside or have access to exits with easily negotiable ramps or accessible lifts. The home shall provide at least two (2) exits, remote from each other that are accessible to the individuals served).
 - d. Individual's room's personalized
 - e. Adequately lighted, ventilated, and temperature controlled.
2. There is sufficient space, equipment and privacy to accommodate:
 - a. Accessibility;
 - b. Safety of persons served and their families or others;
 - c. Waiting;
 - d. Telephone use for incoming and outgoing calls that is accessible and maintained in working order for persons served or supported; and
 - e. To provide identified services and supports.
3. The environment is safe:
 - a. All local and state ordinances are addressed;
 - i. Copies of inspection reports are available;
 - ii. Licenses or certificates are current and available as required by the site or the service.
 - b. There is evidence of compliance with fire safety codes, including but not limited to:
 - i. Inspection of equipment;

- ii. Fire drills are conducted for individuals and staff;
 - 1. Once a month at alternating times; including
 - 2. Twice a year during sleeping hours if residential services.
 - 3. All fire drills shall be documented with staffing involved
 - 4. DBHDD maintains the right to require an immediate demonstration of a fire drill during any on-site visit.
 - c. When food service is utilized, required certifications related to health, safety and sanitation are available.
 - d. A three day supply of non-perishable emergency food and water is available for all individuals supported in residences.
 - e. A residence shall arrange for and serve special diets as prescribed.
- 4. There are policies, written procedures and evidence of practice such as but not limited to:
 - a. Preventative maintenance;
 - b. Environmental safety and hazards;
 - c. Equipment use; and
 - d. Cleanliness.
- 5. Policies, plans and procedures are in place that addresses emergency notification and preparedness. Supplies needed for emergency evacuation are maintained in a readily accessible manner, including individuals' information, family contact information and current copies of physician's orders for all consumer medications.
 - a. Plans include detailed information regarding evacuating, transporting, and relocating individuals that coordinate with the local Emergency Management Agency and at a minimum address:
 - i. Medical emergencies;
 - ii. Missing persons;
 - 1. Georgia's Mattie's Call Act provides for an alert system when an individual with developmental disabilities, dementia, or other cognitive impairment is missing. Law requires residences licensed as Personal Care Homes to notify law enforcement within 30 minutes of discovering a missing individual.
 - iii. Natural disasters known to occur, such as tornadoes, snow storms or floods;
 - iv. Power failures;
 - v. Continuity of medical care as required; and
 - vi. Notifications to families or designees.
 - b. On a regular basis, emergency preparedness notice and plans are:
 - i. Reviewed;
 - ii. Tested at least quarterly for emergencies that occur locally on a less frequent basis such as but not limited to flood, tornado or hurricane;
 - iii. Drilled with more frequency if there is a greater potential for the emergency.
- 6. Residential living support service options;
 - a. Are integrated and inclusive environments within established residential neighborhoods;
 - b. Are of a type ordinarily considered to be single family units;
 - c. Have space for informal gatherings;
 - d. Have personal space and privacy for persons supported; and
 - e. **Are understood to be the "home" of the person supported or served.**
- 7. Cameras may be used in common areas of programs that are not personal residences such as Crisis Stabilization Programs where visualization of blind areas is necessary for an individual's safety. Cameras may not be used in the following instances:
 - a. In an individual's personal residence;
 - b. In lieu of staff presence; or

- c. In the bedroom of individuals as it is an invasion of privacy and is strictly prohibited.
- 8. There are policies, procedures, and practices for transportation of persons supported or served in residential services and in programs that require movement of persons served from place to place.
 - a. Policies and procedures apply to all vehicles used, including:
 - i. Those owned or leased by the organization;
 - ii. Those owned or leased by subcontractors; and
 - iii. Use of personal vehicles of staff.
 - b. Policies and procedures include, but are not limited to:
 - i. Authenticating licenses of drivers;
 - ii. Proof of insurance;
 - iii. Routine maintenance;
 - iv. Requirements for evidence of driver training;
 - v. Safe transport of persons served;
 - vi. Requirements for maintaining attendance of person served while in vehicles;
 - vii. Safe use of lift;
 - viii. Availability of first aid kits;
 - ix. Fire suppression equipment; and
 - x. Emergency preparedness.
- 9. Access is promoted at service sites deemed as intake, assessment or crisis programs through:
 - a. Clearly labeled exterior signs; and
 - b. Other means of direction to service and support locations as appropriate.

Q. The Organization that Contracts with Other Organizations Ensures the Affiliate's Compliance and Capacity to Provide Care (Including Host Homes)

- 1. The organization remains responsible for the affiliate's compliance with:
 - a. Contract requirements;
 - b. Standards of practice and specified requirements in the Provider Manual for the Department of BHDD, including *Standards for All Providers*;
 - c. Licensure requirements;
 - d. Accreditation or certification requirements; and
 - e. Quality improvement and risk reduction activities.
- 2. The affiliate's capacity to provide quality care is monitored, including:
 - a. Financial oversight and management of individual funds;
 - b. Staff competency and training;
 - c. Mechanisms that assure care is provided according to the plan of care for each individual served; and
 - d. The requirement for a Host Home Study when contracting with a Host Home provider.
- 3. There is evidence of active oversight of the affiliate's capacity and compliance.
- 4. A report shall be made quarterly to the agency's Board of Directors regarding:
 - a. Services provided by affiliate;
 - b. Quality of performance of the affiliate.
- 5. A report shall be made to the DBHDD Regional Office prior to the end of the first quarter and third quarter of the fiscal year that includes:
 - a. Name of the affiliate or contractor;
 - b. Contact name for affiliate or contractor;
 - c. Contact information for affiliate or contractor;
 - d. Disability group(s) served;
 - e. Specific service(s) provided;
 - f. Number of persons in service; and
 - g. Annualized amount paid to affiliate.

R. Faith or Denominationally Based Organizations who receive Federal or State Monies address issues specific to being a Faith or Denominationally Based Organization in their Policies and Practice

1. Individuals or recipients of services are informed about the following issues relative to faith or denominationally based organizations:
 - a. Its religious character;
 - b. The individual's freedom not to engage in religious activities;
 - c. Their right to receive services from an alternative provider;
 - i. The organization shall, within a reasonable time after the date of such objection, refer the individual to an alternative provider.
2. If the organization provides employment that is associated with religious criteria, the individual must be informed.
3. In no case may federal or state funds be used to support any inherently religious activities, such as but not limited to:
 - a. Inherently religious activities;
 - b. Religious instruction; or
 - c. Proselytizing.
4. Organizations may use space in their facilities to provide services, supports, care and treatment without removing religious art, icons, scriptures or other symbols.
5. In all cases, rules found at 42 CFR Parts 54, 54a and 45 CFR Parts 96, 260 and 1050 *Charitable Choice Provisions and Regulations: Final Rules* shall apply.

S. PROFESSIONAL DESIGNATIONS. When the requirement for a degree in a course of study is referenced, the degree must be from an accredited college or university.

- A. Developmental Disability Professional (DDP).** The duties of the DDP include, but are not limited to:
- h. Overseeing the services and supports provided to participants;
 - i. Supervising the formulation and implementation of the participant's plan for delivery of services;
 - j. Conducting functional assessments; and
 - k. Supervising high intensity services.

The following are considered to be a Developmental Disability Professional:

1. **Advanced Practice Nurse:** practice by a registered professional nurse who meets those educational practice and certification requirements, or any combination of such requirements, as specified by the Georgia Board of Nursing and includes certified nurse midwives, nurse practitioners, certified registered nurse anesthetists, clinical nurse specialists in psychiatric/mental health, and others recognized by the board and who have one year experience in treating persons with developmental disabilities.
2. **Educator:** An educator with a degree in education from an accredited program and with specialized training or one year of experience in working with persons with mental retardation or developmental disabilities.
3. **Human Service Professional:** a human services professional with a bachelor's degree in social work or a bachelor's degree in human services field other than social work (including the study of human behavior, human development or basic human care needs) and with specialized training or one year of experience in working with persons with mental retardation or developmental disabilities.
4. **Masters or Doctoral Degree Holders:** in one of the behavioral or social sciences that is primarily psychological in nature, and documentation of two (2) years of supervised clinical experience under the supervision of a licensed professional or one year of experience in working with persons with mental retardation or developmental disabilities.

5. **Physical or Occupational Therapist:** a licensed physical or occupational therapist who has specialized training or one year of experience in treating persons with mental retardation or developmental disabilities.
6. **Physician:** a physician licensed under state law to practice medicine or osteopathy and with specialized training or one year of experience in treating persons with mental retardation or developmental disabilities.
7. **Physician's Assistant:** a person qualified by academic and practical training to provide patients' services under the direction or supervision of a physician through protocol and who has one year experience in treating persons with developmental disabilities.
8. **Psychologist:** a holder of a doctoral degree from an accredited university or college and who is licensed as a psychologist in the state of Georgia and who has specialized training or one year of experience in mental retardation or developmental disabilities.
9. **Registered Nurse (Associate Degree or Diploma):** a registered nurse who is authorized by a license to practice nursing as a registered professional nurse, who holds an associate or diploma degree in nursing and who has three years of experience, two of which are in mental retardation or developmental disabilities.
10. **Registered Nurse (Bachelor Degree):** a registered nurse who is authorized by license to practice nursing as a registered professional nurse and who holds a bachelor's degree in nursing with one year experience in mental retardation or developmental disabilities.
11. **Speech Pathologist or Audiologist:** a licensed speech pathologist or audiologist who has specialized training or one year of experience in treating persons with mental retardation or developmental disabilities.
12. **Therapeutic Recreation Specialist:** A therapeutic recreation specialist who is a graduate of an accredited program and who has specialized training or one year experience in working with persons with mental retardation or developmental disabilities.
13. **Behavior Specialist:** Completion of a Master's degree in psychology, school psychology, counseling, vocational rehabilitation or a related field which included one course in psychometric testing and two courses in any combination of the following: behavior analysis or modification, therapeutic intervention, counseling, or psychosocial assessment **OR** Completion of a Bachelor's degree in psychology, counseling or a related field which included one course in psychometric testing and two courses and two courses in any combination of the following: behavior analysis or modification, counseling, learning theory or psychology of adjustment **AND** Two years of individualized treatment programming, monitoring and observing behavior; collecting and recording behavioral observations in a treatment setting and developing and implementing behavior management plans. Assisting with the administration and scoring of intelligence, personality and/or achievement and skills tests.
14. **Board Certified Behavior Analyst (BCBA):** Completion of a Master's degree AND 225 hours of approved graduate coursework AND 1500 hours of experience in the field with 5% of those hours being supervised by a BCBA AND receiving a passing score on the Behavior Analyst Certification Board Exam AND maintaining prescribed number of continuing education units annually.

B. Behavioral Health Practitioners.

Table of Practitioners for Community BH Provider Agencies:

Professional Title	Minimum Level of Education/Degree/Experience Required	License/Certification Required	Requires Supervision?	State Code

Physician (M.D., D.O., etc.)	Graduate of medical or osteopathic college	Licensed by the Georgia Composite Board of Medical Examiners	No. Additionally, can supervise others	43-34-20 to 43-34-37
Psychiatrist (M.D., etc.)	Graduate of medical or osteopathic college and a residency in psychiatry approved by the American Board of Psychiatry and Neurology	Licensed by the Georgia Composite Board of Medical Examiners	No. Additionally, can supervise others	43-34-20 to 43-34-37
Physician's Assistant (PA)	Completion of a physician's assistant training program approved by the Georgia Composite Board of Medical Examiners -- at least 1 year of experience in behavioral healthcare required to supervise CPRP, CPS, or PP staff	Licensed by the Georgia Composite Board of Medical Examiners	Physician delegates functions to PA through Board-approved job description.	43-34-100 to 43-34-108
Advanced Practice Registered Nurse (APRN): Clinical Nurse Specialist/Psychiatric-Mental Health (CNS-PMH) and Nurse Practitioner (NP)	R.N. and graduation from a post-basic education program for Nurse Practitioners Master's degree or higher in nursing for the CNS/PMH -- Nurse Practitioners must have at least 1 year of experience in behavioral healthcare to supervise CPRP, CPS, or PP staff	Current certification by American Nurses Association, American Nurses Credentialing Center or American Academy of Nurse Practitioners and authorized as an APRN by the Georgia Board of Nursing	Physician delegates advanced practice functions to APRN, CNS-PMH, NP through Board-approved nurse protocol agreements.	43-26-1 to 43-26-13, 360-32
Licensed Pharmacist (LP)	Graduated and received an undergraduate degree from a college or school of pharmacy; completed a Board-approved internship and passed an examination.	Licensed by the Georgia State Board of Pharmacy	No	26-4
Registered Nurse (RN)	Georgia Board of Nursing-approved nursing education program -- at least 1 year of experience in behavioral healthcare required to supervise CPRP, CPS, or PP	Licensed by the Georgia Board of Nursing	By a physician	43-26-1 to 46-23-13
Licensed Practical Nurse (LPN)	Graduation from a nursing education program approved by the Georgia Board of Licensed Practical Nursing.	Licensed by Georgia Board of Licensed Practical Nursing	By a Physician or RN	43-26-30 to 43-26-43
Licensed Dietician (LD)	- Bachelor's degree or higher with a degree in dietetics, human nutrition, food and nutrition, nutrition education or food systems management. - Satisfactory completion of at least 900 hours of supervised experience in dietetic practice	Licensed by Georgia Board of Licensed Dieticians	No	43-11A-1 to 43-11A-19
Qualified Medication Aide (QMA)	Completion of a prescribed course conducted by the Georgia Department of Technical and Adult Education and pass examination for qualified medication aides approved by the Georgia Board of Licensed Practical Nursing.	Certified by the Georgia Board of Licensed Practical Nursing	Supervised by RN performing certain medication administration tasks as delegated by RN or LPN.	43-26-50 to 43-26-60
Psychologist (PhD)	Doctoral Degree	Licensed by the Georgia Board of Examiners of Psychologists	No. Additionally, can supervise others	43-39-1 to 43-39-20

Licensed Clinical Social Worker (LCSW)	Masters degree in Social Work plus 3 years' supervised full-time work in the practice of social work after the Master's degree.	Licensed by the Georgia Composite Board of Professional Counselors, Social Workers, and Marriage and Family Therapists	No. Additionally, can supervise others	43-10A
Licensed Professional Counselor (LPC)	Master's degree	Licensed by the Georgia Composite Board of Professional Counselors, Social Workers, and Marriage and Family Therapists	No. Additionally, can supervise others	43-10A
Licensed Marriage and Family Therapist (LMFT)	Master's degree	Licensed by the Georgia Composite Board of Professional Counselors, Social Workers, and Marriage and Family Therapists	No. Additionally, can supervise others	43-10A
Licensed Master's Social Worker (LMSW)	Master's degree in Social Work	Licensed by the Georgia Composite Board of Professional Counselors, Social Workers, and Marriage and Family Therapists	Works under direction and supervision of an appropriately licensed/credentialed professional.	43-10A
Licensed Associate Professional Counselor (LAPC)	Master's degree	Licensed by the Georgia Composite Board of Professional Counselors, Social Workers, and Marriage and Family Therapists	Works under direction and supervision of an appropriately licensed/credentialed professional	43-10A
Licensed Associate Marriage and Family Therapist (LAMFT)	Master's degree	Licensed by the Georgia Composite Board of Professional Counselors, Social Workers, and Marriage and Family Therapists	Works under direction and supervision of an appropriately licensed/credentialed professional	43-10A
Certified Clinical Alcohol and Drug Counselor (CCADC)	Master's degree; Also requires minimum of 2 years or 4,000 hours experience in direct alcohol and drug abuse treatment with individual and/or group counseling and a total of 270 hours of addiction-specific education and 300 hours of supervised training.	Certification by the Alcohol and Drug Certification Board of Georgia; International Certification and Reciprocity Consortium / Alcohol and Other Drug Abuse (IC&RC)	Services limited to those practices sanctioned by the certifying board and shall in any event be limited to the provision of chemical dependency treatment	43-10A-7
Georgia Certified Alcohol and Drug Counselor Level III (GCADC III)	Master's degree; Also must have been certified by a national organization and have taken a written and oral examination in the past and must have been continuously certified for a period of 2 years; Must meet the standards outlined in the Ga. Code rules posted on the licensing board website: Perform the 12 core functions; Education and training; Supervised practicum; Experience and supervision	Certification by the Alcohol and Drug Certification Board of Georgia (ADACB-GA)	Services limited to those practices sanctioned by the certifying board and shall in any event be limited to the provision of chemical dependency treatment	43-10A-7

Master Addiction Counselor (MAC) National Board of Certified Counselors (NBCC)	Master's Degree Documentation of a minimum of 12 semester hours of graduate coursework in the area of OR 500 CE hours specifically in addictions. Three years supervised experience as an addictions counselor at no fewer than 20 hours per week. Two of the three years must have been completed after the counseling master's degree was conferred. A passing score on the Examination for Master Addictions Counselors (EMAC).	Certification by the National Board if Certified Counselors (NBCC) Nationally Certified Counselor (NCC) credential – must be Licensed by the Georgia Composite Board of Professional Counselors, Social Workers, and Marriage and Family Therapists	Services limited to those practices sanctioned by the certifying board and shall in any event be limited to the provision of chemical dependency treatment	43-10A-7
Master Addiction Counselor, (MAC) through National Association of Alcohol and Drug Counselors, (NAADC)	Master's degree; 500 contact hours of specific alcoholism and drug abuse counseling training). Three years full-time or 6,000 hours of supervised experience, two years or 4,000 hours of which must be post master's degree award. Passing score on the national examination for the MAC	Certification by the National Association Alcohol & Drug Counselors' Current state certification /licensure in alcoholism and/or drug abuse counseling. Passing score on the national examination for the MAC	Services limited to those practices sanctioned by the certifying board and shall in any event be limited to the provision of chemical dependency treatment	43-10A-7
Certified Alcohol and Drug Counselor (CADC)	Bachelor' s degree; Also requires minimum of 2 years or 4,000 hours experience in direct alcohol and drug abuse treatment with individual and/or group counseling and a total of 270 hours of addiction-specific education and 300 hours of supervised training	Certification by the Alcohol and Drug Certification Board of Georgia (ADACB-GA) International Certification and Reciprocity Consortium / Alcohol and Other Drug Abuse (IC&RC)	Services limited to those practices sanctioned by the certifying board and shall in any event be limited to the provision of chemical dependency treatment	43-10A-7
Georgia Certified Alcohol and Drug Counselor II (GCADC II)	Bachelors degree; Must be certified by a national organization and have taken a written and oral examination; Must have been continuously certified for a period of 2 years; Must meet the standards outlined in the Ga. Code rules posted on the licensing board website: Perform the 12 core functions; Education and training; Supervised practicum; Experience and supervision	Certification by the Alcohol and Drug Certification Board of Georgia (ADACB-GA)	Services limited to those practices sanctioned by the certifying board and shall in any event be limited to the provision of chemical dependency treatment	43-10A-7
Certified Addiction Counselor, Level II (CAC-II)	Bachelor's degree; Requires 3 years of experience in practice of chemical dependency/abuse counseling; 270 hours education in addiction field; and 144 hours clinical supervision	Certification by the Georgia Addiction Counselors' Association	Services limited to those practices sanctioned by the certifying board and shall in any event be limited to the provision of chemical dependency treatment	43-10A-7
Certified Addiction Counselor, Level I (CAC-I)	High School Diploma/Equivalent; Requires 2 years of experience in the practice of chemical dependency/abuse counseling; 180 hours education in addiction field; and 96 hours clinical supervision.	Certification by the Georgia Addiction Counselors' Association	Services limited to those practices sanctioned by the certifying board and shall in any event be limited to the provision of chemical dependency treatment, Under supervision of a Certified Clinical Supervisor	43-10A-7

Registered Alcohol and Drug Technician I, II, III (RADT-I, RADT-II, RADT-III)	High school diploma or its equivalent and must be enrolled in a junior college, college or university. Must document a minimum of one (1) year or two thousand (2000) hours experience of direct service (alcohol and drug counseling). Once the RADT has completed 30 college credit hours he/she is eligible to take the ICRC written exam. Upon passing the ICRC Written exam, a RADT-II certificate is issued. Once the RADT-II has completed 60 college credit hours, he/she is eligible to take the oral case presentation. Upon successful completion of the oral case presentation, receives a RADT-III certificate is issued. Upon completion of BS degree and experience a CADC will be issued	Registered/certified by the Alcohol and Drug Certification Board of	Services limited to those practices sanctioned by the certifying board and shall in any event be limited to the provision of chemical dependency treatment, Under supervision of a Certified Clinical Supervisor: CADC; CCADC, LPC, LCSW	43-10A-7
Addiction Counselor Trainees (ACT)	High school diploma/equivalent and actively pursuing certification as CAC-I, CAC-II, RADT I, II, III; CADC or CCADC or other addiction counselor certification recognized by practice acts.	Employed by an agency or facility that is licensed to provide addiction counseling	Under supervision of a Certified Clinical Supervisor (CCS); CADC; CCADC	
Certified Psychiatric Rehabilitation Professional (CPRP)	High school diploma/equivalent, Associates Degree, Bachelor's Degree, Graduate Degree with required experience working in Psychiatric Rehabilitation (varies by level and type of degree)	Certified by the US Psychiatric Rehabilitation Association (USPRA, formerly IASPRS)	Under supervision of an appropriately licensed/credentialed professional	
Certified Peer Specialist (CPS)	High school diploma/equivalent	Certification by the Georgia Certified Peer Specialist Project Requires a minimum of 40 hours of Certified Peer Specialist Training, and successful completion of a certification exam.	Services shall be limited to those not requiring licensure, but are provided under the supervision of an appropriately licensed/credentialed professional.	
Paraprofessional (PP)	Completion of Standardized Training Requirement for Paraprofessionals approved by the Department of Community Health (includes training provided by the organization and on-line training provided via Essential Learning.)	Completion of a minimum of 46 hours of paraprofessional training and successful completion of all written exams and competency-based skills demonstrations.	Under supervision of an appropriately licensed/credentialed professional	

Psychologist/LCSW/ LPC/LMFT's supervisee/trainee (S/T)	Minimum of a Bachelor's degree and one or more of the following: a. Registered toward attaining an associate or full licensure; b. In pursuit of a Master's degree that would qualify the student to ultimately qualify as a licensed practitioner; c. Not registered, but is acquiring documented supervision toward full licensure (signed attestation by practitioner and supervisor to be on file with personnel office)	Under supervision in accordance with the GA Composite Board of Professional Counselors, Social Workers, and Marriage and Family Therapists or enrolled in a practicum with an accredited educational Master's degree program which provides supervision as a part of a curriculum which is the foundation toward licensure	Under supervision of a licensed Psychologist/LCSW, LPC, or LMFT in accordance with the GA Composite Board of Professional Counselors, Social Workers, and Marriage and Family Therapists or enrolled in a practicum with an accredited educational Master's degree program which provides supervision as a part of a curriculum which is the foundation toward licensure	43-10A
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T. WAIVERS TO STANDARDS

The organization may not exempt itself from any of these standards or any portion of the provider manual. All requests for waivers of these standards must be done in accordance with applicable DBHDD policies regarding waiver of standards. Individual standards and provider manual requirements may be requested to be waived by written request to the contracting Regional Coordinator for the Department of BHDD. For any request, approval must be given, in writing, by the:

1. Regional Coordinator for the Department of BHDD
2. Executive Director of the Disability Section for the Department of BHDD

There will be no waiver of standards given related to any licensed service or Medicaid-reimbursable service.

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Part II

Community Service Standards

SECTION II

Crisis Stabilization Standards for Adults

Fiscal Year 2011



**Georgia Department of Behavioral Health &
Developmental Disabilities**

July 2010

**DEPARTMENT OF BEHAVIORAL HEALTH AND
DEVELOPMENTAL DISABILITIES¹⁰**

**CORE REQUIREMENTS FOR ADULT CRISIS STABILIZATION PROGRAMS
Operated by COMMUNITY SERVICE BOARDS**

Effective July 1, 2001

Crisis Stabilization Program standards for adults are incorporated by reference into those found in the State of Georgia, Department of Behavioral Health and Developmental Disabilities document entitled “Standards for All Providers”.¹⁰

The CSP standards document has been footnoted to indicate modifications and additions to the standards since their inception. Crisis Stabilization Program standards that arose from issues resulting from the Certificate of Need concern addressed in the “Letter of Agreement” between the Department of Community Health and DHR Division of MHDDAD, signed on the 28th day of February, 2001 by George P. A. Newby, representing DCH and by Jerry Lovrien, representing DHR, have not been modified and may be modified only pursuant to agreement between DHR and DCH.

SSr 11.1. DESCRIPTION OF THE PROGRAM

SSr 11.1(a). Crisis Stabilization Program is a medically monitored short-term residential service operated by the Community Service Board⁴ for the purpose of providing psychiatric stabilization and detoxification services. The crisis stabilization program must be designated by the Department as both an emergency receiving facility and an evaluating facility.

Interpretive guideline 1: The department may designate any private facility or such portion of a certified community mental health and substance abuse program which complies with the standards for a CSP within the State of Georgia at the request of or with the consent of the governing officers of such facility. Rules of DHR MHMRSA ERETF 290-4-1-.02(a). Et. Seq.

Interpretive guideline 2: As defined in the Rules of DHR MHMRSA ERETF 290-4-1-.01(b), the term “Crisis Stabilization Program (“CSP”) means a short term residential program operated as a part of a comprehensive community mental health and substance abuse program [operated by a Community Service Board or by a Department of Behavioral Health and Developmental Disabilities (DBHDD) state hospital facility]^{4/10} for the purpose of providing psychiatric stabilization or detoxification services, which complies with applicable Community Service Standards contained within the *Provider Manual for Community Mental Health*,

⁴ CSP’s may be state operated effective FY04

¹⁰ Updated FY10

Developmental Disabilities and Addictive Diseases for The Department of Behavioral Health and Developmental Disabilities Providers..

Interpretive guideline 3: Crisis stabilization programs are state supported residential services provided as a part of a Community Service Board⁴ and designed to serve as a first line alternative to hospitalization in state hospitals, offering psychiatric stabilization and detoxification services on a short term basis.

Interpretive guideline 4: The target population served in the CSP is adults (age 18 or older) with severe and persistent mental illness, persons with substance related disorders and persons with co-occurring mental health and substance use needs.

Interpretive guideline 5: Emancipated minors and juveniles who are age 17 may be served within these programs when their need for stabilization can be met by the CSP, when they do not need specialized child and adolescent services, and when their life circumstances demonstrate they are more appropriately served in an adult environment. Such admissions must be approved by the Medical Director.

Interpretive guideline 6: Residential detoxification services offered within the CSP **shall not exceed** services described in Level III.7 of the *American Society for Addiction Medicine Patient Placement Criteria* (ASAM), Second Edition, April 2001.

Interpretive guideline 7: NOTE: Twenty-four hour residential services offering detoxification ONLY shall be licensed by the Healthcare Facility Regulation Division under the “Rules of Department of Human Resources Chapter 290-4-2: Drug Abuse Treatment and Education Programs”. These CSP standards shall not apply.

Interpretive guideline 8: **Psychiatric stabilization services** offered within the CSP **shall not exceed** services described in Level Six of the *Level of Care Utilization System for Psychiatric and Addiction Services, Adult Version 2000* (LOCUS), published by the American Association of Community Psychiatrists, August 2006 (most recent version).¹⁰

Interpretive guideline 9²: The term “emergency receiving facility” means a facility designated by the department to receive patients under emergency conditions as provided in Part 1 of Article 3 of Chapter 3 or of Chapter 7 of Title 37. Rules of DHR MHMRSA ERETF 290-4-1-.01(d).

Interpretive guideline 10²: The term “evaluating facility” means a facility designated by the department to receive patients for evaluation as provided in Part 2 of Article 3 or of Chapter 7 of Title 37. Rules of DHR MHMRSA ERETF 290-4-1-.01(e).

¹⁰ Updated citation added FY08

² Added to CSP Standards FY02

¹⁰ Updated FY2010

Interpretive guideline 11²: Designation reviews will be conducted for physical plant, safety and food service according to the specifications outlined in the Rules for Drug Abuse Treatment & Education Programs, Chapter 290-4-2, section .11 “Physical Plant and Safety” and section .12 “Food Service”.

Interpretive guideline 12⁶: CSP’s that are newly constructed or CSP’s undergoing physical plant modifications after June 30, 2005 shall address safety issues to minimize the opportunity for self-harm of an individual such as, but not limited to the following:

- Shower fixtures in bathrooms shall be flush-mounted in the wall
- Headers supporting bathroom stalls shall be flush-mounted to the ceiling
- There shall be two avenues of visual access into the seclusion and restraint room, one of which shall be through a shatterproof window in the locked door. The room shall have a minimum fifty (50) square feet in area and the door to the room can be opened from the outside.¹⁰
- Blind spots on the unit and in the seclusion and restraint room shall be addressed through use of convex mirrors allowing for visual access. A room used for seclusion or restraint must:
 - i. Allow staff full view of the resident in all areas of the room;
 - ii. Be free of potentially hazardous conditions such as unprotected light fixtures and electrical outlets
- Video cameras are not a permitted alternative to direct observation of an individual in the seclusion or restraint room.
- Doors to bedrooms shall be hung on hinges that swing both in to the room and out from the room⁷ Note that if a building is being *modified* and it is not possible for the door to swing both ways, the door should be mounted to open away from the room.
- Facility must have a satisfactory food service permit score, if applicable. Facility may utilize meal preparation services from an affiliated or contracted entity with a current food service permit. A copy of the current food service permit must be on file in the facility. Should the facility elect to have meals prepared off-site, the facility will have a modified kitchen that includes a microwave, a refrigerator, and clean-up facilities.¹⁰
- Facility must maintain a daily temperature log for freezer and refrigerator.¹⁰
- Foods, drinks and condiments shall be dated when opened.¹⁰
- Facility must have a sufficient designated area to accommodate meal service. This area may double as a group or activity area.¹⁰
- Facility maintains a temperature between 65 and 82 degrees F that ensures the comfort and safety of all clients.¹⁰
- Facility is free of offensive odor and noise.¹⁰
- Ramps are built according to specifications of Section 504 of the Rehabilitation Act of 1973.¹⁰
- The facility enforces a nonsmoking policy, but may provide a designated smoking area. If smoking is permitted, the facility designates and confines smoking to the designated smoking area.¹⁰

¹⁰ Added to CSP standards FY10

⁶ Added to CSP Standards FY06

⁷ Added to CSP Standards FY07

- Outdoor client area must be secured for safety and privacy.¹⁰
- Pre-admission waiting area, including restroom, must meet all safety requirements applicable to designated client areas.¹⁰
- Multi client bedrooms shall have a minimum of 60 sq ft per client and a private room shall not be less than 100 sq ft.¹⁰
- Beds must be either weighted or secured to the floor.¹⁰
- Prohibited bed types include but not limited to beds with springs, cranks, rails or wheels. The use of hospital beds is discouraged and rollaway, cots, double deck, stacked; hide-a-bed and studio couches are not to be used in lieu of standard beds.¹⁰
- Facility lighting shall be sufficient enough for reading and other activities.¹⁰
- Gender specific restrooms shall have adequate ventilation and have an adequate number of sinks, toilets and showers to accommodate the population served.¹⁰
- Exposed plumbing pipes shall be covered to prevent client access.¹⁰
- Rods/curtains utilized for privacy shall be designed not to sustain more than 30 pounds.¹⁰
- Water temperature for consumer usage must be maintained between 110-120 degrees. For those facilities providing onsite food service, a separate water heater is designated for usage.¹⁰
- Facility windows and mirrors must be either temper glass, plastic or shatterproof.¹⁰

Interpretive guideline 13: Facilities are accessible to and usable by physically disabled individuals and must meet the minimum requirements of Section 504 of the Rehabilitation Act of 1973. Centers install required alterations or modifications in accordance with the 1984 Law of Georgia regarding Access to and Use of Public Facilities by Physically Handicapped Persons: O.C.G.A. Section 30-3-1 et. Seq.

SSr 11.1(b). The Crisis Stabilization Program shall describe its capacity to serve voluntary and involuntary clients.

Interpretive guideline 1^{6.1}: The program description of the CSP clearly describes their service mission including its capacity to carry out the emergency receiving and evaluating functions of the CSP.

Interpretive guideline 2: The CSP clearly outlines their voluntary and involuntary admission criteria and there is evidence of documented practice of the established admission criteria.¹⁰

SSr 11.1(c). The Crisis Stabilization Program is NOT a designated treatment facility as defined by O.C.G.A. 37-3 and 37-7.

Interpretive guideline 1: The term ‘treatment facility’ means a facility designated by the department to receive patients for treatment as provided in Part 3 of Article 3 of Chapter 3 of Title 37. Rules of DHR MHMRSA ERETF 290-4-1-.01(f).

^{6.1} Modified FY06

Interpretive guideline 2: The program description of the CSP clearly states that it is not a designated treatment facility or service.

SSr 11.1(d). The Crisis Stabilization Program shall not use the word “inpatient” anywhere for any purpose to describe the services offered within the CSP.

Interpretive guideline 1: The program description and all other documents within the CSB and CSP shall describe the services offered within the CSP as *residential* services.

SSr 11.1(e). The Crisis Stabilization Program shall not hold itself out as a hospital or bill as a hospital for inpatient service.

Interpretive guideline 1: There is no evidence that the CSP is holding itself out as a hospital or that it is billing for hospital or inpatient services.

SSr 11.1(f).² The CSP shall not operate in a manner or offer any service that brings them within the purview of Georgia’s Certificate of Need (CON) Program as defined by the CON Statute and Rules (O.C.G.A. 31-6-1 et. seq. and O.C.R.R. 272-2-1 et. seq.).

Interpretive guideline 1: There is no evidence that the CSP is operating in a manner or offering any service which brings them within the purview of Georgia’s Certificate of Need (CON) Program.

SSr 11.2 CERTIFICATION OF THE CRISIS STABILIZATION PROGRAM

SSr 11.2. The Crisis Stabilization Program shall be surveyed for compliance with State standards.

Interpretive guideline 1: Any Crisis Stabilization Program (CSP), to be eligible for designation, shall be a part of a comprehensive community mental health and substance abuse program and shall be in compliance with: 1) Standards for All Providers found in the *Provider Manual for Community Mental Health, Developmental Disabilities and Addictive Diseases for the Department of Behavioral Health and Developmental Disabilities*¹⁰ and 2) the Department of Human Resources Grants to Counties Policy Manual. Rules of DHR MHMRSA ERETF 290-4-1-.02(d).

Interpretive guideline 2⁶: Any state Crisis Stabilization Program (CSP), to be eligible for designation, shall be operated by an accredited and licensed (if applicable) healthcare authority and shall be in compliance with: 1) Standards for All Providers found in the *Provider Manual for Community Mental Health, Developmental Disabilities and Addictive Diseases for the Department of Behavioral Health and Developmental Disabilities*¹⁰ and 2) the Department of Human Resources Grants to Counties Policy Manual. Rules of DHR MHMRSA ERETF 290-4-1-.02(d).

² Added to CSP Standards FY02

SSr 11.3. LINKAGES FOR CARE OF COMPLEX CARE NEEDS

SSr 11.3. The Crisis Stabilization Program shall have operating agreements with private and public inpatient hospitals and treatment facilities.

Interpretive guideline 1: Crisis Stabilization Programs shall have documented operating agreements and referral mechanisms for psychiatric, addictive disorder and physical health care needs that are beyond the scope of the Crisis Stabilization Program and that require inpatient treatment. Operating agreements shall delineate the type and level of service to be provided by the private or public inpatient hospital or treatment facility. Operating agreements must be updated **at a minimum every five years** as evidenced by date and signatures.¹¹

Interpretive guideline 2: The following shall be clearly stated within the body of the operating agreements between the CSP and designated treatment facilities(s):

The purpose of clinical services provided by the CSP is psychiatric stabilization or detoxification. When it becomes evident 48 hours into the ‘evaluation’ legal status that a client is not stabilizing and may not stabilize quickly, arrangements shall be made to transfer the client to a designated treatment facility at that point. The transfer of the client shall take place no later than 72 hours into the ‘evaluation’ legal status, unless there has been a different time limit established in a written agreement with a hospital. The client may be transferred to the treatment facility on the existing 1014 or 2014 legal status. For the purposes of calculating the 48 or 72 hours, Saturdays, Sundays or holidays will not apply.

Interpretive guideline 3: The private facility or the CSP shall utilize available resources in the community to provide psychological tests and social work services if such services are needed for the patients and do not exist within the facility. Rules of DHR MHM RSA ERTF 290-4-1-.04(4).

SSr 11.4. EMERGENCY MEDICAL TREATMENT AND ACTIVE LABOR ACT (EMTALA)

SSr 11.4. The Crisis Stabilization Program will operate within the guidelines of EMTALA with respect to stabilization and transfer of clients.

Interpretive guideline 1: The Crisis Stabilization Programs are not hospitals nor do they receive Medicare monies. However, the CSP’s will operate within the guidelines of EMTALA with respect to the stabilization and transfer of clients to and from hospitals.

SSr 11.5. LENGTH OF STAY

SSr.11.5^{2.1}. The average length of stay shall not exceed five (5) days excluding Saturdays, Sundays and Holidays.

¹¹ Requirement for updated agreements added FY08

^{2.1} Modified FY02

Interpretive guideline 1: For any one episode of care, an individual person may not remain in a CSP beyond 10 days, excluding Saturdays, Sundays and Holidays, with the exception described in Interpretive Guideline 2 below.

Interpretive guideline 2^{4.1}: A CSP must designate transitional beds separate from crisis residential beds. Clients occupying transitional beds may remain in the CSP beyond 10 days excluding Saturdays, Sundays and Holidays **only if they are in services and activities on a daily basis that indicate the individual is actively engaged in transitioning to the community**^{6.1}. Length of stay in a transitional bed may not exceed 30 calendar days including crisis days. Transitioning activities may include, but are not limited to, participation in day services; meetings with the client/family; and/or active participation in services with the intent toward discharge.¹⁰ The CSP must record the date of transfer to the transitional bed(s) and the length of stay in transitional beds for each episode of transitional care. Transitional bed designation should be made using these parameters:

- a) A CSP with up to 29 beds may designate one or two beds as transition beds. The total bed count for crisis beds and transition beds shall not exceed 29.
- b) A CSP with up to 39⁴ beds may designate up to three beds as transition beds. The total bed count shall not exceed 39.
- c) A CSP with 40⁴ or more beds may designate up to four additional beds as transition beds.

Interpretive guideline 4²: CSP's shall report census and length of stay data as required to the Department of Behavioral Health and Developmental Disabilities for both regular and transitional CSP beds.^{10.1}

SSr 11.6. ADVERTISING OF SERVICES

SSr.11.6. The Crisis Stabilization Program shall not advertise services offered within the CSP.

Interpretive guideline 1: The Community Service Board may inform and educate the public about services offered by the CSP, but shall not advertise any of the CSP services or hold itself out in any manner as providing inpatient or hospital service.

SSr 11.7. BILLING AND REVENUE SOURCE

SSr 11.7(a).^{2.1} The primary revenue source shall be public funds.

^{10.1} Updated FY10

¹⁰ Added to CSP Standards FY10

^{6.1} Modified FY06

⁴ Added to CSP Standards FY04

^{4.1} Modified FY04

² Added to CSP Standards FY02

^{2.1} Modified FY02

Interpretive guideline 1: Review of revenue budget for the CSP will show that no less than 95% of the funding is public, including State Grant in aid and Medicaid. Note: Medicaid may be billed only if the program has 16 or fewer beds.

SSr 11.7(b). Clients are billed on a sliding fee scale basis according to their ability to pay.

Interpretive guideline 1: Review of billing practices shall demonstrate that clients have been billed on a sliding fee scale basis.

SSr 11.8. PHYSICIAN OVERSIGHT

SSr 11.8(a). All services offered within the Crisis Stabilization Program shall be provided under the direction of a physician.

Interpretive guidelines 1: “Physician” means any person who is licensed to practice in this State under the provisions of Article 2 of chapter 34 of Title 43, or who is employed as a physician by the United States Veterans Administration or other federal agency. Rules of DHR MHMRSa ERETF 290-4-1-.01(g).

Interpretive guideline 2: The active medical staff of the CSP shall include a physician who has completed at least one year of approved psychiatric residency and consultation by a psychiatrist shall be available. Rules of DHR MHMRSa ERETF 290-4-1-.04(2)

Interpretive guideline 3: In the event that the physician providing coverage is not a psychiatrist, arrangements shall be in place for psychiatric consultation.

Interpretive guideline 4: There is documented evidence of Physician oversight for the dispensing of sample medications.¹⁰

SSr 11.8(b) A physician shall conduct assessments of new clients address client care issues and write orders as required.

Interpretive guideline 1: A physician is NOT required to be on site 24 hours a day, however the physician must report to the Charge Nurse daily. A physician must be available by pager 24 hours a day and must respond to staff calls immediately, not to exceed one hour. The physician must personally report to the CSP within one hour at the request of the charge nurse.

Interpretive guideline 2: CSP’s must have capacity to admit and discharge seven days a week.

Interpretive guideline 3: A physician must assess each new client within 24 hours of admission.

Interpretive guideline 4: Documentation by the physician shall include, at a minimum the initial evaluation of the client, resulting diagnoses and care orders, the response to care and

services provided, a rationale for medications ordered or prescribed, and assessment of the client at the time of discharge.

*Interpretive guideline 5*¹⁰: Searches of individuals shall be ordered by the physician. There is to be no mandatory removal of clothing or standing orders for strip searches. Strip searches are to be performed for cause and the rationale clearly documented in the person's record.

Interpretive guideline 6^{10.1}: Levels of observation shall be ordered by the physician and will be based on physician assessment. When the levels of observation are changed, there is documented justification to support the ordered level change by the physician.

SSr 11.8(c). The functions performed by physician's assistants, nurse practitioners and clinical nurse specialists are within the scope allowed by state law and professional practice acts.

Interpretive guideline 1: The CSP utilizing physician's assistants, nurse practitioners and clinical nurse specialists can demonstrate verbally and through documentation their implementation of agreements and protocols required by state law and professional practice acts. Renewal of Georgia Board of Nursing authorization as a nurse practitioner will coincide with the renewal of the registered professional nurse license.

SSr 11.9. REGISTERED NURSE OVERSIGHT

SSr 11.9(a). The Crisis Stabilization Program shall have a position classified as a lead nurse or higher that serves as the nursing administrator.

Interpretive guideline 1: The Registered Nurse designated as nursing administrator is a full-time employee of the programs whose job responsibilities include, but are not limited to, the clinical supervision of the nursing staff, implementation of physician's orders and oversight of the clinical functions of the unit.

SSr 11.9(b). The Crisis Stabilization Program shall have a Registered Nurse present within the facility at all times.

Interpretive guideline 1: A Registered Nurse must be in the CSP facility at all times.

Interpretive guideline 2: A Registered Nurse must be the Charge Nurse at all times.

Interpretive guideline 3: There must be one Registered Nurse within the CSP facility for every 30 CSP facility beds.

¹⁰ Added to the standards FY10

^{10.1} Added to the standards FY10

Interpretive guideline 4: CSPs that employ sanctioned nurses must assure that their assigned duties comply with the requirements stated by the Georgia Board of Nursing/Georgia Board of Examiners of Licensed Practical Nurses in their consent orders.¹⁰

SSr 11.10. STAFF TO CLIENT RATIOS

SSr 11.10. Staff to client ratios shall be established based on the stabilization needs of clients being served.

Interpretive guideline 1: The ratio of direct care staff to clients should not be less than 1:8 (including the Registered Charge Nurse). Assigned levels of observation shall be utilized as guidelines for establishing staffing ratios greater than 1:8.¹⁰

Interpretive guideline 2: There shall always be at least two staff present within the CSP including the Charge Nurse.

Interpretive guideline 3: The utilization of licensed practical nurses shall be considered to provide technical support to the Registered Nurse.

Interpretive guideline 4: The functions performed by registered nurses and licensed practical nurses are within the scope allowed by State Law and professional practice acts.

SSr 11.11. USE OF SECLUSION OR RESTRAINT

SSr 11.11(a). A Crisis Stabilization Program may only use restraint and seclusion as a safety intervention of last resort.

Interpretive guideline 1: In all cases, the law regarding seclusion and restraint found in 42 CFR 482.13 (revised October 1, 2006)¹², O.C.G.A. 37-3 and 37-7 as well as the rules found in Rules of Department of Human Resources, Mental Health, Mental Retardation and Substance Abuse Chapter 290-4-6 Patients' Rights shall apply.

Interpretive guideline 2: All forms of restraint and seclusion shall be used solely for the purposes of providing effective treatment and protecting the safety of the patient and other persons and shall not be used as punishment [or] for the convenience of staff. Restraint in any form or seclusion should only be used when no less restrictive methods of controlling behavior which would reasonably insure the safety of the patient and other persons are feasible. Rules of DHR MHMRSA PR290-4-6-.02 (1)(c)1.

Interpretive guideline 3^{5.1}: Seclusion or restraint may be used when less restrictive interventions have been determined to be ineffective. All interventions utilized prior to the seclusion or restraint episode must be descriptively documented in the sequence used and identified as to the staff member conducting the intervention.

¹² Added to CSP Standards FY08

^{5.1} Modified FY05

Interpretive guideline 4^{5.1}: CSP's must have a written policy and procedure about the use of seclusion and restraint. Evidence of annual training and competency in the proper and safe use of seclusion and restraint including techniques and alternative methods for handling behavior, symptoms and situations that traditionally have been treated through the use of restraints or seclusion must be available within staff personnel files for all staff who have direct contact with clients.

Interpretive guideline 5: The body of the admission assessment shall contain an assessment of past trauma or abuse. The person shall also be asked how they would prefer to be approached should they become dangerous to themselves or to others. Findings from these queries shall direct the decision making process for determining behavioral interventions.

Interpretive guideline 6: In all cases, the rules regarding *Inpatient Psychiatric Services for Individuals Under Age 21 in Psychiatric Facilities or Programs* found at 42 CFR Part 441 Subpart D and the *Condition of Participation for the Use of Restraint or Seclusion in Psychiatric Residential Treatment Facilities Providing Inpatient Psychiatric Services for Individuals Under Age 21* found in 42 CFR Part 483 Subpart G shall apply.¹⁰

SSr 11.11(b).^{5.1} A physician or other licensed practitioner permitted by the State shall give an order for the seclusion or restraint episode within one hour of the implementation of seclusion or restraint intervention.

Interpretive guideline 1^{5.1}: The physician or Clinical Nurse Specialist (CNS) must be notified immediately of the seclusion or restraint episode. An order must be given that approves the use of the seclusion or restraint intervention, that defines specific time limits for the episode (not to exceed four (4) hours), and that states the behavioral indicators which signal the end of the episode. The restraint or seclusion episode shall be ended at the earliest possible time.

Interpretive guideline 2⁵: The treating physician must be consulted within one hour if the restraint or seclusion is ordered by a licensed practitioner permitted by the State who is not a physician.

SSr 11.11(c).⁸ A physician or other licensed practitioner permitted by the State must see and evaluate the need for restraint or seclusion within one (1) hour after the initiation of this intervention.

Interpretive guideline 1⁸: The physician or CNS must personally examine the client by the end of the first hour of the seclusion or restraint episode. The findings of the examination of the client shall be documented in the client record.

^{5.1} Modified FY05

⁵ Added to CSP Standards FY05

⁸ Modified FY08

Interpretive guideline 2: If the client is released from seclusion or restraint prior to the end of the first hour *and* prior to the personal examination of the physician or CNS, the rationale for release of the client *and* the fact that the client was not personally seen by a physician or CNS shall be fully documented within the client record.

Interpretive guideline 3^{5.1}: After the order expires, a new determination for continued seclusion or restraint may be made ONLY after the client is PERSONALLY examined by a physician or CNS and may be ordered for an additional specific time episode not to exceed four (4) hours.

Interpretive guideline 4: After any seclusion or restraint episode, there must be a determination by the treating physician or Medical Director as to whether transfer to a treatment facility for a higher level of care is indicated. The treating physician or Medical Director's determination for a higher level of care (ASAM 3.7 or LOCUS 6 or greater) must be documented within the progress notes. Justification for maintaining the client at the CSP for additional care must be documented in the physician progress note.

SSr 11.11(d). During the seclusion or restraint episode, the person must be continuously monitored and a documentation entry to that effect be made every 15 minutes.

Interpretive guideline 1: A staff member must be assigned to be present immediately outside the seclusion door when a client is secluded.

Interpretive guideline 2: A staff member must be assigned to be present at all times within the room and the door to the room left open when a client is restrained.

Interpretive guideline 3: A client placed in physical restraints shall be checked at least every 15 minutes by staff members trained in the use of restraints, and a written record of these checks and all other activities shall be made.

Interpretive guideline 4: While in restraints each client should be spoken to, checked for indications of obvious physical distress, be offered liquids and an opportunity to meet his need to urinate and defecate as needed or at least every 2 hours unless the person is asleep or his condition does not permit. The restraints sites should be checked every hour for evidence of swelling or abrasion. Each hour a restraint should be removed from each limb for five minutes and then reapplied if his condition permits. A client in restraints should receive all meals available to other client except as otherwise ordered by a physician based upon the person's health needs and his condition to take meals while in restraints. In all situations, the client must receive nutrition at regular meal intervals unless refused by the client. Restraints are to be discontinued when they are no longer needed to prevent the client from hurting self or others and their medical needs allow removal.

Interpretive guideline 5: During any seclusion/restraint episode, there is documented nursing staff oversight.¹⁰

^{5.1} Modified FY05

Interpretive guideline 6: Video monitoring does not meet the requirement of personal monitoring of the client while in seclusion or restraints. Where video monitoring does “co-exist” with 1:1 monitoring, the privacy of the video monitored image is secured from other clients, visitors and non-direct care staff.¹⁰

SSr 11.11(e). Staff shall conduct a debriefing with the client after release from seclusion or restraint.

Interpretive guideline 1: The client shall have an opportunity to talk to an appropriate staff member authorized by the facility (preferably a staff member who was not involved in the incident), as soon as appropriate after release from seclusion or restraint.

Interpretive guideline 2: The following are potential issues to explore with the client:

- What the client remembers happening prior to their becoming angry, destructive or self injurious?
- Whether the client remembers sensory changes prior to being placed in seclusion or restraints?
- What thoughts the client has about why the client was placed in seclusion or restraint?
- How the client felt while in seclusion or restraint?
- How the client felt after being released from seclusion or restraint?
- Was there something the client did that was helpful in gaining personal control?
- Was there something the staff did that was helpful in the client gaining personal control?
- What changes could be made to assist the client in future instances when the client might lose control?

Interpretive guideline 3: The client responses shall be documented with pertinent intervention information incorporated within the client plan of care.

SSr 11.11(f). The staff members involved in the seclusion or restraint episode shall receive a debriefing after the episode.

Interpretive guideline 1: The staff members involved in the seclusion or restraint episode shall be interviewed immediately after the episode to determine the following information. The identified leader of the episode shall conduct the critique of the seclusion or restraint episode.

- What physical cues were present that indicated escalation of client behaviors?
- What interventions were conducted, by what staff member and in what order as the events unfolded leading up to seclusion or restraint?
- What was the client response to each intervention conducted?
- Could alternate interventions result in a different outcome other than seclusion or restraint?
- What did the staff involved do well?

- What could staff do differently in the future that might avoid reaching the point of a seclusion or restraint?
- What recommendations shall be documented within the client plan of care for use in future situations?

Interpretive guideline 2: Staff must document in the client's record that debriefing took place and must include:

- a. The names of staff who were present for the debriefing;
- b. The names of staff who were excused from the debriefing;
- c. Any changes to the client's treatment plan that resulted from the debriefing.

Interpretive guideline 3: Staff involved in an emergency safety intervention that resulted in an injury to a client or staff must meet with supervisory staff and evaluate the circumstances that caused the injury and develop a plan to prevent future injuries.

SSr 11.12 ORGANIZATIONAL RISK AND COMPLIANCE⁶

SSr 11.12 The CSP has a well-defined approach for assessing its performance, for anticipating, identifying, correcting and solving problems, and for improving quality of care related to use of safety interventions of last resort.

Interpretive guideline 1: The CSP maintains a record of each emergency safety situation, the interventions used, and their outcomes.

Interpretive guideline 2: Staff involved in an emergency safety intervention that results in an injury to a client or staff must meet with supervisory staff and evaluate the circumstances that caused the injury and develop a plan to prevent future injuries.

Interpretive guideline 3: Data regarding the use of safety interventions of last resort will be aggregated and reported quarterly to the CSP management and risk management authority of the managing Community Service Board or State Hospital facility. The report shall include issues that have been addressed pursuant to review of the data, or that no action is required based on aggregate information.

SSr 11.13 PHARMACY SERVICES

SSr 11.13 All pharmacy operations or services within the CSP must be licensed and under the direct supervision of a Registered Pharmacist or provided by contract with a licensed pharmacy operated by a Registered Pharmacist.

Interpretive guideline 1: Pharmacy services must be provided under the license and supervision of a Registered Pharmacist who is operating under a 'retail' or 'hospital' license.

⁶ Added to CSP Standards FY06

Interpretive guideline 2: Any request for exemptions for requirements regarding a pharmacy license must be submitted in writing to the Georgia State Board of Pharmacy.

Interpretive guideline 3: CSP must ensure access to Pharmacy services for prescription medications within eight (8) hours of the Physician's order¹⁰

SSr 11.14. MEDICATION ADMINISTRATION

SSr 11.14 in all cases, the rules regarding medications found in Rules of Department of Human Resources, Mental Health, Mental Retardation and Substance Abuse Chapter 290-4-9 Clients' Rights shall apply.

Interpretive guideline 1: Medications shall be used solely for the purposes of providing effective treatment and protecting the safety of the client and other persons and shall not be used as punishment or for the convenience of staff.

Interpretive guideline 2⁶: The CSP shall follow policies and procedures found in the Division of MHDDAD Policy 2:100, *Informed Consent and Involuntary Administration of Psychotropic Medication*, concerning the use of psychotropic medications and the use of involuntary medications.^{6/10}

Interpretive guideline 3: The CSP shall follow management protocols for controlled substances, floor stock medications, and physician's sample medications. These accountability medication management techniques must include: inventories, counting, signing out each dose or sample to an individual, and witnessed / documented disposal.¹⁰

SSr 11.15. PROVISION OF INDIVIDUALIZED CARE

SSr 11.15. Educational and program offerings within the CSP include services to meet the individual stabilization needs of each client including co-occurring mental health and substance use needs.

Interpretive guideline 1: Educational and program offerings include offerings that address issues both common and distinct to the person in psychiatric distress and to the person requiring detox from substances.

Interpretive guideline 2: The client clinical record will demonstrate individualized interventions based on the care needs of each person served as evidenced within the body of assessments, documentation of the progression of care and documented discharge linkages.

Interpretive guideline 3: Staff training records shall show evidence of annual training and competency in caring for the person with co-occurring mental health and substance use issues.

⁶ Added to CSP Standards FY06

¹⁰ Updated FY10

SSr.11.16 REPORTING OF SERIOUS OCCURRENCES⁶

SSr.11.16. The CSP must report each serious occurrence.

Interpretive guideline 1: Critical incidents shall be reported as specified in DBHDD Policy for *Reporting of Consumer Deaths and Critical Incidents*.¹⁰

SSr. 11.17 REPORTING OF CLIENT DATA TO THE DEPARTMENT OF BHDD^{7/10}

SSr.11.17. The crisis stabilization program shall report data to the Department of BHDD as directed by provider agreement.¹⁰

Interpretive guideline 1: Encounter data shall be reported to the Department of BHDD in the format directed by the operational guidelines provided by the Department of BHDD to the parent organization (Community Service Board or State Hospital Facility)¹⁰.

Interpretive guideline 2: Encounter data shall include but may not be limited to:

- a. Client name
- b. Date of admission
- c. Date of discharge
- d. Legal status
- e. Admitting diagnosis
- f. Referred to

SSr. 11.18. DESIGNATION AS A CRISIS STABILIZATION PROGRAM

SSr 11.18. The designation must be approved and may be withdrawn by the department. Designation is not transferable.

Interpretive guideline 1: Designation as a crisis stabilization program must be approved and may be withdrawn by the Department of BHDD. Designation is non-transferable.

Interpretive guideline 2: Each designation or provisional designation shall be returned to the department in the following cases. This includes but may not be limited to:

- Change in location
- Program closure
- Department of BHDD finding of failure to comply with CSP standards¹⁰
- Loss of accreditation.

⁶ Added to CSP Standards FY06

⁷ Added to CSP Standards FY07

¹⁰ Updated FY10

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Part II

Community Service Standards

SECTION III

Crisis Stabilization Standards For Children and Youth

Fiscal Year 2011



**Georgia Department of Behavioral Health &
Developmental Disabilities**

July 2010

DEPARTMENT OF BEHAVIORAL HEALTH AND DEVELOPMENTAL DISABILITIES

CORE REQUIREMENTS FOR CRISIS STABILIZATION PROGRAMS FOR CHILDREN AND YOUTH

Effective July 1, 2005

The following requirements for Crisis Stabilization Programs for Children and Youth have been built from the Core Requirements for Crisis Stabilization Programs serving adults that were implemented in July of 2001, and have been modified to address issues around children and youth.

The CSP standards document has been footnoted to indicate modifications and additions to the standards since their inception. Crisis Stabilization Program standards that arose from issues resulting from the Certificate of Need concern addressed in the “Letter of Agreement” between the Department of Community Health and DHR Division of MHDDAD, signed on the 28th day of February, 2001 by George P. A. Newby, representing DCH and by Jerry Lovrien, representing DHR, have not been modified and may be modified only pursuant to agreement between DHR and DCH.

Crisis Stabilization Program standards for children and youth are incorporated by reference into those found in the State of Georgia Department of Behavioral Health and Developmental Disabilities document entitled “Standards for All Providers”.¹⁰

SSr 11.1. DESCRIPTION OF THE PROGRAM

SSr 11.1(a). The Crisis Stabilization Program for children and youth is a medically monitored short-term residential service operated by the Community Service Board⁴ for the purpose of providing psychiatric or behavioral stabilization for children and youth who are seriously emotionally disturbed and/or detoxification services for youth. The crisis stabilization program must be designated by the Department as both an emergency receiving facility and an evaluating facility.

Interpretive guideline 1: The department may designate any private facility or such portion of a certified community mental health and substance abuse program which complies with the standards for a CSP within the State of Georgia at the request of or with the consent of the governing officers of such facility. Rules of DHR MHMRSA ERETF 290-4-1-.02(a). Et. Seq.

Interpretive guideline 2: As defined in the Rules of DHR MHMRSA ERETF 290-4-1-.01(b), the term “Crisis Stabilization Program (“CSP”) means a short term residential program operated as a part of a comprehensive community mental health and substance abuse program [operated by a Community Service Board or by a Department Behavioral Health and

¹⁰ Updated FY10

⁴ CSP’s may be state operated effective FY04

Developmental Disabilities (DBHDD) state hospital facility]^{4/10} for the purpose of providing psychiatric stabilization or detoxification services, which complies with applicable community service standards contained within the *Provider Manual for Community Mental Health, Developmental Disabilities and Addictive Diseases for the Department of Behavioral Health and Developmental Disabilities*.¹⁰

Interpretive guideline 3: Crisis stabilization programs are state authorized residential services provided as a part of a Community Service Board⁴ and designed to serve as a first line alternative to hospitalization in state hospitals, offering psychiatric or behavioral stabilization and detoxification services on a short term basis. CSP's for children and youth are not designed to provide 'study and report' services or to be available for court ordered placement for the purpose of temporary placement only.

Interpretive guideline 4: The target population served in the CSP is children and youth ages 5-17 requiring psychiatric or behavioral stabilization and youth ages 13-17 with substance related disorders or with co-occurring mental health and substance use needs.

Interpretive guideline 5: Youth through age 21 may be served at a Crisis Stabilization Program for Children and Youth *provided* it is indicated clinically and is based on the youth's maturational age. The Medical Director must approve such admissions.

Interpretive guideline 6: Residential detoxification services offered within the CSP **shall not exceed** services described in Level III.7 of the Adolescent Criteria section of the *American Society for Addiction Medicine Patient Placement Criteria for the Treatment of Substance-Related Disorders* (ASAM PPC-2R), Second Edition, April 2001.

Interpretive guideline 7: NOTE: Twenty-four hour residential services offering detoxification ONLY shall be licensed by the Healthcare Facility Regulation Division under the "Rules of Department of Human Resources Chapter 290-4-2: Drug Abuse Treatment and Education Programs." These CSP standards shall not apply.

Interpretive guideline 8: **Psychiatric stabilization services** offered within the CSP **shall not exceed** services described in Level Six of the *Child and Adolescent Level of Care Utilization System for Psychiatric and Addiction Services*, Version 1.5 (CALOCUS), published by the American Association of Community Psychiatrists, August 2006 (most recent version).⁷

Interpretive guideline 9²: The term "emergency receiving facility" means a facility designated by the department to receive patients under emergency conditions as provided in Part 1 of Article 3 of Chapter 3 or of Chapter 7 of Title 37. Rules of DHR MHMRSA ERETF 290-4-1-.01(d).

¹⁰ Updated FY10

⁴ CSP's may be state operated effective FY04

⁷ Updated citation added FY08

² Added to CSP Standards FY02

Interpretive guideline 10²: The term “evaluating facility” means a facility designated by the department to receive patients for evaluation as provided in Part 2 of Article 3 or of Chapter 7 of Title 37. Rules of DHR MHMRS A ERETF 290-4-1-.01(e).

Interpretive guideline 11²: Certification reviews will be conducted for physical plant, safety and food service according to the specifications outlined in the Rules for Drug Abuse Treatment & Education Programs, Chapter 290-4-2, section .11 “Physical Plant and Safety” and section .12 “Food Service”.

Interpretive guideline 12⁶: CSP’s that are newly constructed or CSP’s undergoing physical plant modifications after June 30, 2005 shall address safety issues to minimize the opportunity for self-harm of an individual such as, but not limited to the following:

- a. Shower fixtures in bathrooms shall be flush-mounted in the wall
- b. Headers supporting bathroom stalls shall be flush-mounted to the ceiling
- c. There shall be two avenues of visual access into the seclusion and restraint room, one of which shall be through a shatterproof window in the door. The room shall be a minimum fifty (50) square feet in area and the door should be opened from the outside.¹⁰
- d. Blind spots on the unit shall be addressed through use of convex mirrors allowing for visual access. A room used for seclusion or restraint must:
 - i. Allow staff full view of the resident in all areas of the room;
 - ii. Be free of potentially hazardous conditions such as unprotected light fixtures and electrical outlets
- e. Video cameras are not a permitted alternative to direct observation of an individual in the seclusion or restraint room
- f. Doors to bedrooms shall be hung on hinges that swing both in to the room and out from the room. ⁷Note that if a building is being *modified* and it is not possible for the door to swing both ways, the door should be mounted to open away from the room.
- g. Facility must have a satisfactory food service permit score, if applicable. Facility may utilize meal preparation services from an affiliated or contracted entity with a current food service permit. A copy of the current food service permit must be on file in the facility. Should the facility elect to have meals prepared off-site, the facility will have a modified kitchen that includes a microwave, a refrigerator, and clean-up facilities.¹⁰
- h. Facility must maintain a daily temperature log for freezer and refrigerator.¹⁰
- i. Foods, drinks and condiments shall be dated when opened.¹⁰
- j. Facility must have a sufficient designated area to accommodate meal service. This area may double as a group or activity area.¹⁰
- k. Facility maintains a temperature between 65 and 82 degrees F that ensures the comfort and safety of all clients.¹⁰
- l. Facility is free of offensive odor and noise.¹⁰

¹⁰ Added to CSP standards FY10

⁶ Added to CSP Standards FY06

⁷ Added to CSP Standards FY07

- m. Ramps are built according to specifications of Section 504 of the Rehabilitation Act of 1973.¹⁰
- n. Outdoor client area must be secured for safety and privacy.¹⁰
- o. Preadmission waiting area, including restroom where exist, must meet all safety requirements applicable to designated client areas.¹⁰
- p. Multi client bedrooms shall have a minimum of 60sq ft per client and a private room shall not be less than 100 sq ft.¹⁰
- q. Beds must be either weighted or secured to the floor.¹⁰
- r. Prohibited bed types include but not limited to beds with springs, cranks, rails and wheels. The use of hospital beds is discouraged and rollaway, cots, double deck, stacked; hide-a-bed and studio couches are not to be used in lieu of standard beds.¹⁰
- s. Furniture should be appropriately sized to fit population served and preferably weighted.¹⁰
- t. Electronics and/or game equipment needs to be locked/secured when not in use.¹⁰
- u. Facility lighting shall be sufficient enough for reading and other activities.¹⁰
- v. Gender specific restrooms shall have adequate ventilation and have an adequate number of sinks, toilets and showers to accommodate the population served.¹⁰
- w. Exposed plumbing pipes shall be covered to prevent client access.¹⁰
- x. Rods/curtains utilized for privacy shall be designed not to sustain more than 30 pounds.¹⁰
- y. Water temperature for consumer usage must be maintained between 110 – 120 degrees F. For those facilities providing onsite food service, a separate water heater is designated for usage.¹⁰
- z. Facility windows and mirrors must be either temper glass, plastic or shatterproof.¹⁰

Interpretive guideline 13: Facilities are accessible to and usable by physically disabled individuals and must meet the minimum requirements of Section 504 of the Rehabilitation Act of 1973. Centers install required alterations or modifications in accordance with the 1984 Law of Georgia regarding Access to and Use of Public Facilities by Physically Handicapped Persons: O.C.G.A. Section 30-3-1 et. Seq.

SSr 11.1(b). The Crisis Stabilization Program shall describe its capacity to serve voluntary and involuntary residents.

Interpretive guideline 1: The term ‘treatment facility’ means a facility designated by the department to receive patients for treatment as provided in Part 3 of Article 3 of Chapter 3 of Title 37. Rules of DHR MHMRSR ERETF 290-4-1-.01(f).

Interpretive guideline 2: The CSP clearly outlines their voluntary and involuntary admission criteria and there is evidence of documented usage of the established admission criteria. ¹⁰

SSr 11.1(c). The Crisis Stabilization Program is NOT a designated treatment facility as defined by O.C.G.A. 37-3 and 37-7.

Interpretive guideline 1: The term ‘treatment facility’ means a facility designated by the department to receive patients for treatment as provided in Part 3 of Article 3 of Chapter 3 of Title 37. Rules of DHR MHMRSA ERETF 290-4-1-.01(f).

Interpretive guideline 2: The program description of the CSP clearly states that it is not a designated treatment facility as provided in Part 3 of Article 3 of Chapter 3 of Title 37.

SSr 11.1(d). The Crisis Stabilization Program shall not use the word “inpatient” anywhere for any purpose to describe the services offered within the CSP.

Interpretive guideline 1: The program description and all other documents within the CSB and CSP shall describe the services offered within the CSP as *residential* services.

SSr 11.1(e). The Crisis Stabilization Program shall not hold itself out as a hospital or bill as a hospital for inpatient services.

Interpretive guideline 1: There is no evidence that the CSP is holding itself out as a hospital or that it is billing for hospital or inpatient services.

SSr 11.1(f).² The CSP shall not operate in a manner or offer any service that brings it within the purview of Georgia’s Certificate of Need (CON) Program as defined by the CON Statue and Rules (O.C.G.A. 31-6-1 et. seq. and O.C.R.R. 272-2-1 et. seq.).

Interpretive guideline 1: There is no evidence that the CSP is operating in a manner or offering any service that brings them within the purview of Georgia’s Certificate of Need (CON) Program.

SSr 11.2 CERTIFICATION OF THE CRISIS STABILIZATION PROGRAM

SSr 11.2. The Crisis Stabilization Program shall be surveyed for compliance with State standards.

Interpretive guideline 1: Any Crisis Stabilization Program (CSP), to be eligible for designation, shall be a part of a comprehensive community mental health and substance abuse program and shall be in compliance with: 1) Standards for All Providers found in the *Provider Manual for Community Mental Health, Developmental Disabilities and Addictive Diseases for the Department of Behavioral Health and Developmental Disabilities*¹⁰ and 2) the Department of Human Resources Grants to Counties Policy Manual. Rules of DHR MHMRSA ERETF 290-4-1-.02(d).

Interpretive guideline 2⁶: Any state operated Crisis Stabilization Program (CSP), to be eligible for designation, shall be operated by an accredited and licensed (if applicable) healthcare authority and shall be in compliance with: 1) Standards for All Providers found in the *Provider*

² Added to CSP Standards FY02

⁶ Added to CSP Standards FY06

SSr 11.3. LINKAGES FOR COMPLEX CARE NEEDS

SSr 11.3. The Crisis Stabilization Program shall have operating agreements with private and public inpatient hospitals and treatment facilities.

Interpretive guideline 1: Crisis Stabilization Programs shall have documented operating agreements and referral mechanisms for psychiatric, addictive disorder and physical health care needs that are beyond the scope of the Crisis Stabilization Program and that require inpatient treatment. Operating agreements shall delineate the type and level of service to be provided by the private or public inpatient hospital or treatment facility.

Interpretive guideline 2: The following shall be clearly stated within the body of the operating agreements between the CSP and designated treatment facilities(s):

“The purpose of clinical services provided by the CSP is psychiatric or behavioral stabilization for children and youth who are severely emotionally disturbed and detoxification for youth ages 13-17 with substance related disorders or co-occurring mental health and substance use needs.” When it becomes evident 48 hours into the “evaluation” legal status that a client is not stabilizing and may not stabilize quickly, arrangements shall be made to transfer the client to a designated treatment facility at that point. The transfer of the client shall take place no later than 72 hours into the “evaluation” legal status, unless there has been a different time limit established in a written agreement with a hospital. The client may be transferred to the treatment facility on the existing 1014 or 2014 legal status. For the purposes of calculating the 48 or 72 hours, Saturdays, Sundays, or holidays will not apply.

Interpretive guideline 3: The CSP shall have an agreement that makes available medical pediatric services for children and youth.

Interpretive guideline 4: The private facility or the CSP shall utilize available resources in the community to provide psychological tests and social work services if such services are needed for the patients and do not exist within the facility. Rules of DHR MHMRSA ERETF 290-4-1-.04(4).

SSr 11.4. EMERGENCY MEDICAL TREATMENT AND ACTIVE LABOR ACT (EMTALA)

SSr 11.4. The Crisis Stabilization Program will operate within the guidelines of EMTALA with respect to stabilization and transfer of residents.

Interpretive guideline 1: The Crisis Stabilization Programs are not hospitals nor do they receive Medicare monies. However, the CSP’s will operate within the guidelines of EMTALA with respect to the stabilization and transfer of residents to and from hospitals.

SSr 11.5. LENGTH OF STAY

SSr.11.5^{2.1}. The average length of stay shall not exceed nine (9) days excluding Saturdays, Sundays and Holidays.

Interpretive guideline 1: For any one episode of care, an individual child or youth may not remain in a CSP beyond 14 days, excluding Saturdays, Sundays and Holidays, with the exception described in Interpretive Guideline 2 below.

Interpretive guideline 2^{4.1}: A CSP must designate transitional beds separate from crisis residential beds. Residents occupying transitional beds may remain in the CSP beyond 14 days excluding Saturdays, Sundays and Holidays **only if they are in services and activities on a daily basis that indicate the resident is actively engaged in transitioning to the community.** Length of stay in a transitional bed including crisis days may not exceed 29 calendar days. Transitioning activities may include, but are not limited to, participation in day services, meetings with client/family, continuing school classes, and/or active participation in services with the intent toward discharge.¹⁰ The CSP must record the date of transfer to the transitional bed(s) and the length of stay in transitional beds for each episode of transitional care. Transitional bed designation should be made using these parameters:

- a. A CSP with up to 29 beds may designate one or two beds as transition beds. The total bed count for crisis beds and transition beds shall not exceed 29.
- b. A CSP with up to 39⁴ beds may designate up to three beds as transition beds. The total bed count shall not exceed 39.
- c. A CSP with 40⁴ or more beds may designate up to four additional beds as transition beds.

Interpretive guideline 3: It is the intent of the Department of BHDD that children or youth shall return to their natural environment as quickly as possible.^{10.1} Therefore the TOTAL LENGTH OF STAY in a CSP for any one episode of care that includes a stay in both a crisis residential bed and a transitional bed **shall not exceed 29 calendar days.**

Interpretive guideline 4²: CSP's shall report census and length of stay data as required to the Department of BHDD for both regular and transitional CSP beds.^{10.1}

SSr 11.6. ADVERTISING OF SERVICES

SSr.11.6. The Crisis Stabilization Program shall not advertise services offered within the CSP.

^{2.1} Modified FY02

^{4.1} Modified FY04

¹⁰ Added to CSP Standards FY10

⁴ Added to CSP Standards FY04

^{10.1} Updated FY10

² Added to CSP Standards FY02

Interpretive guideline 1: The Community Service Board may inform and educate the public about services offered by the CSP, but shall not advertise any of the CSP services or hold itself out in any manner as providing inpatient or hospital service.

SSr 11.7. BILLING AND REVENUE SOURCE

SSr 11.7(a).^{2.1} The primary revenue source shall be public funds.

Interpretive guideline 1: Review of revenue budget for the CSP will show that no less than 95% of the funding is public, including State Grant in Aid and Medicaid. Note: Medicaid may be billed only if the program has 16 or fewer beds.

SSr 11.7(b). Legal guardians are billed on a sliding fee scale basis according to their ability to pay. Fees for children and youth served under the Department of Family and Children's Services or under the Department of Juvenile Justice shall be set by mutual agreement by the Departments.

Interpretive guideline 1: Review of billing practices shall demonstrate that residents' legal guardians have been billed on a sliding fee scale basis.

Interpretive guideline 2: Review of billing practices shall demonstrate that fees billed for children and youth served under the Department of Family and Children's Services or under the Department of Juvenile Justice are billed according to agreements set by the Departments.

SSr 11.8. PHYSICIAN OVERSIGHT

SSr 11.8(a). All services offered within the Crisis Stabilization Program shall be provided under the direction of a physician.

Interpretive guidelines 1: "Physician" means any person who is licensed to practice in this State under the provisions of Article 2 of chapter 34 of Title 43, or who is employed as a physician by the United States Veterans Administration or other federal agency. Rules of DHR MHMRSA ERETF 290-4-1-.01(g).

Interpretive guideline 2: The active medical staff of the CSP shall include a physician who has completed at least one year of approved psychiatric residency and consultation by a psychiatrist shall be available. Rules of DHR MHMRSA ERETF 290-4-1-.04(2)

Interpretive guideline 3: It is preferred that the CSP is under the direction of a psychiatrist with training or experience in working with children and youth.

Interpretive guideline 4: In the event that the physician providing coverage is not a psychiatrist, arrangements shall be in place for psychiatric consultation.

^{2.1} Modified FY02

Interpretive guideline 5: There is documented evidence of Physician oversight for the dispensing of sample medications.

SSr 11.8(b) A physician shall conduct assessments of new residents, address resident care issues and write orders as required.

Interpretive guideline 1: A physician is NOT required to be on site 24 hours a day, however the physician must report to the Charge Nurse daily. A physician must be available by pager 24 hours a day and must respond to staff calls immediately, not to exceed one hour. The physician must personally report to the CSP within one hour at the request of the charge nurse.

Interpretive guideline 2: CSP's must have capacity to admit and discharge seven days a week, 24 hours per day.

Interpretive guideline 3: A physician must assess each new resident within 24 hours of admission.

Interpretive guideline 4: Documentation by the physician shall include, at a minimum, the initial evaluation of the resident, resulting diagnoses and care orders, the response to care and services provided, a rationale for medications ordered or prescribed, and assessment of the resident at the time of discharge.

Interpretive guideline 5¹⁰: Searches of individuals shall be ordered by the physician. There is to be no mandatory removal of clothing or standing orders for strip searches. Strip searches are to be performed for cause and the rationale clearly documented in the person's record.

Interpretive guideline 6^{10.1}: Levels of observation shall be ordered by the physician and based on physician assessment. When the levels of observation are changed, there is documented justification to support the ordered level change by the physician.

SSr 11.8(c). The functions performed by physician's assistants, nurse practitioners and clinical nurse specialists are within the scope allowed by state law and professional practice acts.

Interpretive guideline 1: The CSP utilizing physician's assistants, nurse practitioners and clinical nurse specialists can demonstrate verbally and through documentation their implementation of agreements and protocols required by state law and professional practice acts. Renewal of Georgia Board of Nursing authorization as a nurse practitioner will coincide with the renewal of the registered professional nurse license.

SSr 11.9. REGISTERED NURSE OVERSIGHT

¹⁰ Added to the standards FY10

^{10.1} Added to the standards FY10

SSr 11.9(a). The Crisis Stabilization Program shall have a position classified as a lead nurse or higher that serves as the nursing administrator.

Interpretive guideline 1: The Registered Nurse designated as nursing administrator is a full-time employee of the programs whose job responsibilities include, but are not limited to, the clinical supervision of the nursing staff, implementation of physician's orders and oversight of the clinical functions of the unit.

Interpretive guideline 2: It is preferred that the designated Registered Nurse administrator has training or experience with children and youth.

SSr 11.9(b). The Crisis Stabilization Program shall have a Registered Nurse present within the facility at all times.

Interpretive guideline 1: A Registered Nurse must be in the CSP facility at all times.

Interpretive guideline 2: A Registered Nurse must be the Charge Nurse at all times.

Interpretive guideline 3: There must be one Registered Nurse within the CSP facility for every 30 CSP facility beds.

Interpretive guideline 4: CSPs that employ sanctioned nurses must assure that their assigned duties comply with the requirements stated by the Georgia Board of Nursing/Georgia Board of Examiners of Licensed Practical Nurses in their consent orders.¹⁰

SSr 11.10. STAFF TO CLIENTS RATIOS

SSr 11.10. Staff to clients' ratios shall be established based on the stabilization needs of residents being served.

Interpretive guideline 1: The ratio of direct care staff to clients should not be less than one to four (1:4), including the Registered Charge Nurse. Assigned levels of observation shall be utilized as guidelines for establishing staffing ratios greater than 1:4.

Interpretive guideline 2: There shall always be at least three staff present within the CSP including the Charge Nurse.

Interpretive guideline 3: The utilization of licensed practical nurses shall be considered to provide technical support to the Registered Nurse.

Interpretive guideline 4: The functions performed by registered nurses and licensed practical nurses are within the scope allowed by State Law and professional practice acts.

SSr 11.11 USE OF TIME OUT

SSr 11.11(a) If “time out” or “time away” is used as a less restrictive intervention prior to using an emergency safety intervention, the “time out” or “time away” shall be used according to these guidelines.

Interpretive guideline 1: Time out may be utilized in these ways:

- a. Away from the area of activity or from other clients’, such as in the client’s room (exclusionary)
- b. In the area of activity or other clients’ (inclusionary)
- c. Only private rooms can be utilized as a “time-out” or “time away” area.¹⁰

Interpretive guideline 2: A client in time out must never be physically prevented from leaving the time out area.

Interpretive guideline 3: A designated seclusion or restraint room shall not be used for time out.

Interpretive guideline 4: Staff must monitor the client while he or she is in time out.

SSr 11.12. USE OF SECLUSION OR RESTRAINT

SSr 11.12(a). A Crisis Stabilization Program for children and youth may only use restraint and seclusion as an emergency safety intervention of last resort.

Interpretive guideline 1: In all cases, the law regarding seclusion and restraint found in O.C.G.A. 37-3 and 37-7 as well as the rules and definitions found in Rules of Department of Human Resources, Mental Health, Mental Retardation and Substance Abuse Chapter 290-4-6 Patients’ Rights shall apply.

Interpretive guideline 2: In all cases, the rules regarding *Inpatient Psychiatric Services for Individuals Under Age 21 in Psychiatric Facilities or Programs* found at 42 CFR Part 441 Subpart D and the *Condition of Participation for the Use of Restraint or Seclusion in Psychiatric Residential Treatment Facilities Providing Inpatient Psychiatric Services for Individuals Under Age 21* found in 42 CFR Part 483 Subpart G shall apply.

Interpretive guideline 3: Restraint and seclusion may not be used simultaneously.

Interpretive guideline 4: All physical restraints and seclusion shall be used solely for the purpose of providing an immediate response to an emergency safety situation

- a. Restraint or seclusion must not result in harm or injury to the resident.
- b. Restraint or seclusion must be used only to ensure the safety of the resident or others during an emergency safety situation.
- c. Restraint or seclusion must be used only until the emergency safety situation has ceased and the resident’s safety and the safety of others can be ensured, even if the restraint or seclusion order has not expired.

- d. Restraint or seclusion shall not be used as punishment, coercion, discipline, retaliation or for the convenience of staff.

Interpretive guideline 5: Seclusion or restraint may only be used when less restrictive interventions have been determined to be ineffective.

Interpretive guideline 6: All documentation related to the safety intervention of last resort must be completed by the end of the shift in which the intervention occurs. If the intervention does not end during the shift in which it began, documentation must be completed during the shift in which it ends. Documentation must include all of the following:

- a. Each order for restraint or seclusion.
- b. The time the emergency safety intervention actually began and ended..
- c. The time and results of the 1-hour assessment conducted by the physician or clinically qualified registered nurse.
- d. The emergency safety situation that required the client to be restrained or put in seclusion.
- e. The names of staff involved in the emergency safety intervention.
- f. All interventions utilized prior to the seclusion or restraint episode must be descriptively documented in the sequence used and identified as to the staff member conducting the intervention.

Interpretive guideline 7: CSP's must have a written policy and procedure about the use of seclusion and restraint. Evidence of annual training and competency in the proper and safe use of seclusion and restraint including techniques and alternative methods for handling behavior, symptoms and situations that traditionally have been treated through the use of restraints or seclusion must be available within staff personnel files for all staff who have direct contact with clients. Policy, procedures and training documentation evidence must include:

- a. Techniques to identify staff and client's behaviors, events and environmental factors that may trigger emergency safety situations.
- b. The use of nonphysical intervention skills, such as de-escalation, mediation, conflict resolution, active listening, and verbal and observational methods, to prevent emergency safety situations.
- c. The safe use of restraint and the safe use of seclusion, including the ability to recognize and respond to signs of physical distress in clients who are restrained or who are in seclusion.
- d. Evidence of exercises in which staff members successfully demonstrate in practice the techniques they have learned for managing emergency safety situations.
- e. Evidence that staff is trained and demonstrate competency before participating in an emergency safety intervention.
- f. Evidence that staff have demonstrated their competencies related to seclusion and restraint on a semiannual basis.
- g. Evidence of current certification in the use of cardiopulmonary resuscitation.
- h. Evidence that staff have demonstrated their competency in cardiopulmonary resuscitation on an annual basis.

Interpretive guideline 8: The CSP must document in the staff personnel records that the training and demonstration of competency were successfully completed.

- a. Documentation must include the date training was completed and the name of persons certifying the completion of training

SSr11.12. (b). Notification of the CSP policy on seclusion or restraint must be given.

Interpretive guideline 1: The CSP must inform both the incoming client and the client's parent(s) or legal guardian(s) of the CSP's policy regarding the use of restraint or seclusion during an emergency safety situation of last resort.

Interpretive guideline 2: The CSP must communicate its restraint and seclusion policy in a language that the client or his or her parent(s) or legal guardian(s) understands (including American Sign Language) and when necessary, the CSP must provide interpreters or translators.

Interpretive guideline 3: The CSP must obtain an acknowledgment, in writing, from the client, the parent(s) or legal guardian(s) that he or she has been informed of the CSP's policy on the use of restraint or seclusion during an emergency safety situation. This acknowledgment must be filed in the client's record.

Interpretive guideline 4: The CSP must provide a copy of the facility policy to the client and to the client's parent(s) or legal guardian(s).

SSr.11.12(c). Each resident shall be assessed for a history of past trauma or abuse.

Interpretive guideline 1: The body of the admission assessment shall contain an assessment of past trauma or abuse. The client and his or her parent or legal guardian shall also be asked how he or she would prefer to be approached should he or she become dangerous to themselves or to others. Findings from these queries shall inform the decision making process about the plan of care.

Interpretive guideline 2: Emergency safety interventions must be performed in a manner that is safe, proportionate and appropriate to the severity of the behavior, and the client's chronological and developmental age, size, gender, physical, medical and psychiatric condition and personal history (including any history of physical or sexual abuse).

SSr 11.12(d).^{5.1} A physician or other licensed practitioner permitted by the State shall give an order for the seclusion or restraint episode as soon as possible within the first fifteen minutes of the implementation of seclusion or restraint intervention.

Interpretive guideline 1: Orders for restraint or seclusion must be by a physician or other licensed practitioner permitted by the State and CSP.

^{5.1} Modified FY05

Interpretive guideline 2^{5.1}: The physician or Clinical Nurse Specialist (CNS) must be notified immediately of the seclusion or restraint episode. The physician or CNS must order the least restrictive emergency safety intervention that is most likely to be effective in resolving the emergency safety situation based on consultation with staff.

Interpretive guideline 3: If the order for restraint or seclusion is verbal, the verbal order must be received by a registered nurse or other staff licensed to receive orders, while the emergency safety intervention is being initiated by staff or immediately after the emergency safety situation ends.

- a. If the treating physician is not available to order the use of restraint or seclusion, the physician's verbal order must be obtained.
- b. The physician ordering the restraint or seclusion must verify the verbal order in a signed written form in the client's record as soon as possible.
 - i. If the physician or CNS giving the order is not the client's treating physician, the physician or CNS must consult with the treating physician as soon as possible and inform the treating physician of the emergency safety situation;
 - ii. Staff must document in the client's record the date and time the treating physician was consulted.

Interpretive guideline 4: Each order for restraint or seclusion must:

- a. Be limited to no longer than the duration of the emergency safety situation.
- b. Specify the time limits for the restraint or seclusion episode. Under no circumstances shall an order exceed :
 - i. Four (4) hours for clients ages 17 and above;
 - ii. Two (2) hours for clients ages 9 to 17;
 - iii. One (1) hour for clients under age 9.
- c. Specify the behavioral indicators that signal the end of the episode.
- d. State that the restraint or seclusion episode shall be ended at the earliest possible time.

Interpretive guideline 5: If the emergency safety situation continues beyond the time limit of the physician's order for the use of restraint or seclusion, a registered nurse must immediately contact the ordering physician in order to receive further instructions.

Interpretive guideline 6: After any seclusion or restraint episode, there must be a determination by the treating physician or Medical Director as to whether transfer to a treatment facility for a higher level of care is indicated. The treating physician or Medical Director's determination for a higher level of care (ASAM 3.7 or CALOCUS 6 or greater) must be documented within the progress notes. Justification for maintaining the client at the CSP for additional care must be documented in the physician progress note.

Interpretive guideline 7: Each order for restraint or seclusion must include:

- a. The name of the ordering physician or CNS;
- b. The date and time the order was obtained;

^{5.1} Modified FY05

- c. The emergency safety intervention ordered;
- d. The length of time for which the physician authorized its use;
- e. The behavioral indicators that signal the end of the episode.

The restraint or seclusion episode shall be ended at the earliest possible time.

Interpretive guideline 8: Orders for restraint or seclusion may not be written as a standing order or as an as-needed basis.

SSr 11.12(e).^{6.1} A physician or clinically qualified registered nurse must personally examine the client within one (1) hour of the initiation of the emergency safety intervention and immediately upon the end of the seclusion or restraint episode.

Interpretive guideline 1^{5.1}: The physician or clinically qualified registered nurse must personally examine the client within one hour of the initiation of the emergency safety intervention and immediately upon the end of the seclusion or restraint episode. The findings of the examination of the resident shall be documented in the resident record and must include the resident's physical and psychological well being, including but not limited to:

- a. The client's physical and psychological status.
- b. The client's behavior.
- c. The appropriateness of the intervention measures.
- d. Any complications resulting from the intervention.

Interpretive guideline 2: If the client is released from seclusion or restraint prior to the end of the first hour *and* prior to the personal examination of the physician or clinically qualified registered nurse, the rationale for release of the client and the fact that the client was not personally seen by a physician shall be fully documented within the client record.

Interpretive guideline 3^{5.1}: After the order expires, a new determination for continued seclusion or restraint may be made **ONLY** after the client is **PERSONALLY** examined by a physician or a clinically qualified registered nurse and may be ordered by a physician or CNS for an additional specific time episode not to exceed:

- a. Four (4) hours for clients ages 17 and above;
- b. Two (2) hours for clients ages 9 to 17;
- c. One (1) hour for clients under age 9.

SSr 11.12(f). During the seclusion or restraint episode, clinical staff trained in the use of emergency safety interventions must be physically present, continuously monitoring the physical and psychological well-being of the client and the safe use of restraint or seclusion, and shall document findings and care given every 15 minutes.

^{6.1} Modified FY06

Interpretive guideline 1: A staff member must be assigned to be present immediately outside the seclusion door and must continuously visually monitoring the client when seclusion is utilized.

Interpretive guideline 2: A staff member must be assigned to be present at all times within the room and the door to the room left open when a client is restrained.

Interpretive guideline 3: A client placed in physical restraints must be checked at least every 15 minutes by staff members trained in the use of restraints, and a written record of these checks and all other activities shall be made.

Interpretive guideline 4: While in restraints each client should be spoken to, checked for indications of obvious physical and psychological distress, be offered liquids and an opportunity to meet his need to urinate and defecate as needed or at least every 2 hours unless the client is asleep or their condition does not permit. The restraints sites should be checked every hour for evidence of swelling or abrasion. Each hour a restraint should be removed from each limb for five minutes and then reapplied if their condition permits. A client in restraints should receive all meals available to other clients except as otherwise ordered by a physician based upon the client's health needs and as their condition to take meals while in restraints. In all situations, the client must receive nutrition at regular meal intervals unless refused by the client. Restraints are to be discontinued when they are no longer needed to prevent a client from hurting their self or others and their medical needs allow removal.

Interpretive guideline 5: Video monitoring does not meet the requirement of personal monitoring of the resident while in seclusion or restraints. Where video monitoring does "co-exist" with 1:1 monitoring, the privacy of the video monitored image is secured from other clients, visitors and non-direct care staff.¹⁰

Interpretive guideline 6: During any seclusion/restraint episode, there is documented nursing staff oversight.¹⁰

Interpretive guideline 7: The physician must be available to staff for consultation at least by telephone throughout the period of the emergency safety intervention.

SS 11.12(g). Notification of the use of seclusion or restraint shall be given to the parent(s) or legal guardian(s).

Interpretive guideline 1: The CSP must secure the privacy and notify the parent(s) or legal guardian(s) of the client who has been restrained or placed in seclusion within one hour after the initiation of each emergency safety intervention. There must be documentation of notification or the attempt to notify parent(s) or legal guardian(s) of the client who has been restrained or placed in seclusion within one hour.

Interpretive guideline 2: The CSP must document in the resident's record that the parent(s) or legal guardian(s) has been notified of the emergency safety intervention including the date and time of notification and the name of the staff person providing the notification.

SSr 11.12(h). Staff shall conduct a debriefing with the resident within 24 hours after release from seclusion or restraint.

Interpretive guideline 1: The client shall have an opportunity to talk to staff members within 24 hours after release from seclusion or restraint. This discussion must include staff involved in the intervention except when the presence of a particular staff person may jeopardize the well being of the resident. The discussion may include supervisory and administrative staff if appropriate.

Interpretive guideline 2: The following are potential issues to explore with the resident:

- a. Circumstances resulting in the use of seclusion or restraint, including:
 - i. What the client remembers happening prior to becoming angry, destructive or self injurious.
 - ii. Whether the client remembers sensory changes prior to being placed in seclusion or restraints.
 - iii. What thoughts the client has about why the resident was placed in seclusion or restraint.
 - iv. How the client felt while in seclusion or restraint.
 - v. How the client felt after being released from seclusion or restraint.
- b. The outcome of the interventions used, including any injuries that may have resulted from the use of seclusion or restraint.
- c. Strategies to be used by the staff, the client or others that could prevent the future use of restraint and seclusion.
 - i. Alternative techniques might have prevented the use of seclusion or restraint.
- d. Procedures, if any, that staff should implement to prevent any recurrence of the use of restraint or seclusion.
- e. Strategies that were helpful to the client in gaining personal control:
 - i. Was there something the client did that was helpful in gaining personal control?
 - ii. Was there something the staff did that was helpful in the client gaining personal control?

Interpretive guideline 3: Staff must document in the client's record that debriefing took place and must include:

- a. The names of staff that was present for the debriefing.
- b. The names of staff that were excused from the debriefing.
- c. Any changes to the client's treatment plan that result from the debriefing.

SSr 11.12(i). The staff members involved in the seclusion or restraint episode shall receive a debriefing after the episode.

Interpretive guideline 1: Within 24 hours after the use of restraint or seclusion, all staff involved in the emergency safety intervention and appropriate supervisory and administrative staff must conduct a debriefing session that includes, at a minimum, a review and discussion of:

- a. The emergency safety situation that required the intervention, including a discussion of the precipitating factors that led up to the intervention, such as:
 - i. What physical cues were present that indicated escalation of client's behaviors?
- b. Review of techniques used and alternative techniques that might have prevented the use of the restraint or seclusion:
 - i. What interventions were conducted, by what staff member and in what order as the events unfolded leading up to seclusion or restraint?
 - ii. What was the client response to each intervention conducted?
 - iii. Could alternate interventions result in a different outcome other than seclusion or restraint?
- c. What did the staff involved do well?
- d. What could staff do differently in the future that might avoid reaching the point of a seclusion or restraint?
- e. What recommendations shall be documented within the client plan of care for use in future situations?

Interpretive guideline 2: Staff must document in the client's record that debriefing took place and must include:

- a. The names of staff who were present for the debriefing;
- b. The names of staff who were excused from the debriefing; client's
- c. Any changes to the treatment plan as a result from the debriefing.

Interpretive guideline 3: Staff involved in an emergency safety intervention that resulted in an injury to a client or staff must meet with supervisory staff and evaluate the circumstances that caused the injury and develop a plan to prevent future injuries.

SSr 11.13 MEDICAL TREATMENT FOR INJURIES RESULTING FROM A SAFETY INTERVENTION

SSr 11.13 The CSP shall insure that medical treatment is immediately obtained from qualified medical personnel for a resident injured as a result of an emergency safety intervention.

Interpretive guideline 1: Staff must immediately obtain medical treatment from qualified medical personnel for a client injured as a result of an emergency safety intervention.

Interpretive guideline 2: Staff must document in the client's record, all injuries that occur as a result of an emergency safety intervention, including injuries to staff from that intervention.

SSr 11.14 ORGANIZATIONAL RISK AND COMPLIANCE

SSr 11.14 The CSP has a well-defined approach for assessing its performance, for anticipating, identifying, correcting and solving problems, and for improving quality of care related to use of safety interventions of last resort.

Interpretive guideline 1: The CSP maintains a record of each emergency safety situation, the interventions used, and their outcomes.

Interpretive guideline 2: Staff involved in an emergency safety intervention that results in an injury to a client or staff must meet with supervisory staff and evaluate the circumstances that caused the injury and develop a plan to prevent future injuries.

Interpretive guideline 3: Data regarding the use of safety interventions of last resort will be aggregated and reported quarterly to the CSP management and risk management authority of the managing Community Service Board or State Hospital facility. The report shall include issues that have been addressed pursuant to review of the data, or that no action is required based on aggregate information.

Interpretive guideline 4: Each CSP with a current Medicaid provider agreement must provide to the State Medicaid agency, at the time it executes a provider agreement with the Medicaid agency, in writing, that the CSP is in compliance with CMS's standards governing the use of restraint and seclusion. The CSP director must sign this attestation.

SSr 11.15 PHARMACY SERVICES

SSr 11.15 All pharmacy operations or services within the CSP must be licensed and under the direct supervision of a Registered Pharmacist or provided by contract with a licensed pharmacy operated by a Registered Pharmacist.

Interpretive guideline 1: Pharmacy services must be provided under the license and supervision of a Registered Pharmacist who is operating under a 'retail' or 'hospital' license.

Interpretive guideline 2: Any request for exemptions for requirements regarding a pharmacy license must be submitted in writing to the Georgia State Board of Pharmacy.

Interpretive guideline 3: CSP must ensure access to Pharmacy services for prescription medications within eight (8) hours of the Physician's order.¹⁰

SSr 11.16. MEDICATION ADMINISTRATION

SSr 11.16 In all cases, the rules regarding medications found in Rules of Department of Human Resources, Mental Health, Mental Retardation and Substance Abuse Chapter 290-4-9 Residents' Rights shall apply.

Interpretive guideline 1: Medications shall be used solely for the purposes of providing effective treatment and protecting the safety of the client and other persons and shall not be used as punishment, coercion, discipline, retaliation or for the convenience of staff.

Interpretive guideline 2⁶: The CSP shall follow policies and procedures found in the Division of MHDDAD Policy 2:100, *Informed Consent and Involuntary Administration of Psychotropic Medication*, concerning the use of psychotropic medications and the use of involuntary medications.^{6/10}

Interpretive guideline 3: The CSP shall follow management protocols for controlled substances, floor stock medications, and physician's sample medications. These accountability medication management techniques must include: inventories, counting, signing out each dose or sample to an individual, and witnessed / documented disposal.¹⁰

SSr 11.17 INDIVIDUALIZED CARE

SSr 11.17. Educational and program offerings within the CSP include services to meet the individual stabilization needs of each resident including psychiatric or behavioral stabilization for children and youth who are seriously emotionally disturbed and detoxification services for youth. Educational and program offerings shall also include attention to the child or youth's academic development.

Interpretive guideline 1: Educational and program offerings include offerings that address issues both common and distinct to the child or youth needing psychiatric or behavioral stabilization and for the youth needing detoxification services.

Interpretive guideline 2: Each child or adolescent shall be assessed to determine his or her academic development. The CSP shall utilize educational integration services has a mechanism to support and enhance the child or adolescent's academic development.

- a. Educational specialists or teachers will be available to provide instruction and support services such as tutoring;
- b. Individualized planning and linkage shall occur with child or youth's community school.

Interpretive guideline 3: Educational, program and academic offerings are age appropriate and presented in a way easily understood by the resident.

Interpretive guideline 4: The client's clinical record will demonstrate individualized interventions based on the care needs of each person served as evidenced within the body of assessments, documentation of the progression of care and documented discharge linkages.

⁶ Added FY06

¹⁰ Updated FY10

Interpretive guideline 5: A record of academic assessment, offerings and the child or youth's response to those offerings shall be maintained in a separate record that shall be filed with the clinical record at discharge.

Interpretive guideline 6: Staff training records shall show evidence of annual training and competency in caring for children or youth needing psychiatric or behavioral stabilization and for the youth needing detoxification services.

SSr.11.18 REPORTING OF SERIOUS OCCURRENCES

SSr.11.18. The CSP must report each serious occurrence.

Interpretive guideline 1: Serious occurrences shall be reported as specified in DBHDD Policy for *Reporting of Consumer Deaths and Critical Incidents*.¹⁰

Interpretive guideline 2: The CSP must report any serious occurrence to the State Medicaid agency. Serious occurrences that must be reported include:

- a. Client's death
- b. Client's suicide attempt
- c. Serious injury to a client manifesting itself as any serious impairment of the physical condition of the resident as determined by qualified medical personnel including, but not limited to:
 - i. Burns
 - ii. Lacerations
 - iii. Bone fractures
 - iv. Substantial hematoma
 - v. Injuries to internal organs, whether self-inflicted or by someone else

Interpretive guideline 3: The CSP shall notify the parent(s) or legal guardian(s) as soon as possible and in no case later than 24 hours after a serious occurrence.

Interpretive guideline 4: A description of the serious occurrence must be recorded in the client's record, including:

- a. Medical treatment sought, outcome of treatment, and follow-up required;
- b. That the serious occurrence was reported, including
 - i. The names of the parent(s) legal guardian(s) to whom it was reported
 - ii. The name of the agencies to which it was reported, including the name of the person at the agency who received the report.
 1. The State Medicaid Agency (if the CSP is enrolled as a Medicaid provider)
 2. The Department of BHDD¹⁰

Interpretive guideline 5: In addition to the agencies listed above, if the CSP is

¹⁰ Updated FY10

¹⁰ Updated FY10

enrolled as a Medicaid provider, ALL DEATHS of any client must be reported to the Regional Office for the Centers for Medicare and Medicaid (CMS) by no later than the close of the next business day after the resident's death.

- a. The method of reporting and corresponding documentation noted within this standard shall apply.
- b. Staff must document in the client's record that the death was reported to the CMS regional office.

Interpretive guideline 6: A copy of the incident and accident report shall be kept by the CSP.

SSr. 11.19 REPORTING OF CLIENT DATA TO THE DEPARTMENT OF BHDD^{7/10}

SSr.11.19. The crisis stabilization program shall report data to the Department of BHDD as directed by provider agreement.¹⁰

Interpretive guideline 1: Encounter data shall be reported to the Department of BHDD in the format directed by the operational guidelines provided by the Department of BHDD to the parent organization (Community Service Board or State Hospital Facility).¹⁰

Interpretive guideline 2: Encounter data shall include but may not be limited to:

- a. Client name
- b. Date of admission
- c. Date of discharge
- d. Legal status
- e. Admitting diagnosis
- f. Referred to

SSr. 11.20 DESIGNATION AS A CRISIS STABILIZATION PROGRAM

SSr 11.20. The designation must be approved and may be withdrawn by the department. Designation is not transferable.

Interpretive guideline 1: Designation as a crisis stabilization program must be approved and may be withdrawn by the Department of BHDD. Designation is non-transferable.

Interpretive guideline 2: Each designation or provisional designation shall be returned to the department in the following cases. This includes but may not be limited to:

- Change in location
- Program closure
- DBHDD finding of failure to comply with CSP standards
- Loss of accreditation

⁷ Added to CSP Standards FY07

FY08 State Protection & Advocacy program references are removed from text

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Part II

Community Service Standards

SECTION IV

Documentation Guidelines for Behavioral Health Providers

Fiscal Year 2011



DBHDD

**Georgia Department of Behavioral Health &
Developmental Disabilities**

July 2010

Introduction

The purpose of documentation of consumer services is to provide a written, legal record of the course of treatment and the delivery of services. Ideally, documentation provides the following:

- Evidence that the consumer's needs have been assessed, eligibility established and needs prioritized;
- Medical necessity of the service is supported;
- Appropriate outcomes are identified and discharge criteria established;
- Appropriate treatment is planned;
- Appropriate interventions and services are selected;
- Evidence of consumer participation, consent and response to treatment are present;
- Evidence of monitoring of service provision and progress towards desired outcomes are monitored;
- Evidence of reassessment(s) occurring on an ongoing and as needed basis;
- Evidence that services and treatment plans are amended and changes are implemented to facilitate progress when needed; and
- Clear evidence that the services billed are the services provided.

Core Components of Documentation

There are three core components of consumer related documentation. These include **assessment and reassessment**; **treatment and care planning** (individualized service/recovery plan); and **progress notes**. These core components are independent and yet must be inter-related in order to create a sound medical record. The required elements for all Behavioral Health services are detailed below. The documentation guidelines outlined herein do not supersede service-specific requirements. This Provider Manual may list additional requirements and standards which are service-specific; when there is a conflict, providers should defer to those requirements which are most stringent.

Assessment

Comprehensive assessment and reassessment documentation includes all components of the current ERO authorization, a biopsychosocial assessment, a medical screening, an integrated/interpretive summary, and a verified diagnosis. A verified diagnosis is defined as a behavioral health diagnosis provided by a licensed psychologist, a physician, or a Physician Assistant or APRN¹ working in conjunction with a physician with an approved job description or protocol. At a minimum, all diagnoses must be verified annually by a licensed psychologist, medical doctor, APRN, or Physician Assistant following a face-to-

¹ APRNs include Clinical Nurse Specialists (CNS) and Nurse Practitioners (NP).

face evaluation of the consumer (internal or external to the agency).² If this requirement is not met due to consumer refusal or choice, documentation in the record should reflect this.

For all verified diagnoses assigned or annually verified following **August 1, 2010**: Documentation of diagnosis/diagnoses must clearly indicate the diagnosis or diagnoses and include a summary of findings to include any supporting documentation. The documentation must clearly indicate the diagnosing practitioner, his/her credential/s, date of diagnosis, and be signed by the practitioner. On all medical record documentation, the practitioner's printed name must be the name listed on his or her practitioner's license³. This requirement is applicable to diagnoses provided both internal and external to the agency.

As defined in Part I, Section I of this Provider Manual, "Eligibility, Service Definitions and Requirements", a diagnostic impression is sufficient for brief or stabilization services. Diagnostic impressions may be provided by those professionals or paraprofessionals who are permitted to provide the Behavioral Health Assessment service.

A comprehensive assessment must include:

- Summary of central themes of presenting symptoms/needs and precipitating factors;
- Consumer strengths;
- Prior treatment and rehabilitation services used and outcomes of these services;
- Interrelationship of history and assessments;
- Preferences for treatment, consumer choice and hopes for recovery;
- An assessment for co-occurring disorders;
- Barriers impacting prospects for stabilization and recovery;
- Current issues placing the client most at risk;
- How needs are to be prioritized and addressed;
- What interventions are needed, when, how quickly, in what services and settings, length of stay, and with what provider(s); and
- The step-down services.

Treatment and Care Planning

Treatment and care planning documentation is included in the consumer's Individualized Recovery/Resiliency Plan (IRP). The IRP should be reviewed frequently and evolve to best meet the consumer's needs. This plan sets forth the course of care by integrating the information gathered from the current assessment, status, functioning, and past treatment history into a clinically sound plan of care. The following components are required:

² This will be monitored by the ERO audit tool effective January 1, 2010.

³ It is acceptable that the initials can be used for first and middle names. The last name must be spelled out and each of these must correlate with the names on the license. This is an effort to ensure that a connection can be made between the printed/stamped name on the chart entry and a license.

Order/Recommendation for Course of Treatment⁴

All services must be recommended (“ordered”) by a physician or other appropriately licensed practitioner. The recommendation/order for a course of treatment must specify each service (**by official Group Name**) to be provided and shall be reviewed and signed by the appropriately licensed practitioner(s) on or before the initial date of service **AND** on or before the effective date of each reauthorization of service(s). If the provider utilizes service packages (i.e. Intensive Outpatient) to order services, each service included in the service package must be individually named (**by official Group Name**) in the recommendation/order. All recommendations/orders expire at the time of the expiration of the current authorization.

- There are two formats that may be used for writing a recommendation/order:
 1. An individualized recovery/resiliency plan (IRP) which fulfills the required components **A-E** listed below, can be used as a recommendation/order for the applicable authorization period for services indicated within the plan.
 2. A stand-alone recommendation/order in the client record which fulfills required components **A-E** listed below.
- **Required Components** of the recommendation/order include:
 - A. Consumer name,
 - B. All services recommended as a course of treatment/ordered as indicated by Group Name as listed in the current DBHDD Provider Manual,
 - C. Signature and credentials⁵ of appropriately licensed practitioner(s),
 - D. Printed or stamped name and credentials of appropriately licensed practitioner(s), and
 - E. Date of signature(s).
- The appropriately licensed practitioner(s) authorized to recommend/order specific services may be found within each service definition.
- Should the recommendation for course of treatment (order) cross multiple pages in a paper record, the provider is responsible for ensuring that it is clear that the additional pages are a continuation of the order. For example, in a 2 page order, page 2 must contain the name of the consumer, a page number, and indication that the signature of the practitioner indicates authorization for services as noted on page 1.
- Recommendation for course of treatment (“orders”) may be made verbally. This Provider Manual may list additional requirements and standards which are service-specific; *when there is a conflict, providers should defer to the*

⁴ Note that the following requirements apply only to recommendation/orders for **services** as defined in the MH and AD Service Definitions and Guidelines (FY 09 Provider Manual, Part I, Section I). Standards regarding orders for medication and procedures can be found in the Standards for All Providers (FY 09 Provider Manual, Part II, Section II).

⁵ See Appendix 1 for additional information regarding credentials.

more stringent requirements and standards. Required components of the verbal recommendation/order include:

- The organization must have policies and procedures which govern procedures for verbal orders;
- Recommendations/Orders must be documented in the medical record and include:
 - A. Consumer name,
 - B. All services recommended as a course of treatment/ordered as indicated by official Group Name as listed in the current DBHDD Provider Manual,
 - C. Printed or stamped name and credentials of appropriately licensed practitioner(s) recommending service, and
 - D. Date of verbal order(s); and
 - E. Printed or stamped name, credentials, original signature, and date signed by the staff member receiving the verbal order. Organization's policy must specify which staff can accept verbal orders for services.
- Verbal orders must be authenticated by the ordering practitioner's signature within seven (7) calendar days of the issuance of orders. This may be an original signature or faxed signed order.
- Faxed orders signed by the ordering practitioner are acceptable and a preferred alternative to verbal orders. The fax must be dated upon receipt, contain Required Components A-E.

Individualized Treatment (Recovery/Resiliency) Planning must:

- Identify and prioritize the needs of the consumer;
- Document by consumer or guardian signature that the consumer is an active participant in the planning and process of care (to the degree to which that is possible).
- State goals which will honor achievement of stated hopes, choice, preferences, and desired outcomes of the consumer and/or family;
- Assure goals/objectives are:
 - related to assessment/reassessment;
 - designed to ameliorate, rectify, correct, reduce or make symptoms manageable; and
 - indicative of desired changes in levels of functioning and quality of life to objectively measure progress.
- Define goals/objectives that are individualized, specific and measurable with achievable timeframes;
- Detail interventions which will assist in achieving the outcomes noted in the goals/objectives;
- Identify and select services and interventions of the right duration, intensity and frequency to best accomplish these objectives;
- Assure there is a goal/objective that is consistent with the service intent;
- Identify frequency and duration of services which are set to achieve optimal results with resource sensitive expenditures.

Discharge/Transition Plan which:

- Documents transition planning at onset of service delivery;
- Defines discharge criteria which objectively measures progress by aligning with documented goals/objectives, desired changes in levels of functioning, and quality of life;
- Defines specific step-down service/activity/supports to meet individualized needs; and
- Is measurable and includes anticipated step-down/transition date.

Within 30 days from the date of discharge, the Discharge Summary must:

- Document the reason for ending services;
- Indicate the outcome of the goals and objectives made during the service provision period;
- Define specific to step-down service/activity/supports where consumer was referred; and
- Living situation at discharge.

Progress Note

Progress Note documentation includes the actual implementation and outcome(s) of the designated services in a consumer's IRP. The progress note is an integral part of the consumer's written legal record. The purpose of the progress note documentation is to accurately describe the delivery of services and the impact of the services to the consumer.

Progress note documentation requires prospective and current providers to develop and implement protocols by which they design, execute and monitor the documentation in a consistent, systematic, agency wide manner on an ongoing basis. While the Department of BHDD has not prescribed a specific format for progress notes, there are clear standards related to the **content, components, required characteristics, and format of progress note documentation**.

The Department of BHDD has provided the information in this section to communicate **requirements** for progress note documentation and to offer guidance for implementation of the standards related to the purpose, components, characteristics, content, context and quality of progress note documentation.

It is the recommendation of Department of BHDD that current and prospective providers of Medicaid Community Mental Health Services and State Contracted Services utilize the information in structuring their internal standards, protocols, practices, performance, monitoring and training activities.

The **content in progress note documentation** must provide all the necessary supporting evidence to justify the need for the services based on medical necessity criteria and support all requirements for billing and adjudication of the service claims. For this reason, progress

notes should include observations of the consumer's symptoms, behaviors, affect, level of functioning and reassessment for risk when indicated as well as information regarding the exact nature, duration, frequency and purpose of the service, intervention and/or modality. Review of sequential progress notes should provide a snapshot of the consumer over a specified time frame.

Required components of progress note documentation:

- **Linkage** - Clear link between assessment and/or reassessment, Individualized Recovery/Resiliency Plan and intervention(s) provided.
- **Consumer profile** – Description of the current status of the consumer to include consumer statements, shared information and quotes; observations and description of consumer affect; behaviors; symptoms; and level of functioning.
- **Justification** – Documentation of the need for services based on admission criteria and measurable criteria for medical necessity. This documentation should also reflect justification for payment of services provided and utilization of resources as it relates to the service definition and the needs/desires of the consumer.
- **Specific services/intervention/modality provided** – Specific detail of all provided activity(ies) or modality(ies) including date, time, frequency, duration, location and when appropriate, methodology.
- **Purpose or goal of the services/intervention/modality**- Clarification of the reasons the consumer is participating in the above services, activities, and modalities and the demonstrated value of services.
- **Consumer response to intervention(s)** – Identification of how and in what manner the service, activity, and modality have impacted the consumer; what was the effect; and how was this evidenced.
- **Monitoring** - Evidence that selected interventions and modalities are occurring and monitored for expected and desired outcomes.
- **Consumer's progress** – Identification of the consumer's progress (or lack of progress) toward specific goals/objectives as well as the overall progress towards wellness.
- **Next steps** – Targeted next steps in services and activities to support stability
- **Reassessment and Adjustment to plan** – Review and acknowledgement as to whether there is a need to modify, amend or update the individualized service/recovery plan and if so, how.

Required characteristics of progress note documentation⁶:

- **Presence of note** – For any claim or encounter submitted to DBHDD (including Medicaid Rehabilitation Option), a note must be present justifying that specific intervention. In addition, other ancillary or non-billable services which are related to the well-being of the individual served must be included in the consumer's official medical record.

⁶ Any electronic records process shall meet all requirements set forth in this document.

- **Service billed** – All progress notes must contain the corresponding HIPAA code which must include any designated modifier. When documenting practitioner modifiers, the modifier must indicate the reimbursement level, which may differ from the practitioner level in certain cases. For example, if a RN provides CSI, the RN would include the modifier U4 to indicate the practitioner level even though an RN is generally a level 2 Practitioner.
- **Timeliness** – All activities/services provided are documented (written and filed) within the current consumer record within a pre-established time frame set by agency policy not to exceed 7 calendar days. Best practice standards require progress notes to be written within 24 hours of the clinical or therapeutic activity.
- **Legibility** – All documentation that is handwritten must be readable, decipherable and easily discernable to the all readers.
- **Conciseness and clarity** – Clear language, grammar, syntax, and sentence structure is used to describe the activity and related information.
- **Security and confidentiality** – All documentation is managed in such a manner to ensure consumer confidentiality and security while providing access and availability as appropriate.
- **Activities dated** - Documentation specifies the date/time of service.
- **Dated entries** – All progress note entries are dated to reflect the date of signature of the individual providing the service (this date may differ from the actual date of service). Dates written to indicate the date of a signature should only be dated by the signer. In electronic records, the date of entry should reflect the date that the secure electronic signature was entered. Back-dating and post-dating are not permitted.
- **Duration of activities** – Documentation of the duration must be noted for all services to include the number of units, times, and dates. For those services in which the unit/rate is based on time (not per contact/encounter), documentation must include time-in and time-out for all services. This requirement applies for both face-to-face and collateral contacts. Residential services are excluded from the daily notation of time-in/time-out and must follow the specific guidelines outlined in each specific residential code. Further instruction related to Psychosocial Rehabilitation and Peer Supports services can be found in the respective Service Guidelines.
- **Rounding of Units** – Rounding of units is permitted when a service meeting the service definition is provided in less time than the unit increment requirement. Each provider must have an internal policy regarding rounding of units. **Effective January 1, 2011:** Regarding “rounding” of units, a unit may be billed for a service when an activity meets the service definition of the service billed but does not meet the full time/unit requirement. In order to bill a unit of service, at least 50% of the time required per unit must be provided and documented by the “time-in, time-out” documentation. For example, a provider may bill a single 15 minute unit for a service greater or equal to 8 minutes and less than 23 minutes. If the duration of the service is greater than or equal to 23 minutes and less than 38 minutes, then 2 units may be billed. Providers must document rounding practices in internal policy.
- **Location of intervention** – For those services which may be billed as either in or out-of clinic, progress notes shall reflect the location as either in-clinic or out-of-clinic (unless otherwise noted in Service Guideline). If the intervention is in-clinic, no further specificity is required. If an intervention is “out-of-clinic”, the note must reflect

the specific location of the intervention; this indication should be specific enough that it can be generally understood where the service occurred (for example: "...at the individual's home," "...at the grocery store", etc.). Documenting that the service occurred "in the community" is not sufficient to describe the location.

- **Participation in intervention** – Progress notes shall reflect all the participants in the treatment and/or support intervention (consumer, family, other natural supports, multi-disciplinary team members, etc.)
- **Signature, Printed staff name, qualifications and/or title⁷** – The writer of the documentation is designated by name and credentials/qualifications and when required, degree and title. If an individual is a licensed practitioner, the printed name must be the name listed on his or her practitioner's license on all medical record documentation⁸. An original signature is required. The printed name and qualifications and/or title may be recorded using a stamp or typed onto the document. Automated or electronic documentation must include a secure electronic signature⁹.
- **Black or Blue ink** – Currently, the State of Georgia requires that any handwritten documentation must be in black or blue ink.
- **Recorded changes** – Any corrections or alternations made to existing documentation must be clearly visible. **No "white-out" or unreadable cross-outs** are allowed. A single line is used to strike an entry and that strike must be initialed and dated. Any changes to the electronic record must include visible "edits" to include the date and the author of the edit. Additionally, if a document contains a Secure Electronic Signature, it must be linked to data in such a manner that if the data is changed the electronic signature is invalidated.
- **Consistency** – Documentation should follow a consistent, uniform format. Should the progress note cross multiple pages in a paper record, the provider is responsible for ensuring that it is clear that the additional pages are a continuation of the progress note. For example, in a 2 page note, page 2 must contain the name of the consumer, date of service, a page number, and indication that the signature of the practitioner or paraprofessional is related to the progress note on page 1.
- **Diversions and non-billable activities** –
 - Providers may not bill for multiple services which are direct interventions with the consumer during the same time period. If multiple services are determined to have been billed at the same or overlapping time period, billing for those services are subject to recoupment. Allowable exceptions include a consumer receiving a service during the same time period or overlapping time period as:
 - A service provided without client present as indicated with the modifier "HS", or

⁷ See Appendix 1 for additional information regarding credentials.

⁸ It is acceptable that the initials can be used for first and middle names. The last name must be spelled out and each of these must correlate with the names on the license. This is an effort to ensure that a connection can be made between the printed/stamped name on the chart entry and a license.

⁹ As defined in PART I POLICIES AND PROCEDURES FOR MEDICAID/PEACHCARE FOR KIDS, a Secure Electronic Signature means an electronic or digital signature, symbol, or process associated with a document which is created, transmitted, received, or stored by electronic means which (1) requires the application of a security procedure; (2) capable of verification/authentication; (3) adopted by a party with the intent to be bound or to authenticate a record; (4) signed under penalty of perjury; (5) unique to the person using it; (6) under the sole control of the person using it; and (7) linked to data in such a manner that if the data is changed the electronic signature is invalidated.

- A collateral contact service as indicated by the modifier “UK”.
For example, a provider may bill Individual Counseling with the consumer while, simultaneously, CSI is being billed for a collateral contact. This is only allowable when at least one of the services do not require that the consumer be present and the progress note documents such.
- Non-billable activities are those activities or administrative work that does not fall within the Service Definition. For example, confirming appointments, observation/monitoring, tutoring, transportation, completing paperwork, and other administrative duties not explicitly allowed within the Service Guidelines are non-billable activities. Billing for non-billable activities is subject to recoupment.
- Billing for services that do not fall within the respective Service Definition is subject to recoupment.
- Diversionary activities are activities/time during which a therapeutic intervention tied to a goal on the individual’s treatment plan is not occurring. Diversionary activities are subject to recoupment. An exception to this includes activities billed as Structured Activity Supports which fall within the service definition.

Formats for progress note documentation:

The Department of BHDD does not require providers to utilize a specific format for progress notes. However, providers are expected to follow best practices and select a format or create a prescribed narrative that can be used consistently throughout their agency. Information regarding best practices for progress note documentation including expanded acronym definition, specific content and examples are available through accrediting bodies, professional organizations, and other resources.

Specific details regarding actual practice should be described in provider’s policies, procedures, training manuals and/or documentation instruction sheets.

There are numerous acceptable formats for best practice of progress note documentation. Among many others, these formats may include the ***SOAP, PIR, GIO, GIRP, BIRP, OSRP, DAP and TREATS***. The acronyms definitions of these formats stand for:

- ***S-O-A-P***: Subjective, Objective, Assessment and Plan
- ***P-I-R***: Problem(s)-Intervention(s)-Response(s)
- ***G-I-O***: Goal(s), Intervention(s), Objective(s)
- ***G-I-R-P***: Goal(s), Intervention(s), Response(s), Plan
- ***B-I-R-P***: Behavior(s), Intervention(s), Response(s), Plan
- ***O-S-R-P***: Objective(s), Strategy(ies), Response(s), Plan
- ***D-A-P***: Data, Assessment, Plan
- ***T-R-E-A-T-S***: Traits, Response, Events, Assessment, Treatment Strategies

While these formats differ slightly in identifying acronyms or “labels,” they share similar structure, common data elements and required content. All formats require a clear match or link between the progress note, assessment and service and planning data. In addition, formats lay out specific standards for capturing detailed information related to the

consumer's current status, specific service, intervention, activity and/or modality provided; the consumer response and progress; and what should be the next steps in the planning process.

For more information on progress note development, see BHDD's "Progress Note Development Checklist" online at www.apsero.com

Documentation of Standard Training Requirement for Paraprofessionals

Providers must comply with the Standard Training Requirement for Paraprofessionals. Documentation of compliance must be available for each paraprofessional. For the Essential Learning (online) component, demonstration of fulfilling this requirement includes printing the certificates and/or the Learners' transcripts and keeping them in personnel files. Providers must also have documentation available to demonstrate completion of the training provided by the organization. In addition, **effective January 1, 2011**, an orientation agenda/checklist/spreadsheet approved by a supervisor with the name of the employee, date, topic of training, and number of hours must be available for audit purposes. The date of hire must also be available for review.

Documentation of Supervision for Individuals Working Towards Licensure

Psychologist/LCSW/LPC/LMFT's supervisee/trainee is defined as:

An individual with a minimum of a Bachelor's degree and one or more of the following:

1. Registered toward attaining an associate or full licensure;
2. In pursuit of a Master's degree that would qualify the student to ultimately qualify as a licensed practitioner (Psychologist, LCSW, LMFT, LPC, LMSW, LAMFT, LAPC);
3. Not registered, but is acquiring documented supervision toward full licensure in accordance with O.C.G.A. 43-10A-3

See Service Guideline for information regarding practitioners authorized to provide specific services.

These individuals must be under supervision of a licensed Psychologist/LCSW, LPC, or LMFT in accordance with the GA Composite Board of Professional Counselors, Social Workers, and Marriage and Family Therapists or enrolled in a practicum with an accredited educational Master's degree program which provides supervision as a part of a curriculum which is the foundation toward licensure.

Effective for all services provided on or after August 1, 2009, students and individuals who meet the definition of a Supervisee/Trainee above will not require a co-signature on progress notes unless required by the rules of the Georgia Composite Board of Professional Counselors, Social Workers and Marriage and Family Therapists.

In accordance with the Georgia Composite Board of Professional Counselors, Social Workers and Marriage and Family Therapists, interns and trainees must work under

direction and documented clinical supervision of a licensed professional. Effective for all services provided on or after August 1, 2009, agencies will be required to present documentation of supervision of Supervisee/Trainees upon request by DBHDD or the DBHDD's ERO. Documentation of supervision for previous month must be in employee file by the 10th day of the following month. For example, January supervision must be recorded by February 10th.

As of the print date of this Provider Manual, documentation of supervision is described by O.C.G.A. 43-10A-3 as, "a contemporaneous record of the date, duration, type (individual, paired, or group), and a brief summary of the pertinent activity for each supervision session". More information can be found online at <http://sos.georgia.gov/plb/counselors/>. Documentation of supervision as defined by O.C.G.A. 43-10A-3 must be present and current in personnel record.

In addition, for Supervisee/Trainees who are either:

1. In pursuit of a Master's degree that would qualify the student to ultimately qualify as a licensed practitioner (Psychologist, LCSW, LMFT, LPC, LMSW, LAMFT, LAPC), or
2. Not registered toward attaining licensure, but is acquiring documented supervision toward full licensure in accordance with O.C.G.A. 43-10A-3,

The agency will be required to present an attestation signed by both the supervisor and supervisee/trainee which either:

1. Confirms enrollment in a practicum with an accredited educational Master's degree program which provides supervision as a part of a curriculum which is the foundation toward licensure, or
2. Confirms that supervision is being provided towards licensure in accordance with O.C.G.A. 43-10A-3.

Documentation of Supervisee/Trainees who are receiving on-site supervision in addition to the supervision that they are receiving off-site towards their licensure must include:

1. A copy of the documentation showing supervision towards licensure, and
2. Documentation in compliance with the above-stated requirements.

For example, if a Supervisee/Trainee is working at Agency "A" as a supervisee-trainee and receiving supervision towards their licensure outside of Agency "A", the a copy of the documentation showing supervision towards licensure must be held at Agency "A".

This Provider Manual may list additional requirements and standards which are service-specific; when there is a conflict, providers should defer to those requirements which are most stringent.

Documentation of Supervision of Addiction Counselor Trainees

Addiction Counselor Trainees may provide certain services under Practitioner Level 5. See Service Guideline for information regarding practitioners authorized to provide specific services. The definition of Addiction Counselor Trainee is "an individual who is

actively seeking certification¹⁰ as a CADC, CCADC, CAC II or MAC and is receiving appropriate Clinical Supervision”. The Addiction Counselor Trainee Supervision Form (Appendix 2) and supporting documentation indicating compliance with the below requirements must be provided for all services provided by an Addiction Counselor Trainee on or after August 1, 2009. The following outlines the definition of supervision and requirements of clinical supervision:

- Supervision means the direct clinical review, for the purpose of training or teaching, by a supervisor of a specialty practitioner's interaction with a client. It may include, without being limited to, the review of case presentations, audio tapes, video tapes, and direct observation in order to promote the development of the practitioner's clinical skills.
- Monthly Staff Supervision form must be present and current in personnel record. Supervision form for previous month must be in employee file by the 10th day of the following month. For example, January supervision must be recorded by February 10th.
- Evidence must be available to show that supervising staff meet qualifications:
 - The following credentials are acceptable for Clinical Supervision: CCS; CADC; CCADC; CAC II; MAC or LPC/ LCSW/LMFT who have a minimum of 5 hours of Co-Occurring or Addiction specific Continuing Education hours per year; certification of attendance/completion must be on file.
- The Addiction Counselor Trainee must have a certification test date that is within 3 years of hire as an Addiction Counselor Trainee, and;
- The Addiction Counselor Trainee may not have more than 3 years of cumulative experience practicing under supervision for the purpose of addiction certification, per GA Rule 43-10A, and;
- Addiction Counselor Trainees must have a minimum of 4 hours of documented supervision monthly – this will consist of individual and group supervision.

This Provider Manual may list additional requirements and standards which are service-specific; when there is a conflict, providers should defer to those requirements which are most stringent.

The DBHDD has added specificity regarding the supervision of these practitioners due to the volume of practice provided by LCSW/LPC/LMFT’s supervisee/trainees and Addiction Counselor Trainees. Psychologists in training should adhere to the supervision requirements outlined in the Official Code of Georgia.

¹⁰ Persons actively seeking certification are defined as: Persons who are training to be addiction counselors but only when such persons are: employed by an agency or facility that is licensed to provide addiction counseling; supervised and directed by a supervisor who meets the qualifications established by the certifying body; actively seeking certification, i.e. receiving supervision & direction, receiving required educational experience, completion of required work experience. (Georgia Rule 43-10A)

Appendix 1

The below chart provides abbreviations for credentials recognized in the Practitioner Level system. These approved abbreviations must be on the signature lines in documentation where credentials are required (i.e. orders for services, progress notes, etc). For those staff members (PP, CPS, S/T, etc) whose practitioner level is affected by a degree, the degree initials should also be included. For example, if a Paraprofessional is working with a Bachelor of Arts degree, he or she would include “PP, BA” as his or her credentials.

Professional Title	ABBREVIATION FOR SIGNATURE LINE
Physician	M.D., D.O., etc.
Psychiatrist	M.D., etc.
Physician Assistant	PA
Advanced Practice Registered Nurse, Clinical Nurse Specialist/Psychiatric-Mental Health and Nurse Practitioner	APRN or CNS-PMH or NP
Licensed Pharmacist	LPh
Registered Nurse	RN
Licensed Practical Nurse	LPN
Licensed Dietician	LD
Qualified Medication Aide	QMA
Psychologist	PhD or PsyD
Licensed Clinical Social Worker	LCSW
Licensed Professional Counselor	LPC
Licensed Marriage and Family Therapist	LMFT
Licensed Master’s Social Worker	LMSW
Licensed Associate Professional Counselor	LAPC
Licensed Associate Marriage and Family Therapist	LAMFT
Psychologist/LCSW/LPC/LMFT’s supervisee/trainee	S/T
Certified Clinical Alcohol and Drug Counselor	CCADC
Georgia Certified Alcohol and Drug Counselor, Level III	GCADCIII
Master Addiction Counselor (MAC), National Board of Certified Counselors	MAC-NBCC
Master Addiction Counselor (MAC), National Association of Alcohol and Drug Counselors,	MAC-NAADC
Certified Alcohol and Drug Counselor	CADC
Georgia Certified Alcohol and Drug Counselor II	GCADC-II
Certified Addiction Counselor, Level II	CAC-II
Certified Addiction Counselor, Level I (CAC-I)	CAC-I
Registered Alcohol and Drug Technician I, II, III	RADT-I, RADT-II, RADT-III
Addiction Counselor Trainees	ACT
Certified Psychiatric Rehabilitation Practitioner (CPRP)	CPRP
Certified Peer Specialist (CPS)	CPS
Paraprofessional (PP)	PP
Vocational Rehabilitation Specialist	PP/VS

ADDICTION COUNSELOR TRAINEE SUPERVISION FORM

Individual

Group

SECTION A. EMPLOYEE INFORMATION

Name:

Month of Supervision:

Hire Date as an Addiction Counselor Trainee:

Projected Certification Test Date:
(Eligible to test w/in 2 years of hire date)**SECTION B.**

Check Domain discussed during Supervision and briefly describe (see TAP 21 description):

- Clinical Evaluation (total monthly hours completed: ____) (accumulative hours completed: ____)
- Treatment Planning (total monthly hours completed: ____) (accumulative hours completed: ____)
- Referral (total monthly hours completed: ____) (accumulative hours completed: ____)
- Service Coordination (total monthly hours completed: ____) (accumulative hours completed: ____)
- Counseling (total monthly hours completed: ____) (accumulative hours completed: ____)
- Client, Family and Community Education (total monthly hours completed: ____) (accumulative hours completed: ____)
- Documentation (total monthly hours completed: ____) (accumulative hours completed: ____)
- Professional and Ethical Responsibilities (total monthly hours completed: ____) (accumulative hours completed: ____)

Short Term Goals/Action Required: (define expectations – timelines – areas needing improvement)

Training Needs: (progress toward certification, licensure and/or other areas of professional growth)

Training Hours Completed: _____

Next Scheduled Supervision: _____

SECTION C. SIGNATURESSupervisor's Signature and credentials¹¹:

Date:

Employee Signature:

Date:

¹¹ The following credentials are acceptable for Clinical Supervision and are required to provide proof of credential: CCS; CADC; CCADC; CAC II; MAC or LPC/ LCSW/LMFT who have a minimum of 5 hours of Co-Occurring or Addiction specific Continuing Education hours per year, certification of attendance/completion must be on file.

PART III

Block Grant Funding Requirements

**Provider Manual for
Community Mental Health,
Developmental Disabilities and
Addictive Diseases
Providers**

Fiscal Year 2011



**Georgia Department of Behavioral Health &
Developmental Disabilities**

JULY 2010

PART III

Block Grant Funding Requirements

- **Mental Health Block Grant**
- **Substance Abuse, Prevention and Treatment Block Grant**
- **Safe and Drug Free Schools and Communities Block Grant**
 - **Reporting Form**
- **Special Requirements for Programs serving Children and Adolescents**
- **PATH Summary**
- **Title XX Social Services Block Grant for DD Services**
 - **Reporting Form**



DBHDD

**Georgia Department of Behavioral Health &
Developmental Disabilities**

July 2010

MENTAL HEALTH BLOCK GRANT

(Note: The information contained here is for emphasis and is not inclusive of all requirements for which the Contractor has to comply. For a complete list of all requirements please obtain a full copy of Public Law 102-321, Section 1912 and following applicable code sections at www.mentalhealth.samhsa.gov)

The Contractor in accepting and expending Block Grant funds recognizes the following services for Adult and Child Adolescent Mental Health are the only services eligible to be funded with Mental Health Block Grant dollars for 2011. The Contractor recognizes the services specified below will be provided in accordance with the applicable standards as specified in this Provider Manual.

A. Adult

1. Outpatient services (screening and assessment to determine appropriateness of services or state hospital admissions; physician or nursing assessment; individual, group and/or family counseling, and training; medication administration, monitoring and training; service coordination).
2. 24-hour-a-day emergency care services (crisis intervention services).
3. Intensive community intervention and support or psychosocial rehabilitation services.
4. Consumer directed programs (consumer peer supports).
5. Residential services
6. Supported Employment.
7. Assertive Community Treatment (ACT).

B. Child and Adolescent

1. Outpatient services (screening and assessment, counseling and training, medication administration, medication monitoring).
2. Wraparound/Family support/Respite.
3. Crisis intervention services including Crisis Stabilization Programs and mobile crisis.
4. Intensive In-home Therapy services.

C. Exclusions: Mental Health Block Grant funds may not be expended for:

1. Provision of inpatient services.
2. Cash payments to recipients of services.
3. The purchase or improvement of land; purchase, construction or permanent improvement (other than minor remodeling) of any building or other facility or the purchase of major medical equipment.
4. To satisfy any requirement for the expenditure of non-Federal funds as a condition for the receipt of Federal funds.
5. Provision of financial assistance to any entity other than a public or nonprofit private entity.**

****Federal block grant funds may be expended in procurement or acquisition relationships with for-profit entities. Contracts must be developed that identify specific deliverables to be purchased with the funds.**

SUBSTANCE ABUSE, PREVENTION AND TREATMENT BLOCK GRANT

Federal Substance Abuse Prevention and Treatment Block Grant Funds provide for allotments each year to States for the purpose of planning, carrying out, and evaluating activities to prevent and treat substance abuse. The Block Grant funds may be expended to provide for a wide range of activities to prevent and treat substance abuse and may be expended to deal with the abuse of alcohol, the use or abuse of illicit drugs, and the abuse of licit drugs. The requirements for the expenditure of these funds are summarized below. The complete description of these requirements known as 45 CFR 96 – Rules and Regulations, may be found on the Substance Abuse Mental Health Services Administration (SAMHSA) web site at www.samhsa.gov/centers/csat/csat.html. Click on the index listing for 45 CFR 96 – Rules and Regulations. The document is 57 pages in length.

I. GENERAL PROVIDER ASSURANCES

- A. That an assessment of each consumer's need be conducted and documented;
- B. That a policy and procedure be implemented to prevent inappropriate disclosure of patient records covered by Federal confidentiality regulations for substance abuse.
- C. That prevention activities and treatment services be coordinated with the provision of other appropriate services;
- D. That continuing education of employees providing prevention activities or SA treatment services is required;
- E. That grant dollars not be used to supplant State and local funding of alcohol and other drug prevention and treatment programs;
- F. That grant dollars not be used to cover expenses that are eligible for payment or reimbursement through other sources.
- G. Compliance with restrictions on the expenditure of grant funds, including:
 - 1. Inpatient hospital services, except as provided under specific exceptions;
 - 2. Cash payments to intended recipients services;
 - 3. The purchase or improvement of land, a building or other facility, or the purchase of major medical equipment, except under specific circumstances
 - 4. The satisfaction of any requirement for the expenditure of non-Federal funds as a condition for the receipt of Federal funds;
 - 5. Financial assistance to any entity other than a public or nonprofit private entity*; or
 - 6. To provide individuals with hypodermic needles or syringes so that such individuals may use illegal drugs, except under certain circumstances.
- H. That independent peer review in accordance with the Regional Office's requirements be carried out to assess the quality, appropriateness, and efficacy of treatment services;
- I. Compliance with all applicable Federal laws and regulations, including those relating to audits, lobbying, drug-free workplace, non-discrimination, and disclosure of certain information and events.

*Federal block grant funds may be expended in procurement or acquisition relationships with for-profit entities. Contracts must be developed that identify specific deliverables to be purchased with the funds.

II. PROVIDER ASSURANCES WITH REGARD TO PRIMARY PREVENTION PROGRAMS

- A. Use of SAPTBG prevention funds is limited to primary substance abuse prevention activities that are:
1. provided in a variety of settings;
 2. provided to individuals not in need of substance abuse treatment;
 3. targeted to the general population or sub-populations who are at high risk for substance abuse, including persons who are:
 - a. children of substance abusers;
 - b. pregnant women/teens;
 - c. high school dropouts;
 - d. children/youth in the mental health system but who do not present with a need for substance abuse treatment;
 - e. high-risk youth such as those in the juvenile justice system, but who do not present with a need for substance abuse treatment
 - f. parents and families of substance users (e.g. children, siblings, spouses, grandparents etc);
 - g. homelessness youth;
 - h. other populations residing in areas of high drug trafficking, that have high rates of substance use disorders as indicated by prevalence data, that are subject to other CSAP identified risk factors (see www.samhsa.gov), that are shown by a data-driven assessment of need to be either un-served or underserved by prevention programs and services, and/or that are otherwise identified as having an unmet need.
- B. Activities funded with grant funds must be part of a comprehensive plan that includes services and programs under six CSAP strategies:
1. **Information dissemination** to promote awareness of the nature and extent of alcohol, tobacco and drug use, abuse and addiction; its effects on individuals, families and communities, and 1.dissemination is characterized by one-way communication from the source to the audience, with limited interaction between the two.
 2. **Education** to affect critical life and social skills, including decision-making, refusal skills, critical analysis (e.g. of media messages) and systematic judgment abilities. Education is characterized by two-way communication, involving interaction between the educator/facilitator and the participant.
 3. **Alternatives** to activities involving alcohol, tobacco and other substance use for at risk populations and sub-populations.
 4. **Identification and Referral** of adults, children and adolescents engaged in the illegal/age inappropriate use of tobacco or alcohol, and/or first use of illicit drugs, in order to assess if their behavior can be reversed through education.
(Note: Activities intended to assess treatment needs are not included within this strategy.)
 5. **A Community-Based Process** to build prevention and treatment capacity at the local level, including, interagency collaboration, coalition building and networking.
 6. **Environmental Strategies** to affect community standards that will result in a reduction of the incidence of the use of alcohol, tobacco and other substances.

Strategies include legal and regulatory initiatives, as well as service and action-oriented initiatives.

- C. The Georgia Prevention Minimum Data Set Summary Report will be completed as instructed during the 2005 Minimum Data Set training for providers. Service/program process and outcome data are to be collected and reported per the directive of the State office through the Regional offices, and will be in cooperation with the Prevention Program evaluation efforts of the University of Georgia, MACRO International, and the DBHDD State office for:
1. Electronic MDS (process service data), and
 2. Database builder (DbB) (outcome data), to address national process and outcome reporting (NOMS).

III. PROVIDER ASSURANCES WITH REGARD TO PROGRAMS FOR WOMEN

- A. Providers shall give preference to admission to services as follows:
1. Pregnant injecting drug users;
 2. Pregnant substance abusers;
 3. Injecting drug users; and
 4. All others
- B. The provider shall publicize the availability of services and the preference extended to pregnant women through its outreach programs, ongoing public service announcements (radio/television), regular advertisements in local/regional print media, posters placed in targeted areas, and frequent notification of availability of such treatment distributed to the network of community based organizations, health care providers, and social service agencies.
- C. Programs will treat the family as a unit and admit both women and their children into treatment services, if appropriate. Programs must provide, or arrange for the provision of, the following services to pregnant women and women with dependent children, including women who are attempting to regain custody of their children:
1. primary medical care for women, including referral for prenatal care and, while the women are receiving services, childcare;
 2. primary pediatric care, including immunization, for their children;
 3. gender specific substance abuse treatment and other therapeutic interventions for women, which may address issues of relationships, sexual and physical abuse, parenting, and child care;
 4. therapeutic interventions for children in custody of women in treatment which may address developmental needs, sexual and physical abuse and neglect; and
 5. Sufficient case management and transportation to ensure access to services.
- D. In the event that the provider has insufficient capacity to serve any pregnant woman seeking treatment, the provider will refer the woman to the Regional Office.

IV. PROVIDER ASSURANCES WITH REGARD TO PROGRAMS FOR INTRAVENOUS DRUG USERS

- A. Providers receiving grant dollars for treatment services for intravenous drug abusers must encourage the participation of such individuals through outreach models prescribed by the Regional Office, or if no such models are prescribed, through a strategy that reasonably can be expected to be an effective. Outreach efforts shall include:
 - 1. Selecting, training and supervising outreach workers;
 - 2. Contacting, communicating and following-up with substance abusers, their associates, and neighborhood residents, within the constraints of Federal and State confidentiality requirements, including 42 C.F.R. Part 2;
 - 3. Promoting awareness among substance abusers about the relationship between intravenous drug abuse and communicable diseases such as HIV, and recommending steps to prevent disease transmission; and
 - 4. Encouraging entry into treatment
- B. Each individual who requests and is eligible for service must be admitted to a treatment program not later than:
 - 1. Fourteen days after making the request for admission to a program; or
 - 2. One hundred and twenty days after the date of such request, if:
 - a. No such program has the capacity to admit the individual on the date of such request, and
 - b. Interim services, including referral for prenatal care, are made available to the individual not later than 48 hours after such request.
- C. The provider shall establish a system for reporting unmet demand for treatment services to the Regional Office. This waiting list shall use a unique patient identifier for each injecting drug abuser seeking treatment, including those receiving interim services while awaiting admission to such treatment. The reporting system shall ensure that individuals who cannot be placed in comprehensive treatment within 14 days receive ongoing contact and appropriate interim services while awaiting admission.
- D. Providers receiving grant funding for the treatment of intravenous substance abusers must, upon reaching 90 percent of service capacity, notify the Regional Office within seven days.

V. PROVIDER ASSURANCES WITH REGARD TO TUBERCULOSIS

- A. The provider will implement infection control procedures that are designed to prevent the transmission of tuberculosis.
- B. The provider shall routinely make available tuberculosis services to each individual receiving or seeking treatment services, either directly or through arrangements with other public or nonprofit private entities, including:
 - 1. Counseling
 - 2. Diagnostic Testing
 - 3. Therapy
- C. All individuals identified with active tuberculosis shall be reported to the appropriate State official as required by law.

VI. PROVIDER ASSURANCES WITH REGARD TO HIV (Human Immunodeficiency Virus)

- A. Providers shall participate in any HIV project as required by the Regional Office.
- B. The provider shall routinely make available Early Intervention Services to each individual receiving or seeking treatment services, either directly or through arrangements with other public or nonprofit private entities, provided that such services are not required as a condition of receiving treatment services for substance abuse, and are undertaken voluntarily and with the informed consent of the individual. Early Intervention Services must include:
 - 1. Counseling for HIV/AIDS
 - 2. Diagnostic testing
 - 3. Therapy

SAFE AND DRUG-FREE SCHOOLS AND COMMUNITIES BLOCK GRANT

The Safe and Drug Free Schools and Communities Block Grant (SDFSC) is authorized by the Title IV of the Federal *Improving America's School Act of 1994* and is administered by the U.S. Department of Education. SDFSC awards support the seventh National Education Goal, that “*every school in America will be free of drugs, alcohol and violence and will offer a disciplined environment conducive to learning.*”

The Georgia Department of Behavioral Health and Developmental Disabilities (DBHDD) administers that portion of the State's total SDFSC grant allocated directly to the Governor for drug and violence prevention programs, and law enforcement education partnerships. Applicants eligible for funding through the Governor's SDFSC allocation include parent groups, community action and job training agencies, and community-based organizations and consortia.

I. GENERAL PROVIDER ASSURANCES

- A. Providers of prevention programs shall give priority to activities for:
 - 1. children and youth who are not normally served by state or local educational agencies;
or
 - 2. populations that need special services or additional resources (such as preschoolers, youth in juvenile facilities, runaway or homeless children and youth, pregnant and parenting teenagers, and school dropouts.)
- B. Compliance with the *Principles of Effectiveness* as posted in the Federal Register on June 1, 1998 including:
 - 1. that programs be based on a thorough assessment of objective data about drug and violence problems in the schools and communities served.
 - 2. that the provider shall, with the assistance of a local or regional advisory council, which includes community representatives, establish a set of measurable goals and objectives, and design its activities to meet those goals and objectives.
 - 3. that the provider design and implement activities based on research or evaluation that provides evidence that the strategies used prevent or reduce drug use, violence, or disruptive behavior.
 - 4. that the provider evaluate its programs periodically to assess its progress toward achieving its goals and objectives and use its evaluation results to refine, improve, and strengthen its program and to refine its goals and objectives as appropriate.
- C. That the *Georgia Prevention Minimum Data Set Summary Report*, included in the *Appendices* of this section, be completed and submitted as required by the Regional Office.
- D. Compliance with other guidelines and requirements of the Regional Office.

II. AUTHORIZED ACTIVITIES AND SERVICES

- A. Disseminating information about drug and violence prevention;
- B. Training parents, law enforcement officials, judicial officials, social service and health providers, and community leaders and drug and violence prevention, health education, early intervention, pupil services, or rehabilitation referral;
- C. Developing and implementing comprehensive, community-based drug and violence prevention programs that link community resources with schools and integrate services involving education, vocational and job skills training and placement, law enforcement, health, mental health, community service, mentoring, and other appropriate services;
- D. Planning and implementing drug and violence prevention activities that coordinate the efforts of State agencies with efforts of the State educational agency and its local educational agencies;
- E. Activities to protect students traveling to and from school;
- F. Before-and-after school recreational, instructional, cultural, and artistic programs that encourage drug-and violence-free lifestyles;
- G. Activities that promote the awareness of and sensitivity to alternatives to violence through courses of study that include related issues of intolerance and hatred in society;
- H. Developing and implementing activities to prevent and reduce violence associated with prejudice and intolerance;
- I. Developing and implementing activities to prevent illegal gang activity;
- J. Coordinating and conducting community-wide violence and safety assessments and surveys;
- K. Service-learning projects that encourage drug-and violence-free lifestyles; and
- L. Evaluating programs and activities assisted under this section.
- M. Law enforcement education partnership designed to carry out drug abuse and violence prevention activities in consortium with local educational or community-based agencies.

Reporting Form For Use in Conjunction with the Substance Abuse Block Grant and the Safe and Drug Free Schools and Communities Block Grant

In order to meet the requirements of both the Substance Abuse Block Grant and the Safe and Drug Free Schools and Communities Block Grant, the state must complete a report on prevention activities that includes a statement of the risk and protective factors that are addressed and a description of the populations that has been served, including gender, age and ethnicity (45 CFR, Part 96, pg. 17067). It is also required that evidence be provided that research based programming and/or evaluation is being conducted (Federal Register, June 1, 1998). To assist the state in meeting these requirements, prevention providers are required to complete the following two-page reporting form and submit according to instructions from their Regional Office.

GEORGIA PREVENTION MINIMUM DATA SET						
Summary Report						
1. Fiscal Year	2. Report for Quarter (circle one) 1 2 3 4			3. Contractor Name and Provider Name (if different)		
4. Program Contact Name				6. Region Number		
9. Name of Program				5. Contact Address		7. Contact Phone Number
						8. Contact Fax Number
10. Brief Description of Program						
11. Reports Attached for Services:				d.		12. Outcome Evaluation Code
a.				e.		13. List Effective Programs Used
b.				f.		
c.						
Primary Prevention Expenditures Table						
Strategy	SABG	SDFSC	Other Federal	State	Local	Other
Information Dissemination						
Education						
Alternatives						
Problem Identification and Referral						
Community-Based Process						
Environmental						
Other						
Tobacco/Synar						
TOTAL						

Part A

GEORGIA PREVENTION MINIMUM DATA SET

Service Report (page ____ of ____)

1. Fiscal Year		2. Report for Quarter (circle one) 1 2 3 4		3. Provider Name											
4. Service Name				5. Funding Source: SABG ____ or SDFSC ____			6. Tobacco Focused Service: Yes ____ No ____								
7. Service Strategy Code			8. Single/Recurring Service			9. Number of Sessions			10. Duration Hours per Session						
11. Risk Factor Code(s)		a.		b.		c.		12. Protective Factor Code(s)		a.		b.		c.	
13. Service Population Code				14. Total Number Served				15. Arena of Human Service Activity Code							
Demographics (year-to-date) Actual ____ or Estimated ____															
Age/Gender			15				35-39				Race/Ethnicity				
		Male	Female	16-17			40-44				White, not of Hispanic Origin				
0-4				18			45-49				Black, not of Hispanic Origin				
5-9				19-20			50-54				Asian/Pacific Islander		Other (list)		
10-11				21-24			55+				Multiracial/Multiethnic				
12				25-29			Total				Native American				
13-14				30-34			Grand Total				Hispanic				

Part B

SPECIAL REQUIREMENTS FOR PROGRAMS SERVING CHILDREN AND ADOLESCENTS

The Contractor agrees to comply with Public Law 103-227, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by the Contractor and used routinely or regularly for the provision of health care, day care, early childhood development services, education or library services to children under the age of 18. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the Contractor.

It is expected that all services provided to children and adolescents will be delivered within the state of Georgia unless approved by the Regional Director/Regional Coordinator.

**SUBJECT: Projects for Assistance in Transition from Homelessness
PATH**

REFERENCES: 45CFR 92.22 and Sections 521-535 of the Public Health Service Act

I. PURPOSE

The Projects for Assistance in Transition from Homelessness (PATH) program provides funds to each State to support services to individuals with serious mental illness, as well as individuals with serious mental illness and substance use disorders, *who are homeless or at risk of becoming homeless*.

II. ELIGIBILITY

An adult 18 years of age or older who is-

- homeless or imminent risk of becoming homeless; and
- unwilling or unable to seek services on their own and services must go to them; and
- suspected of having a serious mental illness; and
- not in the custody/guardianship of the State of Georgia; and
- not enrolled in DBHDD MICP system as receiving similar or duplicate services.

III. DEFINITIONS

- A. Homelessness- An individual who lacks fixed, regular, and adequate nighttime residence; or whose primary nighttime residence is a shelter designed to provide temporary living accommodations; or an institution that provides temporary residences for persons intended to be institutionalized; or a place not designed for human beings to live.
- B. Imminent Risk of Becoming Homeless-Persons who are about to be evicted from or lose a housing arrangement and have no resources or supports, or are about to be discharged from a psychiatric or substance abuse treatment facility without any resources or supports for housing.

IV. SERVICE SPECIFICATIONS

Those service specifications eligible for PATH funding include the following:

- 1) **Outreach Services:** Face-to-face interaction with literally homeless people in streets, shelters, under bridges, and other non-traditional settings, offering support while assisting with immediate and basic needs, and referral to appropriate resources.
- 2) **Screening, Diagnostic and Treatment Services:** A continuum of physician assessment services ranging from brief eligibility screening to comprehensive clinical assessment and treatment.
- 3) **Case Management Services:** Assist in accessing needed services, coordinate the delivery of services, and follow-up and monitor progress.

- 4) **Supportive and Supervisory Services in Residential Settings:** Within a residential setting, provide support to restore and develop skills in functional areas that interfere with the ability to maintain housing, participate in educational activities, regain or maintain employment, develop or maintain social relationships, and manage resources.
- 5) **Housing Services:** Specialized services designed to increase access to and maintenance of stable housing.
- 6) **Staff Training:** Training of individuals who work in shelters, mental health clinics, substance abuse programs, and other sites where homeless individuals require service;

V. RESTRICTION ON USE OF FUNDS

A Provider receiving PATH funds must agree to the following:

- 1) Not more than 4% of the payments will be expended for administrative expenses regarding payments;
- 2) Not more than 20% of the payments will be expended for housing services;
- 3) Payments will not be expended-
 - a. To support emergency shelters or construction of housing facilities;
 - b. For inpatient psychiatric treatment costs or inpatient substance abuse treatment costs;
 - c. To make cash payments to intended recipients of mental health or substance abuse services.

VI. PROVIDER REPORTING REQUIREMENTS

A Provider receiving PATH funds must:

- 1) Submit a description of the intended use and proposed budget prior to receiving PATH funds. Such description provides information relating to the programs and activities to be supported and services to be provided, including information relating to coordinating such programs and activities with any similar programs and activities of public and private entities; and such description will be revised throughout the year as may be necessary to reflect substantial changes in the programs and activities assisted by the State.
- 2) Submit a completed annual report per CMHS guidelines which includes the following items-
 - a. The types of services being offered by PATH provider;
 - b. The number of characteristics of the persons receiving services from PATH provider; and
 - c. The contribution of PATH funds toward the support of services provided to persons who are homeless and have serious mental illnesses.
- 3) Submit a monthly performance report describing the actual monthly service provision performance and housing coordination expenditures.

VII. PROGRAM EVALUATIONS

- 1) The Georgia PATH Contact will conduct a one-day site visit for all PATH sites annually. A site visit consists of the following:
 - a. Interview with PATH funded staff and administrator

- b. Accompany PATH staff on outreach to at least one homeless service site;
 - c. Review a minimum of three (3) PATH case records
- 2) The Administrator of the Substance Abuse and Mental Health Services Administration (SAMHSA) shall evaluate at least once every 3 years the expenditures of grants by eligible entities in order to ensure that expenditures are consistent with the provisions of the Public Health Service Act, and shall include in such evaluation recommendations regarding changes needed in program design or operations.

VIII. ADDITIONAL INFORMATION SOURCES

Secure a copy of the Public Health Service Act on the PATH website at www.pathprogram.samhsa.gov under Program Information.

TITLE XX SOCIAL SERVICES BLOCK GRANT

Congress passed Public Law 93-647, or Title XX of the Social Security Act (SSA), in 1974 to make federal funds available for states to provide social services which address the needs of each individual state. Social Services Block Grant (SSBG) funds are used to provide a variety of services to Georgia's citizens, including vulnerable children and adults who need protection, persons with mental retardation, and the elderly.

The Department of Human Resources prepares an annual report to inform the Secretary of the U.S. Department of Health and Human Services and the people of Georgia of the intended use of the funds the State is to receive under provision of the Act. This annual report is called the Report on the Intended Use of Title XX Social Services Block Grant Funds. The following description of services to persons with mental retardation (I) and the statements on limitations/assurances on the use of the grants (II) are taken from the Report on Intended Use.

I. SERVICES FOR PERSONS WITH DEVELOPMENTAL DISABILITIES

Services for persons with developmental disabilities are services or activities to maximize the potential of persons with disabilities, help alleviate the effects of disabilities, and to enable persons served to live in the least restrictive environment possible. Component services or activities may include personal and family counseling, respite care, family support, recreation, transportation aid to assist with independent functioning in the community and training in mobility, communication skills, the use of special aides and appliances and self-sufficiency skills. Residential and medical services are not included in the array of SSBG services for persons with developmental disabilities in Georgia.

II. LIMITATION/ASSURANCES ON USE OF GRANTS

The Georgia Department of Human Resources gives assurance that Title XX Social Services Block Grant funds will **NOT** be used:

- 1) for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than minor remodeling) of any building or other facility, or
- 2) to provide cash payments for costs of subsistence or to provide room and board (other than cost of subsistence during rehabilitation, room and board provided for a short term as an integral but subordinate part of a social service, or temporary emergency shelter provided as a protective service); or
- 3) for payment of the wages of any individual as a social service (other than payment of wages of welfare recipients employed in the provision of day care services); or
- 4) for the provision of medical care; or
- 5) for social services provided in and by employees of any hospital, skilled nursing facility, or prison, or to any individual living in such institution. The only exceptions to this limitation are services to an alcoholic or drug dependent individual or rehabilitation services; or
- 6) for the provision of any educational service which the state makes generally available to its residents without cost and without regard to their income; or

- 7) to provide child care services unless such services meet applicable standards of State and local law; or
- 8) for the provision of cash payments as a service.

III. APPLICATION FOR SERVICE

Each individual or family unit shall have the right to apply for Social Services Block Grant Services without delays in the application process. Application for services may be made by the applicant or by a relative, friend, neighbor or legal guardian acting responsibly on behalf of the person needing the service. The application should be made to Regional Office's designated point of entry.

IV. ELIGIBILITY

All recipients of Social Services Block Grant (SSBG) funded services must be physically located in the State of Georgia.

- **Non-School Aged Adults** - SSBG funded services may be provided to non-school aged adults with a documented programmatic need and a current diagnosis of mental retardation/developmental disability.
- **School Aged Individuals** - School-aged individuals may be provided non-education-related services with a documented programmatic need and a current diagnosis of mental retardation/developmental disability.
- **Pre School Aged Individuals** - SSBG funded services may be provided to pre-school aged individuals with a documented programmatic need and a current diagnosis of mental retardation/developmental disability.

V. BEGINNING THE SERVICES

Once eligibility is determined, the service must be provided with reasonable promptness. Reasonable promptness is defined as within fifteen (15) calendar days. If the service is temporarily unavailable, the individual should be placed on a Planning List.

VI. PLANNING LIST (Waiting Lists)

Planning Lists will be maintained in accordance with DBHDD Policy.

VII. SERVICES TO PERSONS RESIDING IN INSTITUTIONS

In most instances, services to persons residing in institutions are the responsibility of staff of the facility. Accordingly, Social Services Block Grant funds may not be used for the provision of social services that are the inherent responsibility of the institution. Those facilities which are Intermediate Care Facilities or Skilled Nursing Facilities and which receive funding under Title XVIII (Medicare) and/or Title XIX (Medicaid) are required either to provide social services or arrange for them with qualified outside resources. In these facilities and in any other where an investigation indicates that social services are an inherent responsibility of the institution, Social Service Block Grant Services to eligible persons are limited to assisting an

individual and/or family to seek admission to the institution, and/or supporting or augmenting the discharge plan of the facility for the individual. If social services are not an inherent responsibility of the institution, Social Services Block Grant services may be delivered to eligible persons.

IX. DOCUMENTATION OF SERVICE PROVISION

- Contractors are responsible for the documentation of service delivery in compliance with the terms of the provider contract.
- Reporting of Services - Services delivered must be reported in compliance with the terms of the provider contract.

X. NOTIFICATION OF THE CONSUMER OF SERVICE TERMINATION

- A.** Notification to the consumer must follow a decision by the agency to terminate services. Form 5536, included below, shall be used.

(Note: Even though space is available on this Form, the Form should not be used to notify a consumer of eligibility for service. Form 5536 should only be used to notify a client of termination of service.)

In cases of termination of service, services must continue through the ten- (10) day notice period and the notification process must be (1) adequate and (2) timely.

1. **Adequate notice** is defined as a written communication (Form 5536) that includes a statement of the specific action the agency intends to take, the reason for the intended action, explanation of the individual's right to request a fair hearing and the circumstances under which services are continued if a hearing is requested.
2. **Timely notice** is defined as the notice being mailed or hand delivered to the consumer at least ten (10) calendar days before the date the action is to become effective. No action shall be taken to terminate services during the ten- (10) day notice period. If the consumer does not request a hearing before the expiration of the tenth (10th) day, the services shall be terminated after the tenth day has passed.

- B. Waiver of Timely Notice** - The following are situations in which timely notice (10 calendar days) is not required but adequate (written) notice shall be given not later than the effective date of action:

1. The agency received a clearly written statement signed by consumer that he/she no longer wishes to receive services.
2. The whereabouts of the consumer are unknown and mail to him/her has been returned by the Post Office indicating no forwarding address. Returned mail should be filed in the service record.

3. The consumer moves to another State and the move is documented by the agency.
4. The consumer was informed in writing, at the time the services began, that the service would automatically terminate at the end of a specified period.
5. A change in either Federal/State law or policy requires automatic service adjustments for categories of service recipients.

XI. CONSUMER GRIEVANCES

Providers shall make a grievance and appeal process available to aggrieved consumers in compliance with Federal regulations governing the Social Service Block Grant, and policy and procedure promulgated by DBHDD and the State of Georgia.

**Georgia Department of Human Resources
NOTIFICATION FORM FOR TITLE XX SOCIAL SERVICES**

Agency Name: _____
DATE: _____
CASE ID: _____

Your application for social services has been given careful consideration. The following determination has been made

- I. A. INITIAL DETERMINATION: You have been determined eligible/ ineligible for the following Title xxx Social Services:

Reason (if ineligible)

- B. REDETERMINATION: You have been determined eligible/ineligible for the following Title xx Social Services effective _____.
The following Title xx Social Services have been/will be terminated:

Reason if (ineligible)

- III. You are still eligible for these Title xx Social Services:

However, if the following services will be:

- A. Reduced effective:
Reason:

- B. Terminated effective:
Reason: _____

- III. LIMITED ELIGIBILITY

You have been determined eligible for the following Title xx
services _____
You have been determined ineligible for the following Title xx
services _____

If for any reason you disagree with this decision you may request a hearing. You may request a hearing orally or in contacting this agency within 10 days of the date given at the top of this form. This agency will be glad to furnish the form (s); help you in filing your appeal and in any way possible to prepare for the hearing.

The hearing will be held in your county by a hearing officer. You may be represented at the hearing by legal counsel or other spokesperson. If you would like an attorney, contact this agency which can provide information about legal services that may be available in your community at no cost to you.

Form 5536 (Rev. 05-00)

Signature of Agency Representative

**Georgia Department of Human Resources
Title XX Administration**

PART IV

General Policies and Procedures

Provider Manual for Community Mental Health, Developmental Disabilities and Addictive Diseases Providers

Fiscal Year 2011



DBHDD

**Georgia Department of Behavioral Health &
Developmental Disabilities**

July 2010

Due to the short time frame of our transition to the Department of Behavioral Health and Developmental Disabilities (DBHDD), some of the policies provided in this section do not reflect our name/structure change. Incorporation of the DBHDD name/structure and policy number for the following policies is scheduled to be completed during the course of the 2011 fiscal year. To quickly access the policies below, left click the policy title to be linked to the corresponding page.

General Policies and Procedures

POLICY: Accreditation and Standards Compliance Requirements for Providers of Behavioral Health Services

POLICY: Accreditation and Standards Compliance Requirements for Providers of Developmental Disabilities Services

POLICY: Admission and Discharge of Individuals with Developmental Disabilities in Need of Temporary and Immediate Care (TIC)

POLICY: Bowel Management for Individuals Diagnosed with Developmental Disabilities

POLICY: Community Integration in Residential Service Options and Supervised Apartment Living Arrangements for Individuals with Developmental Disabilities

POLICY: Complaints and Grievances Regarding Community Services

POLICY: Criminal History Records Check for Contractors

POLICY: Criteria for Admission to DMHDDAD Hospitals for Persons with Mental Illness

POLICY: Emergency Preparedness and Disaster Response – Basic Requirements for DBHDD Hospitals and Community Providers

POLICY: Enrolling, Matching and Monitoring Host Homes for DBHDD Developmental Disabilities Community Providers

POLICY: External Entities Audit Standards

LEGAL SUMMARY: Georgia Open Meetings Act and Open Records Act

POLICY: Guiding Principles Regarding Co-Occurring Disorders (Mental Health and Addictive Diseases)

POLICY: Guiding Principles Regarding Serving those with Co-Occurring Behavioral Health Disorders and Developmental Disabilities

POLICY: Human Rights Council for Developmental Disabilities Services

POLICY: Independent Peer Review for Addictive Diseases Providers

POLICY: Investigating Consumer Deaths and Critical Incidents

Attachment A: Critical Incident Definitions and Investigative Requirements

Attachment B: Investigative Report Format

Attachment b.1: Investigative Report

Attachment C: Medical Hospitalization Follow-up Report

Attachment D: Consumer Injury Requiring Treatment Beyond First Aid Follow-up Report

Attachment E: Administrative Review Form

Attachment F: Request for Extension

Attachment G: Corrective Action Plan

POLICY: Language Access for Limited English Proficient (LEP) and Sensory Impaired (SI) Customers

POLICY: Medical Evaluation Guidelines & Exclusion Criteria for Admission to DMHDDAD Hospitals and Crisis Stabilization Programs

POLICY: Management of Personal Needs Spending Accounts for Consumers (*Applicable to Behavioral Health Services Only*)

POLICY: Payment for Community Mental Health and Addictive Diseases Services

POLICY: Personal Funds, Possessions Safeguards, and Room and Board Charges in Developmental Disabilities Residential Services

POLICY: Prevention of Choking for Individuals with Developmental Disabilities

POLICY: Professional Licensing Requirements and the Reporting of Practice Act Violations

POLICY: Protection of Human Subjects

POLICY: Protection of Individually Identifiable Health Information

Protocol 3.200-01: Individual Rights Regarding Protected Health Information

Protocol 3.200-02: Privacy Rule Administration - Complaints

Protocol 3.200-06: Sanctions

Protocol 3.200-08: Business Associates

Protocol 3.200-10: Disclosure & Authorization for Disclosure of Protected Health Information

Protocol 3.200-14: Notice of Privacy Practices

Legal Summary: Confidentiality

POLICY: Provider Recruitment and Application for Developmental Disabilities Services

POLICY: Regions of Responsibility Determination

POLICY: Reporting of Consumer Deaths and Critical Incidents

Attachment A: Critical Incident Definitions & Reporting

Attachment B: Critical Incident Report Form

Attachment b.1: Critical Incident Report Form Supplemental

Attachment C: Reporting to Other Agencies

POLICY: Request for Waivers of the Standards for MHDDAD Services

POLICY: State Funded Respite for Individuals with Developmental Disabilities

POLICY: Verification of Lawful Presence in United States for Individuals Seeking MHDDAD Services



Chapter: Behavioral Health Community Services

Subject: Accreditation and Standards Compliance Requirements for Providers of Behavioral Health Services

Applicability:

All Providers of Behavioral Health Services as defined in this policy.

References:

Official Code of Georgia Annotated 37-2, 37-3, 37-4 and 37-7 37-2-11(a); 37-6-7(a,b) and 37-7-2(a)

Attachments:

None

Effective Date: July 1, 2010

Scheduled Review Date: July 2011

Approved:

Audrey Sumner

6/10/10

Audrey Sumner, Director of Community Services
Division of Mental Health

Date

Cassandra Price

6/10/10

Cassandra Price, Executive Director
Division of Addictive Diseases

Date

Frank E. Shelp

6/14/10

Frank E. Shelp, M.D., M.P.H., Commissioner

Date

Accreditation and Standards Compliance Requirements for Providers of Behavioral Health Services

I. POLICY

The Department of Behavioral Health and Developmental Disabilities (DBHDD) ensures the safety of consumers and staff and promotes high quality Behavioral Health (BH) services by establishing requirements related to Accreditation and Standards Compliance of providers. DBHDD requires that all BH providers meet standards which ensure that the organization has the administrative capacity to do business with DBHDD and the structure to provide necessary services and supports for individuals with mental illness and addictive diseases. Providers of Behavioral Health Services must meet DBHDD Standards for All Providers and must be accredited.

Any organization who has made application to DBHDD to become a BH provider prior to February 1, 2010 and is approved based upon the content of that application must be accredited within 18 months after the date the organization was approved by DBHDD Provider Network Management.

Any organization making application to become a BH provider after February 1, 2010 must be accredited at the time of application.

II. DEFINITIONS

Accreditation - A review process conducted by a nationally recognized and approved

DBHDD	SUBJECT: Accreditation and Standards Compliance Requirements for Providers of Behavioral Health Services	Policy 01-103
		Page 2 of 4

accrediting body utilizing their professionally recognized standards.

Approved Accrediting Bodies – The national accrediting organizations approved and recognized by DBHDD for BH services are the following:

- Commission on Accreditation of Rehabilitation Facilities (CARF)
- The Joint Commission (TJC)
- The Council on Quality and Leadership (CQL)
- Council on Accreditation of Services for Families and Children (COA)

Behavioral Health (BH) – Refers to both mental health and addictive diseases

Effective Date – The begin date of a contractual agreement with DBHDD to provide services

License – All applicable licenses and permits

Provider – For the purposes of this policy, the term provider includes organizations that provide consumer services that are financially supported in whole or in part by funds authorized through DBHDD.

Standards Compliance Review - A review process conducted by DBHDD of a provider; this review determines whether the provider is meeting the Standards Required for All Providers.

Standards for All Providers - Requirements of DBHDD that are applicable to all providers regardless of the type of services provided. These Standards are contained in the Provider Manual, which is updated and released annually. Accreditation does not relieve the provider of the obligation to comply with these Standards.

III. PROCEDURES

A. Requirements for Accreditation for BH Providers

Per the Medicaid State Plan Amendment for Medicaid BH programs, accreditation is required for BH providers who participate in Medicaid BH programs. DBHDD also requires other BH providers to be accredited whether or not they are participating in Medicaid BH programs.

The application process serves as the initial review of the applicant's compliance with DBHDD requirements. The provider must submit proof of accreditation including the most recent survey report in the application to DBHDD.

Accreditation is granted by the accrediting body for one or more service types. The provider is responsible for ensuring that all service types that the organization provides are properly accredited. The provider is expected to obtain accreditation for the specific

DBHDD	SUBJECT: Accreditation and Standards Compliance Requirements for Providers of Behavioral Health Services	Policy 01-103
		Page 3 of 4

service type that the provider is offering to consumers. For a new service type to be added, the provider must:

- Apply to DBHDD Provider Network Management (PNM) to add a service, AND
- Be approved by PNM for that service, AND
- Be in compliance with their accrediting agency requirements for adding the new service type.

The provider must be accredited for the new service type at the time of their next accreditation survey. If the provider's next accreditation survey is not due for longer than 12 months from the time that the additional type of service is approved by PNM, DBHDD may require:

- a special review of the new service by Provider Compliance Unit OR
- a special review of the new type of service by the accrediting body.

B. Requests for Waivers

There may be circumstances when a provider has a need to request a waiver of the time frames specified in this policy.

In order to request a waiver of the time frames specified in this policy, the provider submits a letter to the Regional Office. The letter includes:

- The rationale for the request, AND
- A specified period of time not to exceed 90 days, during which time the provider will seek and successfully achieve accreditation, AND
- Supporting documentation; such as a confirmation letter from the accrediting agency.

In lieu of granting the requested waiver, DBHDD may elect to take action against the provider including termination.

C. Maintenance of Accreditation

It is expected that all providers maintain appropriate accreditation throughout the Contract/Provider Agreement/LOA period. If an accredited provider loses accreditation, fails to reapply for accreditation or comes under an accreditation-related corrective action plan, that provider must notify DBHDD within 30 days; this notification is done in writing via a letter sent to:

- DBHDD Regional Office,
- DBHDD PNM, Suite 23-247, 2 Peachtree Street, Atlanta GA 30303, AND
- DBHDD Contracts Section, Suite 23-173, 2 Peachtree Street, Atlanta GA 30303

In addition to compliance notification outlined below, copies of the confirmation of the agency's renewal of accreditation must also be sent to the same three DBHDD offices.

DBHDD	SUBJECT: Accreditation and Standards Compliance Requirements for Providers of Behavioral Health Services	Policy 01-103
		Page 4 of 4

Providers must immediately notify the Regional Office when corrective action related to accreditation is required; the provider must submit a copy of the accrediting agency's correspondence regarding the corrective action. The provider under corrective action must successfully correct their deficiencies and provide a copy of the corrective action plan to the Regional Office at the time the corrective action plan is submitted to the accrediting agency. A copy of response from the accrediting agency must be provided to the Regional Office immediately upon receipt of the response.

Failure to comply with this policy regarding accreditation may result in one or more of the following adverse action(s):

- The Provider may be recommended for Prepayment Review as managed by the Department of Community Health (DCH);
- Suspension of referrals through the Georgia Crisis and Access Line;
- Suspension of new consumers being allowed to access services through the provider agency;
- Suspension, Probation, or Termination of the Provider Agreement, Letter of Agreement, or Contract;
- Recommendation to DCH of Suspension or Termination of the provider number for the services in accordance with Part I, Policies and Procedures for Medicaid/PeachCare for Kids Manual, Chapter 400; AND/OR
- Any other recommended course of action DBHDD may determine is appropriate.

D. Emergency Circumstances

In situations where emergency circumstances result in urgent need to approve a non-accredited provider to provide BH services, the DBHDD Commissioner may waive some or all of the requirements in this policy regarding accreditation.



Chapter: Developmental Disabilities Community Services
Subject: **Accreditation and Standards Compliance Requirements for Providers of Developmental Disabilities Services**

Applicability:

All DD providers as defined in this policy.

References:

Official Code of Georgia Annotated 37-4-3(a)

Attachments:

None

Effective Date: October 1, 2010

Scheduled Review Date: October 2011

Approved:

Beverly D. Rollins

Beverly D. Rollins, M.P.A., Executive Director
Division of Developmental Disabilities

6/23/10

Date

Frank E. Shelp

Frank E. Shelp, M.D., M.P.H., Commissioner

6/28/10

Date

Accreditation and Standards Compliance Requirements for Providers of Developmental Disabilities Services

I. POLICY

The Department of Behavioral Health and Developmental Disabilities (DBHDD) promotes high quality Developmental Disabilities (DD) services by establishing requirements related to Accreditation and Standards Compliance for providers of Developmental Disabilities Services to ensure the rights, health and safety of individuals served in the community. DBHDD requires that all providers meet Standards Compliance requirements regardless of accreditation status to ensure that the organization has the administrative capacity to do business with DBHDD and the structure to provide necessary services and supports for individuals with Developmental Disabilities.

Providers authorized by DBHDD to receive an amount **less than \$250,000** per year for services must complete the Standards Compliance process conducted by the Provider Compliance Unit for DBHDD.

Providers authorized by DBHDD to receive an amount of **\$250,000 or more** per year for services must be **accredited by an approved accrediting body**.

There are some DD services that are not required to be accredited or to complete Standards Compliance. These include:

DBHDD	SUBJECT: Accreditation and Standards Compliance Requirements for Providers of Developmental Disabilities Services	Policy: 02-703
		Page 2 of 6

- Support Coordination
- Specialized Services which include Specialized Medical Equipment, Specialized Medical Supplies, Environmental Accessibility Adaptation, and Vehicle Adaptation when one or more of these specialized services are the only service(s) being delivered by the organization.

II. DEFINITIONS

Accreditation - A review process conducted by a nationally recognized and approved accrediting body utilizing their professionally recognized standards. For the purposes of this policy, an organization must be accredited for the specific services and sites in Georgia.

Approved Accrediting Bodies – The national accrediting organizations approved and recognized by DBHDD are the following:

- Commission on Accreditation of Rehabilitation Facilities (CARF)
- The Joint Commission (TJC)
- The Council on Quality and Leadership (CQL)
- Council on Accreditation of Services for Families and Children (COA)
- Accreditation Council for Healthcare (ACHC) - for DD Nursing Services Only

License - All applicable licenses and permits to operate.

Provider – For the purposes of this policy, the term provider includes organizations that provide services that are financially supported in whole or in part by funds authorized through DBHDD.

Standards Compliance - The provider is in compliance with all requirements set forth in the *DBHDD Standards For All Providers*.

Standards Compliance Review - A review process conducted by the Provider Compliance Unit of DBHDD of a provider to determine standards compliance.

Standards For All Providers –Standards or requirements of DBHDD that are applicable to all providers regardless of the type of services provided. The standards are contained in the DBHDD Provider Manual, which is updated annually. Accreditation does not relieve the provider of the obligation to comply with these standards compliance requirements.

Moratorium – The period of time during which a provider is not permitted to do any of the following:

- admit any additional individuals;
- add additional services; or
- add additional locations/sites.

III. PROCEDURES

DBHDD	SUBJECT: Accreditation and Standards Compliance Requirements for Providers of Developmental Disabilities Services	Policy: 02-703
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A. STANDARDS COMPLIANCE FOR DD PROVIDERS AUTHORIZED TO RECEIVE LESS THAN \$250,000

1. Standards Compliance review conducted by DBHDD

The Provider Compliance Unit of DBHDD conducts reviews regarding Standards Compliance in accordance with the following processes:

- a) The Provider Compliance Unit contacts the organization within six months following approval to be a provider to schedule an initial review regarding Standards Compliance. If the organization is not serving any individuals, the Provider Compliance Unit postpones conducting the review until they are notified that the organization is serving one or more individuals.
- b) The Regional Coordinator, the Division of DD, as well as various other state office staff, are notified when the review is scheduled and provided the results of that review.
- c) The Standards Compliance review is conducted as follows:
 - i. An initial letter is sent to the provider informing them of the dates, time, and what information/documents will be reviewed.
 - ii. The report regarding the review is emailed to the provider within twenty-one (21) calendar days.
 - iii. If Standards are identified during the review as not met, within thirty (30) calendar days from the date of the emailed report, the provider must submit corrective action(s) plan (CAP) with supporting documents. The CAP is submitted via email and in hard copy. The CAP is reviewed by Provider Compliance Unit and feedback is given to the Provider so that the Provider can implement the proper changes needed to meet the Standards.
 - iv. If any of the "critical" function areas of the Standards are identified in the report as not being met, a moratorium is put in place.
 - v. Within fortyfive (45) calendar days of CAP submission, a visit is made by the Provider Compliance Unit to review the corrective action(s) taken by the provider.
- d) If the provider is found to be in compliance with the DBHDD Standards For All Providers, the organization receives a Certificate of Standards Compliance for a period not to exceed two years; after two years a new Standards Compliance review is required. DD providers must maintain a current certificate of compliance to provide services.
- e) If a provider does not meet the *DBHDD Standards For All Providers* at the end of the corrective action period, the following action may take place:

The provider may request a waiver of standards compliance to DBHDD through the Regional Coordinator requesting additional time to make the corrections .The Regional Coordinator may make the recommendation of a waiver of Standards Compliance for a period from one (1) day up to sixty (60) calendar days, subject to

DBHDD	SUBJECT: Accreditation and Standards Compliance Requirements for Providers of Developmental Disabilities Services	Policy: 02-703
		Page 4 of 6

the approval of the Executive Director of the Division of Developmental Disabilities, during which time the provider has a final opportunity to correct remaining issue(s) that are out of compliance. At the end of the approved waiver period, the Provider Compliance Unit will review those issues that were out of compliance. The provider must be found fully in compliance at the completion of the waiver period or DBHDD, through the Regional Coordinator, terminates the DBHDD relationship with the provider.

2. Additional expectations related to demonstrating Standards Compliance:

- a) Standards Compliance must be maintained for all approved services.
- b) Providers must maintain standards compliance for a period of six months for the services they are initially authorized to provide, and be in business a minimum of 12 months before additional services may be added.
- c) If new services are approved, they will be included in the subsequent review of Standards Compliance.
- d) Providers terminated due to failure to comply with the review regarding Standards Compliance may not make application to become a provider for a period of one (1) year.
- e) At any time, the Department of Behavioral Health and Developmental Disabilities may request a Special Review for Standards Compliance to assess a provider's compliance with the *DBHDD Standards For All Providers*.
- f) If a provider (a) does not request a waiver; or (b) is denied a waiver; or (c) fails to be in compliance with the *DBHDD Standards For All Providers* at the end of an approved waiver period, DBHDD, through the Regional Coordinator, terminates the DBHDD relationship with the provider and may recommend loss of the Medicaid provider number.

B. ACCREDITATION FOR DD PROVIDERS WITH ANNUAL REVENUE PROJECTED TO BE GREATER THAN \$250,000

1. General expectations regarding Accreditation:

- a) It is the responsibility of the Provider to select an accrediting agency from the list approved by DBHDD and submit an Application for accreditation. This must occur within 30 days after the Provider has crossed the threshold of contracting or receiving funding through authorization from DBHDD in an amount more than \$250,000 per year.
- b) The Provider is responsible for paying accreditation fees and providing to Regional Coordinator a copy of the Accrediting body's letter confirming the date of the survey.

DBHDD	SUBJECT: Accreditation and Standards Compliance Requirements for Providers of Developmental Disabilities Services	Policy: 02-703
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- c) The Provider must be accredited within 12 months of application for accreditation.
- d) The provider must submit to Regional Coordinator results of accrediting body visit within seven (7) working days of receipt.
- e) The provider is responsible for ensuring that all services that the organization provides are properly accredited. The organization is expected to obtain accreditation for the specific services offered by the provider.
- f) If a new category of service is added, the provider must notify DBHDD and the accrediting agency and must be accredited for the new category of service as of the time of their next accreditation survey.
- g) If the provider's next accreditation review is not due for longer than 12 months from the time that the additional services are initiated by the provider, DBHDD may require:
 - a special review of the new services by Provider Compliance Unit OR
 - that the provider verify compliance with their accrediting body's requirements related to accrediting new services.

2. Maintenance of Accreditation and Requests for Waiver:

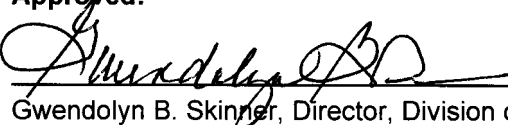
If an accredited provider loses accreditation, fails to reapply for accreditation, or come under a corrective action requirement with the Accrediting body, the provider must notify DBHDD within 7 days; this notification is done in writing via a letter sent to:

- DBHDD Regional Office
- DBHDD, Division of DD Provider Development Section, Suite 22-427, 2 Peachtree Street, Atlanta, GA 30303
- DBHDD Provider Network Management, Suite 23-247, 2 Peachtree Street, Atlanta GA 30303, AND
- DBHDD Contracts Section, Suite 23-173, 2 Peachtree Street, Atlanta GA 30303

Actions related to each of the following situations:

- a) Loss of accreditation:
Loss of accreditation results in termination of DBHDD relationship with the provider.
- b) Failure to reapply:
Failure to reapply will result in actions being taken against the provider. The provider will be given thirty (30) days during which they must make application to the accrediting agency and must submit written proof of application and payment to the regional office prior to the end of the thirty (30) days. Failure to meet this time frame results in termination of DBHDD relationship with the provider.

DBHDD	SUBJECT: Accreditation and Standards Compliance Requirements for Providers of Developmental Disabilities Services	Policy: 02-703
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Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities & Addictive Diseases	DHR Online Directive Information System (ODIS) Directive # 6805-202 <div style="text-align: right;">Page 1 of 3</div>
DHR ODIS Policy: Provision of Care, Treatment, and Services for Consumers in Division of MHDDAD Hospitals Subject: Admission and Discharge of Consumers in Need of Temporary and Immediate Care (TIC)	
Applicability: State Hospitals and State Operated Community Programs	Effective Date: March 17, 2008 Scheduled Review Date: March 2010
References: Official Code of Georgia Annotated (OCGA) 37-4, OCGA 37-4-21, OCGA 37-4-40.1, OCGA 37-4-2, OCGA 37-4-40.4	Approved: 
Attachments: A – TIC Catchment Areas Map B – Form 111DD: Physician's or Applied Psychologist Certificate for Temporary and Immediate Care	Gwendolyn B. Skinner, Director, Division of MHDDAD <u>3/4/08</u> Date Signed

ADMISSION AND DISCHARGE OF CONSUMERS IN NEED OF TEMPORARY AND IMMEDIATE CARE (TIC)

Admission of persons with Developmental Disabilities to a Division of Mental Health. Developmental Disabilities, and Addictive Diseases (MHDDAD) Hospital Intermediate Care Facility for Mental Retardation (ICF/MR) occurs in accordance with Georgia statute and specific eligibility criteria for admission.

The following guidelines apply regarding all TIC admissions:

- The Division of MHDDAD designates the hospital(s) that provide Temporary and Immediate Care Services (**See Attachment A - TIC Catchment Areas Map**).
- No person is admitted if there is not a bed available in the appropriate ICF/MR living unit.
- Individuals with a primary diagnosis of mental illness are not admitted as a Temporary and Immediate Care (TIC) Consumer.
- No person admitted as a Temporary and Immediate Care (TIC) Consumer will be admitted to a Mental Health Unit.
- Candidates for TIC admission must have a primary need for habilitation services.

PROCEDURES

- A) Any physician or psychologist licensed in Georgia may execute a certificate stating that the physician or psychologist has personally examined a person within the preceding 48 hours and found that, based upon observations set forth in the certificate, the person appears to be a mentally retarded person requiring temporary and immediate care. The certificate expires seven days after it is executed. (**See Attachment B – Form 111DD: Physician's or Applied Psychologist Certificate for Temporary and Immediate Care**)
- B) Upon receiving a certificate under this Code section, any responsible family member or representative of the consumer may transport the consumer to the nearest hospital serving the county in which the consumer is found. If a family member or representative is unable or unwilling to transport the consumer, any peace officer

DIVISION OF MHDDAD	SUBJECT: Admission and Discharge of Temporary and Immediate Care Consumers	DMHDDAD POLICY NO: 6805-202
		Page 2 of 3

within 72 hours after receiving the certificate shall make efforts to take the consumer into custody and deliver the consumer to the designated hospital serving the consumer's county of residence.

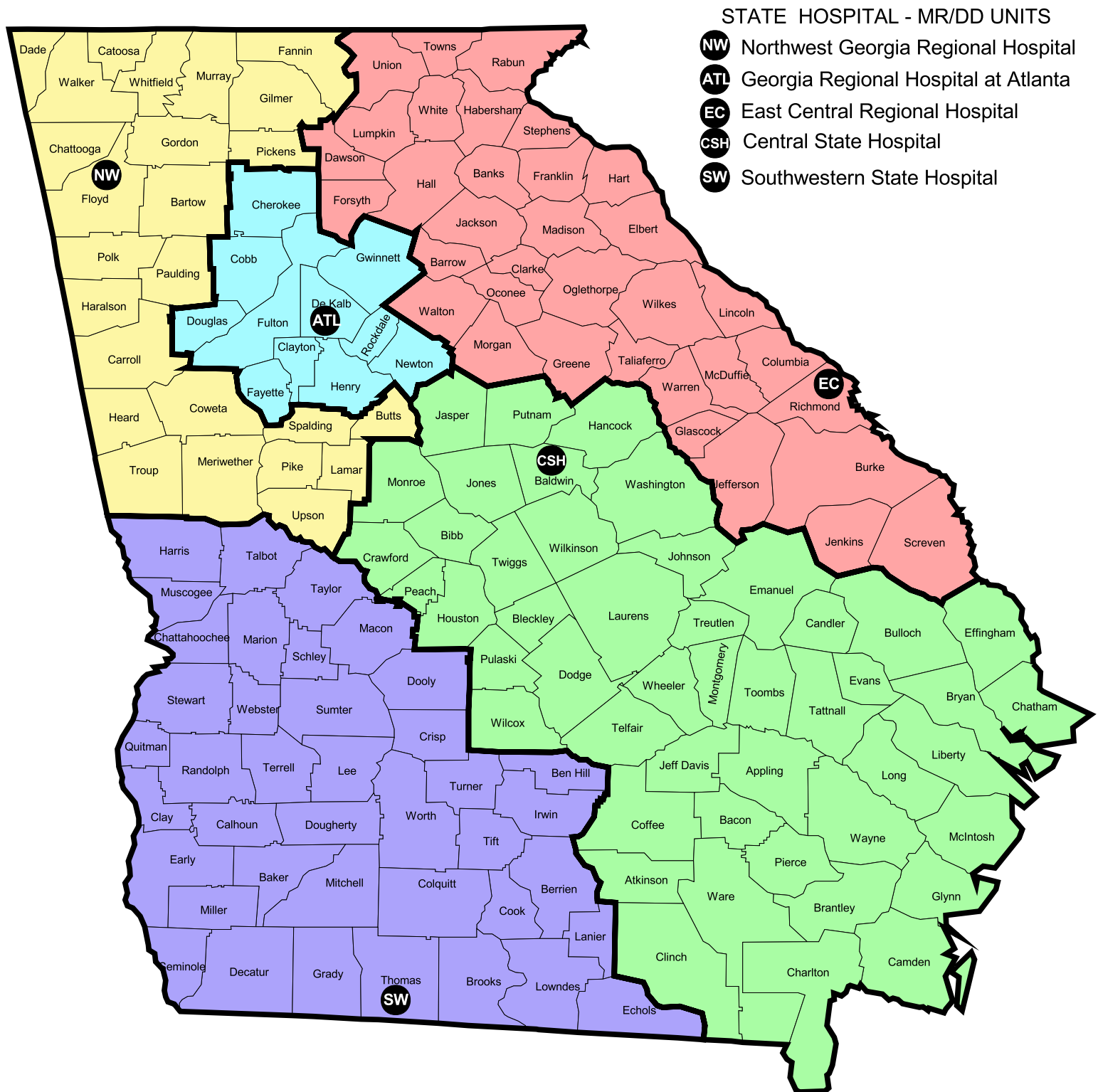
- C) If a consumer presents at a hospital (in person or by telephone referral/contact) that is not the designated hospital, admissions staff is to refer the consumer to the hospital designated on the attached map. Admission staff will assume responsibility for fully notifying the designated Hospital of the referral and supply as much advance information to the designated Hospital as possible.
- D) A consumer taken to the designated hospital is received there for examination by a physician as soon as possible and may be given emergency care and treatment as indicated.
- E) The ICF/MR programs provide an access to a Developmental Disabilities Professional (DDP) to assist the designated hospital admissions office with a decision related to whether to admit or not admit to the ICF/MR.
- F) A person warranting admission for temporary and immediate care is a consumer who:
 - Has documented evidence of mental retardation prior to age 18 or developmental disability prior to age 22;
 - Presents a substantial risk of imminent harm to himself or others;
 - Is in need of immediate care, evaluation, stabilization or treatment for certain developmental, medical or behavioral needs; and
 - Is someone for whom there currently exists no available, appropriate community residential setting to meet the needs of the person.
- G) When a consumer presents at the designated hospital (in person or by telephone referral/contact), **prior to admission**, the Admissions office is to contact the Regional Coordinator or their designee to make them aware of the referral and receive their concurrence that the ICF/MR is the most appropriate, least restrictive, level of service available for the consumer
- H) The ICF/MR staff work with the appropriate Regional Case Expediter, family and/or community provider to ensure that any consumer admitted is discharged within the time frame prescribed in the Temporary Immediate Care Law.
- I) **The consumer must be discharged within 48 hours**, Saturday, Sundays and holidays excluded. If it is determined that a longer period of time is required **for the habilitation service needed**, a petition can be filed with the probate court which authorizes continued admission pending completion of a full and fair hearing. (**See Legal Status Policy** for details about this process)
- J) Developmentally disabled consumers admitted to State Hospitals on 1013's who do not have a serious and persistent mental illness that meets the criteria for service on an

DIVISION OF MHDDAD	SUBJECT: Admission and Discharge of Temporary and Immediate Care Consumers	DMHDDAD POLICY NO: 6805-202
		Page 3 of 3

adult mental health inpatient unit may not be admitted to adult mental health inpatient units. When the mental health assessment is complete, they are to be re-assessed as a potential TIC admission and served as appropriate through the TIC Admission process.

K) When a developmentally disabled consumer is admitted to State Hospitals on a 1013 and needs additional services after their mental health diagnosis is no longer primary, they are to be transferred to a DD Unit and served as appropriate through the TIC Admission process. If there is no DD unit at the Hospital that is currently serving them, they are to be transferred as a TIC admission to the designated hospital serving the consumer's county of residence.

Georgia Department of Human Resources
Division of Mental Health, Developmental Disabilities & Addictive Diseases
Temporary Immediate Care Catchment Areas
For Hospitals with MRDD Units



Georgia Department of Human Resources
Division of Mental Health, Developmental Disabilities
and Addictive Diseases
Decision Support Section

Created: March 3, 2008

Georgia Department of Human Resources Division of Mental Health Developmental Disabilities and Addictive Diseases (DMHDDAD)	Consumer Identification Name: _____ Address: _____ _____
Policy 1.103: Legal Status of Consumers in DMHDDAD Hospitals FORM 11DD – PHYSICIAN'S OR APPLIED PSYCHOLOGIST'S CERTIFICATE FOR TEMPORARY AND IMMEDIATE CARE (TIC)	Telephone: (____) _____ Social Security #: _____ Date of Birth: _____

STATE OF GEORGIA, COUNTY OF _____

TO FACILITY known as _____

This is to certify that I have personally examined _____

on _____
 (Date and time of examination)

In my opinion this person appears to be a mentally retarded person requiring temporary and immediate care in that he/she appears to be mentally retarded AND (a) presents a substantial risk of imminent harm to himself or others; AND (b) is in need of immediate care, evaluation, stabilization, or treatment for certain developmental, medical, or behavioral needs; AND (c) for whom there currently exists no available, appropriate community, residential setting for meeting the needs of the person.

This opinion is based upon the following observations:

This certificate expires seven (7) days after it is executed.

Signature of physician or applied psychologist licensed in Georgia:

_____ Date: _____

Address: _____ Telephone: (____) _____

Upon receiving this signed certificate, any responsible family member or representative of the consumer named in this certificate may transport that consumer to the nearest facility, as designated by the Department of Human Resources, serving the county in which the consumer is found. If such responsible family member or representative is unable to transport the consumer safely to a facility or is unwilling to transport the consumer to a facility, any peace officer within 72 hours after receiving this certificate shall make diligent efforts to take into custody the consumer named in this certificate and deliver the consumer to the nearest facility, as designated by the Department of Human Resources, serving the county in which the consumer is found. Any peace officer who delivers a person to a facility under this authority shall complete a written report detailing the circumstances under which the consumer was taken into custody. The report of the peace officer and this certificate shall be made a part of the consumer's clinical record.

REPORT OF PEACE OFFICER ON REVERSE SIDE

REPORT OF PEACE OFFICER

STATE OF GEORGIA, COUNTY OF _____ GEORGIA

Date and Time _____ In accordance with O.C.G.A. 37-4-40.1, requiring a written report detailing the circumstances under which _____ was taken into custody, I report as follows:

Time and date of receipt of certificate of physician or applied psychologist:

_____ Time and date taken custody: _____

Behavior at that time:

Name and address of family or others who were present when client was taken into custody:

Name: _____ Relationship: _____

Address: _____

Name: _____ Relationship: _____

Address: _____

Comments or instructions of family or others having personal knowledge of consumer:

Physical Restraints if any: _____

Personal knowledge of Peace Officer, if any, relating to this consumer:

Other information:

Time and date delivered to facility: _____

Peace Officer

Title or Rank, Organization



Chapter: Developmental Disabilities Community Services

Subject: Bowel Management for Individuals Diagnosed with Developmental Disabilities

Applicability:

Developmental Disabilities Residential Services
Providers

References:

none

Attachments:

none

Original Effective Date: July 1, 2010

Scheduled Review Date: July 2011

Approved:

Beverly D. Rollins

Beverly D. Rollins, M.P.A., Executive Director,
Division of Developmental Disabilities

6/28/10

Date

Frank E. Shelp

Frank E. Shelp, M.D., M.P.H., Commissioner

6/28/10

Date

BOWEL MANAGEMENT FOR INDIVIDUALS DIAGNOSED WITH DEVELOPMENTAL DISABILITIES

PURPOSE

The purpose of this policy is to implement safeguards to ensure the health and safety of persons with developmental disabilities receiving services under the auspices of the Division of Developmental Disabilities (DD), Department of Behavioral Health and Developmental Disabilities (DBHDD). Bowel management is important for individuals determined to be at risk for developing constipation, impaction, and/or bowel obstruction. Poor diet, inadequate fluid intake, environmental factors, prolonged inactivity, use of certain prescription medications, and diseases affecting the bowel are just some of the contributing factors that place individuals at risk for medical complications and possibly death. Developing and implementing a bowel management program which assesses and monitors individuals' needs is vital to promoting and ensuring the individuals' physical health and safety.

POLICY STATEMENT

It is a policy of the Department of Behavioral Health and Developmental Disabilities (DBHDD) that providers of developmental disabilities residential services ensure the health and safety of individuals receiving services under the auspices of the Division of Developmental Disabilities (DD). Trained residential staff will identify, in a timely manner, those individuals who are at risk for developing bowel complications secondary to their diagnoses. It is the goal of DBHDD to ensure that every provider of DD residential services has established protocols for monitoring bowel function and responding to changes as needed.

DBHDD	SUBJECT: Bowel Management for Individuals Diagnosed with Developmental Disabilities	Policy: 02-802
		Page 2 of 5

DEFINITIONS

- **Bowel obstruction:** For the purposes of this policy, a bowel obstruction is the partial or full blockage in either the small intestine or large intestine that inhibits stool from passing.
- **Constipation:** For the purposes of this policy, constipation is an acute or chronic condition in which bowel movements consist of unusually hard, dry stools which are painful or difficult to pass. It often involves vigorous straining and/or a person sensing they have not completely emptied their bowels. Although bowel habits vary, an adult who has not had a bowel movement in three days or a child who has not had a bowel movement in four days is considered constipated.
- **Normal bowel function:** For the purposes of this policy, a normal bowel function is characterized by a minimum of three stools per week and no more than three per day.
- **Licensed Healthcare Professional:** For the purposes of this policy, a licensed health care professional refers to either a Registered Nurse (RN) or Licensed Practical Nurse (LPN).
- **Provider:** For the purposes of this policy, the term provider includes organizations that provide developmental disabilities residential services that are financially supported in whole or in part by funds authorized through DBHDD. The words organization or agency are synonymous with the term provider.

PROCEDURES

1. Causes of Constipation, Impaction, and Bowel Obstruction

It is the expectation that the residential provider provide training to residential staff in initial orientation and at least annually thereafter regarding the causes of constipation, impaction, and bowel obstruction. These causes include but are not limited to the following:

Diet:

- Insufficient fiber or bulk in diet
- Inadequate fluid intake

Altered bowel habits:

- Repeatedly ignoring defecation reflex
- Excessive use of laxatives and/or enemas

DBHDD	SUBJECT: Bowel Management for Individuals Diagnosed with Developmental Disabilities	Policy: 02-802
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Prolonged immobility and/or inadequate exercise:

- Spinal cord injury
- Bed rest

Medications:

- Opioids
- Anticholinergic preparations
- Antipsychotics
- Antidepressants
- Calcium and aluminum-based antacids
- Diuretics
- Vitamin supplements (e.g., iron and calcium)
- Sleeping medications
- General anesthesia

Bowel disorders:

- Irritable colon, diverticulitis or tumor

Neuromuscular disorders:

- Neurological lesions
- Cerebral palsy
- Paraplegia
- Spinal cord injury or compression
- Cerebrovascular accident with slight paralysis of motor function
- Weak abdominal muscles

Depression

Environmental factors:

- Strange or hurried environment
- Excess heat leading to dehydration
- Change in bathroom habits (e.g., use of a bedpan)
- Lack of privacy

Other Factors:

- Chronic illness
- Anorexia
- Immobility

2. Symptoms of Constipation, Impaction, and Bowel Obstruction

Staff are also educated about the signs and symptoms of constipation, impaction, and bowel obstruction.

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		Page 4 of 5

Below is a list of indicators for bowel problems:

- Hard, small dry stools
- Stomach pain or discomfort
- A bowel pattern that differs from the individual's normal pattern
- Hemorrhoids
- Spending a lot of time sitting on the toilet
- Straining and/or grunting on the toilet
- Bloated stomach that feels hard to the touch
- Feeling of rectal fullness
- Indigestion
- Increased gas, either flatus or burping
- Nausea
- Seizure activity
- Other – back pain, headache, decreased appetite

Staff must immediately report any noted changes to the individual's nurse or physician if the individual appears gravely ill, produces vomit that smells like a bowel movement, vomits what appears like coffee grounds or dark jelly, has a very hard, protruding abdomen, or reports severe abdominal pain.

3. Assessment of Constipation, Impaction, and/or Bowel Obstruction

The Health Risk Screening Tool (HRST) is initiated upon arrival to a residential setting and is continually updated based on observations of significant changes in the individual's health status.

For individuals determined to be at risk for developing constipation and/or bowel obstruction the HRST assessment is updated and the licensed healthcare professional recommends a physical examination that includes, but is not limited to: a thorough history of the individual's bowel pattern, dietary intake, laxative and/or suppository dependency, and activity level. Information gathered is documented in the individual's medical record.

If risk factors or symptoms of constipation and/or bowel obstruction have been identified by any staff member, the staff member making the observation is responsible for documenting the observation in the bowel tracking record and immediately notifying the designated licensed healthcare professional. Collateral reports made to staff by family members and other contact sources (e.g., service providers) are also reported promptly. Upon notification of risk factors or signs/symptoms of constipation and/or bowel obstruction, the licensed healthcare professional consults with the individual's primary physician for treatment options. Treatment interventions are documented in the individuals' medical record.

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4. Bowel Tracking & Management

Providers of residential services are required to have established protocol for monitoring bowel function for individuals with a history of constipation, impaction, and/or bowel obstruction.

An accurate recording of each individual's bowel status must be maintained during each shift. This also entails communicating with family members and service providers (e.g., day programs) to ensure accuracy. Communication is done in a manner that is sensitive to the rights and dignity of the person served.

Bowel movements are tracked by staff and noted on the bowel tracking record during each shift. Each day, agency staff should ascertain whether individuals have had a bowel movement. This information must be documented in the individual's bowel tracking record in order to learn what the individual's normal routine is to monitor for the onset of problems. Providers of residential services are responsible for developing their own bowel tracking record; at a minimum, this record must be designed to document the following information:

- Number of bowel movements per day
- List of the individual's medications that increase the risk of constipation, impaction, and/or bowel obstruction
- Abdominal pain reported by the individual
- Consistency of bowel movement
- Treatment intervention(s)

Familiarity with the individuals' routines and adeptness at detecting non-verbal cues of pain or discomfort are especially important for staff assisting those who may have difficulty communicating their needs.

Trained staff members who assist with the self-administration of medications are responsible for the daily review of the bowel tracking record to determine if the criteria are met for intervention as ordered by the person's primary physician.

The agency Developmental Disabilities Professional (DDP) trained in assessing the effectiveness of intervention or a licensed healthcare professional checks the bowel tracking record a minimum of once per week to assess the effectiveness of the intervention and health status of the person. The DDP or licensed healthcare professional consults with the individual's primary physician or other medical staff providing coverage if changes in the effectiveness of the individual's treatment intervention(s) and/or the individual's health status are noted.



Chapter: Developmental Disabilities Community Services
Subject: Community Integration in Residential Service Options and Supervised Apartment Living Arrangements for Individuals with Developmental Disabilities

Applicability: Developmental Disabilities
Community Providers, State Office, Regional Office,
Support Coordination Agencies

References:

none

Attachments:

none

Effective Date: July 1, 2010

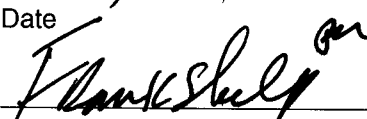
Scheduled Review Date: July 2011

Approved:



Beverly D. Rollins, M.P.A., Executive Director
Division of Developmental Disabilities

Date

 6/17/10

Frank E. Shelp, M.D., M.P.H., Commissioner

Date

COMMUNITY INTEGRATION IN RESIDENTIAL SERVICE OPTIONS AND SUPERVISED APARTMENT LIVING ARRANGEMENT FOR INDIVIDUALS WITH DEVELOPMENTAL DISABILITIES

POLICY

Community integration in residential service options and supervised apartment living arrangement for individuals with Developmental Disabilities is defined by the Department of Behavioral Health and Developmental Disabilities (DBHDD) to reflect federal and state standards and to promote community integration.

DEFINITIONS

Residential Service Options includes Personal Care Homes (PCH), Community Living Arrangements (CLA) and Host Homes.

Most Integrated Setting- A setting that enables individuals with disabilities to interact with non-disabled persons to the fullest extent possible.

Personal Care Home is a licensed residence that provides or arranges for the provision of housing, food service, and one or more personal services for two or more adults with developmental disabilities, who are not related to the owner or administrator by blood or marriage. (Personal services include but are not limited to individual assistance with and

DBHDD	SUBJECT: Community Integration in Residential Service Options and Supervised Apartment Living Arrangements for Individuals with Developmental Disabilities	Policy: 02-601
		Page 2 of 3

supervision of self-administered medications and essential activities or daily living such as eating, bathing, grooming, dressing, and toileting.)

Community Living Arrangement is a licensed residence, whether operated for profit or not, that undertakes through its ownership or management to provide or arrange for the provision of daily personal services, supports, care, or treatment for two or more adults with developmental disabilities, who are not related to the owner or administrator by blood or marriage and whose residential services are financially supported, in whole or in part, by funds designated through the DBHDD.

Host Home is the (unlicensed) private home of an individual or a family, whether owned or leased, in which residential supports are provided to one or two adults with developmental disabilities. The home owner or lessee shall not be an employee of the same DBHDD approved provider agency which provides the host/life sharing home services. Individuals should not be related to the occupant owner or lessee by blood or marriage. The occupant owner or lessee shall not be the guardian of any person served on their property nor the agent in such person's advance directive for health care.

Supervised Living Arrangement provides community living support services to participants with developmental disabilities in which the participant can experience living in community with supervision. It is a living arrangement where participants live in an apartment unit. Participants are involved in activities that will lead them to greater independence and more control of their lives.

STANDARDS FOR INTEGRATED SETTINGS

For the purposes of this policy, the following standards are set by DBHDD for integrated settings.

Residential Service Options and apartment living arrangements:

- Are integrated and inclusive environments within established residential neighborhoods,
- Are ordinarily considered to be a single family unit,
- Have personal space and privacy for persons supported,
- Are understood to be the "home" of the persons supported or served, **AND**
- Campus type settings that cluster group or host homes in the same community are strictly prohibited (e.g. establishing a Community Access Facility on a residential site (property)).

Integration into the larger natural community is evident, as evidenced by the following:

- Inclusion and community integration is supported and evident;
- Individuals have responsibilities in the community, such as employment, volunteer activities, church and civic membership and participation;
- The organization has community partnerships that demonstrate input and involvement by:

DBHDD	SUBJECT: Community Integration in Residential Service Options and Supervised Apartment Living Arrangements for Individuals with Developmental Disabilities	Policy: 02-601
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- Advocates; and
- The person served;
- Families;
- Business and community representatives
- The organization coordinates with community organizations to develop and expand it's array of services, support, care and treatment as a basis for:
 - Continuity in cooperative service delivery
 - Provider Networking
 - Referrals
 - Sub-contracts and
 - Joint planning efforts

CAPACITY

The Comprehensive Supports Waiver (COMP), by existing policy, does not allow residential facilities, such as Personal Care Homes and Community Living Arrangements to serve more than four (4) individuals in this residential setting. Exceptions require the approval of the DBHDD Regional Coordinator and are reviewed by the Division of Developmental Disabilities. All exceptions to the existing policy are based on justifications, such as assuring safety, privacy, community integration and participation.

There is no exception to the capacity limit of two (2) for Host Homes.

Supervised apartment living arrangements include:

- Scattered arrangements - Participants and others with disabilities reside in apartments scattered/geographically dispersed throughout the community. Up to 49% of all individuals residing in apartments located in one building can be individuals with disabilities including participants supervised by one agency.
- Cluster arrangements - Participants and others with disabilities reside in apartments located in one building. Up to 49% of all individuals residing in apartments located in one building can be individuals with disabilities including participants supervised by one agency.

The following standards are followed regarding supervised apartment living:

- Staff are excluded from any determination of the percentage documented above.
- Participants renting/leasing in private residences must meet all standards for integrated settings.
- All homes/apartments must comply with all state and local zoning regulations.
- The Standards for Integrated Settings as specified in this policy pertain to supervised apartment living



Chapter: Constituent Services and Complaints

Subject: COMPLAINTS AND GRIEVANCES REGARDING COMMUNITY SERVICES

Applicability:

Department of Behavioral Health & Developmental Disabilities State and Regional Offices, Service Providers, and State-Operated Community Services

Original Effective Date: July 1, 2002

Revision #1 Effective Date: November 2, 2009

Scheduled Review Date: November 2011

Approved:

Consuelo L. Campbell

Consuelo L. Campbell, Director

Office of Legislative & Constituent Affairs

References:

Official Code of Georgia Annotated (O.C.G.A.) § 37-2-5.2(a)(9); § 37-2-11.2; § 30-5-1 et seq.

The procedures established by this policy shall not supplant the complaint procedures governing complaints alleging violation(s) of a patient's rights under the Rules and Regulations for Patient's Rights, Chapter 290-4-6 or a client's rights under the Rules and Regulations for Client's Rights, Chapter 290-4-9.

10/14/09

Date

Frank E. Shelp

Frank E. Shelp, M.D., M.P.H., Commissioner

Attachments:

None

10-21-09

Date

COMPLAINTS AND GRIEVANCES REGARDING COMMUNITY SERVICES

POLICY

The Department of Behavioral Health and Developmental Disabilities (DBHDD) ensures that consumers, representatives, guardians, associations, agencies, contractors, sub-contractors, or those who seek to become involved with the delivery or receipt of services may file complaints and grievances. All complaints and grievances are accepted, reviewed, and investigated; in addition, a response is provided promptly to the individual(s) who submitted the complaint or grievance in accordance with the procedures in this policy. No person is retaliated against or denied services for making a complaint or grievance. Complaints involving allegation of abuse, neglect, or other reportable incidents are managed in accordance with DBHDD policies regarding reporting of incidents, and are not subject to the procedures included in this Complaints and Grievance policy.

DEFINITIONS

Complaint - Complaints are allegations made by consumers, representatives, guardians, associations, or agencies concerning the delivery or receipt of disability services which may violate rules and policy, or adversely affect a consumer's health and well-being.

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Grievance – A grievance is a problem, perceived by the consumer to involve unfair treatment or violation of client/patient rights and privileges accorded by law, DBHDD policy, or established practice.

Provider or Service Provider – For the purposes of this policy, the terms provider or service provider refer to organizations or individuals that provide consumer services that are financially supported in whole or in part by funds authorized through DBHDD.

Regional Office – A unit of DBHDD which serves as the entity for the administration of disability services in a region.

GENERAL PROCEDURES

- A. Complaints and grievances may be filed against the Department of Behavioral Health & Developmental Disabilities (DBHDD) State Office, Regional Offices, service providers having a contract or letter of agreement with the DBHDD, and state-operated community service providers. DBHDD recognizes that complaints are dealt with at all levels throughout the system.
- B. DBHDD State Office, Regional Offices, and providers each designate staff to receive, process, investigate, follow-up and report complaints and grievances.
- C. Within the DBHDD State Office, Constituent Services is the designated entity for the management of complaints and grievances, and follows a standard process for managing complaints and grievances. Complaints and grievances should be handled as close to the point where the problem is initiated. Constituent Services is especially focused on complaints and grievances that occur frequently, that relate to high risk situations, and/or that may reflect some type of larger systemic problem.
- D. Complaints and grievances must:
 - Be taken, whether received via telephone, in person, in writing, by referral, fax, email;
 - Be documented, either by the complainant or by the person taking the complaint or grievance;
 - Identify the provider, where applicable;
 - State the nature of the complaint or grievance;
 - Identify the person(s) involved (if possible), and/or the name and contact information of the person (if possible) filing the complaint or grievance; and
 - Be kept on file for 5 years.

Constituent Services can provide tools for documentation of this information upon request.
- E. Staff encourage individuals who have a complaint or grievance regarding a provider to initiate their complaint/grievance process according to the provider's internal policy.

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A party may file an initial complaint or grievance to the DBHDD State Office. In such event, the following steps are taken:

1. The complaint/grievance is sent to DBHDD Constituent Services
Phone: 404-657-5964
Fax: 404-657-1137
Email: DBHDDconstituentservices@dhr.state.ga.us
2. Constituent Services sends out an email to the applicable Regional Coordinator (RC), Regional Services Administrator (RSA), their Administrative Assistant; and other state staff when appropriate.
3. The complaint/grievance is assigned by the RC, RSA, or State Office staff to the appropriate staff member for follow-up and resolution in accordance with this policy;
4. Staff performs follow up and provides the RC, RSA, or State Office staff with a summary or their initial response to the complainant, which is then communicated to Constituent Services within two (2) business days; and
5. Regional or State Office staff notifies Constituent Services, within five (5) business days of receiving the complaint or grievance, of the finding(s) and the recommendation(s) for resolving the complaint or grievance.
6. The Regional, State Office, or Constituent Services contacts the complainant to follow up with the findings and recommendation for resolving the complaint or grievance.

F. Reporting complaints and grievances to Legal Services

During conversation with the complainant, the Regional Office, when possible, determines if the matter under complaint or grievance is the subject of pending or current litigation. If the complaint or grievance may be or is the subject of current litigation, the Regional Office immediately contacts the DBHDD Office of Legal and Risk Management Services for guidance.

PROCEDURES SPECIFIC TO COMPLAINTS AND GRIEVANCES AGAINST SERVICE PROVIDERS

- A. Individuals being served or other stakeholders may register complaints or grievances with service providers.
- B. The Regional Office follows specific steps in addressing complaints and grievances made directly to the Regional Office regarding providers or services. Upon receipt of a complaint or grievance, the Regional Office first determines whether the complaint or grievance will be processed by the Regional Office or whether the complaint or grievance must be referred to another agency or entity. If the complaint or grievance involves legislators or media then the Regional Office notifies Constituent Services.

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1. **Step 1 - Complaints requiring referral outside the Regional Office:** If the complaint or grievance will not be processed by the Regional Office, the Regional Office staff notifies the complainant, by telephone or in writing, within five (5) business days of receipt of the complaint or grievance, explaining the reason(s) the Regional Office cannot properly address the complaint or grievance. For example, complaints or grievances involving client rights should be first referred to the Client's Rights Subcommittee for the provider serving the complainant. Whenever possible, staff of the Regional Office provide sufficient information to the complainant for referral to the appropriate entity for relief.
2. **Step 2 - Complaints involving providers:** The Regional Office determines whether the complainant has filed the complaint or grievance first with the provider, and if any resolution was suggested by the provider.

- a. If the complainant has filed the complaint or grievance with the provider, but:
 - The complainant is dissatisfied with the provider's suggested resolution; **or**
 - The complainant does not want to or refuses to communicate with the provider; **or**
 - The provider has not taken any action regarding the complaint or grievance,

Then the Regional Office reviews and attempts to resolve the complaint or grievance. If complaint or grievance is of a client's rights nature, Regional Office requests that the provider immediately transmit to the Regional Office a copy of the provider's decision, together with a copy of the Client's Rights Subcommittee' recommendation and other documents utilized in the review. If the complaint relates to reportable incidents in accordance to DBHDD policies, then those policies are followed.

- b. If the complainant has not filed the complaint or grievance with the provider, the Regional Office:
 - Advises the person that it is generally best to address their complaint or grievance to the provider, unless circumstances warrant otherwise and offers the complainant the option of either addressing it themselves or having the Regional Office staff forward the complaint/grievance to the provider.
 - If necessary, records the complaint or grievance and forwards it to the provider.
 - Informs the complainant that the complaint or grievance has been forwarded to the provider and that the provider will contact the complainant to resolve the matter.

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- Follows up with the provider within five (5) business days of the referral to verify that the complaint or grievance has been or is in the process of being resolved. The Regional Office is not prohibited from reducing the time period for this follow up.
- c. When following up on a referral of the complaint or grievance to the provider, the Regional Office may find that the following pertains:
 - No process for resolution has commenced. The Regional Office then records the reason(s) why no process has begun and conducts a review of the complaint or grievance as described below; or
 - The provider has begun to review the complaint or grievance and is working toward a resolution, the Regional Office records that information and requests that the provider forward to the Regional Office notice of resolution of the complaint or grievance. The Regional Office does not need to take additional action unless the circumstances demand further inquiry or action.
- 3. **Step 3 - Regional Office Review/Investigation:** The Regional Office conducts and completes a review of the complaint or grievance within five (5) business days of receipt of the complaint or grievance or within five (5) business days of the date it is determined the provider has not begun a resolution process.
 - a. Review elements: The Regional Office's review/investigation provides, at a minimum, that:
 - Informal resolution, where appropriate, is utilized;
 - Investigative methods deemed most suitable to determine the facts are utilized. Such methods may include, but are not limited to, personal interviews, telephone calls, and/or review of documents and correspondence. The reviewer/investigator has access to all documents and records and personnel relevant to the investigation. In addition, the Regional Office may request the assistance of other offices in DBHDD;
 - Confidential information is protected against unauthorized disclosure;
 - Conflicts of interest are avoided and where discovered, immediately corrected; and
 - Whenever appropriate or necessary, a signed release of information is obtained.
 - b. Extensions: The Regional Coordinator may grant an extension of this time frame upon request and upon a showing of good cause, such as the complexity of the issue(s) or if fact gathering warrants additional time. If the Regional Coordinator approves an extension, the Regional

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Office notifies the complainant of the extension and indicates the approximate time frame within which the review will be concluded. Where applicable, a copy of the notice of extension is also forwarded to the provider. If an extension exceeds twenty (20) business days from the date of receipt of the complaint or grievance, the complainant receives an update from the Regional Office.

4. **Step 4 - Findings/Resolution:** The notification of findings/resolution of any complaint or grievance related to client rights includes an explanation of the appeal process. A copy of the findings and recommendations is kept on file along with the complaint or grievance and a copy must be forwarded to the provider, if applicable.

If complaint or grievance is of a client's rights nature, the Regional Office sends a copy of the complaint and recommendations to the complainant and Constituent Services.

5. **Step 5 - Appeal:** When a complainant is dissatisfied with the resolution proposed by the Regional Office, the complainant may request that the Regional Office forward a copy of the complaint or grievance, all relevant material, and all proposed resolution(s) to DBHDD Constituent Services. A complainant is not precluded from filing an appeal directly to the DBHDD Commissioner or Constituent Services, in which case the Commissioner or designee contacts the Regional Office to request copies of all material(s) relevant to the complaint or grievance. If possible, the Commissioner or designee completes the review of the complaint or grievance within ten (10) business days of receipt of the appeal and all relevant materials. The Commissioner or designee provides a resolution for the complainant that is final. A copy of the final resolution is forwarded to the Regional Office and, if applicable, to the provider. The Regional Office and where applicable, the provider, must maintain on file a copy of the final resolution of all complaints and grievances for no less than six (6) years.

C. In addition to an appeal, a party may file an initial complaint or grievance to the DBHDD State Office. The DBHDD website <http://dbhdd.georgia.gov> includes information about how to do so. In such event, the following steps are taken:

1. The complaint/grievance is sent to DBHDD Constituent Services upon receipt or notification;
2. Constituent Services sends out an email to the applicable Regional Coordinator (RC), Regional Services Administrator (RSA), the DBHDD office or division, their Administrative Assistant; and other state staff when appropriate.
3. The complaint/grievance is assigned to the appropriate staff for follow-up and resolution;

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4. Staff performs follow up and provides an initial response to the RC and RSA, which is then communicated to Constituent Services within two (2) business days; and
 5. Regional Office notifies Constituent Services, within five (5) business days of receiving the complaint or grievance, of the finding(s) and the recommendation(s) for resolving the complaint or grievance.
 6. The Regional office or constituent services contacts the complainant to follow up with the findings and recommendation for resolving the complaint or grievance.
- D. Upon request, providers submit to the Regional Office a copy of the provider's policies and procedures for receiving, considering, and resolving client complaints and grievances.
- E. Each provider's policies and procedures address, at a minimum, the following:
1. Instructions on how a complaint or grievance may be filed with the provider.
 2. A description of the review/investigation process for resolving the complaint or grievance, including reasonable applicable time frames and extensions, if permitted, for review by and response from the provider.
 3. A description of the Client's Rights complaint and grievance process.
 4. Directions for the complainant to appeal to the Regional Office if a satisfactory resolution is not reached at the provider level.
 5. Directions for the complainant to appeal to the DBHDD if an unsatisfactory decision is made by the Regional Office.
 6. Information that is displayed prominently at each service location: name, title, location, hours of availability, and telephone number (a 1-800 number is preferred for multi-county locations) of the designated person whose responsibility it is to accept and oversee the process of any complaint or grievance on behalf of the provider.
 7. Maintenance of copies of all complaints and grievances received and reviewed by the provider and complaints and grievances reviewed by the Regional Office, copies of appeals made to the DBHDD Commissioner or Constituent Services, notices of extension of the time to conduct and complete a complaint or grievance review/investigation, and copies of all "final" rulings or resolutions.
 8. Method to ensure that each individual served by the provider receives information explaining the provider's complaint and grievance procedure, including appeals, in a manner that is understandable to the person served.
 9. Method to ensure that each individual receives information explaining his/her rights and the client rights complaint and grievance procedure, including appeals, in a manner that is understandable to the person.
 10. Assurance that the filing of a complaint or grievance will not result in retaliation or barriers to service.

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11. Requirement that all provider staff receive training regarding the provider's complaint and grievance policy and procedure, including the duty to assist individuals in reporting complaints and grievances.
12. Description of how complaint and grievance information is utilized for continuous quality improvement.

Provider policies and procedures address and include the following expectations:

- Complaints and grievances are to be handled in best interest of the complainant.
- The handling of complaints and grievances is done in a manner that demonstrates flexibility, responsiveness and timeliness.
- Resolution of complaints and grievances is done in collaboration with the complainant and/or representative.
- The provider exhausts all possible options and choices to reach a mutually satisfactory resolution.
- All appropriate parties are informed about resolution of the complaint and/or grievance.
- The provider demonstrates good customer service skills while working to resolve complaints and grievances.

F. Reporting of complaints and grievances

1. Providers maintain information about complaints and grievances including but not limited to the following information:
 - Types and dates of all complaints and grievances;
 - Originator of complaints and grievances;
 - Complaints and grievances new in the current quarter and those unresolved from previous quarters;
 - Of resolved complaints and grievances, the numbers of substantiated and unsubstantiated complaints and grievances;
 - Days to resolution for each complaint or grievance;
 - Disability and program involved; and
 - Identified systems issues and corrective measures taken, if any.
2. Constituent Services maintains information about complaints and grievances including the following:
 - Number of complaints and grievances;
 - Types of complaints and grievances;
 - Originators of complaints and grievances;
 - Days to resolution for complaint or grievance;
 - Disabilities and programs involved;

G. Reporting complaints and grievances to Legal Services:

During conversation with the complainant, the Regional Office, when possible, determines if the matter under complaint or grievance is the subject of pending or

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current litigation. If the complaint or grievance may be or is the subject of current litigation, the Regional Office immediately contacts the DBHDD Office of Legal and Risk Management Services for guidance.

HOSPITAL COMPLAINTS AND GRIEVANCES

Complaints and grievances regarding DBHDD Hospitals are handled in accordance with hospital specific policies and procedures.



Chapter: Administrative Issues Related to Behavioral Health & Developmental Disabilities Service Delivery
Subject: Criminal History Records Checks for Contractors

Applicability:

All Contractors as defined in this policy

Original Effective Date: July 1, 2010

Scheduled Review Date: July 2011

Approved:

References:

DBHDD Policy 22-504; O.C.G.A. § 31-7-350, et seq. and § 35-3-30 et seq.
O.C.G.A. 37-1-28, Criminal Code of Georgia (O.C.G.A. Title 16)
Code of Federal Regulations 42, IV, § 483.420 (d) (1) (iii)
Rules of the Georgia Crime Information Center (GCIC) Council

Audrey Sumner 6/23/10
Audrey Sumner, LCSW Date
Director of Community Mental Health
Division of Mental Health

Beverly D. Rollins 6/25/10
Beverly D. Rollins, M.P.A. Date
Executive Director
Division of Developmental Disabilities

Cassandra Price 6/25/10
Cassandra Price, GCADC-II, MBA, Date
Executive Director
Division of Addictive Diseases

Attachments:

Attachment A: Determination Based on Criminal History Record Information Contractor and Contractor Employees

Attachment B: Criminal History Record Summary Charge Information

Frank E. Shelp 6/28/10
Frank E. Shelp, M.D., M.P.H., Commissioner Date

CRIMINAL HISTORY RECORDS CHECKS FOR CONTRACTORS

POLICY

The Department of Behavioral Health and Developmental Disabilities (DBHDD) is concerned about the health and safety of all individuals and the safeguarding of state property. It is the policy of DBHDD that all reasonable efforts are made to provide safe and secure environments for consumers, staff, and any other work-related contacts. Based on this objective, a criminal history record check, which is fingerprint based, is completed on any individual who is under contract to provide services for DBHDD, to include employees of Contractors and anyone with whom a Contractor contracts to perform direct care, treatment, custodial responsibilities, or any combination thereof, for consumers.

DEFINITIONS

Consumer – For the purposes of this policy, the term consumer is used to refer to any individual who receives or participates in mental health, addictive diseases, and/or developmental disabilities services that are financially supported in whole or in part by funds authorized by DBHDD.

Contractor – For the purposes of this policy, the term Contractor includes all organizations that provide mental health, addictive diseases, and/or developmental

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disability services that are financially supported in whole or in part by funds authorized through DBHDD.

Employee – For the purposes of this policy, the term employee refers to any individual who is performing services, including direct care, treatment, custodial responsibilities, or any combination thereof, for consumers on behalf of a Contractor.

PROCEDURES

A. General Provisions

1. All individuals who contract with DBHDD or their employees, who have direct care, treatment, custodial responsibilities, or any combination thereof, for its consumers, must undergo a fingerprint based criminal history record check.
2. The Contractor Hiring Authority (hereinafter referred to as the Contractor) is responsible for ensuring that a criminal history record check is completed on each employee, and that the results are reviewed by the DBHDD Office of Incident Management and Investigations/Criminal Records Section, in accordance with this policy.

B. Crimes that Restrict Employment as a Contractor or Contractor Employee

Individuals who have been convicted of a crime listed in this section, or any other offense committed outside the State of Georgia that would have been considered one of these crimes if committed in Georgia, are not eligible to perform services for DBHDD on behalf of the contractor as indicated below.

1. There is a Mandatory disqualification from providing services for DBHDD for a minimum of five (5) years from the date of conviction, a plea of *nolo contendere*, or release from incarceration or probation, whichever is later, for the following crimes.
 - Murder or Felony Murder
 - Attempted Murder
 - Kidnapping
 - Rape
 - Robbery/Armed Robbery
 - Aggravated Assault
 - Aggravated Battery
 - Cruelty to Children
 - Sexual Offenses

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- Arson
 - Theft by Taking (O.C.G.A. §16-8-2), by Deception (O.C.G.A. § 16-8-3) or by Conversion (O.C.G.A. §16-8-4)
 - Forgery (in the first or second degree)
2. DBHDD Contractors or their employees are permanently ineligible to provide services for DBHDD if they have ever been convicted of Child, Consumer, or Patient Abuse, Neglect, or Maltreatment.
 3. Contractors or their employees may be ineligible to provide services for DBHDD, if the criminal history record indicates any of the following that have direct relevancy to the responsibilities or duties of the position.
 - 3.1 Any other Conviction or Pattern of Convictions
 - 3.2 A Pattern of Recent Arrests
 - 3.3 A Significant Recent Arrest (Disqualification until charge is resolved)

C. Criminal Drug Offenses

Contractors or their employees that have been convicted of a criminal drug offense will be ineligible to provide services for DBHDD as follows:

1. Disqualification to provide services in any position for a period of two (2) years from the date of conviction for the first offense.
2. Disqualification to provide services in any position for a period of five (5) years from the most recent conviction for the second or subsequent offense.
 - NOTE: For purposes of this disqualification, “conviction” does not include treatment under Georgia First Offender Act, or a plea of *Nolo Contendere*.

D. Release of Criminal History Record Information

1. FBI Regulations do not allow for the release of Criminal History Record Information to Contractors or their employees, and require that DBHDD make suitability determinations for DBHDD Contractors and their employees.

E. Fingerprinting of Contractor and Contractor Employees

1. DBHDD Contractors and Contractor employees that provide services for DBHDD must submit to a fingerprint based criminal background check.

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2. Fingerprinting must be conducted prior to employment where possible, or within ten (10) business days of the employee's start date.
3. Specifically trained DBHDD personnel review the Criminal History Record Information and provide a determination as to the suitability of the individual to provide services for DBHDD by contractor or on behalf of the contractor, within seven (7) business days of the receipt of the criminal record information.
4. Contractors who require fingerprinting must register their agency with the State Approved Vendor authorized to capture and submit fingerprint images for comparison with the Georgia and Federal Criminal Record Databases. To obtain information on how to register with the State Approved Vendor, go to the following website and follow the prompts:
 - www.ga.cogentid.com
 - Under General Information click the link "How to get an ORI or OAC Number" and follow the instructions provided.
5. Contractors are responsible for the proper registration of their employees. DBHDD assumes no liability for registration errors that create additional costs for reprinting.
6. Contractors or their designee are responsible for contacting the DBHDD Criminal Records Section for accurate registration information if they are not sure of the proper procedure to register an applicant/employee that will provide services for DBHDD. Obtain information on the proper registration of applicants for DBHDD through the following manner:
 - www.dbhdd.georgia.gov and select Provider Information and then select the link to "Background Policy and Cogent Information"
 - www.ga.cogentid.com and click on the link to the Department of Behavioral Health and Developmental Disabilities. Then select the link to Provider Information and click on the link "Background Policy and Cogent Information".
 - Contact the Criminal Records Section at (404) 232-1541 or via email at DBHDD-CRS@dhr.state.ga.us
7. DBHDD Criminal Records Section can not process inaccurate or invalid official documents or criminal records.
8. Within three (3) business days of the receipt of the incorrect information, *such as invalid court documents or criminal record requests*, Criminal Records Section staff notifies the Contractor of the issue and the corrective action that must be taken in order to properly review the criminal record.

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9. Unless otherwise agreed, the cost of applicant/employee fingerprinting is paid by the Contractor.

F. Notice from the Office of Incident Management and Investigations/ Criminal Records Section

1. The Criminal Records Section advises the Contractor in writing of any findings or issues that need further documentation in order to make a suitability determination.
 - Contractor must provide the Criminal Records Section with a Contact Name, Correct Mailing Address, and Email address.
2. If the written determination from the Criminal Records Section indicates the applicant has No Criminal History, then no further action by the Contractor is necessary.
3. If the written determination from the Criminal Records Section indicates the applicant's criminal history information disclosed a conviction or other charge that prohibits employment as listed under **Section B** of this policy, the Contractor is to take appropriate action, and notify the Criminal Records Section of the action taken. (See **Attachment A**)
 - ***Attachment A is for example only. Criminal Record Section Staff will provide the completed form when appropriate.***
4. If the applicants/employees Criminal History Record Information is not complete, such as a missing disposition, etc. the Criminal Records Section shall notify the Contracting Agency in writing of the issues, and appropriate actions to take, *such as obtaining official court documents that indicate how a charge was disposed*, so that a proper determination can be made. (See **Attachment B**)
 - ***Attachment B is for example only. Criminal Record Section Staff will provide the completed form when appropriate***
5. Anyone who refuses to provide requested **Certified Copies of Court Documents**, or discuss the pending issues, shall be ineligible to provide services for DBHDD, on behalf of the Contractor.
6. DBHDD does not provide copies of Result Letters after sixty (60) days of the initial letter. If a new Result Letter is needed, the contractor will be required to have the applicants/employees reprinted in order to obtain a new Result Letter.

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Note: The Criminal Records Section has seven (7) business days from the time the record is received in the criminal records section, to process the applicant/employee criminal record and generate a Result Letter to the requesting agency.

G. Rejected Fingerprint Images

1. There are times when an applicant/employee's fingerprint images are rejected by either the Georgia or Federal Integrated Automated Fingerprint Identification System (IAFIS). When rejections occur, the Contractor is notified within two (2) business days of the receipt of the rejection, regarding the reason the fingerprints were rejected, and the corrective action that must be taken, such as a reprinting of the applicant/employee's fingerprints. Below is information concerning rejected fingerprint images:
 - Rejections can occur because of improper registration, bad fingerprint images, or improperly trained operators.
 - Rejections because of Registration Errors will require the contractor to have to re-register the applicant/employee and pay again.
 - Rejected Fingerprint Image Reprints must be completed at the site where the original fingerprints were taken within 90 Days of the original fingerprinting in order to avoid additional fees.

H. Notification of Employment Decision

1. The Contractor shall notify the Criminal Records Section of the final employment decision in all cases where the Criminal Records Section has advised that the applicant/employee has a criminal history. The Contractor shall forward notice of the final employment decision to the following address:

DBHDD Office of Incident Management and Investigations
 Attn: Criminal Records Section
 Two Peachtree St., NW, Suite 24-462
 Atlanta, GA 30303-3142
 FAX (770) 359-5473

**Determination Based on Criminal History Record Information
Contractor and Contractor Employees**

To:

Fm: DBHDD Office of Incident Management and Investigations
Criminal Records Section

Re: SSN:

I have received the results of the Department of Behavioral Health and Developmental Disabilities' (DBHDD) review of the above named individual's Criminal History Record Information. In accordance with DBHDD's policies, this individual is not eligible to provide services to DBHDD, on behalf of the contractor. The determination was based on the conviction(s) listed below.

Conviction Information:

Agency	Charge	Conviction Date

The above named individual has been removed from further consideration for work with DBHDD.

Effective Date:_____

Signature of Hiring Official or Designee

Date:_____

Printed Name of Hiring Official or Designee

Return to: **DBHDD Office of Incident Management and Investigations**
Attn: Criminal Records Section
Two Peachtree St. NW, Suite 24-462
Atlanta, GA 30303-3142
Fax: (770) 359-5473

Criminal History Record Summary Charge Information

Confidential

Date:

To: Hiring Manager

Fm: DBHDD Office of Incident Management and Investigations
Criminal Records Section

Re: Criminal History Record Information

Name: SSN:

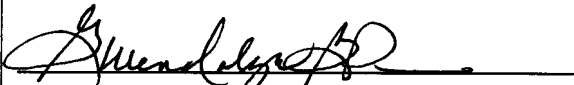
This letter is a request for additional information on the above named applicant.

Below you will find a list of incomplete charge information that was contained on the applicant's criminal history record information. We must have a complete record in order to fully evaluate the applicant's criminal background. The applicant must contact the court of record where the arrest was made and obtain "Final Disposition" documentation to indicate how the charge was disposed such as Conviction, Dismissed, etc. to include sentence information. DBHDD only accepts Certified Court Documents for review. Please have the applicant provide these documents to you, and then you forward them to our office within forty-five (45) days of the date of this letter. Documents can be faxed to (XXX) (XXX-XXXX).

Note: Please do not have the applicant/employee contact our agency, we can only discuss this information with you, as the employer.

Summary Charge Information

Arrest Date	Agency	Charge	Disposition

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities & Addictive Diseases	DHR Online Directive Information System (ODIS) Directive # 6805-201 <div style="text-align: right;">Page 1 of 2</div>
DHR ODIS Policy: Provision of Care, Treatment, and Services for Consumers in Division of MHDDAD Hospitals Subject: Criteria for Admission to DHR DMHDDAD Hospitals for Persons with Mental Illness	
Applicability: All DMHDDAD Hospitals	Effective Date: April 15, 2008 Scheduled Review Date: April 2010 Approved:
References: Official Code of Georgia Annotated (OCGA) Sec. 37-3-1 (9.1)-(12) (definitions), 37-3-43, and 37-3-64.	
Attachment: A – Assessment by Admitting Physician	Gwendolyn B. Skinner, Director, Division of MHDDAD <u>3/18/08</u> Date Signed

CRITERIA FOR ADMISSION TO DHR DMHDDAD HOSPITALS FOR PERSONS WITH MENTAL ILLNESS

POLICY

Admission of persons with mental illness is based upon the needs and the best interests of the individual. Decisions concerning the admission of persons with mental illness are based on independent medical judgment by physicians at the admitting facilities. Hospitalization is appropriate only when it is the least restrictive level of care available to meet the individual's needs.

Criteria for Mental Health Admissions of Adults to DMHDDAD Hospitals

1. The consumer has mental illness consisting of a disorder of thought or mood which significantly impairs judgment, behavior, capacity to recognize reality, or ability to cope with the ordinary demands of life. (Traumatic brain injury does not qualify as a mental illness.) **AND**
2. Hospitalization is the least restrictive level of care available for the individual **AND**
3. One of the following:
 - The consumer presents a substantial risk of harm to himself/herself or others, as manifested by recent overt acts or recent expressed threats of violence which present a probability of physical injury to himself/herself or others **OR**
 - The consumer is so unable to care for his/her own physical health and safety as to create an imminently life-endangering crisis.

These criteria are applicable for both involuntary and voluntary civil admissions.

Every attempt is made to meet the needs of individuals presenting with primary substance use disorders by serving these individuals in the community. They are carefully evaluated to determine whether there is the presence of a mood or thought disorder that warrants admission to the Division of MHDDAD hospital.

DIVISION OF MHDDAD	SUBJECT: Criteria for Admission to DHR DMHDDAD Hospitals for Persons with Mental Illness	ODIS Directive # 6805-201
		Page 2 of 2

The needs of individuals with organic brain diseases and neurological diseases of the brain are carefully evaluated to determine whether there is the presence of a mood or thought disorder that warrants admission to the Division of MHDDAD hospital.

If the consumer does not meet the criteria for admission he/she is referred to appropriate services in the community.

Every effort is made to expedite the assessment and admission decision process.

Upon arrival at the Division of MHDDAD hospital Emergency Receiving Facility, the individual is evaluated by a physician who determines whether the individual's symptoms meet the criteria for admission and whether hospitalization is the least restrictive environment for the individual.

The admitting physician documents the rationale for the decision. (See Attachment A – Assessment by Admitting Physician).

The BHL **Georgia Access and Crisis Line (GCAL)** is utilized as a resource for making referrals to hospitals and community providers. The number for GCAL is **1-800-715-4225**.

See the Policy #6801-101 **Legal Status of Persons Admitted to DMHDDAD Hospital** for additional details regarding involuntary and voluntary civil admissions.

Attachment A - Assessment by Admitting Physician

Please note that hospitals are to utilize their existing [Assessment by Admitting Physician](#) form to document as indicated in the policy.



Chapter: Administrative Issues Related to Behavioral Health & Developmental Disabilities Service Delivery
Subject: **Emergency Preparedness and Disaster Response – Basic Requirements for DBHDD Hospitals and Community Providers**

Applicability:

- State Hospitals
- Community Providers

Original Effective Date: January 16, 1994

Revision #1 Effective Date: June 1, 2010

Scheduled Review Date: June 2011

Approved:

Audrey Sumner 4/29/10
Audrey Sumner, Director
Community Mental Health Date

Beverly D. Rollins 4/28/10
Beverly D. Rollins, M.P.A.,
Executive Director Date
Division of Developmental Disabilities

Cassandra Price 5/6/10
Cassandra Price, GCADC-II, MBA,
Executive Director Date
Division of Addictive Diseases

Attachments:

Attachment A - Georgia Mental Health Disaster Response Crisis Counseling Program Grant Funding Opportunities (Sample)

Frank E. Shelp 5/12/10
Frank E. Shelp, M.D., M.P.H., Commissioner Date

EMERGENCY PREPAREDNESS AND DISASTER RESPONSE – BASIC REQUIREMENTS FOR DBHDD HOSPITALS AND COMMUNITY PROVIDERS

POLICY

The DBHDD providers and Hospitals provide for the safety and care of consumers in the preparation for and response to emergency and disaster situations. In addition, under the Georgia Emergency Operations Plan (GEOP), Emergency Support Function (ESF) 8, Section III.D Crisis Counseling DBHDD designated providers provide mental health services to the general population during times of disaster and emergency.

DEFINITIONS

Emergency - an unexpected situation or sudden occurrence of a serious and urgent nature that demands immediate attention, which impedes or prohibits the continuation of normal activities.

Disaster - an occurrence causing widespread destruction and distress. Severe weather conditions such as ice storms, snow accumulations, storms or torrential rains,

DBHDD	SUBJECT: Emergency Preparedness and Disaster Response – Basic Requirements for DBHDD Hospitals and Community Providers	Policy: 04-102
		Page 2 of 4

depending upon severity may be classified as either emergencies or disasters. Hurricanes, tornadoes, floods, droughts and earthquakes are usually classified as disasters.

Preparedness – activities that occur prior to an emergency or disaster to support and enhance response. Planning, training, exercising, and coordinating with other agencies, community awareness and education are among such activities.

Response – activities that address the immediate and short-term effects of an emergency or disaster. These activities help reduce casualties and damage and speed recovery. Response includes coordination and direction, communications and warning, evacuation and emergency support function responsibilities (crisis counseling).

Large providers – for the purpose of this policy, this term refers to agencies that contract with DBHDD for more than \$250,000 a year and DBHDD Hospitals

Small providers – for the purpose of this policy, this term refers to agencies that contract with DBHDD for less than \$250,000 a year

Local resources – Large providers' personnel and supplies

PROCEDURES

1. Planning for Safety and Care of Consumers: Responsibilities for Large and Small Providers

Large providers and State Hospitals meet the standards for emergency and disaster preparedness established by the national accreditation or certification they are required to maintain (for example: The Joint Commission and/or the Commission on Accreditation of Rehabilitation Facilities).

Small providers meet the requirements for emergency and disaster preparedness established by DBHDD and found in the Provider Manual under Standards for all Providers in order to receive provider certification.

Assisted living facilities, personal care homes, and nursing homes meet the standards of the Rules of Georgia Department of Human Resources Public Health Chapter 290-5-45 Disaster Preparedness Plans in order to receive a license and/or certification from the Department of Community Health (DCH) Healthcare Facility Regulation Division.

State of Georgia Behavioral Health Emergency Preparedness Planning Kits, located on the DBHDD web site at <http://dbhdd.georgia.gov/portal/site/DBHDD/> under Disaster Mental Health, may serve as a guide for the development of emergency plans. The kits contain instructions and worksheets that assist facilities with the following:

DBHDD	SUBJECT: Emergency Preparedness and Disaster Response – Basic Requirements for DBHDD Hospitals and Community Providers	Policy: 04-102
		Page 3 of 4

- Hazard Vulnerability Analysis
- Continuity of Operations Planning
- Surge Capacity Planning
- Personnel Planning for Continuity of Operations and Surge Capacity
- Other Response Capabilities (including Financial Resiliency)
- Planning for Support of the Community Response

2. Responding to Disaster Mental Health Needs in the Community: Responsibilities of Large Providers

A. Background information regarding the Georgia Emergency Operations Plan

The Georgia Emergency Operations Plan (GEOP), Emergency Support Function 8, Section III.D Crisis Counseling states that DBHDD will manage crisis counseling and mental health assistance in coordination with the American Red Cross (ARC), local religious organizations and private agencies and organizations. In the case of an airline accident, federal law designates the ARC as the coordinator of crisis counseling and mental health services. In this case, DBHDD coordinates with the ARC and renders assistance as requested. The GEOP is located on the Georgia Emergency Management Agency web site at <http://www.gema.state.ga.us>

B. Preparation

In addition to using the State of Georgia Behavioral Health Emergency Preparedness Planning Kits (located on the DBHDD web site at <http://dbhdd.georgia.gov/portal/site/DBHDD/> under Disaster Mental Health) to plan for the for the safety and care of consumers, large providers are encouraged to use the Planning for Support of the Community Response section of the kits to develop plans that assist in providing mental health services to the general population during times of disaster and emergency.

Each quarter, the DBHDD State Office Emergency Preparedness Coordinator requests from large providers an update of the provider's emergency contact information for use in the event of an emergency or disaster. This contact information includes office, home, cell/blackberry and/or pager numbers. This information will be made available to the Regional Coordinators, Regional Hospital Administrators and DBHDD State Office. Corresponding information for Regional Coordinators and Hospital Administrators will be made available to large providers.

Large providers will participate in community emergency and disaster planning by attending planning meetings and participating in drills and exercises with community partners (e.g. county emergency management agencies and Public Health Districts).

DBHDD	SUBJECT: Emergency Preparedness and Disaster Response – Basic Requirements for DBHDD Hospitals and Community Providers	Policy: 04-102
		Page 4 of 4

Employees of large providers are encouraged to attend training in Georgia Disaster Mental Health Field Response and/or American Red Cross Disaster Mental Health. The number of staff trained will be determined by the planning needs of each provider. These staff members also participate in the National Incident Management System training that is available on-line at the Federal Emergency Management Agency (FEMA) web site <http://www.fema.gov> under Training.

C. Response

Response to an event takes place on the local level.

Large providers will deploy local resources as available upon the request of a local authority (e.g. county emergency management agency) and/or the Regional Office.

If an event becomes too large for the local resources to handle, a request for additional resources is made by the large provider to the Regional Office that serves the area where the event occurred.

D. Federal Emergency Management Agency (FEMA) Crisis Counseling Assistance and Training Program (CCP)

In the case of a Presidentially declared disaster, the Regional Office contacts large providers who serve the counties included in the Presidential declaration.

Large providers serving the counties included in the Presidential declaration conduct a needs assessment and provide feedback to the Regional Office as to whether or not they feel they will be able to meet the disaster-related mental health needs of the community. **See Attachment A – Georgia Mental Health Disaster Response Crisis Counseling Program Grant Funding Opportunities (Sample).**

If the needs assessment determines that the large provider can not meet the disaster-related mental health needs of the community, a Federal Emergency Management Agency (FEMA) Crisis Counseling Assistance and Training Program (CCP) implemented. Information about the FEMA CCP is available on the Substance Abuse and Mental Health Services Administration Disaster Technical Assistance Center web site at <http://mentalhealth.samhsa.gov/dtac> under FEMA Crisis Counseling Program.

E. Reimbursement

Large providers maintain separate records of all expenses associated with disaster response. Details of managing reimbursement are coordinated by the State Office at the time of the emergency or disaster.

**Georgia Mental Health Disaster Response
Crisis Counseling Program Grant Funding Opportunities
Georgia Disaster:
FEMA-XXXX-DR, Georgia**

Presidential Declaration Effective Date:
Declaration Expanded:
Incident Type:
Date(s) of Incident Period:
Presidentially Declared Counties:
Counties Declared Eligible for Individual
Assistance that Qualify for crisis counseling:

FEMA Immediate Services Program (ISP) Grant
Immediate Response Period:
ISP
ISP Extension
CMHS Regular Services Program (RSP) Grant

Grant request is due within 14 calendar days of Presidential Declaration
Date of Incident to submission of ISP grant application (up to 14 days)
Up to 60-day grant beginning with Disaster Declaration date, based on needs assessment
An ISP Extension may be requested to allow for federal review of a RSP grant
Grant request is due within 60 calendar days of Disaster Declaration, and provides funding for
up to nine months, based on needs assessment

When a Presidentially declared disaster occurs involving Georgia, the Georgia Emergency Management Agency (GEMA) initiates emergency disaster response. GEMA receives funding through the Federal Emergency Management Agency (FEMA) to cover certain disaster recovery expenses. The Robert T. Stafford Disaster Relief and Emergency Services Act makes funding available immediately for disaster recovery, including a mental health response. GEMA submits allowable actual expenditures for reimbursement, based on state agency involvement and related requests for reimbursement. This same Act recognizes the need for a mental health response in disasters and provides Federal assistance through a crisis counseling program (CCP) grant opportunity. The Act recognizes that there may be limited mental health resources to adequately respond to the disaster and offers funding assistance for mental health disaster response. A State or Federally-recognized Indian Tribe may apply for a crisis counseling grant to assist those counties in Georgia that are declared eligible for Individual Assistance through the Presidential declaration. When a Presidentially declared disaster occurs, the Mental Health Preparedness Planner will coordinate mental health response activities through GEMA and the Regional Offices. The Mental Health Preparedness Planner will work with the Regional Offices to ensure that crisis counseling and outreach response is initiated and perform an assessment of mental health capacity and needs in the local area(s) to ensure an appropriate mental health response as well as to assess the need for an Immediate Services Program (ISP) CCP grant. The Regional Offices will coordinate the response with local provider(s). During the immediate response period which is the two weeks following the disaster incident, crisis counseling and outreach should be provided if deemed appropriate and providers should document expenditures, the nature of response activity and related numbers of person served (individual persons are not identified in response records). At the same time, a needs assessment will be conducted and a determination will be made as to whether the state should apply for a CCP grant. If so, the Mental Health Preparedness

Planner, in conjunction with local input, will develop an application which is due within 14 days of the disaster declaration. This is a lot of activity in a very short period of time, but it is also an important opportunity to provide for adequate funding for the disaster mental health response. The ISP covers the first 60 days, and possibly an additional month or so of service. To the extent further time is needed for an appropriate mental health response, State's may apply for a Regular Services Program (RSP) that could extend through the anniversary of the disaster. The ISP and RSP are two entirely separate grants that are funded by separate federal agencies thereby requiring a separate application and related budget for each. The Department of Behavioral Health and Developmental Disabilities (DBHDD) will coordinate development of the grant application(s), however, a lot of input is needed from the local areas. FEMA and SAMHSA require detailed budget requests supported by detailed narratives.

The ISP CCP is funded by FEMA under the authority of the Robert T. Stafford Disaster Relief and Emergency Services Act which authorizes FEMA to fund emergency mental health assistance and training activities immediately in disaster declared areas. On behalf of FEMA and through interagency agreement, the Center for Mental Health Services (CMHS) provides grant technical assistance, program guidance and oversight. Funding for an ISP grant is drawn down by the mental health agency through the Georgia Emergency Management Agency. For RSP grants, FEMA transfers funds to CMHS, so it is drawn down by the mental health agency through CMHS, SAMHSA through a Notice of Grant Award (NOGA). Therefore, the ISP and RSP are administered as two entirely separate grants. There are no state or local match requirements for the grants, but it is expected that in-kind resources will be made available to support the grant. Examples could include office space, equipment, telephone line, payroll function, meeting rooms, etc.

A crisis counseling grant is intended to provide outreach and referral services and short-term intervention counseling for mental health problems caused or aggravated by the disaster in instances where expenses for such cannot be met by insurance or other programs. An ISP grant, a 60-day program which begins on the date of the disaster declaration, may be requested for specific areas based on a needs assessment to cover the two reimbursable components of a CCP:

1. **Immediate Response Period:** Costs incurred to carry out outreach and crisis counseling services funded by the CCP may be reimbursed from the Date of Incident (DOI) through the date the ISP is applied for. **To the extent the state applies for an ISP grant, immediate disaster response costs may be covered through this grant in counties even though they may not pursue an ISP for their area.** For example, two counties may be hit very hard and will require an ISP and perhaps a RSP to meet crisis counseling needs. To the extent that the state applies for an ISP to cover these two counties, other disaster declared counties are eligible to recoup documented and allowable immediate response period costs. **A provider who incurs costs to provide crisis counseling response in the immediate response period may seek grant reimbursement for that period although their area may not choose to participate in the additional ISP period.** For grant application purposes, a broad estimate of expenses is needed. However, the grant award for this period is based on actual expenditures.
2. **Immediate Services Program Period:** Covers costs incurred to carry out outreach, crisis counseling, assessment and services to groups funded by the CCP through the remainder of the 60-day period. To the extent the state applies for a RSP grant, an ISP grant extension request may be required to allow time for federal approval of the RSP grant.

During the ISP grant period, the state and local agencies update the needs assessment and make a determination as to whether a RSP grant will be requested. A RSP grant, generally for 9-months or leading up to the disaster anniversary, may be requested for specific areas based on a needs assessment to continue outreach and crisis counseling services to help deal with mental health problems caused or aggravated by the disaster. The RSP grant application is due within 60 days of the disaster declaration. By way of an ISP grant extension if needed, the RSP grant immediately follows the ISP grant, without a break in service period.

Following a disaster event an immediate mental health response is expected. Additionally, an assessment of needs must be undertaken by the State and local mental health agencies. State and local resources must be considered first in order to meet the needs assessed. To the extent that existing resources cannot meet expected needs, the State may apply for an Immediate Services Program to provide crisis counseling services for those areas deemed eligible for Individual Assistance. Requested funds must supplement, not supplant, existing state or local resources. In the CCP, most programs rely heavily on newly hired staff or hourly staff with some involvement of existing State and local staff. On-going service needs generally preclude extensive use of existing staff in the CCP. Separate budgets for the immediate response period, ISP and RSP must be detailed and justified for each provider and costs should be consistent with the needs assessment. The State oversees the development of the grant applications and insures consistency among providers or areas.

Services Funded (excerpts from <http://www.mentalhealth.samhsa.gov>)

Disaster mental health interventions include outreach and education for disaster survivors, their families, local government, rescuers, disaster services workers, business owners, religious groups and other special populations. The CCP is primarily geared toward assisting individuals in coping with the extraordinary stress caused by the disaster. Programs are strongly encouraged to coordinate with other public and private agencies responding to the disaster to ensure that needs are met with the most effective use of existing resources. The CCP does not support long-term, formal mental health services such as medications, office-based therapy, diagnostic services, psychiatric treatment or substance abuse treatment. Services that are supported are short-term interventions with individuals and groups experiencing psychological reactions to a major disaster and its aftermath. Outreach is the primary method for delivering crisis counseling services to disaster survivors. It consists primarily of face-to-face contact with survivors in their natural environments in order to provide disaster-related crisis counseling services.

The following descriptions characterize services most frequently funded by the CCP:

- **Individual Crisis Counseling Services** assist disaster survivors in understanding their current situation and reactions, reviewing their options, addressing their emotional support and linking with other individuals and agencies that may be able to assist them. During individual services, crisis counselors are active listeners who provide emotional support.
- **Group Crisis Counseling Services** involves providing/facilitating support groups, meeting with citizens, working in classrooms with affected students, working with affected teachers and administrators after school, discussing disaster-related issues with families, assisting people in understanding their current situation and reactions, reviewing their options, addressing their emotional support and linking with other individuals and agencies who may provide assistance. Groups may be facilitated by a mental health professional, a paraprofessional or the group members themselves.

- **Education Services** include the distribution or presentation of information on the project or crisis counseling-related topics. Educational information may be provided through brochures, flyers posted in public areas, mailings and training to human service personnel such as the clergy or teachers. The media is often a partner in providing information through Public Service Announcements, newspaper articles and advertisements. Educational information may also be provided to groups of people. The key difference between group education services and group crisis counseling services is that project staff present psycho-educational information to groups rather than facilitate the sharing of experiences between members of the group.
- **Referrals** are a key component of the CCP. In most disasters, the majority of survivors have needs that can be met by short-term, relatively informal interventions. However, in some circumstances, some disaster survivors may need long-term, more formal mental health services that are beyond the scope of the CCP. Survivors requiring longer-term, more formal mental health treatment should be referred to an appropriate agency or licensed mental health professional. Some disaster recovery needs may be more physical, structural or economical in nature and addressing these issues is outside the scope of the CCP. In these instances, CCP staff perform a key role in referring survivors to specific disaster services available through FEMA Tele-registration, the American Red Cross, the Salvation Army, Interfaith Disaster Recovery Services and Unmet Need Committees.

CCP Reimbursable Cost Guidelines

Cost Type	Nature of Cost	Allowable Costs
Labor		Crisis counselors or outreach workers to provide direct services to disaster-impacted persons; their managers or supervisors and administrative or fiscal support staff equivalent time, given the additional considerations below. Agency/provider established fringe benefits rates should be followed, which may be different for hourly or temporary employment. Be mindful of compliance with FLSA requirements.
	Salaried staff	Only overtime labor costs are eligible for emergency mental health and outreach work. Applicable fringe benefits are allowable, and must be identified separately. An organization's pre-disaster policy on overtime work performed by salaried staff will determine whether or not overtime is reimbursable.
	Temporary staff, labor or hourly rate, hired or assigned to disaster response	Regular and overtime labor costs for temporary staff hired or assigned to perform disaster-related mental health and outreach work, including identified fringe benefits.
	Part-time labor/staff	Excess regular and overtime costs for part-time employees (only for hours worked over their normal work schedule), including identified fringe benefits – which may vary from permanent labor benefit costs
	Contract labor	Contract labor to perform disaster-related mental health and outreach work
Travel		Necessary mileage and related per diem required in response to disaster-related mental health and

		outreach work, in accordance with established agency reimbursement policies. No out-of-state travel is allowable.
Equipment	Rented/leased or purchased	Equipment used in response to disaster-related mental health work, amount claimed may be based on an internally-developed equipment usage rate depending on actual usage and may require deduction of salvage value
Materials and supplies	Inventory or Purchased	<ul style="list-style-type: none"> Organizations using an existing inventory of materials and supplies to assist in the mental health disaster response may be reimbursed for the reasonable cost of replenishing the inventory. Purchased materials and supplies used to assist in the mental health disaster response Can include copy paper, printer or copy cartridges, and basic office supplies associated with mental health and outreach response. Can also include supplies e.g. caps or shirts used to identify or associate with program. Budget can be estimated, reimbursement requests must be itemized. Unallowable costs include food and beverages, medications, disaster kits, stuffed animals, toys, etc.
Telephone		Can include telephone line charges, cell phones or pagers to help assure staff safety for CCP staff/equivalent, and conference call fees for CCP communications.
Media Advertising		<ul style="list-style-type: none"> Development and production of brochures, flyers, posters, television or radio spots to provide information about the CCP. Advertisements to recruit staff, publicize services available to disaster survivors, or educate the public concerning typical reactions to the disaster.
Postage		Postage or other delivery costs, such as overnight.
Miscellaneous		Other justifiable direct charged miscellaneous costs associated with the mental health and outreach response. Costs must be itemized.
Data collection		Costs associated with program activity data collection, evaluation and reporting, using the CCP toolkit, collecting and entering data into an Access database, and evaluating outreach and program activity and reach.
Hotline		24/7 mental health crisis response access line costs
Indirect Costs		Not allowable

PROVIDER INFORMATION

County(s) Services Provided in: _____

Provider Name: _____ EIN: _____

Provider Address: _____

Primary Contact Person Name: _____

Primary Contact Person Telephone No: _____

E-Mail Address: _____

Provider Level Budget Request

Provider Agency:	Immediate Response Period					Immediate Services Program					Total		
	Declaration - ISP Applic., 1st 14 days					Date of declaration up to 60 days							
Budget Category	Rate	No. Hours	No. Pos.	Type Pos.	Total Req. for Reimb	Rate	No. Hours	No. Pos.	No. Wks	Total for ISP	Total Grant Request	In-Kind	Program Cost
Personnel													
(Identify pos. by salaried, temporary, hourly, contracted)													
Fringe Benefit Rate Temp/Hrly													
Fringe Benefit Rate Salaried													
Total Personnel													
Consult/contracts/fees													
List each													
Office Space													
Supplies													
Office Supplies													
Computer Supplies													
Telephones													
Cellphones													
Pagers													
Postage, freight, delivery													
Fingerprint charges													
Background investigation chg.													
Other - describe													
Total Supplies													
Travel													
Mileage													
Lodging													
Per Diem													
Training													
Trainer Fee													
Trainer Travel													
Meeting Room Fee													
Audio Visual Fee													
Media, advertising, printing													
Describe each													
Hotline													
Data Entry and Evaluation													
Data Consultation													
Total Grant													



Chapter: Developmental Disabilities Community Services

Subject: Process for Enrolling, Matching, and Monitoring Host Homes for DBHDD Developmental Disabilities Community Service Providers

Applicability:

DD Provider Agencies with a contract or letter of agreement with DBHDD.

Effective Date: July 1, 2010

Scheduled Review Date: July 2011

Approved:

Beverly D. Rollins

Beverly D. Rollins, M.P.A., Executive Director
Division of Developmental Disabilities

References:

O.C.G.A. 37-1-20(18) and (19)

Attachments:

None

Date

6/29/10
Frank E. Shelp

Frank E. Shelp, M.D., M.P.H., Commissioner

6/29/10

Date

PROCESS FOR ENROLLING, MATCHING AND MONITORING HOST HOMES FOR DBHDD DEVELOPMENTAL DISABILITIES COMMUNITY SERVICE PROVIDERS

POLICY

It is the policy of the Department of Behavioral Health and Developmental Disabilities (DBHDD) to provide guidance to community providers in the process of enrolling, matching and monitoring of Host Homes.

DEFINITIONS

Host Home refers to a private residence in a residential area in which the occupant owner or lessee provides Community Residential Alternative services to one or two persons with developmental disabilities who are not related to the occupant owner or lessee by blood or marriage. A host home shall be occupied by the owner or lessee, who shall not be an employee of the same community provider, which provides the host home services by contract with the division. The division shall approve and enter into agreements with community providers which, in turn, contract with host homes. The occupant owner or lessee shall not be the guardian of any person served or of their property nor the agent in such person's advance directive for health care.

Community Residential Alternative (CRA) - Services which are targeted for individuals who require intense levels of residential supports in small group setting of four or less, foster homes, or host homes and include a range of interventions with particular focus on training and support in one or more of the following areas: eating and drinking, toileting,

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		Page 2 of 7

personal grooming and health care, dressing, communication, interpersonal relationship, mobility, home management and use of leisure time.

DBHDD- Department of Behavioral Health and Developmental Disabilities

DCH- Department of Community Health

Provider Agency- For the purposes of this policy, the term provider agency include organizations that provide developmental disabilities CRA services that are financially supported in whole or in part by funds authorized through DBHDD.

APPLICABILITY

This policy is applicable to Provider Agencies with a contract or letter of agreement with DBHDD.

I. PROCEDURE FOR ENROLLING HOST HOMES

1. Current and New DBHDD providers must meet the following requirements prior to enrolling Host Homes as a CRA service option:

- DBHDD provider must be a provider of DD Community Residential Alternative (CRA) services **AND**
- DBHDD provider must be in business for twelve (12) months delivering Developmental Disabilities (DD) Community Residential Alternative services **AND**
- DBHDD providers cannot enroll any Host Homes until the CRA service/site in the initial provider application have successfully achieved full accreditation and/or complete compliance with the Standards Compliance Review, for a minimum of six (6) months. Provisional status of any type will not be accepted.

2. DBHDD provider agencies are required to make a thorough evaluation of each prospective Host Home family/individual and document this evaluation in a Host Home study report. This shall be completed and/or updated as changes in the required home study information occur or when there is a vacancy to be filled.

Note:

- **Only one (1) DBHDD approved CRA provider agency may enroll and provide CRA services at any Host Home site.**
- **Host Home providers cannot be the owner of a Personal Care Home (PCH) or Community Living Arrangement (CLA).**

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3. Based on the Host Home study report and any supporting documents, the DBHDD provider agency shall notify the potential Host Home provider in writing as to whether or not the Host Home provider has been deemed appropriate to work with their organization.

4. Each Host Home must have a site specific Medicaid Provider (CRA) number assigned by the Department of Community Health (DCH) before placement of any person into that particular Host Home.

5. DBHDD provider agencies must submit the Host Home study, all supporting documentation, and Host Home provider's evidence of required competency-based training, along with the DBHDD and DCH application for a site specific number to DBHDD Office of Provider Network Management for review.

Supporting documents for the Host Home study include the following:

- A general health examination of each member living in the potential Host Home
- Evidence of screening for tuberculosis and communicable disease for each member living in the potential Host Home
- Criminal records check/clearance
- A minimum of three (3) character references
- Proof of homeowner's, renters insurance or personal property insurance
- Statement as to whether or not there are firearms in the home
- Documentation of home ownership (ex. current mortgage statement) or renter's lease. Document(s) must be in the name of the potential Host Home provider.
- The home study shall be completed, signed and dated by a designated employee of the agency or professional under contract with the agency and reviewed, signed and dated by the Agency Director or Developmental Disabilities Professional (DDP).
- Signed statement from potential Host Home provider indicating the receipt and review of the Host Home Policy and Procedures and the Policy for Enrolling, Matching and Monitoring Host Homes for DBHDD Community Providers.

The adult family member who shall have primary responsibility to the individual and for providing services to the individual shall have at least the following training **prior** to the DBHDD provider agency making application for a site specific Medicaid provider number:

- Person centered values, principles and approaches
- Human Rights and responsibilities
- Recognizing and Reporting Critical Incident
- Individual Service Plan
- Confidentiality of individual information, both written and spoken
- Fire Safety
- Emergency and disaster plans and procedures
- Techniques of standard precautions
- Basic cardiac life support (BCLS)

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- First aid and safety
- Medication Administration and Management/Supervision of Self-Medication

The DBHDD provider agency must submit evidence of the type of training, content, dates, length of training, and/or copies of certificates. A signed attestation between the agency and the potential host home provider, which indicates the receipt of trainings, must also be submitted.

(See Host Home Policy and Procedure for further reference)

6. Host Home applications must not be submitted for any location that is currently licensed as a PCH or CLA. Licensed PCH or CLA providers must relinquish their license prior to making application to become a Host Home. A Host Home study must be submitted, along with documentation of the surrender of the perspective license and the required trainings (by evidence of training certificate or signed attestation indicating receipt of training), to DBHDD Office of Provider Network Management.

II. PROCEDURE FOR MATCHING INDIVIDUAL AND HOST HOME PROVIDER

1. When an individual is identified for potential placement in a Host Home, provider agencies must forward a summary of the Host Home study report to Support Coordination or the Planning List Administrator. A summary of the Host Home study may include, but is not limited to: Address and access to local services, current living arrangement, names and ages of the family/individuals residing in the home, previous work history, education and religious affiliation, membership or participation in community organizations, DBHDD provider recommendations etc.

2. The Host Home study report must be reviewed by all stakeholders during the transition planning and/or Individual Service Plan (ISP) meeting to ensure an appropriate match between the individual and the Host Home provider.

3. DBHDD provider agencies shall discuss the prospective placement with the Host Home family/individual and shall prepare the family/individual for the placement of a particular person with developmental disabilities by anticipating the adjustments and problems that may arise during placement and provide any specialized training and support.

4. The DBHDD provider agency must submit the following information to the Division of Developmental Disabilities:

- A. Administrative Cost and Payment to Host Home Provider The following are requirements for administrative costs of the CRA provider agency and the agency's payment to the Host Home provider:
- A detailed budget on the administrative costs of the DBHDD provider agency and the agency's payment to the Host Home provider for each individual

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served in each home must be submitted to the Division of DD for review by October 1, 2010.

- The budget and payment to the Host Home provider for each individual in each Host Home enrolled by the DBHDD provider agency must support the amount of payment to the Host Home provider that allows for the provision of the CRA services specified in the ISP of the individual and ensures the health and safety of the individual in the Host Home arrangement.
- The budget and agreed payment of the Host Home provider must also be submitted to the Division of DD prior to any individual moving into a Host Home, whenever there is an enhancement or decrease in the individual's residential allocation and on an annual basis (by June 1st). Host Home providers of individuals with exceptional rates receive a higher payment based on enhanced services provided by the Host Home provider.
- Each individual's budget submitted to the Division of DD must include, but is not limited to the individual's name and Medicaid number, address and contact information of the Host Home.

B. Personal Spending/Possessions Safeguards and Room and Board Charges.

Provider agencies must comply with Division of DD, Policy for Personal Funds/Possessions Safeguards and Room and Board Charges for DD Services. Standard Room and Board Contract **must** be signed by the provider agency and Host Home provider and submitted to the Division of DD by October 1, 2010 and annually (June 1st) thereafter, whenever there is a permanent change of a Host Home provider serving the individual or prior to any individual moving into the home.

III. PROCEDURE FOR MONITORING HOST HOMES

1. DBHDD provider agencies shall ensure compliance with the Host Home Policy and Procedures, DCH COMP Waiver and current Fiscal Year (FY) DBHDD Provider Manual.
2. DBHDD provider agency shall complete an initial Site Inspection of each Host Home the agency has approved to operate. The Support Coordinator or DBHDD Regional Office designee will conduct a follow-up site inspection.
3. Support Coordinator and/or the Planning List Administrator will conduct home visits, at least on a monthly basis, to monitor the person's progress in the specific Host Home and to ensure that the Host Home is delivering the supports in accordance with the individual's ISP.
4. DBHDD provider agency will conduct home visits at least monthly, in order to verify that the Host Home is delivering care, room and watchful oversight in a safe and healthy environment. The DBHDD provider agency should evaluate and document the following during each visit:
 - Available services, supports, care and treatment. This includes, but is not limited to the service needs addressed in the ISP.

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- Human and Civil Rights are maintained.
- Oversight of Self-Administering of Medication Administration (if applicable) or that the administering of medication follows federal and state laws, rules and regulations.
- Person Centered Focus is Evident in Documentation.
- Information and documentation management is protected, secure, organized and confidential.
- The host home environment demonstrates respect for the individual(s) served and is appropriate to the supports provided. This includes, but is not limited to, the physical environment, review of disaster and fire safety plan, required training, community inclusion, personal funds, vehicle transportation requirement.

See current DBHDD FY Provider Manual, Part II, Section I, Standards for All Providers for further reference.

This evaluation shall be shared with the Host Home family/individual and made available for review by the Support Coordinator or DBHDD staff as evidenced by the signature of the Host Home family/individual and the DBHDD provider agency. A copy of each monthly visit and written summary of correction made shall be kept in the Host Home.

5. The DBHDD provider agency will complete a self-assessment of the home on an annual basis. The annual assessment should include, but is not limited to, items identified in #4 above. A copy of the agency's self-assessment results and a written summary of corrections made shall be kept in the home for at least one (1) calendar year.

6. DBHDD Regional Offices and designated staff from the Division of DD will provide technical assistance to DBHDD provider agencies enrolling host homes.

7. The Division of DD will conduct quarterly Quality Assurance reviews of provider agencies contracting host homes. Reviews may include, but are not limited to, Support Coordinator ratings of 3's and 4's. Based on these reviews, the Division of DD will recommend and/or implement the following, which includes, but is not limited to, the movement of the individuals from the host home, full standards compliance review, and/or moratorium on the enrollment of host homes for a specific DBHDD provider agency.

TERMINATION OF CONTRACT BETWEEN THE HOST HOME AND CRA PROVIDER AGENCY

A. When a Host Home provider no longer wants to provide services to the individual and/or wants to end its subcontract with the DBHDD provider agency, they must give at least thirty (30) days written notice to:

- The individual(s) served
- The DBHDD provider agency under contract

B. When a Host Home provider initiates termination and end its subcontract with the provider agency, the following applies:

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- The Host Home provider must relinquish CRA service provision for the individual(s) supported to the contracted DBHDD provider agency and assist the DBHDD provider agency with the movement of the individual(s).
- The Host Home provider must not serve the same individuals they previously served when contracting with another DBHDD provider agency.

C. The Host Home provider will be expected to continue working for thirty (30) days unless otherwise determined by the DBHDD provider agency or DBHDD.

D. If an emergency occurs and services must be terminated immediately, the Host Home provider must give immediate notice to all parties listed in Section A above.

E. The DBHDD provider must submit both DBHDD and DCH Change of Information forms to DBHDD Office of Provider Network Management to deactivate the Host Home provider number.

TRANSFERRANCE OF A HOST HOME(S)


The DBHDD provider agency and Host Home provider must cooperate as requested by DBHDD to effectuate the smooth and reasonable transition of the care and services for individuals as directed by DBHDD. This includes, but is not limited to, the transfer of the individual records, personal belongings, and funds of all individuals as directed by DBHDD.

DBHDD reserves the right under all Host Home agreements to transfer a Host Home to another DBHDD provider agency on the following grounds:

- DBHDD termination of the contract/letter of agreement, or agreement with the DBHDD provider agency.
- DBHDD provider agency termination of the contract/letter of agreement.

In either case above, the Host Home provider must be in agreement to contract with another DBHDD provider agency if they want to serve the same individual(s).

Prior approval for the transfer of the Host Home to an alternative DBHDD provider agency must be given by the designated DBHDD, Regional Coordinator.

	<p align="center">Department of Human Resources Online Directives Information System</p>	<p align="center">Index: Revised: Review:</p>	<p align="center">PRO1244 02/01/2005 02/01/2011</p>
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SUBJECT: External Entities Audit Standards

PROCEDURE

Entities that contract with the Department must meet certain financial reporting requirements. These requirements are defined in: the Single Audit Act Amendment of 1996; OMB Circular A-133; Contract Provisions; DHR Policy; and [Title 50, Chapter 20, Sections 1](#) through [8](#) of the Official Code of Georgia Annotated. The requirements vary according to the dollar amount expended by the entity during its accounting year. The Office of Audits and the DHR Programmatic Division have certain responsibilities that are delineated below. Several words and phrases are used in these procedures that may have meaning that is special to these procedures. These words and phrases are defined below.

The address for the DHR Office of Audits is:

DHR Office of Audits
Two Peachtree Street, NW
Suite 26.425
Atlanta, Georgia 30303-3142

The address for the State Department of Audits is:

State Department of Audits and Accounts
Professional Practices Division - Suite 214
254 Washington Street SW
Atlanta, Georgia 30334-8400

1. Definitions

Budget Category: A numbering system used for budget and accounting purposes that corresponds to a specific program name. Numbers reduce chances of confusion with similar program names.

Contractor's Fiscal Year: The 12-month accounting period established by the entity as its business year, which is on file with the U.S. Internal Revenue Service as the basis for filing required tax and Tax Exempt Status Returns.

Entity: An organization receiving funds from DHR exclusive of DHR field offices.

Expense Category: A numbering system corresponding to a list of specific services within a Budget Category, where the amount of funds used to pay for the service are recorded for accounting purposes.

Independent Auditor:

- A Certified Public Accountant (CPA); or
- A Registered Public Accountant (RPA) licensed on or before December 31, 1970; or
- A government Auditor located outside the staff or line management function of the unit under audit.

To be independent, the auditor's relationships with the auditee is of such an "arm's length" nature so as to preclude any **appearance** of bias, or any obligation to or interest in the auditee, its management or its owners. Relationships or combinations of relationships with the auditee must not create any conflict of interest that impairs the auditor's integrity and objectivity with respect to the audit engagement. It is inappropriate in some circumstances for auditors to perform both audit and non-audit services for the same client.

Major Program: A federally funded program determined by the auditor to be a major program in accordance with OMB circular A-133, Section_.520 or a program defined as a major program by a federal agency or pass-through entity in accordance with Section_.215(c).

Nonprofit Organization: Any corporation, trust, association, cooperative, or other organization that is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; is not organized primarily for profit; and uses its net proceeds to maintain, improve, or expand its operations.

Program: A grouping of activities and resources to accomplish a mission with specific goals and objectives. Some programs have names, some have numbers, and some have both. Usually programs are budgeted by number for ease of tracking and to reduce potential confusion. Budget categories can and are considered to be programs. Federal programs are considered to be those activities that are or can be assigned a single number in the Catalog of Federal Domestic Assistance (CFDA). When no CFDA number is assigned, all federal awards from the same agency made for the same purpose are to be combined and considered one program. Throughout this procedure, the term "program" refers either to a named activity or an activity that is numbered.

Public Entity: Includes, but is not limited to: state and local governments and their instrumentalities; authorities; county Boards of Health; Community Service Boards; and District Attorneys (judicial circuits) operating Child Support Enforcement programs through contracts with DHR.

Schedule of State Awards Expended: A schedule arranged by state program name and contract number that reflects revenues, expenditures, or expenses and amounts owed to and due from each state organization. Amounts listed for each program should include federal funds that pass through state organizations to the entity.

2. Requirements Prior to Contract

Prior to executing a contract between the DHR and a non-profit organization, the organization furnishes a previous year's audit. If the entity has been in existence for less than a year, then they furnish unaudited financial statements. If no audit or unaudited financial statements are on record with DHR, the following procedure is followed:

- The contracting division or Office of DHR requests such audit or financial statements as part of its negotiation or solicitation process.
- The entity furnishes an audit report (or unaudited financial statements, if appropriate) to the DHR Office of Financial Services, Contract Section, as a part of its contract package.

-When it is received, the financial information is forwarded to the Office of Audits for a compliance review. The Division of Mental Health, Mental Retardation, and Substance Abuses' Regional Boards submit requested financial audits and statements directly to the Office of Audits for compliance review.

-The Office of Audits reviews the information and determines compliance with [O.C.G.A. Section 50-20-1](#) through [50-20-8](#), as amended, 1998 Legislative Session.

-The Office of Audits notifies the Contracts Section of the Office of Financial Services or the Regional Board of the results of its review. For instances of non-compliance with requirements, the omitted items are specified.

3. Requirements of Contractors

The financial reporting requirements vary depending on the amount of state and/or federal funds expended by the entity during its fiscal year.

3.1. Entities expending \$500,000 or more in federal funds

All entities expending \$500,000 or more in federal funds during their fiscal year comply with: the provisions of the Single Audit Act Amendments of 1996 and their implementing regulation - OMB Circular A-133; with contract provisions; and with DHR Policy. Non-profit organizations also comply with the provisions of the O.C.G.A. Annotated, Section 50-20-1 through 50-20-8, as amended, 1998 Legislative Session. Audits of nonprofit organizations also include a "Schedule of State Awards Expended."

These entities obtain a single entity-wide audit of their financial records performed by an independent auditor. The audit covers all financial activities for the fiscal year and is conducted in accordance with Generally Accepted Government Auditing Standards issued by the Comptroller General of the United States.

Audits for public entities include, for those contracts that were completed during the audit period, a "Statement of Revenues and Expenditures Compared to Budget," presented by program name or contract name and number. This statement is presented by contract name and number for the entire contract period. Audits of public entities also include a "Schedule of State Awards Expended."

The entity files two copies of the independent auditor's report with the Director, DHR Office of Audits, within 180 days after the end of the organization's fiscal year. Additionally, private nonprofit organizations submit one copy of the report to the State Department of Audits and Accounts within the same time period. If an extension of the time period is desired, the State Department of Audits (for private nonprofit entities) or the DHR Office of Audits (for public entities) may waive the requirement for completion if a request is made that shows good cause. The waiver is for an additional period of not more than 90 days, and no such waiver is granted for more than two successive years to the same entity. A plan of corrective action for all deficiencies disclosed in the audit report is submitted with the audit report.

3.2. Entities expending \$100,000 or more in state funds

All entities expending \$100,000 or more in state funds during their fiscal year comply with contract provisions and DHR policy. Nonprofit organizations also comply with the provisions of the O.C.G.A. Annotated, Section 50-20-1 through 50-20-8, as amended, 1998 Legislative Session. Audits of nonprofit organizations also include a "Schedule of State Awards Expended."

These entities obtain an entity-wide audit of their financial records performed by an independent auditor. The audit is conducted in accordance with Generally Accepted Auditing Standards issued by the American Institute of Certified Public Accountants and the financial statements are prepared in accordance with generally accepted accounting principles. Audits for public entities include, for those contracts that were completed during the audit period, a "Statement of Revenues and Expenditures Compared to Budget," presented by program name or contract name and number. This statement is presented by contract name and number for the entire contract period. Audits of public entities also include a "Schedule of State Awards Expended."

The entity files two copies of the independent auditor's report with the Director, DHR Office of Audits, within 180 days after the end of the organization's fiscal year. Additionally, private nonprofit organizations submit one copy of the report to the State Department of Audits and Accounts within the same time period. If an extension of the time period is desired, the State Department of Audits (for private nonprofit entities) or the DHR Office of Audits (for public entities) may waive the requirement for completion if a request is made that shows good cause. The waiver is for an additional period of not more than 90 days, and no such waiver is granted for more than two successive years to the same entity. A plan of corrective action for all deficiencies disclosed in the audit report is submitted with the audit report.

3.3. Entities expending between \$25,000 and \$100,000 in state funds

All entities expending at least \$25,000 but less than \$100,000 in state funds during their fiscal year comply with contract provisions and DHR policy by submitting audited or unaudited financial statements. Nonprofit organizations are also required to comply with the provisions of the O.C.G.A. Annotated, Section 50-20-1- through 50-20-8, as amended, 1998 Legislative Session. Audits or financial statements of nonprofit organizations also include a "Schedule of State Awards Expended."

Financial statements that have been audited include the auditor's report on the financial statements. Audits for public entities include, for those contracts that were completed during the audit period, a "Statement of Revenues and Expenditures Compared to Budget," presented by program name or contract name and number. This statement is presented by contract name and number for the entire contract period. Audits or financial statements of public entities also include a "Schedule of State Awards Expended."

Financial statements that have not been audited include a statement from the president or other responsible official of the organization which states that:

- The financial statements are presented in accordance with generally accepted accounting principles and, if not, the basis used for their presentation;
- The financial statements are prepared on a basis consistent with that of the preceding year, and if not, the respects in which they differ from the preceding year;
- The financial statements of public entities include for those contracts that were completed during the audit period, a "Statement of Revenues and Expenditures Compared to Budget," presented by program name or contract name and number. This statement is presented by contract name and number for the entire contract period. The financial statements of public entities also include a "Schedule of State Awards Expended."

The entity files two copies of the audit or financial statements with the Director, DHR Office of Audits, within 180 days after the end of the organization's fiscal year. Additionally, private nonprofit organizations submit one copy of the report to the State Department of Audits and Accounts within the same time period. If an extension of the time period is desired, the State Department of Audits (for private nonprofit entities) or the DHR Office of Audits (for public entities) may waive the requirement for completion if a request is made that shows good cause. The waiver is for an additional period of not more than 90 days, and no such waiver is granted for more than two successive years to the same entity. A plan of corrective action for all deficiencies disclosed in the audit report is submitted with the audit report.

4. Role of the DHR Office of Audits

The DHR office of Audits:

- Requests the required audit or financial statements, management reports, memoranda and internal documents from those entities that have failed to provide them;
- Reviews the audit reports for financial settlement amounts, questioned costs, and findings and recommendations;
- Communicates the dollar amounts of financial settlements to the DHR Office of Financial Services for settlement;
- Requests corrective action plans to preclude recurrence of findings from those entities that have failed to provide them;
- Forwards one copy of the audit report or financial statements to the programmatic Division(s) or Office(s); and
- Notifies the appropriate DHR programmatic Division(s) or Offices(s) of those entities which have not complied with the filing requirements of this policy as well as the DHR Office of Financial Services that will impose the appropriate sanctions.

5. Role of the Programmatic Division(s) or Office(s)

The programmatic Division(s) or Office(s):

- Insures that appropriate programmatic corrective actions are implemented when required by an audit report;
- Reviews audits for compliance with programmatic performance goals;
- Enforces corrective action on repeat findings; and
- Approves or disapproves budget and spending variances.

A. History

Replaces Department of Human Resources Administrative Policy and Procedures Manual, Part V. A. 4., "Auditing/Reporting/Sanctions for Nonprofit Organizations Required by the Governor's Executive Order Dated May 27, 1997", effective July 1, 1997, and Part V. A. 5., "Standards for Audits Purchased by DHR Agencies and Local Entities as Required by the Single Audit Act Amendments of 1996", effective July 1, 1997.

B. Proponency

Office of Audits

[BACK TO POL 1244](#)



I Legal References

O.C.G.A. § 50-14-1, et seq. and O.C.G.A. § 50-18-70, et seq.

The Open Records and Open Meetings Acts are often referred to as Georgia's "Sunshine Laws." Recent legislation adopted by the Georgia General Assembly has expanded significantly the laws governing the conduct of meetings by governmental and certain private entities and streamlined the public's access to records maintained by these entities. It is incumbent on all those conducting business on behalf of the state to become familiar with these laws, and to see that they are complied with strictly and fully. Below is an overview of these laws.

II Open Meetings

The Open Meetings Act applies to the governing body of an "agency" or its committees in the conduct of its business. The law allows citizens an opportunity to monitor local officials and certain private concerns under contract for state funded services to insure fairness and openness in the conduct of its affairs. An "agency", according to the statute, can take many forms and typically includes all state departments, agencies, boards and commissions, and authorities and those entities' counterparts at the county, municipal and local level. Of particular significance is the recent adoption of legislation that includes certain nonprofit organizations among those that now must comply with the Open Meetings Act. However, the nonprofit organization must receive a direct allocation of tax funds from a governing authority in excess of 33 ⅓ of its total allocation in order for the requirements of the Act to apply.

A. Meetings Covered by Act

According to O.C.G.A. § 50-14-1(a)(2), a meeting that must be open is one in which there is a gathering of a quorum of members of an agency at a designated time and place, pursuant to notice, during which any public matter, official business or policy is discussed or presented. This applies equally to any standing or special committees within the organization as well. If there is not a quorum of either the agency or a committee, then the law does not apply. There are also several exceptions to the Act:

1. The Act authorizes "an agency with statewide jurisdiction" to conduct business meetings via teleconference, but this would not be applicable to most agencies under the act.
2. The gathering of a quorum of a board or committee to inspect a facility within its jurisdiction.
3. Meeting with the board or committee of another agency as long as conducted outside the agencies' jurisdiction and where no final action is taken.



4. Meetings of the medical or administrative staff, advisory committees that may not act on behalf of the board, social gatherings where business is not discussed or action taken.

B. Examples of matters excluded from the Act

1. Staff meetings held for investigative purposes as required by law
2. Real estate acquisitions
3. Personnel matters
4. Commercially valuable plans, proposals
5. Peer review
6. Attorney – Client privilege
7. Meetings when discussing any records that are exempt from public inspection or disclosure pursuant to law.

Because of the legislative intent that the business of the various agencies be open to all, and with few exceptions, meetings closed to the public must be done in strict compliance with the law. **If in doubt as to the legality of closing a meeting, legal counsel should be consulted.**

C. Procedural Requirements

1. Notice – Time, place and dates of meetings must be made known to the public at least 24 hours in advance. Generally, the posting of the time and date at the place where meetings are regularly held is sufficient. However, where meeting locales move about, other means, such as placing a notice in the areas' legal organ, may be required. The statute covers most contingencies regarding notice and should be consulted if in doubt.
2. Agenda – Any time within two weeks of the scheduled meeting, an agenda must be made available to the public outlining all matters expected to come up at the meeting. The agenda shall be posted at the meeting sight and made available upon request by third parties. An item not listed on the agenda, however, may still be considered and acted upon.
3. Records – After an open meeting has concluded, a summary of the matters acted upon and the members present must be prepared and made available for public inspection within two business days of the meeting. Minutes of the meeting, however, must eventually be prepared and ready for



distribution no later than immediately following the next regular meeting of the board or committee. These minutes must contain, at a minimum, names of the members present, a description of every motion or proposal made and a record of all votes. Minutes of closed or “executive sessions” need not be kept as long proper procedures have been followed.

4. Closed meetings – Whenever a meeting is closed to the public, the proper procedure must be carefully followed. A motion to close the meeting must be made, members must vote, and the reasons for the closure stated and recorded. The record used to memorialize a closed meeting is an affidavit, filed by the presiding officer, and stating that provision of the law which allows for the session to be closed to the public. Minutes of the closed session may or may not be maintained but if so, filed separately from the public portion and need not be distributed publicly.

D. Penalties

Any official action taken during a meeting not in compliance with this statute is not binding. Any such challenge to the conduct of a meeting and the resulting action taken must be commenced within 90 days of the contested action. Any person who knowingly and willfully participates in a meeting in violation of the Open Meetings Act is guilty of a misdemeanor and may be fined in an amount up to \$500.00. However, any person that knowingly and willfully files a false affidavit pursuant to the closed meeting procedure, is guilty of false swearing, and may be fined up to \$1,000 or imprisonment from 1 to 5 years.

III Open Records

O.C.G.A. §50-18-70 (a) defines “public records” as all documents, papers, letters, maps, books, tapes, photographs computer based or generated information, etc., maintained or received in the course of business of a public office or agency. More recently, “public records” also include records maintained by a private person or entity on behalf of a public office or agency. This means, for example, that records in the sole possession of private entities or individuals relating to work on or behalf of any state agency are subject to the Open Records Act.

A. Right to Access and to Make Copies

All public records, except those excluded by law, must be open for personal inspection and copying by any citizen at a reasonable time and



place. The person making the request does not have to demonstrate a personal or special interest in the record(s) requested.

1. Responding to requests – Typically, a request for records goes to the agencies' custodian of records or an agency designee. Upon receipt of a request, it must first be determined if the records requested are accessible under the act. If so, the record must be available for inspection and copying by the requestor within three business days of the request. If the information requested comes within the ambit of the Act, but is not available within the three days, the agency must notify the requestor of the documents unavailability and provide a timetable for eventual inspection and copying.
2. Costs - The costs for copying may not exceed .25¢ per page. DHR's current copy charge is **.25¢** per page. Also, an agency may charge for retrieval and other administrative costs. An hourly charge for administrative costs may not exceed the salary of the lowest paid full-time employee capable of performing the task. Information maintained by computer is accessible.

B. When public disclosure not required (O.C.G.A. § 50-18-72)

Public disclosure shall not be required for the following records

1. Records specifically required by the federal government to be kept confidential.
2. Medical or veterinary records and similar files.
3. Records prepared for law enforcement purposes to the extent such records may contain confidential identifying information, the disclosure of which may jeopardize the safety of an individual or investigation.
4. Records of law enforcement, prosecution or other regulatory agencies compiled in the course of an investigation.
4.1 Individual Georgia Uniform Motor Vehicle Reports (numerous exceptions).
5. Records of a confidential nature regarding a public official appointment or hiring or investigative information regarding same.
6. Real estate appraisals made for a state or local agency.




7. Records that would reveal the identity of one under consideration for appointment to an agency head (information may be released under certain conditions).
8. Certain records related to staff services of members of the General Assembly.
9. Records donated for historical purposes where the owner places restrictions to access.
10. Records maintained by the Department of Natural Resources (DNR) designating certain locations to be of historic value (to avoid possible harm to the property).
11. Records maintained by DNR identifying rare plants, animals, etc. to avoid possible harm or destruction.
 - 11.1 An individual's social security number and insurance or medical information in personnel records may be redacted from such records.
12. Public records that would disclose an "electronic signature".
13. Records that would reveal the home address phone number, social security number or medical information of, among others, law enforcement employees, judges, correctional employees and prosecutors.

Furthermore, the Open Records Act shall not apply to trade secrets, proprietary information, Attorney-Client privilege, confidential tax matters, computer software and programs, personnel records (narrowly construed, see 11.1 above) and records relating to pending administrative proceedings. **This list of exceptions and non-applicability of the Act to certain records cannot substitute for a thorough reading of the Act itself and consultation with legal counsel when in doubt about the Act's applicability to a request for documents.**

C. Penalty (O.C.G.A. § 50-18-74 (a))

Any person knowingly and willfully violating the provisions of this article by failing or refusing to provide access to records not subject to exemption...or failing to provide access to such records within the time limits set forth...shall be guilty of a misdemeanor and upon conviction shall be punished by a fine not to exceed \$100.00.

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities & Addictive Diseases	DHR Online Directive Information System (ODIS) Directive # 6203-102 <div style="text-align: right;">Page 1 of 3</div>
DHR ODIS Policy: Array of Community Behavioral Health Services Subject: DHR DMHDDAD Guiding Principles Regarding Serving those with Co-Occurring Behavioral Health Disorders and Developmental Disabilities	
Applicability: All DMHDDAD	Effective Date: October 1, 2008 Scheduled Review Date: October 2010
References: Not Applicable	Approved: 
Attachments: Attachment A – Best Practices for Mental Health Assessment of Persons with Developmental Disabilities	Gwendolyn B. Skinner, Director Division of MHDDAD <u>9/11/08</u> Date

DHR DMHDDAD GUIDING PRINCIPLES REGARDING SERVING THOSE WITH CO-OCCURRING BEHAVIORAL HEALTH DISORDERS AND DEVELOPMENTAL DISABILITIES

Purpose

The design, delivery, and evaluation of Georgia's MHDDAD system must be fully responsive to adults and youth with co-occurring behavioral health disorders and developmental disabilities (DD). People with intellectual disabilities and/or other developmental disabilities experience the full range of psychiatric disorders at rates higher than the general population. Based on national estimates a minimum of 7% - 20% of individuals with developmental disabilities will experience concurrent mental illness. Behavioral health disorders are misdiagnosed, under-diagnosed, or undiagnosed in this population. Children and adults with multiple disabilities often require services simultaneously delivered by different service providers and systems. Complex needs require organizations to work collaboratively to develop and coordinate services and supports in the community.

Policy Statement

The publicly funded MHDDAD system in Georgia aspires to be highly responsive to the multiple and complex needs of persons and families experiencing co-occurring behavioral health disorders and developmental disabilities, in all levels of care, across all system providers, throughout all phases of services.

Definition

Behavioral Health Disorders – For the purpose of this policy, the term Behavioral Health Disorder is used to describe a health condition in which an individual is diagnosed with serious mental illness, or is dually diagnosed with serious mental illness and addictive disease.

Guiding Principles and Expectations

- Individuals with developmental disabilities can benefit from mental health services.

DIVISION OF MHDDAD	SUBJECT: DHR DMHDDAD Guiding Principles Regarding Serving those with Co-Occurring Behavioral Health Disorders and Developmental Disabilities	DHR ODIS NO: 6203-102
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- If a person has a diagnosis that qualifies for mental health services, the presence of any other diagnosis, including intellectual disability, does not exclude that individual from receiving mental health services. Intellectual level in and of itself does not qualify or disqualify a person if a particular diagnosis is adequate to justify the need for mental health services.
- Coordinated treatment and support should be the standard for individuals with more than one disability who are served by the MHDDAD system.
- When an individual has needs which can not be appropriately met by a single disability service, it is incumbent upon those in the MHDDAD system to make sure that other needed disability services are identified and accessed.
- Concurrent enrollment in developmental disability services does not prohibit access to mental health services.
- Concurrent enrollment in behavioral health services does not prohibit access to developmental disability services.
- The individual must meet the criteria for the specific service(s) being provided. This requires clinically defining the person's needs, wishes, and their ability (with reasonable accommodations) to benefit from the specific service(s).
- The issue of "which came first?" is not relevant. Phrases such as "primary diagnosis" should not be used in determining service delivery to persons with mental illness and developmental disabilities.
- Providers of behavioral health services may not exclude individuals from receiving their services based on the fact that an individual has a developmental disability. Providers of DD services may not exclude individuals from receiving DD services simply based on the fact that the individual has a behavioral health diagnosis or is prescribed psychotropic medications.
- Proper Assessment is essential in order to address the needs of individuals who have a developmental disability and a behavioral health need. For guidance regarding assessment, see ***Attachment A – Best Practices for Mental Health Assessment of Persons with Developmental Disabilities***.

While endorsing these guiding principles and expectations regarding co-occurring behavioral health disorders and developmental disabilities, the Division of Mental Health, Developmental Disabilities & Addictive Diseases also recognizes the difficult balance involved in addressing the needs of individuals given current constraints related to:

- Funding,
- Workforce development challenges, and
- The gap between current practice and state of the art evidence-based practices.

Therefore, the Division has identified best practices standards that Georgia aspires to achieve as our MHDDAD system improves services and supports provided for those with co-occurring behavioral health disorders and developmental disabilities. These best practice standards include the following:

DIVISION OF MHDDAD	SUBJECT: DHR DMHDDAD Guiding Principles Regarding Serving those with Co-Occurring Behavioral Health Disorders and Developmental Disabilities	DHR ODIS NO: 6203-102
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- Individuals with developmental disabilities are afforded access to a behavior support plan in order to address challenging behaviors, reduce the risk of over-medicating, and achieve a meaningful life in the community.
- Individuals with developmental disabilities receive mental health services from staff that are specifically trained and experienced in working with developmental disabilities. Staff working in developmental disability settings who serve individuals with co-occurring behavioral health disorders are knowledgeable about behavioral health. Integrated treatment approaches are recommended.
- Providers at the local level are strongly encouraged to develop collaborative agreements with providers of the other disability services.
- Multi-dimensional assessment and treatment approaches include consideration of biological, psychological, social, and developmental factors.

Best practices for Mental Health Assessment of Persons with Developmental Disabilities

Diagnostic Manual – Intellectual Disability: <i>A Textbook of Diagnosis of Mental Disorders in Persons with Intellectual Disability</i> (www.thenadd.org)	Ohio Department of Mental Health – Report and Recommendations: <i>Clinical Best Practices for Serving People with Developmental Disabilities and Mental Illness</i> (http://www.mh.state.oh.us/medicaldiv/documents/mimr02282002.pdf)	Summary
<p>Multiple sources of information or adaptations to the assessment procedures are needed to assist in the evaluation process. Use information from family and direct support professionals, acquire historical information from third-party sources in addition to self reports, and maintain an open and skeptical attitude with constant reevaluation of the working diagnosis. "Clinical uncertainty" is a priority in providing good care to individuals with intellectual disorders.</p>	<p>Assessment should be comprehensive, thorough, and interdisciplinary. The greater the number of informed individuals contributing their observations, the more complete the picture of the individual.</p>	<p>Gather historical and current information from multiple sources and settings. Maintain "constant skepticism" .</p>
<p>Because clinicians customarily talk rapidly and use complex language in long sentences, clinicians can put individuals with intellectual disabilities at a disadvantage during the interview. Clinicians can make the following adjustments:</p> <ul style="list-style-type: none"> • Use simple words • Short sentences • Ask one question at a time • Wait for an answer before asking the next question • Check back to confirm that they understood the questions • Avoid asking leading questions • Limit yes or no questions <p>These adaptations take extra time and organizational factors may limit time available for screening and examinations.</p>	<p>Diagnostic assessment with this population requires more time than is typically allotted because the clinical interview with the individual alone is not diagnostic.</p>	<p>Increase interview time allotment, allowing as much time as necessary to conduct an accurate assessment/evaluation.</p>
<p>Evaluation must be done in the context of the developmental delay and intellectual impairment.</p>	<p>Accurate diagnosis and effective care and treatment require knowledge of the context in which a person has experienced the world and also how they relate in their current environment.</p>	<p>Factor in the individual's limitations. An individual's level of functioning will dramatically affect the assessment interview.</p>
<p>The clinician should consider the presenting problem as part of a constellation of changes in the individual's functioning.</p>	<p>The assessment is to be holistic and include the individuals emotional, psychological, physical, social and other (e.g. educational, vocational, etc.) state at present, and is not just to catalog problem areas</p>	<p>Assessment takes into consideration all aspects of the individual's situation and life experiences.</p>
<p>Psychosocial stressors might be the cause of behavioral or emotional reactions that are mistaken for serious mental disorders .</p>	<p>Immediate circumstances may exist that need to be addressed simultaneously to the assessment. Examples are behaviors that threaten safety or placements.</p>	<p>Assessment takes in to account the psychosocial stressors of the individual, their family, and support professionals prior to the onset of the complaint/presenting problem.</p>

Best practices for Mental Health Assessment of Persons with Developmental Disabilities

Diagnostic Manual – Intellectual Disability: <i>A Textbook of Diagnosis of Mental Disorders in Persons with Intellectual Disability</i> (www.thenadd.org)	Ohio Department of Mental Health – Report and Recommendations: <i>Clinical Best Practices for Serving People with Developmental Disabilities and Mental Illness</i> (http://www.mh.state.oh.us/medicaldiv/documents/mimr02282002.pdf)	Summary
<p>Medical problems are often the source of the chief complaint for the mental health interview for an individual with intellectual disability, in contrast to the typical interview for intellectually normal individuals (who can understand that they have a medical condition that could be associated with a mental disorder, such as chronic pain leading to Depressive Disorder). . . . It is therefore, extremely important that the clinician consider medical or physical causes, make every effort to get complete information, and conduct a baseline medical assessment.</p>	<p>A thorough physical examination is a critical part of the assessment and additional psycho-neurological assessments may be necessary. Symptoms associated with mental illness also could be caused by a medical problem or medications. Eliminate the possibility that the symptoms have medical cause prior to looking for mental illness.</p>	<p>Accurate and comprehensive medical history information and complete physical examination is necessary for proper assessment/evaluation.</p>
<p>Continued monitoring and re-evaluation is required to note progress and identify changing needs.</p>	<p>The assessment and diagnosis is ongoing and must continue after an initial evaluation is completed. The assessment must be concurrent with treatment.</p>	<p>Continuous re-assessment of the diagnosis and monitoring of the individual's progress is essential.</p>
<p>If the individual has not had a cognitive assessment within a reasonable number of years, a new assessment will be helpful to the diagnostic formulation. . . . Formal psychological tests can be helpful when the diagnosis is uncertain Instrumentation refers to the use of rating scales that either are administered to a third party or are encompassed in a self report instrument administered to the individual.</p>	<p>Several psychological screening/assessment instruments may also be helpful as part of the diagnostic assessment process.</p>	<p>If appropriate, administer standardized psychological assessments, testing, and instrumentation.</p>
	<p>Clinicians conducting assessments must recognize that various mental illnesses can manifest differently across the levels of intellectual disability.</p>	<p>People with intellectual disabilities are a diverse group and it can not be assumed that a single diagnosis or treatment is appropriate for the entire population.</p>
	<p>Clinicians doing diagnostic, assessment, and treatment planning need specialized education, supervision, and training in the MH aspects of DD and need to be available to provide technical assistance on an ongoing basis to people providing services to the individual.</p>	<p>Proper training and supervision of clinicians and support professionals is essential.</p>
	<p>Risk assessment may be necessary, in addition to diagnostic assessment. . . . Risk assessment and crisis planning should occur simultaneously with diagnostic assessment and treatment....as a collaborative effort with the individual's treatment team.</p>	<p>Include risk assessment and crisis planning in the assessment/evaluation.</p>

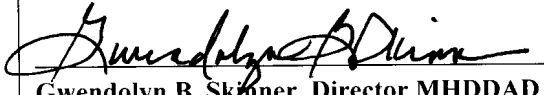
Best practices for Mental Health Assessment of Persons with Developmental Disabilities

Diagnostic Manual – Intellectual Disability: <i>A Textbook of Diagnosis of Mental Disorders in Persons with Intellectual Disability</i> (www.thenadd.org)	Ohio Department of Mental Health – Report and Recommendations: <i>Clinical Best Practices for Serving People with Developmental Disabilities and Mental Illness</i> (http://www.mh.state.oh.us/medicaldiv/documents/mimr02282002.pdf)	Summary
	Agencies should not just “make do” with what they have. Get suggestions, technical assistance, and direction to needed resources.	Seek and utilize technical assistance and outside resources.
	In vivo observation must occur at home, work, school, hospital, etc.	When possible, observe the individual in the environment in which the behavior is taking place.
	This comprehensive assessment process must include the review of clinical records, in vivo behavioral observation, and interviews with multiple informants who know the individual and his/her level of functioning	Assessment/Evaluation of the individuals is thorough, ongoing, comprehensive, and interdisciplinary.

References:

Hurley, A. D., Levitas, A., Lecavalier, L., & Pary, R.J. (2007). Assessment and Diagnostic Procedures. In Fletcher, R., Loschen, E., Stavrakaki, C., & First, M. (Eds.) *Diagnostic Manual - Intellectual Disability: A textbook of Diagnosis of Mental Disorders in Person with Intellectual Disability* (pp. 11 - 31). New York: National Association of the Dually Diagnosed Press.

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Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities and Addictive Diseases	DMHDDAD POLICY NO: 6203-101 DHR ODIS No. 6203-101 Page 1 of 2
Applicability: • All MHDDAD	REFERENCE: Not applicable
SUBJECT: DHR DMHDDAD Guiding Principles Regarding Co-Occurring Disorders	Effective date: March 1, 2008 Scheduled Review Date: March 1, 2010 APPROVED:
Attachments: None	 Gwendolyn B. Skinner, Director MHDDAD

DHR DMHDDAD GUIDING PRINCIPLES REGARDING CO-OCCURRING DISORDERS

Purpose

Research has shown that for individuals with both psychiatric symptoms and addiction issues, mental health and substance abuse treatment provided together, in tandem, is far more effective than either of these provided separately or in the absence of the other. The design, delivery, and evaluation of Georgia's behavioral health system must be fully responsive to adults and adolescents with co-occurring mental health and substance abuse disorders.

Policy Statement

The publically funded behavioral healthcare system in Georgia aspires to be highly responsive to the multiple and complex needs of persons and families experiencing co-occurring mental health and addictive diseases disorders, in all levels of care, across all system providers, throughout all phases of the recovery process.

Guiding Principles

- It is the expectation (not the exception) that people in our behavioral healthcare system experience co-occurring disorders.
- When psychiatric and substance abuse disorders co-exist, both are considered "primary".
- Adults with co-occurring mental health and substance abuse disorders have the potential to achieve recovery in both domains of mental health and substance abuse. Youth and their families with serious emotional disturbances and substance use have the ability to improve functioning and develop increased resiliency.
- Services must be available and accessible without regard to which program/service arena (mental health or addictive diseases) the person first entered our behavioral health system.
- Integrated treatment and support (screening, assessment, planning, and treatment) must be accomplished by preserving and capitalizing on the values, philosophies, and core technologies of both the mental health and addiction treatment fields.
- Integrated treatment is a means of coordinating interventions aimed at both substance use and mental health symptoms. Integrated services must appear seamless to the individual participating in services. It is preferable if the interventions are done by one clinician, but when necessary it can be accomplished by two or more clinicians working together within one program or a network of services.

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- Effective intervention programs incorporate, either implicitly or explicitly, the concept of stages of treatment. Services must be available and accessible to an individual regardless of level of motivation, stage of change, and phase of the recovery process.
- Effective co-occurring services are those that engage individuals and their support systems by providing assertive outreach.
- Effective co-occurring services take a long-term, community-based perspective that includes rehabilitation activities to prevent relapse and enhance gains made in treatment.
- Recovery support (including self-help, mutual support, peer-delivered and peer-run services) and family education and support are important components of a co-occurring enhanced system of behavioral healthcare.
- Services for individuals with co-occurring mental health and substance abuse disorders are provided in a culturally competent manner.
- The Georgia behavioral health system offers training on best practices, evidence-based techniques and protocols, striving to identify and support new, emerging or promising practices.
- The service system strives to improve services, system infrastructure, and opportunities for workforce development, in order to support integrated services for co-occurring disorders.



Chapter: Developmental Disabilities Community Services

Subject: Human Rights Council for Developmental Disabilities Services

Applicability: Providers of Developmental Disabilities Services

Effective Date: July 1, 2010

Scheduled Review Date: July 2011

Approved:

References:

DBHDD Rules and Regulations:

Client Rights

Patient Rights

DBHDD Policies and Procedures

 6/24/10

Beverly D. Rollins, M.P.A.

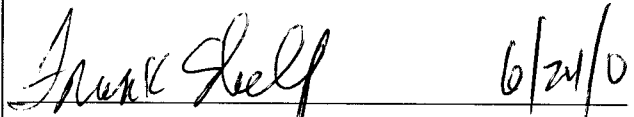
Date

Executive Director

Division of Developmental Disabilities

Attachments:

None

 6/24/10

Frank E. Shelp, M.D., M.P.H.

Date

Commissioner

HUMAN RIGHTS COUNCIL FOR DEVELOPMENTAL DISABILITIES SERVICES

I. PURPOSE

The purpose of this policy is to ensure the protection of health and human rights of persons with developmental disabilities served through the Division of Developmental Disabilities (DD), Department of Behavioral Health and Developmental Disabilities (DBHDD).

The Human Rights Council, as an advisory and review body, shall determine whether the human rights of an individual receiving developmental disability (DD) services are protected by reviewing the following concerns/issues:

- allegations of or suspected individual rights violations;
- behavioral support plans referred by a Behavioral Program Review Committee (BPRC) which are designed to reduce challenging behaviors;
- individual support plans related to individuals being prescribed five (5) or more psychotropic drugs; and
- all requests for participation of individuals receiving DD services in experimental research to ensure adherence to the practices of DBHDD.

Service providers must follow all DBHDD policies, standards and guidelines related to health and human rights, including but not limited to:

- rights suspension
- restrictive procedures
- psychotropic medication
- allegations of mistreatment
- abuse
- neglect

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- exploitation
- experimental research

The Human Rights Council policy exists to ensure practices of DBHDD service providers follow DBHDD Rules & Regulations, DBHDD Policies & Procedures, and Provider Standards regarding the following topics:

DBHDD Rules and Regulations related to:

- Client Rights
- Patient Rights

DBHDD Policies and Procedures related to:

- Informed consent for psychotropic medication
- Protection of human subjects
- Complaints and grievances
- HIPAA privacy rules
- DBHDD Provider Manual Community Service Standards

II. POLICY STATEMENT

It is a policy of the Department of Behavioral Health and Developmental Disabilities, Division of Developmental Disabilities (DD) to ensure that an individual with developmental disabilities, their representatives/guardians, or agencies involved with the delivery of that individual's services may file and have reviewed human rights issues through a Regional Human Rights Council (HRC). Each Region will have a minimum of two councils. Human Rights Councils meet as often as necessary, but at least quarterly, with findings/resolutions provided in writing.

III. DEFINITIONS

- A. **Behavioral Program Review Committee (BPRC)** – A committee comprised of regional or agency personnel who have the highest level of expertise in applied behavioral analysis (ABA) behavioral supports services within a region or for one or more provider agencies. The primary function is to evaluate the technical adequacy of all behavioral supports interventions and to make recommendations for improvement.
- B. **Behavior Plan Subcommittee (BPS)** - A subcommittee of the HRC that reviews all Behavior Support Plans after the plans have been reviewed by the Behavior Program Review Committee (BPRC). The Behavior Plan Subcommittee reviews the plan to make sure it is not in violation of the individual's Human Rights, and then the plan is returned to the Behavior Program Review Committee for final authorization.
- C. **Challenging Behaviors** – Behaviors that are defined as problematic or maladaptive by others noticing the behavior or by the person displaying the behavior. What is determined a challenging behavior can vary depending on what is accepted by the individual, community or by society.

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- D. **Human Rights Coordinator** - DBHDD employee responsible for ensuring the provision of technical assistance, guidance, and training for the Human Rights Committee (HRC).
- E. **Human Rights Council (HRC)** – An advisory and review body comprised of local community members who provide independent oversight as a regional intermediary structure in matters related to the health and rights of citizens with developmental disabilities who reside in the state of Georgia. ***No spouse, sibling, child, contractor, employee, board member of a provider and/or employee of DBHDD shall serve as a member of the HRC.***
- F. **Interdisciplinary Team (IDT)** – The people who create/write an individual’s Individual Service Plan (ISP) to include but not limited to: Individual receiving support, Parent/Guardian, Support Coordinator, Direct Support Worker, Provider, Advocate, Therapist, Clinicians, Physicians, and Friends.
- G. **Individual with Developmental Disability** – Person in the community who is eligible for developmental disability services either through a DD waiver or state funded services.
- H. **Provider** – For the purposes of this policy, the term “provider” or “service provider” includes organizations that provide DD services that are financially supported in whole or in part by funds authorized through DBHDD.
- I. **Provider Support Staff** – Provider staff responsible for implementing recommendations from the HRC
- J. **Psychotropic Medication** - Those medications categorized as antipsychotic, anti-manic, antidepressant, anti-anxiety, and anti-obsessive drugs as well as other medications employed as treatment of psychiatric disorders. This does not include medications typically prescribed for extra-pyramidal side effects.
- K. **Regional Office** – An office of the Department of Behavioral Health and Developmental Disabilities, created pursuant to The Official Code of Georgia Annotated (O.C.G.A.); such office shall serve as the entity for the administration of behavioral health, addictive disease, and developmental disability services in a region.

IV. PROCEDURES

The broad role of the HRC is to assist individuals with developmental disabilities to promote their health and human rights by addressing concerns of possible rights violations or restrictions.

Service providers must follow all health and human rights related policy and guidelines including, but not limited to, the rights suspension, restrictive procedures, psychotropic medication, allegations of mistreatment, abuse, neglect, or exploitation, and experimental research. No person shall be retaliated against or be denied services for presenting an issue to a regional HRC.

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Any person who considers filing with the HRC is encouraged to resolve the matter informally by discussing it first with the staff members or other persons involved or Service Provider's Clients' Rights staff as specified in the Service Provider's Program's Quality Improvement Plan.

The individual receiving DD services is not required to use the procedures established by this Policy or Client's Rights Rules and Regulations in lieu of other available remedies, including the right to directly submit a written complaint to the Regional Director, or Deputy Director of the Division of Developmental Disabilities (the Division), or Governor's Advisory Council as provided in O.C.G.A. Chapter 37-2-4.

In addition, the HRC provides recommendations concerning overall health and human rights related practices. The Division Office, Regional Offices, support coordinators, providers and/or persons with developmental disabilities, representatives, guardians, individuals, associations, or agencies involved with the delivery or receipt of disability services shall refer cases for review to the HRC in the manner prescribed in these procedures.

The Division's Human Rights Coordinator is responsible for ensuring the provision of technical assistance, guidance, and training for the Human Rights Committee (HRC). The Human Rights Coordinator maintains the following information:

- current HRC membership lists
- current calendar year's regularly scheduled meetings, and
- copies of meeting minutes.

The coordinator must be made aware of all emergency HRC meetings via e-mail. Information flow between the Human Rights Councils and applicable parties outside of the HRC may be coordinated by the Human Rights Coordinator to ensure timely receipt of information by the HRC.

Human Rights Council Membership:

Each HRC is comprised of an odd number of members of no less than seven (7) persons and no more than nine (9) persons. One or more community volunteers from each category of the following categories listed below may serve on an HRC however, representatives from the first four categories are required:

- a. Medical Professional (one of the following required)
 1. Physician
 2. Registered Nurse (RN)
- b. Pharmacist (required)
- c. Self Advocate (required)
- d. Parent and /or Guardian (required)
- e. Law Professional/Enforcement (one of the following required)

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1. Lawyer (Relevant field to DD services)
 2. Law Officer
 3. Paralegal
- f. Business leader or Faith Community leader
- g. Educator active in the classroom and/ or administration
1. School Teacher (Relevant field to DD services)
 2. College Professor (Relevant field to DD services)
- h. Advocacy Professional
1. Paid ARC staff member
 2. Paid DD advocacy organization staff member

There may be no more than two individuals from any one category on the HRC at any time to provide a balance of perspectives. Should an HRC need expert consultation that a member of the HRC is not qualified to provide, the Human Rights Coordinator must be contacted immediately. The Human Rights Coordinator will then inform the appropriate state level official and aid in obtaining expertise.

Each HRC also has a Behavior Plan Subcommittee (BPS) comprised of a minimum of three persons to maximum of five persons (must be an odd number) to review the Behavioral Support Plans. The BPS is comprised of members on the HRC, one of which must be from the following categories: Self Advocate, Parent or Guardian, or Advocacy Professional.

Additional Human Rights Council Membership Requirements

- a. No contractor, employee or Board of Directors member of a Provider, Support Coordinator or employee of DBHDD may be a voting member. The Division of Developmental Disabilities staff will ensure orientation and training regarding duties and responsibilities to the members of the HRC.
- b. Members serve a maximum of three consecutive (3) years. Initially members should be appointed to staggered terms to ensure continuity across years.
- c. HRC members, agency administrators, family members, Division or Regional staff and persons receiving services may nominate members for the HRC. Prospective members complete an application and submit resume and/or a brief statement describing their qualifications and/or interest in serving on the council. All HRC members are unpaid. If funds are available self advocates/parent or guardian members may receive a stipend for travel.
- d. All decisions of the HRC and the BPS are made by a quorum. A quorum is comprised of one half of the HRC membership plus one additional member. Final decisions are reached through majority vote of the quorum. A vote may be cast via telephone/conference call if so needed.

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- e. HRC members review nominations and vote to select by a quorum those members they feel are most qualified and committed to serve. The HRC Chair and Secretary make the final decision regarding the nominated candidate. If the nomination is accepted, the HRC Chair extends a formal invitation to the candidate and if accepted, the new member is oriented in regards to the HRC responsibilities. This orientation is coordinated with the Human Rights Coordinator to ensure that new members receive all required training.
- f. Former provider staff or former support coordinators may be nominated to serve after they have been disassociated from DBHDD service provider or support coordinator agency for a period of two (2) years and only if they have left the agency in good standing. No current employee or Board Member/ Director of DBHDD, DBHDD contractor, a DBHDD provider or a support coordination agency may be an HRC member. A HRC member must immediately forfeit their seat on the HRC upon the acceptance of an offer of employment with DBHDD or its affiliates.

Responsibilities of Human Rights Council Members

1. The HRC shall elect a Chairperson and Secretary. The Chairperson and Secretary shall serve a one (1) year term. The Chair's responsibilities shall include facilitating the scheduled HRC meetings.
2. Members must analyze the HRC packets prior to the review date, attend quarterly meetings, and make themselves available for rare emergency meetings. If an individual does not actively participate in the activities of the HRC by missing more than two (2) consecutive meetings, quarterly council meetings and emergency meetings, the Chairperson or Human Rights Coordinator notifies the member that their appointment is under review and may be rescinded.
3. The HRC shall convene a minimum of once per quarter up to once per month as designated by the HRC Chairperson and as determined by a council quorum. The standard for active membership is not to miss 2 consecutive meetings, quarterly council meetings and/or emergency meetings.
4. In the event that an emergency meeting is needed, the Chairperson may schedule a HRC meeting with 7 business days notice to committee members.
5. In the event that a consultant serves on the HRC, they shall not vote on issues that may present a conflict of interest, nor shall they vote on situations in which they have provided consultation.
6. In the event that an HRC member is guardian for an individual presented to HRC for review, he/she shall not be a voting member during such case.
7. Regional Office, service provider, support coordinator employees or contractors may serve as participants upon invitation and as a resource to the HRC, but not as voting members of the HRC.

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8. Each HRC member is required to sign a statement which obligates him/her to maintain the confidentiality of the individuals, programs, providers and other matters discussed or read about in course of carrying out HRC duties.
9. The current HRC membership list, current calendar year's regularly scheduled meeting schedule, and copy of meeting minutes must be kept current with the Division of Developmental Disabilities, Human Rights Coordinator. The Human Rights Coordinator must be made aware of all emergency meetings via e-mail.

Training and Guiding Principles for Human Rights Council

1. The Division of Developmental Disabilities is responsible for ensuring adequate training and guidance to the HRC members.
2. The Division's Human Rights Coordinator is responsible for ensuring the provision of direct training from appropriate DBHDD staff and/ or contractors and ensuring adequate guidance to HRC members.
3. Prior to voting on HRC issues, all HRC members must receive training on:
 - human and civil rights for persons with intellectual and developmental disabilities
 - the roles and responsibilities of the HRC human rights
 - use of psychotropic drugs in the treatment of persons with developmental disabilities
 - protections and safeguards when experimental research is proposed confidentiality, including HIPAA compliance
 - statutory and regulatory requirements,
 - agency policies and procedures, and
 - behavioral support plan review for all HRC members

Council Review Duties and Decision Making

The Human Rights Council, as an advisory and review body, shall determine whether an individual receiving DD services human rights persons' human rights are protected by reviewing concerns/issues submitted by persons with developmental disabilities, representatives, guardians, individuals, associations, or agencies involved with the delivery or receipt of disability services regarding health and human rights issues.

A. Issues Submitted to the HRC

1. All rights complaints shall be filed with the service provider per Client's Rights Rules and Regulations. The HRC first verify that the complaint has been filed with the Client's Rights Subcommittee or its equivalent. In accordance with DBHDD complaint and grievance policy.
2. The provider support staff is to submit to the HRC members any information discovered in investigation of the complaint seven (7) working days before the scheduled HRC meeting. Information shall

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include, but not be limited to: copy of the complaint, if applicable, resolution from the provider's investigation of complaint (see below); personal interview notes, and documents for review, correspondence and proper release of information.

3. The investigation of complaint, as outlined in Clients' Rights, 290-4-9-.04, should include contact information for the Interdisciplinary Team (IDT).
4. Each service provider shall prepare the necessary documents meeting the required criteria as identified by Client's Rights Rules and Regulations, of any issues needing HRC review.
5. Council members will review materials submitted for HRC review and determine if it does or does not meet the HRC standards for approval for issues specific to rights suspension, restrictive procedures, psychotropic medication, allegations of mistreatment, abuse, neglect, or exploitation, and experimental research.
6. From time to time, HRCs may request additional information from parties involved with specific issues submitted to the HRC. When such a request is made, the Human Rights Coordinator will expect a response to the request within seven (7) working days. If requested information is not received within that time, the Human Rights Coordinator will make the determination if there is sufficient information to continue the review and may contact the party responsible concerning the delay in receipt of information.

B. Issues Submitted to the Human Rights Council by the Division of Developmental Disabilities

The Division of Developmental Disabilities may submit a human rights incident to the HRC. The Division of Developmental Disabilities shall submit pertinent information related to the complaint filed including but not limited to applicable data reports, documents for review, correspondence and proper release of information.

Council members review materials submitted for HRC review and determine if it does or does not meet the HRC standards for approval for issues specific to rights suspension, restrictive procedures, medication or other practices used for modifying behavior, allegations of mistreatment, abuse, neglect, or exploitation, and/or experimental research.

C. Review of Behavioral Support Plans

The Human Rights Council shall delegate to its Behavior Plan Subcommittee (BPS) the review of plans that are designed to reduce challenging behaviors.

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1. The Behavior Program Review Committee (BPRC) submits to the HRC, all behavior support plans at least seven (7) working days before the scheduled HRC meeting.
2. The HRC delegates responsibility for review of behavior support plans to the BPS, who determines if each behavior support plan does or does not meet its standards for approval for issues specific to rights suspension, restrictive procedures, psychotropic medication, allegations of mistreatment, abuse, neglect, or exploitation, and/or experimental research. The BPS review plans within 30 days of submission.
3. The BPS submits its findings to the Chairperson of the HRC. The Chairperson and Human Rights Coordinator signs off on all approved behavior support plans. The Human Rights Coordinator returns all plans to the BPRC as “approved” or “needs revision” with suggested revisions included.

D. Psychotropic Drug Use

The Human Rights Council must also review all of the following actions: (a) medication initiation and/or changes involving the use of five or more psychotropic drugs and (b) requests for individuals receiving DD services to participate in experimental research.

1. HRC are to review all initiation of and changes in use of five or more psychotropic medications.
2. When possible, the review should occur prior to the implementation of such procedures.
3. The provider support staff shall submit to the HRC all relevant documentation, such as a current behavioral support plan, regarding initiation of and/or changes in the use of five or more psychotropic medication; this documentation is submitted seven (7) working days before the scheduled HRC meeting.
4. In the event that a physician is not available for specific review of the medication documentation, the Human Rights Coordinator shall assist in finding a physician from another region to consult with the HRC for the purposes of this medication-related review.

E. Experimental Research and the Protection of Human Subjects

In the event that the HRC is made aware of complaints regarding Experimental Research and the Protection of Human Subjects, the HRC will immediately notify the applicable regulatory bodies as detailed in the Institutional Review Board (IRB) policies applicable for DBHDD. The Department of Behavioral Health and Developmental Disabilities (DBHDD) utilizes the Department of Community Health (DCH) Institutional Review Board (IRB) to ensure protection of human subjects. Policies and procedures regarding the protection of human subjects and operation of

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the IRB are developed and maintained by DCH. Therefore, the DCH Protection of Human Subjects policy and procedures constitute the DBHDD directive on this topic.

F. Referred Cases Found not to Directly Impact Human Rights

If the case does not fall into the purview of HRC standards for review, the HRC will document its resolution in writing and give notice to the party who submitted the complaint / issue and include information for appeal the process to the Division of Developmental Disabilities, Human Rights Coordinator.

G. Case Review and Final Recommendations

1. All HRC activities shall remain confidential in order to ensure the following:
 - that internal quality improvement investigations and monitoring activities are completed fully and in an in-depth manner;
 - to encourage candid evaluations;
 - and that adequate corrective action is taken in all cases, review actions are taken and documentation is completed in furtherance of Clients Rights Rules and Regulations.
2. Any recommendations made by the HRC are communicated to the Human Rights Coordinator, Provider Director and the complainant by the HRC in writing within five (5) business days following the HRC meeting.
3. The recommendations of the HRC shall be recorded on a case specific information form that shall be signed by the eligible council members present for that review at the time of case hearing. Dissenting opinion(s) will be documented on the same form. Within ten (10) workdays' copies of the form shall be disseminated to the individual (s) involved, Provider, Regional Office, the Division of Developmental Disabilities Human Rights Coordinator, and Support Coordination Agency. The original report of the recommendations shall be kept in the HRC records at the provider agency and copies shall be distributed to the HRC Coordinator.
4. Recommendations include a timeframe for HRC ongoing review to be set at the discretion of the council in intervals of week(s), month(s), or annually.
5. The Regional HRC Chair person shall designate a council member to be responsible for providing support to the council chairperson. This support is to include the following:
 - a. Scheduling of meetings
 - b. Notification of council members, Division of Developmental Disabilities staff, Regional Office staff, the service provider staff, and support coordination agency of meeting dates and times
 - c. Recording and dissemination of meeting minutes including recommendations of the HRC on the Minute/Data Collection Form. Follow-up to HRC recommendations will be noted.

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H. Appeals Process

When an individual with developmental disabilities, their representatives/guardians, or agencies involved with the delivery of that individual's services is dissatisfied with a resolution proposed by the HRC, an appeal may be filed with the DBHDD Division of Developmental Disabilities Executive Director or designee. In such situations, the Division Executive Director or designee will contact the HRC to request copies of all materials relevant to the complaint or grievance. The Division Executive Director or designee's review of the appeal shall be completed within 10 business days of receipt of the appeal and all relevant materials. The Division Executive Director or designee provides a final resolution for the Human Rights issue. A copy of the resolution shall be forwarded to all applicable parties and a copy of the final resolution shall remain on file with the Human Rights Coordinator.

V. General Provisions

No person shall be subject to any form of discipline or reprisal solely because he or she has sought a remedy through or participated in the procedures established by Client's Rights Rules and Regulations and this policy.


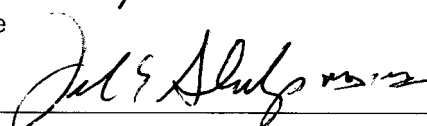
Obstruction of the investigation or disposition of a complaint by any person shall be reported. Staff members are subject to adverse action for engaging in such obstruction, in accordance with personnel policies of DBHDD or the personnel policies of the provider agency.

Time limits designated in this policy and those of the Client's Rights Rules and Regulations may be extended at each step by the HRC chairperson for good cause.

To successfully implement this policy's procedures regarding review of psychotropic drug use for individuals who are receiving five or more psychotropics prior to this plan's implementation, the HRC will utilize a tiered approach that begins with review of individuals at higher risk (as reflected by the fact that they are prescribed a larger number of medications).

VI. Notification of Rights

In accordance to the Client's Rights Rules and Regulations, each Provider shall display a notice in a prominent place of the availability and accessibility of these regulations at each appropriate service site.

Georgia Department of Behavioral Health and Developmental Disabilities		Policy # 01-102	Page 1 of 4
Chapter: Behavioral Health Community Services Subject: Independent Peer Review for Addictive Diseases Providers			
Applicability: Community Addictive Diseases Providers		Effective Date: August 25, 2009 Scheduled Review Date: August 2011 Approved:	
References: Federal Substance Abuse Prevention and Treatment Block Grant, Goal #15		 Onaje Salim, LPC, Director Division of Addictive Diseases	
Attachments: Attachment A – Independent Peer Review Form Attachment B – Bill for Services Rendered Template – Notification Letter Template		8/3/09 Date  Frank Shelp, M.D., M.P.H., Commissioner 8/3/09 Date	

INDEPENDENT PEER REVIEW FOR ADDICTIVE DISEASES PROVIDERS

POLICY

The purpose of the Independent Peer Review is to improve the effectiveness of Georgia's substance abuse services. This is accomplished by using professional peers to review the clinical and administrative practices of programs by identifying innovations and best clinical practices. As staff members from different programs meet, observe, and review program practices, a natural sharing of information takes place. The opportunity for professionals from different programs to discuss best practices is the most advantageous aspect of the peer review process. This information is summarized in a yearly report created by the Division of Addictive Diseases.

DEFINITIONS

For the purposes of this policy, "**Quality**" is defined as the provision of treatment services within the constraints of technology resources, and patient/consumer circumstances that meet accepted standards and practices which improve patient/consumer health and safety status in the context of recovery. "**Appropriateness**" is defined as the provision of treatment services consistent with the patient/consumer identified clinical needs and level of functioning.

SELECTION OF COMMUNITY ADDICTIVE DISEASES PROVIDERS AND PEER REVIEWERS FOR THE INDEPENDENT PEER REVIEW

The Federal Substance Abuse Prevention and Treatment Block Grant Regulations require the State to provide independent peer review. These regulations require that five percent (5%) of all programs receiving funding be reviewed annually by professional peers to assess the quality and appropriateness of their treatment services. The Division of Addictive Diseases selects a treatment modality to be reviewed and randomly chooses a representative sample of programs of community addictive disease providers delivering the determined level of care within a specific region of the state. Programs chosen for review are selected from a comprehensive list generated by DBHDD and certified by the Director of Provider Network Management.

DBHDD	SUBJECT: Independent Peer Review for Addictive Diseases Providers	POLICY NO: 01-102
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Independent peer reviewers are identified and selected by the Division of Addictive Diseases to carry out the peer review process. The Division of Addictive Diseases Director contracts a consultant to coordinate the efforts of independent peer reviewers who are informally contracted by the Division of Addictive Diseases to examine: admission criteria/intake process, assessment; treatment planning, including appropriate referral; documentation of treatment services provided; discharge and continuing care planning; and indications of treatment outcomes. The regulations require that independent peer reviewers cannot review their own programs or programs for which they have administrative oversight and the review must be separate from any funding decisions and not part of any licensing/certification process.

QUALIFICATIONS OF A PEER REVIEWER

Peer reviewers are individuals with expertise in the field of alcohol and drug abuse treatment and knowledgeable of the various disciplines utilized by the program being reviewed. Peer reviewers are knowledgeable about the modality being reviewed and its underlying theoretical approach to addiction and must be sensitive to the cultural and environmental issues that may influence the quality of the services provided.

GENERAL INFORMATION ABOUT INDEPENDENT PEER REVIEWS

Independent Peer Reviewers use a number of methods to gather information on programs and the services they provide. Methods used are:

- Tours of the facility
- Interviews with agency staff performing various functions in the modality reviewing
- Review of clinical forms used in the clinical records
- Observation of admission/intake processes
- Review of consumer satisfaction surveys or interview consumers
- Review of open and closed consumer records

A clinical review of the program is required by the Federal regulations. The clinical review is broken into six sections. Sections 7-10 include consumer satisfaction surveys, and an administrative review:

- | | |
|------------------|---|
| Section 1 | Determine if the admission/intake process respects the dignity of the consumers. |
| Section 2 | Determine if the assessment process identifies the need for care, the appropriate level of care and forms the basis for a treatment plan. |
| Section 3 | Determine if the treatment plan provides a flexible guide for helping consumers get better. |
| Section 4 | Determine if the documentation demonstrates the delivery of appropriate treatment services to meet the consumer's needs in a timely manner. |
| Section 5 | Determine if the discharge plan supports the consumer's recovery. |
| Section 6 | Determine the program's policies, procedures and practices regarding treatment outcome. |
| Section 7 | Determine consumer satisfaction with the program. |

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- Section 8** Administrative Review.
- Section 9** Reviewer's summary of Peer Review Process.
- Section 10** Provider's Assessment of the Independent Peer Review Process.

PROCEDURES

Prior to the commencement of the review, a notification letter (**see Notification Letter Template**) is sent to the peer reviewer to confirm their participation in the review process and establish due dates. Applicable documentation, materials, and/or information relevant to the review are also submitted to the reviewer as soon as possible. The Director of the Division of Addictive Diseases and/or consultant is responsible for discussing the expectations of the review and preparing the peer reviewers for proper completion of the review.

Each peer reviewer completes the following:

1. Contact the program to be reviewed to:
 - a. Discuss the review agenda and arrange a mutually convenient date. Once the date has been set, the reviewer informs the Division of Addictive Diseases and the program being reviewed in writing the date the review is scheduled.
 - b. Ask the program being reviewed if there are any specific areas they would like to focus on during the review.
 - c. Coordinate with the program being reviewed to have available documentation that is needed for the review process. Some of this material may be provided to the reviewer prior to the review date. This material may include:
 - Agency and or Program brochure,
 - Sample case record format to facilitate chart review,
 - Schedule of program activities,
 - Program mission statement,
 - Program objectives and philosophy,
 - Criteria for consumer admission, movement through treatment phases and completion.
2. The review begins with an introduction during which:
 - a. The reviewer explains the purpose of the review and how it will be conducted and asks, again, if there are any areas they would like to focus on during the review.
 - b. The program being reviewed provides the reviewer with a general overview of the program's operations including types of services, staffing and census.
 - c. If possible, the initial meeting includes any staff member who will participate in the review process.
3. A tour of the facility following the introductory session is recommended.
4. The reviewer begins the review process by following the guidelines set forth in **Attachment A – Independent Peer Review Form**. The form provides methodologies on how to gather information, focus issues questions, and guidance in completing the form.

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5. Within one week after the site review, the reviewer provides a draft summary report of the findings to the program reviewed.
6. The program may respond, verbally or in writing, to the reviewer to determine the information included in the final summary report.
7. Within 30 calendar days of the program review, the reviewer completes the final summary report and sends it to the person/division listed below along with the **Bill for Services Rendered Form (Attachment B)**, an invoice, and a copy of the Independent Peer Review Form for approval and signature by the Director of the Division of Addictive Diseases.

Onaje Salim, Director
Division of Addictive Diseases
2 Peachtree Street, NW, Suite 22.273
Atlanta, GA 30303

INDEPENDENT PEER REVIEW FORM

NAME OF PROGRAM REVIEWED: _____

DATE OF REVIEW: _____

MODALITY REVIEWED: _____

NAME AND TITLE OF REVIEWER: _____

NUMBER OF RECORDS REVIEWED: _____ OPEN _____ CLOSED _____

=====

Methodology section contains suggestions on how to gather information for each objective. The Focus Issues section contains questions that should be used. The reviewer is encouraged to be as detailed as possible in order to highlight the innovative and best practices activities of the program being reviewed.

=====

SECTION 1: DETERMINE IF THE ADMISSION/INTAKE PROCESS RESPECTS THE DIGNITY OF THE CLIENT.

Methodology: Interview intake personnel, observe the general admission area, review documentation of the process, and interview clients if available.

Focus Issues:

a. Does the staff present themselves to clients in a warm, informative, and non-threatening manner?

YES NO

b. Are admissions timely? **YES NO**

c. What is the approximate length of time between contact and admission appointments?

d. How is the client made to feel comfortable?

e. How is the client informed of his/her rights and confidentiality regulations?

f. Reviewer's documentation: _____

SECTION 2: DETERMINE IF THE ASSESSMENT PROCESS IDENTIFIES THE NEED FOR CARE, THE APPROPRIATE LEVEL OF CARE AND FORMS THE BASIS FOR A TREATMENT PLAN.

METHODOLOGY: Review charts and interview clinicians.

FOCUS ISSUES:

- a. Does the assessment indicate the admission was appropriate to the admission criteria? **YES NO**
- b. What is the approximate length on time between the assessment and admission in the program?
- c. Does the assessment support the diagnostic impression? **YES NO**
- d. Does the assessment identify and address areas of dysfunction? **YES NO**
- e. Is the level of care appropriate? **YES NO**
- f. Assessment was conducted within a reasonable time frame from the time of initial contact? **YES NO**
- g. Reviewer's documentation: _____

SECTION 3: DETERMINE IF THE TREATMENT PLAN PROVIDES A FLEXIBLE GUIDE FOR HELPING CLIENTS GET BETTER.

METHODOLOGY: Review charts, interview clinicians and clients.

FOCUS ISSUES:

- a. Does the treatment plan address problems noted in the psychosocial assessment? **YES NO**
- b. Does documentation of treatment plan updates/revisions reflect a joint effort between the clinician and client? **YES NO**
- c. Are the treatment goals achievable based on the client's abilities and program resources? **YES NO**
- d. How does the client participate in the treatment planning process?
- e. Reviewer's documentation: _____

SECTION 4: DETERMINE IF THE DOCUMENTATION DEMONSTRATES THE DELIVERY OF APPROPRIATE TREATMENT SERVICES TO MEET THE CLIENT'S NEEDS IN A TIMELY MANNER.

METHODOLOGY: Review charts and interview clinicians.

FOCUS ISSUES:

- a. Do progress notes tie in to the treatment plan? **YES NO**
- b. Does the chart document the level of client functioning in response to the treatment and justify the level of services offered? **YES NO**
- c. Is treatment rendered and documented on a timely basis? **YES NO**
- d. Reviewer's documentation: _____

SECTION 5: DETERMINE IF THE DISCHARGE PLAN SUPPORTS THE CLIENT'S RECOVERY

METHODOLOGY: Review charts and interview clinicians.

FOCUS ISSUES:

- a. Is the discharge plan consistent with the documented history? **YES NO**
- b. Is the plan consistent with the client's level of functioning and resources? **YES NO**
- c. Did the client participate in the development of the plan? **YES NO**
- d. Is the continued care of the client addressed in the plan and does it meet the client's needs? **YES NO**

e. Reviewer's documentation: _____

SECTION 6: DETERMINE THE PROGRAM'S POLICIES, PROCEDURES AND PRACTICES REGARDING TREATMENT OUTCOME

METHODOLOGY: Interview administrators and other staff, review documentation of process, and review sample discharge summaries/aftercare plans.

FOCUS ISSUES:

- a. What if any, documentation is collected by the program regarding treatment outcomes at discharge?
- b. How is the information utilized by program improvement?
- c. Reviewer's documentation: _____

SECTION 7: CLIENT SATIFICATION SURVEY

METHODOLOGY: Interview clients and/or review client satisfaction surveys or others means used to measure client satisfaction if available.

FOCUS ISSUES:

- a. How does the program assess client satisfaction? If the program does not use a survey, one is supplied for the reviewer to use to interview clients.

- b. Does the client feel the program serves his/her needs? **YES NO**
- c. Is the client informed of the procedures to be used for filing complaints, both internal and external? **YES NO**

e. Reviewer's documentation: _____

SECTION 8: ADMINISTRATIVE REVIEW

SUGGESTED AREAS OF DISCUSSION:

Quality Assurance	Utilization Review	Program Activity Scheduling
Staffing Patterns	Internal Controls	Customer Satisfaction
Program Development	Outcome Measures	Employment Environment
Computer Technology	Marketing	Data Flow Admin/Billing/Clinical

- a. Is the administrative area system efficient and effective? **YES NO**
- b. Does the selected system support the clinical goals? **YES NO**
- c. Is the programs current practices based on research/evidence based practices? **YES NO**

If yes, please identify the practices _____

- d. What mechanism for information flow, in the areas of treatment and research information, exist in the program?

e. Reviewer's Documentation: _____

SECTION 9: REVIEWER'S SUMMARY OF THE PEER REVIEW PROCESS

INNOVATIVE APPROACHES:_____

SUGGESTIONS SHARED:_____

**SECTION 10: Providers assessment of the independent peer review process.
(To be completed by provider being reviewed.)**

a. What part(s) of the Peer Review Process did you find most helpful/useful?

b. What part(s) of the Peer Review Process did you find the least helpful/useful?

c. What additional areas would you include as a part of the review?_____

d. What changes to the review would you recommend?_____

Section Ratings

Rate the program in each section by circling the appropriate answer.

Section 1: Determine if the Admission/intake process respects the dignity of the client.

Excellent Good Fair Poor

Section 2: Determine if the Assessment process identifies the need for care, the appropriate level of care and forms the basis for a treatment plan.

Excellent Good Fair Poor

Section 3: Determine if the treatment plan provides a flexible guide for helping clients get better.

Excellent Good Fair Poor

Section 4: Determine if the documentation demonstrates the delivery of appropriate treatment services to meet the client's needs in a timely manner.

Excellent Good Fair Poor

Section 5: Determine if the discharge plan supports the client's recovery.

Excellent Good Fair Poor

Section 6: Determine the program's policies, procedures and practices regarding treatment outcome.

Excellent Good Fair Poor

Section 7: Client satisfaction.

Excellent Good Fair Poor

=====

Independent Peer Review Form Signatures

PEER REVIEWER SIGNATURE

Printed Name

Date

DBHDD DIRECTOR OF ADDICTIVE DISEASES SIGNATURE

Printed Name

Date

CLIENT SATISFACTION SURVEY

**Modality reviewed: Adult IOP Adult Crisis Residential Adult Residential Rehabilitation
Special Women's Program Adolescent OP/IOP Adolescent Residential**

Please circle your answers.

HOW SATISFIED ARE YOU:

1. With the staff who served you?

1	2	3	4	5
Not at all satisfied	Not satisfied	OK	Satisfied	Very Satisfied

2. With how staff keep things about you and your life confidential?

1	2	3	4	5
Not at all satisfied	Not satisfied	OK	Satisfied	Very Satisfied

3. That the agency staff respected your ethnic and cultural background?

1	2	3	4	5
Not at all satisfied	Not satisfied	OK	Satisfied	Very Satisfied

4. With the services you received?

1	2	3	4	5
Not at all satisfied	Not satisfied	OK	Satisfied	Very Satisfied

5. That services are provided in a timely manner?

1	2	3	4	5
Not at all satisfied	Not satisfied	OK	Satisfied	Very Satisfied

6. That your treatment plan helped you get better?

1	2	3	4	5
Not at all satisfied	Not satisfied	OK	Satisfied	Very Satisfied

7. With how the staff treated you?

1	2	3	4	5
Not at all satisfied	Not satisfied	OK	Satisfied	Very Satisfied

8. What did you like best about the services you received?

9. How could the services you received be improved?

10. If you have any other comments, please write them below and/or on the back of this sheet.

Office of Addictive Diseases Peer Review Process Overview

Step 1:

Division of Addictive Diseases obtain a master list of providers

The Division of Addictive Diseases selects a treatment modality to be reviewed, i.e., crisis stabilization, core service provider, adolescent residential, adult residential, etc.

A representative sample list of programs to be reviewed by region is generated by the end of the fiscal year.

Step 2:

Contact reviewers and programs

30 days after the end of the fiscal year, the Director of the Division of Addictive Diseases or consultant sends letter(s) to peer reviewers and programs confirming their participation and supplying any needed information or documentation regarding the completion of the Addictive Diseases Peer Review Process.

Step 3:

Notification Letter sent to reviewers

60 days after the end of the fiscal year, the Office of Addictive Diseases Director or consultant sends a notification letter with due dates for the process to be completed. (Letters can get delayed in mail, etc. so it is best practice that any letter is followed up quickly with email and/or telephone call. The purpose of an email or telephone follow up is to confirm that the letter has been received and to determine if questions need to be answered, etc.)

Step 4:

Data Collection

Analyze Reports

Write Annual Report



Georgia Department of Human Resources

Bill for Services Rendered - Effective January 1, 2006

Section 1 Approving authority should complete all fields with bold headings in this section.

Vendor Name				Vendor ID		Location	
Invoice Date	Invoice #	Invoice Amt	Pay Terms	Description			
Speedchart (Project Code)		Amount		Account		Fund	
						10100	
Department (Organization Code)		OPB Sub Program			Class		
					312		
Pay by (Mark One)	Check	EFT	Handling Code	Pay Date	Accounting Template		
One)			FP		ACCTSPAY1		

Section 2 Payee or approving authority should complete all items in this section.

Professional Title			Degree Held					
Make payment to:	Name of Payee							
	Address line 1							
	Address line 2							
City			State		Zip Code			

Section 3 Payee should complete all items in this section.

I hereby certify the validity of this statement of my services, hours and expenses and that :			
Check one		I am not a full time salaried employee of any state agency.	<i>Remember: Page 2 must be completed to assure payment.</i>
		I am a salaried employee of a state agency. In accordance with the provisions of OCGA 45-10-24 & 45-10-25 & DHR Policy 1203, the necessary authorization for services has been obtained.	Agency name
Payee Signature			Date

I approve the foregoing request and authorize payment. In addition, I certify that all provisions of OCGA 45-10-24 & 45-10-25 are met if applicable.			
Approval Signature		Date	
Print or type name of approver		Phone	

**Processed by OFS Staff
Member**

Date

Voucher #



DHR Bill for Services Rendered

In accordance with appropriate authorization, I have served as a part-time professional consultant to the Georgia Department of Human Resources for the time shown below:

Sec. 4 Services / Hours

Monthly Retainer (if applicable)

Date(s) of Service	Place of Service	Description of Service / Purpose of Travel	Number of Hours
Explain any expenses that are unusual or exceed established limits; Explain telephone & telegraph charges.			Total

Sec. 5 Expenses

Date	A. Transportation (Complete only those items for which you are claiming reimbursement)					B. Meals & Lodging (Entries should not exceed maximum rates & must include city where meals were taken)					C. Telephone & Telegraph Explain Above	D. Registration Attach Receipt
Month Day	Time Departure Return	Origin - Points Visited Destination	State Use Milage Personal Vehicle	Common Carrier, Parking or Tolls Attach Receipt	Taxi, Limousine or Porterage	Brkfst Amnt Loc	Lunch Amnt Loc	Dinner Amnt Loc	Total Meals	Lodging Attach Receipt		
Subtotals			-	\$ -	\$ -				\$ -	\$ -	\$ -	\$ -
TOTALS			A. Transportation		\$ -	B. Meals & Lodging				C.		D.
Total Reimbursement Claimed (A + B + C + D)										\$ -		

Date:

Dear _____,

I would like to thank you for participating as a peer reviewer in the Independent Peer Review process this year.

I have contacted _____ at _____ and he/she is willing to have his/her program reviewed as apart of the peer review process. He/She will be your contact to setup the peer review process. He/She can be contacted at (____)____-____.

I have enclosed a copy of the **Independent Peer Review Form** you will use during your site visit. I have also enclosed the **Independent Peer Review for Addictive Diseases Providers Policy** which outlines reviewer qualifications and the procedures used when conducting the peer review. Please read the policy and follow the instructions outlined in the procedures. The program you will be visiting will have a copy of the policy and will be able to follow along with you as you explain how the review process will be conducted.

The peer review process must be completed by _____.

You will receive in the mail a peer review "**Bill for Services Rendered**" from the Department of Behavioral Health and Developmental Disabilities. **Please complete and sign the Bill for Services Rendered form and return it to our office as soon as possible. You cannot conduct the peer review before the form is signed and returned to this office. Payment cannot be made if we don't receive a signed form prior to the start of your review.** I do not want anyone to conduct a review and not be able to get paid.

Once you have signed the Bill for Services Rendered form and mailed it back to our office, please contact the program to be reviewed and set a tentative date for the review. Please notify me as soon as possible by e-mail or by letter to let me know the date(s) of the review.

I have enclosed the Bill for Services Rendered form. Once the peer review process has been completed, a copy of the **Independent Peer Review Form**, along with an invoice, should be sent to:

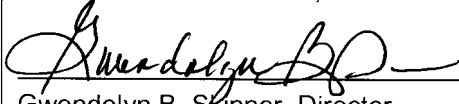
ATTENTION: Name
Office/Section
Address and Suite/Unit
City, State, Zip

Remember, all peer reviews must be completed prior to _____ (date).

Thank you for your help. If you have any questions I can be reached at (____) ____-____.

Sincerely,

Name
Office/Section

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities & Addictive Diseases	DHR Online Directive Information System (ODIS) Directive # 6001-201 <i>Replaces DMHDDAD POLICY # 2.201</i> Page 1 of 9
ODIS Policy: Maintenance of Safety for Division of MHDDAD Consumers and Staff Subject: Investigating Consumer Deaths and Critical Incidents	
Applicability: <ul style="list-style-type: none"> • State Hospitals • Public and Private community providers • OTP & State-operated community programs • State MHDDAD office • Regional MHDDAD offices 	Last Revised: May 1, 2007 Revised Date: February 18, 2009 Effective Date: March 2, 2009  Gwendolyn B. Skinner, Director Division of MHDDAD
Reference: Official Code of Georgia 31-8-81; 37-1-2; 37-1-20; 37-2-1 et seq.; 37-3-166; 37-3-2; 37-4-125; 37-4-3; 37-7-166; 37-7-2; 30-5-1 et seq.; 19-7-5; 16-6-5.1; DHR Rules and Regulations for Patients' Rights, Chapters 290-4-6; DHR Rules and Regulations for Clients' Rights 290-4-9. DHR Policy 1750	2/19/09 Date Signed
Attachments: <ul style="list-style-type: none"> A - Critical Incident Definitions & Investigative Requirements B - Investigative Report Format –b.1-Investigative Report C - Medical Hospitalization Follow-up Report D - Consumer Injury requiring treatment beyond first aid Follow-up Report E - Administrative Review form F - Request for Extension G - Corrective Action Plan 	

I. POLICY

It is the policy of the Division of Mental Health, Developmental Disabilities and Addictive Diseases (DMHDDAD) to maintain a safe and humane environment for consumers, and to prevent abuse, neglect and exploitation of consumers. The DMHDDAD uses a standardized process for reporting and investigating deaths and critical incidents that involve consumers being served by the DMHDDAD in state hospitals and by community providers. The process also includes critical incident procedures for consumers with developmental disabilities who are directing their own services and are not served by traditional provider agencies.

State Hospitals are also guided by DHR Policy 1750 which outlines the roles of the Office of the Inspector General and the Office of Investigative Services.

II. DEFINITIONS

Category I Incidents

- Death

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- (Allegation of) Physical abuse
- (Allegation of) Neglect
- (Allegation of) Staff to consumer sexual assault or sexual exploitation
- (Allegation of) Consumer to consumer sexual assault or sexual exploitation
- Medication errors with adverse consequences
- Seclusion or restraint resulting in injury requiring treatment beyond first aid
- Suicide attempt that results in medical hospitalization

Category II Incidents

- (Allegation of) Verbal abuse
- (Allegation of) Financial exploitation
- Consumer who leaves the grounds of a state hospital without permission
- Consumer who is unexpectedly absent from a community residential program or day program
- Seclusion or restraint resulting in injury requiring minor first aid
- Vehicular accident with injury while consumer is in a state vehicle or is being transported by community or hospital staff
- Incident occurring at a provider's site which required intervention of law enforcement services
- Criminal conduct by consumer
- Consumer to consumer assault resulting in injury requiring treatment beyond first aid
- Consumer to consumer assault with injury requiring minor first aid
- Medical hospitalization of a consumer of a state hospital (including state operated community programs) or community residential program
- Consumer injury requiring treatment beyond first aid
- Staff injury caused by a consumer and requiring treatment (State-operated programs only)

See **Attachment A: Critical Incident Definitions & Investigative Requirements** for definitions of incidents.

Community Provider: Any person or entity providing community-based disability services through a contract with or authorized by the DMHDDAD and/or providing Medicaid services authorized by DMHDDAD. "Community Provider" includes any state owned or operated community program. For purposes of this policy, community provider includes services provided through a subcontractor.

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Community Residential Consumer: A consumer receiving MHDDAD services in a home that is staffed by a provider organization and/or a consumer receiving personal support 24 hours/7 days a week.

Consumer: An individual enrolled with a community provider for disability services, seeking services or admission at a state hospital or on the census of a state hospital or state operated community program.

Consumer-Directed Services: A model for service delivery in which consumers have the option to control and direct Medicaid funds identified in an individual budget, and in which the consumers live in their own homes. The consumer hires and fires direct support staff, and works with a support coordinator to receive assistance needed with self-directing services.

Corrective Action Plan: A document which identifies and analyzes problems within the provider organization and prescribes corrective action steps which, when implemented, are likely to prevent the recurrence of similar problems and improve the quality of consumer care. A corrective action plan must identify the person(s) responsible for ensuring that action steps are completed and reviewed for efficacy and establishes a schedule for completion and follow-up of all action steps.

Critical Incident: Any event that involves an immediate threat to the care, health or safety of any consumer in community residential services, on site with a community provider or hospital, in the company of a staff member of a community provider or hospital, absent without leave from inpatient or residential services, or enrolled in consumer-directed services. Critical incidents include, but are not limited to, all incidents as listed in categories I and II.

Critical Incident Database: DMHDDAD web-based system for entering data about critical incidents.

Disability Services: Direct services to an individual, or services, which are designed to prevent or ameliorate the effect of a disability.

High-Visibility Incident: Critical incidents as defined in this policy, which have system-wide impact, have impact upon, or relevance to, any ongoing litigation of DHR or DMHDDAD, or may have significant impact upon, or significant relevance to, issues of DHR or DMHDDAD public concern and/or are likely to be reported in the media.

Investigative Report: A written summary of an investigation conducted by the Investigation Section, state hospitals or community providers of an alleged critical

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incident or death and approved by the Director of the Incident Management & Investigations Section or designee.

Investigator: A trained staff person who is designated to perform investigations into critical incidents.

Senior Executive Manager: The supervisor administratively in charge at the time of the incident.

State Hospital: A state Division of Mental Health, Developmental Disabilities and Addictive Diseases (DMHDDAD) hospital facility.

Support Coordinator/State Services Coordinator: In DMHDDAD developmental disability services, the independent case manager for each consumer.

III. PROCEDURES

- A. For investigation of Critical Incidents, other than medical hospitalization, consumer injury requiring treatment beyond first aid, consumer to consumer assault with injury requiring minor first aid and staff injury caused by a consumer and requiring treatment (State operated program only):
 1. Designated staff who are trained and qualified conduct investigations.
 2. The investigator, at a minimum:
 - Interviews consumers, staff and other involved parties;
 - Reviews all related documentation; and
 - Collaborates with outside agencies, as applicable.
 3. All investigations must be thorough and must address, at a minimum, those items identified in the Investigative Report Format (Attachment B).
 4. If, at any time during the investigation, evidence of criminal conduct is discovered the investigator immediately notifies the senior executive manager who notifies law enforcement authorities.

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5. If law enforcement authorities initiate an investigation regarding the incident, the state hospital/community provider staff cooperate with law enforcement authorities.
6. If, at any time during an investigation, it appears that a community provider or its staff has failed to protect the health, safety and/or welfare of the consumers in its care, the Incident Management & Investigations Section requests that the Regional Coordinator take immediate steps to protect such consumers, including the removal of the consumer(s) to another community provider, if needed. The Regional Coordinator, or his/her designee, notifies the Incident Management & Investigations Section of actions taken.
7. The investigator completes the investigation and submits the typed *Investigative Report* (Attachment b.1) to the Incident Management & Investigations Section within thirty (30) calendar days following the date of the incident or discovery of the incident. The report may be submitted electronically, with electronic signatures or attestations.
8. If there is a compelling reason why the investigation cannot be completed within thirty (30) days, a *Request for Extension* form (Attachment F) is completed and submitted electronically to the Incident Management & Investigations Section outlining the reasons and giving an expected completion date. Such requests are received by the Incident Management & Investigations Section at least five (5) calendar days prior to report due date. The Incident Management & Investigations Section will establish a new deadline, not to exceed thirty (30) calendar days.
9. As required by Federal regulations, the results of investigations of incidents involving the following consumers are reported to the Regional Hospital Administrator within five (5) working days of the incident:
 - Skilled nursing facilities- Allegations of abuse, neglect or exploitation; injuries of unknown origin; misappropriation of consumer property; or
 - ICF/MR-Allegation of abuse or neglect with injury requiring treatment beyond first aid; time-out or restraint resulting in injury requiring treatment beyond first aid; death not related to course of illness or underlying condition; allegation of rape or sexual assault.

B. Incident types with alternate reporting requirements:

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1. The following Category II incidents require the hospital/community program to submit the *Critical Incident Follow-up Report* specific to that type of incident rather than conducting a formal investigation.
 - Medical hospitalization of a consumer of a state hospital or community residential program (see attachment C).
 - Consumer injury requiring treatment beyond first aid (see attachment D).
 - a. The state hospital/community provider designates qualified staff to complete *Critical Incident Follow-up Reports*. (Attachments C and D)
 - b. The investigator completes and submits the *Critical Incident Follow-up Report* to the Incident Management & Investigations Section within thirty (30) calendar days following the date of the incident or discovery of the incident. The report may be submitted electronically, with electronic signatures or attestations.
 - c. If there is a compelling reason why the follow-up report cannot be completed within thirty (30) days, a *Request for Extension* form (Attachment F) is completed and submitted electronically to the Incident Management & Investigations Section outlining the reasons and giving an expected completion date. Such requests are received by the Incident Management & Investigations Section at least five (5) calendar days prior to report due date. The Incident Management & Investigations Section will establish a new deadline, not to exceed thirty (30) calendar days.
2. The Category II incident type “Consumer to consumer assault resulting in injury requiring minor first aid” is tracked by the provider. A narrative analysis regarding these incidents is submitted twice yearly by state hospital/community providers to the Incident Management & Investigations Section to include an analysis of trends, identification of opportunities for improvement and a description of changes in agency practice that are designed to reduce consumer injuries. These reports are submitted instead of individual *Investigative Reports* on each incident.
3. The incident type “Staff injury caused by a consumer and requiring treatment (state hospital-operated programs only)” does not require any report.

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4. The Incident Management & Investigations Section may request an *Investigative Report* instead of or in addition to the above alternative report formats, such as, in cases of repeated incidents for individual consumers.

C. Agency Managerial Review

1. The administrators of state hospitals, community providers and support coordination agencies perform a managerial review of all the *Investigative Reports* and *Critical Incident Follow-up Reports* completed within that agency. The reviewer at minimum:
 - Reads the *Investigative Report* or *Follow-up Report*;
 - Reads all accompanying documentation;
 - Requires and ensures the completion of any incomplete or missing documentation; and
 - Signs off (electronically or by attestation) as the managerial reviewer on the *Investigative Report* or *Follow-up Report*.
2. The state hospital, community provider, or support coordination agency designates trained staff who are qualified to perform the review and sign as the agency representative.

D. MHDDAD Incident Management & Investigations Section Administrative Review

1. The Incident Management & Investigations Section reviews all *Investigative Reports* and *Critical Incident Follow-up Reports* completed by state hospitals, community providers and support coordination agencies for content, thoroughness of the investigation, and demonstration that conclusions are supported by evidence available. The reviewer, at a minimum:
 - Reads the *Investigative Report* or *Follow-up Report*;
 - Reads all accompanying documentation;
 - Requires and ensures the completion of any incomplete or missing documentation;
 - Evaluates whether the conclusions of the investigation or follow-up report are supported by the evidence documented;
 - Completes the *Administrative Review* form (Attachment E); and
 - Makes recommendations regarding the need for corrective action by the state hospital, community program and/or support coordination agency.

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2. The Director of the Incident Management & Investigations Section or designee may overturn findings of investigations conducted by hospital or community providers.
3. Hospital administrators or community provider executive managers are contacted by telephone when findings are overturned.
4. For *Investigative Reports* or *Follow-Up Reports* completed by the state hospital, community provider or support coordination agency that are deemed inadequate, the Incident Management & Investigations Section requires corrections or additional information.
5. Corrections or additional information must be submitted within the timeframe established by the request.
6. The Director of Incident Management and Investigations Section or his/her designee reviews all *Investigative Reports* completed by the Incident Management & Investigations Section. The reviewer at a minimum:
 - Reads the *Investigative Report*;
 - Reads all accompanying documentation;
 - Requires and ensures the completion of any incomplete or missing documentation;
 - Signs off as the administrative reviewer on the *Investigative Report*; and
 - Makes recommendations regarding corrective action by the state hospital/community program as needed.
7. The Division Medical Director conducts and documents a review of all consumer death files within two (2) weeks of receipt of the death certificate.

E. Corrective Action Plans and follow-up

1. Upon completion and review of the *Investigative Report* the Incident Management & Investigations Section notifies the state hospital/community provider/support coordination agency if there is need for a Corrective Action Plan (CAP).

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2. A CAP (Attachment G) must be submitted to the Incident Management & Investigations Section within the timeframe established by the request. The Cap may be submitted electronically.
3. The Incident Management & Investigations Section accepts or makes recommendations for changes to the CAP and involves the Regional Coordinator or Director of Hospital System Administration as necessary.
4. For CAPs that are not completed successfully by contracted providers, the Regional Coordinator coordinates appropriate contract actions with DMHDDAD Legal Services.

F. Review of Investigative Report by Regional Coordinator

1. The Incident Management & Investigations Section distributes *Investigative Reports* completed by DMHDDAD investigators, Administrative Reviews and Corrective Action Plans to the Regional Coordinator for Category I incidents in community provider organizations.
2. It is the responsibility of the Regional Coordinator to review the Investigative Report, follow-up with the provider when necessary, and ensure that the provider has taken the appropriate corrective steps to correct unsafe conditions.

G. Distribution of Investigative Reports, Administrative Reviews and Corrective Action Plans

1. For investigations completed by DMHDDAD investigators, the Incident Management & Investigations Section notifies the Regional Hospital Administrator, Community Program Executive Director and/or Support Coordination Executive Director of approval of the CAP, and distributes the approved CAP to the Regional Coordinator for community incidents.
2. For investigations of Category I incidents completed by a community provider, the Incident Management & Investigations Section distributes Investigative Reports, Administrative Reviews and CAPs to the Regional Coordinator.

Critical Incident Definitions & Investigative Requirements

Category	Incident Type	Definition	Investigative Requirements
I	Death	<p>A reportable death is the death of a consumer of a state hospital or community residential program. Additionally, the suicide of a consumer receiving any type of services is a reportable death.</p> <p>Includes the death of any consumer:</p> <ul style="list-style-type: none"> • In a staffed home or receiving 24/7 personal support • On the census of a state hospital or state operated community program • Enrolled in consumer-directed services • Occurring on site of a community provider or state hospital • In the company of staff of a community provider or state hospital • Absent without leave from inpatient or residential services • Occurring within two (2) weeks following the consumer's discharge from a state hospital or community residential provider • Transferred or discharged to a medical facility for treatment of any illness or injury that occurred during hospital or community provider custody, regardless of the time that has elapsed since the transfer or discharge 	<p>If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.</p>
All	High Visibility	<p>Critical Incidents which have system wide impact, have relevance to ongoing litigation of DHR and or are likely to be reported in the media are considered to be high visibility incidents.</p>	<p>If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.</p>
I	(Allegation of) Physical abuse	<p>The willful infliction of physical pain, physical injury, unreasonable confinement, or the use of excessive force. For purposes of this policy, "willful" means other than accidental. Does not include sexual assault or exploitation. Does not include approved physical interventions when appropriately utilized.</p>	<p>If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.</p>

Critical Incident Definitions & Investigative Requirements

I	(Allegation of) Neglect	The failure of an employee or an organization to provide goods, services and supervision necessary to avoid physical harm, mental anguish or creates a significant risk of injury or death to a consumer	If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.
I	(Allegation of) Staff to consumer sexual assault or sexual exploitation	Any sexual contact between an employee and a consumer. Includes the solicitation of a consumer by an employee for sexual purposes.	If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.
I	(Allegation of) Consumer to consumer sexual assault or sexual exploitation	Forced sexual activity between consumers.	If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.
I	Medication errors with adverse consequences	Medication error includes omission and wrong dose, time, person, medication, route, position, technique/method and form. Adverse consequences are those that cause the consumer discomfort or jeopardizes his/her health and safety. Does not include refusal of medication by consumer.	If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.
I	Seclusion or restraint resulting in injury requiring treatment beyond first aid	<p>Seclusion or restraint includes physical holding, as well as mechanical restraints, and time-out. This would not include postural supports or restraints for medical or surgical procedures.</p> <p>Injury includes any physical harm or damage that requires treatment beyond first aid or more serious treatment. The injury received is severe enough to require the treatment of a</p>	If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.

Critical Incident Definitions & Investigative Requirements

		consumer by a licensed medical doctor, osteopath, podiatrist, dentist, physician's assistant, or nurse practitioner, but the treatment required is not serious enough to require hospitalization; further, the treatment received may be provided within the facility or outside the facility where it may range from treatment at a doctor's private office through treatment at the emergency room of a general acute care hospital.	
I	Suicide attempt that results in medical hospitalization	The consumer receiving any type of services (including outpatient services) is hospitalized for medical reasons related to injuries from a suicide attempt.	If the Incident Management & Investigations Section directs the state hospital or community program or support coordinator/state services coordinator to conduct the investigation, the Investigative Report will be submitted by mail or electronically within thirty days of the incident or discovery of the incident.
II	(Allegation of) Verbal Abuse	The use of words or gestures by an employee to threaten, coerce, intimidate, harass or humiliate a consumer.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
II	(Allegation of) Financial Exploitation	The illegal or improper use of an individual's labor, property or resources through undue influence, coercion, harassment, duress, deception, false representation, false pretense, or other similar means for another's profit or advantage. The failure to account for the consumer's funds by a payee.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
II	Consumer who leaves the grounds of a state hospital without permission	Reportable events include: <ul style="list-style-type: none"> • Consumer is absent from a designated location and cannot be found w/in the hospital campus • Consumer who is off campus but under direct observation of hospital staff (e.g., appointment, recreational activity, being transported) is absent from the designated location. <p>Not included are events where consumer is not under supervision of hospital staff and fails to return to designated location at designated time (i.e., failure to return from</p>	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.

Critical Incident Definitions & Investigative Requirements

		authorized leave).	
II	Consumer who is unexpectedly absent from community residential Program or day program	Consumer has left the residence or the day program without knowledge of staff and whose location is not known. Would include all absences where law enforcement is notified.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
II	Seclusion or restraint resulting in injury requiring minor first aid	Seclusion or restraint includes physical holding, as well as mechanical restraints, and time-out. This would not include postural supports or restraints for medical or surgical procedures. Injury includes any physical harm or damage that requires minor first aid. Minor first aid is meant to include treatments such as the application of band-aids, steri-strips, dermabond, cleaning of abrasions, application of ice pack for minor bruises, and use of OTC medications such as antibiotic creams, aspirin and acetaminophen.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
II	Vehicular accident with injury while consumer is in a state vehicle or is being transported by community or hospital staff	The injury required treatment beyond minor first aid. The injury received is severe enough to require the treatment of a consumer by a licensed medical doctor, osteopath, podiatrist, dentist, physician's assistant, or nurse practitioner, but the treatment required is not serious enough to require hospitalization; further, the treatment received may be provided within the facility or outside the facility where it may range from treatment at a doctor's private office through treatment at the emergency room of a hospital.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
II	Incident occurring at a provider's site which required intervention of law enforcement services	Includes 911 calls from staff for assistance, as well as reports to law enforcement of theft of consumer property by employees or non-employees while at the provider site or accompanied by staff.	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
II	Criminal conduct by consumer	Conduct while on the site of the provider or when accompanied by staff. Would also include criminal conduct of a consumer who leaves the grounds of a state hospital without permission	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or

Critical Incident Definitions & Investigative Requirements

		and/or a consumer who is unexpectedly absent from a community residential program or day program. At a state hospital, criminal conduct is reported only if the administrator has determined that a criminal report will be filed with local law enforcement.	electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
II	Consumer to consumer assault resulting in injury requiring treatment beyond first aid	<p>Assaults occurring at the provider site or while in the company of provider staff.</p> <p>The injury received is severe enough to require the treatment of a consumer by a licensed medical doctor, osteopath, podiatrist, dentist, physician's assistant, or nurse practitioner, but the treatment required is not serious enough to require hospitalization; further, the treatment received may be provided within the facility or outside the facility where it may range from treatment at a doctor's private office through treatment at the emergency room of a hospital. Treatment beyond first aid would not include diagnostic procedures.</p>	The state hospital or community provider or support coordinator/state services coordinator will submit an Investigative Report by mail or electronically to the Incident Management & Investigations Section within thirty days of discovery of the incident.
II	Consumer to consumer assault with injury requiring minor first aid	Assaults occurring at the provider site or while in the company of provider staff. Minor first aid is meant to include treatments such as the application of band-aids, steri-strips, dermabond, cleaning of abrasions, application of ice pack for minor bruises, and use of OTC medications such as antibiotic creams, aspirin and acetaminophen.	Consumer to consumer assaults requiring minor first aid will be tracked through a statistical summary, submitted twice yearly to include an analysis of trends, identification of opportunities for improvement and description of changes in agency practice that are designed to reduce the numbers of consumer injuries.
II	Medical hospitalization of a consumer of a state hospital or community residential program	Any emergency admission to a medical facility, either directly or through the facility's emergency room. Would not include planned admissions, such as for elective surgery.	Medical Hospitalization Follow Up Report (Attachment C) will be submitted to the Incident Management & Investigations Section by mail or electronically within thirty days of discovery of the incident.
II	Consumer injury requiring treatment beyond first aid	Includes accidents; does not include illness. The injury received is severe enough to require the treatment of a consumer by a licensed medical doctor, osteopath, podiatrist, dentist, physician's assistant, or nurse practitioner, but the treatment	Consumer Injury Requiring Treatment Beyond First Aid Follow Up Report (Attachment D) will be submitted to the Incident Management & Investigations Section by mail or electronically

Critical Incident Definitions & Investigative Requirements

		required is not serious enough to require hospitalization; further, the treatment received may be provided within the facility or outside the facility where it may range from treatment at a doctor's private office through treatment at the emergency room of a hospital. Treatment beyond first aid would not include diagnostic procedures.	within thirty days of discovery of the incident.
II	Staff injury caused by a consumer and requiring treatment (State operated programs only)	Injury that occurs while providing services to a consumer. Treatment to staff included minor first aid.	State Hospitals only: report upon request by the Incident Management & Investigations Section.

INVESTIGATIVE REPORT FORMAT

To the User: This format is used for the summary of an investigation. However, not all of the items listed below will be necessary for all incidents. It is the responsibility of the agency to comply with the requirements of ODIS Directive 6001-201 with regard to content. The "Guidelines" are to help the writer answer questions that may be applicable to the incident. Please do NOT include the questions in the submitted Investigative Report.

Date of Report:

Provider Agency:

Contact Person:

Sub-Contractor:

Investigator:

Date of Incident(s):

Type of Incident(s):

MHDDAD Region:

Consumer Name:

Address:

Date of Birth:

Age at time of incident:

CID #:

SUMMARY OF ALLEGATION(S)/INCIDENT:

Guidelines

What happened? Who reported it and to who was the incident or allegation reported to?

Where, When and How was it reported?

(List each allegation or problem area separately.)

CHRONOLOGY OF INCIDENT:

Guidelines

What happened from the time of the immediate precipitating or causal events of the incident or allegation until the time of the investigation? (Date and time of each significant event.)

What or who is the source of information?

If occurring at a residential site/group home/program site, when was assistance (such as emergency or administrative) requested?

If the staff was directed to or decided to obtain medical treatment, when was it obtained and, if not obtained immediately, what was the reason for waiting?

If this is a death, include any information available from the coroner or others about the possible cause of death. Also include any information about the consumer's condition prior to death.

INVESTIGATIVE METHODS:

Guidelines

Date and time investigation initiated

What physical, written documents, interviews, witness statements, and evidence was collected and considered?

What agencies were involved with incident?

What agencies were notified of the incident?

Consumer Profile:

Guidelines

Include diagnoses, medications (dosages not required unless relevant to the investigation), functional abilities (verbal, ambulatory, level of supervision required, etc.), maladaptive behaviors, including existence of a Behavior support plan.

Provider Profile:

Guidelines

Business status (for or not for profit) and scope (in numerous states, number of counties, etc.), primary services provided (residential, day, etc.), average number of consumers served and their disabilities, description of the site where incident occurred (if relevant to incident)

People Interviewed:

Guidelines

List name and title of person's interviewed

Include date of birth of the person of interest

Summary of Interviews:

Guidelines

List relevant information obtained in each interview.

Be sure to give information regarding person interviewed, such as job title, training, relationship to consumer etc, bias or credibility issues etc.

DOCUMENTS REVIEWED:

As needed: Incident report, consumer records, staff training records/personnel file, time sheets, home logs, agency policies

SUMMARY OF DOCUMENTS REVIEWED:

Guidelines

Include information from "Documents Reviewed" section as relevant to the investigation

CONCLUSIONS:

Guidelines

Do the findings substantiate or not substantiate the reported allegation/incident?

(List each allegation or problem area, and then respond to each separately.)

Could the allegation/incident be substantiated but the cause remains undetermined?

Did staff respond to the incident in a timely and appropriate manner?

Did staff follow established procedures when responding to the incident?

RECOMMENDATIONS:

Guidelines

What actions can be taken by the provider to make corrections and prevent recurrence?

ATTACHMENTS: (if applicable)

Guidelines

List of documents reviewed

List of witnesses (identifying who was interviewed and, if not, the reason for no interview) and status (consumer, staff, family, etc.)

Witness statements

Interview statements

Agency policies & procedures (specifically related to investigation and needed for explanation of the investigative findings)

Photographs

Graphs, charts, maps

Investigated By:

Name/Title

Date

Reviewed and Approved By:

Agency Director/Regional Hospital Administrator

Date

INVESTIGATIVE REPORT

Investigative Report can be sent in the mail or submitted electronically to MHDDAD-Incidents@dhr.state.ga.us within 30 days of incident or discovery of incident.

Date of Report:

Provider Agency:

Contact Person:

Sub-Contractor:

Investigator:

Date of Incident(s):

Type of Incident(s):

MHDDAD Region:

Consumer Name:

Address:

Date of Birth:

Age at time of incident:

CID #:

SUMMARY OF ALLEGATION(S)/INCIDENT:

CHRONOLOGY OF INCIDENT:

INVESTIGATIVE METHODS:

Consumer Profile:

Provider Profile:

People Interviewed:

Summary of Interviews:

DOCUMENTS REVIEWED:

SUMMARY OF DOCUMENTS REVIEWED:

CONCLUSIONS:

RECOMMENDATIONS:

ATTACHMENTS: (if applicable)

Investigated by:

Name/Title

Date

☐ By checking this box, I attest that the above typed signature verifies I completed this report

Reviewed & Approved by:

Date

☐ By checking this box, I attest that the above typed signature verifies I reviewed this report

rDHR/MHDDAD
CRITICAL INCIDENT FOLLOWUP REPORT
FOR MEDICAL HOSPITALIZATION

Instructions: Fill in information immediately below the instructions (*Consumer Name through E-Mail of Contact Person*). Type in the information requested after each numbered item. Use complete sentences. Do not answer in partial sentences after each individual question. Obtain review by the designated Senior Executive Manager in your agency. Send the report in the mail or electronically to MHDDAD-Incidents@dhr.state.ga.us within 30 days of the incident date.

Consumer Name:

Date of Critical Incident:

Date of This Report:

Name of State Hospital or Community Provider:

Name of Contact Person for Information about this Report:

Telephone number of contact person:

E-Mail of Contact Person:

- 1. Describe what led up to the decision to seek medical hospitalization for the consumer. Include information about the consumer's symptoms and what treatment was sought and/or given prior to the admission. If known, list admitting diagnosis to medical hospital.**
- 2. Describe the course of treatment for the consumer while hospitalized. In addition, if you can obtain a copy of the discharge summary, attach a copy.**
- 3. Did the consumer return to your agency's services, and/or was the consumer discharged from your services? If the consumer returned to a different level of services, please explain. If the consumer returned to the agency, please describe how any recommendations from the medical hospital were incorporated in the consumer's services.**
- 4. What is the consumer's status related to the medical issues that resulted in medical hospital admission?**
- 5. Could anything have been done to prevent the consumer's illness that led to hospitalization? What opportunities for improvement have been identified related to this incident? What corrective action is needed or has already been taken?**

Report completed by:

Name/Title

Date

☐ **By checking this box, I attest that the above typed signature verifies I completed this report**

Reviewed by:

Date

☐ **By checking this box, I attest that the above typed signature verifies I reviewed this report**

DHR/MHDDAD
CRITICAL INCIDENT FOLLOWUP REPORT
FOR CONSUMER INJURY REQUIRING TREATMENT BEYOND FIRST AID

Instructions: Fill in information immediately below the instructions (*Consumer Name through E-Mail of Contact Person*). Type in the information requested after each numbered item. Use complete sentences. Do not answer in partial sentences after each individual question. Obtain review by the designated Senior Executive Manager in your agency. Send the report in the mail or electronically to MHDDAD-Incidents@dhr.state.ga.us within 30 days of incident date.

Consumer Name:

Date of Critical Incident:

Date of This Report:

Name of State Hospital or Community Provider:

Name of Contact Person for Information about this Report:

Telephone number of contact person:

E-Mail of Contact Person:

- 1. What level of observation (describe degree of supervision expected) was the consumer on at the time of the incident?**

- 2. What antecedent events occurred?**

- 3. How many staff were present and where were they in relation to the consumer? Address whether or not staff were where they were supposed to be.**

- 4. Where and when did the incident occur? What happened?**

- 5. How did staff respond? Was the response of staff consistent with agency policy & procedures and with the consumers' ISP's/Treatment Plans/Behavior Support Plans?**

- 6. Describe the consumer's injury and how it was treated.**

- 7. Describe what happened after the incident with the consumer.**

- 8. Could/should the incident have been prevented? How? What should be done to prevent recurrence?**

- 9. What opportunities for improvement did you identify? What corrective action is needed or has already been taken?**

Report completed by:

Name/Title

Date

☐ **By checking this box, I attest that the above typed signature verifies I completed this report**

Reviewed by:

Date

☐ **By checking this box, I attest that the above typed signature verifies I reviewed this report**

ADMINISTRATIVE REVIEW FORM

CONSUMER(S) NAME:	INCIDENT #:	INCIDENT DATE:
Reviewer Name/Title:		Region:

☐ Based on my review, the following additional information or corrections are required:

The DUE DATE is

☐ Based on my review, the investigation/follow-up report is complete. Please submit a Corrective Action Plan (CAP) to address the following issues:

The DUE DATE is

☐ Based on my review, the investigation/follow-up report is complete. No further review is needed.

☐ Based on my review, the investigation is complete pending review by the DMHDDAD Medical Director.

☐ Based on my review, the investigation/follow-up report is complete. Issues identified in the Recommendation section are accepted as the CAP.

☐ Based on my review, the CAP submitted is complete. No further review is needed.

☐ Based on my review, the CAP is not accepted and should be resubmitted with the following information:

The DUE DATE is

Reviewer Signature

Date

Request for Extension

Instructions: Complete the form below (please type the information) and email to MHDDAD-Incidents@dhr.state.ga.us or fax to the Incident Management & Investigations Section (404-657-2187). For state hospitals, the request must be approved by the Regional Hospital Administrator. For contracted community providers, the request must be approved by a responsible executive manager.

Date of Request:

Incident Report #:

Consumer(s) Name:

Date of Incident:

Provider Agency Name:

Reason(s) for the request:

Expected completion date:

Name/title of requesting party

Date

Approved by Name/title:

Date

Typed signature verifies review/approval of request

Corrective Action Plan

Provider Name: _____ **Date of Plan:** _____

Consumer Name: _____ **Incident #:** _____ **Date of Incident:** _____

Issue	Identified Problem	Corrective Steps	Target Date	Responsible Person


Person Responsible for CAP: _____

Contact Number: _____

Managerial Review of Corrective Action Plan

State Hospital/Community Provider
Manager Name: _____

Title: _____ **Date:** _____
Typed signature verifies I have reviewed/approved the CAP

	<p align="center">Department of Human Resources Online Directives Information System</p>	<p align="center">Index: Revised: Review:</p>	<p align="center">POL1701 3/26/07 3/1/11</p>
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SUBJECT: Language Access for Limited English Proficient (LEP) and Sensory Impaired (SI) customers

POLICY

The policy of the Georgia Department of Human Resources (DHR) is to provide meaningful language access to limited English proficient and/or sensory impaired customers to all programs and activities conducted or supported by the department.

A. Authority

- [Title VI of the Civil Rights Act of 1964, 42 U.S.C. § 2000 et.seq.](#)
- [Americans with Disabilities Act \(ADA\) of 1990, Title II](#)
- [Rehabilitation Act of 1973 \(Sec. 504\)](#)

B. References

DHR Limited English Proficiency and Sensory Impaired Procedures (released August 25, 2006)

C. Applicability

This policy applies to all Divisions and Offices of DHR for programs, services and activities.

D. Definitions

Language – Refers to the method by which an individual communicates with another and includes languages other than English and generally accepted means of communication used by customers with sensory impairments.

Limited English Proficient – Refers to Persons who do not speak English as their native/primary language and who have a limited ability to read, speak, write or understand English.

Meaningful Access – Meaningful access to programs and services is the standard of access required of federally funded entities to comply with Title VI language access requirements. LEP/SI customers must be given the opportunity to benefit from all available resources, services, and activities to the same extent as non-LEP/SI customers.

Sensory Impaired - Refers to Individuals who are deaf, deafened and hearing impaired, visually impaired, blind, or deaf and blind.

E. Responsibilities

Rev. 2/07

The Director of the Policy Planning and Compliance Group, Office of the Commissioner, is responsible for issuing and updating, as appropriate, procedures to implement this policy.

F. History

This revision replaces Policy 1701 which was effective August 25, 2006.


G. Evaluation

The LEP/SI service delivery is evaluated using feedback from randomly selected customers receiving services from DHR, staff securing services for customers and language services contractors providing services to DHR customers. The LEP/SI Program Office uses the feedback to enhance programmatic operations and service delivery.

H. Authentication

B.J. Walker
Commissioner

3/29/07
Date

	<p align="center">Department of Human Services Online Directives Information System</p>	<p align="center">Index: Revised: Review:</p>	<p align="center">PRO1701 6/30/2010 6/01/2012</p>
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SUBJECT: Language Access for Limited English Proficient (LEP) and Sensory Impaired (SI) Customers

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<u>SECTION III</u>	Staff Orientation and Training
<u>SECTION IV</u>	Service Delivery to LEP/SI Customers Providing Notice to LEP/SI Customers Identifying LEP/SI Customers Providing Language Assistance Guide for Providing Meaningful Language Access to LEP/SI Customers DHR List of Language Contractors Departmental Employees/Bi and Multi-Lingual Supplements
<u>SECTION V</u>	Translation of Documents
<u>SECTION VI</u>	Monitoring and Complaint Resolution Process

SECTION VII

Attachments - [click here for All ATTACHMENTS](#)

**The following attachments can be found on the DHS ODIS website:
http://www.odis.dhr.state.ga.us/1000_adm/1700_Accessibility/Accessibility%20Index.htm**

[1 - Definitions](#)

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[12 - 1 LEP/SI Discrimination Complaint Form – General](#)

(English & Spanish)

[12 - 2 LEP/SI & Title VI Discrimination Complaint Form – DFCS](#)

(English & Spanish)

[13 - LEP/SI Employee Feedback Form & Instructions](#)

[14 - LEP/SI Contractor Feedback Form & Instructions](#)

[15 - LEP/SI Customer Feedback Form & Instructions](#)

[16 – Selection and Evaluation Criteria for Interpreter and Interpreter Services](#)

[17 - Code of Professional Conduct](#)

[18 - Code of Ethics](#)

[19 - Translation Request Form](#)

[20 - Request for a Quote Form](#)

[21 - LEP/SI Service Delivery Checklist](#)

Purpose

The Georgia Department of Human Resources (DHR or the Department) is committed to ensuring that limited English proficient (LEP) and sensory impaired (SI) customers have meaningful language access to all programs and activities conducted or supported by the Department. Those services include programs and assistance provided directly by the Department, its Divisions and Offices (Division of Aging Services, Division of Family and Children Services, Division of Mental Health, Developmental Disabilities and Addictive Diseases, Division of Public Health, Office of Child Support Enforcement, Office of Regulatory Services, Office of Investigative Services). For a comprehensive listing of services by Division and Office, the Department maintains a website at <http://www.georgia.gov/portal/site/DHR/>. Refer to [Attachment 1](#) for a list of definitions of words and terms used throughout these procedures.

DHR offers communication assistance by securing and utilizing interpreters, translators and other necessary communicative resources when serving LEP and SI customers. In all situations, language and other communication assistance is administered in accordance with the DHR's Language Access for Limited English Proficient and Sensory Impaired Customers Policy #1701 and is included as [Attachment 2](#).

The United States Department of Health and Human Services, Office For Civil Rights (HHS/OCR) approved the initial DHR State LEP/SI Plan in July, 2002. The plan has been integrated into the DHR Language Access for Limited English Proficient and Sensory Impaired Customers Policy and Procedures #1701 Policy and Procedures and establishes the policy and procedures for implementing a statewide strategy to determine service needs and to identify and develop the necessary resources and methods for service delivery to LEP/SI customers.

The responsibility for implementing DHR Language Access for Limited English Proficient and Sensory Impaired Customers Policy #1701 Policy and Procedures is shared between the Department as a whole through the joint effort of the Policy Planning and Compliance Group (PPCG), Limited English Proficient/Sensory Impaired Program (LEP/SI) and the various DHR County Offices, Regional Offices, Health Districts and State Office Programs that provide direct benefits and services to LEP/SI customers. For a description of DHR's organizational commitment, including the staff structure and teams, to ensure meaningful language access to programs and services for LEP/SI customers, see [Attachment 3](#).

Legal Authority

Limited English Proficient (LEP)

[Title VI of the Civil Rights Act of 1964, 42 U.S.C. Section 2000d.et. seq.](#) prohibits recipients of Federal financial assistance from discriminating on the basis of race, color, or national origin. Specifically Section 601 of Title VI states: “No person in the United States shall on the ground of race, color or national origin, be excluded from participation in, be denied benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance”.

Regulations implementing Title VI provide in part at 45 C.F.R. Section 80.3 (b):

- “(1). A recipient under any program to which this part applies may not, directly or through contractual or other arrangements, on ground of race, color, or national origin:
- (i). Deny an individual any service, financial aid, or other benefit provided under the program;
 - (ii). Provide any service, financial aid, or other benefit to an individual which is different, or is provided in a different manner, from that provided to others under the program; ...
- (2). A recipient, in determining the types of services, financial aid, or other benefits, or facilities which will be provided under any such program, or the class of individuals to whom, or the situations in which, such services, financial aid, other benefits, or facilities will be provided... may not, directly or through contractual or other arrangements, utilize criteria or methods of administration which have the effect of subjecting individuals to discrimination because of their race, color, or national origin, or have the effect of defeating or substantially impairing accomplishment of the objectives of the program as respect individuals of a particular race, color, or national origin.”

Sensory Impairment (SI)

- [Section 504 of the Rehabilitation Act of 1973](#)

- [Title II of the Americans with Disabilities Act of 1990 \(ADA\)](#)

Section 504 and the ADA prohibit covered entities from discriminating against persons with disabilities in the provision of benefits and services or the conduct of programs or activities on the basis of their disability.

Section 504 applies to programs or activities that receive Federal financial assistance. Title II of the ADA covers all of the services, programs, and activities conducted by public entities (state and local governments, departments, agencies, etc.) including licensing.

Section 504 and the ADA protect qualified individuals with disabilities from discrimination on the basis of their disability. An individual with a disability is a person who has a physical or mental impairment that substantially limits one or more major life activities; has a record of such impairment; or is regarded as having such impairment. Major life activities means functions such as caring for one's self, performing manual tasks, walking, seeing, hearing, breathing, learning and working.

SECTION II Needs Assessment

Language assistance for customers who are limited English proficient and/or sensory impaired may be needed at the following customer contact points:

- Program Intake
- Assessments (eligibility, diagnostic)
- Service Plan Development
- Discharge Planning
- Caseworker and Care Coordinator Contacts
- Home Visits
- Field Contacts
- Telephone Contacts
- Appointments with custodial and non-custodial parents
- Court hearings involving child support

DHR Divisions and Offices that provide social services to customers at the local level develop local Language Access Plans to ensure that service delivery is consistent with the needs of the

LEP/SI population in the service area. (Local level is defined by each DHR Division and Office based on programmatic operations). A sample Language Access Plan template is included as [Attachment 4](#). An electronic copy of the completed local Language Access Plan is submitted to the LEP/SI Office

at lepsi@dhr.state.ga.us.

DHR Divisions and Offices complete an annual review of its Language Access Plans as well as a self-assessment of needs and resources at the county level for LEP/SI customers that is administered by the LEP/SI Office. The LEP/SI Office administers a random telephone assessment of all customer contact points twice each fiscal year to determine if LEP/SI customers are able to communicate via telephone with targeted DHR Divisions/Offices.

SECTION III Staff Orientation and Training

Employees are informed of DHR's Policy of Non-Discrimination during new employee orientation. Also, the DHR Language Access for Limited English Proficient (LEP) and Sensory Impaired (SI) Customers Policy and Procedures are located accessible in DHR's ODIS and the Employee INTRANET. The DHR website (Language Access portal) includes resources to aid staff in the delivery of services to LEP/SI customers. A comprehensive multi-approach training plan, i.e., Train-the-Trainer, classroom, web-based and self-paced, which is designed to reach employees who are likely to have direct contact with LEP/SI customers, is under development. This training will include all of the DHR notices, forms, and resources available for assisting LEP/SI customers. During the interim, the LEP/SI Program staff is providing training as requested by Divisions and Offices.

SECTION IV Service Delivery to LEP/SI Customers

The Four-factor Analysis is used to determine the level of services provided at the local level. This Analysis includes a look at:

- the number or proportion of LEP persons eligible to be served or likely to be encountered by the program or grantee/recipient,
- the frequency with which LEP individuals come in contact with the program,
- the nature and importance of the program, activity, or service provided by the program to people's lives, and
- the resources available to the grantee/recipient and costs.

Providing Notice to LEP/SI Customers

A Notice of Free Interpretation Services Wall Poster ([Attachment 5](#)) is located in DHR's waiting rooms and intake and reception areas. This poster informs the public of DHR's Language Access policy to provide free interpretation services (in the major languages spoken in Georgia, Sign Language and Braille). Wall posters are available through the LEP/SI Office.

Identifying LEP/SI Customers

When services are delivered to LEP/SI customers, whether by Departmental employees or contract vendors,

Languages spoken by LEP/ SI customers are identified at all customer contact points through the use of either bi-lingual staff when available, the "I SPEAK" card ([Attachment 6](#)) or through a telephone interpretation service. Note that the "I SPEAK" card is also available on the DHR Website at <http://lepsi.dhr.georgia.gov/>.

- Staff takes immediate steps to identify the language spoken by the customer, ensuring that unreasonable delays do not occur, so that the appropriate communication resource is secured. The LEP/SI customer is informed by the bi-lingual staff or an interpreter of their right to free interpreter services and how/when services will be provided (i.e. staff, contract interpreter, telephone interpreter, services provided immediately or an appointment is scheduled).
- Services for LEP/SI customers are provided at all times using the same standards as for English speaking customers.

Providing Language Assistance

Interpreters and/or assistive technology and adaptive equipment are used in the following situations when:

- Requested by a customer.
- Requested by a service provider of a LEP/SI customer.
- Necessary to establish or maintain a customer's eligibility for DHR programs or services.
- Interpreter services are necessary to access public meetings sponsored by DHR or those under contract to DHR.
- Necessary for the customer to access any service funded directly or indirectly by DHR.

Guide for Providing Meaningful Language Access to LEP/SI Customers

1	Identify customers who do not speak English as their primary language and have a limited ability to read, speak, write or understand English (LEP) or are either deaf, deafened and hearing impaired, blind, visually impaired or deaf/blind (SI).
2	If LEP customer, use either bi-lingual staff, the "I SPEAK" Language Identification Card (Attachment 6), or telephone interpretation service to determine language spoken. Note that telephone interpretation services can identify the language spoken and provide interpretation for the LEP customer on the telephone via 3-way calling.
3	<p>If SI customer, communication with the deaf and hearing impaired is generally through sign language, video recording transmitter, a TeleTYpewriter (TTY) or a Telecommunications Device for the Deaf (TDD). Use of TTY/TDD services may be accessed through the Georgia Relay Service, 24 hours a day, 7 days a week by dialing: 711 or 1-800-255-0135 (for hearing callers) or 1-800-255-0056 (for text telephones). See Attachment 7 for a description of how to use the Relay Service. This service may be used for incoming and outgoing calls.</p> <p>If SI customer, communication with the <u>visually impaired</u> is generally through voice, Braille, large print and cassette audiotapes.</p>
4	Determine how communication with the customer will occur (i.e. bi-lingual employee interpreter, contract interpreter from the DHR List of Language Contractors maintained by the LEP/SI Office, Telephone Interpreter Service, or Other Services). Attachment 8 includes Tips for Using an Interpreter to Improve Service Delivery and Suggested Guidelines for Sign Language Interpreters.
5	<p>Secure the language assistance resource needed to communicate with the LEP/SI customer. Please inform the customer of their right to FREE interpreter services. (DHR provides interpreter/translation services FREE to LEP/SI customers. Under NO condition will DHR require a LEP/SI customer to provide their own interpreter/translator. When free interpreter services are declined, the Waiver of Rights to Free Interpreter Services (Attachment 9) is signed by the customer and interpreter providing services for the customer).</p> <p>Place signed Waiver in customer file/record and provide a copy to the customer. (DHR will provide either an on-site or telephone interpreter to observe communication when interpreter services are not provided by DHR. Documentation is placed in the customer's file regarding the appropriateness or non-appropriateness (i.e., proficiency in English, understanding of terminology, sufficient knowledge of program, confidentiality is not breached, information is not compromised) of the non-DHR provided interpreter. If there are questions or concerns about the appropriateness of an interpreter providing services for a customer, DHR shall request the assistance of a DHR provided interpreter. The LEP/SI customer may revoke the Waiver at any time and request the services of a free Interpreter).</p>
6	Schedule an appointment within 2 business days for non-emergency cases. Service to the LEP/SI customer is consistent with service delivery to English speaking customers.
7	Create customer file/record. Complete LEP/SI Intake and Tracking Form (Attachment 10) or local reporting document/system. Information from the Intake and Tracking form is used for reporting and includes type of service provided (specific SI or language for LEP), number of times service is provided, resources provided, cost of services and if Waiver form was signed).
8	Confirm that the Policy/Notice of Non-Discrimination in Services (Attachment 11-1, 11-2 DFCS) sign is posted and that copies of the Discrimination Complaint Form (Attachment 12-1, 12-2 DFCS) are available at the front desk for the customer in the appropriate language.
9	Record all services provided on the LEP/SI Intake and Tracking Form or local reporting document/system. File completed LEP/SI Intake and Tracking Form in customer file/record and a copy in the central LEP/SI file. (NOTE: Central LEP/SI files are maintained for tracking and reporting purposes.)
10	Complete Employee Feedback Form (Attachment 13) if the services of a Contractor were utilized and mail, FAX or e-mail to the LEP/SI Office. Feedback forms are also provided to the Contractor (Attachment 14) and to randomly selected LEP/SI customers (Attachment 15). Process invoice for payment of contractor for services upon receipt.

NOTE: When utilizing the services of a language contractor, staff must be present for on-site and telephone interpretation services. Staff persons are required to be present either via speaker telephone or 3-way conference when language contractors (interpreters) contacts customers via telephone. When DHR services are provided through a 3-way conference call, the staff person must use an agency phone (LAN line or cell phone) to set up the call.

DHR Master List of Language Contractors

The LEP/SI office recruits and maintains a Master List of Language Contractors to provide language assistance services to DHR offices on an “as needed” basis. These contractors have terms and conditions that have been agreed upon, thus Divisions and Offices are not required to enter into negotiations prior to or during service delivery. All contractors meet standards established by the Department (see [Attachment 16](#) for the Selection and Evaluation Criteria for Interpreters and Interpreter Services) and are required to adhere to a Code of Professional Conduct ([Attachment 17](#)) and Code of Ethics ([Attachment 18](#)). The Master List of Language Contractors is updated on an ongoing basis to ensure accuracy and is available on the DHR Language Access SharePoint site which is accessible by the Language Access Coordinators, located in local offices, and the Language Access Team members (at least one state level representative for each Division/Office). Divisions/Offices may also contact the LEP/SI office for the Master List of Language Contractors. DHR Divisions/Offices may recommend contractors to the LEP/SI Office for consideration to determine if there is a need for the language and if the potential contractor meets the standards established by the Department.

Departmental Employees/ Pay Supplements

Based on the language needs of a Division or Office, an employee of the Department may be placed on the list of DHR Bi/Multi-lingual employees by demonstrating proficiency in English and the language for which they will interpret. Proficiency is evidenced by achieving a passing score on a standard Interpreters’ Skills examination administered by a language testing service or completion of an interpreter training program that includes receiving a passing score on an Interpreter’s oral examination. With supervisory approval, employees are eligible to receive a 5% or 10% pay supplement for providing language services (e.g., 5% - one language, 10% - two or more language).

Supervisors who wish to have employees tested may contact the Language Access Coordinator (LAC) for copies of testing information which is located on the Language Access SharePoint Site. Also, supervisors may contact the LEP/SI Office for testing information.

Cultural competency training for staff providing services to LEP/SI customers is being incorporated into the overall DHR LEP/SI training.

SECTION V Translation of Documents

The Policy Planning and Compliance Group (PPCG) LEP/SI Office coordinates the translation of documents, forms and brochures such as applications, consent forms, letters containing information regarding participation in a program, notices pertaining to the reduction, denial or termination of services or benefits and notices advising LEP/SI customers of the availability of free language assistance. The translation process is described as follows:

- When translations are needed, the Translation Request Form ([Attachment 19](#)) is completed by DHR Divisions/Offices and submitted to the LEP/SI Office. The LEP/SI Office identifies appropriate certified/qualified translators or translation service providers capable of producing camera ready, formatted documents suitable for printing or publishing to the DHR website and forwards the Request for a Quote ([Attachment 20](#)) to at least 3 vendors. Unless there is a compelling reason, the lowest bidder is selected.
- Translators and translation services ensures that the translated text reflects a sound conceptual understanding of the source material; hence, translators will secure a verifiable and independent, certified or qualified translator to proof read the final document. All proofreaders will meet the criteria established for primary translators.
- Translators and translation services take into consideration the foreign language and English literacy levels of the intended audience when translating DHR materials.
- Translators and translation services return all source documents and related files to the Department with the finished product.
- Documents containing occupation-specific terminology (such as medical and legal) will be translated by individuals who are qualified or certified to translate in those specific fields.

SECTION VI Monitoring and Complaint Resolution Process

Monitoring

The PPCG LEP/SI staff monitors services to LEP and SI customers in collaboration with monitoring activities conducted by each Division or Office. Three methods are used to monitor: (1) LEP/SI staff accompanies staff from DHR's Divisions and Offices as they conduct regular, on-site monitoring activities, (2) an annual assessment of service delivery, including telephone surveys and (3) responding to customer complaints. When feasible, the LEP/SI staff collaborates with Divisions/Offices when conducting customer satisfaction surveys.

The following criteria are used when monitoring LEP/SI service delivery:

- Compliance with the LEP/SI Service Delivery Checklist ([Attachment 21](#)).
- Total number of LEP/SI customers receiving service.
- Total number of instances, by language category, services are provided.
- Total number of hours, by language category, services is made available.
- Competence of the interpreter used (Bi-lingual employee, DHR Listing, qualified/certified/licensed vs. unqualified/non-certified or unlicensed).
- Timeliness of service.
- Frequency of Waiver of Rights to Free Interpreter Services usage.
- Corrective action taken, if needed.

Complaint Resolution Process

Managing complaints of discrimination by LEP and SI customers is accomplished in accordance with existing Departmental policies and procedures. In addition, complaints related to access to services by LEP and SI customers are forwarded to the LEP/SI office. Complaints may be submitted in any format; however, the preferred format is to complete the LEP/SI Discrimination Complaint Form ([Attachment 12-1, 12-2 DFCS](#)). The LEP/SI staff shares the complaint with the LEP/SI Complaint Resolution Team (CRT) within 2 business days after receipt. The CRT consists of the LEP/SI staff, the Language Access Team (LAT) member from the affected Division/Office and two additional LAT members. The CRT will work together to investigate and respond to the complaint. Complaints will be responded to in 5 business days.

SECTION VII

Attachments

[1 - Definitions](#)

[2 – LEP/SI Policy](#)

[3 - Organizational Commitment](#)

LEP/SI Program Responsibilities

Language Access Team (LAT) Responsibilities

Language Access Coordinators (LAC) Responsibilities

Complaint Resolution Team Responsibilities

Community Advisory Council Responsibilities

[4 - Local Language Access Plan Template](#)

[5 - Notice of Free Interpretation Services Wall Poster](#)

[6 - “I SPEAK” card](#)

[7 – Georgia Relay Services – How to Guide](#)

[8 - Tips for Using an Interpreter to Improve Service Delivery](#)

[Suggested Guidelines for Sign Language Interpreters](#)

[9 - Waiver of Rights Form](#)

[10 - Intake and Tracking Form and Instructions](#)

[11 - 1 Policy/Notice of Non-Discrimination in Services – General](#)

(English & Spanish)

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(English & Spanish)

[12 - 1 LEP/SI Discrimination Complaint Form – General](#)

(English & Spanish)

[12 - 2 LEP/SI & Title VI Discrimination Complaint Form – DFCS](#)

(English & Spanish)

[13 - LEP/SI Employee Feedback Form & Instructions](#)

[14 - LEP/SI Contractor Feedback Form & Instructions](#)

[15 - LEP/SI Customer Feedback Form & Instructions](#)

[16 – Selection and Evaluation Criteria for Interpreter and Interpreter](#)

[Services](#)

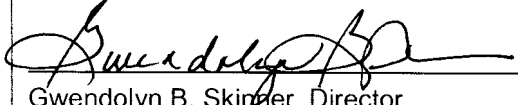
[17 - Code of Professional Conduct](#)

[18 - Code of Ethics](#)

[19 - Translation Request Form](#)

[20 - Request for a Quote Form](#)

[21 - LEP/SI Service Delivery Checklist](#)

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities & Addictive Diseases	DHR Online Directive Information System (ODIS) Directive # 6805-204 <div style="text-align: right;">Page 1 of 3</div>
DHR ODIS Policy: Provision of Care, Treatment, and Services for Consumers in DMHDDAD Hospitals Subject: Medical Evaluation Guidelines and Exclusion Criteria for Admission to State Hospitals and Crisis Stabilization Programs <i>(Replaces title "Medical Evaluation Guidelines and Exclusion Criteria for Admission to DHR DMHDDAD Hospitals")</i>	
Applicability: All State Hospitals All Crisis Stabilization Programs	Original Effective Date: April 2, 2008 Previous Revision Date: March 30, 2009 Revision Date: April 21, 2009
References: 42 U.S.C § 1395dd, 42 C.F.R § 489.24, Official Code of Georgia Annotated (O.C.G.A) 37-3-2, O.C.G.A 37-3-3	Effective Date: May 1, 2009 Scheduled Review Date: March 2011
Attachments: Attachment A – Medical Evaluation Guidelines and Exclusion Criteria for Persons Referred for Admission to Crisis Stabilization Programs or State Hospital	Approved:  Gwendolyn B. Skinner, Director Division of MHDDAD <div style="text-align: center;">4/21/09</div> <hr/> Date

MEDICAL EVALUATION GUIDELINES AND EXCLUSION CRITERIA FOR ADMISSION TO STATE HOSPITALS AND CRISIS STABILIZATION PROGRAMS

POLICY

The Division of Mental Health, Developmental Disabilities and Addictive Diseases (MHDDAD) ensures the safety of those admitted to a State Psychiatric Hospital (State Hospital) or Crisis Stabilization Program (CSP) by requiring appropriate medical screening of individuals prior to the person being transported to the State Hospital or CSP. Individuals who require medical services that cannot be provided by a State Hospital or CSP are screened and referred to appropriate medical providers. This policy pertains to all CSPs, whether state operated or operated by other organizations under contract with the Division of MHDDAD.

The Division of MHDDAD seeks to provide psychiatric stabilization and detoxification services in the safest environment possible within all hospital or crisis stabilization services operated by or under contract with the Division of MHDDAD. To that end, the "Medical Evaluation Guidelines and Exclusionary Criteria" contained in this policy are designed to clarify healthcare issues that, if present, must be medically assessed and stabilized prior to referring any individual for care at a State Hospital or CSP operated by or under contract with the Division of MHDDAD.

If the referral source believes that the individual does not have healthcare issues present that must be medically assessed and stabilized prior to admission at the State Hospital or CSP, the referral source may contact medical personnel at the State Hospital or CSP by phone to discuss the individual. If it is then determined by the medical personnel at the State Hospital or CSP that the individual does not appear to have healthcare issues noted in the *Medical Evaluation Guidelines and Exclusionary*

DIVISION OF MHDDAD	SUBJECT: Medical Evaluation Guidelines and Exclusion Criteria for Admission to State Hospitals and Crisis Stabilization Programs	DHR ODIS NO: 6805-204
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Criteria, the individual may proceed directly to the State Hospital or CSP for evaluation of need for psychiatric stabilization or detoxification services.

DEFINITIONS

Medical Clearance – An assessment conducted by a physician, Advance Practice Nurse, or Physician’s Assistant involving physical examination and laboratory evaluation, when indicated, in order to determine whether a person being considered for referral to a State Hospital or CSP requires medical services which cannot be provided by that State Hospital or CSP.

PROCEDURES

The Division of MHDDAD Medical Executive Committee defines the medical evaluation guidelines for use by State Hospitals and CSPs, as well as medical exclusion criteria. See **Attachment A - Medical Evaluation Guidelines & Exclusion Criteria for Persons Referred for Admission to Crisis Stabilization Programs or State Hospitals**.

Healthcare providers referring an individual for admission to a State Hospital or CSP are expected to conduct an assessment of any medical or substance abuse problems the person may have and include this information in the referral to the State Hospital or CSP, in addition to information about the behavioral health issues which in the view of the healthcare provider necessitates the admission.

Following review of the referral information, the State Hospital or CSP physician takes one of the following actions:

- accepts the individual for transportation to the State Hospital or CSP for evaluation,
- denies the referral due to medical condition, **or**
- requests additional information.

If medical information about the patient is inadequate in accordance with the Medical Evaluation Guidelines contained in this policy, the State Hospital or CSP physician may request additional evaluations within the capability of the referring provider. If the referring provider is unable to conduct sufficient evaluation to determine that the individual is medically clear and the physician has clinical reasons to suspect the presence of a significant medical problem, the referral source may be asked to refer the patient to a medical hospital for medical clearance.

Medical clearance may be waived by the State Hospital or CSP admitting physician when clinically appropriate or when medical clearance is not available.

The Medical Evaluation Guidelines are not intended to replace good clinical judgment. In specific cases, more information or lab work may be requested or specific labs may be omitted, depending on presenting problems and other medical conditions.

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The physicians are encouraged to always engage in a physician-to-physician discussion of the issues, especially when there is a difference of opinion between the State Hospital or CSP physician and the physician at a medical hospital. In cases where the referring physician believes the State Hospital or CSP physician is requesting inappropriate labs or evaluations or denying acceptance inappropriately, the referring physician may request to discuss the case with the State Hospital or CSP Clinical Director (or designee) at any time through any Admissions staff member. At all times it is the Division of MHDDAD policy that transfers are compliant with the Emergency Medical Treatment and Active Labor Act (EMTALA).

If, following the individual's arrival at the State Hospital or CSP and evaluation by the physician, it is determined that referring information was inaccurate and the State Hospital or CSP cannot safely meet the individual's medical needs, the individual may be sent back to the referring hospital. In such circumstance, any individuals who did not go to a medical hospital prior to arrival at the State Hospital or CSP would be sent to the nearest medical hospital.

MEDICAL EVALUATION GUIDELINES AND EXCLUSION CRITERIA
For persons referred for admission to Crisis Stabilization Programs or State Hospitals
Updated 3-27-09 – Effective 5-1-09

A. EXCLUSION CRITERIA

1. Burns (severe) requiring acute care or physical therapy
2. Cardiac disease, unstable, including
 - a. Bradycardia below 60/minute, symptomatic, persistent
 - b. Tachycardia above 120/minute, symptomatic, persistent
3. Delirium
4. Dementia
5. Fracture, open or closed, and unstable
6. GI bleed, active
7. Infectious disease requiring isolation and/or treatment by IV antibiotic
8. Intravenous fluids or IV antibiotics
9. Joint dislocations, acute, until reduced
10. Laceration or draining wound, open, requiring packing changes
11. Medical devices used that cannot be secured
12. Oxygen dependent
13. Overdose, acute, unstable
14. TB, active
15. Traumatic Brain Injury
16. Tubes or drains, chest or abdominal, including ostomies (unless the patient provides their own ostomy care)

B. MEDICAL EVALUATION GUIDELINES for CRISIS STABILIZATION PROGRAMS and MHDDAD HOSPITALS

1. **ALL patients presenting at the ER**
 - a. CBC
 - b. UA
 - c. UDS
 - d. Vital signs acceptable range: >90/60; <160/100
2. **Psychiatric. New onset psychosis or altered sensorium**
 - a. Normal neurological examination
 - b. Rule out medical etiologies
 - c. Age 49 or less: labs as indicated in item #1 above plus metabolic panel to include Electrolytes, Creatinine, BUN and Glucose
 - d. Age 50 and older: also consider CT or MRI of brain; EKG
3. **Psychiatric. Disorders of thought or mood not covered in item 2 above**
 - a. Rule out delirium
 - b. Rule out medical etiologies
 - c. Age 49 or less: labs as indicated in item 1 above
 - d. Age 50 and older: metabolic panel to include Electrolytes, Creatinine, BUN and Glucose

MEDICAL EVALUATION GUIDELINES AND EXCLUSION CRITERIA
For persons referred for admission to Crisis Stabilization Programs or State Hospitals
Updated 3-27-09 – Effective 5-1-09

4. **Alcohol Abuse, Dependency or Intoxication**
 - a. CIWA assessment¹ or equivalent clinical evaluation of withdrawal symptoms including but not limited to:
 1. Blood alcohol >300 (individual programs may vary)
 2. Tremor
 3. Diaphoresis
 4. Myalgia
 - b. Metabolic panel to include Electrolytes, Creatinine, BUN and Glucose
 - c. LFT
 - d. May request labs such as amylase or lipase to rule out other medical etiologies
 - e. May request CT of brain if subdural is suspected
 - f. CIWA-Ar guidelines:
 1. Score of 9–24: individual should be considered for residential detox
 2. Score higher than 24: individual should be considered for general hospitalization
 3. Score lower than 9: individual should be considered for ambulatory or social detox
5. **Acetaminophen overdose.** Follow Washington Manual guidelines. Repeat levels until below risk for possible hepatotoxicity. Patients on Mucomyst must complete entire course of treatment prior to transfer.
 - a. Initial level >120 at 4 hrs
 - b. .60 at 8 hrs
 - c. .30 at 12 hours
 - d. Repeat after 4 hour interval
6. **AIDS.**
 - a. Labs as indicated in # 1 above
 - b. Metabolic panel to include Electrolytes, Creatinine, BUN and Glucose and additional tests as indicated, such as CT of brain if pathology suspected
 - c. End stage AIDS patients should not be referred for psychiatric care in crisis stabilization programs or MHDDAD hospitals.
7. **Anemia.**
 - a. Hgb <8 requires work up and correction prior to transfer
 - b. Chronic anemia with known cause, with hemodynamic stability and no acute symptoms, should be discussed with physician prior to transfer
8. **Diabetes Mellitus.**
 - a. Accucheck less than 250---no additional work up, unless other associated conditions or issues require any other labs
 - b. Accucheck more than 250 --- add metabolic panel to include Electrolytes, Creatinine, BUN and Glucose
 - c. Blood sugar must be stabilized consistently below 250 mg % for a 2-hour period before approval and within one hour of transfer

¹ CIWA is attached to this document.

MEDICAL EVALUATION GUIDELINES AND EXCLUSION CRITERIA
For persons referred for admission to Crisis Stabilization Programs or State Hospitals
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9. **Febrile patients.**
 - a. T>101.5, labs as indicated in #1 above and metabolic panel to include Electrolytes, Creatinine, BUN and Glucose
 - b. Chest X-ray if indicated
 - c. Fever of unknown origin: additional labs per physician-to-physician consultation.
10. **HIV+**
 - a. Normal vital signs and no acute complaints: nothing further than labs indicated in #1 above
11. **Hypokalemia**
 - a. Below 3.0, determine etiology
 - b. EKG to rule out arrhythmias
 - c. Levels below 3.0 must be treated and level repeated with appropriate response to treatment verified prior to transfer.
12. **Hyponatremia**
 - a. Below 125 must be normalized prior to acceptance
13. **Hypertension**
 - a. If asymptomatic and BP below 140/90, no additional labs
 - b. BP >160/100 must be evaluated and treated with follow up BP's <160/100 prior to transfer
14. **Hypotension**
 - a. BP <90/60 and/or symptomatic, must be stabilized for at least one hour prior to transfer.
15. **MRSA**
 - a. Physician to physician communication is expected, with Infectious Diseases consult if needed
 - b. Sensitive to Vancomycin on blood/wound discharge culture should have documented intravenous treatment with Vancomycin for ten days before switching to oral for referral for transfer
 - c. MRSA sensitive to other antibiotics may be transferred earlier and may not need intravenous treatment with Vancomycin.
16. **Pregnancy**
 - a. Assessment of current physical status of mother and child
18. **WBC**
 - a. >15,000 or <3000, specific etiology must be identified and treatment begun prior to acceptance.
19. **Mechanical assistance or wheelchair**
 - a. Patients able to move or transfer independently with mechanical assistance or wheelchair may be accepted
20. **Patient refusal to cooperate** with lab testing
 - a. Decision regarding acceptance must be made on the basis of the information available

Doctor-to-doctor communication is requested to ensure continuity of care, and is required in cases of differences of opinion.

MEDICAL EVALUATION GUIDELINES AND EXCLUSION CRITERIA
For persons referred for admission to Crisis Stabilization Programs or State Hospitals
Updated 3-27-09 – Effective 5-1-09

In cases where the referring physician believes the receiving physician is requesting inappropriate labs or evaluations or denying acceptance inappropriately, the referring physician may request to discuss the case with the agency Medical Director (or designee) at any time.

These guidelines are intended to provide consistency for referrals into crisis stabilization programs and MHDDAD hospitals in Georgia. **However** the ultimate decision to admit or not admit is that of the receiving MD.

Clinical Institute Withdrawal Assessment of Alcohol Scale, Revised (CIWA-Ar)

Patient: _____ Date: _____ Time: _____ (24 hour clock, midnight = 00:00)

Pulse or heart rate, taken for one minute: _____ Blood pressure: _____

NAUSEA AND VOMITING -- Ask "Do you feel sick to your stomach? Have you vomited?" Observation.

0 no nausea and no vomiting

1 mild nausea with no vomiting

2

3

4 intermittent nausea with dry heaves

5

6

7 constant nausea, frequent dry heaves and vomiting

TREMOR -- Arms extended and fingers spread apart. Observation.

0 no tremor

1 not visible, but can be felt fingertip to fingertip

2

3

4 moderate, with patient's arms extended

5

6

7 severe, even with arms not extended

PAROXYSMAL SWEATS -- Observation.

0 no sweat visible

1 barely perceptible sweating, palms moist

2

3

4 beads of sweat obvious on forehead

5

6

7 drenching sweats

ANXIETY -- Ask "Do you feel nervous?" Observation.

0 no anxiety, at ease

1 mild anxious

2

3

4 moderately anxious, or guarded, so anxiety is inferred

5

6

7 equivalent to acute panic states as seen in severe delirium or acute schizophrenic reactions

TACTILE DISTURBANCES -- Ask "Have you any itching, pins and needles sensations, any burning, any numbness, or do you feel bugs crawling on or under your skin?" Observation.

0 none

1 very mild itching, pins and needles, burning or numbness

2 mild itching, pins and needles, burning or numbness

3 moderate itching, pins and needles, burning or numbness

4 moderately severe hallucinations

5 severe hallucinations

6 extremely severe hallucinations

7 continuous hallucinations

AUDITORY DISTURBANCES -- Ask "Are you more aware of sounds around you? Are they harsh? Do they frighten you? Are you hearing anything that is disturbing to you? Are you hearing things you know are not there?" Observation.

0 not present

1 very mild harshness or ability to frighten

2 mild harshness or ability to frighten

3 moderate harshness or ability to frighten

4 moderately severe hallucinations

5 severe hallucinations

6 extremely severe hallucinations

7 continuous hallucinations

VISUAL DISTURBANCES -- Ask "Does the light appear to be too bright? Is its color different? Does it hurt your eyes? Are you seeing anything that is disturbing to you? Are you seeing things you know are not there?" Observation.

0 not present

1 very mild sensitivity

2 mild sensitivity

3 moderate sensitivity

4 moderately severe hallucinations

5 severe hallucinations

6 extremely severe hallucinations

7 continuous hallucinations

HEADACHE, FULLNESS IN HEAD -- Ask "Does your head feel different? Does it feel like there is a band around your head?" Do not rate for dizziness or lightheadedness. Otherwise, rate severity.

0 not present

1 very mild

2 mild

3 moderate

4 moderately severe

5 severe

6 very severe

7 extremely severe

AGITATION -- Observation.

- 0 normal activity
- 1 somewhat more than normal activity
- 2
- 3
- 4 moderately fidgety and restless
- 5
- 6
- 7 paces back and forth during most of the interview, or constantly thrashes about

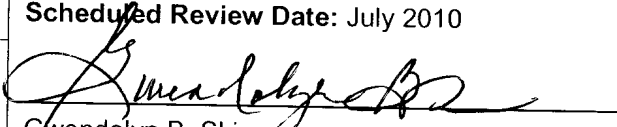
- ORIENTATION AND CLOUDING OF SENSORIUM** -- Ask "What day is this? Where are you? Who am I?"
- 0 oriented and can do serial additions
 - 1 cannot do serial additions or is uncertain about date
 - 2 disoriented for date by no more than 2 calendar days
 - 3 disoriented for date by more than 2 calendar days
 - 4 disoriented for place/or person

Total **CIWA-Ar** Score _____
Rater's Initials _____
Maximum Possible Score 67

*The **CIWA-Ar** is not copyrighted and may be reproduced freely. This assessment for monitoring withdrawal symptoms requires approximately 5 minutes to administer. The maximum score is 67 (see instrument). Patients scoring less than 10 do not usually need additional medication for withdrawal.*

Sullivan, J.T.; Sykora, K.; Schneiderman, J.; Naranjo, C.A.; and Sellers, E.M. Assessment of alcohol withdrawal: The revised Clinical Institute Withdrawal Assessment for Alcohol scale (**CIWA-Ar**). *British Journal of Addiction* 84:1353-1357, 1989.

Applicable to Behavioral Health Services Only

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities & Addictive Diseases	DHR Online Directive Information System (ODIS) Directive # 6001-601 Page 1 of 3
ODIS Policy: Maintenance of Safety for Division of MHDDAD Consumers and Staff Subject: Management of Personal Needs Spending Accounts for MHDDAD Consumers in the Community	
Applicability: <ul style="list-style-type: none"> Providers of Community MHDDAD Services State Operated Community Services 	Effective Date: July 1, 2008 Revised: November 14, 2008 Revised Effective Date: November 21, 2008 Scheduled Review Date: July 2010
References: DHR Rules and Regulations 290-9-37-.18; 290-9-37-.19; 290-5-35-.18; 290-4-9	 Gwendolyn B. Skinner Director, Division of MHDDAD 11/19/08 Date
Attachments: none	

MANAGEMENT OF PERSONAL NEEDS SPENDING ACCOUNTS FOR MHDDAD CONSUMERS IN THE COMMUNITY

POLICY

It is the policy of DMHDDAD that personal funds of all consumers are to be used and accounted for according to Federal and State laws and these guidelines. Individuals served in residential services contribute to the cost of room and board expenses based on the amount of their benefits (SSI or SSDI, Veteran's and Railroad Retirement benefits) less an amount for Personal Needs Spending. If the individual's benefit exceeds the amount of the room and board costs, benefits may be used for other consumer personal expenses. Provider organizations serving persons with disabilities (also referred to here as Contractors) ensure that these Personal Needs Spending Accounts are properly managed.

PROCEDURES

Consumer Personal Needs Spending Accounts

The Personal Spending Needs amount is set each year by the Division of MHDDAD. In most cases, Contractors become the payee of residential consumers' checks and maintain consumers' personal needs funds. The Contractor keeps all records pertaining to personal needs accounts (including bank statements and bank books) and at least one set of such records is maintained at the consumer's place of residence.

Residents have the right to manage their own funds. Consumers' ability to manage their funds is documented in their respective individual services plan. In instances where a residential services consumer or his/her representative continues as payee and manages his/her own funds, the consumer or his/her representative is responsible for forwarding benefit funds less the established Personal Spending amount to the Contractor.

Management and Protection of Consumer Funds

In the event the provider organization has to assume responsibility for the safeguarding or management of any consumer valuables or finances, the following requirements are

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DIVISION: MHDDAD	SUBJECT: Management of Personal Needs Spending Accounts for MHDDAD Consumers in the Community	ODIS Policy # 6001-601
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considered minimal and must be fulfilled by the provider organization:

I. The organization must have written and implemented policies and procedures for safeguarding consumer possessions, valuables, and finances. All policies and procedures are in compliance with the guidelines of the Social Security Administration and any other laws or regulations of the federal and state governments. The policies provide for the following:

- A. A strict prohibition, punishable by termination, for any employee, agent or representative of the organization to be listed or designated, either directly or indirectly, as a beneficiary, payee or other recipient of any funds of the consumer, including but not limited to, any insurance, burial or trust benefits;
- B. A procedure in accordance with the guidelines listed below to ensure the timely deposit and accounting of all consumer funds (e.g., trusts, work-related income, Social Security, disability benefits, gifts, etc.) in an account in the individual name of each consumer receiving any such funds;
 - 1. Funds may not be pooled or co-mingled in any organizational account or other combined accounts, or with other individuals' funds.
 - 2. Funds not needed for ordinary use by the consumer on a daily basis are deposited in an account insured by agencies of or corporations chartered by the state or federal government and in a form, which clearly indicates that the organization has only a fiduciary interest in the funds.
 - 3. Funds received from a resident or on his/her behalf may be deposited in an interest-bearing account; provided, however, that any interest earned on such account shall accrue to the consumer.
 - 4. To the extent that certain funds are properly due the organization for services, goods or donations, funds must first be deposited to the individual consumer account and then subsequently disbursed in accordance with these requirements and the written policies of the organization.
- C. A requirement that consumer funds may only be disbursed upon request or authorization of the consumer and/or his/her family, if appropriate, and, in the case where the organization serves as the designee to receive and disburse funds on behalf of the consumer, upon signature or written authorization of two independent staff members or organizational representatives.
- D. A procedure or set of procedures to assure that at least two people, other than those having authorization to receive and disburse funds on behalf of any consumer, independently reconcile consumer bank and/or account records on a monthly basis.
- E. A procedure for establishing and maintaining a written record of all financial arrangements and transactions involving the resident's funds. This record is made available to the resident, his/her family or guardian, the Regional Office,

Applicable to Behavioral Health Services Only

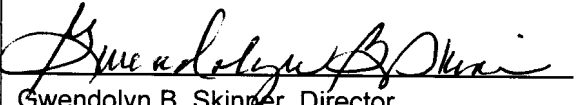
DIVISION: MHDDAD	SUBJECT: Management of Personal Needs Spending Accounts for MHDDAD Consumers in the Community	ODIS Policy # 6001-601
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and any other legally authorized representative for inspection and copying upon request.

- F. A method for providing to each consumer on at least a quarterly basis a written statement showing the current balance of any account(s) and an itemized listing of all transactions occurring during that quarter; and
- G. A procedure or set of procedures to account for and inventory consumer possessions to include insurance and other benefits policies (exclusive of consumer funds) on a semi-annual basis to assure clothing, personal effects, memorabilia, and other items of personal value are protected and, as appropriate, remain in the consumers possession during the course of his/her time receiving care and/or services from the organization.

II. The organization that has assumed responsibility for safeguarding and/or managing consumer possessions or finances ensures that monitoring and reporting on the use of personal funds are incorporated into the organization's Quality Improvement Program. Individual financial records are subject to audits by the Social Security Administration and by DHR.

III. In the case of any breach of these procedures or any loss, theft or misappropriation of consumer possessions or funds, the organization must immediately comply with all requirements of the Division's policies regarding incident reporting and investigation, documenting the occurrence(s) and any redress which has occurred. The provider organization bears full liability to replace, either through insurance, bond, surety or cash, any funds illegally or inappropriately taken from a consumer by any employee, agent or representative of the organization.

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities & Addictive Diseases	DHR Online Directive Information System (ODIS) Directive # 6204-101 (Previously DMHDDAD Policy 11.100) <div style="text-align: right;">Page 1 of 8</div>
DHR ODIS Policy: General Administration of Community Behavioral Health Services Subject: Payment for Community Mental Health and Addictive Diseases Services: Determining the Ability of an Individual to Pay for Services, Sliding Fee Scale Charges Based on Ability to Pay, Collection of Fees, Refusal of an Individual to Pay and Management of Accounts Receivable.	
Applicability: Community Providers of Mental Health and Addictive Diseases Services	Original Policy Date: July 1, 2007 Last Revision: October 18, 2007 Current Revision Date: April 17, 2008 Effective Date: July 1, 2008 Approved:
References: Official Code of Georgia Annotated 37-2-4; Official Code of Georgia Annotated 37-2-11 (c)	 Gwendolyn B. Skinner, Director Division of MHDDAD <u>5/8/08</u> <hr/> Date Signed
Attachments: A – Application for Financial Assistance for Mental Health and Addictive Disease Services B – Behavioral Health Sliding Fee Scale for Community Based Services	

PAYMENT FOR COMMUNITY MENTAL HEALTH AND ADDICTIVE DISEASES SERVICES:
 DETERMINING THE ABILITY OF AN INDIVIDUAL TO PAY FOR SERVICES, SLIDING FEE SCALE CHARGES BASED ON ABILITY TO PAY, COLLECTION OF FEES, REFUSAL OF AN INDIVIDUAL TO PAY, AND MANAGEMENT OF ACCOUNTS RECEIVABLE

PURPOSE

This policy establishes:

1. **Ability to Pay:** The income and financial resources that are used in establishing an individual's ability to pay for services and the process for determining the percentage of the individual's payment responsibility;
2. **Sliding Fee Scale:** A single state-wide sliding fee schedule that establishes the percentage that a person funded by DMHDDAD state funds will be charged for services based on the consumer's adjusted income;
3. **Refusal to Pay:** The actions an organization may take when an individual refuses to pay and the review process of those actions that a consumer or representative may take once an organization has taken or proposes to take action; and,
4. **Accounts Management:** The guidelines that may be used to manage account receivables as a result of inability to collect fees.

POLICY

It is the position of the Division of Mental Health, Developmental Disabilities and Addictive Diseases (MHDDAD) that an organization must vigorously pursue payment for services so that public resources can be maximized to meet the needs of citizens that have been determined to be unable to pay or who can not pay the full maximum rate for services. While the Division supports the organization's right and responsibility to collect legally recognized debt, in exercising this right, the health and safety of the consumer must not be jeopardized. Under no circumstances may organizations refuse to provide clinically indicated services to customers based on a determined inability to pay. This policy governs the maximum that a consumer may be charged, the assessment of financial status, the ability to pay, the dispensation of outstanding payments, the termination of services for lack of payment, and the review of these actions.

DIVISION OF MHDDAD	SUBJECT: PAYMENT FOR COMMUNITY MENTAL HEALTH AND ADDICTIVE DISEASES SERVICES	ODIS Directive # 6204-101
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State funds paid to organizations are a benefit for those individuals who meet the functional, diagnostic and financial eligibility criteria established by the Division. This policy establishes the payment amount that those individuals who are eligible for services under the Division's eligibility criteria are required to pay. The state's payment along with the consumer's co-payment must be considered full compensation for the services provided to an eligible individual served by the organization.

APPLICABILITY

All state-operated community service organizations and organizations under contract, letter of agreement, memorandum of understanding or service agreement with the Division or organizations approved by MHDDAD to provide community based Mental Health and Addictive Diseases services. This policy governs services provided to individuals who meet the Division's established eligibility criteria requirements for mental health and/or addictive diseases services.

REFERENCE

Official Code of Georgia Annotated 37-2-4; Official Code of Georgia Annotated 37-2-11 (c)

DEFINITIONS

The following definitions are used only for the purposes of this policy:

1. **Ability to pay:** A person is determined to have an ability to pay using their adjusted income and applying that to the income levels found on the division's statewide sliding fee scale. Individuals whose adjusted income is at or below the poverty level for their family size in accordance with Health and Human Services Poverty Guidelines are determined not to have an ability to pay for services and therefore are not required to pay a fee. For individuals and families above the poverty guidelines, ability to pay is based on their adjusted income, family size and the percentage of the full charge payment as indicated on the division's sliding fee scale.
2. **Adjusted Monthly Income:** The total monthly income minus the total allowable deductions. The allowable deductions are defined on the Application for Financial Assistance for Community Mental Health and Addictive Diseases Services (**See Attachment A**) form that must be used to identify the percentage of the rate to charge an individual who has been determined to have an ability to pay for services.
3. **Clinical Exception:** A clinical exception is identified when it has been determined that payment from the consumer is impractical due to the consumer's current mental status, comprehension or level of functioning and payment is thereby adjusted, suspended or waived.
4. **Crisis:** An individual is determined to be in crisis when:
 - The individual is experiencing a behavioral or psychiatric crisis which could potentially endanger the safety of either the individual or others; or
 - The individual is experiencing hallucinations, delusions, disorientation, generalized confusion or unusual or dangerous behaviors, or

DIVISION OF MHDDAD	SUBJECT: PAYMENT FOR COMMUNITY MENTAL HEALTH AND ADDICTIVE DISEASES SERVICES	ODIS Directive # 6204-101
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- The individual is experiencing a substance withdrawal crisis.
5. **Division:** The Division of Mental Health, Developmental Disabilities and Addictive Diseases which is a division of the Department of Human Resources.
 6. **Department:** The Department of Human Resources
 7. **Eligible Consumer:** An individual who meets the published eligibility for Division funded or authorized services. For mental health and addictive diseases services this is currently the Core Customer. A person who is mandated to services or who is under court/correctional supervision will be evaluated in the same manner as all other consumers and their ability to pay will be determined in keeping with this policy.
 8. **Family:** A family is an inter-reliant unit of people. For the purposes of determining the number of family members living in a family unit to establish ability to pay, one uses the same logic applied in determining a dependent when completing a federal tax return. If a person is determined to need the financial support of the inter-reliant unit to live and could meet the test to be claimed as a dependent on someone's tax return, then they are a part of that person's family and should be included when determining the family size. Adult children living at home but not claimed as a dependent on the family's tax return must be considered a family of one.
 9. **Maximum Charge/Fee:** The highest amount an organization may charge for a service provided to an individual who is served under contract or agreement with the Department.
 10. **MHDDAD:** The Division of Mental Health, Developmental Disabilities and Addictive Diseases which is a division of the Department of Human Resources
 11. **Organization:** Any legally recognized entity that has a contract, a letter of agreement, a memorandum of understanding, a provider agreement or that is approved by the Division for the provision of community based mental health or addictive diseases services. This includes hospital and other operators of state operated community services.
 12. **Poverty:** The poverty income level is determined using Health and Human Services Poverty Guidelines for the 48 Contiguous States and the District of Columbia.
 13. **Refusal to Pay:** A person is determined to refuse to pay for services when:
 - It has been determined that they have the ability to pay the minimal charge, part or all of the charge for services based on his/her adjusted income being applied to the sliding fee scale; and,
 - They have the mental and emotional acuity to understand payment is expected and to understand the consequences of not paying but refuse to pay any outstanding debt or an individual who is at least 90 days in arrears.
 14. **Review:** A process requested by the consumer or their representative based on the percentage of charge (or request to adjust percentage) determined by the organization and the collection of outstanding payments. The impending termination of services to a consumer for refusal to pay triggers an automatic review of the consumer's circumstances.

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The review will include an administrative review as well as a clinical review to assure the consumers ability to comprehend the actions and that the consumer is not dangerous to self or others.

15. **Service Rates:** The rates that organizations may charge for the covered services that are provided. These rates are contained in the Division of MHDDAD Provider Manual.
16. **Sliding Fee Scale:** A statewide scale developed by the Division that determines the percentage of the full charge for a service that an individual will be charged based on their adjusted income and family size.
17. **Third Party Coverage:** Any health insurance, Medicaid or Medicare benefits that can be used to pay for services. The organization will bill the individual's third party coverage and the individual for services in accordance with that health plan's protocol for beneficiary billing. For services or cost not covered by the third party, excluding any required co-payment by the third party, the consumer's payment will be based on their adjusted monthly income applied to the sliding fee scale. If the service is covered by the third party provider but not authorized for the consumer, state funds will not be used to pay for part or all of those services. If the service is covered by the individual's third party coverage but the organization is not approved to provide that service or the organization does not have appropriately credentialed staff to provide the service, state funds will not be used to pay for part or all of that service.

PROCEDURES:

- I. Rates for various behavioral health services are contained in the MHDDAD Provider Manual.
- II. Organizations must use the **Behavioral Health Sliding Fee Scale for Community Based Services (See Attachment B)**.
- III. Organizations must develop policies and procedures that conform to the requirements of this policy to govern the determination of an individual's ability to pay, the collection of payments, an individual's refusal to pay and an administrative and clinical review process. These policies and practices must include a provision that requires a posted notice informing all consumers that assistance will be provided to anyone who needs it in the completion of financial assistance applications and in the securing of any required verification. The notice shall include a phone number and the name of a person or office within the provider agency where this assistance can be obtained. Staff shall be designated and trained to provide assistance. The review process will address a process for consumers to use when they believe they have been assigned a payment amount that exceeds their ability to pay or a review of the collection of debt for services delivered. When adverse action is taken as a result of non-payment a review will automatically be initiated by the organization. The policy and procedures must establish the organization's processes in the following areas:

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- a. **Verification:** The collection and verification of information contained in the application for financial assistance.
- b. **Consumer Notification of Fee:** The notification process used to inform the consumer of their responsibility for payment for services, the amount or percentage they will be expected to pay and the rates for services.
- c. **Collection:** Agencies may use a process in which payment is requested, but not required, at time of services. Services (particularly crisis services) may not be denied due to lack of payment at the time of the appointment. Continued non-payment for services and payments that are more than 90 days delinquent will be considered refusal to pay and the organization may take action in accordance with policy. The consumer will be notified of the organization's policy and their right to request a review of any such action.
- d. **Review:** The administrative and clinical process requested by the consumer or their representative based on the percentage of charge (or request to adjust percentage) determined by the organization and the collection of outstanding payments. The termination of services to a consumer for refusal to pay triggers an automatic review of the consumer's circumstances. The review will include an administrative review and a clinical review to assure the consumers ability to comprehend the actions and that the consumer is not dangerous to self or others.
- e. **Accounts Receivables:** Agencies may use a variety of approaches to collect outstanding consumer fees including mailing of bills and the use of collection agencies. Accounts on which no payment has been made in over 90 days should be considered delinquent and the policy developed by the organization must identify the steps to be taken to pursue payment and/or to write off the debt.

- IV. The **Application for Financial Assistance for Community Mental Health and Addictive Diseases** form (See Attachment A) must be used to determine the consumer's adjusted monthly income. The organization must make every reasonable attempt to verify the information contained on the application including asking for tax returns, pay check stubs, verification of benefits from DFCS, and so forth. The information gathered will be used to determine the individual's adjusted monthly income. The adjusted monthly income will be used to determine a person's ability to pay.
- V. The following individuals have been determined to not have an ability to pay for service and by policy their services are covered by department funds. No payment amount will be assessed to a person who has been determined to not have the ability to pay for services. The payment for these services will be received from MHDDAD.
 - a. Individuals whose adjusted income is at or below the poverty level for their family size in accordance with Health and Human Services Poverty Guidelines are determined not to have an ability to pay for services and therefore will not be required to pay a fee.
 - b. An individual seen in crisis or who is determined to be a danger to self or others will not be charged for those crisis services or expected to pay a payment until the crisis is sufficiently resolved and a determination is made as to ability to pay. When an individual is in crisis, they are to be served without regard to their ability

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to pay. A determination of their ability to pay should be made after the crisis has been addressed. After resolution of the crisis, the policy provisions apply.

- c. Individuals referred from the probate court, other public safety officials or emergency rooms to be screened for admission to the state hospital or crisis stabilization program that have no insurance, Medicaid or Medicare will not be charged for the assessment until the situation is sufficiently resolved and a determination of ability to pay can be completed.

- VI. Organizations must make every effort to assure that consumers or the legally responsible person(s) are aware of and understand their responsibility to pay for services and the amount, their right to request an adjustment, and their right to request a review of actions taken by the organization with regard to their payment and/or continuation in service as a result of payment or lack of payment. The provider must clearly inform the consumer or responsible party how it expects payment for services, the organizations billing procedures, payment options and amount of payment.
 - a. At admission and as financial circumstances in the consumer's life change but at least annually, the organization must complete or update the Application for Financial Assistance.
 - b. Consumers who refuse or fail to provide information concerning their financial status or third party payors and for whom there is no indication that this action is related to the individual's clinical status, after 60 days of the initiation of services the consumer must be charged the full charge using the rates established by MHDDAD until they provide the required information. If the individual does not pay, they may be considered as refusing to pay for services. If the consumer's ability to produce this documentation is impaired by his/her mental illness/SA issue and/or the consumer's risk of psychiatric hospitalization, incarceration, or significant deterioration in health will be impacted, then the provider extends this time period until such time as the consumer can produce this information. This action is subject to an automatic administrative and clinical review as defined by this policy, as explained in Section VIII.
 - c. Financial verification information may also be obtained from an independent source such as the Department of Labor.
- VII. The organization must use the MHDDAD sliding fee scale to determine the individual's charge for services.
 - a. The sliding fee scale will be used to determine the entire consumer responsibility for all community services provided by the organization. The adjusted monthly income from the application will be applied to the appropriate scale according to family size (see definition of family).
 - b. If a consumer served in a group or staffed residential setting is receiving SSI payments, other monthly payments or is employed, they are expected to contribute toward the cost of room and board.
- VIII. Consumers who are charged a reduced charge based on the sliding fee scale will not be billed by the organization for the difference in cost for the service provided. The organization will accept third party payment, Medicare, and Medicaid payment

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and related co-payments as payment in full for covered services. State funds will not be used to reimburse for services that are covered by another payment source, even when that other payment source denies authorization/payment for one or more of its covered services. For services that are not covered by other payment sources, the eligible consumer will pay in accordance with the sliding fee scale established by this policy.

- IX. If a consumer is determined to have the ability to pay and the capacity to understand what it means to refuse to pay for services and refuses to pay, an administrative and clinical review of the circumstances must be conducted prior to denial of any services.
- The administrative review will include consulting with the consumer about any change in financial status including loss of employment, changes in income, family crisis, the birth of a new child and so forth and, if appropriate, a re-determination of the consumer's ability to pay is conducted. The consumer must be given the opportunity to pay any new amount before any action may be initiated by the organization. The administrative review must be concluded within 30 calendar days of the consumer's refusal to pay.
 - If no resolution is reached from the administrative review, a clinical review must be conducted by a Mental Health Professional or Substance Abuse Manager (MHP/SAM) designated by the organization, in conjunction with the consumer's community support worker/case coordinator/case manager to determine mental and diagnostic status or other factors that might contribute to non-payment and to determine whether the consumer is in crisis or at risk of inpatient care and/or dangerous to self or others. The consumer must be notified of the review and if he/she chooses to participate, it must be scheduled to accommodate their particular situation (i.e., a convenient time, access to transportation, and so forth).
 - If the clinical review finds that the consumer is dangerous to self or others, is in crisis or requires inpatient level of care, or if discontinuing services will result in crisis or inpatient care, then services must continue.
 - If the clinical review finds that the consumer is not dangerous to self or others, not in crisis or not requiring inpatient level of care, the consumer may be denied services based on refusal to pay. Every effort must be made to develop a payment schedule that is agreeable to all parties and will result in the individual staying active in service.
 - Consumers who at admissions are dangerous to themselves or others, in crisis, or at risk of inpatient care must be served regardless of ability to pay status or their payment history with the organization. State funds will cover the maximum rate until such time as the crisis is resolved.
 - If services are denied due to clinical or administrative findings as specified in these guidelines, the consumer must be notified in writing within five (5) days of the hearing, with an informational copy sent to the Regional Coordinator for the county of residence of the consumer. Notification of termination of service(s), as well as dates of the administrative and clinical reviews, and the reason(s) for the action must be communicated through face-to-face contact with the consumer and confirmed by mail with a certified return receipt requested. If a face-to-face contact is not possible due to the consumer's refusal, documentation of the

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attempted meeting will suffice. The written notification mailed to the consumer will include the statement that the consumer may receive services if he/she agrees to pay the assessed rate or provides the information needed to assess their ability to pay for services (this may include a payback schedule over time) or if the consumer experiences an acute crisis.

- g. The decision-making process associated with the termination of services must be thoroughly documented in the consumer record, including the findings of the administrative and clinical reviews and a copy of the written notice of termination of services.

X. Any consumer or consumer designated representative may request an Administrative and Clinical Review of the determination of the individual's ability to pay, the percentage of fee charged, refusal by the organization of admissions to or the discharge from services due to the individual's ability to pay, or collection of outstanding payments. The organizations policy must clearly identify the process to be used and the organization must assure its staff and consumers are knowledgeable of the process. The request for review must be communicated to the organization preferably in writing but a verbal request is acceptable. The request for review must identify the decision being reviewed, the facts in support of the review and the relief sought.

- a. The organization according to policy will have 30 calendar days to respond to the request for review.
- b. The organization must review the request according to its policy. The review must be evaluated from a clinical and an administrative prospective. The consumer must be notified in writing within five (5) days of the review, with an informational copy sent to the Regional Coordinator for the county of residence of the consumer.

GEORGIA DEPARTMENT OF HUMAN RESOURCES
Application for Financial Assistance for
Community Mental Health and Addictive Diseases Services

Today's Date: _____

If you need help in completing this form or if you have questions about this form a staff member will be happy to assist you.

Payment for services is expected. If you do not have health insurance you can complete this form in order to determine if you qualify for state financial assistance in paying for your services. In order to qualify for this assistance you will also need to provide proof of income such as copies of recent pay stubs or your most recent tax return.

In order for us to bill your health insurance company, Medicaid or Medicare you will need to provide proof of your insurance, including the group number and policy number. You will be responsible for any co-payments or deductibles required by your insurance policy.

This application will be considered without regard to race, color, sex, age, handicap, religion, national origin, or political belief. Failure to provide accurate information may result in you being charged the full charge or in the denial of services.

Name: _____
Last First Middle Initial

CID # _____
(to be completed by the Provider Organization)

Address: _____

City, State & ZIP: _____

Phone Number: Home: (____) _____ Work: (____) _____

Social Security Number: _____ - _____ - _____

Method of Payment:

1. Self Pay ☐ 2. Medicaid ☐ #: _____ 3. Medicare ☐ #: _____

4. Insurance ☐ Company: _____

Group Number: _____ Policy Number: _____

Is pre-certification required? ☐ Yes ☐ No Verification of coverage complete? ☐ Yes ☐ No

5. Co-Insurance ☐ Company: _____

Group Number: _____ Policy Number: _____

Is pre-certification required? ☐ Yes ☐ No Verification of coverage complete? ☐ Yes ☐ No

6. Currently in Jail? ☐ Yes ☐ No County/City: _____

7. Employed ☐ Employer: _____ Unemployed ☐ Retired ☐

TANF ☐ SSI ☐ Social Security ☐

8. If unemployed, date of last employment: __/__/____ Previous Place of employment: _____

_____ Did you have insurance coverage? ☐ Yes ☐ No If Yes, Name of the

Insurance Company: _____

Group Number: _____ Policy Number: _____

Income: (Combined Family/Guardian)

1. Are you claimed as a dependent on someone's Federal or State income tax? ☐ Yes ☐ No

If yes, what is the relationship? Parent ☐ Other Relative ☐ Legal Guardian ☐ Other ☐.

If yes to above, the following questions apply to the household income. If the answer to the above is no, then report only the income of those individuals reported on your last tax return.

	Initial	Update	Update	Update
Dates of Application Reviews	Date:	Date:	Date:	Date:
	Amount	Amount	Amount	Amount
Monthly Income from Wages				
Consumer Gross Wages	\$	\$	\$	\$
Spouse Gross Wages	\$	\$	\$	\$
(18 years of age or younger or as a dependent on income tax) Legal Guardian 1 Gross Wages	\$	\$	\$	\$
Legal Guardian 2 Gross Wages	\$	\$	\$	\$
Monthly Income from Other Sources				
SSI	\$	\$	\$	\$
TANF	\$	\$	\$	\$
V.A.	\$	\$	\$	\$
Child Support	\$	\$	\$	\$

[illegible]

Based on this information and the attached fee scale, the determined charge(s) for my services are listed below:

Service	Consumer Fee Amount Per Established Period

- I affirm that the statements above are true and accurately reflect my current financial circumstances.
- I understand that I am responsible for payment for services provided to my dependents or myself.
- I understand that the organization may ask me for additional information to assist in making a final determination of my ability to pay.
- I further understand that the organization may verify the information provided and give my consent for the verification by signing this application.
- I understand that my financial status will be reviewed annually or as circumstances change.
- I also understand that I have the option to review the decision by following the review process.

Signature of Consumer or Representative
(If a minor, parent/guardian's signature)

Date

Fee Scale

[illegible]



Chapter: Developmental Disabilities Community Services

Subject: Personal Funds, Possessions Safeguards, and Room and Board Charges in Developmental Disabilities Residential Services

Applicability:

DD Residential Providers

References:

Social Security Representative Payment Program

Attachments:

Attachment A – Money Management Tool

Attachment B - Personal Spending Account Record

Attachment C - Standard Room and Board Contract

Effective Date: July 1, 2010

Scheduled Review Date: July 2011

Approved:

Beverly D. Rollins

Beverly D. Rollins, M.P.A., Executive Director,
Division of Developmental Disabilities

Date

Frank E. Shelp

Frank E. Shelp, M.D., M.P.H., Commissioner

Date

PERSONAL FUNDS, POSSESSIONS SAFEGUARDS, AND ROOM AND BOARD CHARGES IN DEVELOPMENTAL DISABILITIES SERVICES

POLICY STATEMENT

It is the policy of the Department of Behavioral Health and Developmental Disabilities (DBHDD) that individuals served in Developmental Disabilities (DD) Community Residential Alternative (CRA) services contribute to their room and board expenses. CRA providers must maintain a current personal spending policy which is consistent with this DBHDD policy, the current DBHDD Provider Manual, and any other applicable state or federal requirements. All DD residential providers must follow the requirements for safeguarding individual possessions, valuables, and finances specified in this DBHDD policy and maintain a current policy consistent with these requirements.

DEFINITIONS

Benefits – The amount of unearned income received by a person through Social Security Disability Insurance (SSDI), Social Security Disability Insurance for Disabled Adult Children (SSDAC), Supplemental Security Income (SSI), Veterans, or Retirement benefits.

Community Living Arrangement – A licensed residence, whether operated for profit or not, that undertakes through its ownership or management to provide or arrange for the provision of daily personal services, supports, care, or treatment for two or more adults with developmental disabilities, who are not related to the owner or administrator by blood or marriage and whose

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residential services are financially supported, in whole or in part, by funds designated through the DBHDD.

Community Living Support – Services which are individually tailored supports that assist with the acquisition, retention, or improvement in skills related to an individual’s continued residence in his or her own or family home.

Community Residential Alternative – Services which are targeted for individuals who require intense levels of residential supports in small group settings of four or less, foster homes, or host homes and include a range of interventions with a particular focus on training and support in one or more of the following areas: eating and drinking, toileting, personal grooming and health care, dressing, communication, interpersonal relationships, mobility, home management, and use of leisure time.

DD Residential Services – Any out of family home placement funded by DBHDD where the provider is a provider of DD Community Residential Alternative Services and the person served is authorized to receive DD residential services. Residential services include DD services provided in any out of home placement, such as in personal care homes, community living arrangements, and host homes, and pertain particularly to any situation in which a room and board payment exists. DD residential services also include individuals who receive Community Living Support Services in their own home.

Earned Income – Compensation from participation in a business, including wages, salary, tips, commissions and bonuses.

Family Home – A family home is defined as a home where a person lives with family members and where services funded by DBHDD are provided in that home.

Host Home – The (unlicensed) private home of an individual or a family, whether owned or leased, in which residential supports are provided to one or two adults with developmental disabilities, and in which the following requirements are met: (1) The home owner or lessee shall not be an employee of the same DBHDD approved provider agency which provides the host/life sharing home services; (2) Individuals should not be related to the occupant owner or lessee by blood or marriage; and (3) The occupant owner or lessee shall not be the guardian of any person served on their property nor the agent in such person’s advance directive for health care.

Personal Care Homes – A licensed residence that provides or arranges for the provision of housing, food service, and one or more personal services for two or more adults with developmental disabilities, who are not related to the owner or administrator by blood or marriage. (Personal services include but are not limited to individual assistance with and supervision of self-administered medications and essential activities or daily living such as eating, bathing, grooming, dressing, and toileting.)

Personal Funds – Money available for the individual to spend on personal needs, comprised of those funds he or she has available after deducting costs associated with room and board.

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Provider – For the purposes of this policy, the term provider includes organizations that provide developmental disabilities residential services that are financially supported in whole or in part by funds authorized through DBHDD. In this policy, the word organization is also used to refer to a provider.

Room and Board Costs – Provider costs associated with running a DD residential program that are not reimbursed by waiver or state funds which include, but are not limited to rent, utilities, food, paper items, household appliances and products, phone, cable/satellite TV, internet access, lawn care, and generic personal products (soap, shampoo, toothpaste, etc).

Unearned Income – Is defined by SSI as any cash or in-kind item that is NOT earned income, and includes anything an individual receives in cash or in-kind that can be used to meet the basic needs for food or shelter as income.

PROCEDURES

A. Management of Funds of Individuals Served by the Residential Provider Organization

- I. Individuals have the right to manage their own funds. However, the residential provider organization is responsible for the safeguarding and management of any individual valuables or finances. This responsibility is applicable regardless of the payee status of the provider. Independent management of funds is documented in the person's Individual Service Plan (ISP).
- II. Providers are responsible for the implementation of this policy as well as other policies associated with the management and protection of the funds of individuals served.
- III. The individuals' ability to manage their funds is documented in their respective Individual Service Plan. Additionally, upon admission, each individual's capacity for money management is assessed. This is documented in **Attachment A - Money Management Tool**.
- IV. When a person served is unable to manage funds and there is no one else in the life of the individual who is willing and able to assist in the management of the person's valuables or finances, the residential provider must be able to demonstrate an ongoing effort to secure an independent party to manage those valuables or finances.
- V. The organization has policies and clear accountability practices for the safeguarding, management, and the individual's use of his or her valuables or finances. Organizational policies address the event in which the organization (by virtue of clinical assessment and/or agreement with the person served or their designated representative if available) has to assume responsibility for the safeguarding or management of the valuables or finances of individuals served by the organization.
- VI. The organization demonstrates special care to assure that the funds of individuals served by the organization are not mismanaged or exploited. Procedures define the checks and balances established to ensure agency accountability. The agency is able

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to demonstrate evidence of working toward the goal of participative management of the personal funds of the individuals served by the agency.

- VII. Personal funds are readily accessible for use by the individuals served by the organization. A mechanism is in place, at least on a quarterly basis to assure that the individual and/or representative is aware of monies that are in his or her personal account. A statement of funds received and spent is provided to the individual and/or representative when requested. The monies of individuals served by the organization are not co-mingled with organization or other people's monies.
- VIII. The organization that has assumed responsibility for safeguarding and/or managing individuals' possessions or finances ensures that monitoring and reporting on the use of personal funds are incorporated into the organization's Quality Improvement Program. Individual financial records are subject to audits by the Social Security Administration and by DBHDD.
- IX. To the extent that certain funds are properly due the organization for services, goods or donations, funds must first be deposited to the personal account of the individual served by the organization and then subsequently disbursed in accordance with these requirements and the written policies of the organization.
- X. A procedure or set of procedures to assure that at least two people, other than those having authorization to receive and disburse funds on behalf of any individual, independently reconcile the bank and/or account records of any individual served by the organization on a monthly basis.
- XI. When providers become the payee of individuals' checks, they must maintain records of each individual's personal funds and all other records pertaining to personal needs accounts (including bank statements and bank books) and at least one set of such records must be maintained at the individual's place of residence. Documentation of personal spending, including spending from benefits, earned income and gifts are accounted for on the Division of DD approved **Personal Spending Account Record (Attachment B)**. This document is kept at the individual's place of residence. The documentation is to be available to the person served, his or her family, the Support Coordinators, the Regional Office, and any other legally authorized representative for inspection and copying upon request.
- XII. DD providers who are the representative payee for individuals they serve must adhere to Social Security Guidelines for Organizational Representative Payees, which includes, but is not limited to, the following:
 - Determining the individual's current needs for day-to-day living (e.g., food, clothing, housing, medical expenses and personal items) and using his or her payments to meet those needs;
 - Keeping written records for at least two years of all payments from the Social Security Administration (SSA), bank statements and cancelled checks, receipts or cancelled checks for rent, utilities, and major purchases;
 - Reporting to SSA changes in the individual's entitlement or in circumstances impacting performance as a payee;
 - Completing all required annual and any other periodic reporting;
 - Meeting the above listed and all other requirements as specified at the following website: <http://www.socialsecurity.gov/payee/NewGuide/toc.htm>

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B. Safeguarding Individual Possessions, Valuables, and Finances

The organization must have written and implemented policies and procedures for safeguarding the personal possessions, valuables, and finances of individuals served by the organization. All policies and procedures are in compliance with the guidelines of the Social Security Administration and any other laws or regulations of the federal and state governments. The policies must provide for the following:

- I. In the case of any breach of these procedures or any loss, theft or misappropriation of individuals' possessions or funds, the organization must immediately comply with all requirements of DBHDD policies regarding incident reporting and investigation, documenting the occurrence(s) and any redress which has occurred. The provider organization bears full liability to replace, either through insurance, bond, surety or cash, any funds illegally or inappropriately taken from an individual served by the organization or by any employee, agent, or representative of the organization.
- II. A procedure or set of procedures to account for and inventory individual's possessions to include insurance and other benefits policies (exclusive of the funds of the individual served) on a semi-annual basis to assure clothing, personal effects, memorabilia, and other items of personal value are protected and, as appropriate, remain in the individual's possession during the course of his/her time receiving care from the organization.
- III. A strict prohibition, punishable by termination, for any employee, agent or representative of the organization to be listed or designated, either directly or indirectly, as a beneficiary, payee or other recipient of any funds of the individual, including but not limited to, any insurance, burial or trust benefits.

C. Room and Board

- I. If a person has unearned income greater than the current SSI payment, only the SSI dollars are considered in determining room and board costs. All remaining benefits will be given to the person served as personal needs allowance.
- II. For an individual who has a combination of earned and unearned income or solely earned income, the room and board rate is always the equivalent of 90% of the current year's SSI federal benefit rate. All remaining funds, earned or unearned, belong and are available to the person served.
- III. Persons who receive SSDI pay the equivalent of 90% of the current year's SSI federal benefit rate amount towards room and board.
- IV. Providers of residential services, upon admission and annually thereafter, complete **Attachment C - Standard Room and Board Contract**. Copies of each contract are maintained in the record of the person served.
- V. Failure to adhere to these procedures constitutes a serious violation of state regulations and results in an investigation for mismanagement of funds and disciplinary action.

DBHDD, DIVISION OF DEVELOPMENTAL DISABILITIES

MONEY MANAGEMENT TOOL

NAME:

DATE:

STAFF ADMINISTERING TEST:

SKILL	Independent	Assistance Needed	Full Supervision	ISP Goal Needed Y/N	Implementation Strategy to Meet ISP Goal
1. Aware of and understands all financial sources and amounts.					
2. Aware of and understands rent, board and other bills.					
3. Budgets enough money to pay all bills.					
4. Creates daily budget.					
5. Creates weekly budget.					
6. Follows daily or weekly budget.					
7. Keeps money safely in wallet or room.					
8. Saves money for miscellaneous items, trips, etc.					
9. Deposits into / withdraws money from bank account independently.					
10. Writes out checks or money orders independently.					

OVERALL ASSESSMENT:

DIVISION OF DEVELOPMENTAL DISABILITIES
Georgia Department of Behavioral Health and Developmental Disabilities

STANDARD ROOM AND BOARD CONTRACT

THIS AGREEMENT, made on _____ between
_____, hereinafter referred to as payee.

_____, at _____
(Provider Agency) (Address of Provider Agency)
Hereafter referred to as provider

WITNESSETH:

Whereas, the payee is participating in a program furnished by the provider; and
Whereas, room and board is furnished by the provider at

(Address of Residence)

- (1) Payee agrees to pay provider \$ _____, (90% of the current year's SSI federal benefit rate) in room and board fees.
- (2) Payee agrees to pay the provider \$ _____, the remainder of the individual's earned or unearned income to be given to the person served monthly.
- (3) Room and Board payment shall be made on the monthly basis and shall be due and payable the first day of each month. Payments for periods of less than a month shall be pro-rated and shall be due and payable prior to the person in services leaving the facility.
- (4) Monies for room and board shall be paid to the person designated by the provider. Such persons shall issue a receipt showing a monthly payment and period covered.

SIGNED

Provider Date

Payee Date

Witness Date

Individual or Guardian Date

Witness Date



Chapter: Developmental Disabilities Community Services

Subject: Prevention of Choking for Individuals with Developmental Disabilities Living in the Community

Applicability: All Developmental Disability
Community Service Providers

Effective Date: July 1, 2010

Scheduled Review Date: July 2011

References:

none

Approved:

Beverly D. Rollins

Beverly D. Rollins, M.P.A., Executive Director
Division of Developmental Disabilities

Attachments:

Attachment A: Definitions regarding food size

Attachment B: Guidelines for possible modified diet
choices

Attachment C: Risk Factors for Choking, Aspiration,
Aspiration Pneumonia, and those with Dysphagia

Attachment D: Preventative/Safety Measures for
Choking, Aspiration, Aspiration Pneumonia, and
those with Dysphagia

Attachment E: Signs/Symptoms of Dysphagia,
Choking, Aspiration, and Aspiration Pneumonia

Attachment F: Things to Include in an Individual's
Plan for Mealtimes

Date

Frank E. Shelp

Frank E. Shelp, M.D., M.P.H., Commissioner

Date

Prevention of Choking for Individuals with Developmental Disabilities Living in the Community

POLICY

The Department of Behavioral Health and Developmental Disabilities (DBHDD) expects providers of developmental disability (DD) services to ensure that persons with developmental disabilities do not become choking victims by:

- Assessing risk
- Putting actions in place based on assessment

DEFINITIONS

- **Aspiration** - The entry of secretions or foreign material into the trachea and lungs.
- **Aspiration Pneumonia** - The entry of secretions or foreign material into the trachea and lungs which produces an inflammation of the lungs
- **Choking** - An obstructed airway, usually by a foreign object
- **Dysphagia** - Difficulty swallowing
- **Pica** - eating one or more nonnutritive substances on a persistent basis for a period of at least one month.
- **Provider** - For the purposes of this policy, the term provider includes organizations that provide developmental disabilities residential services that are financially

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supported in whole or in part by funds authorized through DBHDD. In this policy, the word organization is also used to refer to a provider.

PROCEDURES

All providers ensure compliance with the DBHDD Provider Manual Community Service Standards, including all standards specific to personal safety:

- Train staff regarding specialized diets.
- Individualize diets.
- Fine chop all foods, as needed, before the person gets to the table.
- Protocol for an unconscious choking victim.
- Thoroughly discuss history of choking and risky mealtime behaviors of eating rapidly and food stuffing in the Individual Service Plan (ISP), behavior plan, and nursing care plan.
- Ensure all staff working with an individual have access to information about that person's dietary needs readily available in the living and working area.

DD Providers immediately review each individual's Health Risk Screening Tool (HRST) when it is completed or updated, in order to ensure that the following information is included in the Individualized Service Plan (ISP) and is readily available to all staff working with these individuals:

- Discussion and documentation by the appropriate medical staff, for example: dietitian, primary care physician, etc. for conditions that cause the individual to be at risk of choking.
- Definition of the type of diet prescribed with portion size and the size of pieces specified, for example: chopped diet = mechanically cut (meat chopped into pieces no larger than ¼"; fruit & vegetables chopped into fruit cocktail-size pieces, etc.). See attached charts for reference.
- The appropriate techniques to use to assist an individual who is at risk from choking during mealtimes and when eating snacks.
- Documentation of the following: the training needed, the staff responsible for conducting the training, the due dates for initial and follow up training, and the frequency of the training.

Provider agencies are advised to consider extraordinary precaution and possible exclusion of the following foods if warranted for the safety of some individuals. This consideration should be given specifically for sausages and hotdogs that are of questionable nutritional value and may be particularly dangerous.

EXAMPLES OF CHOKABLE FOODS, not inclusive:

- sausage, hot dog (whole chunks)
- cherries with pits
- meat (whole chunks)

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- hard candy
- nuts
- popcorn kernels
- raisins
- raw apples, pears, carrots, beans
- stringy foods
- whole olives
- whole grapes
- peanut butter

All providers:

- Develop an individualized protocol for staff to use when working with each individual who is at risk for choking, based on an individualized assessment of each individual completed by the appropriate licensed health care practitioner. This should include information regarding type of diet, preparation of food in safe location away from individual at risk of choking, definitions regarding food size and portion, who should be called if a choking incident occurs, what emergency techniques should be implemented, emergency contact numbers, etc.
- Ensure that all staff have received training and know how to access and implement the protocol.
- Ensure that the protocol and any pertinent information are readily available to all staff in the living and work area. This may include positioning information in the area where meals are prepared in inconspicuous places, for example on the inside door of a kitchen or a chart like the one attached on the refrigerator door. When making decisions about what to place in the area and where to place information, use a common sense approach.

Working together we can ensure that citizens with developmental disabilities are less likely to choke and ensure choking is preventable to the extent possible.

Attachment A – Definitions regarding food size

Attachment B – Guidelines for possible modified diet choices

Attachment C – Risk Factors for Choking, Aspiration, Aspiration Pneumonia, and those with Dysphagia

Attachment D – Preventative/Safety Measures for Choking, Aspiration, Aspiration Pneumonia, and those with Dysphagia

Attachment E – Signs/Symptoms of Dysphagia, Choking, Aspiration, and Aspiration Pneumonia

Attachment F – Things to Include in an Individual's Plan for Mealtimes

DEFINITIONS REGARDING FOOD SIZE

PUREE MECHANICALLY BLENDED Using extra liquid. SMOOTH. NO LUMPS. Baby food consistency
GROUND MECHANICALLY PROCESSED Granules the size of rice or taco meat. May need to add some liquid or condiment to help mix.
CHOPPED MECHANICALLY CUT Meat chopped into ¼ inch pieces. Fruits & vegetables chopped into fruit cocktail-size pieces.
BITE-SIZE ALL food items cut or broken by hand into ½ inch size pieces.
REGULAR No extra preparation needed.

GUIDELINES FOR POSSIBLE MODIFIED DIET CHOICES

PUREED	GROUND	CHOPPED	BITE-SIZE
<ul style="list-style-type: none"> • All beverages (thickened as prescribed) • Hot cereal (except oatmeal) • Syrup • Margarine/butter • Yogurt (NO fruit chunks) • Broth (thickened as prescribed) • Tomato soup (thickened as prescribed) • Mashed potatoes • Sour cream • Applesauce • Cotton candy • Soft serve ice cream • Flavored syrup for ice cream • Custard pie filling • Cheesecake filling • Whipped cream • Pudding (except rice or bread pudding) • Custard 	<ul style="list-style-type: none"> • Oatmeal • Cold cereals (krispies or flakes soaked in milk) • Small curd cottage cheese • Ground taco meat • Shredded cheese • Tuna salad (NO celery, NO onions) • Banana (mashed with a fork) • Plain Popsicle (unless on thickened liquids – No nuts, NO coatings, etc) • Jello (unless on thickened liquids) • Plain hand-dipped ice cream (NO nuts, NO chunks, NO sprinkles) 	<ul style="list-style-type: none"> • Scrambled eggs (cut/broken into ¼ inch pieces) • Muffins (cut/broken into ¼ inch pieces, soaked in milk) • Pancakes, waffles, French toast (cut/broken into ¼ inch pieces, soaked in milk, syrup) • Cooked vegetables (cut/broken into ¼ inch pieces, mashed with fork) • Spaghetti (cut/broken into ¼ inch pieces) • Sloppy Joe meat (cut/broken into ¼ inch pieces) • Soft taco with ground meat (cut/broken into ¼ inch pieces) • Burritos with ground meat (cut/broken into ¼ inch pieces) • Egg salad • Tuna salad (onions, celery - ok) • Ice cream (nuts, chunks, sprinkles – ok) • Plain cookies (cut/broken into ¼ inch pieces, softened in milk, NO nuts, NO raisins) • Plain chocolate candy bar (cut/broken into ¼ inch pieces, softened in milk, NO nuts, NO caramel, etc.) • Single plain M&M's • Cupcakes/snack cakes (cut/broken into ¼ inch pieces) • Single potato/tortilla chips (cut/broken into ¼ inch pieces) • Watermelon (cut/broken into ¼ inch pieces, seedless) • Crackers (cut/broken into ¼ inch pieces, softened in soup, milk, juice) 	<ul style="list-style-type: none"> • ALL food items are cut/broken into ½ inch size pieces to include traditional finger foods (e.g. sandwiches, cookies, raw fruit)

Always follow the individual meal plan and the recommendations of the medical staff. Information provided above is only for guidelines.

RISK FACTORS

FOR CHOKING, ASPIRATION, ASPIRATION PNEUMONIA, AND THOSE WITH DYSPHAGIA

(Include but are not limited to the following):

- Eating too fast
 - Absence of or difficulty chewing
 - Poorly fitted dentures, gum diseases or caries
 - Difficulty swallowing (coughing, during or after eating, choking episodes, gagging on food/liquids, diagnosis of reflux, rumination, cerebral palsy, narrowing of throat, holding food in mouth)
 - Environmental factors (distractions while eating)
 - Improper positioning while eating (may result in food residual, food in cheek, residual food in mouth following swallowing and/or eating, food and/or liquid through nose or mouth)
 - Behaviors (stealing food and stuffing in mouth, Pica, packing too much food in mouth)
 - History of Aspiration/Aspiration Pneumonia
 - Medical conditions such as malnutrition, dehydration, neurological disorders, CVA, respiratory disease, disorders or deformities of the skeletal or muscular system (may result in poor positioning), movement disorders and GI disorders
 - Environmental issues such as improper diet or liquid (texture or consistency), improper eating utensils, crowded, noisy and rushed situations
 - Medications that cause muscle relaxation, sedation or dry mouth
 - Altered levels of consciousness
-

PREVENTIVE /SAFETY MEASURES

FOR CHOKING, ASPIRATION, ASPIRATION PNEUMONIA, AND THOSE WITH DYSPHAGIA

(Include but are not limited to the following):

- Create a calm and cheerful environment.
- Allow time to eat at one's own pace. Never rush an individual.
- If the individual eats too rapidly, cue to slow rate, take small bites and chew food.
- Monitor individual during food & fluid intake.
- Position individual properly during food & fluid intake.
- Follow the physician's orders.
- Always alert the nurse or other supervisor if the consumer is having difficulty or has signs of aspiration during the meal/snack.

SIGNS/SYMPTOMS

OF DYSPHAGIA, CHOKING, ASPIRATION, AND ASPIRATION PNEUMONIA

- Coughing, especially during or after a meal
- Choking
- Gurgling voice quality or changes in voice
- Congestion
- Upper Respiratory Infection/congestion
- Unusual drooling
- Frequent throat clearing
- Complaints of throat or chest discomfort
- Awakens at night coughing or gagging
- Wet or wheezy sounding breathing or breathing difficulty
- Persistent low grade fever, generalized malaise
- Frequent elevated temperatures
- Tearing or watering of eyes
- Spillage of food and/or liquid from mouth
- Prolonged or difficulty chewing
- Slower rate of swallowing, or swallowing several times after one bite
- Slow gradual weight loss
- Poor intake by mouth or refusing food or fluids
- Pocketing food or holding food in mouth
- Significant delay in swallowing
- Facial grimacing
- Dehydration
- Pneumonia or history of pneumonia
- Reddening of the face
- Chronic clear nasal secretions

THINGS TO INCLUDE IN AN INDIVIDUAL'S PLAN FOR MEALTIMES

**FOR THOSE AT RISK FOR CHOKING, ASPIRATION,
ASPIRATION PNEUMONIA, AND THOSE WITH DYSPHAGIA**
(If applicable, the plan may include but is not limited to the following):

- The consumer's specific trigger (i.e. pocketing food; history of aspiration)
 - Typical behaviors that increase risk for aspiration of choking
 - Choking/Dysphagia/Aspiration Risk Level (minimal, moderate or severe)
 - Behavioral precautions
 - Special precautions (i.e. putting food on consumers unaffected strong side, requiring a rest period before meals, or avoiding excessive sedation)
 - Food texture, consistency, and requirements for portions
 - Fluid texture, consistency, and requirements for portions
 - Calorie restriction
 - Mealtime equipment/Adaptive feeding equipment
 - Drinking
 - Specific skills to maintain/acquire
 - Communication / Sensory issues
 - Positioning during meals
 - Emergency techniques and contact numbers
 - What to do if an individual begins to choke
 - Consumer picture and full name if there's a possibility of confusion about the consumers identity
-



Chapter: Administrative Issues Related to Behavioral Health & Developmental Disabilities Service Delivery
Subject: Professional Licensing and Certification Requirements and the Reporting of Practice Act Violations

Applicability:

DBHDD State & Regional Offices, Hospitals, and State-Operated Community Services; Community Providers of DBHDD Services

References: **Physicians:** Title 43 Chapter 34 Articles 1 and 2 of the Georgia Code. **Registered Nurses:** Title 43 Chapter 26 Article 1 of the Georgia Code. **LPN's:** Title 43 Chapter 26 Article 2 of the Georgia Code. **Optometrists:** Title 43 Chapter 30 of the Georgia Code. **Psychologists:** Title 43 Chapter 39 of the Georgia Code. **Professional Counselors, Social Workers, Marriage and Family Therapists:** Title 43 Chapter 10A of the Georgia Code. **Certified Addiction Counselors:** Title 43 10A of Georgia Code (exemptions), **Dentists, Dental Hygienists, Dental Assistants:** Title 43 Chapter 1. **Dietetics:** Title 43 Chapter 11A. **Occupational Therapists:** Title 43 Chapter 28. **Physical Therapists:** Title 43 Chapter 33. **Physicians' Assistants:** Title 43 Chapter 34 Article 4. **Respiratory Care:** Title 43 Chapter 34 Article 6. **Orthotics and Prosthetics:** Title 43 Chapter 34 Article 8. **Podiatry:** Title 43 Chapter 35. **Speech-Language Pathologists and Audiologists:** Title 43 Chapter 44.

Attachments:


None

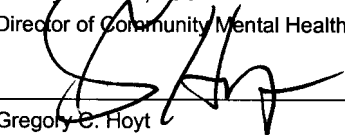
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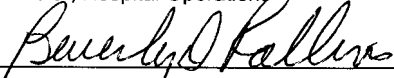
Revision #1 Effective Date: April 15, 2010

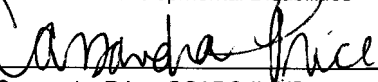
Scheduled Review Date: April 2011


Approved:

 3/18/10
Audrey Sumner, LCSW Date
Director of Community Mental Health, Division of Mental Health

 3/18/10
Gregory C. Hoyt Date
Director, Hospital Operations

 3/23/10
Beverly D. Rollins, M.P.A., Executive Director Date
Division of Developmental Disabilities

 3/23/10
Cassandra Price, GCADC-II, MBA, Executive Director Date
Division of Addictive Diseases

 3/25/10
Frank E. Shelp, M.D., MPH, Commissioner Date

PROFESSIONAL LICENSING AND CERTIFICATION REQUIREMENTS AND THE REPORTING OF PRACTICE ACT VIOLATIONS

POLICY

It is the policy of DBHDD that possession of a valid professional license or certification issued by the respective State Licensing Board or nationally recognized Certification Board is required for anyone occupying a position of employment and performing a function that by State law requires a valid professional license or certification issued by the respective State Licensing Board or nationally recognized Certification Board (ADACB-GA/IC&RC or GACA/NAADAC). It is the responsibility of the employing or contracting agency to verify and maintain a current copy of the person's license or certification prior to employment and at least annually thereafter. If the individual is providing one of the professional services covered by the practice acts but is doing so pursuant to a stated exception in the act, such as those for students, interns and others who may work under direction and/or supervision while working toward licensure or certification, it is the responsibility of the employing or contracting agency to ensure compliance with any requirements for supervision and/or direction of this work. Upon knowledge of the potential violation of this requirement, the agency head is to report that to the respective licensing board as outlined in its regulations and to the DBHDD as outlined in this policy.

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APPLICABILITY

This policy is applicable to State and Regional Offices of the DBHDD, State Hospitals, State-operated Community Services, and Provider Agencies with a contract, letter of agreement, or provider agreement with DBHDD to provide mental health, addictive diseases and/or developmental disabilities services. This policy covers services which require a professional license or qualification according to the practice acts of the state of Georgia and includes, but is not limited to, the practice of law, medicine, nursing, optometry, podiatry, physical therapy, speech pathology and audiology, occupational therapy, dentistry, dietician, psychology, addiction counseling, professional counseling, social work and/or marriage and family therapy.

PROCEDURES

1. If any employee of DBHDD or any contractor acting on behalf of DBHDD receives information that indicates there is reason to believe that an individual employed by DBHDD or a Provider Agency may be providing professional services governed by the state's practice acts without a valid license or certification or without meeting one of the listed exceptions to licensure and/or any associated restrictions on such practice (e.g. only under supervision and/or direction), the administrator of the Provider Agency or DBHDD program/facility and the DBHDD Provider Network Management (PNM) Section must be notified within three (3) business days.
2. If a Provider Agency or DBHDD have reason to believe that an individual under contract or in its employment may have provided professional services in violation of practice act requirements and the services were funded in whole or in part by DBHDD funds (including but not limited to state contracted, fee-for-service, and/or Medicaid), the Provider Agency or DBHDD facility/program director is required to report such activity to PNM at the DBHDD state office and immediately restrict the practitioner's job duties until such time as it is determined that the practitioner is in compliance with practice act requirements. The agency also must report such activities to the Professional Licensing Boards Division of the Georgia Secretary of State's Office or the certifying Certification Board within 3 business days of the discovery and provide PNM with a copy of the complaint.
3. If the individual in question is a DBHDD employee, the employee's clinical supervisor and the administrator of the DBHDD facility/program for which the employee works are responsible for filing the complaint with the Professional Licensing Boards Division of the Georgia Secretary of State's Office or the certifying Certification Board within 3 business days. A copy of the complaint is provided to PNM.
4. When a formal complaint is filed with the Professional Licensing Boards Division or certifying Certification Board ("the Board"), the Provider Agency or DBHDD

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facility/program filing the complaint supplies the Board with information that may assist the Board in making a determination regarding possible unlicensed practice.

5. Once the Board's investigation of the complaint is complete and the Board's findings are received by the Provider Agency or DBHDD facility/program making the complaint, PNM is provided with a copy of the results. PNM staff notify the Program Integrity Unit at the Department of Community Health (DCH) of the results of the Board's investigation if the agency is a provider of Medicaid services.
6. When a Provider Agency or DBHDD program/facility has reason to believe an employee may have engaged in unlicensed or uncertified professional practice or if the Professional Licensing Boards Division or the certifying Certification Board confirms that unlicensed or uncertified practice has occurred, the Provider Agency or DBHDD program/facility employing the individual in question is required to do the following:
 - a. provide PNM with a written attestation that they have taken appropriate action to limit the individual's duties to services consistent with the individual's credentials and in compliance with the practice acts within three business days. In addition, Provider Agency or DBHDD program/facility may not submit claims or encounters for services provided by practitioners in violation of the practice acts.
 - b. provide PNM and the DBHDD Regional Office with a corrective action plan that addresses the operation deficiencies in the organization that resulted in the unlicensed practice within 10 business days.
7. If the Board issues a public order or any other public communication regarding a sanction against the subject of the complaint as part of its handling of the complaint and informs the Provider Agency or DBHDD program/facility of such order or communication, PNM staff immediately notify DBHDD Regional and State offices and facilities and DBHDD's providers of the order.
8. PNM maintains records of all reports received, complaints filed, and related Professional Licensing Board Division or Certification Board determinations.
9. Any and all reimbursement for services provided by practitioners not having the required professional license or credential is subject to recoupment by DBHDD and DCH.
10. It is the responsibility of the employer to verify licensure and/ or certification status.

ATTENTION

The Department of Behavioral Health and Developmental Disabilities (DBHDD) utilizes the Department of Community Health (DCH) Institutional Review Board (IRB) to ensure protection of human subjects. Policies and procedures regarding the protection of human subjects and operation of the IRB are developed and maintained by DCH.

Therefore, the DCH Protection of Human Subjects policy and procedures constitute the DBHDD directive on this topic.

Please see the attached policy, procedure, and manual.

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SUBJECT: Protection of Human Subjects

POLICY

The policy of the Department of Community Health (DCH) is to assure the protection of the rights of human subjects in research activities that are conducted in association with the Department.

The Department will assure subjects' rights by following the policies and procedures contained in 45 CFR, Part 46, "Protection of Human Subjects"; 21 CFR, Part 50, "Protection of Human Subjects"; and 21 CFR, Part 56, "Institutional Review Boards." The Department is guided by the ethical principles set forth in the report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research entitled: "The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research." A Departmental sponsor is designated when the research is not conducted by an agent of the Department.

A. Authority

[45 CFR, Part 46, "Protection of Human Subjects"](#)

[21 CFR, Part 50, "Protection of Human Subjects"](#)

[21 CFR, Part 56, "Institutional Review Boards"](#)

B. Applicability

This policy and related procedures apply to research that is conducted either by the Department or is sponsored by the Department and involves human subjects. Applicability is not limited to federally sponsored projects.

C. Definitions

"Research" means a systematic investigation designed to develop or contribute to generalized knowledge. Routine program evaluation is excluded under this definition.

"Human subject" means a living individual about whom an investigator conducting research obtains data through intervention or interaction with the individual, or obtains identifiable private information.

"Identifiable private information" means any information about an individual's behavior that: occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, **or** has been provided for specific purposes and which the individual can reasonably expect not to be made public (e.g., a medical record), **and** the information is individually identifiable (i.e., the identity of the individual is or may be ascertained by the investigator or associated with the information).

"Conducted by the Department" means any research activity that is conducted by an employee of the Department or is funded by the Department.

“Sponsored by the Department” means any research activity which requires the support of the Department for granting access to subjects or information. A “sponsor” is an employee of the Department who assumes certain responsibilities for a research project.

D. Responsibilities

1. It is the responsibility of the Commissioner to establish and maintain an Institutional Review Board (IRB) that is competent to assure the protection of the rights of human subjects by appointing members according to the policies listed in [45 CFR, Part 46.107](#), “IRB Membership.” Each member will receive orientation to the Board and will participate in a program of continuing education to maintain skills and knowledge. Each member’s home division/office is responsible for supporting the activities of the appointed member.

2. The DCH IRB is responsible to assure the rights of human subjects by following the policies and procedures written in 45 CFR, Part 46; and 21 CFR, Parts 50 & 56.

3. It is the responsibility of each involved division and office to ensure that all research involving human subjects conducted or sponsored by the division/office is approved by the DCH IRB. When the research involves access to confidential information and is conducted by a departmental employee or agent, the investigator’s division or office is responsible for following the provisions indicated in laws, rules, regulations, etc., concerning access to and release of the information held in confidence.

4. It is the responsibility of the Administrator of the IRB to issue procedures to implement this policy. The procedures include a manual: “Guidance to Researchers Using Human Subjects”

5. It is the responsibility of the researcher to follow the procedures contained in the manual: “Guidance to Researchers Using Human Subjects.”

6. It is the responsibility of the departmental sponsor to assure that the research project does not have a negative impact on the provision of service that is being offered. The sponsor is aware of problems and adverse findings during the conduct of the project and apprises the Board of these events. When the research involves access to confidential information, the sponsor assures that all provisions of applicable laws, rules, regulations, etc. are followed concerning the release of and access to the confidential information.

E. History

Update of Georgia Department of Human Resources Policy, “Protection of Human Subjects,” POL7901, effective 2/9/2000. Updated 1/1/2010.

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SUBJECT: Protection of Human Subjects

PROCEDURE

1. Institutional Review Board:

1.1. Board membership

The Review Board consists of at least eight members with varying backgrounds to promote complete and adequate review of research activities conducted or sponsored by the involved department(s). Members are appointed to meet the following representative criteria: a) two medical doctors who have training and experience in a medical field sufficient to be able to assess medical risks; b) a person who has training and experience in the conduct of scientific investigations; c) a person whose primary concern is not in the area of scientific investigation; d) a legal professional who has experience with the types of issues confronted by the Department and its consumers; e) a person who is not, and whose immediate family is not, affiliated with the Department except as a member of this Board; and, f) a person who has training and experience in working with the consumers of the Department. Additionally, the Board should include diverse membership with regard to race, gender, and cultural backgrounds and shall include persons knowledgeable of institutional commitments and regulations and standards of professional conduct and practice.

Members are appointed by the Commissioner for staggered two-year terms. Alternate members may be appointed. Alternates are nominated and appointed in the same manner as primary members and serve two-year-terms. They have the same representative capacity as primary members for whom they serve as alternates. An alternate member cannot replace a primary member at a convened meeting unless he/she has received and reviewed the same material that the primary member has received or would have received. An alternate has no vote if the member for whom they are an alternate is present. There is a chairperson and vice-chairperson who are elected by the members of the Review Board for a term of two years.

An Administrator and an Executive Secretary are DCH employees in the Division of Public Health.

1.2. Meetings of the Board

Meetings of the Review Board are scheduled to ensure timely review of all projects. A majority of the membership constitutes a quorum, including at least one member whose primary concerns are in the nonscientific area. A majority vote is required for approval of a motion. If a quorum is interrupted during the proceedings, actions on studies are suspended until a quorum is again attained.

All projects approved using the expedited review process are included on the agenda of the next convened meeting of the Board. Votes are recorded and reported numerically.

The Administrator coordinates all human subjects protection activities to ensure that all appropriate procedures are implemented. The Administrator is responsible for revising and

implementing policies and procedures to ensure the IRB's compliance with regulations and guidelines applicable to research involving human subjects. The Administrator reviews applications for completeness and compliance with regulations. Additionally, the Administrator is responsible for:

- a. reviewing all applications and determining if they meet the criteria for approval without detailed review or for expedited review;
- b. assigning a Review Coordinator for each project to be reviewed;
- c. reviewing and approving agenda prior to meetings of the Board;
- d. assisting Review Coordinators in writing meeting summaries;
- e. providing members with available information to assist them in carrying out the functions of the Board;
- f. recommending to the Commissioner appropriate members for the Board;
- g. providing IRB orientation sessions periodically to new IRB members and Departmental Sponsors; and
- h. serving as a liaison between the Board and the DCH management, the Office of Human Research Protections, the Food and Drug Administration, and other Federal Agencies.

1.4. Functions of Chairperson

The Chairperson, the Vice-Chairperson, or a designee presides at all convened meetings of the Board. The Chairperson serves as a resource to the Administrator in all matters of administration and may perform any of the functions of the Administrator when appropriate.

1.5. Functions of the Review Coordinator

After the Administrator performs an initial review of an application, he or she assigns it to a Board member who serves as the Review Coordinator for the project until it is closed by the Board. The Administrator makes a recommendation regarding the type of review (see section 4.1. of the manual). If the Review Coordinator disagrees with the recommended type of review, he or she contacts the chairperson and they resolve the issue. The Review Coordinator is responsible for a detailed initial review, for communication with the investigators, and for tracking the project until it is closed. Specifically, the responsibilities are:

- a. upon receipt of the application, performs a detailed review to identify issues, missing information, unanswered questions, or other needed information;
- b. contacts the investigator, prior to application being placed on the agenda, to resolve the identified issues, missing information, etc.
- c. notifies the Administrator when the application is ready to be placed on the meeting agenda;
- d. presents the application at the convened meeting of the Board; (The presentation lasts a maximum of 5 minutes and identifies, at a minimum: (1) the involvement of DCH, (2) the purpose and design of the study, (4) subject information - vulnerable, how many, where, how recruited, etc., and, (5) issues for discussion.)
- e. after the Board members discuss the issues, including any other issues identified by other Board members, recommends a decision to either table the application, approve it with conditions, or approve it with no conditions;
- f. writes a detailed description of the presentation, discussion, and decisions made at the Board meeting regarding the application and forwards the description to the Executive Secretary and Administrator within two working days of the meeting;
- g. receives (from the Executive secretary) all correspondence regarding the project and responds appropriately;

h. oversees the continuing review process including timely notification of the investigators, and functions a, b, c, d, e, and f, stated above, as they relate to the continuing review.

1.6. Functions of the Executive Secretary

The Executive Secretary is responsible for:

- a. providing necessary staff assistance, and making recommendations to the Administrator and Chairperson;
- b. in conjunction with the Review Coordinators, receiving and issuing all communications with applicants;
- c. in conjunction with the Review Coordinators and the Administrator, recording and publishing minutes of the meetings of the Board;
- d. communicating with Board members, including scheduling meetings;
- e. maintaining records;
- f. in conjunction with the Review Coordinators, insuring timely continuing reviews of all projects, including notifying investigators when reports are due;
- g. entering appropriate data to the database; and,
- h. assuring that a quorum is met and maintained throughout the proceedings at all convened meetings of the Board.

1.7. Record Keeping

The Executive Secretary maintains adequate documentation of the Board's activities, including the following:

- a. copies of applications reviewed, including all attachments, progress reports submitted by investigators, statements of significant new findings provided to subjects, and reports of adverse events;
- b. minutes of IRB meetings which are sufficient in detail to show attendance at meetings, actions taken by the IRB, the vote tally on all actions, the basis for requiring changes in or for disapproving applications, and a written summary of discussion of issues and their resolution;
- c. records of continuing review activities;
- d. copies of all correspondence; and,
- e. a list of Board members identified by name, earned degrees, representative capacity, indications of experience sufficient to describe each member's chief anticipated contributions to Board deliberations, and a description of each member's affiliation with the Department.

These records are retained for at least three years, except that all records related to research that is conducted are kept for at least three years after the completion of the research project.

These records are available for inspection and copying by authorized persons during normal business hours. They are housed in the Division of Public Health, Office of the General Counsel.

2. Auxiliary Review Committees

Institutions or divisions within the Departments which conduct or support a significant amount of research may elect to form an internal committee for oversight of research activities within their organizational unit. The functions of any internal committee may supplement the functions and responsibilities of the Department's Institutional Review Board, but do not substitute for any required activities of the Board.

3. Application for Approval and Guidance to Researchers

This information is contained in the "Guidance to Researchers Using Human Subjects Manual."

See attached Manual, Directive # [MAN7901](#).

A. History

Replaces PRO7901, revised date of 2/1/03. Updated 1/1/2010.

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GUIDANCE TO RESEARCHERS USING HUMAN SUBJECTS

MANUAL

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1. Introduction

The Department of Community Health maintains an Institutional Review Board which is charged with assuring that the rights of human subjects of research conducted or sponsored by the Department are protected as outlined in federal and state policies and regulations. The Board is guided by the ethical principles set forth in the publication: "The Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research."

All research projects that involve human subjects must be submitted to the Board and approved by the Board prior to their initiation. These and other requirements for continuing contacts between the investigators and the Board are enumerated in this manual. The Board has the authority to suspend or terminate approval for research projects when certain requirements are not met. Approval of research projects is based on the determination that all aspects of the project are in accordance with the procedures that are outlined in this manual and other applicable regulations and considerations.

Insuring the rights of human subjects of research is a collaborative effort of all those persons who are involved with the research project. The procedures that are outlined in this manual constitute the minimum framework to assure that subjects' rights are protected. It is the Board's responsibility to assess whether or not these minimum standards are met based on what is submitted to them. It is in the conduct of the research project, however, that the standards are implemented. The process of protecting subjects' rights, then, hinges on the performance of the investigators as they carry out the project.

It is hoped that the intent of these procedures will be helpful as a guide to investigators as they make the innumerable decisions necessary to conduct a research project. If there are questions, the Board may be reached at:

Georgia Department of Community Health
Institutional Review Board
2 Peachtree Street, NW, Suite 15-248
Atlanta, Georgia 30303-3142
404-657-6390

2. Application Process

2.1. Who should apply for approval

Approval must be obtained for all research involving human subjects that is conducted by or sponsored by the Department. These terms are defined within the policy statement. Approval must be obtained prior to any involvement of the subjects. The approval by the Board is limited to no more than a 12-month period and must be renewed at least annually to continue the involvement of subjects. Researchers must have no involvement with subjects unless they have current approval from the Board.

2.2. Application Procedures

Applications for approval are filed with the Executive Secretary of the Board. Applications are submitted using the attached two forms: "Application for Approval of Research Using Human Subjects," and "Format Guide for Consent Form."

Note that item # 15 of the application relates to situations where the investigator requests a waiver or alteration of the requirement for authorization for the release of confidential information. If applicable, all elements of that item must be addressed in order for the waiver/alteration and the study to be approved.

Applicants are to follow the instructions listed on the forms. Note that the information that appears in bold print should be replicated by the applicant on both the application form and the consent form. Note that the information that is italicized is to be substituted by the applicant with information that applies to the research project under consideration. The information that is submitted on the application form should represent the procedures, forms, activities, etc. that is subject to the DCH IRB approval. The approval will be only for what is contained in the application - not for the entire protocol (assuming there is a protocol and it is different). Please submit a paper copy of page one of the application and one copy of the entire protocol (if applicable). If at all possible, please submit an electronic copy of the application to tzmatthews@dhr.state.ga.us. No application will be considered until all the information is received by the Board. A complete application package includes: 1) a completed and signed "Application for Approval of Research Using Human Subjects;" 2) the proposed consent form; 3) any questionnaires or other written instructions to be given to subjects; and 4) an investigator's brochure, if the study is conducted under the Investigational New Drug regulations.

The IRB approves an English language version of all submitted materials. If the investigator translates any of the materials, it is his or her responsibility to assure an appropriate and accurate translation.

Note that the application should be submitted at least six weeks prior to the desired start time. Note also that no activity may begin until approval from the Board is received.

3. Informed Consent

Except as provided elsewhere in this directive, no investigator may involve a human subject in a research project unless the investigator has obtained the legally effective informed consent of the subject or the subject's guardian. An investigator shall seek such consent only under circumstances that provide the prospective subject or the guardian sufficient opportunity to consider whether or not to participate and that minimize the possibility of coercion or undue influence. The information that is given to the subject and/or the guardian shall be in language that is understandable to the subject or guardian. No informed consent shall contain any language that waives or appears to waive any of the subject's legal rights or appears to release the investigator, the sponsor, or the institution or its agents from liability for negligence.

The IRB approves an English language version of informed consent. If the investigator translates the script, it is his or her responsibility to assure an appropriate and accurate translation.

When the application has been approved, the IRB Executive Secretary will stamp the approved consent form and return the stamped copies to the Principal Investigator. These stamped copies are to be used in the study.

The Board does not review or approve consents or authorizations for the release of confidential information that is held by the Department. Investigators are encouraged to include this language on a form separate from the consent form.

3.1. Elements of Informed Consent

The minimum elements of informed consent are found on the form that is attached to this procedure: "Format Guide for Consent Form." When appropriate, one or more of the following elements of information shall also be provided to each subject as part of the consent form:

- a. a statement that the particular treatment or procedure may involve risks to the subject (or to the embryo or fetus, if the subject is or may become pregnant) which are currently unforeseeable;
- b. anticipated circumstances under which the subject's participation may be terminated by the investigator without regard to the subject's consent;
- c. any additional costs to the subject that may result from participation in the research;
- d. all appropriate alternatives to participation, including nonparticipation;
- e. the consequences of a subject's decision to withdraw from the research and procedures for orderly termination of participation by the subject;
- f. a statement that significant new findings developed during the course of the research which may relate to the subject's willingness to continue participation will be provided to the subject;
- g. the approximate number of subjects involved in the study;
- h. if the design includes treatment and control groups (and/or placebo control groups), statements that describe how the subject will be assigned to groups; and,
- i. for certain subjects, including patients in any institution of the Division of Mental Health, Developmental Disabilities and Addictive Diseases, a statement from the subject's attending physician that the subject understands the informed consent and is competent to give consent for participation in the study.

3.2. Situations When Written Consent Not Required

The Board may approve a consent procedure which does not include, or which alters, some or all of the elements of informed consent set forth above, or waive the requirement to obtain informed consent provided the Board finds and documents that the research or demonstration project is to be conducted by or subject to the approval of state or local government officials and is designed to study, evaluate, or otherwise examine: public benefit of service programs; procedures for obtaining benefits or services under those programs; possible changes in or alternatives to those programs or procedures; or possible changes in methods or levels of payment for benefits or services under those programs; and, the research could not practicably be carried out without the waiver or alteration.

The Board may approve a consent procedure which does not include, or which alters, some or all of the elements of informed consent, or waive the requirements to obtain informed consent provided the Board finds and documents that:

1. The research involves no more than minimum risk to the subjects;
2. The waiver or alteration will not adversely affect the rights and welfare of the subjects;
3. The consent cannot practicably be obtained and the research could not practicably be carried out without the waiver or alteration; and,
4. Whenever appropriate, the subjects will be provided with additional pertinent information after participation.

The Board may waive the requirement for a signed consent form (but not the requirement for informed consent) in situations where the only record linking the subject and the research would be the signed consent document or in situations, such as phone interviews, where a signature is not feasible. An example would be an anonymous mailed questionnaire. In this situation, a cover letter could contain the elements of informed consent and a signature of the subject would not be required.

There are certain other "emergency" situations, detailed in 21 CFR , 50.23 &.24, where an intervention may occur without prior informed consent.

4. Approval Process

All actions of the Board concerning an application are communicated in writing to the investigator and the sponsor.

4.1. Types of Review and Criteria

The Board may follow one of three procedures for review of an application, depending on the characteristics of the project. The types of review and the criteria for each type are listed below.

4.1.1. Approval Without Detailed Review

Applications for projects in which the only involvement of human subjects is in categories that are described below may be approved by the Chairperson without further review. The categories are:

a. research conducted in established or commonly accepted education settings, involving normal educational practices, such as research on regular and special education instructional strategies, or research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods;

b. research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior unless 1) the information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects, and 2) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation;

c. research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under subparagraph 2. above, if 1) the human subjects are elected or appointed public officials or candidates for public office or 2) federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter;

d. research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects;

e. research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: 1) public benefit or service programs, 2) procedures for obtaining benefits or services under those programs, 3) possible changes in or alternatives to those programs or procedures, or 4) possible changes in methods or levels of payment for benefits or services under those programs; (For projects in this category, the investigator must submit, along with the other requirements for application, the agreement concerning confidentiality of records and the statement from the appropriate official that the proposed project meets the requirements of O.C.G.A. 15-18-101 and other DCH Directives.)

f. taste and food quality evaluation and consumer acceptance studies if: 1) wholesome foods without additives are consumed, or 2) a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

4.1.2. Expedited Review

For applications for projects meeting the below described eligibility requirements for expedited review, the review may be performed by the chairperson or by one or more Board members, designated by the Chairperson, who are experienced reviewers. In reviewing the research, the reviewers may exercise all the authorities of the Board except the reviewers may not disapprove the research. The reviewers may approve the application, or they may require modifications and grant approval once these modifications have been made. If they do not approve the application, it will be forwarded to the Board for a full Board review.

The eligibility requirements for expedited review are as follows: the application represents minor changes in a currently approved project, or the research is found to involve no more than minimum risk to the subject and appears on the list below: (Minimal risk means that the probability and magnitude of harm or discomfort

anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests.)

a. collection of hair and nail clippings, in a non-disfiguring manner; deciduous teeth, and permanent teeth if patient care indicates a need for extraction;

b. collection of excreta and external secretions including sweat, uncannulated saliva, placenta removed at delivery, and amniotic fluid at the time of rupture of the membrane prior to or during labor;

c. recording of data from subjects 18 years of age or older using non-invasive procedures routinely employed in clinical practice (This includes the use of physical sensors that are applied either to the surface of the body or at a distance and do not involve input of matter or significant amounts of energy into the subject or an invasion of the subject's privacy. It also includes such procedures as weighing, testing sensory acuity, electrocardiography, electroencephalography, thermography, detection of naturally occurring radioactivity, diagnostic echography, and electroretinography. It does not include exposure to electromagnetic radiation outside the visible range [for example, x-rays, microwaves]);

d. collection of blood samples by venipuncture in amounts not exceeding 450 milliliters in an eight week period and no more often than two times per week, from subjects 18 years of age or older and who are in good health and not pregnant;

e. collection of both supra- and subgingival dental plaque and calculus, provided the procedure is not more invasive than routine prophylactic scaling of the teeth and the process is accomplished in accordance with accepted prophylactic techniques;

f. voice recordings if made for research purposes such as investigations of speech defects;

g. moderate exercise by healthy volunteers;

h. the study of existing data, documents, records, pathological specimens, or diagnostic specimens;

i. research on individual or group behavior or characteristics of individuals, such as studies of perception, cognition, game theory, or test development, where the investigator does not manipulate subjects' behavior and the project will not involve stress to subjects;

j. research on drugs or devices for which an investigational new drug exemption or an investigational device exemption is not required.

4.1.3. Full Board Review

Full Board review is required for all eligible projects that do not meet the criteria for either of the two above categories of review.

4.2. Review Criteria

In order to approve a research project, the Review Board will determine if all of the following are met:

a. risks to subjects are reasonable in relation to any anticipated benefits to subjects and the importance of the knowledge to be gained;

b. risks to subjects are minimized by using procedures that are consistent with sound research design, and, whenever appropriate, by using procedures already being performed on the subjects for diagnostic or treatment purposes;

c. selection of subjects is equitable;

d. appropriate measures are in place to obtain and document the prior informed consent of the subjects or the subjects' guardians;

e. there are adequate provisions for protecting the confidentiality of data which identify individual subjects; and

f. there are adequate provisions for monitoring the collected data to ensure the safety of subjects and to protect their privacy by maintaining anonymity or confidentiality of the data.

For research projects that involve the participation of vulnerable subjects, there are specific requirements contained in the federal regulations. Compliance with these regulations will be assessed by the Board when a project involves any of these groups of subjects. The types of subjects and the associated federal regulation(s) are listed below.

Fetuses, pregnant women, and human in vitro fertilization - 45 CFR 46.201-46.211

Prisoners - 45 CFR 46.301-46.306

4.3. Continuing Review

Approval to conduct a project may be granted for a period of no more than one year. If the project is not completed by the end of the approved period, the investigator must apply for a continuation of the approval. The length of the approval period and the extent of continued review will be determined by the Board at the time of approval and will be communicated to the investigator. The Board will contact the investigator prior to the end of the approved period to solicit the required information in order to review the project for continued approval. The information requested on the "Application for Continuing Approval" is compiled at this time by the investigator and submitted to the Board. The Board considers the request and notifies the investigator of the decision.

If the investigator wishes to amend the protocol after it has been approved, she or he submits the following information to the Executive Secretary:

- _A letter which contains the request for the change, lists the changes requested, and indicates how the changes (deletions and additions) are indicated,

- _A copy of the originally approved application, with the changes highlighted as indicated in the accompanying letter,

- _A "clean" copy of the application that contains the proposed changes.

4.3.1. Frequency and Extent Considerations

The length of time of approval for each project will be based on a consideration of the vulnerability of the subject population and the extent of risks to subjects. Special attention will be given to projects involving new procedures or treatments and projects involving placebo control groups. The following is a frequency guideline for approval periods:

- a. New drug trials - 6 month approval period;
- b. Projects involving pregnant women, children, or other vulnerable populations - 9 to 12 month review period; and
- c. Projects involving minimal risks to subjects - 12 month approval period.

The extent of the continued review will be determined by an assessment of the vulnerability of the subject population, the extent of risks to the subjects, and a consideration of other factors of the research administration and design. For example, for projects for which the investigator is not a DCH employee, the Board may require the DCH sponsor to perform an on-site visit of the project to determine compliance with the procedures stated in this manual. Another example is that for projects for which the sponsor and the investigator are the same person, an uninvolved person may be asked to perform an on-site monitoring of the project.

4.3.2. Suspense or Termination of Projects

The Review Board may suspend or terminate approval of research that is not being conducted in accordance with requirements for the protection of human subjects and any research associated with unexpected serious harm to subjects. Any suspension or termination of approval will include a statement of the reasons for the Board's action and will be reported promptly to the investigator, to the Division or Office of the Department of Community Health, and, if appropriate, to the U. S. Department of Health and Human Services (DHHS), the Food and Drug Administration (FDA), and other organizations. If it is determined after the fact that any of these procedures were not followed in the course of the research project, then written notification of such findings will be sent to the investigator and all appropriate organizations, including the institution with which the investigator is affiliated.

The continuation of a research project after the expiration of the Board's approval is a violation of federal regulations. If the Board's approval has expired, research activities must stop. No new subjects may be enrolled in the project. If the investigator is actively pursuing renewal of approval with the Board and the Board believes that there are no overriding safety or ethical concerns, then the Board may exercise flexibility in allowing the project to continue for a brief time needed to complete the review process.

When the Board, in addition to stopping all research activities terminates study approval, any subjects currently participating should be notified that the study has been terminated. Procedures for withdrawal of enrolled subjects should consider the rights and welfare of the subjects. If follow-up of subjects for safety

reasons is permitted/required by the Board, the subjects should be so informed and any adverse events or outcomes should be reported to the Board.

5. Responsibilities of Investigators

It is the responsibility of the investigator to design the project in such a way that minimizes risks to subjects and to continuously monitor the activities of the project to assure that the risks remain at a minimum. It is the responsibility of the investigator to report in writing the following information to the Board:

- a. Any reports requested by the Board, including continuing review information;
- b. Any changes in the project's protocol, including a change of DCH Sponsor or a change of Principal Investigator; and,
- c. Adverse events associated with the project.

Any proposed changes in previously approved projects must be approved by the Board and cannot become effective prior to being approved. Consideration of changes will be accomplished in the manner described for initial approval of applications. Changes in Sponsors or Investigators do not require the approval of the Board but the new Sponsor and/or Investigator must sign page one of the application and send it to the IRB Executive Secretary.

In addition to reporting to the Board, the investigator must report adverse events as required to the Food and Drug Administration and must indicate to the Board such notification. The Board will acknowledge these reports in writing and will indicate one of the following: 1) the Board will review the report at the next meeting and the project may continue until a formal Board action is taken; or 2) the project must be discontinued immediately. The chairperson of the Board has the authority to make the decision concerning which course of action will be followed.

6. Appeals

A decision to disapprove a research project may be appealed by submitting a written request for reconsideration by the Review Board, including any additional data pertinent to the decision. Upon receipt, the request and any related documents will be conveyed to the Board for reconsideration. The reconsideration will be accomplished in the manner described for initial review. A negative decision by the Board cannot be reversed except by a vote of Board members.

**APPLICATION FOR APPROVAL OF RESEARCH
USING HUMAN SUBJECTS**

Revised 5/7/10

Title of Research Project:

Principal Investigator	* Department Sponsor
Name:	Name:
Position:	Position:
Affiliation	Affiliation:
Address:	Address:
e-mail address:	e-mail address:
Telephone Number:	Telephone Number:
**Signature:	*Signature:

*Required if the principal investigator is not a Departmental employee.

**Your signature indicates that you have read the DCH's "Guidance to Researchers Using Human Subjects Manual" and that you understand and agree to follow the procedures specified in the Manual. Your signature further attests that you assume responsibility for assuring that all aspects of and personnel involved with this project follow the specified procedures.

Date you would like approval for project to begin: _____
(Should be at least 6 weeks from date of submission to IRB)

Date you anticipate last contact with subjects: _____

Date you anticipate completion of project: _____

**PLEASE COMPLETE THE APPLICATION AND E-MAIL TO: tzmatthews@dhr.state.ga.us
AND**

MAIL ONE COPY OF THIS PAGE WITH SIGNATURES AND ONE COPY OF THE PROTOCOL (IF APPLICABLE) TO THE DCH INSTITUTIONAL REVIEW BOARD

(Or mail 11 copies of the application and one copy of the protocol)

**APPLICATION FOR APPROVAL OF RESEARCH
USING HUMAN SUBJECTS**

Respond to all 15 statements listed below. Applications should not be over five pages (excluding page 4). Do not respond to any statement with "see attachments."

1. Research Abstract

State rationale and research question or hypothesis. Clearly explain why you are conducting this research. Describe the anticipated benefits and the importance of the knowledge to be gained. Give a brief literature review that demonstrates the relevance of the study.

2. Design

Identify your research design and specific factors or variables, conditions, or groups in your study and any control conditions. Indicate the number of subjects assigned to each group, how they will be assigned to groups, and describe plans for data analysis.

3. Research Subjects

a. Number and description of subjects

Describe subject characteristics (age, gender, diagnosis, etc.).

b. Method of selection/recruitment of subjects

Attach copies of any fliers, advertisements, etc. that will be used.

c. Compensation

Describe any incentives or compensation offered for participation.

4. Procedures Summary

Describe all of the procedures of the study. State in chronological order what the subjects are expected to do, or describe what procedures the subjects will be involved with. If deception is necessary, justify and describe. Submit debriefing procedures that include an explanation to subjects about how and why they were deceived, as well as providing an educational summary. If access to other information is desired, state what and how this will be accomplished.

5. Materials

List, in sequence, all questionnaires and/or tasks to be given to subjects. Attach a labeled copy of all written instruments to each copy of this application. If the study is conducted under the Investigational New Drug regulations, attach copies of the investigator's brochure

6. Confidentiality Assurances

If the results of participation are not public or anonymous, then describe how confidentiality of information will be maintained. Describe how long information, data, or other items will be kept. Describe destruction techniques. If data, information, or other items are to be kept indefinitely, so state, and give purpose of retention and method to assure continued confidentiality.

7. Risks Summary

a. Current Risks Describe any psychological, social, legal, economic, or physical discomfort, stress, or harm that might occur to subjects as a result of their participation in this research. Describe how these risks will be held to the absolute minimum.

b. Future Risks Describe any future risks that subjects may experience as a result of their participation in this research. Describe how these risks will be kept at an absolute minimum.

8. Benefits

a. To Subjects

Describe any potential beneficial effects that participation in this research might have for subjects.

b. To Humankind

Identify any potential benefits that humankind in general will gain from this research.

9. Vulnerable Subjects

If vulnerable subjects (including minors) are involved, outline procedures that will be used to obtain their agreement to participate (in addition to informed consent from parents or guardians). Describe any other procedures that will be used to safeguard the rights of vulnerable subjects.

10. Informed Consent

Describe the procedure that will be used to obtain legally effective informed consent from subjects. Attach copies of the form to be used. If written informed consent will not be obtained, describe why you are requesting a waiver of this requirement.

11. Funding Information

State the source of funding associated with the research.

12. Institutional Information

For projects whose principal investigator is not a DCH employee, describe any program of institutional oversight of human subjects protections that apply to this research. Give the number of the OHRP or other federally-approved Assurance for the protection of human subjects that is held by the institution.

13. Investigator Information

Describe any training that the investigator has received concerning human subjects protections.

14. Approvals from other IRBs

Please list all other IRBs from which you seek approval. Please attach (or send when obtained) the written notification of the outcome of the request.

15. Waiver/Alteration Request

If the study involves access to confidential information that is held by the Department and you wish a waiver/alteration of the requirement for obtaining authorization from individuals for the release of information about them, please respond to all the items on page 4 of this application. This page will be signed by the IRB Executive Secretary and returned to you after the Board has approved the application and the waiver/alteration request.

WAIVER/ALTERATION REQUEST

1. Describe why you are requesting a waiver of or an alteration to the requirement for obtaining authorization from individuals for the release of confidential information about them.
2. Describe the information that you wish to obtain from the Department.
3. Describe your plan to protect the information from improper use and disclosure.
4. When will the identifiers (any information specific to an individual or any links to that information) be destroyed?
5. Describe any circumstances under which you would disclose the information that you obtain.
6. List other institutions to which you are applying for this waiver. Please attach (or send when received) the written notification of the outcome of the request.

FOR IRB USE ONLY

DCH IRB #

Title of Study:

The DCH IRB reviewed this study either ____ at the convened meeting OR ____ under expedited review and approved it on _____.

The Board approved the above-described waiver or alternation and determined that:

- The use or disclosure of the confidential information involves no more than a minimal risk to the privacy of individuals;
- An adequate plan exists to protect the identifiers from improper use and disclosure;
- An adequate plan exists to destroy the identifiers at the earliest opportunity consistent with conduct of the research, unless there is a health or research justification for retaining the identifiers or such retention is otherwise required by law;
- Adequate written assurance exists that protect the confidential information from being reused or disclosed except (1) as required by law, (2) for authorized oversight of the research study, or (3) for other research that is approved by the DCH IRB;
- The research could not practicably be conducted without the waiver or alteration; and,
- The research could not practicably be conducted without access to and use of the confidential information.

Executive Secretary

Date

Georgia Department of Community Health Institutional Review Board
FORMAT GUIDE FOR CONSENT FORM

(This guide contains the minimum elements that are necessary for approval of research using human subjects. Additional information may be required in some circumstances. Refer to the "Guidance to Researchers Using Human Subjects Manual" for more information. The language in the form should be understandable to the subjects and be stated in the first person.)

I agree to participate in the research titled *(title of research)* **which is being conducted by** *(investigator's name, title, affiliation, phone number)*. **I understand that my participation is entirely voluntary. I understand that I can withdraw my consent at any time (without penalty OR describe penalty) and can have the results of my participation, to the extent that it can be identified as mine, returned to me, removed from the record, or destroyed.**

The following points have been explained to me:

- 1. The reason for the research is** *(give a short justification)*.
- 2. The benefits that I may expect for the research are** *(list specific benefits to the subject)*.
- 3. The procedures are** *(Describe all of the procedures of the study, including what will happen to the subject, including the time, place, and duration. Describe any questionnaires that are used. In studies involving experimental treatments, identify the parts that are new or experimental, and indicate how they differ from other procedures that could be followed. If deception is necessary, state: "In order to make this study a valid one, some information about my participation will be withheld until after the study.")*
- 4. The discomforts or stresses that I may face during this research are** *(List discomforts or stresses or, if none are foreseen, then include this statement: "No discomforts or stresses are foreseen.")*
- 5. Participation involves the following risks** *(List all potential physical, psychological, social, or legal risks. Also list the steps to be taken if harm should come to the subject, including any availability of medical treatment. List a contact—name & phone number - in case of injury. If no risks are foreseen, then include this statement: "No risks are foreseen.")*
- 6. The results of my participation will not be confidential, but** *(describe any controls on access to data).* **(OR)**
The results of my participation will be anonymous. (OR)
The results of my participation will be confidential, and will not be released in any individually identifiable form without my prior written consent, unless otherwise required by law. *(Describe any special procedures regarding anonymity or confidentiality. For example, describe how data will be stored, how identifiers will be removed, give erase dates for tapes, give date data will be destroyed, etc. If data, tapes, or other items are to be kept indefinitely, so state, with purpose for retention, and method to assure confidentiality. If data, information, or other items are to be kept indefinitely, so state, and give purpose of retention and method to assure continued confidentiality.)*
- 7. The investigator will answer any questions I have about the research, now or during the course of the study.**
- 8. I may contact** *(Investigator's IRB - name of contact person, phone number and address), who is not directly involved with this research, if I have any questions about my rights as a subject in this study.*

(Under some circumstances the following assurance is necessary: I have examined (name of subject) and found him/her to be competent to give informed consent for participation in this study.

Printed Name of Physician _____
Signature _____ **Date** _____

Signature of Investigator **Date**

Signature of Subject **Date**

PLEASE SIGN BOTH COPIES OF THIS FORM. KEEP ONE COPY AND RETURN THE OTHER TO THE INVESTIGATOR.

APPLICATION FOR CONTINUING APPROVAL

Georgia Department of Community Health Institutional Review Board

Rev. 5/10

DCH IRB Project Number:

(If you do not have an electronic copy of this form, you may attach a separate page and respond to these items by number.)

Please respond to the following requests about the previous twelve months of the study.

1. What is the stage of the project?
 - a. Initial preparation
 - b. Data Collection
 - c. No further involvement with subjects
 - d. Data analysis complete, project closed
2. Since DCH IRB approved the project, have all changes been submitted to the Board for review and approval prior to their being implemented?
(If not, project activities must stop until approval is received.)
3. Have all approved procedures been followed?
(If not, attach an explanation.)
4. Has the project resulted in any risks to subjects that were not identified in the approved protocol?
(If yes, attach an explanation.)
5. How many subjects have been enrolled in the study? If the study does not involve contact with subjects, skip to # 10.
6. How many subjects have dropped out or have been withdrawn from the study? Please explain circumstances.
7. How many complaints have been lodged against the study, what were the nature of the complaints, and how were they resolved?
8. Have the subjects experienced any unexpected adverse events or unanticipated problems? Please explain.
9. If appropriate, please attach a summary of any recent literature, findings, or other relevant information, especially information about risks associated with the study and describe how this is communicated to subjects.
10. If there has been no direct contact with subjects, please check the appropriate statement below:
____ All contact with subjects is complete, OR
____ Study involves no direct contact with subjects.

This completed form and its attachments are an accurate report of the progress and status of the study.

Signature of Investigator

Date

Signature of Sponsor

Date

[BACK TO POL7901](#) & [PRO7901](#)

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities & Addictive Diseases	DMHDDAD Policy #3.200 DHR Online Directive Information System (ODIS) Directive # not yet assigned Page 1 of 7
Subject: Protection of Individually Identifiable Health Information – Compliance with HIPAA Privacy Rules	
Applicability: <i>See the Applicability Section below</i>	Effective Date: April 14, 2003 _____ (Karl Schwarzkopf)
References: 45 CFR Parts 160 and 164; DHR HIPAA Policies 1.0, 2.0, 3.0, 4.0, 5.0, 6.0, 7.0, 8.0, 9.0, 10.0, 11.0, 12.0, 15.0, 16.0, and 20.0.	Director, Division of MHDDAD _____ (April 8, 2003) Date
Attachments: Attachment A – Business Associate Agreement Instructions Attachment B – Instructions for HIPAA Privacy Rule Forms Protocol 3.200-01 - Individual Rights Regarding Protected Health Information Protocol 3.200-02 - Privacy Rule Administration – Complaints Protocol 3.200-06 - Sanctions Protocol 3.200-08 - Business Associates Protocol 3.200-10 - Disclosure and Authorization for Disclosure of Protected Health Information Protocol 3.200-14 - Notice of Privacy Practices	

I. POLICY STATEMENT

It is the policy of the Division of Mental Health, Developmental Disabilities and Addictive Diseases (DMHDDAD) to ensure compliance with the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule and related Department of Human Resources (DHR) policies by establishing the needed procedures and related protocols. HIPAA does not supercede or negate more stringent federal and state laws, rules and regulations.

II. APPLICABILITY

The DHR is a covered entity under HIPAA and the Privacy Rule, and the DMHDDAD is covered as a part of the Department. This policy is therefore applicable to any entity that is a part of the division, including the state office, regional offices, state operated DMHDDAD hospitals and any state operated community programs. All employees, agents, trainees, volunteers and contractors of the DMHDDAD shall abide by the DMHDDAD and DHR policies and all federal, state and local laws regarding the disclosure and use of protected health information. DMHDDAD service providers who are under contract or have a letter of agreement with the DHR through the DMHDDAD and its Regional Offices are business associates of the DMHDDAD (see definition of business associate below) and must comply with applicable provisions of the Privacy Rule.

III. DEFINITIONS

DIVISION: MHDDAD	SUBJECT: Protection of Individually Identifiable Information - Compliance with HIPAA Privacy Rule	NO: 3.200 PAGE 2 OF 6 4/14/03
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- A. Authorization – Permission by a consumer or a person legally authorized to consent on his/her behalf, for the release or use of protected health information.
- B. Business Associate - A person or entity who is not a member of the covered entity's work force and who, on behalf of the covered entity, performs or assists in the performance of a function or activity involving the use of individually identifiable health information.
- C. Covered Entity – A health care provider, health plan, or health care clearinghouse that transmits any health information in electronic form in connection with a HIPAA transaction; Georgia DHR is a covered entity.
- D. De-identified Information – Health information that does not identify an individual and with respect to which there is no reasonable basis to believe that the information can be used to identify an individual.
- E. Disclosure – Release, transfer, provision of access to, or divulging in any other manner, information by an entity to persons or organizations outside of that entity.
- F. Accounting of disclosures – A history of when and to whom disclosures of protected health information are made for purposes other than treatment, payment, and health care operations.
- G. Health and Human Services (HHS) – The federal government department that has overall responsibility for implementing HIPAA.
- H. Health Insurance Portability and Accountability Act of 1996 (HIPAA) – A Federal law that allows persons to qualify immediately for comparable health insurance coverage when they change their employment relationships. Title II, Subtitle F, of HIPAA gives HHS the authority to mandate the use of standards for the electronic exchange of health care data; to specify what medical and administrative code sets should be used within those standards; to require the use of national identification systems for health care consumers, providers, payers, and employers; and to specify the types of measures required to protect the security and privacy of personally identifiable health care information. Also known as the Kennedy-Kassebaum Bill, the Kassebaum-Kennedy Bill, K2, or Public Law 104-191.
- I. Individually Identifiable Health Information (IIHI) – Any information, including demographic information collected from an individual, that is created or received by a health care provider, health plan, employer, or health care clearinghouse; and relates to the past, present, or future physical or mental health or condition of an individual, the provision of health care to an individual, and identifies the individual; or with respect to which there is a reasonable basis to believe that the information can be used to identify the individual. IIHI contains some or all of the following elements:
 - 1. Name
 - 2. All Address Information
 - 3. E-Mail Addresses
 - 4. Dates (except year)
 - 5. Social Security Number
 - 6. Medical Record Numbers
 - 7. Health Plan Beneficiary Numbers
 - 8. Account Numbers
 - 9. Certificate Numbers
 - 10. License Numbers
 - 11. Device Identifiers
 - 12. URLs
 - 13. IP Addresses
 - 14. Facial Photographs

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15. Biometric Identifiers

16. The initial three digits of the zip code, unless the geographic unit formed by combining all zip codes with the initial three digits contains more than 20,000 people or the initial three digits of all geographic units with fewer than 20,000 people is changed to 000

17. Any other unique identifying number, characteristic, or code

- J.** Minimum Necessary – When using or disclosing protected health information or when requesting PHI, the process of making reasonable effort to limit protected health information to the minimum necessary to accomplish the intended purpose of the use, disclosure or request.
- K.** Notice of Privacy Practice – A notice that provides a clear explanation of the covered entity’s privacy practices and the privacy rights of consumers regarding their personal health information.
- L.** Patient-Identifiable Data – Information that relates to a person’s physical or mental health, and that contains enough information to identify the particular individual reflected in the information.
- M.** Person legally authorized to sign: A person authorized by law to give authorization for disclosure of an individual's protected health information. These persons include, for minors, the parent, the court-appointed guardian or the court-appointed custodian; for adults, the court-appointed guardian of the person.
- N.** Privacy – HIPAA regulations protect an individual’s right to the privacy of his or her medical information to keep it from falling into the hands of people who would use it for commercial advantage, personal gain or malicious harm. The HIPAA privacy regulations require providers to obtain a signed authorization to use or disclose PHI.
- O.** Privacy Coordinator – The individual designated by the Division (DMHDDAD) with responsibility for obtaining and maintaining a working knowledge of the Department’s and Division’s privacy and security policies and procedures and of the Privacy Rule to respond to HIPAA-related inquiries arising within the Division, provide information regarding the complaint process and maintain adequate documentation of these activities.
- P.** Privacy Officer – The individual designated by the Department (Georgia DHR) with responsibility for obtaining and maintaining a working knowledge of the Department’s privacy and security policies and procedures and of the Privacy Rule to respond to HIPAA-related inquiries arising within the Department, provide information regarding the complaint process and maintain adequate documentation of these activities. Also has responsibility for coordination of Privacy Coordinators and for certain HIPAA-related reporting.
- Q.** Privacy Rule – Standards for Privacy of Individually Identifiable Health Information, which implements the privacy requirements of the Administrative Simplification subtitle of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) 45 CFR parts 160 and 164.
- R.** Protected Health Information (PHI) – All individually identifiable health information (e.g., name, Social Security number, medical record number, etc.) transmitted or maintained by a covered entity, regardless of form.
- S.** Workforce – Under HIPAA, this means employees, volunteers, trainees, and other persons under the direct control of a covered entity, whether or not they are paid by the covered entity.

IV. PROCEDURES

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- A. The DMHDDAD shall have a method to allow individuals to exercise their right to request that DMHDDAD amend PHI or a record about the individual in a designated record set used in whole or in part to make decisions about the individual, for as long as DMHDDAD maintains the PHI in the designated record set.
- B. DMHDDAD shall develop and communicate to individuals a process for filing complaints about the division's privacy practices or perceived violations of the Privacy Rule standards and implementation specifications. Such process shall include expectations regarding cooperation with investigations regarding complaints and for reporting as required for compliance reviews.
- C. DMHDDAD shall document HIPAA privacy policies, procedures and protocols, either on paper or in electronic form. Any change to a policy, procedure or protocol shall be documented. In addition to policies, procedures and protocols, any correspondence or other documents pertaining to the accounting of disclosures by DMHDDAD shall be documented and maintained on file for six years, or longer if required under other applicable laws, regulations or policies.
- D. DMHDDAD shall implement policies, procedures and protocol that are designed to comply with Privacy Rule standards and all implementation specifications for PHI. Policies, procedures and protocol shall be reasonably designed and take into account the size and type of activities that relate to PHI undertaken by DMHDDAD. These policies, procedures and protocols shall:
 1. Restrict access and use based on specific roles of members of DMHDDAD's workforce;
 2. Establish criteria to limit routing disclosures to minimum necessary to achieve the purpose of the disclosure;
 3. Limit requests to other covered entities to what is reasonably necessary for the particular use or disclosure; and
 4. Control when staff requests or discloses the entire medical record. There must be specific justification of the need for the entire medical record.
- E. DMHDDAD shall mitigate, to the extent practicable, any harmful effect that is known of a use of disclosure of PHI by DMHDDAD or a business associate, in violation of DMHDDAD policies, procedures and protocols or the requirements of the Privacy Rule.
- F. DMHDDAD shall permit an individual to request a restriction of disclosures.
 1. DMHDDAD does not have to agree with the restriction.
 2. If DMHDDAD agrees to the restriction, both DMHDDAD and its business associates shall honor the restriction, until DMHDDAD or the individual terminates the restriction.
 3. If the individual terminates the restriction, DMHDDAD may use and disclose PHI as permitted under the Privacy Rule. If DMHDDAD terminates the restriction without the individual's agreement, it may only terminate the restriction with respect to PHI it creates or receives after it informs the individual of the termination.
 4. In the case of an emergency treatment situation, DMHDDAD is allowed to release PHI to the health care provider. DMHDDAD shall request the provider not further use or disclose the PHI.

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5. DMHDDAD shall document the restriction to which DMHDDAD and the individual have mutually agreed.
- G.** DMHDDAD shall develop physical safeguard standards and access controls for PHI it collects and maintains.
 - H.** DMHDDAD shall have sanction policies, procedures or protocols documented so that employees are aware of what actions are prohibited and punishable. Such sanctions shall comply with the HIPAA Privacy Rule standard for sanctions against members of DMHDDAD's workforce who fail to comply with its privacy policies, procedures and protocols. Appropriate sanctions shall be imposed for violations of DMHDDAD's privacy policies and procedures, or related protocols, standards or directives. Sanctions that may be imposed by DHR are cumulative of those that may be imposed by statute or regulation.
 - I.** DMHDDAD shall train all current and newly hired members of its workforce on its privacy policies, procedures and protocols as necessary and appropriate for them to carry out their functions within DMHDDAD, according to a training plan for HIPAA awareness.
 - J.** DMHDDAD shall obtain from business associates reasonable assurances that they will appropriately safeguard PHI disclosed by DMHDDAD and that agents, employees and subcontractors of the business associates agree to the same conditions applicable to the business associates with respect to such information. DMHDDAD shall include HIPAA compliance requirements in contracts, other written agreements and expressions of understanding, and purchase orders with business associates to whom DMHDDAD discloses PHI.
 - K.** DMHDDAD shall have a written authorization from an individual before using or disclosing PHI for any purpose not otherwise permitted or allowed by the Privacy Rule.
 - L.** DMHDDAD shall keep an accounting of when and to whom disclosures of PHI are made for purposes other than treatment, payment and health care operations, and shall be able to give an accounting of those disclosures to an individual, if requested. Authorizations from an individual to DMHDDAD are included in the information that is to be tracked and accounted for. A disclosure of PHI that does not require an authorization may, in some cases, have a tracking and accounting requirement.
 - M.** DMHDDAD shall establish a means for an individual to access and inspect his/her PHI in a designated record set for as long as DMHDDAD maintains the PHI in the designated record set.
 - N.** DMHDDAD will establish and implement minimum necessary requirements for uses and disclosures of PHI. DMHDDAD shall make reasonable efforts to limit PHI used, disclosed or requested from another covered entity to the minimum necessary to accomplish the intended purpose of the use, disclosure or request.
 - O.** DMHDDAD shall provide adequate notice to individuals of the uses and disclosures of PHI it may make by providing a Notice of Privacy Practices to persons seeking or

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receiving services. DMHDDAD shall document its compliance with the notice requirements by retaining copies of the notices it issues.

- P.** If DHR decides in the future to permit the use or disclosure of health information without authorization to a business associate for fund raising purposes, DMHDDAD shall limit such use or disclosure to demographic information about an individual and dates on which health care was provided to the individual. In such event, all fundraising materials shall include a description of the manner in which the individual may opt out of receiving further fundraising communications, and the Division shall take reasonable steps to ensure that such communications are no longer sent to individuals who choose to opt out.
- Q.** DMHDDAD shall establish standards relating to uses and disclosures, and de-identification and re-identification of PHI it creates, collects and maintains.
- R.** DMHDDAD shall establish standards relating to uses and disclosures of PHI for marketing purposes in the event DMHDDAD should undertake to engage in marketing after the Privacy Rule becomes effective. As of April 14, 2003, DMHDDAD shall not engage in marketing activities within the meaning of the Privacy Rule, pursuant to the policy of DHR.
- S.** DMHDDAD shall allow authorized revisions of these privacy policies and procedures in response to changes in administrative, operating or programmatic requirements. The DHR Privacy Officer must approve any and all revisions.
- T.** DMHDDAD shall adopt supplemental internal privacy policies, procedures or protocols where necessary to meet the requirements of specific programs, activities, or federal or state laws and regulations. Such policies, procedures or protocols shall conform to those of the Department and the Privacy Rule and are subject to review by the DHR Privacy Officer.
- U.** DMHDDAD shall examine its policies, procedures and protocol on an ongoing basis and as necessary revise these to meet requirements of applicable laws and regulations, including the Privacy Rule.
- V.** DMHDDAD shall designate a Privacy Coordinator as well as a contact person to be responsible for complaints and to provide privacy practice information. The Privacy Coordinator shall obtain and maintain an adequate working knowledge of DHR's and DMHDDAD's privacy and security policies, procedures and protocols and of the Privacy Rule to respond to HIPAA related inquiries arising within DMHDDAD, provide information regarding the complaint process and maintain adequate documentation of these activities. The Privacy Coordinator shall submit reports of privacy related activities periodically to the DHR Privacy Officer and to the Commissioner of the Department upon request.

The Division may appoint Associate Privacy Coordinators at the regional, institutional or other administrative level. Associate Privacy Coordinators shall obtain and maintain a working knowledge of the DMHDDAD's privacy and security policies, procedures and protocols and of the Privacy Rule equivalent to that required of DMHDDAD. Associate

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Privacy Coordinators must submit monthly summaries of their privacy-related activities to the Privacy Coordinator.

- W.** Violation of Division and/or Department privacy policies, procedures and protocols shall be communicated to the DMHDDAD Privacy Coordinator. Violation reports shall include the date of discovery, nature of the violation, a description of any actions taken within the work unit to mitigate harmful effects of the violation and prevent recurrence, and if known, the name and title of the violator, information about the violator's intent and information on previous similar occurrences. Violation reports shall be in writing for documentation purposes, and may be submitted by mail, as attachments to e-mail, by facsimile or other electronic means.

PROTOCOL 3.200-01:

Individual Rights Regarding Protected Health Information

INDIVIDUAL RIGHTS REGARDING PROTECTED HEALTH INFORMATION

Pursuant to the Health Insurance Portability and Accountability Act (HIPAA), an individual has the right to inspect and/or obtain a copy of his/her Protected Health Information (PHI), to request restriction of the uses and disclosures of his/her PHI, to request alternative means or location of communications of PHI, to correct or amend his/her PHI, and to receive an accounting of disclosures of PHI.

This protocol applies to all state owned and operated programs, and to all providers contracting with the Department through the regions. Each such entity is referred to in this protocol as the “record holder.”

I. Access to Protected Health Information (PHI)

A. Individual Access to One’s Own PHI.

1. A request for access to PHI must be acted upon within thirty-30-days of receipt; there may be one (1) extension for an additional thirty-30-days.
 2. Reasonable fees may be charged for access to PHI based on actual cost, if the recipient agrees to the fees in advance.
 3. The designated record sets that are subject to access by individuals must be documented. “Designated record set” includes the individual’s clinical record and billing records.
 4. The titles of persons or offices responsible for receiving and processing requests for access to PHI must be documented.
 5. Parents have the right to access and control health information about their minor children, with the following exceptions:
 - a) The fact that a minor has applied for substance abuse treatment may be disclosed to the parent, guardian, or court-ordered custodian only if:
 1. the minor gives written authorizationOR
 2. the clinical director of the program documents his/her finding that the minor child lacks capacity, either due to extreme youth or mental or physical condition, to make a rational decision on whether to authorize disclosure of substance abuse PHI.
 - b) Facts relevant to reducing a threat to the life or physical well-being of a minor applicant for substance abuse services or any other individual may be disclosed to the parent, guardian, or court-ordered legal custodian if, in the written opinion of the clinical director,
 1. the minor child lacks capacity to make a rational decision, either due to extreme youth or mental or physical condition, on whether to authorize disclosure of substance abuse PHI to the parent, guardian, or court-ordered legal custodian, AND
 2. the applicant’s situation poses a substantial threat to the life or physical well being of him/herself or any other person, which may be reduced by communicating relevant facts to the minor’s parent, guardian, or court-ordered custodian.
 - c) For a minor who is undergoing substance abuse treatment by consent of his/her parent, guardian, or court-ordered custodian, disclosure of substance abuse PHI requires the consent of both the minor child and the parent/guardian.
6. All documentation related to requests for access to PHI must be retained for a minimum of six (6) years.

PROTOCOL 3.200-01:

Individual Rights Regarding Protected Health Information

B. Denial of an Individual's Access to His/Her Own PHI

1. Denials of requests for access must be in writing.
2. Access to an individual's PHI may be denied without providing the individual an opportunity for review in the following cases:
 - a. Psychotherapy notes. "Psychotherapy notes" for purposes of this protocol and the Privacy Rule, is defined to mean notes recorded in any medium by a mental health professional documenting or analyzing the contents of a conversation during a private counseling session or a group, joint, or family counseling session and that are separated from the rest of the individual's medical record. Psychotherapy notes excludes medication prescription and monitoring, counseling session start and stop times, the modalities and frequencies of treatment furnished, results of clinical tests, and any summary of the following items: diagnosis, functional status, the treatment plan, symptoms, prognosis, and progress to date.
 - b. Information compiled in anticipation of, or for use in, a civil, criminal, or administrative action or proceeding.
 - c. Information created or obtained in the course of research that includes treatment may be temporarily suspended for as long as the research is in progress.
3. An individual's access to his/her own PHI may also be denied in the following circumstances, provided the individual is given the right to have the denial reviewed:
 - a) The chief medical officer or the individual's treating physician has determined, in the exercise of professional judgment, that the access requested is detrimental to the individual's physical or mental health. This restriction applies only to individuals who are currently being treated by the facility or program from which they are requesting records.
 - b) The PHI makes reference to another person (unless the other person is a health care provider) and the chief medical officer or the individual's treating physician has determined, in the exercise of professional judgment, that the access requested is likely to cause substantial harm to such other person. However, names and PHI of other individuals who are patients or consumers will always be redacted, and this restriction is not subject to review.
 - c) The request for access is made by the parent of a minor, court-ordered custodian of a minor, guardian of the person of an individual, or a legal representative of the individual's estate, and the chief medical officer or the individual's treating physician has determined, in the exercise of professional judgment, that the provision of access to the requestor is reasonably likely to cause substantial harm to the individual or another person.
4. If a request to access PHI is denied, the individual has the right to have the denial reviewed by a licensed health care professional who is designated by the record holder to act as a reviewing official and who did not participate in the original decision to deny access; DMHDDAD must abide by the reviewing official's decision as final.
5. If an individual's request to access PHI is denied, the denial must comply with the requirements of the Privacy Rule, which include:
 - a. Making other information accessible.
 - b. Providing a timely, written denial in plain language that must include the basis for the denial, a statement of the individual's right to have the denial reviewed (if applicable) and a description of the procedures for complaints to the record holder, DMHDDAD, DHR or the Secretary of DHHS.

PROTOCOL 3.200-01:

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- c. If the record holder does not maintain the PHI for which access has been requested, but knows where the requested PHI is maintained, the record holder must inform the individual where to direct the request for access.
- d. All requests for review must be promptly referred to the designated reviewing official; the designated official must make a determination within a reasonable period of time.
- e. All documentation related to denial of requests for access to PHI must be retained for a minimum of six (6) years.

II. Individual's Restriction of Access by Others to His/Her Protected Health Information (PHI)

- A. Individuals must be permitted to request the restriction of use and disclosure of the individual's PHI.
 1. The record holder does not have to agree to the request for restriction.
 2. If the record holder agrees to the request for restriction, both the record holder, DMHDDAD and their business associates shall honor the restriction, until the record holder or the individual requesting the restriction terminates the restriction.
 3. If the individual terminates the restriction, the record holder may use and disclose PHI as permitted under the Privacy Rule, applicable law and regulations, and Division policies; if the record holder terminates the restriction without the individual's agreement, it may only terminate the restriction with respect to PHI that it creates or receives after it informs the individual of the termination.
 4. In the case of an emergency treatment situation, the record holder is allowed to release PHI to the health care provider and the health care provider will be requested to not further use or disclose the PHI.
 5. The record holder shall document the restriction to which it and the individual have mutually agreed in the individual's clinical record.
 6. All documentation related to restricting access to PHI must be retained for a minimum of six (6) years.

III. Individuals must be permitted to request to receive communications of PHI from the record holder by alternative means or alternative locations.

- A. The record holder must accommodate reasonable requests.
- B. The record holder may require that the individual put the request in writing.
- C. The record holder may condition reasonable accommodation of the request on:
 1. When appropriate, information as to how payment, if any, will be handled, and
 2. Specification of an alternative address or other method of contact.
- D. The record holder may not require an explanation from the individual for the basis of the request.

IV. Amending Protected Health Information (PHI)

- A. Individuals may request the amendment of their PHI maintained in the designated record set (the individual's clinical record or billing records).
 1. Requests for PHI amendments must be made in writing, and must include a reason to support the requested amendment; individuals must be informed in advance of these requirements.
 2. Requests for a PHI amendment must be acted upon no later than 5 days following receipt of the request.
 3. The record holder must respond to the request by providing the individual with a written acknowledgment, if the request includes sufficient information to permit a reply to be mailed to the individual.
- B. If a request for amendment of PHI is accepted, in whole or in part, the record holder must:
 1. Make the appropriate amendment to the PHI or record that is the subject of the request for amendment by, at a minimum, identifying the records in the designated record set that are affected

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- by the amendment and appending or otherwise providing a link to the location of the amendment, while preserving the original record.
2. Timely inform the individual that the PHI amendment is accepted and obtain the individual's identification of, and agreement to have the record holder notify, the relevant persons with which the amendment needs to be shared as set forth below.
 3. Make reasonable efforts to inform and provide the amendment, within a reasonable time, to persons identified by the individual as having received PHI about the individual and needing the amendment; and business associates that the record holder knows may have the PHI that is the subject of the amendment and who may have relied on such information to the detriment of the individual.

C. Denial of Request to Amend Protected Health Information (PHI)

1. An individual's request for amendment of PHI may be denied if the record holder determines that the PHI or record that is the subject of the request:
 - a. Was not created by the record holder, unless the individual provides a reasonable basis to believe that the originator of the PHI is no longer available to act on the requested amendment.
 - b. Is for information that is not part of the designated record set (the individual's clinical record and billing records).
 - c. Would not be accessible to the individual under section I.B. of this protocol.
 - d. Is accurate and complete.
2. If a request for amendment of PHI is denied, in whole or in part, the record holder must provide the individual with a timely, written denial, written in plain language and containing:
 - a) The basis for the denial.
 - b) The individual's right to submit a written statement disagreeing with the denial and how the individual might file such a statement which will be included in the individual's clinical record.
 - c) A statement that, if the individual does not submit a written statement of disagreement, the individual may request the record holder to include his/her request for amendment and the denial with any future disclosures of the PHI that is the subject of the amendment.
 - a) A description of how the individual may complain to the record holder, DMHDDAD, the Department of Human Resources (DHR) or to the Secretary of the Department of Health and Human Services (DHHS), including name, or title, and telephone number of the contact office or person designated to receive complaints.
3. The individual may submit to the record holder, DMHDDAD and/or DHR a written statement no more than two (2) pages in length, disagreeing with the denial of all or part of a requested amendment and the basis of such a disagreement.
4. A written rebuttal to the individual's statement of disagreement may be prepared, in which case the record holder must provide a copy to the individual who submitted the statement of disagreement.
5. The record holder must, as appropriate, identify the record or the PHI in the designated record set (the individual's clinical record and billing records) that is the subject of the disputed amendment and append or otherwise link the individual's request for amendment; the denial of the request, the individual's statement of disagreement, if any, and the record holder's rebuttal, if any, to the designated record set. If the individual has submitted a statement of disagreement, the record holder must include the written disagreement with any subsequent disclosure of the PHI to which the disagreement relates.
 - a) When subsequent disclosure described above is made using an electronic transaction that does not permit the additional material to be included, the record holder may separately transmit the

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material required by the Amending PHI section of this protocol to the recipient of the electronic transaction.

6. If the record holder is notified by another covered entity of an amendment to an individual's PHI, it must amend the designated record set (clinical record and billing record) maintained by the record holder.

D. The titles of persons or offices responsible for receiving and processing requests for PHI amendments must be documented.

E. All documentation related to amending PHI must be retained for a minimum of six (6) years.

V. Tracking Disclosures of Protected Health Information (PHI)

A. All disclosures of PHI will be tracked by documenting and retaining the accounting of all such disclosures; this documentation should contain the following information:

1. Date of disclosure.
2. Name of covered entity or individual who received the information and their address, if known.
3. Description of the information disclosed.
4. Purpose of the disclosure (or a copy of the individual's authorization or a copy of a written request for a disclosure for which authorization is not required).
5. The written accounting provided to an individual requestor.
6. Titles of persons or offices responsible for receiving and processing requests for accountings of disclosures.

B. Disclosures for purposes of treatment, payment or health care operations are excluded from the disclosure tracking and accounting requirements. Other excluded disclosures are those made:

1. Prior to the effective date of the rule (April 14, 2003).
2. To law enforcement officials or correctional institutions who have legal custody of the individual, where the disclosure is for treatment of the individual or the health and safety of other inmates and staff.
3. To the individual.
4. For national security or intelligence purposes.
5. To persons involved in the individual's care.
6. For notification purposes to the individual's guardian of the person or representative, as defined in the Georgia mental health code, when the disclosure relates to the individual's treatment or payment for treatment.

C. Individuals can request an accounting of disclosures for a period of up to six (6) years prior to the date of the request; disclosures made prior to April 14, 2003, the compliance date for the Privacy Rule, are excluded from this requirement.

D. An individual may receive one (1) disclosure accounting in a twelve-month period free-of-charge; a reasonable fee may be charged for more frequent accounting requests.

E. Individuals must be provided an accounting of disclosures within sixty (60) days of a request; if the record holder cannot provide an accounting of disclosures within the sixty-day period, it must provide information to the requestor as to the reason for the delay and the expected completion date; only one (1) extension is allowed per request.

PROTOCOL 3.200-01:

Individual Rights Regarding Protected Health Information

- F. The record holder may temporarily suspend the right to an accounting to the individual of disclosures for health oversight agencies or law enforcement officials contingent upon submission to the record holder of a statement that indicates an accounting of disclosures will impede an investigation of the individual in question; the statement should include a time-frame for the exclusion period; the statement may be oral, but the exclusion period is then limited to thirty (30) days unless appropriate written documentation is received within that time; although the accounting of disclosure is not being released during this time, the record holder should continue tracking and storing the information for future release.
- G. Recurring disclosures to the same entity or individual that have a regular interval or an authorization with multiple disclosures may have a summary entry; the summary entry requires all of the information as described above for the first disclosure, plus an indication of periodic interval (monthly, weekly, etc.) and the date of the last disclosure.
- H. All documentation related to the tracking of disclosures of PHI must be retained for a minimum of six (6) years.

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities and Addictive Diseases	DMHDDAD Policy # 3.200 – Protection of Individually Identifiable Health Information – Compliance with HIPAA
PROTOCOL 3.200-02: Privacy Rule Administration - Complaints	
Attachments: Attachment A – Health Information Privacy Complaint Attachment B – Privacy Violation Report Attachment C – Complaint Report	

PRIVACY RULE ADMINISTRATION - COMPLAINTS

An individual may file a complaint relating to the HIPAA Privacy Rule either directly to the Division (DMHDDAD), to the Department (DHR), or to the Secretary of the Department of Health and Human Services (DHHS). Information on filing a complaint with the Secretary of Health and Human Services is available electronically at www.hhs.gov/ocr/privacyhowtofile.htm. A copy of the HHS complaint form is attached to this protocol as Attachment A. An individual may file a complaint with the Secretary at the following address:

Secretary of Health and Human Services
200 Independence Avenue, SW
Washington, DC 20201

An individual may file a complaint with the Department of Human Resources at the following address:

DHR Privacy Officer
2 Peachtree Street NW
Room 29.210,
Atlanta, Georgia 30303-3142.

An individual may file a complaint with the DMHDDAD Privacy Coordinator at the following address:

Privacy Coordinator
Division of Mental Health, Developmental Disabilities
and Addictive Diseases
2 Peachtree Street NW
Room 22.240
Atlanta, Georgia 30303-3142.

Upon request, the DMHDDAD Legal and Risk Management Section, Legal Services Officers or DMHDDAD Privacy Coordinator will provide forms and other information about the complaint process necessary to assist an individual wishing to file a complaint. DMHDDAD employees are not authorized to prepare complaints for individuals other than themselves.

- A. Complaints, whether filed directly with the Secretary of DHHS, with DHR, or with DMHDDAD, must be made in writing.
- B. Complaints must name the DHR Division, Office or facility against which the complaint is lodged.
- C. Complaints must describe the acts or omissions upon which the complaint is based.
- D. Complaints filed directly with the Secretary of DHHS must be filed within 180 days of the time the individual became aware, or should have been aware, of the violation.
- E. Complaints may include violations of DHR's and/or DMHDDAD's privacy practices as well as violations of the Privacy Rule itself. Violations may be reported on the "Privacy Violation Report" form, Attachment B of this Protocol.

- F. Individuals may file complaints about the content of DMHDDAD or DHR privacy policies and procedures or other matters governed by the Privacy Rule.
- G. DMHDDAD must receive and document complaints. Although not required by the Privacy Rule, the DMHDDAD Privacy Coordinator will provide a written acknowledgment of receipt of any complaint directed to the Privacy Coordinator within ten (10) days of receipt, provided adequate address information is available to permit the mailing of a written acknowledgment.
- H. All complaints received must be reported by the DMHDDAD Privacy Coordinator to the DHR Legal Services Office within ten (10) days of receipt. A copy of the complaint and the written acknowledgment satisfies this requirement. The complaint may be reported using the "Complaint Report," attached hereto as Attachment C.
- I. DMHDDAD must document complaints and their disposition, if any, and retain the records for six (6) years, or longer according to other applicable authorities, following the disposition or last activity regarding the complaint.
- J. DMHDDAD may not threaten, intimidate, coerce or retaliate against any individual filing a complaint. DMHDDAD may not require an individual to waive his or her rights under the HIPAA Privacy rule as a condition for the provision of treatment, payment, or eligibility for benefits.
- K. If the DMHDDAD denies an individual access to his or her own protected health information (PHI), a written denial must be issued describing how the individual may complain to the Secretary of DHHS and/or to DHR or the Division. The denial must include the name or title and telephone number of the person or office to which complaints may be made.
- L. Though not required by the Privacy Rule, DMHDDAD will make available upon request sample forms and appropriate information to individuals who wish to file complaints with the Secretary or DHR.
- M. The Privacy Coordinator of DMHDDAD may investigate or otherwise respond to complaints and recommend resolution where appropriate. If a violation is discovered as the result of an investigation, it must be reported to the DHR Privacy Officer, (See Attachment B). Complaint resolutions and dispositions must also be reported (See Attachment C).



DEPARTMENT OF HEALTH AND HUMAN SERVICES

OFFICE OF CIVIL RIGHTS (OCR)



HEALTH INFORMATION PRIVACY COMPLAINT

If you have questions about this form, call OCR (toll-free) at:
1-800-368-1019 (any language) or 1-800-537-7697 (TDD)

YOUR FIRST NAME		YOUR LAST NAME	
HOME PHONE ()		WORK PHONE ()	
STREET ADDRESS		CITY	
STATE	ZIP	E-MAIL ADDRESS (If available)	

Are you filing this complaint for someone else? ☐ Yes ☐ No

If Yes, whose health information privacy rights do you believe were violated?

FIRST NAME	LAST NAME
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Who (or what agency or organization, e.g., provider, health plan) do you believe violated your (or someone else's) health information privacy rights or committed another violation of the Privacy Rule?

PERSON/AGENCY/ORGANIZATION

STREET ADDRESS		CITY
STATE	ZIP	PHONE ()

When do you believe that the violation of health information privacy rights occurred?

LIST DATE(S)

Describe briefly what happened. How and why do you believe your (or someone else's) health information privacy rights were violated, or the privacy rule otherwise was violated? Please be as specific as possible. (Attach additional pages as needed)

Please sign and date this complaint.

SIGNATURE	DATE
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Filing a complaint with OCR is voluntary. However, without the information requested above, OCR may be unable to proceed with your complaint. We collect this information under authority of the Privacy Rule issued pursuant to the Health Insurance Portability and Accountability Act of 1996. We will use the information you provide to determine if we have jurisdiction and, if so, how we will process your complaint. Information submitted on this form is treated confidentially and is protected under the provisions of the Privacy Act of 1974. Names or other identifying information about individuals are disclosed when it is necessary for investigation of possible health information privacy violations, for internal systems operations, or for routine uses, which include disclosure of information outside the Department for purposes associated with health information privacy compliance and as permitted by law. It is illegal for a covered entity to intimidate, threaten, coerce, discriminate or retaliate against you for filing this complaint or for taking any other action to enforce your rights under the Privacy Rule. You are not required to use this form. You also may write a letter or submit a complaint electronically with the same information. To submit an electronic complaint, go to our web site at: www.hhs.gov/ocr/privacyhowtofile.html. To mail a complaint see reverse page for OCR Regional addresses.

(The remaining information on this form is optional. Failure to answer these voluntary questions will not affect OCR's decision to process your complaint.)

Do you need special accommodations for us to communicate with you about this complaint (check all that apply)?

- ☐ Braille ☐ Large Print ☐ Cassette tape ☐ Computer diskette ☐ Electronic mail ☐ TDD
- ☐ Sign language interpreter (*specify language*): _____
- ☐ Foreign language interpreter (*specify language*): _____ ☐ Other: _____

If we cannot reach you directly, is there someone we can contact to help us reach you?

FIRST NAME		LAST NAME	
HOME PHONE ()		WORK PHONE ()	
STREET ADDRESS			CITY
STATE	ZIP	E-MAIL ADDRESS (<i>If available</i>)	

Have you filed your complaint anywhere else? If so, please provide the following. (Attach additional pages as needed.)

PERSON / AGENCY / ORGANIZATION / COURT NAME(S)

DATE(S) FILED	CASE NUMBER(S) (<i>If known</i>)
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To help us better serve the public, please provide the following information for the person you believe had their health information privacy rights violated (you or the person on whose behalf you are filing).

ETHNICITY (<i>select one</i>)	RACE (<i>select one or more</i>)		
<input type="checkbox"/> Hispanic or Latino	<input type="checkbox"/> American Indian or Alaska Native	<input type="checkbox"/> Asian	<input type="checkbox"/> Native Hawaiian or Other Pacific Islander
<input type="checkbox"/> Not Hispanic or Latino	<input type="checkbox"/> Black or African American	<input type="checkbox"/> White	<input type="checkbox"/> Other (<i>specify</i>): _____
PRIMARY LANGUAGE SPOKEN (<i>if other than English</i>)		HOW DID YOU LEARN ABOUT THE OFFICE FOR CIVIL RIGHTS?	

To mail a complaint, please type or print, and return completed complaint to the
OCR Regional Address based on the region where the alleged discrimination took place.

Region I - CT, ME, MA, NH, RI, VT Office for Civil Rights Department of Health & Human Services JFK Federal Building - Room 1875 Boston, MA 02203 (617) 565-1340; (617) 565-1343 (TDD) (617) 565-3809 FAX	Region V - IL, IN, MI, MN, OH, WI Office for Civil Rights Department of Health & Human Services 233 N. Michigan Ave. - Suite 240 Chicago, IL 60601 (312) 886-2359; (312) 353-5693 (TDD) (312) 886-1807 FAX	Region IX - AZ, CA, HI, NV, AS, GU, The U.S. Affiliated Pacific Island Jurisdictions Office for Civil Rights Department of Health & Human Services 50 United Nations Plaza - Room 322 San Francisco, CA 94102
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<p>Region II – NJ, NY, PR, VI</p> <p>Office for Civil Rights</p> <p>Department of Health & Human Services</p> <p>26 Federal Plaza - Suite 3313</p> <p>New York, NY 10278</p> <p>(212) 264-3313; (212) 264-2355 (TDD)</p> <p>(212) 264-3039 FAX</p>	<p>Region VI - AR, LA, NM, OK, TX</p> <p>Office for Civil Rights</p> <p>Department of Health & Human Services</p> <p>1301 Young Street - Suite 1169</p> <p>Dallas, TX 75202</p> <p>(214) 767-4056; (214) 767-8940 (TDD)</p> <p>(214) 767-0432 FAX</p>	<p>(415) 437-8310; (415) 437-8311 (TDD)</p> <p>(415) 437-8329 FAX</p>
<p>Region III - DE, DC, MD, PA, VA, WV</p> <p>Office for Civil Rights</p> <p>Department of Health & Human Services</p> <p>150 S. Independence Mall West - Suite 372</p> <p>Philadelphia, PA 19106-3499</p> <p>(215) 861-4441; (215) 861-4440 (TDD)</p> <p>(215) 861-4431 FAX</p>	<p>Region VII - IA, KS, MO, NE</p> <p>Office for Civil Rights</p> <p>Department of Health & Human Services</p> <p>601 East 12th Street - Room 248</p> <p>Kansas City, MO 64106</p> <p>(816) 426-7278; (816) 426-7065 (TDD)</p> <p>(816) 426-3686 FAX</p>	<p>Region X - AK, ID, OR, WA</p> <p>Office for Civil Rights</p> <p>Department of Health & Human Services</p> <p>2201 Sixth Avenue - Mail Stop RX-11</p> <p>Seattle, WA 98121</p> <p>(206) 615-2290; (206) 615-2296 (TDD)</p> <p>(206) 615-2297 FAX</p>
<p>Region IV - AL, FL, GA, KY, MS, NC, SC, TN</p> <p>Office for Civil Rights</p> <p>Department of Health & Human Services</p> <p>61 Forsyth Street, SW. - Suite 3B70</p> <p>Atlanta, GA 30323</p> <p>(404) 562-7886; (404) 331-2867 (TDD)</p> <p>(404) 562-7881 FAX</p>	<p>Region VIII - CO, MT, ND, SD, UT, WY</p> <p>Office for Civil Rights</p> <p>Department of Health & Human Services</p> <p>1961 Stout Street - Room 1426</p> <p>Denver, CO 80294</p> <p>(303) 844-2024; (303) 844-3439 (TDD)</p> <p>(303) 844-2025 FAX</p>	

Burden Statement

Public reporting burden for the collection of information on this complaint form is estimated to average 45 minutes per response, including the time for reviewing instructions, gathering the data needed and entering and reviewing the information on the completed complaint form. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: HHS/OS Reports Clearance Officer, Office of Information Resources Management, 200 Independence Ave. S.W., Room 531H, Washington, D.C. 20201.

**PRIVACY VIOLATION REPORT
DEPARTMENT OF HUMAN RESOURCES**

Date:

TO:

Privacy Officer
Department of Human Resources
2 Peachtree Street NW, Room 29.210
Atlanta, GA 30303

THROUGH:

Privacy Coordinator
DMHDDAD
2 Peachtree Street, NW, Room 22.240
Atlanta, GA. 30303

FAX 404/657-6424 or 2173

FROM:

Reporter's name

Reporter's title and work unit

Work unit location (Hospital or community provider) Phone No.

Please report potential violations of the HIPAA Privacy Rule using this form.

As required by DHR Privacy Policies, I hereby submit the following information regarding a possible violation of the HIPAA Privacy Rule.

Date of discovery	
Actual occurrence date, if known	
Description of the violation. Attach additional sheets if necessary.	
Violator's name, if known	
Violator's title, if known	
Number of previous similar violations within this work unit	
Number of previous similar violations for this violator	
Describe all actions taken to mitigate any potentially harmful effects of the violation. Attach additional sheets if necessary	
Describe all actions taken to reduce the possibility of recurrence of this violation within this work unit. Attach additional sheets if necessary.	
Has a complaint been received regarding this incident? If so, please attach a copy.	

**COMPLAINT REPORT
DEPARTMENT OF HUMAN RESOURCES**

Date:

TO:

Privacy Officer
Department of Human Resources
2 Peachtree Street NW, Room 29.210
Atlanta, GA 30303

THROUGH:

Privacy Coordinator
DMHDDAD
2 Peachtree Street, NW, Room 22.240
Atlanta, GA. 30303

FAX 404/657-6424 or 2173

FROM:

Reporter's name

Reporter's title and work unit

Work unit location (Hospital or community provider) Phone No.

Please report Complaints under the HIPAA Privacy Rule using this form.

As required by DHR Privacy Policies, I hereby submit the following information regarding a complaint received under the HIPAA Privacy Rule.

Date received:	
Date acknowledged:	
Basis for the complaint. Attach additional sheets if necessary.	
Is the complaint related to a known violation?	
Complainant's name or identification number.	
Has an investigation been made?	
If yes, summarize findings. Attach additional sheets if necessary.	
Describe actions taken to mitigate any potentially harmful effects of the matter complained of. Attach additional sheets if necessary.	
Describe actions taken to reduce the possibility of recurrence. Attach additional sheets if necessary.	
If resolved, state resolution.	
Complainant notified?	
If yes, notice date.	

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities and Addictive Diseases	DMHDDAD Policy # 3.200 – Protection of Individually Identifiable Health Information – Compliance with HIPAA
PROTOCOL 3.200-06: Sanctions	

Sanctions

This protocol describes the process for specific sanctions for breaches of confidentiality, violations of the Privacy Rule and/or violations of DMHDDAD's privacy practices, policies, procedures, and protocols. Sanctions which may be imposed by the Division are cumulative of those which may be imposed by statute or regulation.

Specific components and considerations include:

- A. DMHDDAD will establish and apply appropriate sanctions against members of its workforce (employees, volunteers, trainees, or others who come under its direct control), who fail to comply with DHR or DMHDDAD privacy policies, procedures, and protocols, or with requirements relating to the privacy of individually identifiable health information.
- B. DMHDDAD facilities, programs and contracted providers must have written policies, procedures, OR protocols for the application of appropriate sanctions for violations. State hospitals, state operated community programs, and any provider of DMHDDAD services by contract or by memorandum of understanding with DHR, are responsible for ensuring that their policies on sanctions are made known to their employees and agents.
- C. DMHDDAD must document any sanctions that are applied against members of its workforce.
- D. Sanctions do not apply to whistleblowers, provided that
 - a. The workforce member making a disclosure of protected health information (PHI) believes that:
 1. The care, services, or conditions provided by DMHDDAD potentially endanger one or more individuals, workers, or the public, OR
 2. The workforce member or business associate believes, in good faith, that DMHDDAD has engaged in conduct that is unlawful or otherwise violates professional or clinical standards, AND
 - b. The disclosure of PHI made by the workforce member is to:
 1. An appropriate oversight agency, including but not limited to the Long Term Care Ombudsman program, or a public health authority,
 2. An appropriate healthcare accreditation organization, or
 3. An attorney for the purposes of determining the legal options with regard to the conduct of the workforce member or business associate.
- E. Sanctions do not apply to workforce members who are victims of a criminal act and disclose protected health information (PHI) to a law enforcement official. The disclosed PHI must be about a suspected perpetrator of the criminal act and is limited to the following information:

- a.Name and address;
- b.Date and time of treatment.

References: DHR HIPAA Privacy Policies 4.0, 4.1; 45 CFR §§ 164.502(j) and 164.530(e); OCGA §§ 37-3-166, 37-4-125, 37-7-166, and 45-1-4.

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities and Addictive Diseases	DMHDDAD Policy # 3.200 – Protection of Individually Identifiable Health Information – Compliance with HIPAA
PROTOCOL 3.200-08: Business Associates	
Attachments: Attachment A - Business Associate Agreement	

Business Associates

In accordance with Division Policy 3.200 regarding the HIPAA Privacy Rule, the Division and its hospitals and state operated programs and contracted service providers shall identify their business associates.

- A. DMHDDAD shall have an agreement with each business associate. All state-owned or state operated facilities and providers under contract or letter of agreement with the department and/or the division shall also have business associate agreements with entities that perform or assist in performing functions involving the use of individually identifiable health information.
 1. DMHDDAD and state-owned or state-operated facilities shall use the business associate terms provided in standard DHR contracts, or the separate business associate agreement issued by the division (see Attachment A) for all such agreements. A copy of all such agreements must be kept on file.
 2. Providers having a contract or letter of agreement with the division will ensure that they have business associate agreement(s) with their agents or subcontractors and that the agreements are HIPAA compliant. The provider must keep a copy of the agreement(s) on file.
 3. Business associate agreements and all documentation relating to the business associate's performance under the Privacy Rule must be retained for as long as the business associate performs or assists in performing functions involving the use of individually identifiable health information, or for six (6) years, whichever is longer.
 4. DMHDDAD shall have access to the business associate agreements of providers upon request.
- B. Disclosures to business associates are subject to minimum necessary requirements. In all cases, DMHDDAD and state-owned or state-operated facilities will ensure that, pursuant to the Official Code of Georgia Annotated, Sections 37-3-166, 37-4-125, and 37-7-166, relating to the treatment of clinical records, the release of clinical records will be conducted as provided by those statutory provisions and by relevant provisions of the HIPAA Privacy Rule. To the extent that any business associate(s) receives such clinical records, the business associate(s) will also adhere to the Georgia Code and the Privacy Rule regarding the treatment and release of such clinical records. Privileged information shall not be released by DMHDDAD or its business associate(s) without proper authorization.
- C. DMHDDAD must inform business associates of the requirement to safeguard PHI and that business associates must provide appropriate training programs for their employees. DMHDDAD may allow business associates access to selected DMHDDAD training materials for these purposes.
- D. Business associates shall be included in policy updates through the Provider manual and through communications from the DHR Privacy Officer and/or the Division Privacy Coordinator. Business associates will be informed of applicable training programs and compliance audits through the Division Training Coordinator, Regional Coordinator, or Privacy Coordinator, as applicable.
- E. If DMHDDAD accepts an amendment to an individual's PHI, the division must make a reasonable effort to inform business associates it knows that have the PHI that is the subject of the amendment and which may have relied on the information to the detriment of the individual. Amendment(s) to PHI will be covered by the procedures outlined in the protocol on individuals' rights.
- F. If DMHDDAD accepts restrictions on the use or disclosure of an individual's PHI, the division's business associates must honor the restrictions.

- G. DMHDDAD state office staff who are responsible for deploying policy and maintaining contracts will keep informed and aware of all business associate relationships and have a mechanism to be notified of changes to those relationships.
- H. DMHDDAD is not considered to have violated Privacy Rule requirements if a business associate disclosed PHI as a whistleblower.
- I. DMHDDAD must mitigate as best it can, any harmful effects from uses and disclosures by its business associates that violate DHR or DMHDDAD privacy policies and procedures.
- J. DMHDDAD must make a good faith effort to obtain satisfactory assurances that each business associate will adhere to Privacy Rule requirements, and if the effort is unsuccessful, document the attempt and the reason such assurance could not be obtained. In such cases, disclosure of PHI may be made to the business associate to the extent necessary to carry out DMHDDAD's legally mandated activities.
- K. DMHDDAD is authorized to terminate any agreement(s) with business associates if the conduct of any business associate(s) constitutes a material breach of the agreement. DMHDDAD will, where feasible, provide an opportunity for the business associate to cure the breach. Where neither termination nor cure is possible, DMHDDAD will report the violation to the Secretary of Health and Human Services.
- L. DMHDDAD will ensure that, upon termination of the agreement with a business associate, protected health information will be returned or destroyed according to the provisions of the contract and in compliance with the HIPAA Privacy Rule.

BUSINESS ASSOCIATE AGREEMENT

This Business Associate Agreement is made and entered into by and between the Georgia Department of Human Resources ("DHR") and the Contractor named below. The parties acknowledge that DHR is "Covered Entity" under the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 (HIPAA) and the Standards for Privacy of Individually Identifiable Health Information, 45 CFR Parts 160 and 164 ("Privacy Rule"). The Privacy Rule requires DHR to obtain satisfactory assurance that Contractor will appropriately safeguard the privacy and provide for the security of Protected Health Information ("PHI") within Contractor's possession, custody or control. Contractor is a Business Associate of DHR as that term is defined under HIPAA and the Privacy Rule. Accordingly, for good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, in order to establish the permitted and required uses and disclosures of PHI, the parties agree as follows:

Contractor will not use or disclose PHI except as permitted or required by this agreement or by law, and when using or disclosing PHI, will make reasonable efforts to limit PHI to the minimum necessary to accomplish the intended purpose of such use or disclosure. Contractor will establish and use appropriate safeguards to prevent unauthorized use or disclosure of PHI. Contractor will promptly report any unauthorized use or disclosure promptly to DHR, and will ensure that any individual or organization to whom it provides PHI agrees to the same conditions and restrictions with respect to PHI that are applicable to the Contractor. Contractor will allow individuals access to their own PHI, an opportunity to request amendment of such PHI, and all information required to provide an accounting of disclosures of PHI as provided by the Privacy Rule. Contractor will make its internal practices, books and records relating to use or disclosure of PHI to both DHR and the Secretary of Health and Human Services for purposes of determining DHR's compliance with the Privacy Rule. Upon termination of this agreement, Contractor will return all PHI to DHR, retaining no copies of such PHI, and will assure that its agents and subcontractors treat PHI in their possession or control in the same manner. This agreement may be terminated upon notice by DHR if the Contractor violates any material term hereof.

IN WITNESS WHEREOF, DHR and Contractor have caused this Business Associate Agreement to be executed in duplicate on the ____ day of _____, 200__.

GEORGIA DEPARTMENT OF HUMAN RESOURCES

By: _____
Authorized Signature

CONTRACTOR

Typed or Printed Name of Contractor

By: _____
Authorized Signature

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities and Addictive Diseases	DMHDDAD Policy # 3.200 – Protection of Individually Identifiable Health Information – Compliance with HIPAA
PROTOCOL 3.200-10: Disclosure and Authorization for Disclosure of Protected Health Information	
Attachments: Attachment A – Authorization for Use or Disclosure of Protected Health Information	

DISCLOSURE AND AUTHORIZATION FOR DISCLOSURE OF PROTECTED HEALTH INFORMATION

DMHDDAD may disclose protected health information (PHI) of an individual upon the individual's request. DMHDDAD shall have a written authorization from an individual before using or disclosing PHI for any purpose not otherwise permitted by law or allowed by the Privacy Rule.

- A. Authorization forms must be in plain language and must contain the following:
 1. Description of the information to be used or disclosed.
 2. A description of the purpose of the use or disclosure.
 3. Name of the facility or provider authorized to use or disclose the PHI.
 4. Name of the receiving person or entity of the use or disclosure.
 5. A description of the purpose of the use or disclosure.
 6. An expiration date, specified time period, or event triggering expiration.
 7. A statement regarding the individual's right to revoke the authorization and a description of how the individual may revoke the authorization.
 8. The individual's signature and date of signature.
 9. If signed by a parent of a minor, legal custodian of a minor, guardian of the person, or other person legally authorized to sign disclosure of PHI, a description of that person's authority to act for the individual.
 10. The signature of a witness and date of signature.
 11. A statement that DMHDDAD will not condition treatment, payment, or eligibility for benefits on the individual's providing authorization for the requested use or disclosure.
- B. An authorization is rendered invalid if:
 1. The expiration date, specified time period, or event triggering expiration is known to have occurred.
 2. The authorization is known by the provider to have been revoked.
 3. The authorization has been combined with any other document.
 4. The individual's treatment, payment, or health operations are conditioned on signing an authorization.
- C. The facility or provider must give a copy of every fully completed and signed authorization to the person who signed it, and must maintain the original in the individual's clinical record permanently.
- D. The attached form, **Attachment A** "Authorization for Use or Disclosure of Protected Health Information," is required for use by state owned or operated facilities or programs. The facility or program may customize the form to include facility or program letterhead, space for the individual's identification, and the like. No changes in content are permitted without the approval of the Division Privacy Coordinator or the DHR Privacy Officer. If necessary, the authorization may be amended to show that it is valid for the time period necessary to complete the transaction for which the disclosure is made.
- E. Providers of services through contract or letter of agreement may utilize the attached form. Any form utilized by providers must be compliant with the Privacy Rule and the terms of this protocol.

- F. An individual may revoke an authorization at any time, in writing, except to the extent that the entity holding the individual's records has taken action in reliance on the authorization or the authorization was obtained as a condition of obtaining insurance coverage.
- G. An individual who is an adult and who does not have a court-ordered guardian of the person may sign an authorization for disclosure of his/her protected health information. Other persons legally entitled to sign an authorization include:
1. For minor children, a parent, the court-appointed guardian, or a person to whom legal custody of the child has been given by order of a court.
 2. For incompetent adults, the court-ordered guardian of the person.
 3. For deceased individuals, the legal representative of the individual's estate.
 4. For an adult who has signed a durable power of attorney for health care, if the durable power of attorney is in effect at the time, the agent named by the individual.
- H. DMHDDAD may use or disclose protected health information without an individual's written consent or authorization and without giving the individual the opportunity to agree or object in certain circumstances. Such uses and disclosures include the following:
1. When required by law.
 2. AIDS confidential information may be reported or disclosed according to law (OCGA sections 24-9-47; 31-22-9.2).
 3. For public health activities (See OCGA section 31-12-2).
 4. About victims of abuse, neglect, or exploitation (See OCGA section 30-5-4).
 5. For health oversight activities (including audits, investigations, and inspections).
 6. In response to a subpoena or court order from a court of competent jurisdiction, except for privileged matters, and except that substance abuse information may not be disclosed in response to a subpoena, but requires a court order. (OCGA sections 37-3-166, 37-4-125).
 7. A law enforcement officer in the course of a criminal investigation may be informed only:
 - a. whether an individual is or has been a patient in a facility that is not solely a substance abuse facility, as well as the individual's current address, if known, and
 - b. during investigation of a crime on premises of a facility that is not solely a substance abuse facility or against facility personnel or a threat to commit such a crime, a law enforcement officer may be informed as to the circumstances of the incident, including whether the individual allegedly committing or threatening to commit the crime is or has been a patient in the facility, and the name, address, and last known whereabouts of any alleged patient perpetrator.
 8. About deceased persons in response to a valid subpoena from a coroner or medical examiner; to a funeral director in the event the deceased person had an infectious or communicable disease at the time of death, or to the legal representative of the individual's estate (OCGA sections 31-12-2; 31-21-3; 37-3-166, 37-4-125, 37-7-166).
 9. For organ and tissue donation (OCGA section 44-5-143).
 10. For disaster relief purposes (OCGA section 31-12-2).
 11. For the individual's continued treatment (OCGA section 37-3-166, 37-4-125, 37-7-166).
 12. For emergency treatment (OCGA section 37-3-166).
- I. Special rules apply to a disclosure which identifies the individual as a person with a substance abuse diagnosis. The hospital or provider should seek legal and policy review before making any disclosure of substance abuse information without an authorization. Disclosures may not be made unless:
1. The disclosure is for emergency medical care of the individual.
 2. The disclosure is ordered by a court, following a full and fair show cause hearing as described in federal substance abuse confidentiality regulations.
 3. The disclosure is for research activities, audit and evaluation activities, if the party receiving the information has agreed in writing to preserve confidentiality.
 4. Certain information on crimes on program premises or against program personnel.
 5. The disclosure is for reports of suspected child abuse or neglect, as required under state law.
- J. Procedures for Responding to Subpoenas or Discovery Request in a Civil (non-criminal) Case

- a. Protected health information of an individual which does not disclose substance abuse may be produced in response to a subpoena of a court of competent jurisdiction or a Requests for Production of Documents or other discovery request ONLY when EITHER:
 - i. The hospital or provider holding the record receives satisfactory written assurances from the party seeking the protected health information that
 1. the party seeking information has made a good faith attempt to provide written notice to the individual (or, if the individual's location is unknown, to mail a notice to the individual's last known address),
 2. the notice includes sufficient information about the proceeding in which the information is sought to permit the individual to raise an objection to the court, AND
 3. The time for the individual to raise objections to the court has elapsed and no objections were filed, or all objections filed by the individual have been resolved by the court, and the disclosures sought are consistent with such resolution, OR
 - ii. the parties to the dispute giving rise to the request have agreed to a qualified protective order and have presented it to the judge, OR the party seeking the information has requested a qualified protective order from the court. A qualified protective order must prohibit the parties to the case from using or disclosing the protected health information for any purpose other than the litigation or proceeding, and must require that the protected health information either be returned to the hospital or provider, or be destroyed at the end of the litigation or proceeding.
- b. The hospital or provider holding the requested protected health information may, with the assistance of a legal advisor or counsel, undertake to provide the notice and/or obtain the qualified protective order described above. This should generally be done only when there is no reasonable possibility that the party seeking the information will accomplish these requirements.
- c. If the protected health information which is sought requires a disclosure that the individual has a substance abuse diagnosis (including a health diagnosis that is secondary to or related to substance abuse), the hospital or provider may not follow these procedures. Instead, the requestor must be informed that it is necessary to have either the individual's authorization for use or disclosure of substance abuse information, or a court order based on a full and fair show cause hearing as outlined in the federal regulations on "Confidentiality of Alcohol and Drug Abuse Patient Records" at 42 CFR sections 2.1 and following.

K. Procedures for Disclosures for Law Enforcement Purposes

A provider may disclose PHI other than substance abuse information in response to a criminal court order or subpoena in a criminal case, provided that the judge issuing the court order or the attorney issuing the subpoena gives assurances that:

- a. The information sought is relevant and material to a legitimate law enforcement inquiry;
- b. The request is specific and limited in scope to the extent reasonably practicable in light of the purpose for which the information is sought; and
- c. De-identified information could not reasonably be used.

L. Redaction or De-Identification of Records

- a. In the event records are sought by means of a request covered by the Open Records Act of Georgia, the provider must seek legal counsel on whether records may be produced.
- b. To the extent that any records are required by law to be produced, all identifiers of the individual AND his or her relatives, employers, or household members, must be redacted as follows:
 - i. Name
 - ii. Address
 - iii. Dates relating to the individual, including date of birth, admission and discharge dates, and date of death
 - iv. Age, if over age 89
 - v. Telephone and fax numbers
 - vi. E-mail address
 - vii. Social security number

- viii. Medical record number
- ix. Health plan beneficiary number
- x. Account numbers
- xi. Driver's License number and other certificate/license numbers
- xii. Vehicle identifiers and serial numbers, including license plate number
- xiii. Device identifiers and serial numbers
- xiv. URLs
- xv. Internet Protocol (IP) address numbers
- xvi. Biometric identifiers, including finger and voice prints
- xvii. Full face photographs and any comparable images identifying the individual
- xviii. Any other unique number, characteristic (such as physical description, tattoos, or the like).



Georgia Department of Behavioral Health &
Developmental Disabilities

Name of Individual/Consumer/Patient/Applicant

AUTHORIZATION FOR RELEASE OF INFORMATION

I hereby authorize:

(Name of Person or Agency to whom information should be given - requesting agency)

(Address)

to obtain from:

(Name of health care provider holding the information - releasing agency)

(Address)

the following type(s) of information from my records (and any specific portion thereof):

I authorize the disclosure of alcohol or drug abuse information, if any.

Initials

I authorize the disclosure of information, if any, concerning testing for HIV (human immunodeficiency virus) and/or treatment for HIV or AIDS (acquired immune deficiency syndrome) and any related conditions.

Initials

for the purpose of:

I understand that the federal Privacy Rule ("HIPAA") does not protect the privacy of information if re-disclosed, and therefore request that all information obtained from this person or agency be held strictly confidential and not be further released by the recipient. I further understand that the Department or my healthcare provider will not condition my treatment, payment, or eligibility for any applicable benefits on whether I provide authorization for the requested release of information. I intend this document to be a valid authorization conforming to all requirements of the Privacy Rule and state law, and understand that my authorization will remain in effect for: (PLEASE CHECK ONE)

☐ one (1) year.

☐ the period necessary to complete all transactions on matters related to services provided to me.

I understand that unless otherwise limited by state or federal regulation, and except to the extent that action has been taken based upon it, I may withdraw this authorization at any time by sending written notice of my withdrawal of this authorization to the staff of the healthcare provider who is providing services to me, OR to the Department's Privacy Officer at 2 Peachtree St. NW, Atlanta, GA 30303-3142.

(Date)

(Signature of Individual/Consumer/Patient/Applicant)

(Signature of Witness)

(Title or
Relationship to Individual)

(Signature of Parent or other legally Authorized
Representative, where applicable)

(Date)

USE THIS SPACE ONLY IF AUTHORIZATION IS WITHDRAWN

(Date this authorization is revoked by Individual)

(Signature of Individual or legally authorized Representative)

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities and Addictive Diseases	DMHDDAD Policy # 3.200 – Protection of Individually Identifiable Health Information – Compliance with HIPAA
PROTOCOL 3.200-14: Notice of Privacy Practices	
Attachments: Attachment A – Notice of Privacy Practices	

Notice of Privacy Practices

All consumers are entitled to written notice of the privacy practices of the Division of Mental Health, Developmental Disabilities, and Addictive Diseases.

- (a) DMHDDAD will promptly seek authorization from the Department of Human Resources to revise and re-distribute the Notice of Privacy Practices whenever there is a material change to uses and disclosures, the individual's rights, DMHDDAD's legal duties, or other privacy practices stated in the Notice.
- (b) The Notice must be in plain language and include:
 - 1) Information regarding uses and disclosures of PHI
 - 2) Statement of an individual's privacy rights regarding protected health information
 - 3) DMHDDAD's responsibilities under the Privacy Rule
 - 4) How to file complaints with the service provider, DMHDDAD, or the Secretary of DHHS
 - 5) Name, title and phone number of the designated contact for more information on DMHDDAD's privacy practices
 - 6) Effective date of the notice
- (c) The Notice, **Attachment A**, must be used, without alteration, by DMHDDAD state-owned or state-operated facilities. As the use or disclosure of protected health information changes, the Department may revise the Notice and copies of the revised Notice will be posted and promptly distributed to division staff, regional offices, state-owned or state-operated facilities, providers, and consumers. Notice must be provided to individuals within 60 days of a material revision to the notice.
- (d) Providers operating under contract or memorandum of understanding with DHR or the Division must utilize a notice of privacy practices that complies with the HIPAA Privacy Rule.
- (e) Individuals must be notified every 3 years of the availability of the Notice and how to obtain it. Providing the Notice electronically satisfies the privacy practices notice requirement.
- (f) In order to preserve the opportunity to raise questions about DMHDDAD's privacy policies, DMHDDAD direct treatment providers must make good faith efforts to obtain a written acknowledgment of receipt of the notice of privacy practices. This acknowledgment may be made by the individual, parent (for minor individuals) or guardian of the person of an individual. In the event the individual, parent, or guardian declines to provide such an acknowledgment, the effort to obtain it should be documented. A copy of the notice (signed if possible) will be kept in the individual's clinical record.
- (g) DMHDDAD will ensure that a copy of the notice is provided to individuals, parents of minor individuals, and guardians of individuals inquiring about or applying for services through DMHDDAD.
- (h) Every individual, or his/her parent or guardian if applicable, is entitled to a copy of the notice upon request.
- (i) Facilities, providers of services and regional offices must ensure that the Notice of Privacy Practices is posted at all times in a prominent location where it is reasonable to expect individuals who are seeking or receiving services to be able to read the notice. Additional copies must be available for distribution upon request.

Notice of Privacy Practices
Georgia Department of Human Resources
Division of Mental Health, Developmental Disabilities and Addictive Diseases

THIS NOTICE DESCRIBES HOW MEDICAL INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED BY THE DEPARTMENT AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY. This notice is effective April 14, 2003. It is provided to you pursuant to provisions of the Health Insurance Portability and Accountability Act of 1996 and related federal regulations. If you have questions about this Notice please contact the Department's Privacy Officer or Division's Privacy Coordinator at the address below.

The Department of Human Resources is an agency of the State of Georgia responsible for numerous programs which deal with medical and other confidential information. Both federal and state laws establish strict requirements for most programs regarding the disclosure of confidential information, and the Department must comply with those laws. For situations where stricter disclosure requirements do not apply, this Notice of Privacy Practices describes how the Department may use and disclose your protected health information for treatment, payment, health care operations and for certain other purposes. This notice also describes your rights to access and control your protected health information, and provides information about your right to make a complaint if you believe the Department has improperly used or disclosed your "protected health information." Protected health information is information that may personally identify you and relates to your past, present or future physical or mental health or condition and related health care services. The Department is required to abide by the terms of this Notice of Privacy Practices, and may change the terms of this notice, at any time. A new notice will be effective for all protected health information that the Department maintains at the time of issuance. Upon request, the Department will provide you with a revised Notice of Privacy Practices by posting copies at its facilities, publication on the Department's website, in response to a telephone or facsimile request to the Privacy Office, or in person at any facility where you receive services from the Department.

1. Uses and Disclosures of Protected Health Information Your protected health information may be used and disclosed by the Department, its administrative and clinical staff and others involved in your care and treatment for the purpose of providing health care services to you, and to assist in obtaining payment of your health care bills.

a. Treatment: Your protected health information may be used to provide, coordinate, or manage your health care and any related services, including coordination of your health care with a third party that has your permission to have access to your protected health information, such as, for example, a health care professional who may be treating you, or to another health care provider such as a specialist or laboratory.

b. Payment: Your protected health information may be used to obtain payment for your health care services. For example, this may include activities that a health insurance plan requires before it approves or pays for health care services such as: making a determination of eligibility or coverage, reviewing services provided to you for medical necessity, and undertaking utilization review activities.

c. Health Care Operations: The Department may use or disclose your protected health information to support the business activities of the Department, including, for example, but not limited to, quality assessment activities, employee review activities, training, licensing, and other business activities. Your protected health information may be used to contact you about appointments or for other operational reasons. Your protected health information may be shared with third party "business associates" who perform various activities that assist us in the provision of your services.

2. Other Permitted or Required Uses and Disclosures with Your Authorization or Opportunity to Object

Other uses and disclosures of your protected health information will be made only with your written authorization,

which you may revoke at any time, except as permitted or required by law as described below. Generally, if there is

protected health information which identifies you as a person who has applied for or received substance abuse

services, that information will not be disclosed without your consent unless the law allows or requires such a

disclosure. The Department may use and disclose your protected health information when you authorize in writing

such use or disclosure of all or part of your protected health information. If you are hospitalized, the Department may use and disclose certain protected health information to your representative, as that term is defined in the Georgia Mental Health Code, upon your admission or discharge; you may be given a chance to object to certain other disclosures to your representative.

3. Permitted or Required Uses and Disclosures without Your Authorization or Opportunity to Object

The Department may use or disclose your protected health information without your authorization for continuity of your care or for your treatment in an emergency or when clinically required; when required to do so by law; for public health purposes; to a person who may be at risk of contracting a communicable disease; to a health oversight agency; to an authority authorized to receive reports of abuse or neglect; in certain legal proceedings; and for certain law enforcement purposes. Protected health information may also be disclosed without your authorization to a coroner or medical examiner, and to the legal representative of your estate.

4. Required Uses and Disclosures: Under the law, the Department must make disclosures to you and when required by the Secretary of the Department of Health and Human Services to investigate or determine the Department's compliance with the requirements of the Privacy Rule at 45 CFR Sections 164.500 et. seq.

5. Your Rights The following is a statement of your rights with respect to your protected health information and a brief description of how you may exercise these rights.

a. You have the right to inspect and copy your protected health information. You may inspect and obtain a copy of protected health information about you for as long as the Department maintains the protected health information. This information includes medical and billing records and other records the Department uses for making medical and other decisions about you. A reasonable, cost-based fee for copying, postage and labor expense may apply. Under federal law you may not inspect or copy psychotherapy notes; information compiled in anticipation of, or for use in, a civil, criminal, or administrative proceeding, or protected health information that is subject to a federal or state law prohibiting access to such information.

b. You have the right to request restriction of your protected health information. You may ask the Department not to use or disclose any part of your protected health information for the purposes of treatment, payment or healthcare operations, and not to disclose protected health information to family members or friends who may be involved in your care. Such a request must state the specific restriction requested and to whom you want the restriction to apply. The Department is not required to agree to a restriction you request, and if the Department believes it is in your best interest to permit use and disclosure of your protected health information, your protected health information will not be restricted, except as required by law. If the Department does agree to the requested restriction, the Department may not use or disclose your protected health information in violation of that restriction unless it is needed to provide emergency treatment.

c. You have the right to request to receive confidential communications from us by alternative means or at an alternative location. Upon written request to a person listed in section 6 below, the Department will accommodate reasonable requests for alternative means for the communication of confidential information, but may condition this accommodation upon your provision of an alternative address or other method of contact. The Department will not request an explanation from you as to the basis for the request.

d. You may have the right to request amendment of your protected health information. If the Department created your protected health information, you may request an amendment of that information for as long as it is maintained by the Department. The Department may deny your request for an amendment, and if it does so will provide information as to any further rights you may have with respect to such denial. Please contact one of the persons listed in section 6 below if you have questions about amending your medical information.

e. You have the right to receive an accounting of certain disclosures the Department has made of your protected health information. This right applies only to disclosures for purposes other than treatment, payment or healthcare operations, excluding any disclosures the Department made to you, to family members or friends involved in your care, or for national security, intelligence or notification purposes. You have the right to receive legally specified information regarding disclosures occurring after April 14, 2003, subject to certain exceptions, restrictions and limitations.

f. You have the right to obtain a paper copy of this notice from the Department, upon request.

6. Complaints You may complain to us and to the United States Secretary of Health and Human Services if you believe your privacy rights have been violated. You may file a complaint in writing with the Facility under contract with DHR which maintains your protected health information at telephone_____, facsimile _____, or by mail to _____. You must state the basis for your complaint. The Department will not retaliate against you for filing a complaint. You may also contact the **Division's Privacy Coordinator by telephone at (404) 657-6423, facsimile (404) 657-6424, or by mail to 2 Peachtree Street NW, Room 22.240, Atlanta, Georgia 30303-3142,** for further information about the complaint process or this notice.

Please sign a copy of this Notice of Privacy Practices for the Department's records.

I have received a copy of this Notice on the date indicated below.

Signature of Individual or Legally Authorized Person

Date



I. Legal References

21 CFR § 1175, O.C.G.A. §§ 24-9-21; 26-5-17; 37-3-166; 37-4-125; 37-7-166; 37-2-1.2; 43-39-16.

To respect and acknowledge the privacy and confidentiality of consumers is the responsibility of all who participate in the delivery of services to the disabled. Confidential consumer information contained in records, charts, documents or other forms of recordation may be released only on a need to know basis to persons authorized by law or upon written consent of the consumer. Furthermore, it is advisable that consumer information not be discussed openly, other than is necessary to benefit the consumer, and only among duly authorized staff or others clearly involved in the care of the consumer.

II. Confidential Information

Need to know information includes, but is not limited to, information used to:

- A. Determine eligibility
- B. Provide treatment for, or contribute to, the diagnosis of any medical or psychological illness, injury, or condition
- C. Assess financial liability
- D. Pay any financial obligations
- E. Initiate or further any investigatory, regulatory, or enforcement purpose
- F. Provide service

III. Considerations

To meet the needs of consumer's in an efficient, effective way, and to accomplish the goal of simplifying access to services, contractors may share consumer information on a need to know basis across provider/program lines unless prohibited by state or federal law. The disclosure of consumer information shall be guided as follows:

- A. Contractors shall respect and acknowledge the privacy rights of consumers.
- B. Only those persons with proper authorization may access confidential consumer information.
- C. Consumers shall be informed that information and records may be shared with authorized persons.
- D. Contractors shall be responsible for handling and safeguarding consumer records to protect their confidentiality.



IV. Sharing Consumer Information

- A. Contractors may share consumer information within its organization on a need to know basis in furtherance of consumer's treatment or programmatic goals.
- B. Policies and procedures should be established for determining which employees shall have access to different types of consumer information.
- C. Contractors should develop a procedure for handling requests for consumer information from outside its organization.

V. Clinical Records

Perhaps the greatest source of confidential consumer information is the consumer's clinical records. These records are afforded specific protections under the law and must be handled in a manner designed to meet the law's requirements. Providers are urged to consult O.C.G.A. § 37-3-166 (MH); 37-4-125 (MR) and 37-7-166 (SA), to determine when such clinical information may be disclosed. A thorough reading of the applicable statute and/or legal consultation is urged when there is uncertainty regarding the disclosure of consumer information to anyone not directly involved in their treatment.

VI. Unauthorized Disclosure of Consumer Information

Georgia Law and Federal Regulations protect the consumer's right to confidentiality. Any violation of the consumer's right to confidentiality may subject the party or parties responsible for the unauthorized disclosure to statutory penalties and/or civil action.



Chapter: Developmental Disabilities Community Services

Subject: Recruitment and Application to Become a Provider of Developmental Disabilities Services

Applicability:

Potential Providers of Developmental Disabilities Services, Regional Offices, Support Coordination, Intake & Evaluation

Effective Date: July 1, 2010

Scheduled Review Date: July 2011

Approved:

Beverly D. Rollins

Beverly D. Rollins, M.P.A., Executive Director
Division of Developmental Disabilities

Attachments:

Attachment A – **Letter of Intent to Provide Services Form**

Attachment B – **New Site Inspection Checklist**

6/1/10

Date

Frank E. Shelp

Frank E. Shelp, M.D., M.P.H., Commissioner

6/1/10

Date

Recruitment and Application to Become a Provider of Developmental Disabilities Services

POLICY

It is the policy of the Department of Behavioral Health and Developmental Disabilities (DBHDD) to recruit and qualify a provider base determined by the needs of individuals with developmental disabilities. This recruitment and qualifying is accomplished through the use of a prequalification determination process and a two-phase application and training process. Recruitment cycles will occur two times per year, beginning July 1 and January 1 of each fiscal year (FY). Successful completion of prequalification determination process and two-phase application and training process will result in recommendation to The Department of Community Health for Medicaid provider number to be issued. The Department of Community Health will make the final determination and decision in the issuance of a Medicaid provider number.

GENERAL INFORMATION

The Department of Behavioral Health and Developmental Disabilities may elect at any time to revise these policy requirements, the time frames for the phases, the content of the training, or other aspects of the provider recruitment and application process.

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The Department of Behavioral Health and Developmental Disabilities does not guarantee referrals of individuals with developmental disabilities. Individuals with developmental disabilities always have choice in the selection of providers.

DEFINITIONS

Developmental Disabilities Professional (DDP) – An individual that meets the qualifications of one or more of the DDP designations which are found in “Community Standards for All Providers” section of the current year Provider Manual located at the DBHDD website: www.dbhdd.georgia.gov.

Director -- An individual responsible for corporate or management oversight of the organization with one of the following qualifications:

1. A bachelor's degree in a human service field (such as social work, psychology, education, nursing, or closely related field) or business management and two years of experience in service delivery to persons with developmental disabilities, with at least one year in a supervisory capacity; or
2. An associate degree in nursing, education or a related field and four years of experience in service delivery to persons with developmental disabilities, with at least one year in supervisory capacity.

Emergency Situations – The following constitute emergency situations:

- Death of immediate family member;
- A doctor's verification of accident, illness, or hospitalization of individual approved to participate in training process; or
- A natural disaster.

Immediate Family Member – Immediate family includes the individual's spouse, child, parent, brother and sister. Immediate family also includes any other person who resides in the individual's house AND is recognized by law as a dependent of the individual.

Letter of Intent to Provide Services Form – A form letter provided by DBHDD which must be completed by the potential provider, outlining their intent to become a Medicaid approved provider of developmental disabilities services.

Nurse – For the purpose of this policy, Nurse means a Registered Nurse (RN) or Licensed Practical Nurse (LPN) with a current license to practice in the State of Georgia.

Pre-Qualifier – Items listed in this policy that are required before the potential provider may proceed with the Phase I process.

Recruitment Cycle – A six month cycle of recruitment, prequalification determination and two-phase application and training process for potential providers beginning July 1 and January 1 of each FY.

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PROCEDURES

Identification of Need for Additional Providers

The Department of Behavioral Health and Developmental Disabilities/Division of Developmental Disabilities (Division of DD) maintains a short term planning list, a long term planning list and transition list for individuals eligible for developmental disabilities services. These planning lists are sorted by needs of the individual, service area, and service type. The Division of DD utilizes the demographics of these lists to recruit for potential provider types based on need in specific regions and counties and will prioritize the processing of potential providers according to the aforementioned criteria.

Announcement of Recruitment of Potential Providers

The Division of DD distributes an Announcement for Recruitment of Potential Providers based on identified needs, service area and service type. Distribution of the announcement occurs at least 30 calendar days prior to the beginning of each recruitment cycle. The announcement will be located on the Department of Behavioral Health and Developmental Disabilities website at www.dbhdd.georgia.gov.

Process for Qualifying Potential Providers

The Division of DD utilizes a prequalification determination and two-phase process to recruit and qualify potential providers of developmental disabilities services.

Prequalification Determination Process

- A. Interested potential providers must submit a completed **Letter of Intent to Provide Services Form (Attachment A)**. PRE-QUALIFIERS listed below must be sent with the *Letter of Intent to Provide Services Form*. All potential providers must meet the requirements of Pre-qualifiers specific to an agency service.
- B. The Pre-qualifiers include:
 - Resumes of Director, agency Nurse and Developmental Disabilities Professional (DDP) who meet qualifications outlined in current Fiscal Year Provider Manual *Community Standards for All Providers*
 - Current Secretary of State registration
 - Current Applicable licenses
 - **Site Inspection Checklist Completed by Potential Provider (Attachment B)** as applicable to all Community Residential Alternative Provider. This Site inspection checklist will be verified by Regional Office during Phase I of the two-phase process. Verification must result in approval of site inspection by Regional Office, or no application will be accepted and potential provider must wait until next recruitment cycle to begin a new process.
 - Proof that the owner of the potential provider organization has operated an agency which has provided a Medicaid reimbursable service for a minimum of

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one year immediately prior to submission of *Letter of Intent to Provide Services Form and Pre-qualifiers*, with a minimum of three professional reference letters.

- A budget (budget should include expenses, such as, rent, utilities, food, salaries, administration cost, etc., and identify all revenue based on service and number of individuals planned to be served).
- Tax return for previous year.
- Applicable financial statement. If potential provider has provided a previous Medicaid service, or is currently providing a Medicaid service, the following applicable financial statement must be submitted:
 1. For agencies below \$100,000.00 in revenue, the financial statements must include balance sheet, statement of revenue, statement of expenditures, and statement of cash flow.
 2. For agencies above \$100,000.00 in revenue, the financial statement must include balance sheet, statement of revenue and expenditures, statement of cash flow and the auditor's opinion letter on the financial statements.
- Proof of liquid assets equal to at least 3 (three) times the monthly expenses listed in budget (3 months of operating capital). Lines of credit will not be accepted. Operating capital must be unrestricted.

- C. No provider may add additional services or sites after the initial approval until they have completed the following:
- provided a minimum of twelve (12) months of services approved in their initial application, AND
 - have successfully achieved full accreditation and/or complete compliance with the Standards Compliance Review, for a minimum of six (6) months. Provisional status of any type will not be accepted.
- D. The *Letter of Intent to Provide Services Form and Pre-qualifiers* are submitted to the Provider Development Coordinator of the Division of Developmental Disabilities within 31 calendar days of each recruitment cycle (July 1, and/or January 1).
- *Letters of Intent to Provide Services Form and Pre-qualifiers* in the first recruitment cycle must not be postmarked prior to July 1, and must be received via US Postal Service certified return receipt requested no later than July 31.
 - *Letter of Intent to Provide Services Form and Pre-qualifiers* in the second recruitment cycle must not be postmarked prior to January 1, and must be received via U.S. Mail, certified, and return receipt requested no later than January 31.

Letter of Intent to Provide Services Forms and Pre-qualifiers received by DBHDD that are postmarked prior to the beginning date, or postmarked after the closing date of each recruitment cycle will not be processed. *Letter of Intent to Provide Services Form and Pre-qualifiers* that are not sent via US Postal Service certified return receipt requested will not be processed. Information must arrive hardcopy in a

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notebook, organized with each Pre-qualifier section tabbed. No handwritten documents accepted; except signatures. Information must be submitted to:

Provider Development Coordinator
Division of Developmental Disabilities
Department of Behavioral Health & Developmental Disabilities
Suite 22-427
2 Peachtree Street, NW
Atlanta, Georgia 30303

- E. Within 30 calendar days of receipt of *Letter of Intent to Provide Services Form*, the Community Provider Development Coordinator will send *Invitation Letter* via email correspondence to potential provider and Regional Office notifying successful completion of the pre-qualifiers and inviting the potential provider to move forward in the Phase I process, or notifying potential provider that they did not meet pre-qualifiers and will not be invited to move forward in the Phase I process.
- F. Potential Provider Organizations must meet ALL pre-qualifiers to be invited to move forward in the Phase I process. Any incomplete or deficient *Letter of Intent to Provide Services Form*, and/or incomplete or deficient Pre-qualifier will result in no invitation to move on to Phase I and Phase II of the process.
- G. The application, application users guide, and site visit form to be used for Regional Office Site Visit verification (as applicable) will be provided in conjunction with the *Invitation Letter*.
- H. Email addresses listed in the *Letter of Intent to Provide Services Form* for potential providers must be current and correct as correspondence from DBHDD is conducted via email. It is the responsibility of the potential provider to ensure that emails from DBHDD are accepted by their email system and do not go to the "spam" mailbox.

Phase I - Application Submission and External Site Visit

- A. Potential Provider must submit application and approved external site visit verification within 30 calendar days of date of DBHDD *Invitation Letter* of successful completion of the *Letter of Intent to Provide Services Form and Pre-qualifiers*. Potential provider is responsible for contacting Regional Office to request verification of Pre-qualifier site visit completed by potential provider. Verification must result in approval of site inspection by Regional Office, or no application will be accepted and potential provider must wait until next recruitment cycle to begin a new process.
- B. Submission of Application must include:
 - 1) Application and all information requested in application
 - 2) External Site Visit, as applicable
- C. Applications must be postmarked and sent via US Postal Service certified return receipt requested within this 30 day window of *Invitation Letter* date. If received

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postmarked after the 30th calendar day, then the application will not be processed.
Completed Applications must be submitted to:

Office of Provider Network Development
Department of Behavioral Health & Developmental Disabilities
Suite 23-247
2 Peachtree Street. NW
Atlanta, Georgia 30303

- D. Within 15 days of receipt of application, the Office of Provider Network Management will send *Notification Letter* via email correspondence to potential provider notifying successful completion of the Phase I, or notifying potential provider of unsuccessful completion of the Phase I; this *Notification Letter* will indicate whether they will/will not be invited to continue to the Training Phase (Phase II) of the process. *Notification Letter* will contain location for training.
- E. Any incomplete or incorrect applications or omissions of any application document will result in closure of application and notification to The Department of Community Health that application was unsuccessful. Further correspondence regarding potential provider's application will be sent to potential provider from The Department of Community Health.

Phase II – Training and Competency Assessment

- A. Attendance at training by the Developmental Disability Professional, Nurse and Director of a potential provider organization is mandatory for all days, times and modules of Phase II Training and Competency Assessment. The DDP, Nurse and Director must attend a mandatory two weeks of training on topics identified and presented by DBHDD.
- B. Upon receipt of *Notification Letter* of successful completion of Phase I, potential provider must submit the Training Fee of \$175.00 per individual attending. This training fee must be submitted prior to attendance at training. Fees not received prior to first day of training will result in closure of application. Fees will not be accepted at training sites. Fees can be sent overnight delivery. Fee must be paid by Cashier's Check or Money Order made payable to the Division of Developmental Disabilities and submitted to:
- Provider Development Coordinator
Division of Developmental Disabilities
Department of Behavioral Health & Developmental Disabilities
Suite 22-427
2 Peachtree Street, NW
Atlanta, Georgia 30303
- C. Refund of any training fee will be prorated at a rate of twenty-five dollars (\$25.00) per module not yet attended if potential provider withdraws application during the training and assessment process.

DBHDD	SUBJECT: Recruitment and Application to Become a Provider of Developmental Disabilities Services	Policy: 02-701
		Page 7 of 10

- D. State or Governmental Photo ID will be required at each training session, for each individual attending.
- E. In the event of an emergency situation that precludes attendance at training, notification of emergency situations must be made via email, and followed up by written verification on agency letter head with attached original copy of medical verification, to the Provider Development Coordinator on the business day following the documented emergency unless the nature of the emergency precludes the individual from contacting DBHDD. If so, the individual is to contact the Provider Development Coordinator at the first available opportunity.
- F. Absences due to an emergency must be verified. Absences that are not verified as defined in this policy will result in closure of application, forfeiture of refund and “unsuccessful completion” status for all individuals representing the potential provider.
- G. In the event of a verified, documented emergency situation and any of the three potential provider attendees (DDP, nurse and director) are not able to complete training, then the potential provider application will be placed on hold. Applications placed on hold may require updated documents when reopened. All required attendees (DDP, nurse and/or director) who did not complete the training will be required to complete training during the next available training cycle. In this circumstance, training fees will carry over to the next available training cycle. If training is not completed in next available training cycle, application will be closed.
- H. There will be no refunds for “no shows”. No shows will result in closure of application, forfeiture of refund and “unsuccessful completion” status for all individuals representing the potential provider.
- I. The Division of DD reserves the right to alter the topics taught and amount of time devoted to each topic. Training topics are listed below:
1. Health Risk Screening Tool (HRST)
 2. Individual Service Plan
 - Implementation of the ISP
 - Documentation Requirements Based Upon Service
 3. Supports Intensity Scale
 4. Person Centered Training
 - Health, Safety, Well Being & Holistic Needs
 - Choice & Rights
 - Person Centered Service Delivery
 5. Provider Requirements
 - Personnel Requirements for Specific Services
 - Professional Staff
 - Mandatory Disqualification Standards

DBHDD	SUBJECT: Recruitment and Application to Become a Provider of Developmental Disabilities Services	Policy: 02-701
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- Training of Staff/Orientation
- Introduction to Policies and Procedures for All Providers
- Accreditation/Certification Standards
- Certification Tool
- Medication
- Introduction to NOW/COMP Medicaid Manuals
- Service Specific Requirements
- Self-Direction of Services
- 6. Quality Management
 - Individual Rights
 - Quality Assurance and Monitoring of Services
 - Quality Improvement Plans
 - Grievance Procedures – Internal and External
 - Reporting/Investigation Critical Incidents and Deaths
- 7. Behavior Support
 - Applied Behavior Analysis
 - Best Practice Standards for Behavior Support Services and Other Relevant Policies
 - Safety Planning
 - Crisis Protocols
 - Staff Training Topics and Techniques

J. Developmental Disabilities Professionals, Nurses and Directors will be given a competency assessment at the end of each module, and be provided with a discussion session following the assessment. Completed assessments will be returned by potential provider to trainer at end of each module session and discussion.

K. This training does not transfer to new employment, or consultation as a DDP, Nurse, or Director with different potential providers or current approved providers.

Requirement for Successful Completion of All Phases

- A. All Phases of Process are required to be successfully completed within the six month cycle (July 1 – December 31, or January 1 – June 30) after the *Letter of Intent to Provide Services Form* and Pre-qualifiers were submitted. If not, potential provider will not be allowed to begin process again until the next recruitment cycle.

Ongoing Recruitment of Some Services:

Division of DD may elect to do ongoing recruitment of some services, including:

- A. Direct Care Services
- Environmental Accessibility Adaptations
 - Specialized Medical Supplies
 - Specialized Medical Equipment
 - Vehicle Adaptations

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B. Therapy Services Professionally Licensed Services

- CRA/CLS Nursing RN
- LPN Services
- Adult Occupational Therapy
- Adult Physical Therapy
- Adult Speech Language Therapy
- Behavioral Supports Consultation

C. Single Provider Services

- Financial Support Services (application made through the Division of Community Health)
- Support Coordination
- Community Guide Services

Helpful Resources

Department of Behavioral Health and Developmental Disabilities - Provider Information - Provider Toolkit

www.dbhdd.georgia.gov

Georgia Health Partnership/Medicaid

www.ghp.georgia.gov

Healthcare Facility Regulation

www.dch.georgia.gov

Small Business Association

<http://www.sba.gov/localresources/district/ga/index.html>

Score/Small Business Mentoring and Training

<http://www.score.org/index.html>

Rights

Universal Declaration of Human Rights

<http://www.ohchr.org/EN/Issues/Pages/UDHRIndex.aspx>

The Developmental Disabilities Assistance and Bill of Rights Act of 2000

<http://www.acf.hhs.gov/programs/add/ddact/DDACT2.html>

Human Rights Education Associates

http://www.hrea.org/index.php?base_id=152

United Nations Council for Human Rights

<http://www.ohchr.org/EN/Issues/Pages/WhatareHumanRights.aspx>

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United Nations Enable
<http://www.un.org/disabilities/>

Quality Assurance / Improvement

Georgia Quality Management System
www.dfmc-georgia.org

Centers for Medicare & Medicaid Services (CMS) Quality Framework
<http://www.ncdhhs.gov/mhddsas/statpublications/reports/hcbsqualityframework.pdf>



Chapter: Administrative Issues Related to Behavioral Health & Developmental Disabilities Service Delivery
Subject: **Region of Responsibility Determination**

References:

Official Code of Georgia Annotated (O.C.G.A.) 37-2-6.2 (a) 11
and O.C.G.A. 37-2-11 (a)

Applicability:

State Hospitals, Community Providers of Behavioral Health and
Developmental Disabilities Services, Crisis Stabilization
Programs, Regional Offices

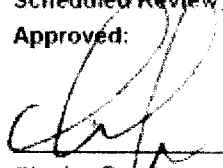
Attachments:

Attachment A – DBHDD Map of Regions

Original Effective Date: July 1, 2010

Scheduled Review Date: July 2011

Approved:


Charles Ringling,
DBHDD Regional Coordinator Team Leader

 6/23/10
Date


Frank E. Shelp, M.D., M.P.H., Commissioner

 6/30/10
Date

REGION OF RESPONSIBILITY DETERMINATION

POLICY

It is the policy of the Department of Behavioral Health and Developmental Disabilities (DBHDD) to allocate resources by region for the purpose of developing appropriate community based services and for accountability of those resources. It is expected that those resources be used to meet the needs of the citizens in the respective DBHDD regions. It is also expected that in order to address the individual needs, people may receive services in any region, if they so choose.

This policy addresses determination of and documentation of region of responsibility and associated issues. Nothing in this policy should be interpreted to reduce in any way the obligation of Providers and State Hospitals to deal with crisis/emergency situations that occur within their regions and to respond to essential service needs while residency and responsibility questions are being resolved. Further, nothing in this policy should be interpreted to constrain the freedom of individuals to seek services wherever they wish regardless of residency and responsibility determinations.

DEFINITIONS

Individual – For the purposes of this policy, the term individual refers to a recipient or participant in mental health, addictive diseases, and/or developmental disabilities services.

Provider – For the purposes of this policy, the term provider includes all organizations that provide behavioral health and/or developmental disability services that are financially supported in whole or in part by funds authorized through DBHDD.

DBHDD	SUBJECT: Region of Responsibility Determination	Policy: 04-105
		Page 2 of 4

Services – For the purposes of this policy, services refers to all behavioral health and/or developmental disabilities services offered by Providers (including Crisis Stabilization Programs) and by State Hospitals operated by DBHDD.

PROCEDURES

A. Guidelines for Determining Region of Responsibility

1. DBHDD assigns counties to regions. See **Attachment A – DBHDD Map of Regions** for the current configuration of DBHDD Regions. DBHDD may elect to periodically change the counties assigned to each region, and/or the number of regions in the state.
2. At the time an individual enters services, the region of responsibility is assigned. Most commonly the individual's county of residence identifies their region of residence which then becomes the region of responsibility. It is recognized that some circumstances may lead to a change. The guidelines in this policy are used in making initial and subsequent determinations of region of responsibility.
3. For the purposes of this policy, each individual is assigned a region of residence except those identified in this policy as exceptions.
4. For an adult, the region of responsibility is determined by the individual's county of residence.
5. If the individual enters services via hospital admission, the county of residence recorded by the hospital determines the region of responsibility and remains so until evidence to the contrary is provided by the DBHDD Regional Office.
6. If an individual moves from one region to another for reasons unrelated to any services needs, the county of residence determines the new region of responsibility.
7. The individual's region of residence is the region of responsibility until such time as subsequent event(s) affect that determination.
8. Individuals residing in long term care facilities such as nursing homes, with no plans to return to another residence, are considered residents of the region in which their long term care facility is located.
9. The region of residence for individuals considered homeless (because they do not have a residence or permanent place to live) is determined by the county in which they are currently staying.

DBHDD	SUBJECT: Region of Responsibility Determination	Policy: 04-105
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10. For an individual under age 18, the county of residence of the custodial parent(s) or legal guardian determines the region of responsibility, regardless of the location of the minor's residence. When a Department of Human Services, Division of Family and Children Services (DFCS) office retains legal custody of an individual, whether adult or minor, the region in which the DFCS office is located is the responsible region.
11. If a minor's custodial parent/legal guardian relocates to another county, the county in which the new residence is located determines the region of responsibility, regardless of the location of the minor's residence. If a minor's custodial parent/legal guardian relocates out of state, the region of responsibility remains the last region in Georgia in which the parent(s)/guardian resided.
12. If an individual moves to another region for reasons that, by definition, are intended to be temporary (foster home, nursing home for rehabilitation, a halfway house, a trial visit), the original region of responsibility remains the region of responsibility.
13. If a Provider initiates a change of region for an individual, the Provider is obligated to gain approval from the Regional Office of origin. The Regional Office of origin then seeks approval from the receiving Regional Office. This approval is documented via email. Any transfer of funds associated with region of responsibility is accomplished through the Budget Allocation System (BAS).
14. If an individual independently obtains services in a region other than his/her region of residence, the county of residence determines the region of responsibility.
15. If the Regional Office initiates a change of region for an individual, that office is obligated to gain approval from the receiving regional office. This approval is documented via email. Any transfer of funds associated with region of responsibility is accomplished through the Budget Allocation System (BAS).
16. If an individual is discharged from a state hospital and is subsequently readmitted to a state hospital from a location other than the original region of responsibility, the circumstances of the discharge and placement may affect the determination of region of responsibility for the readmission.
 - If the individual was discharged to a location intended to be temporary, the original region of responsibility remains the responsible region.
 - If the individual voluntarily moved to a location intended to be permanent, the new county of residence determines the region of responsibility even if the individual has been in the new region only a short time.
17. Other extenuating circumstances regarding establishing the region of responsibility may be mutually agreed upon by the affected regions.

DBHDD	SUBJECT: Region of Responsibility Determination	Policy: 04-105
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B. Exceptions

The following individuals will not be assigned a region of responsibility:

- Out-of-state individuals, i.e., those who are admitted to a hospital or crisis stabilization program for whom discharge planning involves the individual returning to another state for continued services.
- Adults admitted to state institutions from Department of Corrections (DOC) who will be returning to the DOC upon hospital discharge.
- Youth admitted to services from Department of Juvenile Justice (DJJ) facilities who will be returning to a DJJ facility upon discharge.
- Individuals who have not verified their lawful presence in the United States.

Lawful presence means that the person is a citizen of the United States, or is a non-citizen whose physical presence in the United States is authorized under the immigration laws of the United States. Categories of lawful presence include but are not limited to: citizenship, legal permanent residence, legal temporary residence, visitor with a visa, legal temporary worker, refugee, person with approved asylum status, or temporary protected status from a country of origin under warfare or environmental disaster. For additional information, see the DBHDD policy regarding verification of lawful presence in United States for individuals seeking DBHDD Services.

C. Steps to Take When the Regions Cannot Agree Upon Region of Responsibility

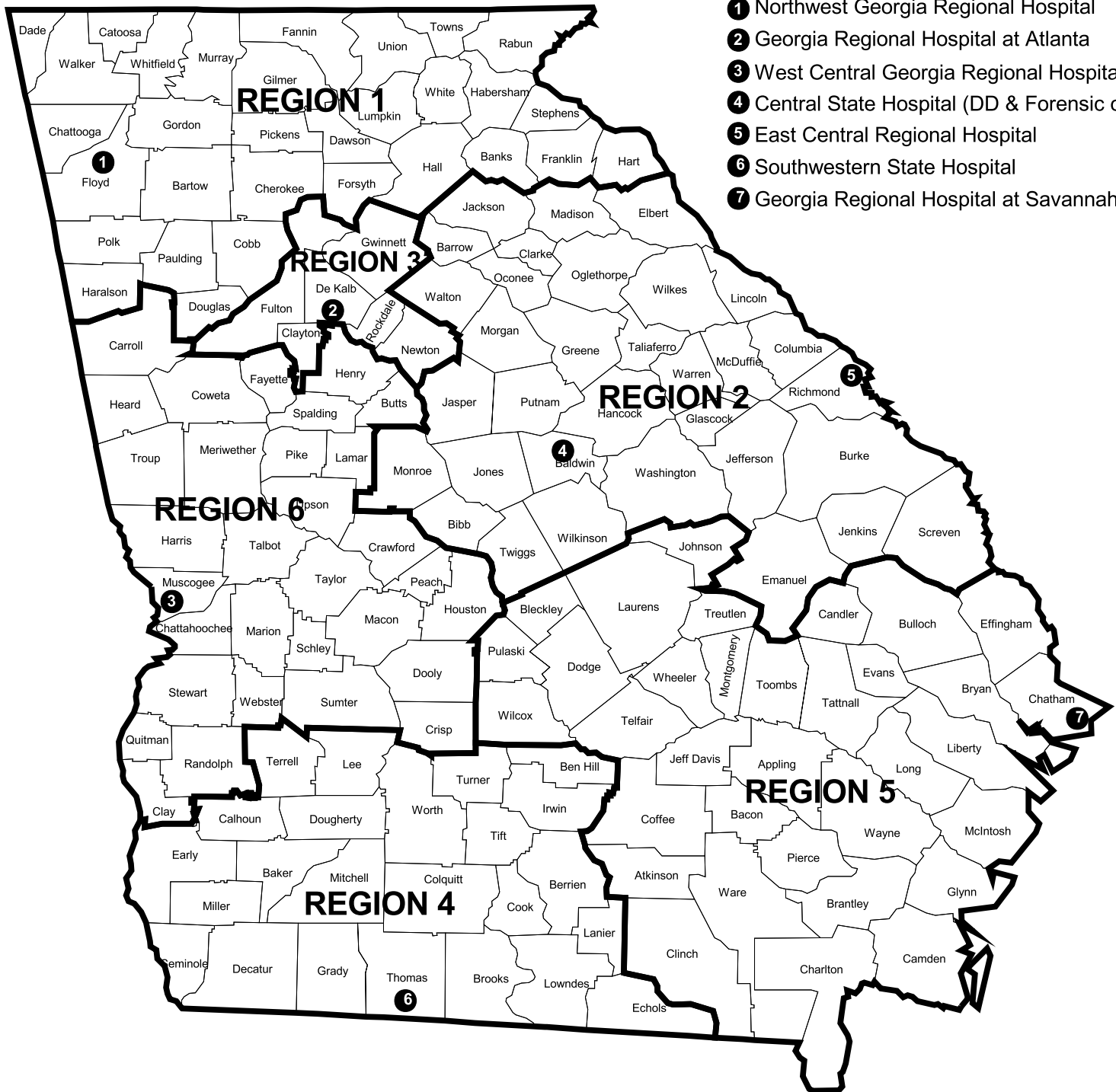
When an individual's region of responsibility cannot be determined at the regional level, formal request for a determination of region of responsibility is submitted to the person responsible for managing regional operations or designee for resolution; the region currently bearing responsibility for the individual is responsible to request a decision.

For individuals who are in state hospitals, if region of responsibility cannot be determined at the regional level within a time period appropriate for adequate hospital discharge planning, the regional hospital administrator submits a request for determination of region of responsibility to the region of origin. A formal request for a determination of region of responsibility is then submitted to the person responsible for managing regional operations or designee for resolution.

(Effective July 1, 2010)

STATE HOSPITALS

- 1 Northwest Georgia Regional Hospital
- 2 Georgia Regional Hospital at Atlanta
- 3 West Central Georgia Regional Hospital
- 4 Central State Hospital (DD & Forensic only)
- 5 East Central Regional Hospital
- 6 Southwestern State Hospital
- 7 Georgia Regional Hospital at Savannah



Department of Behavioral Health and
Developmental Disabilities
Information Management Unit

Created: June 29, 2010

DBHDD

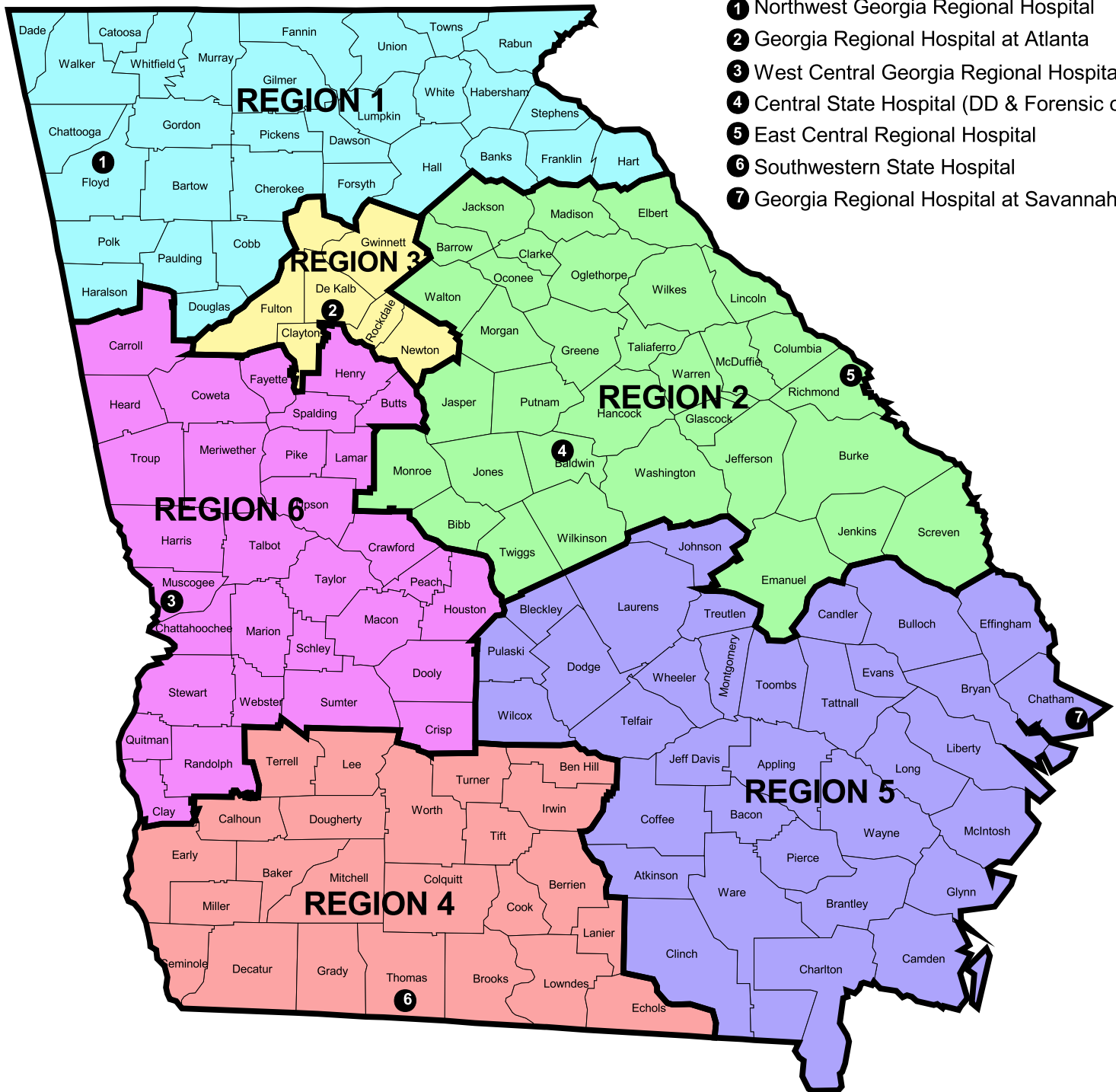
Georgia Department of Behavioral Health & Developmental Disabilities

REGIONAL MAP

(Effective July 1, 2010)

STATE HOSPITALS

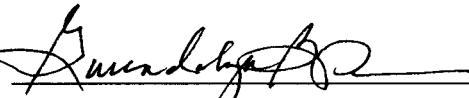
- ❶ Northwest Georgia Regional Hospital
- ❷ Georgia Regional Hospital at Atlanta
- ❸ West Central Georgia Regional Hospital
- ❹ Central State Hospital (DD & Forensic only)
- ❺ East Central Regional Hospital
- ❻ Southwestern State Hospital
- ❼ Georgia Regional Hospital at Savannah



Department of Behavioral Health and
Developmental Disabilities
Information Management Unit

Created: June 29, 2010

DBHDD

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities & Addictive Diseases	DHR Online Directive Information System (ODIS) Directive # 6001-101 <i>Replaces DMHDDAD Policy #2.101</i> Page 1 of 10
ODIS Policy: Maintenance of Safety for Division of MHDDAD Consumers and Staff Subject: Reporting of Consumer Deaths and Critical Incidents	
Applicability: <ul style="list-style-type: none"> • State Hospitals • Public and Private community providers • OTP & State-operated community programs • State MHDDAD office • Regional MHDDAD offices 	Last Revised: May 1, 2007 Revised Date: February 5, 2009 Effective Date: March 2, 2009  Gwendolyn B. Skinner Director, Division of MHDDAD
References: Official Code of Georgia Annotated (O.C.G.A) 31-8-81; 37-1-2; 37-1-20; 37-2-1 et seq.; 37-3-166; 37-3-2; 37-4-125; 37-4-3; 37-7-166; 37-7-2; 30-5-1 et seq.; 19-7-5; 16-6-5.1; DHR Rules and Regulations for Patients' Rights, Chapters 290-4-6; DHR Rules and Regulations for Clients' Rights 290-4-9. DHR Policy 1750	Date <u>2/14/09</u>
Attachments: A - Critical Incident Definitions & Reporting Requirements B - Critical Incident Report form b.1 –Critical Incident Report form supplemental C - Reporting to other Agencies	

I. POLICY

It is the policy of the Division of Mental Health, Developmental Disabilities and Addictive Diseases (DMHDDAD) to maintain a safe and humane environment for consumers, and to prevent abuse, neglect and exploitation of consumers. The DMHDDAD uses a standardized process for reporting and investigating deaths and critical incidents that involve consumers being served by the DMHDDAD in state hospitals and by community providers. The process also includes critical incident procedures for consumers with developmental disabilities who are directing their own services and are not served by traditional provider agencies.

State Hospitals are also guided by DHR Policy 1750 which outlines the roles of the Office of the Inspector General and the Office of Investigative Services.

II. DEFINITIONS

Category I Incidents

- Death
- (Allegation of) Physical abuse

DIVISION: MHDDAD	SUBJECT: Reporting of Consumer Deaths and Critical Incidents	ODIS Policy # 6001-101 <i>Replaces DMHDDAD Policy # 2.101</i>
		Page 2 of 10

- (Allegation of) Neglect
- (Allegation of) Staff to consumer sexual assault or sexual exploitation
- (Allegation of) Consumer to consumer sexual assault or sexual exploitation
- Medication errors with adverse consequences
- Seclusion or restraint resulting in injury requiring treatment beyond first aid
- Suicide attempt that results in medical hospitalization

Category II Incidents

- (Allegation of) Verbal abuse
- (Allegation of) Financial exploitation
- Consumer who leaves the grounds of a state hospital without permission
- Consumer who is unexpectedly absent from a community residential program or day program
- Seclusion or restraint resulting in injury requiring minor first aid
- Vehicular accident with injury while consumer is in a state vehicle or is being transported by community or hospital staff
- Incident occurring at a provider's site which required intervention of law enforcement services
- Criminal conduct by consumer
- Consumer to consumer assault resulting in injury requiring treatment beyond first aid
- Consumer to consumer assault with injury requiring minor first aid
- Medical hospitalization of a consumer of a state hospital (including state operated community programs) or community residential program
- Consumer injury requiring treatment beyond first aid
- Staff injury caused by a consumer and requiring treatment (State-operated programs only)

See **Attachment A: Critical Incident Definitions & Reporting Requirements** for definitions of incidents.

Community Provider: Any person or entity providing community-based disability services through a contract with or authorized by the DMHDDAD and/or providing Medicaid services authorized by DMHDDAD. "Community Provider" includes any state owned or operated community program. For purposes of this policy, community provider includes services provided through a subcontractor.

DIVISION: MHDDAD	SUBJECT: Reporting of Consumer Deaths and Critical Incidents	ODIS Policy # 6001-101 <i>Replaces DMHDDAD Policy # 2.101</i>
		Page 3 of 10

Community Residential Consumer: A consumer receiving MHDDAD services in a home that is staffed by a provider organization and/or a consumer receiving personal support 24 hours/7 days a week.

Consumer: An individual enrolled with a community provider for disability services, seeking services or admission at a state hospital or on the census of a state hospital or state operated community program.

Consumer-Directed Services: A model for service delivery in which consumers have the option to control and direct Medicaid funds identified in an individual budget, and in which the consumers live in their own homes. The consumer hires and fires direct support staff, and works with a support coordinator to receive assistance needed with self-directing services.

Critical Incident: Any event that involves an immediate threat to the care, health or safety of any consumer in community residential services, on site with a community provider or hospital, in the company of a staff member of a community provider or hospital, absent without leave from inpatient or residential services, or enrolled in consumer-directed services. Critical incidents include, but are not limited to, all incidents as listed in categories I and II.

Critical Incident Database: DMHDDAD web-based system for entering data about critical incidents.

Disability Services: Direct services to an individual, or services, which are designed to prevent or ameliorate the effect of a disability.

High-Visibility Incident: Critical incidents as defined in this policy, which have system-wide impact, have impact upon, or relevance to, any ongoing litigation of DHR or DMHDDAD, or may have significant impact upon, or significant relevance to, issues of DHR or DMHDDAD public concern and/or are likely to be reported in the media.

Senior Executive Manager: The supervisor administratively in charge at the time of the incident.

State Hospital: A state Division of Mental Health, Developmental Disabilities and Addictive Diseases (DMHDDAD) hospital facility.

Support Coordinator/State Services Coordinator: In DMHDDAD developmental disability services, the independent case manager for each consumer.

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III. PROCEDURES

A. Reporting deaths

1. Upon discovery of the death of a consumer, the state hospitals/community providers immediately take any actions necessary to respond to the medical emergency and to protect other consumers' health, safety and rights. These actions may include:
 - Immediate and ongoing medical attention, including notifying 911, as appropriate;
 - Suspension or reassignment of an employee from a position involving direct care pending the outcome of any investigation; and
 - Other measures to protect the health, safety and rights of other consumers, as necessary.
2. Upon discovery of the death of a consumer, the:
 - Community provider immediately calls 911 emergency services. State hospital notifies its law enforcement personnel to respond to the scene.
 - State hospital calls the coroner/medical examiner immediately;
 - State hospital or community provider calls the guardian, if any, and/or next of kin of the deceased after authorization from the coroner/medical examiner;
 - State hospital or community provider notifies the support coordinator, if applicable, within 24 hours; and
 - State hospital or community provider notifies the agency worker immediately after authorization from the coroner/medical examiner in instances when DFCS, DJJ, or APS has custodial or commitment responsibility,
3. In the case of a minor's death in a state hospital or state operated community program, the state hospital or community provider designates a staff person, who is qualified to provide crisis/grief counseling, to notify the parent/guardian in person of the death.
4. The Regional Hospital Administrator immediately reports the death of any state hospital consumer to the DMHDDAD Division Director by telephone.

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5. The Regional Hospital Administrator or designee reports all deaths by email to the Director of Incident Management & Investigations Section, the Director of Hospital Operations, the MHDDAD Medical Director, and the Regional Coordinator. This report must be made as soon as possible, but at least within two (2) hours of the death or discovery of the death. The state hospital administrator or designee provides all information available at the time of the report, using as a guide the *Critical Incident Report* form (Attachment B).
6. The community provider immediately reports all deaths to the Incident Management & Investigations Section by telephone. This report is to be made as soon as possible, but at least within two (2) hours of the death or discovery of the death. The community provider will provide all information available at the time of the telephone report, using as a guide the *Critical Incident Report* form (Attachment B).
7. The Incident Management & Investigations Section notifies the Medical Director, Director of Hospital Operations (as applicable) and Director of Regional Operations of all deaths by the next business day.
8. The Incident Management & Investigations Section notifies the Division Director and Regional Coordinator of deaths of consumers of community providers on the next business day.
9. If a decision is made that it is necessary to contact the Georgia Bureau of Investigation (GBI) regarding possible commission of a crime, the Office of Investigative Services will make the notification.
10. For all consumer deaths, the state hospital, community provider submits the ***Critical Incident Report (Attachment B)*** to the Incident Management & Investigations Section electronic. The report must be submitted on the same day as the consumer's death or on the next business day if the death occurred after business hours or on a weekend or holiday.
11. In state hospitals and state operated community services, staff having knowledge of the death must complete their report of the death before leaving their shift/duty.
12. The senior executive manager is responsible for ensuring that both the telephone notification and the *Critical Incident Report* are submitted as required.

DIVISION: MHDDAD	SUBJECT: Reporting of Consumer Deaths and Critical Incidents	ODIS Policy # 6001-101 <i>Replaces DMHDDAD Policy # 2.101</i>
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13. In all instances, the state hospital or community provider requests that the coroner/medical examiner conduct an autopsy and provides sufficient facts to the coroner/medical examiner regarding the death.
14. In the event that the coroner/medical examiner decides not to perform an autopsy, the state hospital or community provider ensures that the coroner/medical examiner's decision is documented, and if known, the rationale for the decision.
15. For consumer deaths that must be reported to other agencies or offices as required by law or regulation, the state hospital or community provider is responsible at all times for notifying such agencies and offices in a timely manner. (See **Attachment C**)
16. The Incident Management & Investigations Section obtains a copy of the death certificate from the Division of Public Health. This copy will not be reproduced or released outside the Division of MHDDAD.

B. Reporting all other Category I and II Critical Incidents (excluding deaths)

1. Upon discovery of a critical incident other than a death, state hospitals or community providers immediately take any action necessary to protect consumers' health, safety and rights. These actions may include:
 - Contacting 911 or other emergency services as needed;
 - Immediate and ongoing medical attention, as appropriate;
 - Removal of an employee from direct contact with consumers when the employee is alleged to have been involved in physical abuse, neglect, sexual assault/sexual exploitation, verbal abuse or financial exploitation until such time as the state hospital/community provider has sufficiently determined that such removal is no longer necessary; and
 - Other measures to protect the health, safety and rights of the individual, as necessary.
2. The state hospital immediately notifies
 - Its law enforcement personnel (for state hospitals with assigned law enforcement personnel) or appropriate law enforcement authorities as well as the Incident Management & Investigations Section if there is reasonable suspicion that a crime has been committed; and

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- The consumer's guardian or next of kin, as appropriate with respect to confidentiality regulations.
3. The community provider immediately calls:
 - Local law enforcement and the Incident Management & Investigations Section if there is reasonable suspicion that a crime has been committed; and
 - The consumer's guardian and/or next of kin, as appropriate with respect to confidentiality regulations.
 4. If a decision has been made to contact the Georgia Bureau of Investigation regarding the possible commission of a crime, the Incident Management & Investigations Section consults with the Division Director before the GBI is contacted.
 5. The state hospital or community provider immediately report all Category I critical incidents to the Regional Hospital Administrator/community provider administrator. Support coordinators of consumers in consumer-directed services immediately report all Category I critical incidents to the support coordination agency chief executive officer.
 6. When a consumer has an assigned support coordinator, the state hospital or community provider notifies the support coordinator of the critical incident within 24 hours.
 7. For critical incidents that must be reported to other agencies or offices as required by law or regulation, the state hospital or community provider is responsible at all times for notifying such agencies and offices in a timely manner (See Attachment C).
 8. High Visibility Incidents
 - The state hospital or community provider immediately reports all high visibility Category I and II critical incidents to the Incident Management & Investigations Section by telephone. This call must be made as soon as possible, but at least within two (2) hours of the high visibility incident.

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- A *Critical Incident Report* form (Attachment B) must be submitted electronically on the same day as the high visibility incident or on the next business day if the incident occurred after business hours or on a weekend or holiday.
 - The Incident Management & Investigations Section notifies the Director of MHDDAD, the Regional Coordinator, the Director of Regional Operations, the Director of Hospital Operations (as applicable) and the Department of Human Resources (DHR) Office of Communications of high visibility incidents.
9. For all other Category I critical incidents, the state hospital or community provider submits the *Critical Incident Report* form (Attachment B) electronically to the Incident Management & Investigations Section on the same day as the Category I incident, or on the next business day if the incident occurred after business hours or on a weekend or holiday.
 10. For all other Category II critical incidents, The *Critical Incident Report* (Attachment B) is electronically sent to the Incident Management & Investigations Section within 24 hours of the incident or on the next business day if the incident occurred after business hours or on a weekend or holiday.
 11. In state hospitals and state operated community services, staff having knowledge of the critical incident must complete their report of the critical incident before leaving their shift/duty.
- C. Reports of Incidents by persons other than staff of state hospitals or community providers
1. Consumers, family members of consumers, support coordinators, or any other persons may initiate reports of critical incidents as needed.
 2. In consumer-directed services, the consumer's support coordinator has responsibility for receiving information from the consumer's support system about critical incidents as they occur. The support coordinator then reports critical incidents in accordance with procedures outlined in section III, A. and B. pertaining to consumers served in community settings.

DIVISION: MHDDAD	SUBJECT: Reporting of Consumer Deaths and Critical Incidents	ODIS Policy # 6001-101 <i>Replaces DMHDDAD Policy # 2.101</i>
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3. All other support coordinators report critical incidents in accordance with procedures outlined in section III, A and B upon discovery of incidents not already reported by community providers.
4. When information about a critical incident is received by a state hospital or community provider from any person other than support coordinators, the staff receiving the information completes the *Critical Incident Report* form and follows procedures outlined in section III, A and B.
5. When information about a critical incident is received by the Incident Management & Investigations Section, the staff receiving the information completes the *Critical Incident Report* form.

D. Agency managerial review of *Critical Incident Report* form

1. Administrators of state hospitals, community providers or support coordination agencies perform a managerial review of all *Critical Incident Reports*. The reviewer at a minimum:
 - Reads the *Critical Incident Report*;
 - Reads all statements and reports associated with the incident;
 - Requires and ensures the completion of any incomplete or missing documentation; and
 - Signs by attestation as the managerial reviewer on the *Critical Incident Report* form (Attachment B).
2. The Regional Hospital Administrator, community provider administrator or support coordination administrator designates an executive staff to conduct the managerial review of all *Critical Incident Report* forms (Attachment B).
3. The Incident Management & Investigations Section reviews all *Critical Incident Reports* for completeness and contacts the state hospital/community provider or support coordination agency for changes and additional information, as appropriate.

DIVISION: MHDDAD	SUBJECT: Reporting of Consumer Deaths and Critical Incidents	ODIS Policy # 6001-101 <i>Replaces DMHDDAD Policy # 2.101</i>
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E. Computer data entry

1. DMHDDAD maintains a critical incident database to identify patterns and to perform trend analyses.
2. Access to the critical incident database must be granted by the Incident Management & Investigations Section, and is limited to staff of providers or agencies operated by, or under contract or Letter of Agreement (LOA) with the Division.
3. Each state hospital and community provider agency designates one or more persons to be responsible for entering critical incident and death information into the database. Entries must be made within one business day of the incident or knowledge of the incident.

F. Investigation of Critical Incidents

1. The Incident Management & Investigations Section may conduct investigations of Category I critical incidents that occur in the community, in accordance with the Investigating Consumer Deaths and Critical Incidents Policy #6001-201. If the Incident Management & Investigations Section determines that the state hospital, in the case of state-operated community programs, or community provider should conduct the investigation, the provider will be notified within 3 hours, if the report is received before 4 p.m., or on the next business day.
2. State hospitals and community providers conduct investigations of Category II critical incidents, in accordance with the Investigating Consumer Deaths and Critical Incidents Policy #6001-201. Support coordination agencies conduct investigations of Category II critical incidents for consumer directed services.

G. Procedures for Data Analysis

1. The critical incidents reporting processes are monitored by the Incident Management & Investigations Section for timeliness and accuracy.
2. Information about incidents is utilized in the Division's quality improvement initiatives to evaluate the quality of services.

Critical Incident Definitions & Reporting Requirements

Category	Incident Type	Definition	Reporting Requirements
I	Death	<p>A reportable death is the death of a consumer of a state hospital or community residential program. Additionally, the suicide of a consumer receiving any type of services is a reportable death.</p> <p>Includes the death of any consumer:</p> <ul style="list-style-type: none"> • In a staffed home or receiving 24/7 personal support • On the census of a state hospital or state operated community program • Enrolled in consumer-directed services • Occurring on site of a community provider or state hospital • In the company of staff of a community provider or state hospital • Absent without leave from inpatient or residential services • Occurring within two (2) weeks following the consumer's discharge from a state hospital or community residential provider • Transferred or discharged to a medical facility for treatment of any illness or injury that occurred during hospital or community provider custody, regardless of the time that has elapsed since the transfer or discharge 	<p>State Hospitals</p> <p>*Regional Hospital Administrators immediately report deaths to the MHDDAD Division Director by telephone.</p> <p>*Report to the Incident Management & Investigations Section by email as soon as possible (but at least within two hours).</p> <p>*Submit a typed Critical Incident Report electronically on the same day as the consumer death or on the next business day if death occurred after hours or on a weekend/holiday.</p> <p>Community Providers and Support Coordinators/State Services Coordinators</p> <p>*Report deaths of consumers by telephone/pager to the Incident Management & Investigations Section as soon as possible, but at least within two hours.</p> <p>*Submit a typed Critical Incident Report electronically on the same day as the consumer death or on the next business day if the death occurred after hours or on a weekend/holiday.</p>
All	High Visibility	Critical Incidents which have system wide impact, have relevance to ongoing litigation of DHR and or are likely to be reported in the media are considered to be high visibility incidents.	<p>State Hospitals, Community Providers and Support Coordinators/State Services Coordinators</p> <p>*Report immediately by telephone to the Incident Management & Investigations Section. This call must be made as soon as possible, but at least within two hours of the high visibility incident.</p> <p>*Submit a typed Critical Incident Report electronically on the same day as the incident or on the next business day if the incident occurred after hours or on a weekend or holiday.</p>
I	(Allegation of) Physical abuse	The willful infliction of physical pain, physical injury, unreasonable confinement, or the use of excessive force.	State Hospitals, Community Providers and Support Coordinators/State Services

Critical Incident Definitions & Reporting Requirements

		For purposes of this policy, “willful” means other than accidental. Does not include sexual assault or exploitation. Does not include approved physical interventions when appropriately utilized.	Coordinators *Submit a typed Critical Incident Report electronically on the same day as the incident or on the next business day if the incident occurred after business hours or on a weekend/holiday.
I	(Allegation of) Neglect	The failure of an employee or an organization to provide goods, services and supervision necessary to avoid physical harm, mental anguish or creates a significant risk of injury or death to a consumer	State Hospitals, Community Providers and Support Coordinators/State Services Coordinators *Submit a typed Critical Incident Report electronically on the same day as the incident or on the next business day if the incident occurred after business hours or on a weekend/holiday.
I	(Allegation of) Staff to consumer sexual assault or sexual exploitation	Any sexual contact between an employee and a consumer. Includes the solicitation of a consumer by an employee for sexual purposes.	State Hospitals, Community Providers and Support Coordinators/State Services Coordinators *Submit a typed Critical Incident Report electronically on the same day as the incident or on the next business day if the incident occurred after business hours or on a weekend/holiday.
I	(Allegation of) Consumer to consumer sexual assault or sexual exploitation	Forced sexual activity between consumers.	State Hospitals, Community Providers and Support Coordinators/State Services Coordinators *Submit a typed Critical Incident Report electronically on the same day as the incident or on the next business day if the incident occurred after business hours or on a weekend/holiday.
I	Medication errors with adverse consequences	Medication error includes omission and wrong dose, time, person, medication, route, position, technique/method and form. Adverse consequences are those that cause the consumer discomfort or jeopardizes his/her health and safety. Does not include refusal of medication by consumer.	State Hospitals, Community Providers and Support Coordinators/State Services Coordinators *Submit a typed Critical Incident Report electronically on the same day as the incident or on the next business day if the incident occurred after business hours or on a weekend/holiday.
I	Seclusion or restraint resulting in	Seclusion or restraint includes physical holding, as well as mechanical restraints, and time-out. This would not include postural supports or restraints for medical or surgical	State Hospitals, Community Providers and Support Coordinators/State Services Coordinators

Critical Incident Definitions & Reporting Requirements

	injury requiring treatment beyond first aid	<p>procedures.</p> <p>Injury includes any physical harm or damage that requires treatment beyond first aid or more serious treatment. The injury received is severe enough to require the treatment of a consumer by a licensed medical doctor, osteopath, podiatrist, dentist, physician's assistant, or nurse practitioner, but the treatment required is not serious enough to require hospitalization; further, the treatment received may be provided within the facility or outside the facility where it may range from treatment at a doctor's private office through treatment at the emergency room of a general acute care hospital.</p>	<p>*Submit a typed Critical Incident Report electronically on the same day as the incident or on the next business day if the incident occurred after business hours or on a weekend/holiday.</p>
I	Suicide attempt that results in medical hospitalization	<p>The consumer receiving any type of services (including outpatient services) is hospitalized for medical reasons related to injuries from a suicide attempt.</p>	<p>State Hospitals, Community Providers and Support Coordinators/State Services Coordinators</p> <p>*Submit a typed Critical Incident Report electronically on the same day as the incident or on the next business day if the incident occurred after business hours or on a weekend/holiday.</p>
II	(Allegation of) Verbal Abuse	<p>The use of words or gestures by an employee to threaten, coerce, intimidate, harass or humiliate a consumer.</p>	<p>State Hospitals, Community Providers and Support Coordinators/State Services Coordinators</p> <p>*Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.</p>
II	(Allegation of) Financial Exploitation	<p>The illegal or improper use of an individual's labor, property or resources through undue influence, coercion, harassment, duress, deception, false representation, false pretense, or other similar means for another's profit or advantage. The failure to account for the consumer's funds by a payee.</p>	<p>State Hospitals, Community Providers and Support Coordinators/State Services Coordinators</p> <p>*Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.</p>
II	Consumer who leaves grounds	<p>Reportable events include:</p> <ul style="list-style-type: none"> Consumer is absent from a designated location and cannot 	<p>State Hospitals, Community Providers and Support Coordinators/State Services</p>

Critical Incident Definitions & Reporting Requirements

	of state hospital without permission	<p>be found w/in the hospital campus</p> <ul style="list-style-type: none"> Consumer who is off campus but under direct observation of hospital staff (e.g., appointment, recreational activity, being transported) is absent from the designated location. <p>Not included are events where consumer is not under supervision of hospital staff and fails to return to designated location at designated time (i.e., failure to return from authorized leave).</p>	<p>Coordinators</p> <p>*Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.</p>
II	Consumer who is unexpectedly absent from community residential Program or day program	Consumer has left the residence or the day program without knowledge of staff and whose location is not known. Would include all absences where law enforcement is notified.	<p>State Hospitals, Community Providers and Support Coordinators/State Services Coordinators</p> <p>*Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.</p>
II	Seclusion or restraint resulting in injury requiring minor first aid	Seclusion or restraint includes physical holding, as well as mechanical restraints, and time-out. This would not include postural supports or restraints for medical or surgical procedures. Injury includes any physical harm or damage that requires minor first aid. Minor first aid is meant to include treatments such as the application of band-aids, steri-strips, dermabond, cleaning of abrasions, application of ice pack for minor bruises, and use of OTC medications such as antibiotic creams, aspirin and acetaminophen.	<p>State Hospitals, Community Providers and Support Coordinators/State Services Coordinators</p> <p>*Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.</p>
II	Vehicular accidents with injury while consumer is in a state vehicle or is being transported by community or hospital staff	The injury required treatment beyond minor first aid. The injury received is severe enough to require the treatment of a consumer by a licensed medical doctor, osteopath, podiatrist, dentist, physician's assistant, or nurse practitioner, but the treatment required is not serious enough to require hospitalization; further, the treatment received may be provided within the facility or outside the facility where it may range from treatment at a doctor's private office through treatment at the emergency room of a hospital.	<p>State Hospitals, Community Providers and Support Coordinators/State Services Coordinators</p> <p>*Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.</p>

Critical Incident Definitions & Reporting Requirements

II	Incident occurring at a provider's site which required the intervention of law enforcement services	Includes 911 calls from staff for assistance, as well as reports to law enforcement of theft of consumer property by employees or non-employees while at the provider site or accompanied by staff.	State Hospitals, Community Providers and Support Coordinators/State Services Coordinators *Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.
II	Criminal conduct by consumer	Conduct while on the site of the provider or when accompanied by staff. Would also include criminal conduct of a consumer who leaves the grounds of a state hospital without permission and/or a consumer who is unexpectedly absent from a community residential program or day program. At a state hospital, criminal conduct is reported only if the administrator has determined that a criminal report will be filed with local law enforcement.	State Hospitals, Community Providers and Support Coordinators/State Services Coordinators *Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.
II	Consumer to consumer assault resulting in injury requiring treatment beyond first aid	Assaults occurring at the provider site or while in the company of provider staff. The injury received is severe enough to require the treatment of a consumer by a licensed medical doctor, osteopath, podiatrist, dentist, physician's assistant, or nurse practitioner, but the treatment required is not serious enough to require hospitalization; further, the treatment received may be provided within the facility or outside the facility where it may range from treatment at a doctor's private office through treatment at the emergency room of a hospital. Treatment beyond first aid would not include diagnostic procedures.	State Hospitals, Community Providers and Support Coordinators/State Services Coordinators *Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.
II	Consumer to consumer assault with injury requiring minor first aid	Assaults occurring at the provider site or while in the company of provider staff. Minor first aid is meant to include treatments such as the application of band-aids, steri-strips, dermabond, cleaning of abrasions, application of ice pack for minor bruises, and use of OTC medications such as antibiotic creams, aspirin and acetaminophen.	State Hospitals, Community Providers and Support Coordinators/State Services Coordinators *Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.
II	Medical	Any emergency admission to a medical facility, either directly or	State Hospitals, Community Providers and

Critical Incident Definitions & Reporting Requirements

	hospitalization of a consumer of a state hospital or community residential program	through the facility's emergency room. Would not include planned admissions, such as for elective surgery.	Support Coordinators/State Services Coordinators *Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.
II	Consumer injury requiring treatment beyond first aid	Includes accidents; does not include illness. The injury received is severe enough to require the treatment of a consumer by a licensed medical doctor, osteopath, podiatrist, dentist, physician's assistant, or nurse practitioner, but the treatment required is not serious enough to require hospitalization; further, the treatment received may be provided within the facility or outside the facility where it may range from treatment at a doctor's private office through treatment at the emergency room of a hospital. Treatment beyond first aid would not include diagnostic procedures.	State Hospitals, Community Providers and Support Coordinators/State Services Coordinators *Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.
II	Staff injury caused by a consumer and requiring treatment (State operated programs only)	Injury that occurs while providing services to a consumer. Treatment to staff included minor first aid.	State Hospitals *Submit a typed Critical Incident Report electronically within twenty four hours or on the next business day if the incident occurred after business hours or on a weekend/holiday.

CRITICAL INCIDENT REPORT FORM (CIR)

Send typed CIR to MHDDAD-Incidents@dhr.state.ga.us

Incident # _____

Date of Report _____

Date of Incident/Death: _____

Date of Discovery of Incident/Death: _____

Time of Incident/Death: _____

State Hospital reporting: _____

Community Provider reporting: _____

If reporting provider is a subcontractor, who is primary contractor? _____

MHDDAD Region # _____

Person Completing
Report _____

Contact Person: _____

Contact Person phone #: _____

Name of site and/or specific location where incident/death occurred (i.e.: Unit name/number, name of PCH, etc): _____

Check appropriate box Community Residential Program ☐ Crisis Stabilization ☐ Day Program ☐ In Community ☐
Local Hospital ☐ PRTF ☐ Personal Residence ☐ Respite ☐ State Hospital ☐

Other (please specify): _____

Consumer(s) Information*

Name (first, last) _____ **DOB** _____ **Age at Time of Incident** _____ **Sex** Female ☐
Male ☐

Address _____ **City** _____ **State** GA **Zip** _____ **County** _____

Medicaid Waiver? Yes ☐ No ☐ **CID #** _____ **SS#** _____ **Race** _____

Admission Date _____ **Disability:** MH ☐ DD ☐ AD ☐ **Check box if consumer directed services** ☐

List agency services in which consumer is enrolled: _____

Treatment required:

None ☐ Minor first aid ☐ Treatment beyond first aid ☐ Medical hospitalization ☐

Brief description of injury: _____

Name (first, last) _____ **DOB** _____ **Age at Time of Incident** _____ **Sex** Female ☐
Male ☐

Address _____ **City** _____ **State** GA **Zip** _____ **County** _____

Medicaid Waiver? Yes ☐ No ☐ **CID #** _____ **SS#** _____ **Race** _____

Admission Date _____ **Disability:** MH ☐ DD ☐ AD ☐ **Check box if consumer directed services** ☐

List agency services in which consumer is enrolled: _____

Treatment required:

None ☐ Minor first aid ☐ Treatment beyond first aid ☐ Medical hospitalization ☐

Brief description of injury: _____

*Add additional consumers on supplemental form b.1. If supplemental form is used, please check ☐

CRITICAL INCIDENT REPORT FORM (CIR)

Type of Incident

Category I (check all that apply)

Check here if incident is high visibility ☐ **

<input type="checkbox"/>	(Allegation of) Consumer to consumer sexual assault or sexual exploitation
<input type="checkbox"/>	(Allegation of) Neglect
<input type="checkbox"/>	(Allegation of) Physical abuse
<input type="checkbox"/>	(Allegation of) Staff to consumer sexual assault or sexual exploitation
<input type="checkbox"/>	Death (please complete death section) Notify Incident Management & Investigations Section at 404-657-1139
<input type="checkbox"/>	Medication errors with adverse consequences
<input type="checkbox"/>	Seclusion/restraint resulting in injury requiring treatment beyond first aid
<input type="checkbox"/>	Suicide attempt that results in medical hospitalization

Category II (check all that apply)

Check here if incident is high visibility ☐ **

<input type="checkbox"/>	(Allegation of) Verbal abuse
<input type="checkbox"/>	(Allegation of) Financial exploitation
<input type="checkbox"/>	Consumer injury requiring treatment beyond first aid
<input type="checkbox"/>	Consumer to consumer assault resulting in injury requiring treatment beyond first aid
<input type="checkbox"/>	Consumer to consumer assault with injury requiring minor first aid
<input type="checkbox"/>	Consumer who is unexpectedly absent from a community residential program or day program
<input type="checkbox"/>	Consumer who leaves the grounds of a state hospital without permission
<input type="checkbox"/>	Criminal conduct by consumer
<input type="checkbox"/>	Incident occurring at provider's site which required intervention of law enforcement services
<input type="checkbox"/>	Medical hospitalization of a consumer of a state hospital or community residential program
<input type="checkbox"/>	Seclusion/restraint resulting in injury requiring minor first aid
<input type="checkbox"/>	Staff injury caused by a consumer requiring treatment (State operated programs only)
<input type="checkbox"/>	Vehicular accident with injury while consumer is in a state vehicle or is being transported by community or hospital staff
<input type="checkbox"/>	Incident that does not meet Category I or II criteria

Check here if incident is high visibility ☐ **

Brief description of incident-(include who; what; where; when; how; and any precipitating factors that may have contributed to the event, including any medical conditions that have been diagnosed; also include steps taken by facility to prevent further incidents)-

****Notify Incident Management & Investigations Section at 404-657-1139 for High Visibility Incidents**

CRITICAL INCIDENT REPORT FORM (CIR)

Person(s) of Interest

Name	Contact #	Date of Birth
_____	_____	_____
Name	Contact #	Date of Birth
_____	_____	_____
Name	Contact #	Date of Birth
_____	_____	_____
Name	Contact #	Date of Birth
_____	_____	_____

Staff Injured (State operated programs only)

Name	DOB	Contact #	Description of Injury
_____	_____	_____	_____
Name	DOB	Contact #	Description of Injury
_____	_____	_____	_____
Name	DOB	Contact #	Description of Injury
_____	_____	_____	_____
Name	DOB	Contact #	Description of Injury
_____	_____	_____	_____

Witnesses to Incident

Name	Contact #	Staff	Consumer	Other
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Name	Contact #	Staff	Consumer	Other
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Name	Contact #	Staff	Consumer	Other
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Name	Contact #	Staff	Consumer	Other
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Name	Contact #	Staff	Consumer	Other
_____	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notifications

Agency	Name	Date	Time	Method of Notification
Adult Protective Services				
CPS/DFCS				
Office of Regulatory Services				
Support Coordinator/Broker				
Family/Legal Guardian				
Other				
Other				
Other				
Other				
Other				

Deaths (if applicable)

How was death discovered?

Date of last contact with consumer: _____

Reason for last contact: _____

Was death expected? Yes ☐ No ☐

Was death an accident? Yes ☐ No ☐

Possible suicide? Yes ☐ No ☐

Possible Homicide? Yes ☐ No ☐

CRITICAL INCIDENT REPORT FORM (CIR)

Death Factors *(check all that apply)*

Accidents ☐ Bowel Obstruction ☐ Cancer ☐ Cerebrovascular disease (stroke) ☐ Choking ☐ Chronic Liver Disease ☐
 Chronic Lower Respiratory Disease ☐ Diabetes ☐ Diseases of Heart ☐ Hypertension ☐ Medication-Related ☐
 Pneumonia/Influenza ☐ Septicemia ☐ Suicide ☐ Unknown ☐

Has autopsy been ordered? Yes <input type="checkbox"/> No <input type="checkbox"/>	If not state reason:
--	----------------------

Cause of death, when known:

Were there unusual circumstances surrounding death? Yes ☐ No ☐ If yes, please describe below

Medications given to consumer one (1) week prior to the point of death

Medication	Dose	Route	Frequency

Administrator's Review for all critical incidents

State Hospital/Community provider staff/title:

Date:

☐ By checking this box, I attest that the above entry for State hospital/community provider staff/title verifies my review of the incident.

CRITICAL INCIDENT REPORT FORM (CIR) supplemental

Send typed CIR supplemental to MHDDAD-Incidents@dhr.state.ga.us

Incident date

Incident #

Consumer(s) Information

Name (first, last)	DOB	Age at Time of Incident	Sex	Female <input type="checkbox"/>
				Male <input type="checkbox"/>
Address	City	State GA Zip	County	
Medicaid Waiver? Yes <input type="checkbox"/> No <input type="checkbox"/>	CID #	SS#	Race	
Admission Date	Disability: MH <input type="checkbox"/> DD <input type="checkbox"/> AD <input type="checkbox"/>	Check box if consumer directed services <input type="checkbox"/>		

List agency services in which consumer is enrolled:

Treatment required:

None ☐ Minor first aid ☐ Treatment beyond first aide ☐ Medical hospitalization ☐

Brief description of injury:

Name (first, last)	DOB	Age at Time of Incident	Sex	Female <input type="checkbox"/>
				Male <input type="checkbox"/>
Address	City	State GA Zip	County	
Medicaid Waiver? Yes <input type="checkbox"/> No <input type="checkbox"/>	CID #	SS#	Race	
Admission Date	Disability: MH <input type="checkbox"/> DD <input type="checkbox"/> AD <input type="checkbox"/>	Check box if consumer directed services <input type="checkbox"/>		

List agency services in which consumer is enrolled:

Treatment required:

None ☐ Minor first aid ☐ Treatment beyond first aide ☐ Medical hospitalization ☐

Brief description of injury:

Name (first, last)	DOB	Age at Time of Incident	Sex	Female <input type="checkbox"/>
				Male <input type="checkbox"/>
Address	City	State GA Zip	County	
Medicaid Waiver? Yes <input type="checkbox"/> No <input type="checkbox"/>	CID #	SS#	Race	
Admission Date	Disability: MH <input type="checkbox"/> DD <input type="checkbox"/> AD <input type="checkbox"/>	Check box if consumer directed services <input type="checkbox"/>		

List agency services in which consumer is enrolled:

Treatment required:

None ☐ Minor first aid ☐ Treatment beyond first aide ☐ Medical hospitalization ☐

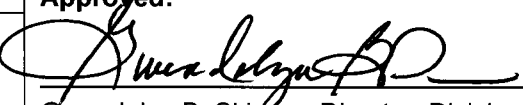
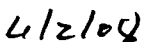
Brief description of injury:

Incidents to report to other agencies, in addition to MHDDAD*

Consumer Group	Incidents(s) to Report	Report to whom?	Timeframe
Disabled adults in personal care homes or CLAs	Death of a resident; rape of resident; allegation of abuse, neglect or exploitation	ORS-Long Term Care Section	24 hours, or the next business day
Children in outdoor therapeutic programs	Death or serious injury (requiring extensive medical care and/or hospitalization of any camper in care); suicide attempts; abuse	ORS-Childcare Licensing Section Fax form to ORS	48 hours, or the next working day
Persons residing in skilled nursing facilities	Death-includes all death reportable under ODIS Directive #6805-601	ORS-Long Term Care Section	Same business day, or next business day if after hours
Persons residing in skilled nursing facilities	Allegations of abuse, neglect or exploitation; injuries of unknown origin; misappropriation of resident property	ORS-Long Term Care Section Fax form to ORS	Report within 24 hours For Medicaid-participating nursing homes, results of investigations must be reported within 5 working days
Persons in hospitals	Death-includes all deaths reportable under ODIS Directive #6805-601 Death, when restraint or seclusion contributed directly or indirectly to the patient's death	ORS-Health Care Section Fax CIR to ORS ORS-Health Care Section Report by telephone	Same business day or the next business day if after hours No later than COB or next business day after knowledge of the patient's death
Persons in hospitals	Allegation of rape or sexual assault	ORS-Health Care Section Fax form to ORS	Within 24 hours or next business day
Persons in ICF/MR	Death-includes all deaths reportable under ODIS Directive #6805-601	ORS-Health Care Section Fax CIR to ORS	Same business day or the next business day if after hours

Persons in ICF/MR	Allegation of abuse or neglect with injury requiring treatment beyond first aid; time-out or restraint resulting in injury requiring treatment beyond first aid; allegation of rape or sexual assault	ORS-Health Care Section Fax form to ORS	Within 24 hours or next business day For ICF/MR, results of investigations must be reported within 5 working days
Disabled adult or elder person in the <u>community</u> or <u>outside</u> of a nursing home, personal care home or community living/group home	Abuse or neglect	Call Adult Protective Services 1-888-774-0152	Immediately or next business day
Child under the age of 18	Abuse or neglect	Local law enforcement and/or local DFCS office	Immediately notify law enforcement if there is immediate danger
Persons in narcotic treatment programs	Death; serious injury at program requiring medical care; rape occurring at program; abuse, neglect or exploitation of patient by staff; emergency situation that affects safe operation of program	ORS-Health Care Section Fax report to ORS	Within 24 hours or next business day

*This is only a summary. The reader must obtain detailed instructions and definitions directly from the applicable regulatory agency.

Georgia Department of Human Resources Division of Mental Health, Developmental Disabilities & Addictive Diseases	DHR Online Directive Information System (ODIS) Directive # 6001-801 <i>Replaces DMHDDAD POLICY #9.102</i> Page 1 of 3
Policy: Maintenance of Safety for Division of MHDDAD Consumers and Staff Subject: Requests for Waivers of the Standards for Mental Health, Developmental Disabilities and Addictive Diseases	
References: Official Code of Georgia Annotated 37-2-4	Original Effective Date: April 21, 1998 Revised Effective Date: July 1, 2008
Applicability: Community Providers of MHDDAD Services MHDDAD State and Regional Offices	Approved:  Gwendolyn B. Skinner, Director, Division of MHDDAD
Attachments: Attachment A: Request for Waiver of Standards Attachment B: Tracking Form for Request for Waiver of Standards	<div style="text-align: center;">  <hr/> Date </div>

REQUESTS FOR WAIVERS OF THE STANDARDS FOR MENTAL HEALTH, DEVELOPMENTAL DISABILITIES AND ADDICTIVE DISEASES SERVICES

POLICY

The Division of Mental Health, Developmental Disabilities and Addictive Diseases (DMHDDAD) has a standard process for review and approval of requests for waivers of standards that are contained in the Provider Manual for Mental Health, Developmental Disabilities and Addictive Diseases Providers (Provider Manual).

When the enforcement of one or more of DMHDDAD standards creates an undue hardship or barrier for consumers to access a needed service, DMHDDAD reviews the standard and situation in order to determine whether a waiver of the requisite standard(s) for a limited period of time is warranted. The waiver request and review process assures a continuing commitment to consumer health and safety, compliance with requirements of external funding, regulatory entities, and accreditation/certification requirements. All approved waivers of DMHDDAD standards expire at the end of the specified approved time period, not to exceed one year following their approval, unless otherwise specified in this policy.

PROCEDURES

A. Limitations regarding waivers of standards

Waivers are not granted under any circumstance to allow unlicensed or non-certified staff to provide, authorize or supervise any services that are required to be performed by a licensed/certified practitioner.

Waivers of standards of professional designations previously granted under this policy are not applicable to the meeting of provider qualifications specified in the Developmental Disability Medicaid waivers.

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As of June 30, 2008, no further requests are accepted for a waiver of a standard related to DMHDDAD professional designations included in the Provider Manual:

- Mental Health Professional (MHP)
- Substance Abuse Manager (SAM)
- Substance Abuse Professional (SAP)
- Mental Health Clinician (MHC)

All existing waivers previously granted for the above professional designations expire at the earlier of the two following dates:

- either one year after their approval (as already specified in this policy), OR
- at the time that the Medicaid State Plan Amendment is implemented (which is anticipated to occur during FY'09).

B. Process for requesting approval of waivers of standards

A service provider, consumer, family member, advocate, or other interested party may request that a standard be waived when the standard creates an undue hardship or barrier for consumers to access a needed service.

Waiver requests are sent to the DMHDDAD Regional Coordinator, accompanied by a completed ***Request for Waiver of Standards*** form (See Attachment A).

For requests related to waivers of standards other than professional designation, relevant information is included on **Attachment A - Request for Waiver of Standards** form, including:

- Justification of the reason for a waiver of standards due to an undue hardship or barrier for consumers to access a needed service;
- Plan for improvement or changes needed in order for services to be available in accordance with the standards;
- A recommendation and affirmation of the identified need for a waiver signed by the Director of the provider organization.

C. Process for review and approval of waivers of standards

1. The Regional Office completes an initial review to determine if the request falls within DMHDDAD guidelines.
2. Within five (5) days after receiving a waiver request, the DMHDDAD Regional Coordinator submits the request, along with his/her recommendations, to the appropriate DMHDDAD State Disability Office.
3. The DMHDDAD State Disability Office approves or disapproves the requested waiver within five business days after involving appropriate DMHDDAD staff in the review of the request. The decision is documented on the Attachment B - Tracking Form for Request for Waiver of Standards.
4. The DMHDDAD Medicaid Coordinator approves or disapproves the requested waiver within five business days after receipt from the DMHDDAD State Disability Office.
5. All approved waivers expire at the end of the specified approved time period, not to exceed one year following approval.
6. The DMHDDAD State Disability Office is responsible to notify the provider (or other requesting party) by letter of the decision that has been made. The letter outlines the

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decision regarding the waiver request; if the request is approved, the expectations for the provider (or other requesting party) are outlined as contained in section C. of this policy.

7. The Regional Coordinator and the DMHDDAD Medicaid Coordinator are copied on the letter.
8. For waivers of standards for services that are audited or monitored by a DMHDDAD External Review Organization or other contracted entity, the Division State Disability Office copies that entity on the letter.
9. The DMHDDAD State Disability Office maintains a record of the information regarding the waiver request in the **Tracking Form for Request for Waiver of Standards** in the DMHDDAD Shared Drive.

D. Provider Responsibilities following approval of a waiver request

1. The provider must maintain on file a copy of all approved waiver requests and have such waiver(s) available for review by the Division or its representatives.
2. The provider must notify the Regional Coordinator or designee when there is any change to services for which the waiver was requested.
3. For waivers of standards for services that are audited/monitored by a DMHDDAD External Review Organization or other contracted entities, the provider must produce a copy of the waiver letter at the time of the audit in order for the External Review Organization or other contracted entity to appropriately incorporate the approved waiver into the audit/monitoring activity.

E. Waiver requests for more than one year:

All approved waivers expire at the end of one year following their approval. If the petitioner believes there are special circumstances justifying an extension beyond one year, they may apply again prior to the expiration date, completing another *Request for Waiver of Standards* form with updated documentation.

Request for Waiver of Standards for Mental Health, Developmental Disabilities and Addictive Diseases

To: _____ Region: _____
(Regional Coordinator)

From: _____ Contact: _____
(Provider agency applying for waiver) (Agency contact person)

Request for waiver of standard(s) related to:

Justification for request:

Waiver Period Requested: _____ through _____
(12 month maximum)

Describe what the organization is doing to ensure that consumers' needs are met as pertains to the requested waiver:

Please provide additional information:

Recommendations: I hereby recommend approval of the requested waiver. I give my assurance that approval of this waiver will not adversely affect the safety and welfare of consumers.

Agency Director

Date

Clinical Director

Date

Division of MHDDAD
Request for Waiver of Standards Tracking Form (Attachment B)

	A	B	C	D	E	F	G	H	I	J
	Description of waiver of standards that has been requested	Provider organization applying for waiver	Date request submitted to Regional Office	Briefly describe the nature of the request.	Time to resolution (12 month max)	Regional Coordinator recommendation (approve or disapprove)	Date request submitted to DMHDDAD Disability Office	DMHDDAD Disability Office Decision	DMHDDAD Medicaid Coordinator Decision	Notification to Provider
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Chapter: Developmental Disabilities Community Services

Subject: State Funded Respite for Individuals with Developmental Disabilities

Applicability:

Community Providers of Developmental Disability Services, State Office, Regional Offices, Support Coordination Agencies

Original Effective Date: January 1, 2010

Scheduled Review Date: January 2012

Approved:

Beverly D. Rollins

Beverly D. Rollins, M.P.A., Executive Director
(Acting), Division of Developmental Disabilities

References:

NOW and COMP waiver (<http://dch.georgia.gov>)

Attachments:

none

Date

Frank E. Shelp

Frank E. Shelp, M.D., M.P.H., Commissioner

12-16-09

Date

STATE FUNDED RESPITE FOR INDIVIDUALS WITH DEVELOPMENTAL DISABILITIES

POLICY

It is the policy of the Department of Behavioral Health & Developmental Disabilities (DBHDD) to help support community living by making provision for respite opportunities. This policy establishes the procedures to access state funded Respite Services.

DEFINITIONS

For the purpose of this document, the following definitions will apply:

Caregiver: The person with whom the individual resides in his/her "natural" home.

Developmental Disability: A disability that is present in early life and prior to age 22 with related conditions similar to the limitations in everyday life functions present for someone with mental retardation.

Individual: A person with a developmental disability.

Provider Agency: An organization approved to serve individuals with developmental disabilities wherein those services are financially supported in whole or in part by funds authorized through DBHDD.

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Regional Office: Field operation offices of the Department of Behavioral Health and Developmental Disabilities (DBHDD).

Respite Services: Service which offers brief periods of support or relief for caregivers of individuals with disabilities.

TYPES OF RESPITE

Maintenance/Scheduled Respite provides brief periods of support or relief for caregivers or individuals with disabilities. Maintenance/Scheduled Respite is planned or scheduled Respite and is provided (1) when families or the usual caretakers are in need of additional support or relief; or (2) when the individual needs relief or a break from the caretaker. Maintenance/Scheduled Respite may be provided in-home or out-of-home.

Emergency Respite is intended to be a short term service for an individual experiencing a crisis (usually behavioral) who requires a period of structured support and/or programming. Emergency Respite may also be necessitated by unavoidable circumstances, such as death of a caregiver or loss of residential placement. Emergency Respite may be provided In-Home or Out-Of-Home.

PHILOSOPHY

Caregivers are able to support and care for an individual when additional supports are provided. With a range of supports, the individual is able to continue living in the community.

State funds may be used to pay for the following respite services:

- When families or the usual caretakers are in need of additional support or relief;
- When the individual needs relief or a break from the caretaker;
- When an individual needs structured, short term support; or
- When relief from caregiving is necessitated by unavoidable circumstances, such as a family emergency.
- Respite may be provided in-home (service provided in the individual's home) or out-of home (individual receives services outside of his/her own home).
- No more than two (2) weekends per month; exceptions must be granted by the DBHDD Division of Developmental Disabilities.

State funds may not be used to pay for:

- Vacation
- Sleep-over (multiple individuals with DD in a private residence).
- Slumber parties, etc.
- Transition period from Community Living Support (CLS) to Community Residential Alternative (CRA) services.

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ELIGIBILITY CRITERIA

An individual is eligible for state funded Respite only if he/she:

- is a legal resident of the state of Georgia, AND
- has a developmental disability diagnosis;

AND Meets One (1) or more of the following criteria:

- Is currently on Short Term Planning List. **OR**
- Receives Comprehensive (COMP) waiver service and is also living in their family home for Maintenance/Scheduled Respite or living in any residential site for Emergency Respite. **OR**
- In case of an emergency (individual at risk of being homeless or other emergency). **OR**
- Has Respite services in the ISP under the New Options Waiver (NOW) and has exhausted the allotted amount of thirteen (13) overnight days allowed by this waiver service. *Note: An individual receiving NOW services must first receive respite services through the NOW.* **OR**
- Requests Maintenance/Scheduled Respite after review for Medicaid eligibility by the local Division of Family and Children Services (DFCS) office and referral to the Regional Intake and Evaluation, if applicable, for individual accessing state funded Respite for the first time or at the annual information updates for all others. *Note: Individuals eligible for Medicaid waiver services requesting Maintenance/Scheduled Respite may receive state funded Maintenance/Scheduled Respite services after referral to the Regional Intake and Evaluation for application for waiver services.* **OR**
- Individuals determined ineligible for Medicaid waiver services but who meet developmental disability (DD) eligibility criteria may access state funded Maintenance/Scheduled Respite services only after review for Medicaid eligibility by the local DFCS office. This ineligibility for Medicaid waiver must be documented. Caregiver should provide this documentation to the Respite provider agency in order to access Respite services. Individuals in this category are also eligible for Emergency Respite.

EXCLUSIONARY CRITERIA

The following exclusionary criteria apply:

- Individuals that received Respite Services through Natural Support Enhancement (NSE) or through the four (4) Respite Services procedural codes in the MRWP waiver who have transitioned into the New Options Waiver (NOW) need to obtain Respite Services through the NOW.
- Respite Services are available in the NOW and participants being served in the NOW receive Respite Services as a NOW service. State funded (100%) Respite Services are not available for NOW participants except in an emergency or until the thirteen (13) allotted days in the NOW have been exhausted for Maintenance/Scheduled Respite.

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- Individuals residing in COMP residential sites (i.e., Personal Care Homes, Community Living Arrangements, Host/Life Sharing homes) cannot receive Respite Services except in an emergency.

PROCEDURES

A. Accessing Maintenance/Scheduled State Funded Respite Services for Individuals on the Short Term Planning List or NOW/COMP Waiver

- The individual's caregiver, Planning List Administrator (PLA) or Support Coordinator (SC) submits a request along with the Respite application to the local contracted Respite provider agency. *Note: The PLA refers individuals on the short term planning list to the Respite provider agency.*
- The contracted Respite provider agency reviews the request to determine availability of funding through their contracted Respite budget and assists with the final completion of the application.
- If funds for Maintenance/Scheduled Respite are not available within the contracted provider agency's Respite budget, placement is then approved/disapproved by the Regional Coordinator or designee, based on the availability of additional resources for the Respite provider agency contract.
- Maintenance/Scheduled Respite resources are available for up to thirty (30) days for eligible individuals based on the availability of state funds the per twelve month fiscal year beginning July 1st and ending June 30th.

B. Accessing Maintenance/Scheduled State Funded Respite Services for Individuals NOT on the Short Term Planning List or NOW/COMP Waiver

Individuals not currently on the Short Term Planning List or NOW/COMP waiver must:

1. Be a legal resident of the state of Georgia with a developmental disability diagnosis.
2. Meet one or more of the **ELIGIBILITY CRITERIA** specified previously in this policy.
3. Be reviewed for Medicaid eligibility by the local DFCS office. The caregiver provides the Respite provider agency with documentation of ineligibility.
4. Be referred to the Regional Intake and Evaluation for application for waiver services, if applicable.

For Individuals Determined Eligible for Medicaid and Waiver Services, the following steps are then completed:

- An individual determined eligible for Medicaid and waiver services submits an application for Medicaid and waiver services.
- The contracted Respite provider agency may provide state funded Maintenance/Scheduled Respite pending approval of Respite services subsequent to the application for waiver services.

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- The Regional Intake and Evaluation section informs Respite provider agencies of any pending waiver application submitted.
- The individual's caregiver submits a request for state funded Respite to the contracted Respite provider agency.
- The contracted Respite provider agency reviews the request to determine availability of funding through their contracted Respite budget and assists with the final completion of the application.
- If funds for Maintenance/Scheduled Respite are not available within the contracted provider agency's Respite budget, placement is then approved/disapproved by the Regional Coordinator or designee based on the availability of funds.

For Individuals Determined Non-Eligible for Medicaid Who Meet Developmental Disability (DD) Eligibility Criteria the following steps are completed:

- The individual's caregiver provides documentation of non-eligibility for Medicaid to the contracted Respite provider agency.
- The individual's caregiver submits a request for state funded Respite to the contracted Respite provider agency.
- The contracted Respite provider agency reviews the request to determine availability of funding through their contracted Respite budget and assists with the final completion of the application.
- If funds for Maintenance/Scheduled Respite are not available within the contracted provider agency's Respite budget, placement is then approved/disapproved by the Regional Coordinator or designee.

C. Accessing Emergency Respite Services

- Primary diagnosis of mental retardation or developmental disability must be documented.
- Completed agency Respite services application within two (2) business days of initiation of emergency Respite service delivery.
- Current support or residential placement is unstable/unavailable.
- No other formal or informal supports are available to the Individual.
- Specific plan to transition individual back to his/her permanent home is presented at the time of admission. The plan should be developed and implemented by the Planning List Administrator (PLA), Support Coordinator (SC), or Regional Office designee when applicable.

Referral for Service

Referrals for Emergency Respite may come from the individual's caregiver, Planning List Administrator (PLA), Support Coordinator (SC), or Regional Office designee. The contracted Respite provider agency may request that the DBHDD Regional Office designee review any caregiver's request for emergency Respite. If funds for Emergency Respite are not available within the contracted provider agency's Respite budget, placement is then approved/disapproved by the

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Regional Coordinator or designee. The Regional Coordinator or designee must be notified of any emergency Respite placements within 24 hours.

- If determined appropriate for placement, the referring source ensures completion of the respite application.
- Individuals will NOT be placed (except in extreme emergency) without a specific plan for discharge (including date, location and responsible party).
- Agency Respite services application must be completed within two (2) business days of initiation of Respite service delivery.

Case Management

- Case management services are integral to ensuring that individuals do not remain in Emergency Respite placement.
- The assigned Support Coordinator (SC), Planning List Administrator (PLA), or Regional Office designee is responsible for monitoring the placement and ensuring that the individual's placement does not exceed the approved time limit.
- The Regional Office designee maintains communication with contracted Respite provider agencies to ensure that Emergency Respite services are not utilized as long-term placement.

D. Additional Requirements for State Funded Respite Services

- Each Regional Office maintains a list of DBHDD contracted Respite provider agencies with which the region contracts for the provision of Respite.
- It is the contracted Respite provider agency's responsibility to ensure that Respite Services are provided only in approved Respite sites that meet the specified requirements to provide Respite. (*Note: Refer to New Options Waiver, Part III, Chapter 2500, Specific Program Requirements for Respite Services*).
- The contracted Respite provider agency maintains a list of Approved Respite Sites and Persons Approved to Provide Respite (including addresses and contact information). The contracted Respite provider agency doesn't add a site or approved person to the list until they have documentation on hand that the site or approved person meets all requirements to provide Respite Services. (*Note: Refer to New Options Waiver, Part III, Chapter 2500, Specific Program Requirements for Respite Services*).
- State funds cannot be used to purchase or reimburse Respite Services provided by any person who is not included on the List of Persons Approved to Provide Respite.
- Each month the Region's Contracted Respite Agencies submits a Respite report to the Regional Office and the MEIRS report to the DBHDD Budget and Finance office. The monthly Respite report includes, but is not limited to the individuals served in Respite during the report month, the address of Respite site, contact information, and other pertinent information.

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ODIS Policy: Maintenance of Safety for Division of MHDDAD Consumers and Staff SUBJECT: Verification of lawful presence in United States for individuals seeking MHDDAD Services	
Applicability: Division of MHDDAD Hospitals State-Operated Community Services Community Providers of MHDDAD Services	Original Effective Date: July 1, 2007 Version Date: June 20, 2008 Revision Effective Date: July 1, 2008 Approved:
Attachments: Attachment A - MHDDAD Verification Form for Lawful Presence in United States Attachment B - DMHDDAD Criteria for Mental Health Inpatient and Developmental Disability Facility Services Attachment C - Affidavit of Lawful Presence in the United States Attachment D – O.C.G.A. Section 50-36-1	 Gwendolyn B. Skinner, Director, Division of MHDDAD 6/27/08 Date

POLICY STATEMENT

Verification of lawful presence in United States is required for adults seeking MHDDAD Services from DHR hospitals, state-operated community services and/or community providers of MHDDAD services. In accordance with Georgia law, all programs and services receiving funding from the Department of Human Resources Division of Mental Health, Developmental Disabilities & Addictive Diseases or other state, federal or local funds are required to verify that adults who receive **MHDDAD Services** other than **MHDDAD Emergency Services** are lawfully present in the United States.

Verification of lawful presence for those under age 18 is not required; children and adolescents under age 18 who meet Division of MHDDAD criteria for services are served, regardless of whether the child/adolescent is lawfully present in the United States.

MHDDAD Emergency Services are provided to adults, children and adolescents without regard to whether they are lawfully present in the United States.

Adults who require **MHDDAD Services** other than **MHDDAD Emergency Services** but whose lawful presence in the United States can not be verified do not qualify to receive **MHDDAD Services** provided by state or federal funds.

AUTHORITY

O.C.G.A. Section 50-36-1

DEFINITIONS

Lawful Presence – For the purpose of this policy, lawful presence means that the person is a citizen of the United States, or is a non-citizen whose physical presence in the United States is authorized under the immigration laws of the United States. Categories of lawful presence include but are not limited to: citizenship, legal permanent residence, legal temporary residence, visitor with a visa, legal temporary worker, refugee, person with approved asylum status, or temporary protected status from a country of origin under warfare or environmental disaster.

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The ***MHDDAD Verification Form for Lawful Presence in United States*** (Attachment A) contains a detailed list of various types of verification.

MHDDAD Services – For the purpose of this policy, **MHDDAD Services** refers to (a) services provided by the Department of Human Resources (DHR) Division of Mental Health, Developmental Disabilities & Addictive Diseases, through its hospitals and state-operated community services, as well as (b) community behavioral health or developmental disabilities services that are fully or partially paid for by funds from DHR Division of Mental Health, Developmental Disabilities & Addictive Diseases via a contract, provider agreement or letter of agreement.

MHDDAD Emergency Services – For the purpose of this policy, **MHDDAD Emergency Services** are those services that would be provided to an individual who meets the criteria for inpatient services (as defined in O.C.G.A. 37-3-1(9.1) or 37-7-1(14.1) or 37-4-1(13.1) see ***DMHDDAD Criteria for Mental Health Inpatient and Developmental Disability Facility Services*** (Attachment B), as well as services designed to address needs of consumers who are in emergency situations. For the purpose of this policy, this includes persons whose assessment indicates a LOCUS score of “5” or “6” as well as those whose ASAM score is 3.7 or higher, or persons with developmental disabilities for whom adequate natural supports are not available and whose developmental disability is of such severity that the individual meets the following criteria:

- (1) The individual has mental retardation. OR
- (2) The individual has a severe chronic disability attributable to cerebral palsy or epilepsy. OR
- (3) The individual has a condition (i.e. Autism, Autism-spectrum, Asperger's or Pervasive Developmental Disorder) *other than mental illness*, which is found to be closely related to mental retardation, is likely to last indefinitely, and requires similar treatment and services.
AND
- (4) The impairment for those conditions outlined above results in substantial limitations in three or more of the following functional areas:
 - Self-care skills such as feeding, toileting, dressing and bathing;
 - Understanding and use of verbal and non-verbal language in communication with others;
 - Mobility;
 - Self-direction in managing one's social and personal life and the ability to make decisions necessary to protect one's self; and/or
 - Ability to live without extraordinary assistance.

PROCEDURES

For adults who are seeking either **MHDDAD Emergency Services** or non-emergency **MHDDAD Services**, the hospital, community provider, or Regional Intake and Evaluation Office completes the following steps:

1. Complete appropriate assessment to determine what **MHDDAD Services** the individual needs.
2. Serve adults requiring **MHDDAD Emergency Services** without regard to lawful presence status. Although lawful presence status is gathered from all those who seek **MHDDAD Services**, the process for acquiring that lawful presence information must not

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interfere with the individual receiving the **MHDDAD Emergency Services** that he/she requires.

3. Obtain information regarding both lawful presence as needed for completion of **MHDDAD Verification Form for Lawful Presence in United States** (Attachment A)
4. Place the **MHDDAD Verification Form for Lawful Presence in United States** and a copy of the individual's document(s) that verify lawful presence in the consumer's clinical record.
5. Record information regarding verification of lawful presence in applicable management information systems (for example, MICP, BHIS/Avatar).

If an individual is unable to provide documents that verify lawful presence but indicates that he/she is in fact lawfully present in the United States, the following steps are completed:

1. The individual or his/her guardian completes and signs an **Affidavit of Lawful Presence in the United States** (Attachment C).
2. The **Affidavit of Lawful Presence in the United States** is placed in the consumer's clinical record.
3. The MHDDAD Services provider utilizes the federal Systematic Alien Verification for Entitlements (SAVE) program to verify lawful presence. Information about SAVE can be obtained from the U.S. Citizenship and Immigration Service website by going to <http://www.uscis.gov> and searching for SAVE.
4. Until eligibility verification is made through the SAVE or other designated program, the affidavit is accepted as verification of lawful presence.

Adults who can not provide verification of lawful presence in the United States and who do not sign an affidavit of lawful presence can not receive **MHDDAD Services** except for **MHDDAD Emergency Services**. However, DHR hospitals, state-operated community services and community providers will attempt to refer such individuals to other programs and services, as available, that do not receive federal, state, or local funding.

ADDITIONAL INFORMATION

State Hospitals provide emergency services and Individuals in crisis often do not have the required documents with them to verify their legal status. Therefore, hospitals may not have the opportunity to verify legal status prior to referring individuals for outpatient services after discharge from the hospital. Community providers are expected to verify legal status for these individuals just as they would for any new consumer seeking services.

Adults who do not otherwise qualify for **MHDDAD Emergency Services** or **MHDDAD Services** as defined in this policy, but who can pay full fee for behavioral health or developmental disability services from community providers, may receive those services as long as the fees for those services are based on a determination of the cost of the services and are not underwritten or subsidized by state or federal funds. The provider of those services for full fee must maintain documentation of:

1. the cost accounting utilized to determine the fees charged to these persons who have not verified lawful presence in the United States, and
2. the collection of the full fee from those individuals.

As appropriate, providers of MHDDAD Services offer information to individuals regarding organizations recognized by the Board of Immigration Appeals (BIA) as having enough

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knowledge and experience to provide services to immigrants and that charge or accept only very small fees for those services. For a list of these BIA-recognized organizations, see <http://www.usdoj.gov/eoir/statspub/recognitionaccreditationroster.pdf>

Information about free legal service providers is also offered to individuals as appropriate. The Office of the Chief Immigration Judge has a list of recognized free legal service providers for people who are in immigration proceedings; see <http://www.usdoj.gov/eoir/probono/states.htm> for Georgia organizations that provide free legal services and/or referrals for such services to indigent individuals in immigration removal proceedings. Some of these organizations may also charge a nominal fee for legal services to certain low income individuals.

Attachment D, O.C.G.A. Section 50-36-1 provides a copy of the Georgia law that sets forth the requirements that this policy addresses.

DMHDDAD VERIFICATION CHECKLIST FOR LAWFUL PRESENCE IN U.S.

NAME: _____

Per Georgia Law, an individual's LAWFUL PRESENCE IN THE UNITED STATES must be verified for All Non-Emergency Mental Health, Addictive Diseases & Developmental Disabilities Services provided to adults. If you are a recipient of SSI, Medicaid, or Medicare, no further verification is needed.

In order to verify lawful presence in the U.S., please provide one of the following:

Evidence of Citizenship:

- U.S. Passport
- Certificate of Naturalization (DHS Forms N-550 or N-570).
- Certificate of U.S. Citizenship (DHS Forms N-560 or N-561).
- U.S. birth certificate.
- Certification of birth issued by the Department of State (Form DS-1350).
- Report of Birth Abroad of a U.S. Citizen (Form FS-240).
- Certification of Birth Abroad (FS-545).
- U.S. Citizen I.D. card (DHS Form I-197).
- American Indian Card issued by the Department of Homeland Security with the classification code "KIC."
- Northern Mariana Identification Card.
- Evidence of civil service employment by the U.S. government before June 1976.
- Official military record of service showing a U.S. place of birth.
- Extract of a hospital record on hospital letterhead established at the time of the person's birth that was created 5 years before the initial application date and showing a U.S. place of birth (for children, record must have been created near the time of birth).
- Life or health or other insurance record, which shows a U.S. place of birth that was created at least 5 years before the initial application date (or near time of birth for children).
- Religious record recorded in the U.S. within 3 months of birth showing the birth occurred in the U.S. and showing either the date of the birth or the individual's age at the time the record was made. The record must be an official record recorded with the religious organization. (Entries in a family bible are not considered religious records.)
- Early school record showing a U.S. place of birth. The school record must show the name of the child, the date of admission to the school, the date of birth, a U.S. place of birth, and the name(s) and place(s) of birth of the applicant's parents.
- Federal or state census record showing U.S. citizenship or a U.S. place of birth.
- Institutional admission papers from a nursing home, skilled nursing care facility or other institution and was created at least 5 years before the initial application date and indicates a U.S. place of birth.
- Medical (clinic, doctor, or hospital) record and was created at least 5 years before the initial application date and indicates a U.S. place of birth (for children under 5, record is created near time of birth).
- Other document that shows a U.S. place of birth and that was created at least five years previously such as Seneca Indian tribal census record, a Bureau of Indian Affairs tribal census records of Navajo Indians, a U.S. State Vital Statistics official notification of birth registration, a delayed U.S. public birth record that was recorded more than 5 years after the person's birth, a statement signed by the physician or midwife who was in attendance at the time of birth, and Bureau of Indian Affairs Roll of Alaska Natives.

Other Acceptable Evidence of Lawful Presence:

- Georgia Driver's License or Georgia-issued state identification card
- "Green Card" for legal permanent residents, Form I-551. The person's passport also may bear a stamp saying "I-551" to document permanent residence
- Certificate of Indian Blood; US American/Alaska Native tribal document; or Native American Tribal Document
- Visa for a person who is a non-immigrant visiting lawfully
- Employment Authorization Document for lawful temporary workers
- Form I-94 for refugees or persons granted asylum in the US, or a letter or order giving temporary approval status from an immigration judge or border official
- Social Security Card
- Unrestricted Social Security Card for a refugee or asylee, or person given Temporary Protected Status from a country under warfare or disaster
- "Approval letter" from U.S. Citizenship and Immigration Services (USCIS) or an immigration judge
- Temporary Resident Card, Form I-688 from USCIS

DMHDDAD VERIFICATION CHECKLIST FOR LAWFUL PRESENCE IN U.S.

If you do not have any of the above and you are lawfully present in the United States, please contact staff of the facility where you are seeking services to complete an affidavit of lawful presence.

THIS SIDE IS COMPLETED BY STAFF

NAME: _____

CONSUMER NUMBER: _____

All documents that verify lawful presence in US must be either ORIGINALS or copies CERTIFIED by issuing agency.

Verification of Lawful Presence in US has been provided?	Yes	No
--	-----	----

Copy on file of verification document?	Yes	No
--	-----	----

If verification was <u>not</u> provided, is service required for emergency situation?	Yes	No
---	-----	----

Verification Reviewed by _____

Date _____

DEVELOPMENTAL DISABILITY FACILITY SERVICES

Mental Health Inpatient Services Criteria:

OCGA § 37-3-1(9.1):

"Inpatient" means a person who is mentally ill and:

(A)(i) Who presents a substantial risk of imminent harm to that person or others, as manifested by either recent overt acts or recent expressed threats of violence which present a probability of physical injury to that person or other persons; or

(ii) Who is so unable to care for that person's own physical health and safety as to create an imminently life-endangering crisis; and

(B) Who is in need of involuntary inpatient treatment.

Developmental Disability Facility Services Criteria:

OCGA § 37-4-2(13.1):

"Mentally retarded person requiring temporary and immediate care" means a person who is mentally retarded, and:

(A) Who presents a substantial risk of imminent harm to himself or others;

(B) Who is in need of immediate care, evaluation, stabilization, or treatment for certain developmental, medical, or behavioral needs; and

(C) For whom there currently exists no available, appropriate community residential setting for meeting the needs of the person.

Addictive Disease Inpatient Criteria:

OCGA § 37-7-1(14.1) "Inpatient" means a person who is an alcoholic, a drug dependent individual, or a drug abuser and:

(A)(i) Who presents a substantial risk of imminent harm to that person or others, as manifested by either recent overt acts or recent expressed threats of violence which present a probability of physical injury to that person or other persons; or

(ii) Who is incapacitated by alcoholic beverages, drugs, or any other substances listed in paragraph (8) of this Code section on a recurring basis; and

(B) Who is in need of involuntary inpatient treatment.

State of Georgia
County of _____

Personally appeared before the undersigned officer, duly authorized by law to administer oaths in the State of Georgia, _____
(Consumer's name), who after being duly sworn, deposes and states from his/her own personal knowledge as follows:

I hereby do swear or affirm that I am:

(INITIAL ONE blank below as applicable)

_____ a United States citizen or legal permanent resident 18 years of age or older,

OR

_____ a qualified alien or non-immigrant under the federal Immigration and Nationality Act lawfully present in the United States, and I am 18 years of age or older.

Further affiant sayeth naught.

Signature

Printed name

Sworn to and subscribed before me this _____
Day of _____, 20____.

Notary Public
My commission expires:

(Notary seal)

50-36-1. Verification requirements, procedures, and conditions; exceptions; regulations; criminal and other penalties for violations.

(a) Except as provided in subsection (c) of this Code section or where exempted by federal law, on or after July 1, 2007, every agency or a political subdivision of this state shall verify the lawful presence in the United States of any natural person 18 years of age or older who has applied for state or local public benefits, as defined in 8 U.S.C. Section 1621, or for federal public benefits, as defined in 8 U.S.C. Section 1611, that is administered by an agency or a political subdivision of this state.

(b) This Code section shall be enforced without regard to race, religion, gender, ethnicity, or national origin.

(c) Verification of lawful presence under this Code section shall not be required:

(1) For any purpose for which lawful presence in the United States is not required by law, ordinance, or regulation;

(2) For assistance for health care items and services that are necessary for the treatment of an emergency medical condition, as defined in 42 U.S.C. Section 1396b(v)(3), of the alien involved and are not related to an organ transplant procedure;

(3) For short-term, noncash, in-kind emergency disaster relief;

(4) For public health assistance for immunizations with respect to immunizable diseases and for testing and treatment of symptoms of communicable diseases whether or not such symptoms are caused by a communicable disease;

(5) For programs, services, or assistance such as soup kitchens, crisis counseling and intervention, and short-term shelter specified by the United States Attorney General, in the United States Attorney General's sole and unreviewable discretion after consultation with appropriate federal agencies and departments, which:

(A) Deliver in-kind services at the community level, including through public or private nonprofit agencies;

(B) Do not condition the provision of assistance, the amount of assistance provided, or the cost of assistance provided on the individual recipient's income or resources; and

(C) Are necessary for the protection of life or safety;

(6) For prenatal care; or

(7) For postsecondary education, whereby the Board of Regents of the University System of Georgia or the State Board of Technical and Adult Education shall set forth, or cause to be set forth, policies regarding postsecondary benefits that comply with all federal law including but not limited to public benefits as described in 8 U.S.C. Section 1611, 1621, or 1623.

(d) Verification of lawful presence in the United States by the agency or political subdivision required to make such verification shall occur as follows:

(1) The applicant must execute an affidavit that he or she is a United States citizen or legal permanent resident 18 years of age or older; or

(2) The applicant must execute an affidavit that he or she is a qualified alien or nonimmigrant under the federal Immigration and Nationality Act 18 years of age or older lawfully present in the United States.

(e) For any applicant who has executed an affidavit that he or she is an alien lawfully present in the United States, eligibility for benefits shall be made through the Systematic Alien Verification of Entitlement (SAVE) program operated by the United States Department of Homeland Security or a successor program designated by the United States Department of Homeland Security. Until such eligibility verification is made, the affidavit may be presumed to be proof of lawful presence for the purposes of this Code section.

(f) Any person who knowingly and willfully makes a false, fictitious, or fraudulent statement of representation in an affidavit executed pursuant to subsection (d) of this Code section shall be guilty of a violation of Code Section 16-10-20.

(g) Agencies or political subdivisions of this state may adopt variations to the requirements of this Code section to improve efficiency or reduce delay in the verification process or to provide for adjudication of unique individual circumstances where the verification procedures in this Code section would impose unusual hardship on a legal resident of Georgia.

(h) It shall be unlawful for any agency or a political subdivision of this state to provide any state, local, or federal benefit, as defined in 8 U.S.C. Section 1621 or 8 U.S.C. Section 1611, in violation of this Code section. Each state agency or department which administers any program of state or local public benefits shall provide an annual report with respect to its compliance with this Code section.

(i) Any and all errors and significant delays by SAVE shall be reported to the United States Department of Homeland Security and to the Secretary of State which will monitor SAVE and its verification application errors and significant delays and report yearly on such errors and significant delays to ensure that the application of SAVE is not wrongfully denying benefits to legal residents of Georgia.

(j) Notwithstanding subsection (f) of this Code section any applicant for federal benefits as defined in 8 U.S.C. Section 1611 or state or local benefits as defined in 8 U.S.C. Section 1621 shall not be guilty of any crime for executing an affidavit attesting to lawful presence in the United States that contains a false statement if said affidavit is not required by this Code section.

(Code 1981, 50-36-1, enacted by Ga. L. 2006, p. 105, 9/SB 529.)

Cross references. - Registration of Immigration Assistance Act, [43-20A-1](#) et seq.

Code Commission notes. - Pursuant to Code [Section 28-9-5](#), in 2006, "or" was deleted at the end of paragraph (c)(4), a semicolon was substituted for a period at the end of subparagraph (c)(5)(C) and "Homeland" was inserted following "United States Department of" in subsection (i).

Editor's notes. - Ga. L. 2006, p. 105, 1, not codified by the General Assembly, provides that: "This Act shall be known and may be cited as the 'Georgia Security and Immigration Compliance Act.' All requirements of this Act concerning immigration or the classification of immigration status shall be construed in conformity with federal immigration law."

PART V

Consumer Data: Collection, Reporting and Management

**Provider Manual for
Community Mental Health,
Developmental Disabilities and
Addictive Diseases
Providers**

Fiscal Year 2011



**Georgia Department of Behavioral
Health & Developmental Disabilities**

JULY 2010

Consumer Data: Collection, Reporting and Management

The Division of MHDDAD is implementing a new comprehensive data collection and utilization management system titled the Multi-Purpose Information Consumer Profile (MICP). The MICP will be used to capture data regarding basic consumer demographics and service detail on all consumers served by the Division. This new form is being implemented in order to streamline and consolidate multiple data collection processes for registration, authorization, and reporting of publicly funded services. For individuals receiving behavioral health services through the Division, as of July 1, 2006 the MICP registration, assessment, and discharge forms will become active and replace the MHMRIS registration, PERMES data reports, TRIGRS authorizations, and the Mental Health and Addictive Disease Core Customer reporting forms. APS Healthcare is the Division's agent for managing this data collection. Please refer to their website at www.apsero.com for additional reporting details and updates as they occur.

The Division sponsors consumer satisfaction and perception of care surveys for all adult populations. These surveys generally require no direct action from service providers. However, providers are expected to make their facilities and consumers available to teams who gather the survey responses.

NOTE: This is meant to cover access to consumers and facilities by the Georgia Mental Health Consumer Network when conducting the PERMES AMH and AAD surveys as well as the NCI Consumer Surveys (currently completed by the Support Coordination Agencies).

Providers of developmental disability services who serve ten or more waiver or state funded adults in residential, day or employment services (including subcontractors) are expected to complete – on an annual basis -- the National Core Indicators Provider Staff Turnover and Board Membership Survey. The survey instrument and instructions for completion will be sent directly to providers.

PART VI

Financial Policies, Reporting Requirements and Forms

Provider Manual for Community Mental Health, Developmental Disabilities and Addictive Diseases Providers

Fiscal Year 2011



DBHDD

**Georgia Department of Behavioral Health &
Developmental Disabilities**

JULY 2010

FINANCIAL ACCOUNTABILITY

I. Fiscal Accountability

- A.** The Contractor agrees to maintain sufficient records to show fiscal and program responsibilities and to maintain sufficient books, records and ledgers for the purpose of inspection, monitoring and auditing. Financial records should accurately account for the expenditure of State and Federal funds using accepted State and Federal accounting procedures and should comply with the following:

 - 1. Financial Management System: The Contractor represents that its financial management system currently complies and will continue to comply with all the standards for financial management systems specified in 45 CFR Parts 74.20 through 74.25, 74.27, and 74.28.
 - 2. Maintenance of Cost Records: The Contractor agrees to maintain records pertaining to costs incurred on this Contract in a manner consistent with the requirements of 45 CFR Parts 74.53, and 74.20 through 74.28.
 - 3. Contractor Purchasing Activity: All Contractor or Subcontractor purchases of supplies, equipment, and services, regardless of whether by sealed bids or by negotiation and without regard to dollar value, shall be conducted in a manner that provides maximum open and free competition in accordance with 45 CFR - Parts 74.40 through 74.48.
- B.** The Contractor agrees to submit detailed budgets reflecting budget allocations for Contracts Unit approval. Budget revisions may be periodically submitted for Region approval.
- C.** The Contractor agrees, unless otherwise specified by DHR's Office of Financial Services or the Contracts Unit, to submit a monthly report of revenue, expense and revenue applied to expense for each program in accordance with funding, accounting and reporting policy and procedures no later than the 8th calendar day following the end of each month.
- D.** The Contractor agrees to report fees generated on a quarterly basis to the Division and to identify how those fees will be used by the Contractor to maintain or increase the quantity and quality of disability services.
- E.** The Contractor agrees that any fee or program income generated as a result of this contract activity shall be expended in compliance with the Grants-to-Counties Manual Part II.K.1.

USE OF PROGRAM INCOME

I. Requirements Applicable to Program Income Generated under Performance Based Contracts, Fixed Rate Contracts and Expense Reimbursement Contracts

Program income or fee income is income earned by a recipient from activities of which part or all of the cost is borne as a direct cost by a grant or counted as a direct cost towards meeting a cost sharing or matching requirement of a grant. Some examples of program income are Medicaid fees, client fees, and SSI. The use of program income is governed by the DHR Program Income Policy contained in Part II K1 of the *DHR Grants to Counties Manual*. A copy of this policy is included within the Appendices to this section.

A. Program income must be reported as revenue within the "budget program" that generated the income (i.e. fee income earned in Mental Health Services – Adult is reported as revenue in MH Services – Adult, fee income earned in Substance Abuse Services - Children is reported as revenue in SA Services – Children, SSI received in Mental Retardation Services is reported as revenue in Mental Retardation Services, etc.); however, it does not have to be expended within the "program" that generated it. Certain restrictions apply since program or fee income is being partially generated via federal funds (CMHS, SAPT and SSBG Block Grants).

B. There are three (3) program areas for purposes of expending program income. The program income generated may be expended as follows:

1. Mental Health Programs: Program income generated during the current year and those amounts on hand at the end of the fiscal year in the Mental Health Services - Adult, Mental Health Services – Children, or the TAPP program may be expended in either program listed above at the discretion of local management. Income on hand and carried forward into the subsequent fiscal year is also governed by Section II. A - C of the DHR Program Income Policy.
2. Addictive Diseases Programs: Program income generated during the current year and those amounts on hand at the end of the fiscal year in the Substance Abuse Services - Adult, Addictive Diseases Services – Children, or Substance Abuse Prevention Services program may be expended in either program listed above at the discretion of local management. Income on hand and carried forward into the subsequent fiscal year is also governed by Section II. A - C of the DHR Program Income Policy.
3. Developmental Disabilities Programs: Program income generated during the current year and those amounts on hand at the end of the fiscal year in the Developmental Disabilities Services or Autism Services program may be expended in either program listed above at the discretion of local management. Income on hand and carried forward into the subsequent fiscal year is also governed by Section II. A - C of the DHR Program Income Policy.

C. Program income generated in Federal Categorical Grant Programs can only be spent in the specific Federal Categorical Grant Program that generated the income. Program income generated in the other Community Mental Health, Developmental Disabilities and Addictive Diseases Programs per Section B above can be spent in the Federal Categorical Grant Programs in the same disability; i.e. fees generated in either of the mental health programs can be spent in a federal categorical funded mental health program.

D. The Division has elected the Additional Costs Alternative to govern the use of program income in Community Mental Health, Developmental Disabilities and Addictive Diseases programs.

E. Grant/Contract Programs Financed Directly to Boards and Private Non-Profit Agencies: While you may have restrictions regarding fee income generated in programs funded with grants awarded directly to public/private boards, with approval by the Division, you may be allowed to spend fee income generated by other DHR funded programs in the program funded with the direct grant.

II. Special Requirements Applicable to Contracted Funds Carryover under Performance Based Contracts, Fixed Rate Contracts and Expense Reimbursement Contracts

Restrictions placed on the carryover of funds paid by DHR under a contract with the Division/Regional Office are specified below:

A. Performance Based Contracts: Any surplus grant-in-aid-funds at the end of the contract period may be carried over into the next fiscal year. The carryover funds may be expended without program area restrictions or time limitations. Program Income must be reported and expended as outlined in the above part I. Requirements Applicable to Program Income Generated under Performance Based Contracts, Fixed Rate Contracts and Expense Reimbursement Contracts.

B. Fixed Rate Contracts: Any surplus grant-in-aid funds in a fixed rate contract may be expended in any other program regardless of disability. These funds do not have to be expended within the following fiscal year. Program Income must be reported and expended as outlined in the above part I. Requirements Applicable to Program Income Generated under Performance Based Contracts, Fixed Rate Contracts and Expense Reimbursement Contracts.

C. Expense Reimbursement Contracts: Any surplus grant-in-aid- funds cannot be carried over into the next fiscal year and must be returned to DHR.

PROCEDURES FOR AUTHORIZATION

Contractors must submit all budget documents with a recognized signature for fiscal authorizations. Signatures and mailing addresses of the individual(s) designated to receive fiscal correspondence and reports are maintained on file for verification purposes.

In order to establish authorization signatures, contractors should complete and submit the DHR Division of Mental Health, Developmental Disabilities and Addictive Diseases *Authorized Signatures, Mailing Addresses and Telephone Numbers Form* included within the Appendices to this section.

The *Form* should be completed and submitted with the contractor's original budget documents.

I. Public Contractors

Either the Board Chairman or Executive Director of the entity may establish an authorized signature.

II. Private Contractors

The Chairperson or President of the entity must establish the authorized signature.

III. Delegated Authority

Authorization to sign budget revisions may be delegated by providing appropriate information on the *Form*. The delegated signature authority specified must be the same as the delegated signature authority provided in the contract with the Division/Regional Office.

EQUIPMENT, PROPERTY AND VEHICLES

Note: A provider may not use state or Federal funds to (1) construct or purchase buildings or facilities, (2) purchase real estate or (3) make permanent improvement to property. The only exceptions would be if legislative authority specifies or Federal regulations permit the use of funds for this purpose **and** the provider's contract with the Division/Regional Office stipulates that funds can be used to acquire or improve real property.

I. Performance Based Contract

Any equipment including vehicles purchased under a performance-based contract is the property of the contractor. The exception is if the contractor titles a vehicle to the state for the purposes of insurance coverage, then the vehicle belongs to the State and therefore must (a) be maintained in the DHR Vehicle Management System and (b) returned to the State if the provider does not continue to provide services under contract. The inventory requirements for any vehicle titled to the state are outlined below under the Expense Reimbursement Contract portion of this section.

NOTE: Any equipment or vehicles bought previously by a Contractor under a reimbursement based contract that is currently on the DHR Property Management System must continue to be inventoried on that system until it is properly disposed of.

II. Fixed Rate Contract

Any equipment including vehicles purchased under a fixed rate contract becomes the property of the contractor upon completion of performance of the contract. The exception is if the contractor titled the vehicle or equipment to the state for the purposes of insurance coverage, then the equipment or vehicle belong to the State and must be returned to the State if the provider does not continue to provide services under the contract.

III. Expense Reimbursement Contract

Any equipment including vehicles purchased under an expense reimbursement contract is the property of the state and all applicable equipment and inventory policies apply.

A. Board of Health Providers

The Contractor agrees:

1. To maintain detailed property records on all equipment (non-expendable personal property) purchased in total, or in part, with funds received from the Division during the term of this contract. Property records shall be maintained accurately and shall include:
 - A description of the property;
 - Manufacturer's serial number, model number, national stock number, or other identification number;

- Source of the property including Federal program name;
 - Acquisition date (or date received, if the property was furnished by the Department), and cost;
 - Percentage (at the end of the budget year) of federal participation in the cost of the project or program for which the property was acquired;
 - Location, uses, and condition of the property and the date the information was reported;
 - Unit acquisition cost;
 - Property Decal number;
 - Ultimate disposition data, including date of disposal, sales price, and method used to determine current fair market value. Disposition must have prior Department and Region written approval.
 - A physical inventory of property shall be taken and the results reconciled with the property records at least once every two years. Any differences between quantities determined by the physical inspection and those shown in the accounting records shall be investigated to determine the causes of the difference. The Contractor shall, in connection with the inventory, verify the existence, current utilization, and continued need for the property. A control system shall be in effect to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft of non-expendable property shall be investigated and fully documented; the Contractor shall promptly notify the Region.
2. Adequate maintenance procedures shall be implemented to keep the property in good condition.
 3. Upon termination of any service program included in this contract, or in the event that the contract is terminated prior to the expiration or is not renewed, contractor agrees to properly dispose of all state property as follows:
 - a. Prepare Form 5086, Equipment Status Change Form listing all state equipment in the Contractor's possession and send this form to the Division/ Regional Coordinator for final disposal determination.
 - b. Upon notification by the Office of Technology and Support, Contractor agrees to transport the state property to the designated state surplus facility. Expenses incurred by the Contractor in transporting this equipment may be charged to the terminated contract.
 4. The Contractor agrees that this equipment cannot be transferred or otherwise disposed of without written Region approval.
 5. Should the Contractor elect to maintain property records on State Property System, the Contractor agrees to follow procedures outlined in the DHR Property Management Manual.

The Regional Coordinator will confirm, by written notification to the Office of Technology and Support, that all surplus property listed on completed Form 5086 has received proper disposition.

B. Public and Private Providers:

The Contractor agrees:

1. That all non-expendable personal property purchased, in total or in part, with funds received from the Division/Regional Office during the term of the contract and all previous contracts with the Department of Human Resources is property of the State of Georgia and the Department and is subject to the rules and regulations of the Department throughout the life and disposition of said property. Said property cannot be transferred or otherwise disposed of without prior written approval of the DHR Asset Services Section
2. To adhere to all policies and procedures as promulgated in the DHR Administrative Policy and Procedures Manual, Part IX, the DHR Property Management Manual, and if applicable the DHR Vehicle Management Manual, which are by reference made a part of the contract. Contractor understands that the requirements for inventory of property (at least every two years) and a control system to safe guard against loss, damage or theft as contained in the DHR Property Management Manual shall be followed.
3. The property records shall be maintained accurately and reported on Form number 5111, Detailed Equipment Listing, within 10 days after acquisition of such property to the Regional Coordinator. The Regional Coordinator will forward the completed form #5111 to the DHR Asset Services Section, Room 32.452, 2 Peachtree Street, N.W., Atlanta, Georgia 30303.
4. For any Department owed vehicles operated under this contract, the contractor agrees to submit to the Department, the Utilization and Data report furnished by the Asset Services Section in accordance with the DHR Vehicle Management Manual, Chapter 4, Part G.
5. In the event a contract is terminated prior to its expiration or is not renewed, Contractor agrees to properly dispose of all state property as follows:
 - a. Prepare Form 5086, Equipment Status Change Form listing all state equipment in the Contractor's possession and send this form to the Regional Office Director/Regional Coordinator for final disposal determination.
 - b. Upon notification by the Office of Technology and Support, Contractor agrees to transport the state property to the designated state surplus

facility. Expenses incurred by the Contractor in transporting this equipment may be charged to the terminated contract.

The Regional Coordinator will confirm, by written notification to the Office of Technology and Support, that all surplus property listed on completed Form 5086 has received proper disposition.

BUDGET AND REPORTING OVERVIEW

The program structure required for budget development and submission, and the associated program structure to be utilized for the monthly reporting of expenditures is specified in the list of *MHDDAD Budget and Expense Programs*, included among the Appendices to this section.

The budget consists of *Form 1262 Budget Expense and Resource Summary* for Payment for Services or Fixed Rate programs and *Form 1189 Budget Expense and Resource Summary* for Expense Reimbursement programs, which also may be found within the Appendices, along with several supporting *Budget Schedules*. Supporting Budget Schedules can be revised without a revised *Form 1262 Summary* or *Form 1186 Summary* if the changes do not result in a change in the dollar amounts budgeted in the affected expense accounts.

I. BUDGET SUBMISSION:

Documents required for budget submission:

- A. *Form 1262 Budget Expense and Resource Summary* or *Form 1186 Budget Expense and Resource Summary* - Original and two copies
- B. Budget Schedules - Original and two copies
- C. Other Attachments - Original and two copies

II. DEADLINE FOR BUDGET REVISIONS:

Although budget revisions may be submitted at any time during the fiscal year, the final budget revision as well as any outstanding schedules must be postmarked by midnight, May 31. Should this date fall on a weekend or holiday, the deadline will be the next workday. This deadline is necessary in order to permit the approval and processing of the budget prior to the closeout of the fiscal year. The Funding Specifications Annex of the Board/Agency's contract with DHR specifies the minimum parameters which would necessitate a budget revision be filed.

III. EXPENDITURE REPORTS

Monthly Income and Expenditure Reports (MIERs) at the program and subprogram levels must be submitted by file transfer or keying the MIERs into UAS using the E1MIER process on to the Uniform Accounting System (UAS) via a Georgia Online (GO) network. Agencies without GO access should mail or fax the MIER form as specified by the Contracts Unit.

The MIERs are to be submitted and approved by the eighth of each month following the month for which expenses are being reported unless otherwise specified by DHR's Office of Financial Services or the Region. This means the MIERs should be submitted to the appropriate region/contracts unit no later than the eighth of the month unless otherwise specified by the Contracts Unit, so they can be approved.

Year End Closeout MIERs usually have to be approved by July fifth, therefore should be submitted to the Region for approval by July third or by the deadline set by DHR's Office

of Financial Services or the Region.

MIER forms for the Expense Reimbursement contracts are included among the Appendices to this section as **Forms 1192** for Budget Program Level Reporting. The MIERS forms for Payment for Service and Fixed Rate contracts are included among the Appendices to this section as **Form 1261**. The Payment for Services budget programs/service programs structure is included within the Appendices to this section.

IV. STATE/FEDERAL FUNDS REIMBURSEMENT

A. Reimbursement is made based on one of three methods as specified in the Funding Annex of the Board/Agency's contract with the Division/Regional Office. The three reimbursement methods are:

1. Performance Based
2. Fixed Rate
3. Expense Based

B. Should an advance of funds be granted at the beginning of the fiscal year, a reconciliation process at year-end will occur to reclaim any unexpended portion of the advance.

C. Reimbursement checks will not be issued by DHR until

1. Receipt of the Monthly Income and Expenditure Reports (MIERS)
2. Receipt by the Region of all required supporting service documentation.
3. Region approves and releases MIERS for payment.

PAYMENT FOR SERVICE REIMBURSEMENT

I. BUDGETING

The *Budget Expense and Resource Summary Form 1262*, included among the Appendices at this section, is used to budget the Grant in Aid (GIA) contract for the program.

622.003 Payment for Service or Fixed Rate Contract - The Grant in Aid funds for the program are budgeted to this SCOA (State Chart of Accounts).

8001 - Grant-In-Aid – State and Federal funds allocated by DHR are budgeted within this Fund Source.

The 622.003 amount and the 8001 amount will match the total Grant in Aid contract amount.

II. REPORTING

Reimbursement is made based upon Grant in Aid (GIA) expenditures as reported monthly on *Form 1261, Monthly Income and Expense Report, Budget Program Level*, and *Service Program Level*, included among the Appendices at this section.

Service Program Level

622.002 Payment for Service or Fixed Rate Contract - At the Service Program Level, the GIA funds are expensed to this SCOA **8000 Grant-In-Aid** – State and Federal funds allocated by DHR are reported on this Fund Source.

The 622.002 amount for the Service Program will balance to the 8000 amount for that Service Program.

Budget Program Level

622.003 Payment for Service or Fixed Rate Contract - At the Budget Program Level, the GIA is expensed to this SCOA **8001 Grant-In-Aid** – State and Federal funds allocated by DHR are reported on this Fund Source.

The 622.003 amount will balance to the 8001 amount for the Budget Program.

The total 8000 Grant in Aid for all contracted Service Programs will be the amount entered for 8001 Grant in Aid and the total 622.002 for all contracted Service Programs will be the amount entered for 622.003.

FIXED RATE CONTRACT REIMBURSEMENT

I. BUDGETING

The *Budget Expense and Resource Summary Form 1262*, included among the Appendices at this section, is used to budget the Grant in Aid (GIA) contract for the program.

622.003 Payment for Service or Fixed Rate Contract - The Grant in Aid funds for the program are budgeted to this SCOA (State Chart of Accounts) .

8001 - Grant-In-Aid – State and Federal funds allocated by DHR are budgeted within this Fund Source.

The 622.003 amount and the 8001 amount will match the total Grant in Aid contract amount.

II. REPORTING

Reimbursement is made based upon Grant in Aid (GIA) expenditures as reported monthly on *Form 1261, Monthly Income and Expense Report, Budget Program Level*, and *Service Program Level*, included among the Appendices at this section.

Service Program Level

622.002 Payment for Service or Fixed Rate Contract - At the Service Program Level, the GIA funds are expensed to this SCOA **8000 Grant-In-Aid** – State and Federal funds allocated by DHR are reported on this Fund Source.

The 622.002 amount for the Service Program will balance to the 8000 amount for that Service Program.

Budget Program Level

622.003 Payment for Service or Fixed Rate Contract - At the Budget Program Level, the GIA is expensed to this SCOA **8001 Grant-In-Aid** – State and Federal funds allocated by DHR are reported on this Fund Source.

The 622.003 amount will balance to the 8001 amount for the Budget Program.

The total 8000 Grant in Aid for all contracted Service Programs will be the amount entered for 8001 Grant in Aid and the total 622.002 for all contracted Service Programs will be the amount entered for 622.003.

EXPENSE REIMBURSEMENT CONTRACT

I. FORMS

A. BUDGETING

The ***Budget Expense and Resource Summary Form 1189***, included among the Appendices at this section, is used to budget all expenses by State Chart of Accounts (SCOAs) and Fund Source revenues for the program level for the services purchased under contract with the Division/Regional Office.

B. REPORTING

Reimbursement is made based upon actual state and federal expenditures as reported on ***Form 1192, Monthly Income and Expense Report***, included among the Appendices at this section

II. DIRECT SALARIES AND FRINGE BENEFITS

A. BUDGETING

1. All salaries and fringe benefits are budgeted in SCOA 511.001, including local salary and local fringe benefits supplements.

2. For items with a unit cost of **\$1,000 or greater**, ***Form 1240 Supporting Budget Schedule: Equipment Purchases***, included among the Appendices at this section, must be approved prior to purchase. Revisions to the detailed listing of equipment are required only if the unit cost increases by \$100 or 10%, whichever is greater. However, the total expenditure on equipment may not be greater than 110% of the approved budgeted equipment amount as specified in the Master Contract.

Items with a unit cost of **less than \$1,000** are budgeted in Account 643.001, but are not detailed on the schedule.

3. The portion of the total salaries and fringe benefits that are local supplements must be listed on ***Form 1244, Supporting Budget Schedule Non-Participating Expenses***, included among the Appendices at this section. The positions do not have to be detailed.

4. Programs operating under the Merit System are assessed merit system charges and personal liability charges on all budgeted positions. In order to keep these charges to a minimum, contractors should utilize positions at 100% to the extent feasible. For example, if the contractor has two (2) or more incumbents on the same job class, with the same job descriptions, and they are not full time employees, every effort should be made to match employees and use one (1) position at 100% utilization.

B. REPORTING

Actual expenses incurred are reported monthly using the State Chart of Account (SCOAs) which tie back to the broad budget expense categories.

511.001 Salaries - Salary payments to all employees on permanent, temporary, skilled or unskilled positions paid on an annual, monthly, semi-monthly, or weekly basis.

511.002 Local Salary Supplement -Salary greater than the approved Georgia state Merit System Pay Schedule.

511.201 Overtime - Salary paid to employees for work in excess of 40 hours per week. Pay should be in accordance with Fair Labor Standards Act and DHR/Merit System applicable policies.

513.001 Hourly Labor - Salary payments to employees paid on an hourly basis.

514.001 Employer's Cost for Social Security. NOTE: Only the Medicare portion of the tax is applicable to hourly wages paid by agencies operating under the Georgia State Merit System rules.

514.002 FICA Local Supplement - Employer's cost for Social Security (both OASDI and Medicare) resulting from additional salary remunerated in accordance with account 511.002.

514.201 FICA Overtime - Employer's cost for Social Security (both OASDI and Medicare) resulting from additional salary remunerated in accordance with account 511.201.

515.001 Retirement - Employer's cost of any retirement program.

516.001 Health Insurance - Employer's cost of health insurance.

516.002 Health Insurance Local Supplement - Employer's cost of any health insurance resulting from additional salary remunerated in accordance with account 511.002.

516.201 Health Insurance Overtime - Employer's cost of health insurance resulting from additional salary remunerated in accordance with account 511.201.

517.001 Personal Liability Insurance - Employees - Includes premiums or other costs related to legal actions against employees personally for acts executed in performance of

job related duties.

518.001 Unemployment Insurance - Includes payments made to Department of Labor either as contributory or reimbursable.

519.001 Workers' Compensation - Includes payments made to Department of Administrative Services, Fiscal Division - Workers' Compensation Trust Fund for workers' compensation insurance coverage for employees.

520.001 Assessments by Merit System - Quarterly charges by the Merit System of Personnel Administration for operations.

C. SUPPORTING SCHEDULE(S)

Form 1244, Supporting Budget Schedule Non-Participating Expenses, included among the Appendices at this section, should be used to support Direct Salaries and Fringe Benefits local supplements.

III. OTHER OPERATING

A. BUDGETING

1. All expenses of the program, with the exception of personnel, equipment, and intra/interagency transactions, are budgeted in SCOA 627.001

2. For items with a unit cost of **\$1,000 or greater**, ***Form 1240 Supporting Budget Schedule: Equipment Purchases***, included among the Appendices at this section, must be approved prior to purchase. Revisions to the detailed listing of equipment are required only if the unit cost increases by \$100 or 10%, whichever is greater. However, the total expenditure on equipment may not be greater than 110% of the approved budgeted equipment amount as specified in the Master Contract.

Items with a unit cost of **less than \$1,000** are budgeted in Account 643.001, but are not detailed on the schedule.

3.. Building rents must be supported with a lease agreement. Three separate "Statements of Comparable Rent", *DHR Form 5465* must also support rents in the Contractor's files. Copies of these are available from the Regional Office. Lease agreements must conform to the following criteria:

- a. Landlord must be clearly identified.
- b. Property must be clearly described, giving type of structure (i.e., brick three bedroom, two story office building), square footage, street address, etc.
- c. Term of lease may not span beyond a single fiscal year, since current year

funds are intended to cover only current year expenditures or costs. However, lease agreements may contain an option to renew the lease for a subsequent fiscal year. Generally, this option should be exercised within 60 days prior to the beginning of the next fiscal year, and thus at a time when appropriations for that fiscal year have become effective under a General Appropriations Act. Georgia's constitution prohibits the obligation of state funds beyond one fiscal year. The Attorney General's Opinion 74-115 dated August 23, 1974 to the State Auditor states "*A state agency may not incur a fiscal obligation beyond that authorized by currently effective appropriations; contracts incurring an obligation dependent upon future appropriations or the continuation of any other source of state funds are invalid.*" The Director of the Office of Audits has stated that it will not permit the obligation of current fiscal year funds to meet the total cost of a multi-year lease.

- d. Must contain a cancellation clause or a funds availability clause.
- e. Must state monthly rental rate.
- f. Security deposits, late fees, bad check charges, application fees and attorney fees are prohibited.
- g. Both parties must initial all additions/deletions/changes.
- h. Must be signed by the landlord and official agent of the Board for public contractors, and the landlord and the President/Chairman of the Board for private contractors.

B. REPORTING

Actual expenses incurred are reported monthly using the SCOAs which tie back to the broad budget expense categories:

612.001 Motor Vehicle Expense - Includes expenses for fuel, service, repair, or other costs of vehicles owned and operated by the agency. Also includes the required maintenance service or repair of leased vehicles.

614.001 Supplies and Materials - Includes all types of consumable supplies and materials used in operation of the agency.

614.006 Food Supplies - Consumable food items.

614.018 Pharmaceuticals - Drugs only.

615.001 Repairs and Maintenance - Expenditures for minor repairs and maintenance of buildings, grounds or equipment, and maintenance contracts or charges for maintenance service.

617.001 Utilities - Includes monthly charges for electricity, natural gas, fuel oil,

purchased steam, city water and sewer charges.

618.001 Printing - Includes the cost of printing letterhead stationery, forms, purchase orders, and any other printed matter.

620.001 Insurance and Bonding - Includes fidelity bonds on employees and hazard coverage on real and personal property or liability coverage required by statute. Also includes workers compensation insurance for non-employees where coverage is required.

622.001 Direct Benefits to Clients - Medical expenses and personal care items for clients residing in a residential program funded by the Department. Such expenditures should only be made on a case by case basis and after it has been determined that no other party or agency resources are available.

622.002 Performance/Fixed-Rate Payments - Amount of funds earned by the provider based on a monthly contractual amount.

622.031 Work Activity Payments - Payments to clients for skills or acquisition/development. Only work activity revenue may be used to pay clients' salaries.

622.044 Room and Board - Payment made to a contractual provider for client residential services. The payment covers housing and meals for the client.

622.045 Respite Care - Payments made to a contractual provider to care for a client. Respite care is provided in order to free the regular caretaker (either personal or purchased provider) from his/her responsibility on a short-term basis.

622.046 Training - Payments made to a contractual home provider for training services to clients.

622.047 Personal Allowance - An allowance provided each residential client for his/her own personal use. From this allowance, the client should purchase his/her clothing, hair cuts, personal hygiene items, medical costs, and if level of funds are sufficient, entertainment costs, etc.

EXCEPTION: Clients residing in Children and Adolescents' Therapeutic Foster Care are not to receive a Personal Allowance Benefit. This clientele's personal care items, clothing and medical expenses must be recorded as 622.001, Direct Benefit to Clients, in accordance with each client's Individualized Service Plan and the definition of account 622.001.

627.001 Other Operating Expenses - Expenditures for costs not properly included in any of the other accounts. Examples include freight, express, storage, linen service, outside laundry, agency subscriptions and dues, and registration fees.

633.001 Computer Software - Expenditures for electronic data processing and

prepackaged and custom software systems.

640.001 Travel - Includes all expenses for lodgings, meals, use of personal vehicle, leased vehicles, or other costs incurred by employees in job-related activities. Similar eligible expenses incurred by individuals other than employees should be reimbursed as per diem and fees. (account 651.001).

648.001 Building Rents - Includes monthly rentals and lease contracts for office space, program space, warehousing and other storage. Costs of renovations and modifications of leased facilities also should be classified in this account if such expenditures constitute rental payments in lease agreements.

651.001 Per Diem and Fees - Compensation for services rendered by an individual, firm or agency on a per diem, hourly, or fee basis, and payments for reimbursable expenses such as travel, postage, telephone, etc. Appropriate services to be purchased by this method are for the delivery of a specific product for a short duration of time. The relationship between the organizations or organization and individual cannot be that of an "employee-employer".

653.001 Contracts - Includes payments made for agreements between two or more persons to perform, purchase or serve and are enforceable by law. Includes all contracts other than accounts specific to a contractual agreement (i.e., contracted janitorial services would be reported under Account 615.001, Repairs and Maintenance).

673.001 Telecommunications - Includes all charges for telecommunications such as telephone and telegraph, and costs of facsimile machines.

681.001 Postage - Includes all postage costs.

C. SUPPORTING SCHEDULE(S)

1. Form 1244, Supporting Budget Schedule: Non-Participating Expenses, included among the Appendices at this section, is used to budget those items that are ineligible for state and federal and other program income participation.
2. Form 1243 Supporting Budget Schedule: Depreciation Charges, included among the Appendices to this section, is used to budget the allowable charges for occupied facilities owned by Contractors/Community Service Boards. A completed depreciation schedule using federally approved depreciation guidelines must be attached.

IV. EQUIPMENT

A. BUDGETING

The annual projected cost of material items of a non-expendable nature are budgeted in SCOA 643.001 (Equipment).

For items with a unit cost of **\$1,000 or greater**, *Form 1240 Supporting Budget Schedule: Equipment Purchases*, included among the Appendices at this section, must be approved prior to purchase. Revisions to the detailed listing of equipment are required only if the unit cost increases by \$100 or 10%, whichever is greater. However, the total expenditure on equipment may not be greater than 110% of the approved budgeted equipment amount as specified in the Master Contract.

Items with a unit cost of **less than \$1,000** are budgeted in Account 643.001, but are not detailed on the schedule.

B. REPORTING

641.001 Motor Vehicle Equipment Purchases - Includes all vehicles licensed for use on the highway, i.e., automobiles, station wagons, vans, buses, motor homes, light duty trucks and heavy duty cargo carrying trucks. All motor vehicle purchases charged to this account must be on the appropriate property inventory system.

643.001 Equipment (\$1,000 or more) - Includes expenditures for items of tangible property of a generally nonexpendable nature, such as a movable unit of furniture or furnishings, an instrument or apparatus, a machine, or a training device, maintaining its utility over a period of time which is characteristic of and definable for items of its class. Also includes motorized vehicles not used on public roads such as lawn mowers, farm tractors, etc. Items in this expenditure category will have an original acquisition cost of **greater** than the statutory definition of movable personal property set forth in the Official Code of Georgia Annotated, Title 50-16-161 (currently \$1,000).

644.001 Lease/Purchase of Equipment - Includes the payments made on lease/purchase or installment purchases agreements. All equipment received for which charges are made to this account should be recorded on the appropriate property inventory system when received and for the total acquisition price.

645.001 Rental of Equipment - The payments made for the rental of equipment if for more than three (3) months. Less than three (3) months is reported in Account 619.001.

646.001 Equipment (Less than \$1,000) - Includes expenditures for items of tangible property of a generally nonexpendable nature, such as a movable unit of furniture or furnishings, an instrument or apparatus, a machine, or a training device, maintaining its utility over a period of time which is characteristic of and definable for items of its class. Items in this expenditure category will have an original acquisition cost of **less** than the statutory definition of movable personal property set forth in the Official Code of Georgia Annotated, Title 50-16-161 (currently \$1,000).

C. SUPPORTING SCHEDULE(S)

Form 1240, Supporting Budget Schedule: Equipment Purchases, is used to list anticipated equipment purchases or leases that will be expensed in accounts

1. 641.001, Motor Vehicle Equipment Purchases
2. 643.001, Equipment (\$1,000 or more)
3. 644.001, Lease/Purchase of Equipment, and
4. 645.001, Rental of Equipment

V. REVENUES BY FUND SOURCE

All revenue and/or income must be budgeted and expensed through the Uniform Accounting System (UAS). Every DHR provider's grant award(s) and/or contract program(s) must be reviewed by the Division to determine accurate budget and reporting categories, and whether fee income generated by other DHR funded programs may support it. Specific instructions and explanations for budgeting and reporting resources are as follows:

A. BUDGETING

1. 8001 (Grant-In-Aid) – State and Federal funds allocated by DHR are budgeted within this Fund Source.
2. 8002 (DHR Contracts) - Used to budget revenue contracts with other DHR agencies.
3. Funds received from taxing authorities are budgeted in the following Fund Sources:
 - a. 6001 (County Participation) is used to budget local match requirement.
 - b. 6004 (County Non-Participating) is used to budget county funds in excess of required match.
 - c. 6006 (Municipal) is used to budget funds received from cities, towns, etc.
 - d. 6020 (Hospital Authority) is used to budget funds received from hospitals.
4. Revenue from the Fund Sources listed below must be identified and described on **Form 1272, Supporting Budget Schedule Revenue**, which is included among the Appendices at this section.
 - a. 6013 (DOE Contracts)
 - b. 6018 (Contractual Agreements)
 - c. 6021 (Other Local Funds)
 - d. 7014 (Federal Grants)
5. Program Income - Income earned by a recipient from activities of which part or all of the cost is borne as a direct cost by a grant or counted as a direct cost towards meeting a cost sharing or matching requirement of a grant. Fund balances at June 30 each year must be budgeted and expensed within the subsequent twelve-month period, as detailed at paragraph 6 below. Income is budgeted in the Accounts as follow:
 - a. 6008 is used to budget Outpatient Medicare fees.

- b. 6009 is used to budget Outpatient Medicaid Current Year fees.
 - c. 6017 is used to budget fees received directly from clients, on client's behalf from government agencies, private insurance and other third party payees.
 - d. 6032 is used to budget Medicaid Waiver Current Year fees in Mental Retardation programs.
 - e. 6024 is used to budget a Fund Balance from Prior Year
 - f. 6028 is used to budget Medicaid receipts for pharmacy services.
6. Local programs may carry forward program income generated during one fiscal year into the next fiscal year in accordance with DHR Program Income Policy contained in ***Part II.K.1. of the DHR Grants to Counties Manual*** (included among the Appendices at this section.) The Division has elected the Additional Cost Alternative to govern the use of program (fee) income generated during one fiscal year and on hand at June 30 in Community Mental Health, Developmental Disabilities and Addictive Diseases programs.

B. REPORTING

Receipt and application of resources, except for revenue generated through the Fund Sources listed below are reported on ***1192 Monthly Income and Expense Report***, included among the Appendices at this section, in the same manner stated at VI Revenue, A. Budgeting.

- 1. 6017 (Other Fees) for reporting purposes, is used as follows to distinguish client fees:
 - a. 6015 is used to report direct pay client fees.
 - b. 6016 is used to report client fees resulting from private insurance.
 - c. 6017 is used to report all other client fees that are not defined above, such as SSI/SSA.
- 2. 6024 (Fund Balance from Prior Year) surplus funds resulting from excess of program income over expenses in the prior year are reported expensed in this account. The fund balance from the prior year must be expensed during the next state fiscal year.

C. SUPPORTING SCHEDULE (S)

Form 1272, Supporting Budget Schedule: Revenue, included among the Appendices to this section, is used to describe and identify resources budgeted in the following Fund Sources:

- 6013 (DOE Contracts)
- 6018 (Contractual Agreements)
- 6021 (Other Local Funds)
- 6040 (Intra/Inter Agency Transactions), and
- 7014 (Federal Grants)

CONTRACTING AND SUBCONTRACTING BY CONTRACTOR

Required Approvals

As specified in Paragraph 115, of the contract, the Division's approval is not required of the Contractor to enter into a subcontract for services specified in the contract. The Contractor must provide at the time the contract is signed a list of all subcontractors to include but not limited to, the disability group or groups served and the services provided and the expected annual cost of services

Contents of Subcontracts

- A. Any subcontracts of the Contractor will be in writing and clearly state the service or product being acquired through said subcontract with a detailed description of cost.
- B. Any subcontracts of the Contractor for the provision of consumer services and/or operational services addressed in whole or in part by the Provider Manual will incorporate a certification to be signed by the subcontractor indicating the subcontractor has received and will comply with the Provider Manual.
- C. Any subcontracts by the Contractor will require subcontractors to comply with all provisions of the federal and state laws, rules, regulations and policies.

Responsibility For Subcontractor's Performance

As specified in the contract, the contractor agrees to be responsible for the subcontractor's performance and compliance with applicable provision of the contract and the Provider Manual. The Contractor will ensure that the subcontractor both understands and abides by all pertinent provisions of the contract, the Provider Manual and any regulations applicable to the subcontractor. The contractor also must ensure that the subcontractor receives the Provider Manual and all revisions to the Provider Manual.

Compliance with State's Minority Business Policy

Contractors who by virtue of their contract with the MHDDAD/Regional Office are allowed to subcontract will follow the State's Minority Business policy. The policy of the State of Georgia is that minority business enterprises shall have a fair and equal opportunity to participate in the purchasing process. The State encourages all companies to subcontract portions of any State contract to minority business enterprises.

INSURANCE REQUIREMENTS

I. Requirements Applicable to Public Providers (e.g., Community Service Boards and County Boards of Health) The following shall be adhered to by public providers throughout the term of the contract, any renewal thereof, and as otherwise specified herein:

A. Insurance Certificate: The Provider shall procure and maintain insurance which shall protect the Provider and the State from any claims for bodily injury, property damage, or personal injury which may arise out of operations under the Contract. The Provider shall procure the insurance policies at the Provider's own expense and shall furnish the State an insurance certificate listing the State as certificate holder. The insurance certificate must document that the liability insurance coverage purchased by the Provider includes contractual liability coverage to protect the State. In addition, the insurance certificate must provide the following information:

1. Name and address of authorized agent,
2. Name and address of insured,
3. Name of insurance company (licensed to operate in Georgia),
4. Description of coverage in standard terminology,
5. Policy period,
6. Limits of liability,
7. Name and address of certificate holder,
8. Acknowledgment of notice of cancellation to the State,
9. Signature of authorized agent,
10. Telephone number of authorized agent,
11. Details of policy exclusions in comment section of Insurance Certificate.

B. The Provider also agrees to procure and maintain insurance coverage to document that the following types of insurance coverage have been purchased by the Provider :

1. Workers' Compensation Insurance

To insure the statutory limits as established by the General Assembly of the State of Georgia (NOTE: A self-insurer must submit a certificate from the Georgia State Board of Workers' compensation stating the Provider qualifies to pay its own workers' compensation claims.) The Workers' Compensation Policy must include Coverage B - Employer's Liability Limits of:

Bodily Injury by Accident -	\$ 500,000 each accident
Bodily Injury by disease -	\$ 500,000 each employee
	\$1,000,000 policy limits

Provider shall require all Subcontractors performing work under his Contract to obtain an insurance certificate showing proof of Workers' Compensation Coverage.

2. Commercial General Liability Policy:*

Combined Single Limits: \$1,000,000 per person
 \$3,000,000 per occurrence

The Commercial General Liability Policy must insure provider's officers, board members and employees in their individual capacities and must be on an "occurrence" basis.

*A Comprehensive General Liability Policy may be substituted for the Commercial General Liability Policy if the Comprehensive General Liability Policy has been endorsed to insure contractual liability, broad form property damage, and personal injury liability.

3. Business Automobile Liability Policy:

Combined Single Limits: \$1,000,000 per Person
 \$3,000,000 per Occurrence

All policies must be on an "occurrence" basis, unless expressly otherwise stated.

- C. The foregoing policies shall contain a provision that coverage will not be canceled or allowed to lapse until at least thirty (30) days prior written notice has been given to DHR. Certificates of Insurance showing such coverage to be in force, or a resolution requesting D.O.A.S. to assist in the purchase, shall be filed with DHR prior to commencement of any work under this Contract. The foregoing policies shall be obtained from D.O.A.S. (with the consent and approval of D.O.A.S.) or insurance companies licensed to do business in Georgia and acceptable to DHR. The foregoing policies shall be obtained from and maintained with insurance companies that are licensed to do business in Georgia and also either have a minimum Best Rating of A or have been specifically approved in writing by the Department. Evidence of insurability under these provisions shall be directed to the Division. It shall be the responsibility of the Provider to require any Subcontractor to indemnify and hold harmless the Division, DHR and the State; to secure insurance coverage sufficient to cover possible liability, and to obtain a certificate or certificates evidencing that such insurance is in effect. In addition, the Provider shall indemnify and hold harmless the Division, DHR and the State from any liability arising out of the Provider's or Subcontractor's untimely failure to secure adequate insurance coverage as prescribed herein. All such coverage shall remain in full force and affect during the initial term of the Contract and any renewal or extension thereof.

- D. At the request of the Division, the Provider will supply all necessary underwriting data for the purchase of insurance coverage through the Department of Administrative Services

(D.O.A.S.), including workers' compensation, unemployment insurance, general liability, vehicle liability, fidelity bond and property insurance. The Provider will remit in a timely manner required premiums for vehicle liability and fidelity bond insurance to the Department of Administrative Services.

- E. For insurance coverage provided by the D.O.A.S., the D.O.A.S. shall have the authority to examine and copy any records of the Provider to facilitate the investigation of any claim covered by such insurance. The Provider shall make available to D.O.A.S. all such records incidental to any investigation of a claim notwithstanding any other provisions of law which designates such records as confidential or which prohibits disclosure of such records; provided, that D.O.A.S. shall be bound by such provisions of law and shall not make further disclosure of such records.

II. Requirements Applicable to Private Providers The following shall be adhered to by private provides throughout the term of the contract, any renewal thereof, and as otherwise specified herein:

- A. Insurance Certificate: The Contractor shall, at its expense, procure a Commercial General Liability Insurance Policy, including personal and advertising liability (or a Comprehensive General Liability Policy) with endorsement to insure contractual liability, broad form property damage, personal injury, personal and advertising liability, and other insurance policies in coverage amounts of \$3 million per occurrence and \$1 million per person, with endorsement waiving right of subrogation against the State, the Indemnities, the Fund and insurers participating thereunder. The Provider shall procure the insurance policies at the Provider's own expense and shall furnish the State an insurance certificate listing the State as certificate holder.
- B. Fidelity Assurance Bonds: Private Non-Profit Contractors who are requesting an advance of funds under the contract MUST be bonded. The bond may be a blanket bond covering all contract positions, or it may be a position bond, listing specific positions. If a position bond is used, each position scheduled must be for the minimum amount required. While it is customary to list the chief executive officer on the bond, the bond must cover anyone handling funds or authorizing expenditures. The bond must be made payable to the State of Georgia, Department of Human Resources or payable jointly to the Contractor and DHR. If the Contractor has a very large bond covering its entire operation, it can assign, through an endorsement or rider, the required portion of the bond to DHR.

The bond amount is determined by calculating the total amount of the contract (total amount is inclusive of local match, donor funds, in-kind match, certified costs, certified public expenditure, certified cash transfers, budgeted State and Federal funds) by the percentage listed below and comparing that to the amount of the advance. The larger of the two figures must be the amount of the bond. The Contractor will submit to the Regional Office a binder, certificate of insurance or a copy of the bond. If a binder letter is used, the binder must include the name of the bonding company, bond number, period of coverage, amount of coverage, who is covered, and statement that the bond is payable to DHR or jointly payable to DHR and the Contractor.

III. Fidelity/Assurance Bond Schedule

<u>Total Contract Budget</u>	<u>Amount of Bond</u>
up to \$50,000	25%
\$50,000 to 54,999	24%
\$55,000 to 59,999	23%
\$60,000 to 64,999	22%
\$65,000 to 69,999	21%
\$70,000 to 74,999	20%
\$75,000 to 79,999	19%
\$80,000 to 84,999	18%
\$85,000 to 89,999	17%
\$90,000 to 94,999	16%
\$95,000 to 99,999	15%
\$100,000 to 199,999	14%
\$200,000 to 399,999	13%
\$400,000 and up	12%

FY10 BUDGET & EXPENSE NUMBERS

DMHDDAD PROGRAM STRUCTURE

MENTAL HEALTH – ADULTS

Budget Program		Service Programs	
Grant-In-Aid Fund Source - 8001		Grant-In-Aid Fund Source - 8000	
101	Core Services Provider		
		120	Diagnostic Assessment & IRP Planning
		121	Crisis Intervention
		122	Physician Assessment and Care
		123	Nursing Assessment and Health Services
		124	Medication Administration
		126	Community Support Individual
		128	Individual Counseling
		129	Group Training / Counseling
		130	Family Training / Counseling
190	Core Capacity Services		
		*	Budget 190 is a stand alone budget. Budgets and Expenses should be reported using this budget number.

FY10 BUDGET & EXPENSE NUMBERS

DMHDDAD PROGRAM STRUCTURE
MENTAL HEALTH – ADULTS (continued)

Budget Program		Service Programs	
Grant-In-Aid Fund Source - 8001		Grant-In-Aid Fund Source - 8000	
103	Crisis Services Provider		
		133	Mobile Crisis Services (Capacity)
		134	Crisis Stabilization Program
		135	Community-Based Inpatient Services
104	Consumer/Family Support Services Provider		
		136	Respite
		137	Consumer / Family Assistance
105	Peer Support Services Provider		
		138	Peer Support
106	Employment Services Provider		
		139	Supported Employment
107	Residential Services Provider		
		144	Structured Residential
		148	Housing Supplements
108	Intensive Treatment Services Provider		
		152	Assertive Community Treatment (ACT)
109	Mental Health Day Services Provider		
		155	Psychosocial Rehabilitation
110	MH Intensive Day Services Provider		
		159	Intensive Day Treatment
119	Other Contracted Services		
		NEW * To be assigned as contracted	

OTHER BUDGET / FUND SOURCES

001	Special Projects MH Services - Adult
002	McKinney Homeless Grant
003	Homeless Services - State
010	Transition Assistance For Probationers/Parolees
011	Treatment Court - Mental Health
020	TANF MH Outpatient

FY10 BUDGET & EXPENSE NUMBERS

DMHDDAD PROGRAM STRUCTURE

MENTAL HEALTH - CHILDREN & ADOLESCENTS

Budget Program		Service Programs	
Grant-In-Aid Fund Source - 8001		Grant-In-Aid Fund Source - 8000	
201	Core Services Provider		
		220	Diagnostic Assessment & IRP Planning
		221	Crisis Intervention
		222	Physician Assessment and Care
		223	Nursing Assessment and Health Services
		224	Medication Administration
		226	Community Support Individual
		228	Individual Counseling
		229	Group Training / Counseling
		230	Family Training / Counseling
290	Core Capacity Services		
		*	Budget 290 is a stand alone budget. Budgets and Expenses should be reported using this budget number.

FY10 BUDGET & EXPENSE NUMBERS**DMHDDAD PROGRAM STRUCTURE****MENTAL HEALTH - CHILDREN & ADOLESCENTS (continued)**

Budget Program
Grant-In-Aid Fund Source - 8001

Service Programs
Grant-In-Aid Fund Source - 8000

203 Crisis Services Provider

233 Mobile Crisis Services (Capacity)
234 Crisis Stabilization Program
235 Community-Based Inpatient Services

204 Consumer/Family Support Services Provider

257 Child and Family Support Services

207 Residential Services Provider

244 Structured Residential
246 Therapeutic Foster Care
247 Therapeutic Group Home
248 Housing Supplements

208 Intensive Treatment Services Provider

253 Intensive Family Intervention

219 Other Contracted Services

NEW * To be assigned as contracted

OTHER BUDGET / FUND SOURCES

301 Special Projects MH Services - Children

FY10 BUDGET & EXPENSE NUMBERS

DMHDDAD PROGRAM STRUCTURE ADDICTIVE DISEASES - ADULTS

Budget Program Grant-In-Aid Fund Source - 8001		Service Programs Grant-In-Aid Fund Source - 8000	
701 Core Services Provider		720	Diagnostic Assessment & IRP Planning
		721	Crisis Intervention
		722	Physician Assessment and Care
		723	Nursing Assessment and Health Services
		724	Medication Administration
		726	Community Support Individual
		728	Individual Counseling
		729	Group Training / Counseling
		730	Family Training / Counseling
790 Core Capacity Services		Budget 790 is a stand alone budget. * Budgets and Expenses should be reported using this budget number.	

FY10 BUDGET & EXPENSE NUMBERS**DMHDDAD PROGRAM STRUCTURE****ADDICTIVE DISEASES – ADULTS (continued)**

Budget Program		Service Programs	
Grant-In-Aid Fund Source - 8001		Grant-In-Aid Fund Source - 8000	
703	Crisis Services Provider		
		733	Mobile Crisis Services (Capacity)
		734	Crisis Stabilization Program
		735	Community-Based Inpatient Services
704	Consumer/Family Support Services Provider		
		736	Respite
		737	Consumer / Family Assistance
705	Peer Support Services Provider		
		738	Peer Support
706	Employment Services Provider		
		739	Supported Employment
707	Residential Services Provider		
		744	Structured Residential
		748	Housing Supplements
709	Addictive Disease Day Services Provider		
		756	Substance Abuse Day Treatment
710	Opioid Maintenance Treatment Provider		
		763	Opioid Maintenance Treatment
711	Substance Abuse Detox Services Provider		
		765	Residential Detox
		766	Ambulatory Detoxification
719	Other Contracted Services		
		NEW	* To be assigned as contracted

FY10 BUDGET & EXPENSE NUMBERS

DMHDDAD PROGRAM STRUCTURE

ADDICTIVE DISEASES – ADULTS (continued)

Budget Program Grant-In-Aid Fund Source - 8001	Service Programs Grant-In-Aid Fund Source - 8000
Treatment Court Services	
611	Treatment Court - AD
TANF / RFW Services	
620	Non-TANF Outpatient
621	TANF Outpatient
622	Ready for Work Outpatient - State
623	RFW TANF Residential
624	Non-TANF Residential
625	TANF Residential
626	Ready for Work Residential - State
627	TANF SA Safe Port
628	TANF AD Support Services
OTHER BUDGET / FUND SOURCES	
601	Special Projects SA Services - Adult
602	HIV Early Intervention Services
603	Demand Reduction Drug Treatment Prog

FY10 BUDGET & EXPENSE NUMBERS

DMHDDAD PROGRAM STRUCTURE

ADDICTIVE DISEASES - CHILDREN & ADOLESCENTS

Budget Program Grant-In-Aid Fund Source - 8001		Service Programs Grant-In-Aid Fund Source - 8000	
801 Core Services Provider		820	Diagnostic Assessment & IRP Planning
		821	Crisis Intervention
		822	Physician Assessment and Care
		823	Nursing Assessment and Health Services
		824	Medication Administration
		826	Community Support Individual
		828	Individual Counseling
		829	Group Training / Counseling
		830	Family Training / Counseling
890 Core Capacity Services			
		*	Budget 890 is a stand alone budget. Budgets and Expenses should be reported using this budget number.

FY10 BUDGET & EXPENSE NUMBERS**DMHDDAD PROGRAM STRUCTURE****ADDICTIVE DISEASES - CHILDREN & ADOLESCENTS (continued)**

Budget Program		Service Programs	
Grant-In-Aid Fund Source - 8001		Grant-In-Aid Fund Source - 8000	
803	Crisis Services Provider		
		833	Mobile Crisis Services (Capacity)
		834	Crisis Stabilization Program
		835	Community-Based Inpatient Services
804	Consumer/Family Support Services Provider		
		857	Child and Family Support Services
807	Residential Services Provider		
		844	Structured Residential
		846	Therapeutic Foster Care
		847	Therapeutic Group Home
		848	Housing Supplements
808	Intensive Treatment Services Provider		
		853	Intensive Family Intervention
811	Addictive Disease Detox Services Provider		
		865	Residential Detox
		866	Ambulatory Detox
819	Other Contracted Services		
		NEW	* To be assigned as contracted
OTHER BUDGET / FUND SOURCES			
901	Special Projects SA Services - Children		
902	Governor's Emergency Fund - SA		

FY10 BUDGET & EXPENSE NUMBERS

DMHDDAD PROGRAM STRUCTURE

DEVELOPMENTAL DISABILITIES – ADULTS and CHILDREN & ADOLESCENTS

Budget Program
Grant-In-Aid Fund Source - 8001

Service Programs
Grant-In-Aid Fund Source - 8000

400 Developmental Disabilities

Day & Employment Services

Day Supports

401 Day Supports - Community Based Habilitation

402 Day Supports - Facility Based Habilitation

403 Day Supports - Prevocational

404 Day Supports - Community Based Employment

Comprehensive Day Services

405 Comprehensive Day Services

Supported Employment

406 Community Based Employment - Individual

407 Community Based Employment - Group - Enclaves

408 Community Based Employment - Mobile Crews

Personal Living & Residential Services

411 Community Residential Supports

Supportive Services

421 Behavioral Support Team Services

422 Family Supports - M.R.

423 Respite

OTHER BUDGET / FUND SOURCES

501 Special Projects - DD Services

502 Special Appropriation - MR

503 Special Appropriation - Rehab Project New Hope

510 DD Family Support

511 Autism Services

520 TANF Mental Retardation Funds

FY11 UAS Budget & Expense Numbers

MENTAL HEALTH & ADDICTIVE DISEASE CORE SERVICES

		MENTAL HEALTH		ADDICTIVE DISEASES	
		ADULT	C&A	ADULT	C&A
CORE SERVICES		101	201	701	801
	Behavioral Health Assessment & Service Plan Development	131	231	731	831
	Psychological Testing	132	232	732	832
	Diagnostic Assessment	120	220	720	820
	Crisis Intervention	121	221	721	821
	Psychiatric Treatment	122	222	722	822
	Nursing Assessment & Health Services	123	223	723	823
	Medication Administration	124	224	724	824
	Community Support - Individual	126	226	726	826
	Individual Outpatient Services	128	228	728	828
	Group Outpatient Services	129	229	729	829
	Family Outpatient Services	130	230	730	830
	Legal Skills / Competency Training	161	-	761	-
	Community Transition Planning	162	262	762	862

NOTES: 1. Budget Program Numbers appear in the shaded areas.
2. Service Program Numbers (Subprograms) for expense reporting appear in the non-shaded areas.

	Core Capacity Services	190	290	790	890
	Fixed Rate Services	191	291	791	891
	Reimbursement	192	292	792	892
	C&A Fee For Service - Adjustments	-	298	-	898
	C&A Fee For Service	-	299	-	899

NOTES: 1. The above numbers are stand alone budget programs. Budgets and Expenses should be reported against these numbers.

FY11 UAS Budget & Expense Numbers

MENTAL HEALTH & ADDICTIVE DISEASE SPECIALTY SERVICES

		MENTAL HEALTH		ADDICTIVE DISEASES	
		ADULT	C&A	ADULT	C&A
CRISIS SERVICES		103	203	703	803
	Crisis Stabilization	134	234	734	834
	Community Based Inpatient MH & AD Svcs	135	235	735	835
	Mobile Crisis Services - Capacity	133	233	733	833
CONSUMER / FAMILY SUPPORT SERVICES		104	204	704	804
	Respite	136	-	736	-
	Consumer / Family Assistance	137	-	737	-
	Child & Family Support Services	-	257	-	857
	Behavioral Assistance	-	258	-	858
PEER SUPPORT SERVICES		105		705	
	Peer Support	138	-	738	-
EMPLOYMENT SERVICES		106		706	
	Supported Employment	139	-	739	-
RESIDENTIAL SERVICES		107	207	707	807
	Independent Residential Services	141	-	741	-
	Semi-Independent Residential Services	142	-	742	-
	Intensive Residential Services	143	-	743	-
	Structured Residential	-	244	-	844
	Housing Supplements	148	248	748	848
	Outdoor Therapeutic Program	-	250	-	850
	Psychiatric Residential Treatment Facility (PRTF)	-	249	-	-
INTENSIVE TREATMENT SERVICES		108	208	708	808
	Assertive Community Treatment	152	-	-	-
	Intensive Family Intervention	-	253	-	853
DAY SERVICES		109	209	709	809
	Psychosocial Rehabilitation	155	-	-	-
	Structured Activity Supports	-	270	-	870
OPIOID MAINTENANCE TREATMENT SERVICES				710	
	Opioid Maintenance Treatment	-	-	763	-
ADDICTIVE DISEASE DETOX SERVICES				711	811
	Substance Abuse Residential Detox	-	-	765	865
	Substance Abuse Ambulatory Detox	-	-	766	866
OTHER CONTRACTED SERVICES		119	219	719	819
	* TO BE ASSIGNED AS CONTRACTED	*	*	*	*
	Screening & Referral for the Deaf	180	-	-	-
	Intensive Case Management (Region 3 Pilot)	181	-	781	-
	Care Management Agency	-	281	-	-

NOTES: 1. Budget Program Numbers appear in the shaded areas.

2. Service Program Numbers (Subprograms) for expense reporting appear in the non-shaded areas.

FY11 UAS Budget & Expense Numbers

MENTAL HEALTH & ADDICTIVE DISEASE OTHER CONTRACTED SERVICES

		MENTAL HEALTH		ADDICTIVE DISEASES	
		ADULT	C&A	ADULT	C&A
TAPP SERVICES PROVIDER					
	TRANSITION ASSIST. FOR PROB AND PAROLEES	010	-	-	-
TREATMENT / DRUG COURT SERVICES					
	TREATMENT COURT SERVICES - MH	011	-	-	-
	TREATMENT COURT SERVICES - AD	-	-	611	-
READY FOR WORK / TANF SERVICES PROVIDER					
???	TANF MENTAL HEALTH OUTPATIENT	020	-	-	-
	READY FOR WORK OUTPATIENT - SAPT BG	-	-	620	-
	READY FOR WORK OUTPATIENT - TANF GRANT	-	-	621	-
	READY FOR WORK OUTPATIENT - STATE	-	-	622	-
	RFW TANF RESIDENTIAL	-	-	623	-
	READY FOR WORK RESIDENTIAL - SAPT BG	-	-	624	-
	READY FOR WORK RESIDENTIAL - TANF GRANT	-	-	625	-
	READY FOR WORK RESIDENTIAL - STATE	-	-	626	-
	TANF SA SAFE PORT	-	-	627	-
	TANF AD SUPPORT SERVICES	-	-	628	-
	READY FOR WORK - TRANSITIONAL HOUSING	-	-	630	-
	READY FOR WORK - ADMINISTRATION	-	-	631	-

NOTES: 1. The above numbers are stand alone budget programs. Budgets and Expenses should be reported against these numbers.

FY11 UAS Budget & Expense Numbers

MENTAL HEALTH & ADDICTIVE DISEASE OTHER BUDGET PROGRAMS / FUND SOURCES

		MENTAL HEALTH		ADDICTIVE DISEASES	
		ADULT	C&A	ADULT	C&A
MENTAL HEALTH SERVICES - ADULT					
	SPECIAL PROJECTS - ADULT MH SERVICES	001	-	-	-
	MCKINNEY HOMELESS GRANT	002	-	-	-
	HOMELESS SERVICES - STATE	003	-	-	-
	JAIL DIVERSION & TRAUMA RECOVERY FOR VETS	012	-	-	-
MENTAL HEALTH SERVICES - CHILD & ADOLESCENT					
	CARE MANAGEMENT AGENCY	-	302	-	902
ADDICTIVE DISEASE SERVICES - ADULT					
	HIV EARLY INTERVENTION SERVICES	-	-	602	-
	SBIRT (GA BASICS)	-	-	605	-
ADDICTIVE DISEASE SERVICES - CHILD & ADOLESCENT					
	SPECIAL PROJECTS - C&A AD SERVICES	-	-	-	901
	CLUBHOUSE PROGRAM	-	-	-	906

*NOTES: 1. The above numbers are stand alone programs. Budgets and Expenses should be reported against these numbers.

FY11 UAS Budget & Expense Numbers

DEVELOPMENTAL DISABILITIES

	BUDGET	EXPENSES
DEVELOPMENTAL DISABILITIES	400	
DAY SUPPORTS		
COMMUNITY ACCESS GROUP	-	401
COMMUNITY ACCESS INDIVIDUAL	-	402
PREVOCATIONAL	-	403
SUPPORTED EMPLOYMENT		
SUPPORTED EMPLOYMENT INDIVIDUAL	-	406
SUPPORTED EMPLOYMENT GROUP	-	407
RESIDENTIAL		
COMMUNITY RESIDENTIAL SUPPORTS	-	411
COMMUNITY LIVING SUPPORTS	-	412
BEHAVIORAL SUPPORT TEAM SERVICES	-	421
FAMILY SUPPORTS - M.R.	-	422
RESPIRE	-	423

- *NOTES: 1. Budget Program Numbers appear in the column labeled budget.
 2. Service Program Numbers (Subprograms) for expense reporting appear in the column labeled expenses below the appropriate budget number.

OTHER BUDGET PROGRAMS / FUND SOURCES

	BUDGET	EXPENSES
OTHER PROGRAMS / FUNDING		
SPECIAL PROJECTS - DD SERVICES	501	-
SPECIAL APPROPRIATION - MR	502	-
AUTISM SERVICES	511	-
DD FAMILY SUPPORT	510	-
TANF MENTAL RETARDATION FUNDS	520	-

- *NOTES: 1. Budget Program Numbers appear in the column labeled budget.
 2. Service Program Numbers (Subprograms) for expense reporting appear in the column labeled expenses below the appropriate budget number.

Georgia Department of Human Resources

BUDGET EXPENSE and RESOURCE SUMMARY for Region _____
Payment For Services or Fixed Rate Contract

Number Description

DIVISION: 030 **Mental Health, Developmental Disabilities & Addictive Diseases** **REPORT CCYYMM:** _____

LOCAL AGENCY: _____ **BUDGET APPROVAL CODE:** 0

BUDGET PROGRAM: _____ **BUDGET REVISION:** _____

PROPOSED EXPENSES					
SCOA	Description	CURRENT BUDGET	+	ADJUSTMENT +/-	= REVISED BUDGET
622.003	Payment for Services or Fixed Rate Contract	_____	_____	_____	_____

PROPOSED RESOURCES					
Fund Source	Description	CURRENT BUDGET	+	ADJUSTMENT +/-	= REVISED BUDGET
8001	Payment for Services or Fixed Rate Contract	_____	_____	_____	_____

AGENCY SIGNATURE	
<p>I certify that to the best of my knowledge, the information on this summary is a true and accurate statement of the expenses and consumers served for the specified month.</p>	
<p>_____</p> <p>Authorized Agency Signature</p>	<p>_____</p> <p>Date</p>
<p>_____</p> <p>Title</p>	

DMHDDAD SIGNATURE	
<p>Reviewed By:</p>	
<p>_____</p> <p>Authorized DMHDDAD Signature</p>	<p>_____</p> <p>Date</p>

Georgia Department of Human Resources

MONTHLY INCOME AND EXPENSE REPORT for Region _____

Payment For Services or Fixed Rate Contract

Number Description
DIVISION: 030 **Mental Health, Developmental Disabilities & Addictive Diseases** **REPORT CCYYMM:** _____
LOCAL AGENCY: _____ **REPORT BASIS (CASH):** C _____
BUDGET PROGRAM: _____ **ACCRUAL CCYYMM:** _____

BUDGET PROGRAM GRANT IN AID					
SCOA	Description	Amount	Fund Source	Grant In Aid Budget Pgm Amount	
622.003	Payment for Services or Fixed Rate Contract	_____	8001	_____	

GRANT IN AID BY SERVICE PROGRAM					
Service Pgm Number	Description of Service	SCOA	Amount	Fund Source	Grant-in-Aid Service Program Amounts
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____
_____	_____	622.002	_____	8000	_____

Georgia Department of Human Resources

MONTHLY INCOME AND EXPENSE REPORT for Region _____

Payment For Services or Fixed Rate Contract

	<u>Number</u>	<u>Description</u>	
DIVISION:	<u>030</u>	Mental Health, Developmental Disabilities & Addictive Diseases	REPORT CCYYMM: _____
LOCAL AGENCY:	_____	_____	REPORT BASIS (CASH): <u>C</u>
BUDGET PROGRAM:	_____	_____	BUDGET REVISION: _____

AGENCY SIGNATURE	
<p>I certify that to the best of my knowledge, the information on this summary is a true and accurate statement of the expenses and consumers served for the specified month.</p>	
<p>_____ Authorized Agency Signature</p>	<p>_____ Date</p>
<p>_____ Title</p>	
DMHDDAD SIGNATURE	
<p>Reviewed By:</p>	
<p>_____ Authorized DMHDDAD Signature</p>	<p>_____ Date</p>

Georgia Department of Human Resources

BUDGET EXPENSE and RESOURCE SUMMARY for Region _____ **Expense Reimbursement Contract**

Number _____ Description _____
DIVISION: 030 **Mental Health, Developmental Disabilities & Addictive Diseases** **REPORT CCYYMM:** _____
LOCAL AGENCY: _____ **BUDGET APPROVAL CODE:** 0
BUDGET PROGRAM: _____ **BUDGET REVISION:** _____

PROPOSED EXPENSES				
SCOA	Description	CURRENT BUDGET	+ ADJUSTMENT +/-	= REVISED BUDGET
Direct Salaries				
511.001	Salaries	_____	_____	_____
Other Operating				
627.001	Other Operating Expenses	_____	_____	_____
Equipment				
643.001	Equipment (\$1000 or more)	_____	_____	_____
TOTAL PROPOSED EXPENSES		_____	_____	_____

PROPOSED RESOURCES				
Fund Source	Description	CURRENT BUDGET	+ ADJUSTMENT +/-	= REVISED BUDGET
6001	County Participating	_____	_____	_____
6002	County Cash Match	_____	_____	_____
6004	County Non-Participating	_____	_____	_____
6006	Municipal	_____	_____	_____
6008	Outpatient Medicare Fees	_____	_____	_____
6009	Outpatient Medicaid CY Fees	_____	_____	_____
6013	DOE Contracts	_____	_____	_____
6015	Client Fees	_____	_____	_____
6016	Private Insurance	_____	_____	_____
6017	Other Fees	_____	_____	_____
6018	Contracts	_____	_____	_____
6020	Hospital Authority	_____	_____	_____
6021	Other Local Funds	_____	_____	_____
6024	Prior Year Program Income	_____	_____	_____
6028	Medicaid Pharmacy	_____	_____	_____
6030	MRDS Work Activity	_____	_____	_____
6032	Medicaid Waiver CY Fees	_____	_____	_____
6039	Outpatient Medicaid PY Fees	_____	_____	_____
6042	Insurance Reimbursement	_____	_____	_____
6047	Medicaid Waiver PY Fees	_____	_____	_____
7014	Direct Federal Funds	_____	_____	_____
8001	GRANT-IN-AID	_____	_____	_____
8002	DHR Contracts	_____	_____	_____
TOTAL PROPOSED RESOURCES		_____	_____	_____

Georgia Department of Human Resources
BUDGET EXPENSE and RESOURCE SUMMARY for Region _____
Expense Reimbursement Contract

	<u>Number</u>	<u>Description</u>	
DIVISION:	<u>030</u>	Mental Health, Developmental Disabilities & Addictive Diseases	REPORT CCYYMM: _____
LOCAL AGENCY:	_____	_____	BUDGET APPROVAL CODE: <u>0</u>
BUDGET PROGRAM:	_____	_____	BUDGET REVISION: _____

AGENCY SIGNATURE	
<p>I certify that to the best of my knowledge, the information on Page 1 of this summary is a true and accurate statement of the revenues and expenses for the specified month.</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 45%;"> <p>_____</p> <p style="text-align: center;">Authorized Agency Signature</p> <p>_____</p> <p style="text-align: center;">Title</p> </div> <div style="width: 45%;"> <p>_____</p> <p style="text-align: center;">Date</p> </div> </div>	
DMHDDAD SIGNATURE	
<p>Reviewed By:</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 45%;"> <p>_____</p> <p style="text-align: center;">Authorized DMHDDAD Signature</p> </div> <div style="width: 45%;"> <p>_____</p> <p style="text-align: center;">Date</p> </div> </div>	

Georgia Department of Human Resources

MONTHLY INCOME AND EXPENSE REPORT for Region _____

Expense Reimbursement Contract

Number _____ Description _____
DIVISION: 030 **Mental Health, Developmental Disabilities & Addictive Diseases** **REPORT CCYYMM:** _____
LOCAL AGENCY: _____ **REPORT BASIS (CASH):** C
BUDGET PROGRAM: _____ **ACCRUAL CCYYMM:** _____

CURRENT EXPENSES					
SCOA	Description	Amount	SCOA	Description	Amount
511.001	Salaries	_____	622.001	Direct Benefits to Clients	_____
511.002	Local Salary Supplement	_____	622.002	Pay For Services/Fixed Rate	_____
511.201	Overtime	_____	622.031	M.R. Work Activity Salaries	_____
513.001	Hourly Labor	_____	622.044	Room and Board	_____
514.001	FICA	_____	622.045	Respite Care	_____
514.002	FICA-Local Supplement	_____	622.046	Training	_____
514.201	FICA-Overtime	_____	622.047	Personal Allowances	_____
515.001	Retirement	_____	627.001	Other Operating Expenses	_____
516.001	Health Insurance	_____	633.001	Computer Software	_____
516.002	Health Ins – Local Supplement	_____	640.001	Travel	_____
516.201	Health Ins – Overtime	_____	640.002	Travel Supplement	_____
517.001	Personal Liability Ins - Employee	_____	641.001	Motor Vehicle Equip Purchases	_____
518.001	Unemployment Insurance	_____	643.001	Equipment (\$1000 or more)	_____
519.001	Workers Compensation	_____	644.001	Lease Purchase of Equipment	_____
520.001	Assessment by Merit System	_____	645.001	Rental of Equipment	_____
612.001	Motor Vehicle Expense	_____	646.001	Equipment (Less than \$1000)	_____
614.001	Supplies and Materials	_____	648.001	Building Rent	_____
614.006	Food Supplies	_____	651.001	Per Diem & Fees	_____
614.018	Pharmaceuticals	_____	653.001	Contracts	_____
615.001	Repairs and Maintenance	_____	673.001	Telecommunications	_____
617.001	Utilities	_____	681.001	Postage	_____
618.001	Printing	_____			
620.001	Insurance and Bonding	_____			
			TOTAL		_____

FUND SOURCES TO COVER CURRENT EXPENSES					
Fund Source	Description	AMOUNT	Fund Source	Description	AMOUNT
6001	County Participating	_____	6021	Other Local Funds	_____
6002	County Cash Match	_____	6024	Prior Year Program Income	_____
6004	County Non-Participating	_____	6028	Medicaid Pharmacy	_____
6006	Municipal	_____	6030	MRDS Work Activity	_____
6008	Outpatient Medicare Fees	_____	6032	Medicaid Waiver CY Fees	_____
6009	Outpatient Medicaid CY Fees	_____	6039	Outpatient Medicaid PY Fees	_____
6013	DOE Contracts	_____	6042	Insurance Reimbursement	_____
6015	Client Fees	_____	6047	Medicaid Waiver PY Fees	_____
6016	Private Insurance	_____	7014	Direct Federal Funds	_____
6017	Other Fees	_____	8001	GRANT-IN-AID	_____
6018	Contracts	_____	8002	DHR Contracts	_____
6020	Hospital Authority	_____			
			TOTAL		_____

Georgia Department of Human Resources
MONTHLY INCOME AND EXPENSE REPORT for Region _____
Expense Reimbursement Contract

<u>Number</u> _____	<u>Description</u> _____	
DIVISION: <u>030</u>	Mental Health, Developmental Disabilities & Addictive Diseases	REPORT CCYYMM: _____
LOCAL AGENCY: _____	_____	REPORT BASIS (CASH): <u>C</u>
BUDGET PROGRAM: _____	_____	BUDGET REVISION: _____

AGENCY SIGNATURE	
<p>I certify that to the best of my knowledge, the information on Page 1 of this summary is a true and accurate statement of the revenues and expenses for the specified month.</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 45%;"> <p>_____</p> <p style="text-align: center;">Authorized Agency Signature</p> <p>_____</p> <p style="text-align: center;">Title</p> </div> <div style="width: 45%;"> <p>_____</p> <p style="text-align: center;">Date</p> </div> </div>	
DMHDDAD SIGNATURE	
<p>Reviewed By:</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 45%;"> <p>_____</p> <p style="text-align: center;">Authorized DMHDDAD Signature</p> </div> <div style="width: 45%;"> <p>_____</p> <p style="text-align: center;">Date</p> </div> </div>	

GA DHR GRANTS-TO-COUNTIES			
POLICY AND PROCEDURES MANUAL	4/79	1	PART 11 K 1
SECTION 1: POLICY			

SUBJECT: USE OF PROGRAM INCOME
Legal Reference: 1. Code of Federal Regulations: 45 CFR-Part 74
2. Georgia Code Annotated: 99-144

- A. For purposes of this policy, program income shall be defined as income from all sources earned by a grantee from the grant supported program(s). This policy does not apply to interest income, income such as sales of property, royalties, copyright, etc. as defined in 45 CFR 74.43 through 74.47.
- B. The DHR policy on program income is established pursuant to 45 CFR-Part 74, Sub-part F (Grant Related Income). These regulations establish the requirements for the receipt and expenditure of general program income in all Federal grants and contracts administered by DHR either directly or through sub-grants to other agencies. The general provisions as incorporated by DHR in this policy have been expanded to apply to State funds utilized by grantees, sub-grantees, and contractors as well.
- C. General program income shall be retained by the recipient and used in accordance with one or a combination of the alternatives indicated below.
 1. Deduction Alternative: Under this alternative, the income is used for allowable costs of the project or program. If there is cost sharing or matching requirements, costs borne by the income may not count toward satisfying that requirement. Therefore, the maximum percentage of Federal participation is applied to the net amount determined by deducting the income from total allowable costs and third party in-kind contributions. This alternative may always be used and must be used if neither of the following alternatives is specifically allowed under the provisions of the DHR grant award document.
 2. Cost Sharing or Matching Alternative: Under this alternative, the income is used for allowable costs of the project or program but, in this case, the costs borne by the income may count toward satisfying a cost sharing or matching requirement. Therefore the maximum percentage of Federal and State participation is applied to total allowable costs and third party in-kind contributions. This method may be used only when specifically allowed in writing by the DHR grant award document.
 3. Additional Costs Alternative: Under this alternative, the income is used for costs which are in addition to the allowable costs of the project or program but which nevertheless, further the objectives for which the grant was made. Provided that the costs borne by the income further the broad objectives of the grant, they need not be of a type specifically allowable under the provision of Appendix C of 45 CFR-Part 74. This method may be used only when specifically allowed in writing by the DHR grant award document. Example of purposes for which the income may be used are set forth as follows:
 - A. Expanding or extending the project or program beyond the grant period.
 - B. Supporting other projects or programs that further the broad objectives of the statute.
 - C. Obtaining equipment or other assets needed for the project or program, or for their actives that further the statute=s objectives.

GA DHR GRANTS-TO-COUNTIES**POLICY AND PROCEDURES MANUAL****4/79****1****PART 11 K 1**

May 2000

- D. All such funds are subject to the appropriate budgeting, accounting, auditing reporting and other financial requirements of the Department including those found elsewhere in this manual.
- E. Within the scope of these regulations, DHR recommends that all such program income be retained by the grantee and used, immediately if needed, to expand the range or improve the quality of services authorized under the State/local grant agreement. Otherwise, such funds should be deducted from the total costs in which DHR and/or Federal grant funds may participate. However, in some cases where specifically allowed by the DHR grant award document, program income can be counted towards satisfying a cost sharing or matching requirement.

SECTION II: PROCEDURES

- A. Initial DHR Grant Award Document: Prior to the beginning of each state fiscal year (July 1), the appropriate Division will notify the grantee of the grant amount available for the program(s) for the fiscal year. The grantee and Division must then execute the DHR grant award, including a detailed budget plan for the fiscal year July 1 to June 30. Both an estimate of program income revenue and expenditures must be included in this budget. The grantee must also attach a fee/rate/program income schedule for the program.
 - 1. It is intended that program income will be budgeted and used as it is earned. If, however, a balance of program income funds exists as of June 30 of any fiscal year, it may be carried forward into the next fiscal year for 12 months. The funds may be budgeted at the time the initial annual grant award document is executed for the following fiscal year. Prior year funds must be distinguished from projected current year income and treated as a separate fund source. A detailed plan for assuring utilization of prior year income within that fiscal period must be attached to the DHR grant award document.
- B. Budget revisions: Budget amendments will be processed during the year in accordance with appropriate budget procedures included elsewhere in this manual. Any changes in projected program income and expenditures must be incorporated into the grant award by revision.
- C. Reporting: Monthly Grants-to-Counties reimbursement requests must include both revenues and expenditures by fund source, including program income. These are for reporting purposes only. Detailed transaction records for audit purposes must be maintained by the grantee on each fund source including current and/or prior year program income.

SECTION III: PROPONENCY AND AUTHENTICATION

Proponent Division/Office:
 Proponent Section:
 Contact Name:
 Section Telephone:

Office of Budget Administration
 N/A
 Dotty Roach
 (404) 656-4472
 GIST 221-4472

Attachments: None

Commissioner

May 2000

**AUTHORIZED SIGNATURES, MAILING ADDRESSES AND TELEPHONE NUMBERS
FOR FISCAL MATTERS**

(Contractor)

A. The policy is that all original budgets must bear the signature of the Board Chairperson or Executive Director. The signature of these individuals is:

Board Chairperson or President (Required of private contractors. Optional for public contractors)	Executive Director, Public Entities only (May substitute for Board Chairperson)
--	--

(Type Name)

(Type Name)

(Signature)

(Signature)

B. The policy is that authorization to review and sign budget revisions may be delegated. Delegation is limited to:

<u>Title</u>	<u>Name</u>	<u>Signature</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

C. Following is the name and address of the individual to receive fiscal correspondence and reports (i.e., Budget Documents, UAS Monthly Revenue and Expenditure Reports)

(Name and Title)

(Address)

(Telephone)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. Section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal contract number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individuals(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI)
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (Planned) Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be make.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (03 48-0046), Washington, D.C. 20503.

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

1. Type of Federal Action: <div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <input type="checkbox"/> contract <input type="checkbox"/> grant <input type="checkbox"/> cooperative agreement <input type="checkbox"/> loan <input type="checkbox"/> loan guarantee <input type="checkbox"/> f. loan insurance	2. Statue of Federal Action <div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <input type="checkbox"/> bid/offer/application <input type="checkbox"/> initial award <input type="checkbox"/> post-award	3. Report Type <div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <input type="checkbox"/> initial filing <input type="checkbox"/> material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Report Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier ____, if known: Congressional District, if known:		5. If reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime Congressional District, if known:
6. Federal Department/Agency: 	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known: 	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Entity (If individual, last name, first name, MI)		b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI)
(attach Continuation sheet(s) if necessary)		
11. Amount of Payment (check all that apply): \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	13. Type of Payment (check all that apply): <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other, specify; _____	
12. Form of Payment (check all that apply): <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind: specify: nature _____ value _____		
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment indicated in Item 11: (attach Continuation sheet(s) if necessary)		

15. Continuation Sheet(s) SF-LLL-A attached: <input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Telephone No.: _____ Date: _____</p>
Federal Use Only:	

DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET

Reporting Entity: _____ Page ____ of ____

Georgia Department of Human Resources
SUPPORTING BUDGET SCHEDULE: EQUIPMENT PURCHASES
 for the Fiscal Year July 1, 20__ through June 30, 20__

Division #030			Program #		
Local Agency #	Local Agency Name	Program Name	Budget Revision #		
Description	No Units	Program	Unit Cost	Total Cost	
Total					

I certify that the information on this schedule is a complete and accurate detail of Equipment Purchases.

DHR: ☐ Approval
☐ Approval w/Exception
☐ Disapproval

Board Chairperson or Executive Director

Signature

Date

Form 1240 (2-00)

May 2000

Georgia Department of Human Resources
SUPPORTING BUDGET SCHEDULE: INTRA/INTER AGENCY TRANSACTIONS
 for the Fiscal Year July 1, 20__ through June 30, 20__

Division #030		Program #	
Local Agency #	Local Agency Name	Program Name	Budget Revision #

Program #	Program Name	Transaction Purpose	Annual Amount

NOTE: For each transaction, attach a cost allocation plan indicating the basis of valuation.

DHR: ☐ Approval
☐ Approval w/Exception
☐ Disapproval

I certify that the information on this schedule is a complete and accurate detail of Intra/Inter Agency Transactions.

Board Chairperson or Executive Director

Signature **Date**

Form 1241 (2-00)

May 2000

Georgia Department of Human Resources
SUPPORTING BUDGET SCHEDULE: DEPRECIATION CHARGES
for the Fiscal Year July 1, 20__ through June 30, 20__

Division #030			Program #		
Local Agency #	Local Agency Name	Program Name	Budget Revision #		
Address of Property	Depreciation Base (1)	Useful Life	Depreciation Method (2)	Depreciation Charge (3)	

- 1) Original acquisition cost less land and state/federal participation.
- 2) Straight line, double declining balance, or sum of the years digits.
- 3) Attach a schedule of depreciation charges over the useful life of the property, for each piece of property.

DHR: ☐ Approval
☐ Approval w/Exception
☐ Disapproval

I certify that the information on this schedule is a complete and accurate detail of Depreciation Charges.

Board Chairperson or Executive Director

Signature **Date**

Form 1243 (2-00)

May 2000

Georgia Department of Human Resources
SUPPORTING BUDGET SCHEDULE: NON-PARTICIPATING EXPENSES
 for the Fiscal Year July 1, 20__ through June 30, 20__

Division #030		Program #	
Local Agency #	Local Agency Name	Program Name	Budget Revision #
Expense Category	Description	Position # (if applicable)	Annual Amount

I certify that the information on this schedule is a complete and accurate detail of Non-Participating Expenses.

DHR: ☐ Approval
 ☐ Approval w/Exception
 ☐ Disapproval

Board Chairperson or Executive Director

Signature **Date**

Form 1244 (2-00)

May 2000

Georgia Department of Human Resources
SUPPORTING BUDGET SCHEDULE: REVENUE
for the Fiscal Year July 1, 20__ through June 30, 20__

Division #030			Program #			
Local Agency #	Local Agency Name	Program Name	Budget Revision #			
Revenue Category	Description		Position # (if applicable)	Annual Amount		

I certify that the information on this schedule is accurate.

DHR: ☐ Approval
☐ Approval w/Exception
☐ Disapproval

Board Chairperson or Executive Director

Signature **Date**

Form 1272 (2-00)

May 2000