



BEHAVIORAL HEALTH SERVICES PROVIDER MANUAL

Chapter Two of the Medicaid Services Manual

Issued March 14, 2017

**State of Louisiana
Bureau of Health Services Financing**

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OVERVIEW

Specialized behavioral health services (SBHS) are mental health services and substance use/addiction disorder services, specifically defined in the Medicaid State Plan and/or applicable waivers. These services shall be administered under the authority of the Louisiana Department of Health (LDH) in collaboration with the Healthy Louisiana plans, as well as through the Coordinated System of Care (CSoC) program contractor, for members enrolled in CSOC. Specialized behavioral health services are distinguished from basic behavioral health (BH) services offered by the Healthy Louisiana plans and the CSOC contractor. Basic BH services are mental health and substance use services which are provided to enrollees with emotional, psychological, substance use, psychiatric symptoms and/or disorders that are provided in the member's primary care physician (PCP) office by the member's PCP as part of primary care service activities.

This provider manual chapter outlines SBHS offered under Medicaid managed care, §1915(c) and §1915(b) waiver services offered only through the CSOC program contractor, as well as other specialized behavioral health services offered to CSOC children and Medicaid members enrolled in a Healthy Louisiana plan. Service limitations, utilization, allowed provider types and specialties, and eligibility criteria are covered for services within the chapter.

CHAPTER 2: BEHAVIORAL HEALTH SERVICES**SECTION 2.1: PROVIDER REQUIREMENTS****PAGE(S) 1****PROVIDER REQUIREMENTS**

All providers must meet the provider qualifications at the time service is rendered to be eligible to receive reimbursement directly from Medicaid or from a Medicaid managed care contractor. Providers must also be enrolled in Medicaid in order to be reimbursed when rendering and billing for services to recipients in Medicaid's Fee for Service program (non-Managed Care), or to Medicaid recipients that are dually enrolled in Medicare and are receiving Medicare eligible services. For more information regarding billing for specialized behavioral health services for dual eligible members, refer to LDH Information Bulletin 15-17 posted at <http://ldh.la.gov/index.cfm/page/1198>.

Providers should refer to Chapter 1 – General Information and Administration of the *Medicaid Services Manual* for additional information on provider enrollment and requirements, including general standards for participation. (See Appendix A for information on accessing Chapter 1.)

Healthy Louisiana managed care organizations (MCOs) and the Coordinated System of Care (CSoC) contractor are responsible for ensuring providers with whom they contract to provide specialized behavioral health services (SBHS), meet the minimum qualification requirements in accordance with the below provisions, all applicable state and federal laws, rules and regulations, and Centers for Medicare and Medicaid Services' (CMS) approved waivers and Medicaid State Plan amendments.

Licensure and Specific Provider Requirements

Providers must meet licensure and/or certification requirements, as well as other additional requirements as outlined in the sections below:

Section	Subject	Topic
2.2	Residential Services	Therapeutic Group Homes
2.2	Residential Services	Psychiatric Residential Treatment Facilities
2.3	Outpatient Services	Behavioral Health Services in a Federally Qualified Health Center or Rural Health Clinic
2.3	Outpatient Services	Outpatient Therapy by Licensed Practitioners
2.3	Outpatient Services	Rehabilitation Services for Children, Adolescents, and Adults
2.4	Addiction Services	same
2.5	Coordinated System of Care	Same

RESIDENTIAL SERVICES

Therapeutic Group Homes

Therapeutic group homes (TGHs) provide a community-based residential service in a home-like setting of no greater than ten beds, under the supervision and program oversight of a psychiatrist or psychologist. TGHs are located in residential communities in order to facilitate community integration through public education, recreation and maintenance of family connections.

TGHs deliver an array of clinical and related services within the home, including psychiatric supports, integration with community resources and skill-building taught within the context of the home-like setting. The treatment should be targeted to support the restoration of adaptive and functional behaviors that will enable the child or adolescent to return to and remain successfully in his/her home and community, and to regularly attend and participate in work, school or training, at the child's best possible functional level. TGH treatment must target reducing the severity of the behavioral health issue that was identified as the reason for admission. Most often, targeted behaviors will relate directly to the child's or adolescent's ability to function successfully in the home and school environment (e.g., compliance with reasonable behavioral expectations, safe behavior and appropriate responses to social cues and conflicts, ability to communicate and problem-solve within family relationships), with a focus on skills that will generalize to the youth's next living situation (ideally, a permanent family home).

Treatment must:

- Focus on reducing the behavior and symptoms of the psychiatric disorder that necessitated the removal of the child or adolescent from his/her usual living situation;
- Decrease problem behavior and increase developmentally appropriate, normative and pro-social behavior in children and adolescents who are in need of out-of-home placement. As much as possible, this work should be done with the engagement of, and in the context of the family with whom the youth will live next, such that the skills learned to increase pro-social behavior are practiced within family relationships and so can be expected to generalize to the youth's next living situation; and

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- Transition the child or adolescent from TGH to home- or community-based living, with outpatient treatment (e.g., individual and family therapy).

Integration with community resources is an overarching goal of the TGH level of care, which is in part achieved through rules governing the location of the TGH facility, the physical space of the TGH facility, and the location of schooling for resident youth. The intention of the TGH level of care is to provide a 24-hour intensive treatment option for youth who need it, and to provide it in a location with more opportunities for community integration than can be found in other more restrictive residential placements (e.g., inpatient hospital psychiatric residential treatment facility (PRTF)). To enhance community integration, TGH facilities must be located within a neighborhood in a community, must resemble a family home as much as possible, and resident youth must attend community schools integrated in the community (as opposed to being educated at a school located on the campus of an institution). This array of services, including psychiatric supports, therapeutic services (individual counseling, family therapy, and group therapy), and skill-building, prepares the youth to return back to their community.

The State Medicaid agency or its designee must have determined that less intensive levels of treatment are unsafe, unsuccessful or unavailable. The child must require active treatment that would not be able to be provided at a less restrictive level of care being provided on a 24-hour basis with direct supervision/oversight by professional behavioral health staff. The setting must be geographically situated to allow ongoing participation of the child's family. In this setting, the child or adolescent remains involved in community-based activities and may attend a community educational, vocational program or other treatment setting.

TGHs provide a 24 hours/day, seven days/week, structured and supportive living environment. Care coordination is provided to plan and arrange access to a range of educational and therapeutic services. Psychotropic medications should be used with specific target symptoms identification, with medical monitoring and 24-hour medical availability when appropriate and relevant. Screening and assessment is required upon admission. The psychologist or psychiatrist must see the member at least once, prescribe the type of care provided, and, if the services are not time-limited by the prescription, review the need for continued care every 28 days. Although the psychologist or psychiatrist does not have to be on the premises when his/her member is receiving covered services, the supervising practitioner must assume professional responsibility for the services provided and assure that the services are medically appropriate.

The individualized, strengths-based services and supports are:

- Identified in partnership with the child or adolescent and the family and support system, to the extent possible, and if developmentally appropriate;

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- Based on both clinical and functional assessments;
- Clinically monitored and coordinated, with 24-hour availability;
- Implemented with oversight from a licensed mental health professional; and
- Assist with the development of skills for daily living, and support success in community settings, including home and school.

Staffing schedules must reflect overlap in shift hours to accommodate information exchange for continuity of youth treatment, adequate numbers of staff reflective of the tone of the home, appropriate staff gender mix and the consistent presence and availability of professional staff on nights and weekends, when parents are available to participate in family therapy and to provide input on the treatment of their child.

The TGH is required to coordinate with the child’s or adolescent’s community resources, including schools with the goal of transitioning the youth out of the program to a less restrictive care setting for continued, sometimes intensive, services as soon as possible and appropriate. Discharge planning begins upon admission, with concrete plans for the child to transition back into the community beginning within the first week of admission with clear action steps and target dates outlined in the treatment plan. The treatment plan must include behaviorally measurable discharge goals.

Components

For treatment planning, the program must use a standardized assessment and treatment planning tool such as the Child and Adolescent Needs and Strengths (CANS) Comprehensive Assessment. The assessment protocol must differentiate across life domains, as well as risk and protective factors, sufficiently so that a treatment plan can be tailored to the areas related to the presenting problems of each youth and their family in order to ensure targeted treatment. The tool should also allow tracking of progress over time. The specific tools and approaches used by each program must be specified in the program description and are subject to approval by the State. In addition, the program must ensure that requirements for pretreatment assessment are met prior to treatment commencing. A TGH must ensure that youth are receiving appropriate therapeutic care to address assessed needs on the child’s treatment plan:

- Therapeutic care may include treatment by TGH staff, as well as community providers;

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- Treatment provided in the TGH or in the community should incorporate research-based approaches appropriate to the child's needs, whenever possible; and
- The psychiatrist or psychologist/medical psychologist must provide 24-hour, on-call coverage seven days a week.

Provider Qualifications

Facilities that operate as TGHs must be licensed by the Louisiana Department of Health (LDH), provide community-based residential services in a home-like setting of no greater than ten beds, and under the supervision and oversight of a psychiatrist or licensed psychologist. A TGH must be accredited by the Commission on Accreditation of Rehabilitation Facilities (CARF), the Council on Accreditation (COA), or The Joint Commission (TJC). Denial, loss of, or any negative change in accreditation status must be reported to their contracted managed care organizations (MCOs) in writing immediately upon notification by the accreditation body. TGH staff must be supervised by a licensed mental health professional (LMHP) with experience in evidence-based treatments and operating within their scope of practice license. LMHP staff also provide individual, family, and group therapy. Staff includes paraprofessional and bachelor's level staff (who provide integration with community resources, skill building and peer support services) and master's level staff (who provide individual, group, and family interventions) with degrees in social work, counseling, psychology or a related human services field, with oversight by a psychologist or psychiatrist. The human service field is defined as an academic program with a curriculum content in which at least 70 percent of the required courses are in the study of behavioral health or human behavior. A TGH must provide the minimum amount of active treatment hours established by the Department, and performed by qualified staff per week for each child, consistent with each child's treatment plan and meeting assessed needs.

Additional Provider Requirements

Facilities that operate as TGHs must:

- Arrange for and maintain documentation that all persons, prior to employment, pass criminal background checks through the Louisiana Department of Public Safety (DPS), State Police. If the results of any criminal background check reveal that the potential employee (or contractor) was convicted of any offenses against a child/youth or an elderly or disabled person, the provider must not hire and/or must terminate the employment (or contract) of such individual. The provider must not hire an individual with a record as a sex offender nor permit these individuals to

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work for the provider as a subcontractor. Criminal background checks must be performed as required by R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq. Criminal background checks performed over 30 days prior to date of employment will not be accepted as meeting this requirement;

- Arrange for and maintain documentation that all persons, prior to employment, are free from tuberculosis (TB) in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in recipients and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement;
- Establish and maintain written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use (See Appendix D in this manual chapter);
- Maintain documentation that all direct care staff, who are required to complete first aid, cardiopulmonary resuscitation (CPR) and seizure assessment training, complete the training within 90 days of hire;
- Maintain documentation of verification of staff meeting educational and professional requirements, licensure (where applicable), as well as completion of required trainings for all staff; and
- Ensure and maintain documentation that all unlicensed persons employed by the organization complete training in a recognized crisis intervention curriculum prior to handling or managing crisis calls, which must be updated annually.

Agency

TGH facilities may specialize and provide care for sexually deviant behaviors, substance use or dually diagnosed individuals. If a program provides care to any of these categories of youth, the program must submit documentation to their contracted MCOs regarding the appropriateness of the research-based, trauma-informed programming and training, as well as compliance with the American Society of Addiction Medicine (ASAM) level of care being provided (if applicable). For service delivery, the program must incorporate at least one research-based approach pertinent to the sub-populations of TGH members to be served by the specific program. The specific research-based models to be used should be incorporated into the program description and

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submitted to the State for approval. All research-based programming in TGH settings must be approved by the State. All programs should also incorporate some form of research-based, trauma-informed programming and training.

Staffing for the facility must be consistent with State licensure regulations. For example, if State licensure requires a ratio of not less than one staff to five members be maintained at all times; then, two staff must be on duty at all times with at least one being direct care staff when there is a member present.

Staffing Qualifications

Individuals who provide TGH services must meet the following requirements:

- Direct care staff must be at least 18 years old and at least three years older than an individual under 18 years of age;
- Must have a high school diploma, general equivalency diploma or trade school diploma in the area of human services, or demonstrate competency or verifiable work experience in providing support to persons with disabilities. The human service field is defined as an academic program with a curriculum content in which at least 70 percent of the required courses are in the study of behavioral health or human behavior;
- Must have a minimum of two years of experience working with children, be equivalently qualified by education in the human services field, or have a combination of work experience and education with one year of education substituting for one year of experience;
- Must not have a finding on the Louisiana State Nurse Aide Registry and the Louisiana Direct Service Worker Registry against him/her;
- All unlicensed staff must be under the supervision and oversight of a psychiatrist or psychologist;
- Pass criminal background check through DPS State Police prior to employment;
- Pass a TB test prior to employment;

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- Pass drug screening tests as required by agency's policies and procedures; and
- Complete American Heart Association (AHA) recognized First Aid, CPR and seizure assessment training. Psychiatrists, advanced practical registered nurses (APRNs)/clinical nurse specialists (CNSs)/physician assistants (PAs), registered nurses (RNs) and licensed practical nurses (LPNs) are exempt from this training. (See Appendix D of this manual chapter.)

Allowed Provider Types and Specialties

- PT AT Therapeutic Group Home PS 5X Therapeutic Group Home

Eligibility Criteria

The medical necessity for these rehabilitative services must be determined by and recommended by an LMHP or physician and under the direction of a licensed practitioner, to promote the maximum reduction of symptoms and/or restoration of an individual to his/her best age-appropriate functional level.

Less intensive levels of treatment must have been determined to be unsafe, unsuccessful or unavailable. The child must require active treatment provided on a 24-hour basis with direct supervision/oversight by professional behavioral health staff that would not be able to be provided at a less restrictive level of care.

Service Utilization

Licensed psychologists and LMHPs bill for their direct services separately under the approved State Plan for 'Other Licensed Practitioners'. Supervision of unlicensed practitioners by licensed practitioners is built into the TGH rate.

TGHs are located in residential communities in order to facilitate community integration through public education, recreation and maintenance of family connections. The facility is expected to provide recreational activities for all enrolled children but not use Medicaid funding for payment of such non-Medicaid activities.

Service Exclusions

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The following services/components must be excluded from Medicaid reimbursement:

- Components that are not provided to, or directed exclusively toward the treatment of, the Medicaid eligible individual;
- Services provided at a work site which are job tasks oriented and not directly related to the treatment of the recipient’s needs;
- Any services or components in which the basic nature of which are to supplant housekeeping, homemaking, or basic services for the convenience of an individual receiving substance use treatment services;
- Services rendered in an institution for mental disease (IMD);
- Room and board; and
- Supervision associated with the child’s stay in the TGH.

Allowed Mode(s) of Delivery

- On-site

Additional Service Criteria

The unit of service for reimbursement for the TGH is based on a daily rate for the services provided by unlicensed practitioners only.

TGHs may not be IMDs. Each organization owning TGHs must ensure that in no instance, does the operation of multiple TGH facilities constitute operation of an IMD. All new construction, newly acquired property or facilities or new provider organizations must comply with facility bed limitations not to exceed ten beds. Existing facilities may not add beds if the bed total would exceed ten beds in the facility. Any physical plant alterations of existing facilities must be completed in a manner to comply with the ten bed per facility limit (i.e., renovations of existing facilities exceeding ten beds must include a reduction in the bed capacity to ten beds).

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The average length of stay ranges from 14 days to six months. TGH programs focusing on transition or short-term crisis are typically in the 14 to 30-day range. Discharge may be determined based on the child no longer making adequate improvement in this facility (and another facility being recommended) or the child no longer having medical necessity at this level of care. Continued TGH stay should be based on a clinical expectation that continued treatment in the TGH can reasonably be expected to achieve treatment goals and improve or stabilize the child's or adolescent's behavior, such that this level of care will no longer be needed and the child or adolescent can return to the community. Transition should occur to a more appropriate level of care (either more or less restrictive) if the child or adolescent is not making progress toward treatment goals, and there is no reasonable expectation of progress at this level of care (e.g., child's or adolescent's behavior and/or safety needs require a more restrictive level of care or, alternatively, child's or adolescent's behavior is linked to family functioning and can be better addressed through a family/home-based treatment).

TGH services will be inclusive of, but not limited to, the allowable cost of clinical and related services, psychiatric supports, integration with community resources and the skill-building provided by unlicensed practitioners. LMHPs must bill the MCOs for their services separately. In addition to the Medicaid per diem rate for treatment services, there is also a separate per diem room and board component to the rate that cannot be paid with Medicaid funds. This room and board rate is typically paid by the youth's custodian (in some cases a child-serving state agency) or another designated payment source.

LMHPs bill for their services separately under the approved State Plan for "Other Licensed Practitioners". Therapy (individual, group and family, whenever possible) and ongoing psychiatric assessment and intervention, as needed, (by a psychiatrist) are required of TGH, but provided and billed separately by licensed practitioners for direct time spent.

TGH Cost Reporting Requirements

Cost reports must be submitted annually. The due date for filing annual cost reports is the last day of the fifth month following the facility's fiscal year end. Separate cost reports must be filed for the facilities central/home office when costs of that entity are reported on the facilities cost report. If the facility experiences unavoidable difficulties in preparing the cost report by the prescribed due date, a filing extension may be requested. A filing extension must be submitted to Medicaid prior to the cost report due date. Facilities filing a reasonable extension request will be granted an additional 30 days to file their cost report.

Psychiatric Residential Treatment Facilities

Psychiatric residential treatment facilities (PRTFs) are required to ensure that all medical, psychological, social, behavioral and developmental aspects of the member's situation are assessed and that treatment for those needs are reflected in the plan of care (POC) per 42 CFR 441.155. In addition, the PRTF must ensure that the resident receives all treatment needed for those identified needs. In addition to services provided by and in the facility, when they can be reasonably anticipated on the active treatment plan, the PRTF must ensure that the resident receives all treatment identified on the active treatment plan and any other medically necessary care required for all medical, psychological, social, behavioral and developmental aspects of the recipient's situation. The facility must provide treatment meeting State regulations per LAC 48: I. Chapter 90.

Services must meet active treatment requirements, which mean implementation of a professionally developed and supervised individual POC that is developed and implemented no later than 72 hours after admission and designed to achieve the recipient's discharge from inpatient status at the earliest possible time. "Individual POC" means a written plan developed for each member to improve his condition to the extent that inpatient care is no longer necessary.

Plan of Care (POC)

The POC must:

- Be based on a diagnostic evaluation conducted within the first 24 hours of admission in consultation with the youth and the parents/legal guardian that includes examination of the medical, psychological, social, behavioral and developmental aspects of the recipient's situation and reflects the need for inpatient psychiatric care;
- Be developed by a team of professionals specified under §441.156 in consultation with the child and the parents, legal guardians or others in whose care the youth will be released after discharge;
- State treatment objectives;
- Prescribe an integrated program of therapies, activities and experiences designed to meet the objectives; and

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- Include, at an appropriate time, post-discharge plans and coordination of inpatient services, with partial discharge plans and related community services to ensure continuity of care with the member's family, school and community upon discharge.

The plan must be reviewed as needed or at a minimum of every 30 days by the facility treatment team to:

- Determine that services being provided are or were required on an inpatient basis; and
- Recommend changes in the plan, as indicated by the member's overall adjustment as an inpatient.

The facility treatment team develops and reviews the individual POC. The individual POC must be developed by an interdisciplinary team of physicians and other personnel who are employed by, or provide services to, patients in the facility. Based on education and experience, preferably including competence in child psychiatry, the team must be capable of:

- Assessing the beneficiary's immediate and long-range therapeutic needs, developmental priorities, and personal strengths and liabilities;
- Assessing the potential resources of the beneficiary's family;
- Setting treatment objectives; and
- Prescribing therapeutic modalities to achieve the plan's objectives.

Provider Qualifications

Agencies that operate as psychiatric residential treatment facilities (PRTFs) must:

- Be licensed by the Louisiana Department of Health (LDH) and accredited prior to enrollment by an LDH approved accrediting body: Commission on Accreditation of Rehabilitation Facilities (CARF), Council on Accreditation (COA) or The Joint Commission (TJC). Denial, loss of, or any negative change in accreditation status must be reported to their contracted managed care organizations (MCOs) in writing

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immediately upon notification by the accreditation body. The PRTF must be accredited prior to delivering services;

- PRTFs must submit a program description to the State inclusive of the specific research based models it will utilize for both treatment planning and service delivery. (See **Treatment Model and Service Delivery** section for more information.) PRTFs must have the Office of Behavioral Health (OBH) approval of the PRTF program description and research model(s) prior to enrolling with Medicaid or executing a provider agreement or contract with a Medicaid managed care entity(ies); and
- PRTFs must have OBH approval of the auditing body(ies) providing Evidence-Based Practice (EBP) and/or ASAM fidelity monitoring. PRTFs must submit fidelity monitoring documentation annually demonstrating compliance with at least two EBPs and/or ASAM criteria.

Agency

Facilities that operate as PRTFs must meet the additional organizational requirements:

- Arrange for criminal background checks and maintain documentation for any applicant for employment, contractor, volunteer and other person who will provide services to the residents prior to that person working at the facility. If the results of any criminal background check reveal that the potential employee, volunteer or contractor was convicted of any offenses against a child/youth or an elderly or disabled person, the provider must not hire and/or must terminate the employment (or contract) of such individual. The provider must not hire an individual with a record as a sex offender nor permit these individuals to work for the provider as a subcontractor. Criminal background checks must be performed as required by R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq. Criminal background checks performed over 30 days prior to the date of employment will not be accepted as meeting this requirement;
- The PRTF is also restricted from knowingly employing and/or contracting with a person who has a finding placed on the Louisiana State Nurse Aide Registry or the Louisiana Direct Service Worker Registry;
- Arrange for and maintain documentation that all persons, prior to employment, are free from tuberculosis (TB) in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in recipients and

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staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement;

- Establish and maintain written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use. (See Appendix D of this manual chapter);
- Maintain documentation that all direct care staff, who are required to complete First Aid, cardiopulmonary resuscitation (CPR) and seizure assessment training, complete American Heart Association (AHA) recognized training within 90 days of hire, which must be renewed within a time period recommended by the AHA. (See Appendix D of this manual chapter); and
- Maintain documentation verifying that staff meet educational and professional requirements, licensure (where applicable), as well as completion of required trainings.

PRTFs must comply with federal emergency preparedness regulations associated with 42 CFR §441.184 in order to participate in the Medicare or Medicaid program. Regulations must be implemented by November 15, 2017. They include safeguarding human resources, maintaining business continuity and protecting physical resources. (<https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/index.html>)

Facilities should incorporate the four elements of emergency preparedness into their plans and comply with all components of the federal regulation:

- **Risk assessment and emergency planning** - CMS requires facilities to perform a risk assessment that uses an “all-hazards” approach prior to establishing an emergency plan.
- **Communication plan** - CMS requires facilities to develop and maintain an emergency preparedness communication plan that complies with both federal and state laws. Patient care must be well coordinated within the facility, across healthcare providers, and with state and local public health departments and emergency management agencies and systems to protect patient health and safety in the event of a disaster.
- **Policies and procedures** - CMS requires that facilities develop and implement policies and procedures that comply with federal and state law, and that support the

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successful execution of the emergency plan and risks identified during the risk assessment process.

- **Training and testing** - CMS requires that facilities develop and maintain an emergency preparedness training and testing program that complies with federal and state law, and that is updated at least annually.

Staff

All experience requirements are related to paid experience. Volunteer work, college work/study or internship related to completion of a degree cannot be counted as work experience. If experience is in a part-time position, the staff person must be able to verify the amount of time worked each week. Experience obtained while working in a position for which the individual is not qualified may not be counted as experience.

To provide services in a PRTF, staff must meet the following requirements:

- Pass criminal background check through the DPS, State Police prior to employment;
- Pass a TB test prior to employment;
- Pass drug screening tests as required by agency’s policies and procedures;
- Complete American Heart Association (AHA) recognized First Aid, CPR and seizure assessment training. Psychiatrists, advanced practical registered nurses (APRNs)/clinical nurse specialists (CNSs)/physician assistants (PAs), registered nurses (RNs) and licensed practical nurses (LPNs) are exempt from this training. (See Appendix D of this manual chapter); and
- Complete all required training appropriate to the program model approved by OBH.

Staffing Qualifications

Per federal regulations at 42 CFR 441.156 and state regulations at LAC 48: I. Chapter 90.9083.C, the team must include, as a minimum, either:

- A board-eligible or board-certified psychiatrist;

- A clinical psychologist and a physician licensed to practice medicine or osteopathy; and
- A physician licensed to practice medicine or osteopathy, with specialized training and experience in the diagnosis and treatment of mental diseases, and a psychologist who has a master's degree in clinical psychology or who has been licensed by the State psychological association. Note: Louisiana does not consider individuals with a master's degree in clinical psychology to practice and be considered "psychologists". Facilities wishing to utilize this option under federal and state regulations must ensure that State psychology scope of practice is followed. In this case it would mean that the psychologist must be a licensed or medical psychologist.

The team must also include one of the following:

- A licensed clinical social worker (LCSW);
- A RN with specialized training or one year's experience in treating mentally ill individuals;
- An occupational therapist who is licensed, if required by the State, and who has specialized training or one year of experience in treating mentally ill individuals; and/or
- A psychologist who is licensed by the State psychological association. Louisiana does not consider individuals with a master's degree in clinical psychology to practice and be considered "psychologists". Facilities wishing to utilize this option under federal and state regulations must ensure that State psychology scope of practice is followed. In this case it would mean that the psychologist must be a licensed or medical psychologist.

Note: In all cases, it is preferred that team members also have experience treating children and adolescents.

Treatment Model and Service Delivery

Because the PRTF is not in itself a specific research-based model, it must instead incorporate research-based models developed for a broader array of settings that respond to the specific

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presenting problems of the members served. Each PRTF program should incorporate appropriate research-based programming for both treatment planning and service delivery.

For milieu management, all programs should also incorporate some form of research-based, trauma-informed programming and training, if the primary research-based treatment model used by the program does not have it (e.g., the Louisiana Model for Secure Care - LAMod). Annually, facilities must submit documentation demonstrating compliance with at least two EBP fidelity monitoring or ASAM criteria. OBH must approve the auditing body providing the EBP/ASAM fidelity monitoring. PRTF may specialize and provide care for sex offenders, substance use treatment or individuals with co-occurring disorders. If a program provides care to any of these categories of youth, the program must submit documentation regarding the appropriateness of the research-based, trauma-informed programming and training, as well as compliance with the ASAM level of care being provided.

In addition, programs may propose other models, citing the research base that supports use of that model with the target population (e.g., gender-specific approaches). They may also work with the purveyors of research-based models to develop more tailored approaches, incorporating other models.

The specific research-based models to be used should be incorporated into the program description and submitted to the State for approval by the MCO, subject to OBH review. All research-based programming in PRTF settings must be approved by the State.

Staffing for the facility must be consistent with State licensure regulations on a full-time employee (FTE) basis. For example, if State licensure requires a staff to member ratio of 1:25 and the facility has 16 child residents, then the facility must have at least .64 FTE for the 16 children. If the facility has eight beds, then the facility must have at least .32 FTE for the eight children.

Prior to admission, the MCO team, including a physician with competence in diagnosis and treatment of mental illness, preferably in child psychiatry and has knowledge of the individual's situation, must certify that:

- Ambulatory care resources available in the community do not meet the treatment needs of the recipient;
- Proper treatment of the recipient's psychiatric condition requires services on an inpatient basis under the direction of a physician; and

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- The services can reasonably be expected to improve the recipient's condition or prevent further regression so that the services will no longer be needed.

Children/adolescents receiving services in a PRTF program must have access to education services, including supports to attend public school if possible, or in-house educational components, or vocational components if serving adolescents. Educational/vocational expenses are not Medicaid expenses. In addition, supports to attend public school outside of the PRTF are not considered activities provided by and in the PRTF and on the active treatment plan, and may not be reimbursed by Medicaid. However, supports to attend in-house education/vocational components may be reimbursed by the PRTF utilizing Medicaid funding to the extent that it is therapy to support education in a PRTF (e.g., occupational therapy (OT), physical therapy (PT), speech therapy (ST), etc.). Medicaid funding for the education itself is not permitted. Medicaid will pay for the therapies associated with the education provided in-house while the child is in a PRTF.

Allowed Provider Types and Specialties

- PT 96 Psychiatric Residential Treatment Facility, PS 9B Psychiatric Residential Treatment Facility
- PT 96 Psychiatric Residential Treatment Facility, PS 8U Substance Use or Addiction
- PT 96 Psychiatric Residential Treatment Facility, PS 8R Other Specialization

Eligibility Criteria

Children under 21 years of age, pre-certified by an independent team employed by the MCO, where:

- Ambulatory care resources available in the community do not meet the treatment needs of the member;
- Proper treatment of the member's psychiatric condition requires services on an inpatient basis under the direction of a physician; and
- The services can be reasonably expected to improve the member's condition or prevent further regression, so that the services will no longer be needed.

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The independent MCO team pre-certifying the PRTF stay must:

- Include a physician;
- Have competence in diagnosis and treatment of mental illness, preferably in child psychiatry; and
- Have knowledge of the individual's situation.

Limitations/Exclusions

The facility must comply with seclusion and restraint requirements found at LAC 48:I.Chapter 90 and 42 CFR 483 subpart G.

Reasonable activities include PRTF treatment provided by and in the facility when it was found, during the initial evaluation or subsequent reviews, to be treatment necessary to address a medical, psychological, social, behavioral or developmental aspect of the child's care per 42 CFR 441.155. The PRTF reasonable activities are child-specific and must be necessary for the health and maintenance of health of the child while he or she is a resident of the facility. The medically necessary care must constitute a need that contributes to the inpatient treatment of the child and is dependent upon the expected length of stay of the particular child in that facility (e.g., dental hygiene may be necessary for a child expected to reside in the facility for 12 months but not 30 days).

Allowed Mode(s) of Delivery

- On-site.

Additional Service Criteria

Services for Medicaid-eligible residents not provided by and in the facility and reflected on the active treatment plan are not reimbursable by Medicaid.

Reimbursement

Reimbursement for PRTF is based on the following criteria:

- Each PRTF provider must enter into a contract with one or more managed care organization in order to receive reimbursement for Medicaid services;

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- LDH or its fiscal intermediary must make monthly capitation payments to the MCOs, and the MCOs will determine the rates paid to its contracted providers. Payment must be no less than the minimum Medicaid rate; and
- Covered inpatient PRTF activities for individuals under twenty-one years of age must be reimbursed by Medicaid.

Free-standing PRTFs

The rate for free-standing PRTFs must include reimbursement for the following services when included on the active treatment plan:

- Occupational therapy/physical therapy/speech therapy;
- Laboratory; and
- Transportation.

A free-standing PRTF must arrange through contract(s) with outside providers to furnish dental, vision, and diagnostic/radiology treatment activities as listed on the active treatment plan. The treating provider will be directly reimbursed by the MCO.

In-State PRTF Reimbursement Rates

In-State publicly or privately owned and operated PRTFs must be reimbursed for covered PRTF services according to the following provisions. The rate paid by the MCO to the provider must take into consideration the following ownership and service criteria:

- Free-standing privately owned and operated PRTF specializing in sexually-based treatment programs;
- Free-standing privately owned and operated PRTF specializing in substance use treatment programs;
- Free-standing privately owned and operated PRTF specialized in behavioral health treatment programs;

Out-of-State PRTF Reimbursement Rates

Out of state psychiatric residential treatment facilities must be reimbursed in accordance with the MCO contractor’s established rate.

Cost Reports (PRTF)

All in-state Medicaid-participating PRTF providers are required to:

- File an annual Medicaid cost report in accordance with Medicare/Medicaid allowable and non-allowable costs;
- Submit cost reports on or before the last day of the fifth month after the end of the provider’s fiscal year end;
- Separate cost reports must be submitted by central/home offices when costs of the central/home office are reported in the PRTF provider’s cost report; and
- Submit a filing extension to LDH prior to the cost report due date if the PRTF provider experiences unavoidable difficulties in preparing the cost report by the prescribed due date.

NOTE: Facility filing a reasonable extension request will be granted an additional 30 days to file their cost reports.

Level 3.7 Medically Monitored High Intensity Inpatient Treatment – Adolescent

This is a PRTF level of care for co-occurring disorder (COD) treatment that provides 24 hours of structured activities per week including, but not limited to:

- Psychiatric and substance use assessments;
- Diagnosis treatment; and
- Habilitative and rehabilitation services.

These services are provided to individuals with co-occurring psychiatric and substance disorders (ICOPSD), whose disorders are of sufficient severity to require an inpatient level of care.

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All facilities are licensed by LDH and must be accredited prior to enrollment by an LDH approved national accrediting body: CARF, COA or TJC. Denial, loss of, or any negative change in accreditation status must be reported to their contracted MCOs in writing immediately upon notification by the accreditation body.

It also provides a planned regiment of 24-hour professionally directed evaluation, observation and medical monitoring of addiction and mental health treatment in an inpatient setting. They feature permanent facilities, including residential beds, and function under a defined set of policies, procedures and clinical protocols. Appropriate for members whose subacute biomedical and emotional, behavior or cognitive problems are so severe that they require co-occurring capable or enhanced inpatient treatment, but who do not need the full resources of an acute care general hospital. In addition to meeting integrated service criteria, COD treatment providers must have experience and preferably licensure and/or certification in both addictive disorders and mental health. Children/adolescents receiving services in a PRTF program must have access to education services, including supports to attend public school if possible, or in-house educational components or vocational components if serving adolescents. Educational/vocational expenses are not Medicaid expenses. In addition, supports to attend public school outside of the PRTF are not considered activities provided by and in the PRTF and on the active treatment plan, and may not be reimbursed by Medicaid. However, supports to attend in-house education/vocational components may be reimbursed by the PRTF utilizing Medicaid funding to the extent that it is therapy to support education in a PRTF (e.g., OT, PT, ST. etc.). Medicaid funding for the education itself is not permitted. Medicaid will pay for the therapies associated with the education provided in-house while the child is in a PRTF.

Admission Guidelines (PRTFs)

Individuals in this level of care may have co-occurring addiction and mental health disorders that meet the eligibility criteria for placement in a co-occurring-capable program or difficulties with mood, behavior or cognition related to a substance use or mental disorder, or emotional behavioral or cognitive symptoms that are troublesome, but do not meet the DSM criteria for mental disorder. Admission guidelines for PRTF services are:

- Acute intoxication and/or withdrawal potential – None or minimal/stable withdrawal risk;
- Biomedical conditions and complications – Moderate to severe conditions (which require 24-hour nursing and medical monitoring or active treatment but not the full resource of an acute care hospital);

- Emotional, behavioral or cognitive conditions and complications – Moderate to severe conditions and complications. These symptoms may not be severe enough to meet diagnostic criteria but interfere or distract from recovery efforts (for example, anxiety/hypomanic or depression and/or cognitive symptoms, which may include compulsive behaviors, suicidal or homicidal ideation, with a recent history of attempts but no specific plan, or hallucinations and delusions without acute risk to self or others) are interfering with abstinence, recovery and stability to such a degree that the individual needs a structured 24-hour, medically monitored (but not medically managed) environment to address recovery efforts;
- Readiness to change – Member is in need of intensive motivating strategies, activities and processes available only in a 24-hour structured medically monitored setting (but not medically managed);
- Relapse, continued use or continued problem potential – Member is experiencing an escalation of relapse behaviors and/or acute psychiatric crisis and/or reemergence of acute symptoms and is in need of 24-hour monitoring and structured support; and
- Recovery environment – Environment or current living arrangement is characterized by a high risk of initiation or repetition of physical, sexual or emotional abuse or substance use so endemic that the patient is assessed as unable to achieve or maintain recovery at a less intensive level or care.

Screening/Assessment/Treatment Plan Review (PRTF)

A triage screening must be completed to determine eligibility and appropriateness (proper patient placement) for admission and referral. (The MCO ensures that pre-certification requirements are met.)

A comprehensive bio-psychosocial assessment must be completed within seven days, which substantiates appropriate patient placement. The assessment must be reviewed and signed by a qualified professional. The following sections must be completed prior to seven days of admission:

- Medical;
- Psychological;

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- Alcohol; and
- Drug.

An individualized, interdisciplinary treatment plan, must be completed which includes problem formulation and articulation of short-term, measurable treatment goals and activities designed to achieve those goals. This plan should be developed in collaboration with the member and meet the following criteria:

- The treatment plan is reviewed/updated in collaboration with the member, as needed, or at a minimum of every 30 days;
- Discharge/transfer planning must begin at admission; and
- Referral arrangements made prior to discharge.

Provider Qualifications

Agency

To provide PTRF level of care services, agencies must meet the following requirements:

- Licensed as a PRTF by LDH per LAC 48: I. Chapter 90;
- Physician directed and meet the requirements of 42 CFR 441.151, including requirements referenced therein to 42 CFR 483 subpart G;
- Arrange for criminal background checks and maintain documentation for any applicant for employment, contractor, volunteer and other person who will provide services to the residents prior to that person working at the facility. If the results of any criminal background check reveal that the potential employee, volunteer or contractor was convicted of any offenses against a child/youth or an elderly or disabled person, the provider must not hire and/or must terminate the employment (or contract) of such individual. The provider must not hire an individual with a record as a sex offender nor permit these individuals to work for the provider as a subcontractor. Criminal background checks must be performed as required by R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq. Criminal background

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checks performed over 30 days prior to the date of employment will not be accepted as meeting this requirement;

- The PRTF is restricted from knowingly employing and/or contracting with a person who has a finding placed on the Louisiana State Nurse Aide Registry or the Louisiana Direct Service Worker Registry;
- Arrange for and maintain documentation that all persons, prior to employment, are free from Tuberculosis (TB) in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in recipients and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement;
- Establish and maintain written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use (See Appendix D);
- Maintain documentation that all direct care staff, who are required to complete First Aid, cardiopulmonary resuscitation (CPR) and seizure assessment training, complete American Heart Association (AHA) recognized training within 90 days of hire, which must be renewed within a time period recommended by the AHA. (See Appendix D.); and
- Maintain documentation of verification of staff meeting educational and professional requirements, licensure (where applicable), as well as completion of required trainings for all staff.

As required by CMS Emergency Preparedness Final Rule effective November 16, 2016, PRTFs must comply with Emergency Preparedness regulations associated with 42 CFR §441.184 in order to participate in the Medicare or Medicaid program (Link to CMS Emergency Preparedness Regulation Guidance and Resources: <https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/index.html>). Regulations must be implemented by November 15, 2017. They include safeguarding human resources, maintaining business continuity and protecting physical resources.

Facilities should incorporate the following four core elements of emergency preparedness into their plans and comply with all components of the Rule:

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- **Risk assessment and emergency planning** – CMS requires facilities to perform a risk assessment that uses an “all-hazards” approach prior to establishing an emergency plan.
- **Communication plan** – CMS requires facilities to develop and maintain an emergency preparedness communication plan that complies with both federal and state laws. Patient care must be well coordinated within the facility, across healthcare providers, and with state and local public health departments and emergency management agencies and systems to protect patient health and safety in the event of a disaster.
- **Policies and procedures** – CMS requires that facilities develop and implement policies and procedures that comply with federal and state law, and that support the successful execution of the emergency plan and risks identified during the risk assessment process.
- **Training and testing** – CMS requires that facilities develop and maintain an emergency preparedness training and testing program that complies with federal and state law, and that is updated at least annually.

Staff

All experience requirements are related to paid experience. Volunteer work, college work/study or internship related to completion of a degree cannot be counted as work experience. If experience is in a part-time position, the staff person must be able to verify the amount of time worked each week. Experience obtained while working in a position for which the individual is not qualified may not be counted as experience. Staff who provide services in a PRTF setting must:

- Pass criminal background check through the Louisiana Department of Public Safety, State Police prior to employment;
- Pass a TB test prior to employment;
- Pass drug screening tests as required by agency’s policies and procedures;

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- Complete American Heart Association (AHA) recognized First Aid, CPR and seizure assessment training. Psychiatrists, APRNs/CNSs/PAs, RNs and LPNs are exempt from this training (See Appendix D); and
- Complete all required training appropriate to the program model approved by OBH.

Staffing Requirements (PRTF)

The facility must have qualified professional medical, nursing and other support staff necessary to provide services appropriate to the bio-psychosocial needs of individuals being admitted to the program.

The provider must ensure that:

- There is a MD, medical director – MD(s) on site as needed for management of psychiatric/medical needs. 24 hour on-call availability;
- There is a psychologist available as needed;
- There is Nursing staff present – One FTE Supervisor (APRN/NP/RN), 24 hour on-call availability;
- There is one FTE RN/LPN available on duty on site at all times;
- There is a licensed or certified clinician or counselor with direct supervision by an LMHP, or unlicensed professional (UP) under supervision of a clinical supervisor; Caseloads not to exceed eight members;
- The clinical supervisor is available for clinical supervision when needed and by telephone for consultation;
- An LMHP is available on site 40 hours per week;
- The facility shall maintain:
 - A minimum ratio of one staff person for four residents (1:4) between the hours of 6 a.m. and 10 p.m. The staff for purposes of this ratio shall consist of direct care staff (i.e. licensed practical nurse (LPN), MHS, MHP, LMHP, etc.).

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- a minimum ratio of one staff person for six residents (1:6) between 10 p.m. and 6 a.m. Staff shall always be awake while on duty. The staff for purposes of this ratio shall consist of direct care staff (i.e. LPN, MHS, MHP, LMHP, etc.).
Louisiana Register Vol. 43, No. 02 February 20, 2017 330.
- There is clerical support staff available – 1 to 2 FTE per day shift;
- There is an activity/occupational therapist – one FTE;
- There is a care coordinator – one FTE per day shift, and/or duties may be assumed by clinical staff;
- An outreach worker/peer mentor is recommended;
- Physicians, who are available 24 hours a day by telephone. (A PA may perform duties within the scope of his/her practice as designated by physician). An APRN may perform duties within the scope of his/her practice;
- Licensed, certified or registered clinicians provide a planned regimen of 24-hour, professionally directed evaluation, care and treatment services for individuals and their families; and
- An interdisciplinary team of appropriately trained clinicians, such as physicians, nurses, counselors, social workers and psychologists is available to assess and treat the individual and to obtain and interpret information regarding the patient’s needs. The number and disciplines of team members are appropriate to the range and severity of the individual’s problems.

Allowed Provider Types and Specialties

- PT 96 Psychiatric Residential Treatment Facility, PS 8U Substance Use or Addiction.

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Behavioral Health Services in a Federally Qualified Health Center or Rural Health Center**Provider Qualifications**

Federally qualified health centers (FQHCs) must be certified by the federal government. Rural health centers (RHCs) must be licensed by the LDH Health Standards Section (HSS) pursuant to R.S. 40:2197.

Licensed mental health professionals (LMHPs) and staff of FQHCs offering behavioral health services in an FQHC are required to meet qualifications specified for other licensed practitioners and direct care staff in this Manual.

FQHCs/RHCs, and practitioners, should routinely review and follow the governing authorities (i.e. Administrative Rules, Medicaid State Plan and appropriate Provider Manual Chapters) and other Department issued guides and specifications for FQHCs/RHCs to determine which approved practitioners may provide behavioral health services.

The FQHC Provider Manual and RHC Provider Manual can be accessed through this link:
http://www.lamedicaid.com/provweb1/Providermanuals/Intro_Page.aspx.

FQHCs/RHCs must comply with federal emergency preparedness regulations associated with 42 CFR §491.12 in order to participate in the Medicaid [or Medicare] program. Regulations must be implemented by November 15, 2017. They include safeguarding human resources, maintaining business continuity and protecting physical resources.

Facilities should incorporate the following core elements of emergency preparedness into their plans and comply with all components of the federal regulations:

- **Risk Assessment and Emergency Planning** – The U.S. Department of Health and Human Services, Centers for Medicare and Medicaid Services (CMS) requires facilities to perform a risk assessment that uses an “all-hazards” approach prior to establishing an emergency plan.
- **Communication Plan** – CMS requires facilities to develop and maintain an emergency preparedness communication plan that complies with both federal and state laws. Patient care must be well coordinated within the facility, across healthcare providers, and with state and local public health departments and emergency management agencies and systems to protect patient health and safety in the event of a disaster.

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- **Policies and Procedures** – CMS requires that facilities develop and implement policies and procedures that comply with federal and state law, and that support the successful execution of the emergency plan and risks identified during the risk assessment process.
- **Training and Testing** – CMS requires that facilities develop and maintain an emergency preparedness training and testing program that complies with federal and state law, and that is updated at least annually.

The CMS Emergency Preparedness Regulation Guidance and Resources can be accessed through this link:

<https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/index.html>

Allowed Provider Types and Specialties

- PT 72 FQHC, PS 42, PSS 8E
- PT 79 RHC, PS 94, PSS 8E
- PT 87 RHC, PS 94, PSS 8E

Eligibility Criteria

All Medicaid-eligible adults and children who meet medical necessity criteria.

Allowed Mode(s) of Delivery

- Individual;
- Family;
- Group;
- On-site;
- Off-site; and
- Tele-video.

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Outpatient Therapy by Licensed Practitioners

Licensed Practitioner Outpatient Therapy includes:

- Individual outpatient psychotherapy;
- Family outpatient psychotherapy;
- Group outpatient psychotherapy;
- Mental health assessment;
- Evaluation;
- Testing;
- Medication management;
- Psychiatric evaluation;
- Medication administration; and
- Individual therapy with medical evaluation and management and case consultation.

Provider Qualifications

A licensed mental health professional (LMHP) is an individual who is licensed in the State of Louisiana to diagnose and treat mental illness or substance use, acting within the scope of all applicable State laws and their professional license. An LMHP includes the following individuals who are licensed to practice independently:

- Medical psychologists ;
- Licensed psychologists;
- Licensed clinical social workers (LCSWs);
- Licensed professional counselors (LPCs);
- Licensed marriage and family therapists (LMFTs);

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- Licensed addiction counselors (LACs); and
- Advanced practice registered nurses (APRNs).

LPCs may render or offer prevention, assessment, diagnosis, and treatment, which includes psychotherapy of mental, emotional, behavioral, and addiction disorders to individuals, groups, organizations, or the general public by a licensed professional counselor, that is consistent with his/her professional training as prescribed by R.S. 37:1101 et seq. However, LPCs may not assess, diagnose, or provide treatment to any individual suffering from a serious mental illness (SMI), when medication may be indicated, except when an LPC, in accordance with industry best practices, consults, and collaborates with a practitioner who holds a license or permit with the Louisiana State Board of Medical Examiners or a Louisiana licensed APRN, who is certified as a psychiatric nurse practitioner. (Reference: Louisiana Mental Health Counselor Licensing Act; Section 1103).

LMFTs may render professional marriage and family therapy and psychotherapy services limited to prevention, assessment, diagnosis, and treatment of mental, emotional, behavioral, relational, and addiction disorders to individuals, couples and families, singly or in groups that is consistent with his/her professional training as prescribed by R.S. 37:1101 et seq. However, LMFTs may not assess, diagnose, or provide treatment to any individual suffering from a serious mental illness (SMI), when medication may be indicated, except when an LMFT, in accordance with industry best practices, consults, and collaborates with a practitioner who holds a license or permit with the Louisiana State Board of Medical Examiners or a Louisiana licensed APRN, who is certified as a psychiatric nurse practitioner. (Reference: Louisiana Mental Health Counselor Licensing Act; Section 1103.) All treatment is restricted to marriage and family therapy issues.

LACs, who provide addiction services, must demonstrate competency, as defined by LDH, State law, Addictive Disorders Practice Act and regulations. LACs are not permitted to diagnose under their scope of practice under State law. LACs providing addiction and/or behavioral health services must adhere to their scope of practice license.

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APRNs must be nurse practitioner specialists in adult psychiatric and mental health, and family psychiatric and mental health, or certified nurse specialists in psychosocial, gerontological psychiatric mental health, adult psychiatric and mental health and child-adolescent mental health and may practice to the extent that services are within the APRN's scope of practice.

Physician, psychiatrist or PA working under protocol of a psychiatrist. Registered nurse working within the scope of practice.

Agency or Group Practice

To provide outpatient therapy, agencies must meet the following requirements:

- Licensed per R.S. 40:2151 et seq.
- Arrange and maintain documentation that all persons, prior to employment, pass criminal background checks through the Louisiana Department of Public Safety, State Police. If the results of any criminal background check reveal that the potential employee (or contractor) was convicted of any offenses against a child/youth or an elderly or disabled person, the provider shall not hire and/or shall terminate the employment (or contract) of such individual. The provider shall not hire an individual with a record as a sex offender nor permit these individuals to work for the provider as a subcontractor. Criminal background checks must be performed as required by R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq. Criminal background checks performed over 30 days prior to date of employment will not be accepted as meeting this requirement.
- Arrange and maintain documentation that all persons, prior to employment, are free from Tuberculosis (TB) in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in recipients and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement.
- Establish and maintain written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use. (See Appendix D)
- Maintain documentation that all direct care staff, who are required to complete First Aid, cardiopulmonary resuscitation (CPR) and seizure assessment training, complete American Heart Association (AHA) recognized training within ninety (90) days of hire, which shall be renewed within a time period recommended by

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the AHA. Psychiatrists, APRNs/CNSs/PAs, RNs and LPNs are exempt from this training. (See Appendix D)

- Maintains documentation for verification of completion of required trainings for all staff.

NOTE: Psychiatrists are covered under the physician section of the State plan. However, psychiatrists often are employed by agencies that employ other licensed practitioners. For ease of reference, psychiatrist codes often billed under agencies are included in this section of the provider manual. However, psychiatrists may bill any codes under the physician section of the State Plan for which he or she may be qualified. Note that prior authorization or authorization beyond an initial authorization level of benefit is not a required CMS element for psychiatrist services under the Louisiana State Plan; however, the managed care entity may choose to require prior authorization for psychiatrist services or may prior authorize psychiatrist services beyond an initial authorization level of benefit at their option.

In general, the following MMIS provider types and specialties may bill these codes according to the scope of practice outlined under State Law. The specific provider types and specialties are permitted to bill each code is noted in the Excel rate sheet.

Allowed Provider Types and Specialties

- PT 77 Mental Health Rehab PS 78 MHR
- PT 74 Mental Health Clinic PS 70 Clinic / Group
- PT AG Behavioral Health Rehabilitation Provider Agency PS 8E CSoc/Behavioral Health
- PT 68 Substance Use and Alcohol Use Center PS 70 Clinic/Group
- PT 38 School Based Health Center PS 70 Clinic/Group
- PT 31 Psychologist PS
 - 6A Psychologist - Clinical
 - 6B Psychologist – Counseling

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Allowed Provider Types and Specialties (cont'd)

- 6C Psychologist - School
- 6D Psychologist - Developmental
- 6E Psychologist - Non-declared
- 6F Psychologist – Other
- 6G Psychologist – Medical

- PT 73 Social Worker (Licensed/Clinical) PS 73 Social Worker

- PT AK Licensed Professional Counselor (LPC) PS 8E LPC

- PT AH Licensed Marriage & Family Therapists (LMFT) PS 8E

- PT AJ Licensed Addiction Counselor PS 8E CSoC/Behavioral Health

- PT 19 Doctor of Osteopathic Medicine PS
 - 26 Psychiatry
 - 27 Psychiatry; Neurology
 - 2W Addiction Specialist

- PT 20 Psychiatrist PS
 - 26 Psychiatry
 - 2W Addiction Specialist

- PT 78 Advanced Practice Registered Nurse PS 26

- PT 93 Clinical Nurse Specialist PS 26

- PT 94 Physician Assistant PS 26

Eligibility Criteria

All Medicaid-eligible children who meet medical necessity criteria. All Medicaid-eligible adults meeting rehabilitation service eligibility criteria.

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Limitations/Exclusions

Providers cannot provide services or supervision under this section if they are a provider who is excluded from participation in federal health care programs under either Section 1128 or Section 1128A of the Social Security Act. In addition, they may not be debarred, suspended or otherwise excluded from participating in procurement activities under the State and federal laws, regulations and policies, including the federal Acquisition Regulation, Executive Order No.12549 and Executive Order No. 12549. In addition, providers who are an affiliate, as defined in the federal Acquisition Regulation, of a person excluded, debarred, suspended or otherwise excluded under State and federal laws, regulations and policies may not participate.

All services must be authorized. Services which exceed the limitation of the initial authorization must be approved for re-authorization prior to service delivery. The managed care organization (MCO) is required to have initial authorization limits for all psychological testing not to exceed six hours annually. All neuropsychological testing must be prior authorized.

Service providers that offer addiction services must demonstrate competency, as defined by LDH, State law (RS 37:3386 et seq.) and regulations. Anyone providing addiction or behavioral health services must be adhering to their scope of practice license.

Individuals who reside in an institution (inpatient hospital setting) are not permitted to receive rehabilitation services. Visits to intermediate care facilities for the intellectually disabled are not covered. All LMHP services provided while a person is a resident of an institute for mental disease (IMD), such as a free-standing psychiatric hospital or psychiatric residential treatment facility, are the content of the institutional service and not otherwise reimbursable by Medicaid.

Evidence-based practices require prior approval and fidelity reviews on an ongoing basis, as determined necessary by LDH.

Allowed Mode(s) of Delivery

- Individual;
- Family;
- Group;
- On-site;
- Off-site; and

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- Tele-video.

Additional Service Criteria

Services provided to children and youth must include communication and coordination with the family and/or legal guardian, as well as the primary care physician (PCP). Coordination with other child-serving systems should occur, as needed, to achieve the treatment goals. All coordination must be documented in the youth's treatment record.

All services below have an initial authorization level of benefit. Services which exceed the limitation of the initial authorization must be approved for re-authorization prior to service delivery:

- Admission evaluation is authorized for five evaluations per calendar year.
- Individual therapy, family therapy, and group therapy are authorized for 24 sessions combined per calendar year per member.
- Psychological testing is preauthorized by the MCO.

Face-to-face for OLP includes a therapist in a different room/location from the member/family, but in the same building, with real-time visual and audio transmission from the therapy room and two-way audio transmission between member and/or family member and therapist. If the therapist is working with a single member/family, then family or individual therapy requirements and reimbursement would apply. If the therapist is working with more than one member/family, group therapy requirements and reimbursement would apply. These services must be provided by licensed staff or qualified MA-level staff. MA-level staff must have appropriate oversight when providing treatment through real-time visual and audio transmission. The practice must be in accord with documented EBPs or promising practices approved by LDH (or the MCO). If not in the same building, telemedicine requirements and reimbursement would apply.

Billing CPT codes with "interactive" in their description are used most frequently with youth who do not have the capacity to verbalize complex concepts. However, for adults who, due to injury or disability, have impairments in the ability to communicate verbally, these codes may also be utilized. A unit of service is defined according to the approved specialized behavioral health procedure codes, unless otherwise specified.

Telehealth

Consultations, office visits, individual psychotherapy and pharmacological management services may be reimbursed when provided via telecommunication technology. The consulting or expert provider must bill the procedure code (CPT codes) using the GT modifier and will be reimbursed

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at the same rate as a face-to-face service. "Healthcare provider" means a person, partnership, limited liability partnership, limited liability company, corporation, facility, or institution licensed or certified by this state to provide health care or professional services as a physician assistant, hospital, nursing home, dentist, registered nurse, advanced practice registered nurse, licensed practical nurse, ... psychologist, medical psychologist, social worker, licensed professional counselor.... "Telehealth" means a mode of delivering healthcare services that utilizes information and communication technologies to enable the diagnosis, consultation, treatment, education, care management, and self-management of patients at a distance from healthcare providers. Telehealth allows services to be accessed when providers are in a distant site and patients are in the originating site. Telehealth facilitates patient self-management and caregiver support for patients and includes synchronous interactions and asynchronous store and forward transfers.

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Rehabilitation Services for Children, Adolescents and Adults

The following provisions apply to all rehabilitation services for children, adolescents and adults, which include the following:

- Community Psychiatric Support and Treatment;
- Psychosocial Rehabilitation;
- Crisis Intervention; and
- Crisis Stabilization (children and adolescents only).

These rehabilitation services are provided as part of a comprehensive specialized psychiatric program available to all Medicaid eligible children, adolescents and adults with significant functional impairments resulting from an identified mental health disorder diagnosis. The medical necessity for these rehabilitative services must be determined by and services recommended by a licensed mental health professional (LMHP) or physician, or under the direction of a licensed practitioner, to promote the maximum reduction of symptoms and restoration to his/her best age-appropriate functional level.

Children and Adolescents

The expected outcome of rehabilitation services is restoration to a child/adolescent's best functional level by restoring the child/adolescent to their best developmental trajectory. This includes consideration of key developmental needs and protective factors such as:

- Restoration of positive family/caregiver relationships;
- Prosocial peer relationships;
- Community connectedness/social belonging; and
- The ability to function in a developmentally appropriate home, school, vocational and community settings.

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Services should provide skills building and supports that build on existing strengths and target goals related to these key developmental needs and protective factors. Children/adolescents who are in need of specialized behavioral health services shall be served within the context of the family and not as an isolated unit.

Adults

The expected outcome for adults is to reduce the disability resulting from mental illness and assist in the recovery and resiliency of the individual. These services are home and community-based and are provided on an as needed basis to assist persons in coping with the symptoms of their illness. In order to meet the criteria for disability, one must exhibit impaired emotional, cognitive or behavioral functioning that is a result of mental illness. This impairment must substantially interfere with role, occupational and social functioning. The intent of rehabilitation services is to minimize the disabling effects on the individual's capacity for independent living and to prevent or limit the periods of inpatient treatment. The principles of recovery are the foundation for rehabilitation services. These services are intended for an individual with a mental health diagnosis only, or a co-occurring diagnosis of mental health and substance use.

Rehabilitation services are expected to achieve the following outcomes:

- Assist individuals in the stabilization of acute symptoms of illness;
- Assist individuals in coping with the chronic symptoms of their illness;
- Minimize the aspects of their illness which makes it difficult for persons to live independently;
- Reduce or prevent psychiatric hospitalizations;
- Identify and develop strengths; and
- Focus on recovery.

National Consensus Statement on Recovery – Recovery is a journey of healing and transformation enabling a person to live a meaningful life in a community of his or her choice while striving to achieve his or her full potential.

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Ten components of recovery are as follows:

- Self-Direction;
- Individualized and Person Centered;
- Empowerment;
- Holistic;
- Non-Linear;
- Strengths-Based;
- Peer Support;
- Respect;
- Responsibility; and
- Hope.

Service Delivery

All mental health services must be medically necessary in accordance with LAC 50:I.1101. The medical necessity for services shall be determined by an LMHP or physician who is acting within the scope of their professional license and applicable state law.

There shall be member involvement throughout the planning and delivery of services. Services shall be:

- Delivered in a culturally and linguistically competent manner;
- Respectful of the individual receiving services;
- Appropriate to individuals of diverse racial, ethnic, religious, sexual and gender identities and other cultural and linguistic groups; and

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- Appropriate for age, development; and education.

Anyone providing mental health services must operate within their scope of practice license.

Evidence-based practices require prior approval and fidelity review on an ongoing basis as determined necessary by the Department.

Services may be provided at a facility, in the community, or in the individual's place of residence as outlined in the plan of care (POC). Services may be furnished in a nursing facility only in accordance with policies and procedures issued by the Department. Services shall not be provided at an institute for mental disease (IMD).

Assessment and Treatment Planning

- Each member shall be assessed and shall have a treatment plan developed based on that assessment.
- Assessments shall be performed by an LMHP, and for children and adolescents shall be completed with the involvement of the primary caregiver.
- Assessments must be performed at least every 365 days or as needed, any time there is a significant change to the member's circumstances.
- Treatment plans shall be based on the assessed needs, and developed by an LMHP or physician in collaboration with direct care staff, the member, family and natural supports, and shall contain goals and interventions targeting areas of risk and need identified in the assessment. All team members, including the member and family, shall sign the treatment plan. The member shall receive a copy of the plan upon completion.
- The treatment plan shall be reviewed at least once every 365 days or when there is a significant change in the individual's circumstances.

Provider Responsibilities

- All services shall be delivered in accordance with federal and state laws and regulations, the provider manual and other notices or directives issued by the Department. The provider shall create and maintain documents to substantiate that

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all requirements are met. (See Section 2.4 of this manual chapter regarding record keeping).

- The provider must ensure no staff is providing unsupervised direct care prior to obtaining the results of the statewide criminal background check and addressing the results of the background check, if applicable.
- Any licensed practitioner providing mental health services must operate within their scope of practice license.
- Non-licensed staff must receive regularly scheduled supervision from a person meeting the qualifications of an LMHP with experience regarding the specialized mental health service. Supervision refers to clinical support, guidance and consultation afforded to unlicensed staff rendering rehabilitation services, and should not be confused with clinical supervision of bachelor's or master's level individuals pursuing licensure.

- **Core Services**

The Behavioral Health Service Provider (BHSP) must offer the following required core services to its clients. The BHSP shall provide these services through qualified staff and practitioners to its clients when needed and desired by its clients:

- Assessment;
- Orientation;
- Treatment;
- Client education;
- Consultation with professionals;
- Counseling services;
- Referral;
- Rehabilitation services;
- Crisis mitigation services; and
- Medication management.

Exception: BHSPs **exclusively** providing the evidence-based practice Functional Family Therapy (FFT/FFTCW), Homebuilders® or Multi-Systemic Therapy (MST) are excluded from the requirement to provide medication management.

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(See Appendices E-2 FFT/FFTCW, E-3 Homebuilders®, and E-4 MST for more information)

- **The BHSP Crisis Mitigation Plan**

Crisis mitigation is defined as a BHSP's assistance to clients during a crisis that provides 24-hour on-call telephone assistance to prevent relapse or harm to self or others, to provide referral to other services, and to provide support during related crises. Referral to 911 or a hospital's emergency department alone does not constitute crisis mitigation services and does not satisfy this BHSP requirement.

The BHSP's crisis mitigation plan shall:

- Identify steps to take when a client suffers from a medical, psychiatric, medication or relapse crisis; and
- Specify names and telephone numbers of staff or contracted entities to assist clients in crisis.

If the BHSP contracts with another entity to provide crisis mitigation services, the BHSP shall have a written contract with the entity provided the crisis mitigation services.

The qualified individual, whether contracted or employed by the BHS provider, shall call the client within 30 minutes of receiving notice of the client's call.

- **Core Staffing**

The BHSP shall abide by the following minimum core staffing requirements. BHSPs shall maintain a personnel file for each employee, contractor, and individual with whom they have an agreement to provide direct care services or to fulfill core and other staffing requirements. Documentation of employment, contracting or agreement must be in writing and executed via written signatures.

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The minimum core staffing requirements are:

- Medical Director/Clinical Director;
- Administrator;
- Clinical Supervisor; and
- Nursing Staff.

Medical Director

A Medical Director who is a physician, or an advanced practice registered nurse, or a medical psychologist, with a current, unrestricted license to practice in the state of Louisiana with a minimum of two years of qualifying experience in treating psychiatric disorders.

Exception: BHSPs **exclusively** providing the evidence-based practice Functional Family Therapy (FFT/FFTCW), Homebuilders® or Multi-Systemic Therapy (MST) are excluded from the requirement of having a Medical Director. Such BHSPs shall have a Clinical Director in accordance with the Clinical Director description below.

The medical director has the following assigned responsibilities:

- Ensures that necessary medical services are provided that meet the needs of the clients;
- Provides oversight for provider policy/procedure, client treatment plans, and staff regarding the medical needs of the clients according to the current standards of medical practice;
- Directs the specific course of medical treatment for all clients;
- Reviews reports of all medically related accidents/incidents occurring on the premises and identifies hazards to the administrator;
- Participates in the development and implementation of policies and procedures for the delivery of services;
- Periodically reviews delivery of services to ensure care meets the current standards of practice; and
- Participates in the development of new programs and modifications.

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In addition, the medical director has the following assigned responsibilities or designates the duties to a qualified practitioner:

- Writes the admission and discharge orders;
- Writes and approves all prescription medication orders;
- Develops, implements and provides education regarding the protocols for administering prescription and non-prescription medications on-site;
- Provides consultative and on-call coverage to ensure the health and safety of clients; and
- Collaborates with the client's primary care physician as needed for continuity of the client's care.

NOTE: The Medical Director may also fulfill the role of the Clinical Director, if the individual is qualified to perform the duties of both roles.

Clinical Director

A Clinical Director who, for those BHSPs, which **exclusively** provide the evidence-based practice Functional Family Therapy (FFT/FFTCW), Homebuilders® or Multi-Systemic Therapy (MST):

- Is a licensed psychiatrist, licensed psychologist, licensed clinical social worker (LCSW), licensed professional counselor (LPC), or licensed marriage and family therapist (LMFT) with a minimum of two years qualifying experience in treating psychiatric disorders and who maintains a current, unrestricted license to practice in the state of Louisiana;
- Has the following assigned responsibilities:
 - Ensures that the necessary services are provided to meet the needs of the clients,
 - Provides oversight for the provider policy/procedure, treatment planning, and staff regarding the clinical needs of the clients according to the current standards of clinical practice,
 - Directs the course of clinical treatment for all clients,
 - Reviews reports of all accidents/incidents occurring on the premises and identifies hazards to the Administrator,

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- Participates in the development and implementation of policies and procedures for the delivery of services,
 - Periodically reviews delivery of services to ensure care meets the current standards of practice, and
 - Participates in the development of new programs and modifications; and
- Has the following responsibilities or designates the duties to a qualified practitioner:
 - Provides consultative and on-call coverage to ensure the health and safety of clients, and
 - Collaborates with the client's primary care physician and psychiatrist as needed for continuity of the client's care.

Administrator

An Administrator who:

- Has either a bachelor's degree from an accredited college or university or one year of qualifying experience that demonstrates knowledge, experience and expertise in business management;
- Is responsible for the on-site day to day operations of the BHSP and supervision of the overall BHSP's operation; and
- Shall not perform any programmatic duties and/or make clinical decisions unless licensed to do so.

Clinical Supervisor

A Clinical Supervisor who:

- Is a fully licensed LMHP that maintains a current and unrestricted license with its respective professional board or licensing authority in the state of Louisiana;
- Shall be on duty and on call as needed;
- Has a minimum of two years qualifying experience as an LMHP in the provision of services provided by the BHSP; and

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- Has the following responsibilities:
 - Provides supervision utilizing evidence-based techniques related to the practice of behavioral health counseling;
 - Serves as resource person for other professionals counseling or providing direct services to clients with behavioral health disorders;
 - Attends and participates in treatment planning activities and discharge planning;
 - Functions as client advocate in treatment decisions;
 - Ensures BHSP adheres to rules and regulations regarding all behavioral health treatment, such as group size, caseload and referrals; and
 - Assists the Medical Director with the development and implementation of policies and procedures.

Nursing Staff

Nursing Staff who:

- Provide nursing care and services under the direction of a registered nurse necessary to meet the needs of clients; and
- Have a valid current nursing license in the state of Louisiana; and
- Meet the medication needs of clients of the BHSP who are unable to self-administer medication, if needed.

NOTE: Nursing services may be provided directly by the BHSP via employed staff, or may be provided or arranged via written contract, agreement, policy, or other document. When not provided directly by the BHSP, the provider shall maintain written documentation of the arrangement.

Eligibility Criteria

The medical necessity for these rehabilitative services must be determined by, and recommended by, an LMHP or physician, or under the direction of a licensed practitioner, to promote the maximum reduction of symptoms and/or restoration of an individual to his/her best age-appropriate functional level.

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Individuals, 21 years of age and older, who meet Medicaid eligibility, shall qualify to receive adult mental health rehabilitation services if medically necessary in accordance with LAC 50:I.1101, if the member presents with mental health symptoms that are consistent with a diagnosable mental disorder, and the services are therapeutically appropriate and most beneficial to the member.

An adult with a diagnosis of a substance use disorder or intellectual/developmental disability without an additional co-occurring qualifying mental health diagnosis shall not meet the criteria for adult mental health rehabilitation services.

Additional Adult Eligibility Criteria for Community Psychiatric Support and Treatment (CPST) and Psychosocial Rehabilitation (PSR)

Members must meet the Substance Abuse and Mental Health Services Administration (SAMHSA) definition of, serious mental illness (SMI). In addition to having a diagnosable mental disorder, the condition must substantially interfere with, or limit, one or more major life activities, such as:

- Basic daily living (for example, eating or dressing);
- Instrumental living (for example, taking prescribed medications or getting around the community); and
- Participating in a family, school, or workplace.

A member must have a rating of three or greater on the functional status domain on the level of care utilization system (LOCUS).

Members receiving CPST and/or PSR must have at least a level of care of three on the LOCUS.

An adult with longstanding deficits who does not experience any acute changes in their status and has previously met the criteria stated above regarding LOCUS scores, but who now meets a level of care of two or lower on the LOCUS, and needs subsequent medically necessary services for stabilization and maintenance at a lower intensity, may continue to receive CPST services and/or PSR, if deemed medically necessary.

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Service Utilization

Services are subject to prior authorization. Services may be provided at a facility, in the community, or in the individual's place of residence as outlined in the treatment plan. Services may be furnished in a nursing facility only in accordance with policies and procedures issued by the department.

Additional Service Criteria

Services provided to children and adolescents must include communication and coordination with the family and/or legal guardian, including any agency legally responsible for the care or custody of the child. Coordination with other child-serving systems should occur, as needed, to achieve the treatment goals. All coordination must be documented in the child's/adolescent's medical record.

Member Choice Form and Process

Members may only receive mental health rehabilitation (MHR) services from one provider at a time with the following exceptions:

- A member is receiving tenancy support through the Permanent Supportive Housing Program; and/or
- The behavioral health medical director for the member's health plan makes the determination that it is medically necessary and clinically appropriate to receive services from more than one MHR provider. The justification must be supported by the member's assessment and treatment plan. This decision must be reviewed at each reauthorization. If a member is receiving services from more than one MHR provider, the providers must have documented coordination of care.

All members must complete and sign a Member Choice Form prior to the start of MHR services and when transferring from one MHR provider to another. The Member Choice Form must be fully completed, signed by all parties, and received by the member's health plan prior to the start of services. The Member Choice Form is required to be part of the member's clinical record and subject to audit upon request. The health plan must monitor this process and ensure no overlapping authorizations, unless it is during a planned transition.

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During a transfer, the initial provider should be given a service end date while the new provider must be given a start date by the member's health plan to ensure providers are reimbursed for services delivered. The health plan may allow a minimal amount of overlap between two providers to prevent a gap in services. In members' best interest during a transfer between two providers, it is expected that providers cooperate during the transition. The initial provider should share documentation and ensure a member has prescription refills if needed.

Providers must notify the member's health plan immediately if it is suspected that a member is receiving MHR services from more than one provider to prevent duplication of service providers.

Limitations/Exclusions

The following services shall be excluded from Medicaid coverage and reimbursement:

- Components that are not provided to, or directed exclusively toward, the treatment of the Medicaid eligible individual.
- Services provided at a work site, which are job tasks oriented and not directly related to the treatment of the member's needs.
- These rehabilitation services shall not duplicate any other Medicaid State Plan service or service otherwise available to the member at no cost.
- Any services or components in which the basic nature of which are to supplant housekeeping, homemaking, or basic services for the convenience of an individual receiving services.

Community Psychiatric Support & Treatment

Community Psychiatric Support and Treatment (CPST) is a comprehensive service, which focuses on reducing the disability resulting from mental illness, restoring functional skills of daily living, building natural supports, and solution-oriented interventions intended to achieve identified goals or objectives as set forth in the individualized treatment plan. CPST is a face-to-face intervention with the individual present; however, family or other collaterals may also be involved. Most contacts occur in community locations where the person lives, works, attends school and/or socializes.

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Components

Development of a treatment plan: includes an agreement with the individual and family members (or other collateral contacts) on the specific strengths and needs, resources, natural supports and individual goals and objectives for that person. The overarching focus is to utilize the personal strengths, resources, and natural supports to reduce functional deficits associated with their mental illness and increase restoration of independent functioning. The agreement should also include developing a crisis management plan.

Individual supportive interventions: includes problem behavior analysis as well as emotional and behavioral management with the individual member with a focus on developing skills and improving daily functional living skills. The primary focus is on implementing social, interpersonal, self-care, and independent living skill goals in order to restore stability, support functional gains, and adapt to community living. This service should not be billed as therapeutic service by licensed or unlicensed staff. Qualified LMHPs should use the appropriate CPT code when billing individual, family or group therapy.

NOTE: CPST services are rehabilitative services associated with assisting individuals with skill-building to restore stability, support functional gains and adapt to community living, and should not be confused, psychotherapy or other clinical treatment, which may only be provided by a licensed professional.

Skills building work: includes the practice and reinforcement of independent living skills, use of community resources and daily self-care routines. The primary focus is to increase the basic skills that promote independent functioning of the member and to restore the fullest possible integration of the individual as an active and productive member of his or her family, community, and/or culture with the least amount of ongoing professional intervention.

Assist the member with effectively responding to or avoiding identified precursors or triggers that would risk their remaining in a natural community location, including assisting the individual and family members or other collaterals with identifying a potential psychiatric or personal crisis, developing a crisis management plan and/or, as appropriate, seeking other supports to restore stability and functioning.

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CPST Provider Qualifications**Agency**

To provide CPST services, agencies must meet the following requirements:

- Licensed – pursuant to La. R.S. 40:2151, et. seq.
- Accredited by the Commission on Accreditation of Rehabilitation Facilities (CARF), the Council on Accreditation (COA), or The Joint Commission (TJC). Providers must report any denial, loss of, or any negative change in accreditation status, e.g. suspension, reduction in accreditation status, etc. in writing within 24 hours of receipt of notification to the managed care entities with which the agency contracts or is being reimbursed.

Prior to January 1, 2019, agencies must apply for accreditation and pay accreditation fees prior to being contracted with or reimbursed by a Medicaid managed care entity, and must maintain proof of accreditation application and fee payment. Agencies must attain full accreditation within 18 months of the initial accreditation application date.

Effective January 1, 2019, provider agencies must be fully accredited or obtain a preliminary accreditation prior to contracting with a Medicaid managed care entity or rendering CPST services. Agencies must provide proof of full accreditation or preliminary accreditation to each managed care entity with which it is contracted. Agencies must maintain proof of continuous, uninterrupted full accreditation or preliminary accreditation at all times. Agencies providing CPST services must obtain a full accreditation status within 18 months of the agency's initial accreditation application date and shall provide proof of full accreditation once obtained to each managed care entity with which it is contracted.

NOTE: Preliminary accreditation is defined as an accreditation status granted by an accrediting body to an unaccredited organization meeting certain organizational, administrative and service delivery standards prior to the organization attaining full accreditation status. Note that each national accrediting organization calls the initial, temporary accreditation by a different name, i.e. CARF (preliminary), COA (provisional), TJC (early survey).

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- Prior to May 31, 2018, services must be provided under the supervision of a licensed mental health professional (LMHP) or physician who is acting within the scope of his/her professional license and applicable state law. Effective on or after May 31, 2018, agencies providing CPST services must employ at least one full-time physician or full-time LMHP to specifically serve as a full-time mental health supervisor to assist in the design and evaluation of treatment plans for CPST services. LMHPs serving in the role of mental health supervisor for this section are restricted to medical psychologist, licensed psychologist, licensed clinical social worker (LCSW), licensed professional counselor (LPC), licensed marriage and family therapist (LMFT), or licensed Advanced Practice Registered Nurse (APRN) with a psychiatric specialization. For purposes of this section, the term “full-time” means employment by the provider agency for at least 35 hours per week.

NOTE: The term “supervision” refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor’s or master’s level individuals or provisionally licensed individuals pursuing licensure. Such individuals shall comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

- Arrange for and maintain documentation that all persons, prior to employment, pass criminal background checks through the Louisiana Department of Public Safety, State Police. If the results of any criminal background check reveal that the potential employee (or contractor) was convicted of any offenses against a child/youth or an elderly or disabled person, the provider shall not hire and/or shall terminate the employment (or contract) of such individual. The provider shall not hire an individual with a record as a sex offender nor permit these individuals to work for the provider as a subcontractor. Criminal background checks must be performed as required by R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq. Criminal background checks performed over 90 days prior to date of employment will not be accepted as meeting this requirement.
- Arrange for and maintain documentation that all persons, prior to employment, are free from Tuberculosis (TB) in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in members and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement.

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- Establish and maintain written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use. (See Appendix D).
- Maintain documentation that all direct care staff, who are required to complete First Aid, cardiopulmonary resuscitation (CPR) and seizure assessment training, complete American Heart Association (AHA) recognized training within ninety (90) days of hire, which shall be renewed within a time period recommended by the AHA. (See Appendix D).
- Maintains documentation of verification of completion of required trainings for all staff.
- Ensures and maintains documentation that all unlicensed persons employed by the organization complete training in a recognized crisis intervention curriculum prior to handling or managing crisis calls, which shall be updated annually.
- Effective January 1, 2019, has a National Provider Identification (NPI) number, and must include the agency NPI number and the NPI number of the individual rendering CPST services on its behalf on all claims for Medicaid reimbursement for dates of service on or after January 1, 2019.
- Effective May 31, 2018, must be credentialed and participating (contracted) in the provider network of the managed care entity to which the provider intends to submit claims for Medicaid services and reimbursement unless the managed care entity executes a single case agreement with a licensed and accredited provider agency not in its network.

Staff must operate under an agency license issued by LDH Health Standards. CPST services may not be performed by an individual who is not under the authority of an agency license.

- **Providers that meet the provisions of La. R.S. 40:2154.1**

For a provider that meets the provisions of La. R.S. 40:2154.1, the provider shall have submitted a completed license application by December 1, 2017, and shall have become licensed by LDH Health Standards as a BHSP by April 1, 2018. Providers that submit a completed license application to LDH Health Standards by

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December 1, 2017, may continue to operate/provide services and may continue to participate in the Louisiana Medicaid Program during the pendency of the license application process (assuming that all other Medicaid requirements are met); however, such providers must receive a BHSP license issued by LDH Health Standards by April 1, 2018 in order to continue operation and in order to continue to participate in the Louisiana Medicaid Program and receive Medicaid payments.

- **Providers that meet one of applicability exemptions of La. R.S. 40:2154**

For a provider who meets one of applicability exemptions of the BHSP licensing statute, La. R.S. 40:2154, the provider is required to obtain a BHSP license or other agency license issued by LDH Health Standards by April 1, 2018, in order to continue to participate in the Louisiana Medicaid Program and receive Medicaid payments. Such provider may continue to be reimbursed by Medicaid until April 1, 2018, provided that the provider complies with all other Medicaid requirements. Beginning April 1, 2018, if such provider does not have a BHSP license or other agency license issued by LDH Health Standards, the provider may no longer participate in the Louisiana Medicaid Program or receive Medicaid payments.

Notwithstanding the above paragraph:

- A licensed Home- and Community-Based Service Provider may not perform PSR services unless it also has a BHSP license issued by LDH Health Standards; and
- A school based health clinic/center or community mental health center may not perform PSR services unless it also has a BHSP license issued by LDH Health Standards.
- **Federally Qualified Health Centers**
 - A federally qualified health center (FQHC) that provides CPST services under an agreement with a federal department/agency pursuant to federal law and regulation and pursuant to the provider's approved scope of work for ambulatory services, is **NOT** required to obtain a BHSP license issued by LDH Health Standards; however, in this situation, the FQHC shall only utilize practitioners approved via the Medicaid FQHC Provider Manual, i.e. psychiatrists, licensed clinical psychologists, and licensed clinical social

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workers, and shall bill under its all-inclusive Prospective Payment System (PPS) rate and FQHC Medicaid provider number in accordance with the FQHC Medicaid Rules, policies, and manuals.

- An FQHC that provides CPST services separate from an agreement with a federal department/agency pursuant to federal law and regulation and separate from its approved scope of work for ambulatory services, IS required to obtain a BHSP license issued by LDH Health Standards. In this situation, the entity shall enroll as an appropriate SBHS provider type with a unique National Provider Identifier (NPI), shall have active BHSP licensure issued by LDH Health Standards, and shall bill under its unique BHSP NPI in accordance with the Behavioral Health Medicaid Rules, Policies, and Manuals.

Staff

To provide CPST services, staff must meet the following requirements:

- Prior to January 1, 2019, staff with a master's degree in social work, counseling, psychology or a related human services field may provide all aspects of CPST, including individual supportive behavioral interventions.

NOTE: *Human Services Field* is defined as an academic program with a curriculum content in which at least 70 percent of the required courses are in the study of behavioral health or human behavior.

Other aspects of CPST, except for individual supportive behavioral interventions, may otherwise be performed by an individual with a bachelor's degree in social work, counseling, psychology or a related human services field or four years of equivalent education and/or experience working in the human services field. Can include credentialed peer support specialists as defined by LDH who meet the qualifications above.

Effective on or after January 1, 2019, individuals rendering CPST services must have a minimum of a bachelor's degree from an accredited university or college in the field of counseling, social work, psychology or sociology.

Effective on or after January 1, 2019, individuals with a master's degree from an accredited university or college in the field of counseling, social work, psychology

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or sociology may render all aspects of CPST, including individual supportive behavioral interventions. Any individual who does not possess the minimal master's degree in counseling, social work, psychology or sociology required to provide master's level CPST services, but who met all provider qualifications in effect prior to January 1, 2019, may continue to provide master's level CPST services for the same provider agency. Prior to the individual rendering master's level CPST services for a different provider agency, the individual must comply with the minimum master's degree provisions of this section.

- Services must be provided under regularly scheduled supervision of a licensed mental health professional (LMHP) or physician who is acting within the scope of his/her professional license and applicable state law. Effective on or after May 31, 2018, non-licensed individuals rendering CPST services are required to receive at least one hour per calendar month of personal supervision and training by the provider agency's mental health supervisor.

NOTE: The term "supervision" refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor's or master's level individuals or provisionally licensed individuals pursuing licensure. Such individuals shall comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

- Pass criminal background check through the Louisiana Department of Public Safety, State Police prior to employment.
- Pass a motor vehicle screen (if duties may involve driving or transporting members).
- Pass a TB test prior to employment.
- Pass drug screening tests as required by agency's policies and procedures.
- Complete American Heart Association (AHA) recognized First Aid, CPR and seizure assessment training. Psychiatrists, APRNs/CNSs/PAs, RNs and LPNs are exempt from this training. (See Appendix D).

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- Non-licensed direct care staff are required to complete a basic clinical competency training program approved by OBH prior to providing the service. (See Appendix D).
- Effective for dates of service rendered on or after January 1, 2019, individuals rendering CPST services for the licensed and accredited provider agency must have an NPI number and that NPI number must be included on any claim submitted by that provider agency for reimbursement.

CPST Allowed Provider Types and Specialties

- PT 77 Mental Health Rehab PS 78 MHR.
- PT 74 Mental Health Clinic PS 70 Clinic / Group PSS 8E CSoC/ Behavioral Health.
- PT AG Behavioral Health Rehabilitation Provider Agency PS 8E CSoC/ Behavioral Health.

CPST Allowed Mode(s) of Delivery

- Individual;
- On-site; and
- Off-site.

CPST Additional Service Criteria

- Research-based and evidence-based practices may be billed using a combination of codes for licensed practitioners, PSR and CPST, subject to prior authorization. The EBPs must be consistent with the CPST State Plan definition.
- Face-to-face for CPST includes a therapist in a different room/location from the member/family, but in the same building, with real-time visual and audio transmission from the therapy room and two-way audio transmission between member and/or family member and therapist. Must be provided by licensed or qualified MA-level staff. MA-level staff must have appropriate LMHP oversight when providing treatment through real-time visual and audio transmission. The

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practice must be in accord with documented EBPs or promising practices approved by OBH.

CPST Staff Ratio(s)

Caseload size must be based on the needs of the members/families, with an emphasis on successful outcomes and individual satisfaction and must meet the needs identified in the individual treatment plan.

The following general ratio (full-time equivalent to Medicaid-eligible) should serve as a guide:

- One FTE to 15 youth consumers; and
- One FTE to 25 adult consumers.

Psychosocial Rehabilitation

Psychosocial rehabilitation (PSR) services are designed to assist the individual with compensating for or eliminating functional deficits and interpersonal and/or environmental barriers associated with their mental illness. Activities included must be intended to achieve the identified goals or objectives as set forth in the individual's individualized treatment plan. The intent of PSR is to restore the fullest possible integration of the individual as an active and productive member of his or her family, community and/or culture with the least amount of ongoing professional intervention. PSR is a face-to-face intervention with the individual present. Services may be provided individually or in a group setting. Most contacts occur in community locations where the person lives, works, attends school and/or socializes.

Components

- Restoration, rehabilitation and support to develop social and interpersonal skills to increase community tenure, enhance personal relationships, establish support networks, increase community awareness, develop coping strategies and effective functioning in the individual's social environment, including home, work and school;

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- Restoration, rehabilitation and support to develop daily living skills to improve self-management of the negative effects of psychiatric or emotional symptoms that interfere with a person’s daily living. Supporting the individual with development and implementation of daily living skills and daily routines necessary to remain in home, school, work and community; and

NOTE: PSR services are psycho-educational services associated with assisting individuals with skill-building, restoration and rehabilitation, and should not be confused with counseling, psychotherapy or other clinical treatment, which may only be provided by a licensed professional.

- Implementing learned skills so the member can remain in a natural community location and achieve developmentally appropriate functioning, and assisting the individual with effectively responding to or avoiding identified precursors or triggers that result in functional impairment.

PSR Provider Qualifications

Agency

To provide psychosocial rehabilitation services, agencies must meet the following requirements:

- Licensed pursuant to La. R.S. 40:2151, et. seq.
- Accredited by the Commission on Accreditation of Rehabilitation Facilities (CARF), the Council on Accreditation (COA), or The Joint Commission (TJC). Providers must report any denial, loss of, or any negative change in accreditation status, e.g. suspension, reduction in accreditation status, etc. in writing within 24 hours of receipt of notification of such denial, loss of, or any negative change in accreditation status to the managed care entities with which the agency contracts or is being reimbursed.

Prior to January 1, 2019, agencies must apply for accreditation and pay accreditation fees prior to being contracted with or reimbursed by a Medicaid managed care entity, and must maintain proof of accreditation application and fee payment. Agencies must attain full accreditation within 18 months of the initial accreditation application date.

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Effective January 1, 2019, provider agencies must be fully accredited or obtain a preliminary accreditation prior to contracting with a Medicaid managed care entity or rendering PSR services. Agencies must provide proof of full accreditation or preliminary accreditation to each managed care entity with which it is contracted. Agencies must maintain proof of continuous, uninterrupted full accreditation or preliminary accreditation at all times. Agencies providing PSR services must obtain a full accreditation status within 18 months of the agency's initial accreditation application date and shall provide proof of full accreditation once obtained to each managed care entity with which it is contracted.

NOTE: Preliminary accreditation is defined as an accreditation status granted by an accrediting body to an unaccredited organization meeting certain organizational, administrative and service delivery standards prior to the organization attaining full accreditation status. Note that each national accrediting organization calls the initial, temporary accreditation by a different name, i.e. CARF (preliminary), COA (provisional), TJC (early survey).

- Prior to May 31, 2018, services must be provided under the supervision of a licensed mental health professional (LMHP) or physician who is acting within the scope of his/her professional license and applicable state law. Effective on or after May 31, 2018, agencies providing PSR services must employ at least one full-time physician or full-time LMHP to specifically serve as a full-time mental health supervisor to assist in the design and evaluation of treatment plans for PSR services. LMHPs serving in the role of mental health supervisor for this section are restricted to medical psychologist, licensed psychologist, licensed clinical social worker (LCSW), licensed professional counselor (LPC), licensed marriage and family therapist (LMFT), or licensed Advanced Practice Registered Nurse (APRN) with a psychiatric specialization. For purposes of this section, the term "full-time" means employment by the provider agency for at least 35 hours per week.

NOTE: The term "supervision" refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor's or master's level individuals or provisionally licensed individuals pursuing licensure. Such individuals shall comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

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- Arranges for and maintains documentation that all persons, prior to employment, pass criminal background checks through the Louisiana Department of Public Safety, State Police. If the results of any criminal background check reveal that the potential employee (or contractor) was convicted of any offenses against a child/youth or an elderly or disabled person, the provider shall not hire and/or shall terminate the employment (or contract) of such individual. The provider shall not hire an individual with a record as a sex offender nor permit these individuals to work for the provider as a subcontractor. Criminal background checks must be performed as required by La. R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq. Criminal background checks performed over 90 days prior to date of employment will not be accepted as meeting this requirement.
- Arranges for and maintains documentation that all persons, prior to employment, are free from Tuberculosis (TB) in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in members and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement.
- Establishes and maintains written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use. (See Appendix D).
- Maintains documentation that all direct care staff, who are required to complete First Aid, cardiopulmonary resuscitation (CPR) and seizure assessment training, complete American Heart Association (AHA) recognized training within ninety (90) days of hire, which shall be renewed within a time period recommended by the AHA. (See Appendix D).
- Maintains documentation of verification of completion of required trainings for all staff.
- Ensures and maintains documentation that all unlicensed persons employed by the organization complete training in a recognized crisis intervention curriculum prior to handling or managing crisis calls, which shall be updated annually.
- Effective January 1, 2019, has a National Provider Identification (NPI) number, and must include the agency NPI number and the NPI number of the individual rendering PSR services on its behalf on all claims for Medicaid reimbursement for dates of service on or after January 1, 2019.

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- Effective May 31, 2018, must be credentialed and participating (contracted) in the provider network of the managed care entity to which the provider intends to submit claims for Medicaid services and reimbursement unless the managed care entity executes a single case agreement with a licensed and accredited provider agency not in its network.

Staff must operate under an agency license issued by LDH Health Standards. PSR services may not be performed by an individual who is not under the authority of an agency license.

- **Providers that meet the provisions of La. R.S. 40:2154.1**

For a provider that meets the provisions of La. R.S. 40:2154.1, the provider shall have submitted a completed license application by December 1, 2017, and shall have become licensed by LDH Health Standards as a BHSP by April 1, 2018. Providers that submit a completed license application to LDH Health Standards by December 1, 2017, may continue to operate/provide services and may continue to participate in the Louisiana Medicaid Program during the pendency of the license application process (assuming that all other Medicaid requirements are met); however, such providers must receive a BHSP license issued by LDH Health Standards by April 1, 2018 in order to continue operation and in order to continue to participate in the Louisiana Medicaid Program and receive Medicaid payments.

- **Providers that meet one of the applicability exemptions of La. R.S. 40:2154**

For a provider who meets one of applicability exemptions of the BHSP licensing statute, La. R.S. 40:2154, the provider is required to obtain a BHSP license or other agency license issued by LDH Health Standards by April 1, 2018, in order to continue to participate in the Louisiana Medicaid Program and receive Medicaid payments. Such provider may continue to be reimbursed by Medicaid until April 1, 2018, provided that the provider complies with all other Medicaid requirements. Beginning April 1, 2018, if such provider does not have a BHSP license or other agency license issued by LDH Health Standards, the provider may no longer participate in the Louisiana Medicaid Program or receive Medicaid payments. Notwithstanding the above paragraph:

- A licensed Home- and Community-Based Service Provider may not perform PSR services unless it also has a BHSP license issued by LDH Health Standards; and

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- A school based health clinic/center or community mental health center may not perform PSR services unless it also has a BHSP license issued by LDH Health Standards.

- **Federally Qualified Health Centers**
 - A federally qualified health center (FQHC) that provides psychosocial rehabilitation services under an agreement with a federal department/agency pursuant to federal law and regulation and pursuant to the provider's approved scope of work for ambulatory services, is **NOT** required to obtain a BHSP license issued by LDH Health Standards; however, in this situation, the FQHC shall only utilize practitioners approved via the Medicaid FQHC Provider Manual, i.e. psychiatrists, licensed clinical psychologists, and licensed clinical social workers, and shall bill under its all-inclusive Prospective Payment System (PPS) rate and FQHC Medicaid provider number in accordance with the FQHC Medicaid Rules, policies, and manuals.

 - An FQHC that provides psychosocial rehabilitation services separate from an agreement with a federal department/agency pursuant to federal law and regulation and separate from its approved scope of work for ambulatory services, IS required to obtain a BHSP license issued by LDH Health Standards. In this situation, the entity shall enroll as an appropriate SBHS provider type with a unique National Provider Identifier (NPI), shall have active BHSP licensure issued by LDH Health Standards, and shall bill under its unique BHSP NPI in accordance with the Behavioral Health Medicaid Rules, Policies, and Manuals.

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Staff

To provide psychosocial rehabilitation services, staff must meet the following requirements:

- Prior to January 1, 2019, must be at least 18 years old and have a high school diploma or equivalent. Effective on or after January 1, 2019, must have a minimum of a bachelor's degree from an accredited university or college in the field of counseling, social work, psychology or sociology. Any individual who does not possess the minimal bachelor's degree required to provide PSR services, but who met all provider qualifications in effect prior to January 1, 2019, may continue to provide PSR services for the same provider agency. Prior to the individual rendering PSR services for a different provider agency, the individual must comply with the minimum bachelor's degree provisions of this section. Additionally, the individual must be at least three (3) years older than any individual they serve under the age of 18. This can include credentialed peer support specialists as defined by LDH.
- Pass criminal background check through the Louisiana Department of Public Safety, State Police prior to employment.
- Pass a motor vehicle screen.
- Pass a TB test prior to employment.
- Pass drug screening tests as required by agency's policies and procedures.
- Complete American Heart Association (AHA) recognized First Aid, CPR and seizure assessment training. Psychiatrists, APRNs/CNSs/PAs, RNs and LPNs are exempt from this training. (See Appendix D).
- Non-licensed direct care staff are required to complete a basic clinical competency training program approved by the Office of Behavioral Health (OBH) prior to providing the service. (See Appendix D).
- Staff providing direct services to adult members must complete an approved PSR training, according to a curriculum approved by OBH prior to providing the service. (See Appendix D).

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- Staff providing direct services to youth must have documented training related to the psychosocial rehabilitation model(s) utilized in the program.
- Effective for dates of service rendered on or after January 1, 2019, individuals rendering PSR services for the licensed and accredited provider agency must have an NPI number and that NPI number must be included on any claim submitted by that provider agency for reimbursement.
- Effective on or after May 31, 2018, non-licensed individuals rendering PSR services are required to receive at least one hour per calendar month of personal supervision and training by the provider agency’s mental health supervisor.

PSR Allowed Provider Types and Specialties

- PT 77 Mental Health Rehab PS 78 MHR.
- PT 74 Mental Health Clinic PS 70 Clinic / Group PSS 8E CSoC/ Behavioral Health.
- PT AG Behavioral Health Rehabilitation Provider Agency PS 8E CSoC/ Behavioral Health.

PSR Allowed Mode(s) of Delivery:

- Individual;
- Group;
- On-site; and
- Off-site.

PSR Staff Ratio(s)

- One Full Time Employee (FTE) to 15 consumers is maximum group size for adults.
- One FTE to 8 consumers is maximum group size for youth.

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Crisis Intervention

Crisis intervention (CI) services are provided to a person who is experiencing a psychiatric crisis and are designed to interrupt and/or ameliorate a crisis experience, through a preliminary assessment, immediate crisis resolution and de-escalation and referral and linkage to appropriate community services to avoid more restrictive levels of treatment. The goals of CIs are symptom reduction, stabilization and restoration to a previous level of functioning. All activities must occur within the context of a potential or actual psychiatric crisis. CI is a face-to-face intervention and can occur in a variety of locations, including an emergency room or clinic setting, in addition to other community locations where the person lives, works, attends school and/or socializes.

Components

- A preliminary assessment of risk, mental status and medical stability and the need for further evaluation or other mental health services must be conducted. This includes contact with the member, family members or other collateral sources (e.g., caregiver, school personnel) with pertinent information for the purpose of a preliminary assessment and/or referral to other alternative mental health services at an appropriate level.
- Short-term CIs, including crisis resolution and debriefing with the identified Medicaid-eligible individual.
- Follow up with the individual and, as necessary, with the individuals' caretaker and/or family members.
- Consultation with a physician or with other qualified providers to assist with the individuals' specific crisis.

NOTE: The components above are required unless the member is not available due to incarceration, hospitalization, or other unavoidable reason.

CI Provider Qualifications**Agency**

To provide crisis intervention services, agencies must meet the following requirements:

- Licensed pursuant to La. R.S. 40:2151, et. seq.

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- Accredited by the Commission on Accreditation of Rehabilitation Facilities (CARF), the Council on Accreditation (COA), or The Joint Commission (TJC). Denial, loss of, or any negative change in accreditation status must be reported in writing immediately upon notification to the managed care entities with which the agency contracts or is being reimbursed.

NOTE: Agencies must apply for accreditation and pay accreditation fees prior to being contracted with reimbursed by a Medicaid managed care entity, and must maintain proof of accreditation application and fee payment. Agencies must attain full accreditation within 18 months of the initial accreditation application date.

- Services must be provided under the supervision of a licensed mental health professional (LMHP) or physician who is acting within the scope of his/her professional license and applicable state law. The term “supervision” refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor’s or master’s level individuals or provisionally licensed individuals pursuing licensure. Such individuals shall comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.
- Arranges for and maintains documentation that all persons, prior to employment, pass criminal background checks through the Louisiana Department of Public Safety, State Police. If the results of any criminal background check reveal that the potential employee (or contractor) was convicted of any offenses against a child/youth or an elderly or disabled person, the provider shall not hire and/or shall terminate the employment (or contract) of such individual. The provider shall not hire an individual with a record as a sex offender nor permit these individuals to work for the provider as a subcontractor. Criminal background checks must be performed as required by La. R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq. Criminal background checks performed over 90 days prior to date of employment will not be accepted as meeting this requirement.
- Arranges for and maintains documentation that all persons, prior to employment, are free from Tuberculosis (TB) in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in members and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement.

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- Establishes and maintains written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use. (See Appendix D).
- Maintains documentation that all direct care staff, who are required to complete First Aid, cardiopulmonary resuscitation (CPR) and seizure assessment training, complete American Heart Association (AHA) recognized training within ninety (90) days of hire, which shall be renewed within a time period recommended by the AHA. (See Appendix D).
- Maintains documentation of verification of completion of required trainings for all staff.
- Ensures and maintains documentation that all unlicensed persons employed by the organization complete training in a recognized Crisis Intervention curriculum prior to handling or managing crisis calls, which shall be updated annually.

Staff must operate under an agency license issued by LDH Health Standards. Crisis Intervention services may not be performed by an individual who is not under the authority of an agency license.

- **Providers that meet the provisions of La. R.S. 40:2154.1**

For a provider that meets the provisions of La. R.S. 40:2154.1, the provider shall have submitted a completed license application by December 1, 2017, and shall have become licensed by LDH Health Standards as a BHSP by April 1, 2018. Providers that submit a completed license application to LDH Health Standards by December 1, 2017, may continue to operate/provide services and may continue to participate in the Louisiana Medicaid Program during the pendency of the license application process (assuming that all other Medicaid requirements are met); however, such providers must receive a BHSP license issued by LDH Health Standards by April 1, 2018 in order to continue operation and in order to continue to participate in the Louisiana Medicaid Program and receive Medicaid payments.

- **Providers that meet one of applicability exemptions of La. R.S. 40:2154**

For a provider who meets one of applicability exemptions of the BHSP licensing statute, La. R.S. 40:2154, the provider is required to obtain a BHSP license or other agency license issued by LDH Health Standards by April 1, 2018, in order to continue to participate in the Louisiana Medicaid Program and receive Medicaid

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payments. Such provider may continue to be reimbursed by Medicaid until April 1, 2018, provided that the provider complies with all other Medicaid requirements. Beginning April 1, 2018, if such provider does not have a BHSP license or other agency license issued by LDH Health Standards, the provider may no longer participate in the Louisiana Medicaid Program or receive Medicaid payments.

Notwithstanding the above paragraph:

- A licensed Home- and Community-Based Service Provider may not perform PSR services unless it also has a BHSP license issued by LDH Health Standards; and
- A school based health clinic/center or community mental health center may not perform PSR services unless it also has a BHSP license issued by LDH Health Standards.
- **Federally Qualified Health Centers**
 - A federally qualified health center (FQHC) that provides crisis intervention services under an agreement with a federal department/agency pursuant to federal law and regulation and pursuant to the provider's approved scope of work for ambulatory services, is **NOT** required to obtain a BHSP license issued by LDH Health Standards; however, in this situation, the FQHC shall only utilize practitioners approved via the Medicaid FQHC Provider Manual, i.e. psychiatrists, licensed clinical psychologists, and licensed clinical social workers, and shall bill under its all-inclusive Prospective Payment System (PPS) rate and FQHC Medicaid provider number in accordance with the FQHC Medicaid Rules, policies, and manuals.
 - An FQHC that provides crisis intervention services separate from an agreement with a federal department/agency pursuant to federal law and regulation and separate from its approved scope of work for ambulatory services, IS required to obtain a BHSP license issued by LDH Health Standards. In this situation, the entity shall enroll as an appropriate SBHS provider type with a unique National Provider Identifier (NPI), shall have active BHSP licensure issued by LDH Health Standards, and shall bill under its unique BHSP NPI in accordance with the Behavioral Health Medicaid Rules, Policies, and Manuals.

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Staff

To provide crisis intervention, staff must be at least 20 years old and have an associate's degree in social work, counseling, psychology or a related human services field or two years of equivalent education and/or experience working in the human services field. The Human Service Field is defined as an academic program with a curriculum content in which at least 70 percent of the required courses are in the study of behavioral health or human behavior. Additionally, the staff must be at least three years older than an individual under the age of 18. Can include credentialed peer support specialists as defined by LDH with the above qualifications.

Staff must also meet the following requirements:

- Pass criminal background check through the Louisiana Department of Public Safety, State Police prior to employment.
- Pass a motor vehicle screen.
- Pass a TB test prior to employment.
- Pass drug screening tests as required by agency's policies and procedures.
- Complete American Heart Association (AHA) recognized First Aid, CPR and seizure assessment training. Psychiatrists, APRNs/CNSs/PAs, RNs and LPNs are exempt from this training. (See Appendix D).
- Non-licensed direct care staff are required to complete a basic clinical competency training program approved by OBH prior to providing the service. (See Appendix D).
- Complete a nationally recognized crisis intervention training.
- The assessment of risk, mental status and medical stability must be completed by an LMHP with experience regarding this specialized mental health service, practicing within the scope of their professional license.
- This assessment is billed separately by the LMHP using (CPT) codes.

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CI Allowed Provider Types and Specialties

- PT 77 Mental Health Rehab PS 78 MHR
- PT 74 Mental Health Clinic PS 70 Clinic / Group PSS 8E CSoC/ Behavioral Health
- PT AG Behavioral Health Rehabilitation Provider Agency PS 8E CSoC/ Behavioral Health

CI Eligibility Criteria

The medical necessity for these rehabilitative services must be determined by, and services recommended by an LMHP or physician or under the direction of a licensed practitioner, to promote the maximum reduction of symptoms and/or restoration of an individual to his/her best age-appropriate functional level.

All individuals who self-identify as experiencing a seriously acute psychological/emotional change, which results in a marked increase in personal distress and which exceeds the abilities and the resources of those involved to effectively resolve it, are eligible.

CI Service Utilization

- CI –Emergent is allowed without the requirement of a prior authorization in order to address the emergent issues in a timely manner. Additional units may be approved with prior authorization
- CI – Ongoing is authorized until the current crisis is resolved. The individual's treatment record must reflect resolution of the crisis, which marks the end of the current episode.
- The time spent by the LMHP during face-to-face time with the member is billed separately. This would include the assessment of risk; mental status and medical stability must be completed by the LMHP, choosing the code that best describes the care provided.

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CI Allowed Mode(s) of Delivery

- Individual;
- On-site; and
- Off-site.

CI Additional Service Criteria

- An individual in crisis may be represented by a family member or other collateral contact that has knowledge of the individual’s capabilities and functioning. Individuals in crisis who require this service may be using substances during the crisis, and this will not, in and of itself, disqualify them for eligibility for the service.
- Substance use should be recognized and addressed in an integrated fashion, as it may add to the risk, increasing the need for engagement in care.
- The crisis plan developed by the unlicensed professional, in collaboration with the treatment team and LMHP, must be provided under the supervision of an LMHP with experience regarding this specialized mental health service. The LMHP must be available at all times to provide back up, support and/or consultation from assessment of risk and through all services delivered during a crisis.
- The CI provider must receive regularly scheduled clinical supervision from a person meeting the qualifications of an LMHP with experience regarding this specialized mental health service. The term “supervision” refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor’s or master’s level individuals or provisionally licensed individuals pursuing licensure. Such individuals shall comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

Crisis Stabilization

Crisis stabilization is intended to provide short-term and intensive supportive resources for the youth and his/her family. The intent of this service is to provide an out-of-home crisis stabilization option for the family in order to avoid psychiatric inpatient and institutional treatment of the youth by responding to potential crisis situations. The goal will be to support the youth and family in

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ways that will address current acute and/or chronic mental health needs and coordinate a successful return to the family setting at the earliest possible time. During the time the crisis stabilization is supporting the youth, there is regular contact with the family to prepare for the youth's return and his/her ongoing needs as part of the family. It is expected that the youth, family and crisis stabilization provider are integral members of the youth's individual treatment team.

Transportation is provided between the child/youth's place of residence, other services sites and places in the community. The cost of transportation is included in the rate paid to providers of these services.

Medicaid cannot be billed for the cost of room and board. Other funding sources reimburse for room and board, including the family or legally responsible party (e.g., Office of Juvenile Justice (OJJ) and Department of Children and Family Services (DCFS)).

Components

- A preliminary assessment of risk, mental status and medical stability and the need for further evaluation or other mental health services must be conducted. This includes contact with the member, family members or other collateral sources (e.g., caregiver, school personnel) with pertinent information for the purpose of a preliminary assessment and/or referral to other alternative mental health services at an appropriate level.
- CS includes out of home short-term or extended intervention for the identified Medicaid-eligible individual based on initial and ongoing assessment of needs, including crisis resolution and debriefing.
- CS includes follow up with the individual and with the individuals' caretaker and/or family members.
- CS includes consultation with a physician or with other qualified providers to assist with the individual's specific crisis.

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CS Provider Qualifications

Agency

To provide crisis stabilization services, agencies must:

- Arrange for and maintain documentation that all persons, prior to employment, pass criminal background checks through the Louisiana Department of Public Safety, State Police. If the results of any criminal background check reveal that the potential employee (or contractor) was convicted of any offenses against a child/youth or an elderly or disabled person, the provider shall not hire and/or shall terminate the employment (or contract) of such individual. The provider shall not hire an individual with a record as a sex offender nor permit these individuals to work for the provider as a subcontractor. Criminal background checks must be performed as required by La. R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq. Criminal background checks performed over 90 days prior to date of employment will not be accepted as meeting this requirement.
- Arrange for and maintain documentation that all persons, prior to employment, are free from Tuberculosis (TB) in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in members and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement.
- Establish and maintain written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use. (See Appendix D).
- Maintain documentation that all direct care staff, who are required to complete First Aid, cardiopulmonary resuscitation (CPR) and seizure assessment training, complete American Heart Association (AHA) recognized training within 90 days of hire, which shall be renewed within a time period recommended by the AHA. (See Appendix D).
- Ensure and maintain documentation that all unlicensed persons employed by the organization complete a documented training in a recognized Crisis Intervention curriculum prior to handling or managing crisis calls, which shall be updated annually.

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- Maintain documentation for verification of completion of required trainings for all staff.
- Be an agency licensed by the Louisiana Department of Health (LDH) or the Department of Children and Family Services (DCFS).
- Maintain treatment records that include a copy of the plan of care or treatment plan, the name of the individual, dates of services provided, nature, content and units of rehabilitation services provided, and progress made toward functional improvement and goals in the treatment plan.
- Supervise the direct service workers (DSWs) that provide the care members receive. The requirement is for the supervisor of the DSW to make an onsite visit to the member's home to evaluate the following:
 - The DSW's ability to perform their assigned duties;
 - To determine whether member is receiving the services that are written in the plan of care;
 - To verify that the DSW is actually reporting to the home according to the frequency ordered in the plan of care; and
 - To determine member's satisfaction with the services member is receiving.

Staff

To provide crisis stabilization services, staff must meet the following requirements:

- Must be at least 18 years of age, and at least three years older than an individual under the age of 18 that they provide services.
- Must have a high school diploma, general equivalency diploma or trade school diploma in the area of human services, or demonstrate competency or verifiable work experience in providing support to persons with disabilities.

NOTE: *Human Services Field* is defined as an academic program with a curriculum content in which at least 70 percent of the required courses are in the study of behavioral health or human behavior.

- Pass criminal and professional background checks through the Louisiana Department of Public Safety, State Police prior to employment.

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- Pass a Tuberculosis (TB) test prior to employment.
- Pass drug screening tests as required by agency's policies and procedures.
- Complete American Heart Association (AHA) recognized First Aid, CPR and seizure assessment training. Psychiatrists, APRNs/CNSs/PAs, RNs and LPNs are exempt from this training. (See Appendix D).
- Pass a motor vehicle screen.
- Must have no finding of abuse, neglect, mistreatment or misappropriation of a member's property placed against them as verified by review of the Louisiana Direct Service Worker Registry found at the following website: <http://www.dhh.la.gov/index.cfm/page/2257>
- Possess and provide documentation of a valid social security number.
- Provide documentation of current cardiopulmonary resuscitation (CPR) and first aid certifications.
- Comply with law established by La. R.S. 40:2179 et seq., and meet any additional qualifications established under Rule promulgated by LDH in association with this statute.
- Staff providing CS services must use clinical programming and a training curriculum approved by OBH prior to providing the service.
- Staff must operate within their scope of practice license required for the facility or agency to practice in the State of Louisiana.

CS Allowed Provider Types and Specialties**Center Based Respite Care**

- Licensed as a home and community-based services (HCBS) provider/ Center-Based Respite per R.S. 40:2120.1 et seq. and Louisiana Administrative Code (LAC) 48:I.Chapter 50 found at the following website: <http://www.doa.la.gov/Pages/osr/lac/Code.aspx>

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- Completion of State-approved training according to a curriculum approved by OBH prior to providing the service. (See Appendix D).
 - PT 83 Center Based Respite Care, PS 8E CSoC/Behavioral Health

Crisis Receiving Center

- Licensed per R.S. 40:2180.12 and LAC 48:I. Chapters 53 and 54 found at the following website: <http://www.doa.la.gov/Pages/osr/lac/Code.aspx>
- Completion of State-approved training according to a curriculum approved by OBH prior to providing the service. (See Appendix D).
 - PT AF Crisis Receiving Center, PS 8E CSoC/Behavioral Health.

Child Placing Agency (Therapeutic Foster Care)

- Licensed as a Child Placing Agency by Department of Children and Family Services (R.S. 46:1401-142) found at the following website: http://www.dcf.louisiana.gov/assets/docs/searchable/Licensing/Residential/2016_03_ChildPlacing.pdf
- Completion of State-approved training according to a curriculum approved by OBH prior to providing the service. (See Appendix D).
 - PT AR Therapeutic Foster Care, PS 9F Therapeutic Foster Care.

CS Limitations/Exclusions

The following services shall be excluded from Medicaid coverage and reimbursement:

- Services rendered in an institute for mental disease;
- Crisis stabilization shall not be provided simultaneously with short-term respite care and shall not duplicate any other Medicaid State Plan service or service otherwise available to the member at no cost; and
- The cost of room and board. The minimum daily rate on file is an all-inclusive rate.

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CS Allowed Mode(s) of Delivery

- Individual; and
- On-site.

Addiction Services

Addiction services include an array of individual-centered outpatient, intensive outpatient, residential, and inpatient services consistent with the individual's assessed treatment needs with a rehabilitation and recovery focus designed to promote skills for coping with and managing substance use symptoms and behaviors. These services are designed to help individuals achieve recovery. Services should address major lifestyle, attitudinal and behavioral problems that have the potential to be barriers to the goals of treatment.

The goals of substance use disorders prevention and treatment services for adolescents and adults are to acquire a responsive system of service delivery designed to respond to the needs of individuals by utilizing evidence-based models of care and provide the full continuum of care to meet the treatment needs of individuals within the community. The expected outcomes of receiving treatment are to return people to productive levels of functioning within their family, workplace, and community. The provision of treatment services is based on the belief that treatment is:

- Effective;
- Prevention works; and
- People can and do recover from substance use disorders.

The most effective service delivery system is both member and family-centered, outcome driven and cost effective, allowing individuals and communities to utilize their strengths and resources to effectively respond to substance use disorders. Treatment enables people to counteract the powerful disruptive effects of substance use on the brain, their behavior and to regain control of their life.

Recovery outcomes of substance use disorders include but are not limited to the following:

- Long-term abstinence;
- Improved quality of life;
- Improved family relationships;
- Decreased criminal justice involvement;

- Improved physical health and wellness;
- Increase or sustained employment/education; and
- Stability in housing.

The following American Society of Addiction Medicine (ASAM) levels are covered services by the Louisiana Medicaid Program. The service definition, program requirements, and provider requirements for each level will be detailed throughout the manual chapter.

ASAM Levels Covered

- Level 1: Outpatient;
- Level 2.1: Intensive outpatient treatment;
- Level 2-WM: Ambulatory withdrawal management with extended on-site monitoring;
- Level 3.1: Clinically managed low-intensity residential treatment-adolescent;
- Level 3.1: Clinically managed low-intensity residential treatment-adults;
- Level 3.2-WM: Clinically managed residential social withdrawal management – adolescent;
- Level 3.-2WM: Clinically managed residential social withdrawal management – adults;
- Level 3.3: Clinically managed population specific high intensity residential treatment-adult;
- Level 3.5: Clinically managed medium intensity residential treatment – adolescent;
- Level 3.5: Clinically managed high intensity residential treatment- adult;

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- Level 3.7: Medically monitored high intensity inpatient treatment-adult (residential setting);
- Level 3.7: Medically monitored intensive inpatient treatment – adolescent (PRTF) (Refer to the *Psychiatric Residential Treatment Facilities (PRTF)* Section for definition, qualifications, and requirements);
- Level 3.7-WM: Medically monitored inpatient withdrawal management-adult (residential setting)
- Level 4-WM: Medically managed intensive inpatient withdrawal management (hospital) - (Refer to the sections of this manual chapter on inpatient and outpatient hospitals for definition, qualifications, and requirements).

Provider Qualifications

Agency

To provide ASAM level addiction services, agencies must meet the following requirements:

- Licensed by the Louisiana Department of Health (LDH) per La. R.S. 40:2151 et seq.;
- Residential substance use treatment facilities must be accredited by the Commission on Accreditation of Rehabilitation Facilities (CARF), the Council on Accreditation (COA), or The Joint Commission (TJC). Denial, loss of, or any negative change in accreditation status must be reported in writing immediately upon notification to the managed care entities with which the agency contracts or is being reimbursed.

NOTE: Facilities must apply for accreditation and pay accreditation fees prior to being contracted or reimbursed by a Medicaid managed care entity, and must maintain proof of accreditation application and fee payment. Agencies must attain full accreditation within 18 months of the initial accreditation application date;

- Services must be provided under the supervision of a licensed mental health professional (LMHP) or physician who is acting within the scope of his/her professional license and applicable state law (Refer to Appendices B and D for

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more information on LMHPs). The term supervision refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor's or master's level individuals or provisionally licensed individuals pursuing licensure. Such individuals must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards;

- Arrange for and maintain documentation that prior to employment (or contracting, volunteering, or as required by law) individuals pass criminal background checks, including sexual offender registry checks, in accordance with all of the below:
 - The Behavioral Health Service Provider (BHSP) licensing regulations established by the Louisiana Administrative Code (LAC) 48:I.Chapter 56, which includes those for owners, managers, and administrators; any individual treating children and/or adolescents; and any unlicensed direct care staff;
 - La. R.S. 40:1203.1 et seq. associated with criminal background checks of un-licensed workers providing patient care;
 - La. R.S. 15:587, as applicable; and
 - Any other applicable state or federal law.
- Providers shall not hire individuals failing to meet criminal background check requirements and regulations. Individuals not in compliance with criminal background check requirements and regulations shall not be utilized on an employment, contract nor volunteer basis. Criminal background checks performed over 90 days prior to the date of employment will not be accepted as meeting the criminal background check requirement. Results of criminal background checks are to be maintained in the individual's personnel record;
- Providers must review the Louisiana Nurse Aide Registry and the Louisiana Direct Service Worker Registry prior to hiring any unlicensed direct care staff member, once employed, and at least every six months thereafter, or more often if there is reason to suspect it is needed, to ensure direct care staff members do not have a negative finding on either registry. The provider is prohibited from knowingly employing or contracting with, or retaining the employment of or contract with, any unlicensed direct care staff who has had a finding placed on the Louisiana Nurse Aide Registry or the Louisiana Direct Service Worker Registry. Results are to be maintained in the individual's personnel record;

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- Arrange for and maintain documentation that all persons, prior to employment, are free from Tuberculosis (TB) in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in recipients and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement;
- Establish and maintain written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use. (Refer to Appendix D);
- Maintain documentation that all direct care staff, who are required to complete First Aid, cardiopulmonary resuscitation (CPR) and seizure assessment training, complete American Heart Association (AHA) recognized training within 90 days of hire, which must be renewed within a time period recommended by the AHA. (Refer to Appendices A and D);
- Maintain documentation of verification of staff meeting educational and professional requirements, licensure (where applicable), as well as completion of required trainings for all staff; and
- Ensure and maintain documentation that all unlicensed persons employed by the organization complete training in a recognized crisis intervention (CI) curriculum prior to handling or managing crisis calls, which must be updated annually.

Staff

To provide addiction services, staff must meet the following requirements:

- Licensed and unlicensed professional staff must be at least 18 years of age, with a high school diploma or equivalent according to their areas of competence as determined by degree, required levels of experience as defined by State law and regulations and departmentally approved guidelines and certifications;
- Staff must be at least three years older than any client served under 18 years of age. Licensed individual practitioners with no documentation of having provided addiction services prior to December 1, 2015, are required to demonstrate competency via the Alcohol and Drug Counselor (ADC) exam, the Advanced Alcohol and Drug Counselor (AADC) exam, or the Examination for Master

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Addictions Counselor (EMAC). Any licensed individual practitioner, who has documentation of providing addiction services prior to December 1, 2015, and within their scope of practice is exempt from (ADC, AADC, EMAC) testing requirements. Organizational agencies are required to obtain verification of competency (passing of accepted examinations) or exemption (prior work history/resume, employer letter). Licensed providers practicing independently must submit verification of competency or an exemption request (based on verified required work history) to the Coordinated System of Care (CSoC) contractor and/or managed care organizations (MCOs) with whom they credential and contract;

- Staff can include the Office of Behavioral Health (OBH) credentialed peer support specialists who meet all other qualifications. A peer specialist is a recommended position at all ASAM levels of care. A peer specialist is a person with lived experience with behavioral health challenges, who is in active recovery and is trained to assist others in their own recovery. The peer specialist uses their own unique, life-altering experience in order to guide and support others who are in recovery. This refers to individuals recovering from substance use disorders. Peer specialist work in conjunction with highly trained and educated professionals. They fill a gap by providing support from the perspective of someone who has first-hand experience;
- The provider is prohibited from knowingly employing or contracting with, or retaining the employment of or contract with, a member of the direct care staff who has an alcohol or drug offense, unless the employee or contractor has completed his/her court-ordered sentence, including community service, probation and/or parole and been sober per personal attestation for at least the last two years;
- Satisfactory completion of criminal background checks pursuant to the BHSP licensing regulations (LAC 48:I.Chapter 56), La R.S. 40:1203.1 et seq., La R.S. 15:587 (as applicable), and any applicable state or federal law or regulation;
- Pass a motor vehicle screen (if duties may involve driving or transporting recipients);
- Pass a TB test prior to employment;
- Pass drug screening tests as required by agency's policies and procedures;

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- Non-licensed direct care staff have no record of negative findings on the Louisiana Nurse Aide Registry or the Louisiana Direct Service Worker Registry;
- Complete AHA recognized First Aid, CPR and seizure assessment training. Psychiatrists, advanced practical registered nurses (APRNs)/clinical nurse specialists (CNSs)/physician assistants (PAs), registered nurses (RNs) and licensed practical nurses (LPNs) are exempt from this training. (Refer to Appendix D); and
- Non-licensed direct care staff are required to complete a basic clinical competency training program approved by OBH prior to providing the service. (Refer to Appendix D).

Staffing Requirements

Personnel must consist of professional and other support staff that are adequate to meet the needs of the individuals admitted to the facility.

Medical Director

The provider shall ensure that its **medical director** is a licensed physician, who:

- Is an addictionologist; or
- Meets all of the following:
 - Is board-eligible or board-certified;
 - Has two years of qualifying experience in treating addictive disorders; and
 - Maintains a consulting relationship with an addictionologist.

Clinical Supervisor

State regulations require supervision of unlicensed professionals by a **clinical supervisor** who, with the exception of opioid treatment programs:

- Is an LMHP that maintains a current and unrestricted license with its respective professional board or licensing authority in the state of Louisiana;

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- Shall be on duty and on call as needed;
- Has two years of qualifying clinical experience as an LMHP in the provision of services provided by the provider;
- Shall have the following responsibilities:
 - Provide supervision utilizing evidenced-based techniques related to the practice of behavioral health counseling;
 - Serve as resource person for other professionals counseling persons with behavioral health disorders;
 - Attend and participate in care conferences, treatment planning activities, and discharge planning;
 - Provide oversight and supervision of such activities as recreation, art/music or vocational education;
 - Function as client advocate in treatment decisions;
 - Ensure the provider adheres to rules and regulations regarding all behavioral health treatment, such as group size, caseload, and referrals;
 - Provide only those services that are within the person’s scope of practice; and
 - Assist the clinical director and/or medical director and governing body with the development and implementation of policies and procedures.

Licensed Mental Health Professional (LMHP)

LMHPs must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards. The LMHP providing addiction treatment services shall have documented credentials, experience and/or training in working with clients who have addictive disorders, which shall be maintained in the individual’s personnel record.

Unlicensed professionals (UPs)

UPs of addiction services must be registered with the Addictive Disorders Regulatory Authority (ADRA) and meet regulations and requirements in accordance with La. RS 37:3387 et seq.. Written verification of ADRA registration shall be maintained in the individual's personnel record. Unlicensed staff who fall under a professional scope of behavioral health practice with formal board approved clinical supervision and whose scope includes the provision of addiction services will not need to register with ADRA. Unlicensed addiction providers must meet at least one of the following qualifications:

- Be a master's-prepared behavioral health professional that has not obtained full licensure privileges and is participating in ongoing professional supervision. When working in addiction treatment settings, the master's-prepared UP must be supervised by an LMHP, who meets the requirements of this Section;
- Be a registered addiction counselor;
- Be a certified addiction counselor; or
- Be a counselor-in-training (CIT) that is registered with ADRA and is currently participating in a supervision required by the Addictive Disorders practice act.

House Manager

A residential substance use provider shall have a **house manager**. The house manager shall:

- Be at least 21 years old;
- Have at least two years qualifying experience working for a provider that treats clients with mental illness and/or addictive disorders;
- Supervise the activities of the facility when the professional staff is not on duty;
- Perform clinical duties only if licensed to do so;
- Report allegations of abuse, neglect and misappropriation to the medical director;

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- Identify and respond to and report any crisis situation to the clinical supervisor when it occurs; and
- Coordinate and consult with the clinical staff as needed.

Allowed Provider Types and Specialties

Outpatient Services

- PT 68 Substance Use and Alcohol Use Center PS 70 Clinic/Group
- PT 74 Mental Health Clinic PS 70 Clinic/Group

Residential Services

- PT AZ Substance Use Residential Treatment Facility PS 8U Substance Use or Addiction

Eligibility Criteria

The medical necessity for these addiction services must be determined by and recommended by an LMHP or physician and under the direction of a licensed practitioner, to promote the maximum reduction of symptoms and/or restoration of an individual to his/her best age-appropriate functional level.

Adolescents are defined as children and youth, 0 through 20 years of age. Services may be provided up to the time the individual turns 21 years of age. An adult is defined as anyone 21 years of age and over.

Allowed Mode(s) of Delivery

- Individual;
- Group;
- On-site; and

- Off-site.

Additional Service Criteria

A unit of service is defined according to the Health Care Financing Industry common procedure coding system (HCPCS) approved code set, unless otherwise specified. One session is equal to one visit.

These rehabilitation services are provided as part of a comprehensive specialized psychiatric program available to all Medicaid-eligible individuals with significant functional impairments resulting from an identified addiction diagnosis. Services are subject to prior approval, must be medically necessary and must be recommended by an LMHP or physician who is acting within the scope of his/her professional licensed and applicable State law to promote the maximum reduction of symptoms and/or restoration of an individual to his/her best age-appropriate functional level according to an individualized treatment plan.

Providers must maintain medical records that include a copy of the assessment/evaluation, treatment plan, the name of the individual, dates of services provided, nature, content, and units of rehabilitation services provided and progress made toward functional improvement and goals in the treatment plan (Refer to Section 2.6 – Record Keeping).

Services provided to children and youth must include communication and coordination with the family and/or legal guardian. Coordination with other child-serving systems should occur, as needed, to achieve the treatment goals. All coordination must be documented in the youth's medical record. Components that are not provided to, or directed exclusively toward the treatment of, the Medicaid-eligible individual are not eligible for Medicaid reimbursement.

Services provided at a work site must not be job tasks-oriented and must be directly related to treatment of an individual's substance use needs. Any services or components of services, the basic nature of which are to supplant housekeeping, homemaking or basic services for the convenience of a person receiving covered services (including housekeeping, shopping, child-care and laundry services) are not covered.

All substance use treatment services shall offer the family component. Adolescent substance use programs shall include family involvement, parent education and family therapy.

Room and board is excluded from any rates provided in a residential setting.

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ASAM levels of care may be subject to prior approval and reviews on an ongoing basis to document compliance with the national standards.

Staffing for the facility must be consistent with State licensure regulations on a full-time employee (FTE) basis.

Adolescent facilities with greater than 16 beds must be a PRTF providing an inpatient level of care. Only facilities providing ASAM Level 3.7 will be permitted to become PRTFs.

For adults, independent lab work is not part of the capitated rate. However, routine drug screens that are part of residential, outpatient and inpatient services are covered under the rate paid to the provider.

Alcohol and Drug Assessment and Referrals

Alcohol and drug assessment and referrals provide ongoing assessment and referral services for individuals presenting a current or past use pattern of alcohol or other drug use. The assessment is designed to gather and analyze information regarding a member's biopsychosocial, substance use and treatment history. The purpose of the assessment is to provide sufficient information for problem identification and, if appropriate, substance use-related treatment or referral. A licensed provider shall comply with licensing standards and any further LDH standards outlined below in regard to assessment practices. Once an individual receives an assessment, a staff member shall provide the individual with the identified clinical recommendation. Evaluations shall include the consideration of appropriate psychopharmacotherapy. There shall be evidence that the member was assessed to determine if Medication Assisted Treatment (MAT) was a viable option of care, based on the Substance Use Disorder (SUD) diagnosis.

SUD providers, when clinically appropriate, shall:

- Educate members on the proven effectiveness, benefits and risks of Food and Drug Administration approved MAT options for their SUD;
- Provide on-site MAT or refer to MAT offsite; and
- Document member education, access to MAT and member response in the progress notes.

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Residential SUD providers shall provide MAT onsite or facilitate access to MAT offsite which includes coordinating with the member's health plan for referring to available MAT provider and arranging Medicaid non-emergency medical transportation if other transportation is not available for the patient.

Core Requirements for the Screening, Assessment and Treatment Planning Process (all ASAM Levels):

A triage screening is conducted to determine eligibility and appropriateness (proper member placement) for admission and referral. (The MCO/CSoC contractor ensures that pre-certification requirements are met.)

A comprehensive bio-psychosocial assessment and ASAM 6 Dimensional risk evaluation must be completed prior to admission, which substantiates member placement at the appropriate ASAM level of care. The evaluation must be reviewed and signed by an LMHP. The comprehensive bio-psychosocial evaluation shall contain the following:

- Circumstances leading to admission;
- Past and present behavioral health concerns;
- Past and present psychiatric and addictive disorders treatment;
- Significant medical history and current health status;
- Family and social history;
- Current living situation;
- Relationships with family of origin, nuclear;
- Family and significant others;
- Education and vocational training;
- Employment history and current status;
- Military service history and current status;

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- Legal history and current legal status;
- Emotional state and behavioral functioning, past and present; and
- Strengths, weaknesses, and needs.

A physical examination or appropriate referral within 72 hours if indicated by the physician, nursing assessment or screening process.

A drug screening is conducted when the member’s history is inconclusive or unreliable.

An appropriate assignment to level of care with referral to other appropriate services as indicated shall be made.

For residential facilities, diagnostic laboratory tests or appropriate referral shall be made as required to prevent spread of contagious/communicable disease, or as indicated by physical examination or nursing assessment.

Treatment plans shall be based on the evaluations to include person-centered goal and objectives. The treatment plan shall be developed within 72 hours within residential facilities with active participation of the individual, family and providers and be based on the individual’s condition and the standards of practice for the provision of rehabilitative services. The treatment plan shall identify the medical or remedial services intended to reduce the identified condition, as well as the anticipated outcomes of the individual. The treatment plan shall include a referral to self-help groups such as Alcoholics Anonymous (AA), Al-Anon, and Narcotics Anonymous (NA). The treatment plan must specify the frequency, amount and duration of services. (Refer to 2.6 Record Keeping.) The treatment plan must be signed by the LMHP or physician responsible for developing the plan. The plan will specify a timeline for re-evaluation of the plan that is, at least, an annual redetermination.

The re-evaluation shall involve the individual, family and providers and include a re-evaluation of plan to determine whether services have contributed to meeting the stated goals. A new treatment plan shall be developed if there is no measureable reduction of disability or restoration of functional level. The new plan shall identify different rehabilitation strategy with revised goals and services. If the services are being provided to a youth enrolled in a wrap-around agency (WAA), the substance use provider must either be on the Child Family Team (CFT) or will work closely with the CFT. Substance use service provision will be part of the youth's plan of care (POC) developed by the team.

An interdisciplinary team of appropriately trained clinicians, such as physicians, nurses, counselors, social workers and psychologists, is available to assess and treat the individual and to obtain and interpret information regarding the patient’s needs. The number and disciplines of team members are appropriate to the range and severity of the individual’s problems.

Level 1 Outpatient Treatment

Outpatient level 1 services are professionally directed assessment, diagnosis, treatment, and recovery services provided in an organized non-residential treatment setting. Outpatient services are organized activities which may be delivered in any appropriate community setting that meets State licensure.

These services include, but are not limited to, individual, group, family counseling and psycho-education on recovery and wellness. These programs offer comprehensive, coordinated and defined services that may vary in level of intensity but are fewer than nine contact hours per week for adults and fewer than six hours a week for adolescents.

Admission Guidelines (ASAM Level 1)

Outpatient level 1 services are available to recipients who meet the following criteria. The recipient exhibits:

- **Acute intoxication and/or withdrawal potential** – No signs or symptoms of withdrawal, or individual’s withdrawal can be safely managed in an outpatient setting;
- **Biomedical conditions and complications** – None, or sufficiently stable to permit participation in outpatient treatment;
- **Emotional, behavioral or cognitive conditions and complications** – None or minimal. If present, symptoms are mild, stable and do not interfere with the patient’s ability to participate in treatment;
- **Readiness to change** – Member should be open to recovery but require monitoring and motivating strategies to engage in treatment and to progress through the stages of change but not be in need of a structured milieu program;

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- **Relapse, continued use or continued problem potential** – Member is able to achieve abstinence and related recovery goals, with support and scheduled therapeutic contact to assist with issues that include, but not limited to, ambivalence about preoccupation of alcohol use or other drug use, cravings, peer pressure and lifestyle and attitude changes; and
- **Recovery environment** – Environment is sufficiently supportive that outpatient treatment is feasible, or the individual does not have an adequate, primary or social support system but has demonstrated motivation and willingness to obtain such a support system.

Additional Admission Guidelines (ASAM Level 1)

Additional admission guidelines for level 1 outpatient treatment services are:

- Initial point of entry/reentry - Activities related to assessment, evaluation, diagnosis and assignment of level of care are provided, including transfer between facilities and/or treatment levels, relapse assessment and assignment to level of care;
- Early intervention for those who have been identified as individuals suffering from addictive disorders and referred for education, activities or support services designed to prevent progression of disease;
- Continuing care for those who require a step-down, following a more intensive level of care and require minimal support to avoid relapse; and/or
- Any combination of the above.

Screening, Assessment and Treatment Plan Review (ASAM Level 1)

Refer to *Core Requirements* in the general section.

An individualized, interdisciplinary treatment plan, which includes problem formulation and articulation of short-term, measurable treatment goals and activities designed to achieve those goals shall be developed in collaboration with the member. The treatment plan is then reviewed/updated in collaboration with the member, as needed, as required by that level of care, but at a minimum of every 90 days or more frequently if indicated by the member's needs and

documented accordingly. Discharge/transfer planning must begin at admission and referral arrangements are made, as needed.

Provider Qualifications (ASAM Level 1)

In addition to the agency and staff qualifications noted for addiction service providers, the following is required for ASAM Level 1.

Staffing Requirements (ASAM Level 1)

The provider must ensure that:

- The provider shall have a medical director (physician);
- There are physician services available as needed for the management of psychiatric and medical needs of the members. Physician services may be provided directly by the behavioral health services (BHS) provider or may be provided or arranged via written contract, agreement, policy, or other document. The BHS provider must maintain documentation of such arrangement;
- There is a clinical supervisor available on-site for supervision as needed, and available on call at all times;
- There is at least one LMHP or UP under the supervision of an LMHP on-site when clinical services are being provided;
- Each LMHP or UP caseload does not exceed a ratio of 1:50 active members;
- There are nursing services available as needed to meet the nursing needs of the members. Nursing services may be provided directly by the provider or may be provided or arranged via written contract, agreement, policy, or other document. The provider must maintain documentation of such arrangement.

Additional Staffing and Service Components (ASAM Level 1)

An LMHP must be available (defined as on-site or available by phone) at all times for crisis intervention. An LMHP, who is a qualified clinical supervisor must be available for clinical supervision as needed and by telephone for consultation. The term supervision refers to clinical

support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor’s or master’s level individuals or provisionally licensed individuals pursuing licensure. Such individuals must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

A peer specialist is recommended.

Counseling groups should not exceed 12 individuals. Educational group size is not restricted.

Level 2.1 Intensive Outpatient Treatment

Intensive outpatient treatment is professionally directed assessment, diagnosis, treatment, and recovery services provided in an organized non-residential treatment setting. Intensive outpatient services are organized activities which may be delivered in any appropriate community setting that meets State licensure.

These services include, but are not limited to, individual, group, family counseling and psycho-education on recovery, as well as monitoring of drug use, medication management, medical and psychiatric examinations, crisis intervention coverage and orientation to community-based support groups. Intensive outpatient program services shall include evidence-informed practices, such as cognitive behavioral therapy (CBT), motivational interviewing and multidimensional family therapy. These programs offer comprehensive, coordinated and defined services that may vary in level of intensity but must be a minimum of nine contact hours per week for adults, and a minimum of six hours per week for adolescents at a minimum of three days per week with a maximum of 19 hours per week. This level consists of a scheduled series of face-to-face sessions appropriate to the individual’s POC.

Admission guidelines (ASAM Level 2.1)

ASAM level 2.1 services are available to recipients who meet the following criteria. The recipient exhibits:

- **Acute intoxication and/or withdrawal potential** – No signs or symptoms of withdrawal, or individual’s withdrawal can be safely managed in an intensive outpatient setting;
- **Biomedical conditions and complications** – None, or sufficiently stable to permit participation in outpatient treatment;

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- **Emotional, behavioral or cognitive conditions and complications** – None to moderate. If present, member must be admitted to either a co-occurring disorder capable or co-occurring disorder enhanced program, depending on the member’s level of function, stability and degree of impairment;
- **Readiness to change** – Member requires structured therapy and a programmatic milieu to promote treatment progress and recovery. The member’s perspective inhibits their ability to make behavioral changes without repeated, structured and clinically directed motivational interventions;
- **Relapse, continued use or continued problem potential** – Member is experiencing an intensification of symptoms related to substance use, and their level of functioning is deteriorating despite modification of the treatment plan; and
- **Recovery environment** – Insufficiently supportive environment and member lacks the resources or skills necessary to maintain an adequate level of functioning without services in intensive outpatient treatment.

Additional Admission Guidelines (ASAM Level 2.1)

Additional admission guidelines for level 2.1 intensive outpatient treatment services are:

- Initial point of entry/re-entry – Activities related to assessment, evaluation, diagnosis and assignment of level of care are provided, including transfer between facilities and/or treatment modalities, relapse assessment and assignment to level of care;
- Services may be provided for persons at risk of being admitted to more intensive levels of care, such as residential, inpatient or withdrawal management;
- Continuing care for those who require a step-down following a more intensive level of care and require support to avoid relapse; and/or
- Any combination of the above.

Screening, Assessment and Treatment Plan Review (ASAM Level 2.1)

Refer to *Core Requirements* in the general section.

An individualized, interdisciplinary treatment plan, which includes problem formulation and articulation of short-term, measurable treatment goals and activities designed to achieve those goals shall be developed in collaboration with the member. The treatment plan is reviewed/updated in collaboration with the member, as needed, or at minimum of every 30 days or more frequently if indicated by the member's needs and documented accordingly. Discharge/transfer planning must begin at admission and referral arrangements, made as needed.

Provider Qualifications (ASAM Level 2.1)

In addition to the agency and staff qualifications noted for addiction service providers, the following qualifications are required for ASAM Level 2.1.

Staffing Requirements (ASAM Level 2.1)

The provider must ensure that:

- The provider shall have a medical director (physician);
- A physician is on-site as needed for the management of psychiatric and medical needs and on call 24 hours per day, seven days per week;
- There is a clinical supervisor on-site 10 hours a week and on call 24 hours per day, seven days per week;
- There is at least one LMHP or UP under the supervision of an LMHP on-site when clinical services are being provided;
- Each LMHP/UP caseload does not exceed a ratio of 1:25 active members;
- There are nursing services available as needed to meet the nursing needs of the members; and

- Nursing services may be provided directly by the BHS provider or may be provided or arranged via written contract, agreement, policy, or other document. The BHS provider must maintain documentation of such arrangement.

Additional Staffing and Service Components (ASAM Level 2.1)

An LMHP must be available (defined as on-site or available by phone) at all times for crisis intervention. An LMHP, who is a qualified clinical supervisor must be available for clinical supervision as needed and by telephone for consultation. The term supervision refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor's or master's level individuals or provisionally licensed individuals pursuing licensure. Such individuals must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

A peer specialist is recommended.

Counseling groups should not exceed 12 individuals. Educational group size is not restricted.

Level 2-WM Ambulatory Withdrawal Management with Extended On-Site Monitoring

This level of care is an organized outpatient service, which may be delivered in an office setting, health care or addiction treatment facility by trained clinicians, who provide medically supervised evaluation, withdrawal management and referral services. The care is delivered in an office/health care setting or BH treatment facility.

These services are designed to treat the individual's level of clinical severity to achieve safe and comfortable withdrawal from mood-altering chemicals and to effectively facilitate the individual's entry into ongoing treatment and recovery. Withdrawal management is conducted on an outpatient basis. It is important for medical and nursing personnel to be readily available to evaluate and confirm that withdrawal management in the less supervised setting is relatively safe. Counseling services may be available through the withdrawal management program or may be accessed through affiliation with entities providing outpatient services. Ambulatory withdrawal management is provided in conjunction with ASAM level 2.1 intensive outpatient treatment services.

Admission guidelines (ASAM Level 2-WM)

ASAM level 2-WM services are available to recipients who meet the following criteria. The recipient exhibits:

- **Acute intoxication and/or withdrawal potential** – Experiencing moderate signs or symptoms of withdrawal, or there is evidence based on the history of substance use and previous withdrawal history, that withdrawal is imminent.
- **Biomedical conditions and complications** – None or sufficiently stable to permit participation in ambulatory withdrawal management in an outpatient setting.
- **Emotional, behavioral or cognitive conditions and complications** – None to moderate. If present, complications can be safely addressed through monitoring, medication and treatment.
- **Readiness to change** – The patient has adequate understanding of ambulatory detoxification and expresses commitment to enter such a program. Member requires structured therapy and a programmatic milieu to promote treatment progress and recovery.
- **Relapse, continued use or continued problem potential** – Member is experiencing an intensification of symptoms related to substance use, which indicate a high likelihood of relapse or continue use or continue problems without close monitoring and support several times a week.
- **Recovery environment** – Sufficient supportive environment, however, member lacks the resources or skills necessary to maintain an adequate level of functioning without services in an ambulatory withdrawal management outpatient setting.

Screening, Assessment, and Treatment Plan Review (ASAM Level 2-WM)

See *Core Requirements* in the general section.

An individualized, interdisciplinary treatment plan which includes problem formulation and articulation of short-term, measurable treatment goals and activities designed to achieve those goals shall be developed in collaboration with the member. The treatment plan is reviewed/updated in collaboration with the member, as needed, or at minimum of every 30 days or more frequently if indicated by the member’s needs and documented accordingly. Discharge/transfer planning must begin at admission and referral arrangements made as needed.

Provider Qualifications (ASAM Level 2-WM)

In addition to the agency and staff qualifications noted for addiction service providers, the following qualifications are required for ASAM Level 2-WM.

Staffing Requirements (ASAM Level 2-WM)

The facility must have qualified professional medical, nursing counseling and other support staff necessary to provide services appropriate to the bio-psychosocial needs of individuals being admitted to the program.

The provider must ensure that:

- The provider shall have a medical director (physician);
- A physician is on-site at least 10 hours per week during operational hours and on-call 24 hours per day, seven days per week;
- A physician must be available to assess the individual within 24 hours of admission (or earlier, if medically necessary) and is available to provide on-site monitoring of care and further evaluation on a daily basis;
- There is a clinical supervisor available on-site for supervision as needed and available on call at all times;
- There is an LMHP or UP under the supervision of an LMHP on-site 40 hours per week;
- Each LMHP/UP caseload does not exceed a ratio of 1:25 active members;
- There is a licensed nurse on call 24 hours per day, seven days per week and on-site no less than 40 hours a week;
- A nurse must be responsible for overseeing the monitoring of the individual's progress and medication. Appropriately licensed and credentialed staff is available to administer medications in accordance with physician orders; and
- There is a RN on-site as needed to perform nursing assessments.

Additional Staffing and Service Components (ASAM Level 2-WM)

An LMHP, who is a qualified clinical supervisor must be available for clinical supervision as needed and by telephone for consultation. The term supervision refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor's or master's level individuals or provisionally licensed individuals pursuing licensure. Such individuals must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

A peer specialist is recommended.

Minimum Standards of Practice (ASAM Level 2-WM)

- **Toxicology and drug screening** - Urine drug screens are required upon admission and as directed by the treatment plan and are considered covered under the rate paid to the provider.
- **Stabilization/treatment plan** - A qualified professional must identify the individual's short-term needs, based on the withdrawal management history, the medical history and the physical examination and prepare a plan of action. The treatment plan must be reviewed and signed by the physician and the individual and must be filed in the individual's record within 24 hours of admission with updates, as needed.
- **Progress notes** - The program must implement the stabilization/treatment plan and document the individual's response to and/or participation in scheduled activities. Notes must include:
 - The individual's physical condition, including vital signs;
 - The individual's mood and behavior;
 - Statements about the individual's condition and needs;
 - Information about the individual's progress or lack of progress in relation to stabilization/treatment goals; and
 - Additional notes must be documented, as needed.
- **Physicians' orders** - Physicians' orders are required for medical and psychiatric management.

The clinician will bill the appropriate Current Procedural Terminology (CPT) codes in conjunction with intensive outpatient program (IOP) codes (e.g., billing a minimum of nine hours of IOP).

Level 3.1 Clinically Managed Low Intensity Residential Treatment – Adolescent

Residential programs offer at least five hours per week of a combination of low-intensity clinical and recovery-focused services. Low-intensity residential treatment services for adolescents are directed toward applying recovery skills, preventing relapse, improving emotional functioning, promoting personal responsibility and reintegrating the individual into the worlds of work, education and family life. Services provided may include individual, group and family therapy, medication management and medication education. Mutual/self-help meetings usually are available on-site. This level of services does not include sober houses, boarding houses or group homes where treatment services are not provided.

Admission Guidelines (ASAM Level 3.1 Adolescent)

ASAM level 3.1 services for adolescents are available to recipients who meet the following criteria. The recipient exhibits:

- **Acute intoxication and/or withdrawal potential** – None or minimal/stable withdrawal risk;
- **Biomedical conditions and complications** – None or stable. If present, the member must be receiving medical monitoring;
- **Emotional, behavioral or cognitive conditions and complications** – None or minimal. If present, conditions must be stable and not too distracting to the member’s recovery;
- **Readiness to change** – Member should be open to recovery, but in need of a structured, therapeutic environment;
- **Relapse, continued use or continued problem potential** – Member understands the risk of relapse, but lacks relapse prevention skills or requires a structured environment; and

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- **Recovery environment** – Environment is dangerous, but recovery is achievable within a 24-hour structure.

Screening, Assessment, and Treatment Plan Review (ASAM Level 3.1 Adolescent)

Refer to *Core Requirements* in the general section.

An individualized, interdisciplinary treatment plan, which includes problem formulation and articulation of short-term, measurable treatment goals and activities designed to achieve those goals should be developed in collaboration with the member within 72 hours of admission. The treatment plan is reviewed in collaboration with the member every 90 days or more frequently if indicated by the member’s needs and documented accordingly. Discharge/transfer planning must begin at admission and referral arrangements made prior to discharge.

Provider Qualifications (ASAM Level 3.1 Adolescent)

In addition to the agency and staff qualifications noted for addiction service providers, the following qualifications are required for providers of ASAM Level 3.1 Adolescent.

Staffing Requirements (ASAM Level 3.1 Adolescent)

Facilities that provide ASAM level 3.1 services must have both qualified professional and support staff necessary to provide services appropriate to the bio-psychosocial needs of individuals being admitted to the program.

In addition to the staffing required by therapeutic group homes (TGH), Adolescent TGH ASAM 3.1 must have at least the following staffing:

- The provider shall have a medical director (physician);
- The provider shall have a clinical supervisor available for clinical supervision and by telephone for consultation;
- LMHP or UP under supervision of a an LMHP caseload shall not exceed 1:8 active clients;
- At least one LMHP or UP is on duty at least 40 hours a week when majority of individuals are awake and on-site;

- The provider shall have a house manager;
- The provider shall have at least two direct care aides (two FTE) on duty during each shift;
- There shall be a ratio of 1:8 direct care aides during all shifts and a ratio of 1:5 direct care aides on therapy outings; and
- There shall be a care coordinator and/or duties may be assumed by clinical staff.

Additional Staffing and Service Components (ASAM Level 3.1 Adolescent)

An LMHP, who is a qualified clinical supervisor, must be available for clinical supervision as needed and by telephone for consultation. The term supervision refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor's or master's level individuals or provisionally licensed individuals pursuing licensure. Such individuals must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

Licensed, certified or registered clinicians provide a planned regimen of 24-hour, professionally directed evaluation, care and treatment services for individuals.

A house manager is required to supervise activities of the facility when the professional staff is on call, but not on duty. This person is required to have adequate orientation and skills to assess situations related to relapse and to provide access to appropriate medical care when needed.

Clerical support staff (one FTE) is recommended.

A peer specialist is recommended.

Level 3.1 Clinically Managed Low-Intensity Residential Treatment – Adult

Level 3.1 residential programs offer at least five hours per week of a combination of low-intensity clinical and recovery-focused services. Low-intensity residential treatment services for adults are directed toward applying recovery skills, preventing relapse, improving emotional functioning, promoting personal responsibility and reintegrating the individual into the worlds of work, education and family life. Services provided may include individual, group and family therapy,

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medication management and medication education. Mutual/self-help meetings usually are available on-site. Facilities that provide low-intensity, clinical, and recovery-focused services do not include sober living houses, boarding houses or group homes where treatment services are not provided. (An example is a halfway house).

Admission Guidelines (ASAM Level 3.1 Adult)

Level 3.1 residential services for adults are available to recipients who meet the following criteria. The recipient exhibits:

- **Acute intoxication and/or withdrawal potential** – None, or minimal/stable withdrawal risk.
- **Biomedical conditions and complications** – None or stable. If present, the member must be receiving medical monitoring.
- **Emotional, behavioral or cognitive conditions and complications** – None or minimal. If present, conditions must be stable and not too distracting to the member's recovery.
- **Readiness to change** – Member should be open to recovery but in need of a structured, therapeutic environment.
- **Relapse, continued use or continued problem potential** – Member understands the risk of relapse but lacks relapse prevention skills or requires a structured environment.
- **Recovery environment** – Environment is dangerous, but recovery is achievable within a 24-hour structure.

Screening, Assessment, and Treatment Plan Review (ASAM Level 3.1 Adult)

Refer to *Core Requirements* in the general section.

An individualized, interdisciplinary treatment plan, which includes problem formulation and articulation of short-term, measurable treatment goals and activities designed to achieve those goals shall be developed in collaboration with the member within 72 hours of admission. The treatment plan is reviewed in collaboration with the member every 90 days or more frequently of indicated by the member's needs and documented accordingly. Discharge/transfer planning must begin at admission and referral arrangements made prior to discharge.

Provider Qualifications (ASAM Level 3.1 Adult)

In addition to the agency and staff qualifications noted for addiction service providers, the following qualifications are required for providers of ASAM Level 3.1 Adults.

Staffing Requirements (ASAM Level 3.1 Adult)

The facility must have qualified professional staff and support staff necessary to provide services appropriate to the bio-psychosocial needs of individuals being admitted to the program.

The provider must ensure the following staffing:

- The provider shall have a medical director (physician);
- The provider shall have a clinical supervisor available for clinical supervision and by telephone for consultation;
- LMHP or UP under supervision of an LMHP caseload shall not exceed 1:25 active clients;
- There shall be at least one LMHP or UP on duty at least 40 hours a week when majority of individuals are awake and on-site;
- The provider shall have a house manager;
- The provider shall have at least one direct care aides (one FTE on all shifts; additional staff as needed) on duty during each shift; and
- There shall be a care coordinator and/or duties may be assumed by clinical staff;

Additional Staffing and Service Components (ASAM Level 3.1 Adult)

An LMHP, who is a qualified clinical supervisor, must be available for clinical supervision as needed and by telephone for consultation. The term supervision refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor's or master's level individuals or provisionally licensed individuals pursuing licensure.

Such individuals must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

Licensed, certified or registered clinicians provide a planned regimen of 24-hour, professionally directed evaluation, care and treatment services for individuals.

A house manager is required to supervise activities of the facility when the professional staff is on call, but not on duty. This person is required to have adequate orientation and skills to assess situations related to relapse and to provide access to appropriate medical care when needed.

Clerical support staff (one FTE) is recommended.

A peer specialist is recommended.

Level 3.2-WM Clinically Managed Residential Social Withdrawal Management – Adolescent

Residential programs provided in an organized, residential, non-medical setting delivered by an appropriately trained staff that provides safe, 24-hour medication monitoring, observation and support in a supervised environment for a person served, to achieve initial recovery from the effects of alcohol and/or other drugs. Social withdrawal management is appropriate for individuals who are able to participate in the daily residential activities and is often used as a less restrictive, non-medical alternative to inpatient withdrawal management.

Admission Guidelines (ASAM Level 3.2-WM – Adolescent)

Facilities that provide ASAM level 3.2-WM services to adolescents provide care to patients whose withdrawal signs and symptoms are non-severe but require 24-hour inpatient care to address biomedical and recovery environment conditions/complications. Twenty-four-hour observation, monitoring and treatment are available. However, the full resources of an acute care general hospital or a medically supported program are not necessary.

- **Acute intoxication and/or withdrawal potential** – The patient is experiencing signs and symptoms of withdrawal, or there is evidence that a withdrawal syndrome is imminent (based on history of substance use, age, gender, or previous withdrawal). The patient is assessed as not requiring medications, but requires this level of service to complete detoxification.

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- **Biomedical conditions and complications** – None or mild.
- **Emotional, behavioral or cognitive conditions and complications** – None to Mild severity; need structure to focus on recovery; if stable, a co-occurring disorder capable program is appropriate.
- **Readiness to change** – The patient has little awareness and needs intervention to engage and stay in treatment, or there is high severity in this dimension.
- **Relapse, continued use or continued problem potential** – The patient has little awareness and need intervention available to prevent continued use, with imminent dangerous consequences because of cognitive deficits.
- **Recovery environment** – The patient’s recovery environment is not supportive of detoxification and entry into treatment, and the patient does not have sufficient coping skills to safely deal with the problems in their recovery environment or the patient recently has not demonstrated an inability to complete detoxification at a less intensive level of service, as by continued use.

Emergency Admissions (ASAM Level 3.2-WM Adolescent)

The admission process may be delayed only until the individual can be interviewed, but no longer than 24 hours, unless seen by a physician. Facilities are required to orient direct care employees to monitor, observe and recognize early symptoms of serious illness and to access emergency services promptly.

Screening, Assessment and Treatment Plan Review (ASAM Level 3.2-WM Adolescent)

Refer to *Core Requirements* in the general section.

An individualized stabilization/treatment plan shall be developed in collaboration with the member within 24 hours. Discharge/transfer planning must begin at admission and referral arrangements shall be made, as needed.

Daily assessment of progress through withdrawal management shall be documented in a manner that is person-centered and individualized.

Provider Qualifications - (ASAM Level 3.2-WM Adolescent)

In addition to the agency and staff qualifications noted for addiction service providers, the following qualifications are required for providers of ASAM Level 3.2-WM Adolescent.

Staffing Requirements (ASAM Level 3.2-WM Adolescent)

Facility must have qualified professional and other support staff necessary to provide services appropriate to the needs of individuals being admitted to the program.

In addition to the staffing required by TGH, Adolescent TGH ASAM 3.2-WM must have at least the following staffing:

- The provider shall have a medical director (physician);
- There is a physician on call 24 hours per day, seven days per week and on duty as needed for management of psychiatric and medical needs of the client. Duties would include:
 - Review and approve on medical treatment;
 - Triage medical needs at admission and through course of stay for all members;
 - Clinical supervisor is available for clinical supervision when needed and by telephone for consultation;
 - A minimum of one LMHP or UP under supervision of an LMHP available on-site at least 40 hours per week;
 - Each LMHP/UP's caseload must not exceed a ratio of 1:16;
 - There shall be two direct care aides (two full time employees) per shift with additional as needed, not to exceed a ratio of 1:10;
 - There shall be at least one clerical support staff per day shift; and

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- There shall be a care coordinator (One full time employee per day shift), and/or duties may be assumed by clinical staff).

Additional Staffing and Service Components (ASAM Level 3.2-WM Adolescent)

An LMHP, who is a qualified clinical supervisor, must be available for clinical supervision as needed and by telephone for consultation. The term supervision refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor's or master's level individuals or provisionally licensed individuals pursuing licensure. Such individuals must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

Licensed, certified or registered clinicians provide a planned regimen of 24-hour, professionally directed evaluation, care and treatment services for individuals.

A peer specialist is recommended.

Minimum Standards of Practice (ASAM Level 3.2-WM Adolescent)

- **History** - The program must obtain enough medical and psychosocial information about the individual to provide a clear understanding of the individual's present status. Exceptions must be documented in individual's treatment record.
- **Medical clearance and screening** - Medical screening is performed upon arrival, by staff with current CPR and first aid training, with telephone access to RN physician for instructions for the care of the individual. Individuals who require medication management must be transferred to medically monitored or medical withdrawal management program until stabilized.
- **Toxicology and drug screening** - Toxicology and drug screenings are medically monitored. A physician may waive drug screening if and when an individual signs a list of drugs being used and understands that his/her dishonesty could result in severe medical reactions during the withdrawal management process.
- **Stabilization/treatment plan** - The stabilization/treatment plan must be reviewed and signed by the qualified professional and the individual and must be filed in the individual's record within 24 hours of admission with updates, as needed.

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- **Progress notes.** The program must implement the stabilization/treatment plan and document the individual's response to and/or participation in scheduled activities. Notes must include:
 - The individual's physical condition, including vital signs;
 - The individual's mood and behavior;
 - Individual statements about the individual's condition and needs;
 - Information about the individual's progress or lack of progress in relation to stabilization/treatment goals; and
 - Additional notes must be documented, as needed.

- **Physicians' orders** – Physicians' orders are required for medical and psychiatric management

Level 3.2-WM Clinically Managed Residential Social Withdrawal Management – Adult

Residential programs provided in an organized, residential, non-medical setting delivered by an appropriately trained staff that provides safe, 24-hour medication monitoring observation and support in a supervised environment for a person served to achieve initial recovery from the effects of alcohol and/or other drugs. Social withdrawal management is appropriate for individuals who are able to participate in the daily residential activities and is often used as a less restrictive, non-medical alternative to inpatient withdrawal management.

Admission Guidelines (ASAM Level 3.2-WM Adult)

Facilities that provide ASAM level 3.2 services to adults provide care to patients whose withdrawal signs and symptoms are non-severe but require 24-hour inpatient care to address biomedical and recovery environment conditions/complications. Twenty-four-hour observation, monitoring and treatment are available. However, the full resources of an acute care general hospital or a medically supported program are not necessary.

- **Acute intoxication and/or withdrawal potential** – The patient is experiencing signs and symptoms of withdrawal, or there is evidence that a withdrawal syndrome is imminent (based on history of substance use, age, gender, or previous withdrawal). The patient is assessed as not requiring medications, but requires this level of service to complete detoxification.

- **Biomedical conditions and complications** – None or mild.
- **Emotional, behavioral or cognitive conditions and complications** – None to mild severity; need structure to focus on recovery; if stable, a co-occurring disorder capable program is appropriate.
- **Readiness to change** – The patient has little awareness and needs intervention to engage and stay in treatment, or there is high severity in this dimension.
- **Relapse, continued use or continued problem potential** – The patient has little awareness and need intervention available to prevent continued use, with imminent dangerous consequences because of cognitive deficits.
- **Recovery environment** – The patient’s recovery environment is not supportive of detoxification and entry into treatment, and the patient does not have sufficient coping skills to safely deal with the problems in their recovery environment or the patient recently has not demonstrated an inability to complete detoxification at a less intensive level of service, as by continued use.

Emergency Admissions (ASAM Level 3.2-WM Adult)

The admission process may be delayed only until the individual can be interviewed but no longer than 24 hours, unless assessed and evaluated by a physician. Facilities are required to orient direct care employees to monitor, observe and recognize early symptoms of serious illness and to access emergency services promptly.

Screening, Assessment and Treatment Plan Review (ASAM Level 3.2-WM Adult)

Refer to *Core Requirements* in the general section.

An individualized stabilization/treatment plan shall be developed in collaboration with the member within 24 hours. Discharge/transfer planning must begin at admission and referral arrangements should be made, as needed.

Daily assessment of progress, through withdrawal management, shall be documented in a manner that is person-centered and individualized.

Provider Qualifications (ASAM Level 3.2-WM Adult)

In addition to the agency and staff qualifications noted for addiction service providers, the following qualifications are required for providers of ASAM Level 3.2-WM Adult.

Staffing Requirements (ASAM Level 3.2-WM Adult)

Facility must have qualified professional and other support staff necessary to provide services appropriate to the needs of individuals being admitted to the program.

The provider must ensure that:

- The provider shall have a medical director (physician);
- There is a physician on call 24 hours per day, seven days per week and on duty as needed for management of psychiatric and medical needs of the clients; Duties would include:
 - Review and approve on medical treatment; and
 - Triage medical needs at admission and through course of stay for all members;
- Clinical supervisor is available for clinical supervision when needed and by telephone for consultation;
- A minimum of one LMHP or UP under the supervision of an LMHP available on-site at least 40 hours per week (may be combination of two or more professional disciplines);
- Each LMHP/UP's caseload must not exceed a ratio of 1:25;
- There shall be one direct care aide (one full-time employee) per shift with additional as needed;
- There shall be at least one clerical support staff per day shift; and
- There shall be a care coordinator (one full-time employee per day shift), and/or duties may be assumed by clinical staff).

Additional Staffing and Service Components (ASAM Level 3.2-WM Adult)

An LMHP, who is a qualified clinical supervisor, must be available for clinical supervision as needed and by telephone for consultation. The term ‘supervision’ refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor’s or master’s level individuals or provisionally licensed individuals pursuing licensure. Such individuals must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

Licensed, certified or registered clinicians provide a planned regimen of 24-hour, professionally directed evaluation, care and treatment services for individuals.

A peer specialist is recommended.

Minimum Standards of Practice (ASAM Level 3.2-WM Adult)

- **History** - The program must obtain enough medical and psychosocial information about the individual to provide a clear understanding of the individual's present status. Exceptions must be documented in the individual's record.
- **Medical clearance and screening** - Medical screening is performed upon arrival by staff with current CPR and first aid training, with telephone access to RN physician for instructions for the care of the individual. Individuals who require medication management must be transferred to medically monitored or medical withdrawal management program until stabilized.
- **Toxicology and drug screening** – Toxicology and drug screenings are medically monitored. A physician may waive drug screening if and when an individual signs a list of drugs being used and understands that his/her dishonesty could result in severe medical reactions during the withdrawal management process.
- **Stabilization/treatment plan** - The stabilization/treatment plan must be reviewed and signed by the qualified professional and the individual and must be filed in the individual's record within 24 hours of admission with updates, as needed.
- **Progress notes** - The program must implement the stabilization/treatment plan and document the individual's response to and/or participation in scheduled activities. Notes must include:

- The individual's physical condition, including vital signs;
 - The individual's mood and behavior;
 - Individual statements about the individual's condition and needs;
 - Information about the individual's progress or lack of progress in relation to stabilization/treatment goals; and
 - Additional notes must be documented, as needed.
- **Physicians' orders** – Physicians' orders are required for medical and psychiatric management.

Level 3.3 Clinically Managed Medium Intensity Residential Treatment - Adult

Level 3.3 residential programs offer at least 20 hours per week of a combination of medium-intensity clinical and recovery-focused services. Frequently referred to as extended or long-term care, Level 3.3 programs provide a structured recovery environment in combination with medium-intensity clinical services to support recovery from substance-related disorders.

Admission Guidelines (ASAM Level 3.3 Adult)

ASAM level 3.3 adult services are available to recipients who meet the following criteria. The recipient exhibits:

- **Acute intoxication and/or withdrawal potential** – None, or minimal risk of withdrawal.
- **Biomedical conditions and complications** – None or stable. If present, the member must be receiving medical monitoring.
- **Emotional, behavioral or cognitive conditions and complications** – Mild to moderate severity; need structure to focus on recovery. Mental status is assessed as sufficiently stable to permit the member to participate in therapeutic interventions provided at this level of care. If stable, a co-occurring disorder capable program is appropriate. If not, a co-occurring disorder enhanced program is required. Treatment should be designed to respond to the member's cognitive deficits.

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- **Readiness to change** – Has little awareness of the need for continuing care or the existence of his/her substance use or mental health problem and need for treatment and thus has limited readiness to change. Despite experiencing serious consequences of effects of SUD the member has marked difficulty in understanding the relationship between his/her substance use, addiction, mental health or life problems and impaired coping skills and level of functioning.
- **Relapse, continued use or continued problem potential** – Has little awareness and needs intervention available to prevent continued use, he or she is in imminent danger of continued substance use or emotional health problems with dangerous emotional, behavioral or cognitive consequences. The member’s cognitive impairment has limited his/her ability to identify and cope with relapse triggers and high-risk situations. He/she requires relapse prevention activities that are delivered at a slower pace, more concretely, and more repetitively in a setting that provides 24 hour structure and support to prevent imminent dangerous consequences.
- **Recovery environment** – Environment is dangerous, but recovery is achievable within a 24-hour structure.

Screening, Assessment and Treatment Plan Review (ASAM Level 3.3 Adult)

Refer to *Core Requirements* in the general section.

An individualized, interdisciplinary treatment plan, which includes problem formulation and articulation of short-term, measurable treatment goals and activities designed to achieve those goals shall be developed in collaboration with the member. The treatment plan is reviewed in collaboration with the member, as needed, or at a minimum of every 90 days or more frequently if indicated by the member’s needs and documented accordingly. Discharge and transfer planning should begin at admission and referral arrangements made prior to discharge.

Provider Qualifications (ASAM Level 3.3 Adult)

In addition to the agency and staff qualifications noted for addiction service providers, the following qualifications are required for providers of ASAM Level 3.3 Adult.

Staffing Requirements (ASAM Level 3.3 Adult)

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Facility must have qualified professional medical, nursing and other support staff necessary to provide services appropriate to the bio-psychosocial needs of individuals being admitted to the program.

The provider must ensure that:

- The provider shall have a medical director (physician);
- There is a physician on call 24 hours per day and on duty as needed for management of psychiatric and medical needs;
- There is a clinical supervisor available for clinical supervision when needed and by telephone for consultation;
- There is an LMHP or UP under supervision of an LMHP on-site 40 hours a week to provide direct client care;
- Each LMHP/UP caseload shall not exceed 1:12;
- There is 24 hour on-call availability by an RN plus a licensed nurse on duty whenever needed to meet the professional nursing requirements;
- There is at least one direct care aide on duty for each shift plus additional aides as needed;
- There shall be a care coordinator (one FTE per 50 members per day shift, and/or duties may be assumed by clinical staff); and
- There shall be a clerical support staff (One FTE per day shift).

Additional Staffing and Service Components

An LMHP, who is a qualified clinical supervisor, must be available for clinical supervision as needed and by telephone for consultation. The term supervision refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor's or master's level individuals or provisionally licensed individuals pursuing licensure. Such individuals must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

Licensed, certified or registered clinicians provide a planned regimen of 24-hour, professionally directed evaluation, care and treatment services for individuals.

A peer specialist is recommended.

Additional Provider Requirements for ASAM Level 3.3 - Women with Dependent Children Program

In addition to the requirement for ASAM Level 3.3 facilities, Mothers with Dependent Children Programs must follow additional guidelines and meet specific requirements (Reference: LAC 48:I Ch. 57, §5705C). Providers must:

- Offer weekly parenting classes in which attendance is required;
- Address the specialized needs of the parent;
- Offer education, counseling and rehabilitation services for its parent members that further address:
 - Effects of chemical dependency on a women’s health and pregnancy;
 - Parenting skills; and
 - Health and nutrition;
- Regularly assess parent-child interactions and address any identified needs in treatment;
- Provide access to family planning services;
- Be responsible for ensuring that it provides children supervision appropriate to the age of each child, when the mother is not available to supervise her child. Supervision must be provided either by the provider on-site program or a licensed daycare provider pursuant to a written agreement with the provider. Provider’s on-site program must ensure the following requirements are met:
 - Staff members are at least 18 years of age;
 - Staff members have infant CPR certification;
 - Staff members have at least eight hours of training in the following areas prior to supervising children:

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- Chemical dependency and its impact on the family;
 - Child development and age-appropriate activities;
 - Child health and safety;
 - Universal precautions;
 - Appropriate child supervision techniques; and
 - Signs of child abuse; or
 - A licensed day care provider pursuant to a written agreement with the provider.
-
- The provider shall maintain a staff-to-child ratio that does not exceed 1:3 for infants (18 months and younger) and 1:6 for toddlers and children.
 - Employ a Child Specialist, who is available to provide staff training, evaluate effectiveness of direct care staff, and plan activities for at least one hour per week per child;
 - Maintain a personnel file of the Child Specialist has documentation verifying the required minimum of 90 clock hours of education and training in child development and/or early childhood education;
 - Maintain verification that the Child Specialist has a minimum of one year documented experience providing services to children;
 - The provider shall address the specialized and therapeutic needs and care for the dependent children and develop an individualized plan of care to address those needs, to include goals, objectives and target dates; and provide age-appropriate education, counseling, and rehabilitation services for children; and
 - The daily activity schedule for the children shall include a variety of structured and unstructured age appropriate activities.

Level 3.5 Clinically Managed Medium Intensity Residential Treatment – Adolescent

These programs are designed to treat persons who have significant social and psychological problems and are characterized by their reliance on the treatment community as a therapeutic agent. Treatment goals are to promote abstinence from substance use and antisocial behavior and

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to effect a global change in members' lifestyles, attitudes and values. Individuals typically have multiple deficits, which may include substance-related disorders, criminal activity, psychological problems, impaired functioning and disaffiliation from mainstream values. The program must include an in-house education/vocational component if serving adolescents (Example: therapeutic community or residential treatment center).

Admission Guidelines (ASAM Level 3.5 Adolescent)

ASAM level 3.5 adolescent services are available to recipients who meet the following criteria. The recipient exhibits:

- **Acute intoxication and/or withdrawal potential:** None or minimal risk of withdrawal.
- **Biomedical conditions and complications:** None or stable or receiving concurrent medical monitoring.
- **Emotional, behavioral or cognitive conditions and complications:** Demonstrates repeated inability to control impulses or a personality disorder requires structure to shape behavior. Other functional deficits require a 24-hour setting to teach coping skills. A co-occurring disorder-enhanced setting is required for severely and persistently mentally ill (SPMI) patients.
- **Readiness to change:** Motivational interventions have not succeeded at a less intensive level of care. Has limited insight or awareness into the need for treatment. Has marked difficulty in understanding the relationship between his/her substance use, addiction, mental health, or life problems and his/her impaired coping skills and level of functioning that may result in severe life consequences from continued use indicating a need for a 24-hour level of care.
- **Relapse, continued use or continued problem potential:** Has no recognition of the skills needed to prevent continued use, with imminently dangerous consequences to self or others. Demonstrates a history of repeated incarcerations with a pattern of relapse to substances and uninterrupted use outside of incarceration. Unable to control use of alcohol or other drugs and/or antisocial behaviors with risk of harm to self or others.

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- **Recovery environment:** Living and social environments has a high risk of neglect or abuse, and member lacks skills to cope outside of a highly structured 24-hour setting.

Screening, Assessment and Treatment Plan Review (ASAM Level 3.5 Adolescent)

Refer to *Core Requirements* in the general section.

An individualized, interdisciplinary treatment plan which includes problem formulation and articulation of short-term, measurable treatment goals and activities designed to achieve those goals shall be developed in collaboration with the member. The treatment plan is reviewed in collaboration with the member, as needed, or at a minimum of every 30 days or more frequently if indicated by the member’s needs and documented accordingly. Discharge/transfer planning must begin at admission and referral arrangements made prior to discharge.

Provider Qualifications (ASAM Level 3.5 Adolescent)

In addition to the agency and staff qualifications noted for addiction service providers, the following qualifications are required for providers of ASAM Level 3.5 Adolescent.

Staffing Requirements (ASAM Level 3.5 Adolescent)

Facility must have qualified professional medical, nursing and other support staff necessary to provide services appropriate to the bio-psychosocial needs of individuals being admitted to the program.

The provider must ensure that:

- The provider shall have a medical director (physician);
- There is a physician on call 24 hours per day, seven days per week, and on duty as needed for management of psychiatric and medical needs of the clients;
- There is a psychologist available when needed;
- There is a clinical supervisor available for clinical supervision when needed and by telephone for consultation;

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- There shall be at least one LMHP or UP under the supervision of an LMHP on duty at least 40 hours per week;
- Each LMHP/UP’s caseload shall not exceed 1:8;
- The provider shall have one licensed RN on call 24/7 to perform nursing duties for the provider;
- Nursing availability on-site whenever needed to meet the nursing needs of the members. Nursing services may be provided directly by the BHS provider or may be provided or arranged via written contract, agreement, policy, or other document. The BHS provider must maintain documentation of such arrangement;
- There shall be at least two direct care aides on duty (two FTE) during all shifts with additional as needed. The ratio of aides to clients shall not exceed 1:8. On therapy outings, the ratio shall be at least 1:5;
- There shall be a care coordinator (one FTE per day shift, and/or duties may be assumed by clinical staff); and
- There shall be a clerical support staff (One FTE per day shift).

Additional Staffing and Service Components (ASAM Level 3.5 Adolescent)

An LMHP, who is a qualified clinical supervisor, must be available for clinical supervision as needed and by telephone for consultation. The term ‘supervision’ refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor’s or master’s level individuals or provisionally licensed individuals pursuing licensure. Such individuals must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

Licensed, certified or registered clinicians provide a planned regimen of 24-hour, professionally directed evaluation, care and treatment services for individuals and their families.

An activity/occupational therapist is optional.

A peer specialist is recommended.

Level 3.5 Clinically Managed High Intensity Residential Treatment – Adult

The level 3.5 adult residential treatment program is designed to treat persons who have significant social and psychological problems. Programs are characterized by their reliance on the treatment community as a therapeutic agent. Treatment goals are to promote abstinence from substance use and antisocial behavior and to effect a global change in members’ lifestyles, attitudes and values. Individuals typically have multiple deficits, which may include substance-related disorders, criminal activity, psychological problems, impaired functioning and disaffiliation from mainstream values (Example: therapeutic community or residential treatment center).

Admission Guidelines (ASAM Level 3.5 Adult)

ASAM level 3.5 adult services are available to recipients who meet the following criteria. The recipient exhibits:

- **Acute intoxication and/or withdrawal potential** - None, or minimal risk of withdrawal.
- **Biomedical conditions and complications** - None or stable or receiving concurrent medical monitoring.
- **Emotional, behavioral or cognitive conditions and complications** - Demonstrates repeated inability to control impulses, or a personality disorder requires structure to shape behavior. Other functional deficits require a 24-hour setting to teach coping skills. A Co-Occurring Disorder Enhanced setting is required for SPMI patients.
- **Readiness to change** - Motivational interventions have not succeeded at a less intensive level of care. Has limited insight or awareness into the need for treatment. Has marked difficulty in understanding the relationship between his/her substance use, addiction, mental health, or life problems and his/her impaired coping skills and level of functioning that may result in severe life consequences from continued use indicating a need for a 24-hour level of care.

Relapse, continued use or continued problem potential - Has no recognition of the skills needed to prevent continued use, with imminently dangerous

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consequences to self or others. Demonstrates a history of repeated incarcerations with a pattern of relapse to substances and uninterrupted use outside of incarceration. Unable to control use of alcohol or other drugs and/or antisocial behaviors with risk of harm to self or others.

- **Recovery environment** - Living and social environments has a high risk of neglect or abuse, and member lacks skills to cope outside of a highly structured 24-hour setting.
-

Screening, Assessment and Treatment Plan Review (ASAM Level 3.5 Adult)

Refer to *Core Requirements* in the general section.

An individualized, interdisciplinary treatment plan, which includes problem formulation and articulation of short-term, measurable treatment goals and activities designed to achieve those goals shall be developed in collaboration with the member. The treatment plan is reviewed in collaboration with the member, as needed, or at a minimum of every 30 days or more frequently if indicated by the member's needs and documented accordingly. Discharge/transfer planning must begin at admission and referral arrangements made prior to discharge.

Provider Qualifications (ASAM Level 3.5 Adult)

In addition to the agency and staff qualifications noted for addiction service providers, the following qualifications are required for providers of ASAM Level 3.5 Adult.

Staffing Requirements (ASAM Level 3.5 Adult)

Facility must have qualified professional medical, nursing and other support staff necessary to provide services appropriate to the bio-psychosocial needs of individuals being admitted to the program.

The provider must ensure that:

- The provider shall have a medical director (physician);
- There is a physician on call 24 hours per day, seven days per week, and on duty as needed for management of psychiatric and medical needs of the clients;

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- There is a clinical supervisor available for clinical supervision when needed and by telephone for consultation;
- There shall be at least one LMHP or UP under supervision of an LMHP on duty at least 40 hours per week;
- Each LMHP/UP's caseload shall not exceed 1:12;
- The provider shall have one licensed RN on call 24/7 to perform nursing duties for the provider;
- There shall be at least one licensed nurse on duty during the day and evening shifts to meet the nursing needs of the clients. Nursing services may be provided directly by the BHS provider or may be provided or arranged via written contract, agreement, policy, or other document. The BHS provider shall maintain documentation of such arrangement;
- There shall be at least one direct care aide on duty on all shifts with additional as needed;
- There shall be a care coordinator (one FTE per day shift, and/or duties may be assumed by clinical staff); and
- There shall be a clerical support staff (One FTE per day shift).

Additional Staffing and Service Components (ASAM Level 3.5 Adult)

An LMHP, who is a qualified clinical supervisor must be available for clinical supervision as needed and by telephone for consultation. The term supervision refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor's or master's level individuals or provisionally licensed individuals pursuing licensure. Such individuals must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

Licensed, certified or registered clinicians provide a planned regimen of 24-hour, professionally directed evaluation, care and treatment services for individuals and their families.

A psychologist is optional.

An activity/occupational therapist is optional.

A peer specialist is recommended.

Level 3.7 Medically Monitored Intensive Inpatient Treatment – Adult

This co-occurring disorder (COD) residential treatment facility provides 24 hour care including psychiatric and substance use assessments, diagnosis, treatment, habilitative and rehabilitation services to individuals with co-occurring psychiatric and substance disorders, whose disorders are of sufficient severity to require a residential level of care. It also features professionally directed evaluation, observation and medical monitoring of addiction and mental health treatment in a residential setting. They feature permanent facilities, including residential beds, and function under a defined set of policies, procedures and clinical protocols. Appropriate for patients whose sub-acute biomedical and emotional, behavioral or cognitive problems are so severe that they require co-occurring capable or enhanced residential treatment, but who do not need the full resources of an acute care general hospital. In addition to meeting integrated service criteria, COD treatment providers must have experience and preferably licensure and/or certification in both addictive disorders and mental health.

Admission Guidelines for ASAM Level 3.7 – Adult

Facilities that provide ASAM level 3.7 medically monitored intensive residential treatment services provide care for individuals who may have co-occurring addiction and mental health disorders that meet the eligibility criteria for placement in a co-occurring disorder-capable program or difficulties with mood, behavior or cognition related to a substance use or mental disorder or emotional behavioral or cognitive symptoms that are troublesome, but do not meet the Diagnostic and Statistical Manual for Mental Disorders (DSM) criteria for mental disorder. ASAM level 3.7 Medically Monitored Intensive Inpatient Treatment – Adult services are available to recipients who meet the following criteria. The recipient exhibits:

- **Acute intoxication and/or withdrawal potential** – None or minimal/stable withdrawal risk.
- **Biomedical conditions and complications** – Moderate to severe conditions (which require 24-hour nursing and medical monitoring or active treatment but not the full resources of an acute care hospital). Or the interaction of the patient's biomedical conditions and continued alcohol or drug use places the patient at significant risk of damage to physical health.

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- **Emotional, behavioral or cognitive conditions and complications** – Moderate to severe psychiatric conditions and complications or history of moderate to high psychiatric decompensation or moderate to high risk of harm to self, other, or property or is in imminent danger of relapse without 24 hour structure and support and medically monitored treatment, including stabilization with psychotropic medications.
- **Readiness to change** – Member is in need of intensive motivating strategies, activities and processes available only in a 24-hour structured medically monitored setting (but not medically managed).
- **Relapse, continued use or continued problem potential** – Member is experiencing an escalation of relapse behaviors and/or acute psychiatric crisis and/or re-emergence of acute symptoms and is in need of 24-hour monitoring and structured support.
- **Recovery environment** – Environment or current living arrangement is characterized by a high risk of initiation or repetition of physical, sexual or emotional abuse or substance use so endemic that the member is assessed as unable to achieve or maintain recovery at a less intensive level or care.

Screening/Assessment/Treatment Plan Review (ASAM Level 3.7 Adult)

Refer to Core Requirements in the general section.

An individualized, interdisciplinary treatment plan, which includes problem formulation and articulation of short-term, measurable treatment goals and activities designed to achieve those goals s be developed in collaboration with the member. The treatment plan is reviewed/updated in collaboration with the member, as needed, or at a minimum of every 30 days or as required by the member’s needs.

Discharge/transfer planning must begin at admission and referral arrangements made prior to discharge.

Provider Qualifications (ASAM Level 3.7 Adult)

In addition to the agency and staff qualifications noted for addiction service providers, the following qualifications are required for providers of ASAM Level 3.7 Adult.

Staffing Requirements (ASAM Level 3.7 Adult)

Facility must have qualified professional medical, nursing and other support staff necessary to provide services appropriate to the bio-psychosocial needs of individuals being admitted to the program.

The provider must ensure:

- The provider shall have a medical director (physician);
- There is a physician on call 24 hours per day, seven days per week, and on duty as needed for management of psychiatric and medical needs;
- There is a clinical supervisor available for clinical supervision when needed and by telephone for consultation;
- There is at least one LMHP or UP under the supervision of an LMHP on duty at least 40 hours/week;
- Each LMHP/UP caseload shall not exceed 1:10;
- There is at least one RN on call 24 hours per day, seven days per week to perform nursing duties and at least one licensed nurse is on duty during all shifts with additional licensed nursing staff to meet the nursing needs of the clients;
- On-site nursing staff is solely responsible for the 3.7 program and does not provide services for other levels of care at the same time;
- There is at least one direct care aide on duty on all shifts with additional as needed
- There is an activity or recreational therapist on duty at least 15 hours per week
- There shall be a care coordinator (one FTE per day shift, and/or duties may be assumed by clinical staff); and
- There shall be a clerical support staff (One FTE per day shift).

Additional Staffing and Service Components (ASAM Level 3.7 Adult)

Licensed, certified or registered clinicians provide a planned regimen of 24-hour, professionally directed evaluation, care and treatment services for individuals and their families.

An interdisciplinary team of appropriately trained clinicians, such as physicians, nurses, counselors, social workers and psychologists is available to assess and treat the individual and to obtain and interpret information regarding the patient’s needs. The number and disciplines of team members are appropriate to the range and severity of the individual’s problems.

A psychologist is optional.

A peer specialist is recommended.

Level 3.7-WM Medically Monitored Inpatient Withdrawal Management – Adult

Medically monitored inpatient withdrawal management is an organized service delivered by medical and nursing professionals, which provide for 24-hour medically supervised evaluation under a defined set of physician-approved policies and physician-monitored procedures or clinical protocols.

Admission Guidelines (ASAM Level 3.7 WM Adult)

Facilities that provide ASAM Level 3.7-WM medically monitored inpatient withdrawal management services for adults provide care to patients whose withdrawal signs and symptoms are sufficiently severe to require 24-hour inpatient care. It sometimes is provided as a “step-down” service from a specialty unit of an acute care general or psychiatric hospital. Twenty-four-hour observation, monitoring and treatment are available; however, the full resources of an acute care general hospital or a medically managed intensive inpatient treatment program are not necessary.

- **Acute intoxication and/or withdrawal potential** – Member is experiencing signs and symptoms of severe withdrawal, or there is evidence that a severe withdrawal syndrome is imminent (based on history of substance use, age, gender, or previous withdrawal). There is a strong likelihood that the patient will require medications.

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- **Biomedical conditions and complications** – Mild to Moderate, but can be managed at level 3.7WM by medical monitoring. Treatment should be designed to respond to the member’s medical needs associated with withdrawal management.
- **Emotional, behavioral or cognitive conditions and complications** – Mild to moderate severity; need structure to manage comorbid physical, emotional, behavioral or cognitive conditions that can be managed in this setting but which increase the clinical severity of the withdrawal and complicates withdrawal management.
- **Readiness to change** – Member has little awareness and needs intervention to engage and stay in treatment, or there is high severity in this dimension.
- **Relapse, continued use or continued problem potential** – Member has little awareness and need intervention available to prevent continued use, with imminent dangerous consequences because of cognitive deficits.
- **Recovery environment** – Member’s recovery environment is not supportive of detoxification and entry into treatment and the patient does not have sufficient coping skills to safely deal with the problems in the recovery environment or the patient recently has demonstrated an inability to complete detoxification at a less intensive level of service, as by continued use.

Emergency Admissions (ASAM Level 3.7-WM Adult)

The process of admission may be delayed only until the individual can be interviewed but no longer than 24 hours, unless assessed and evaluated by a physician. Facilities are required to orient direct care employees to monitor, observe and recognize early symptoms of serious illness and to access emergency services promptly.

Screening/Assessments/Treatment Plan Review (ASAM Level 3.7 WM Adult)

Refer to *Core Requirements* in the general section.

A physician must approve admission. A physical examination must be performed by a physician, PA or APRN within 24 hours of admission and appropriate laboratory and toxicology tests. A

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physical examination conducted within 24 hours prior to admission may be used, if reviewed and approved by the admitting physician.

An individualized, interdisciplinary stabilization/treatment plan shall be developed in collaboration with the member, including problem identification in ASAM Dimensions 2-6. Discharge/transfer planning must begin at admission and referral arrangements made, as needed.

Daily assessment of member's progress, which shall be documented accordingly.

Provider Qualifications (ASAM Level 3.7 WM Adult)

In addition to the agency and staff qualifications noted for addiction service providers, the following qualifications are required for providers of ASAM Level 3.7 WM Adult.

Staffing Requirements (ASAM Level 3.7 WM Adult)

Facility must have qualified professional medical, nursing and other support staff necessary to provide services appropriate to the bio-psychosocial needs of individuals being admitted to the program.

The provider must ensure that the facility has the following staffing:

- The provider shall have a medical director (physician);
- The provider shall have a physician on call 24 hours per day, seven days per week, and on duty as needed for management of psychiatric and medical needs of the clients;
- The provider shall have at least one RN on call 24 hours per day, seven days per week to perform nursing duties
- There shall be at least one licensed nurse on duty during all shifts with additional as needed based upon the provider's census and the clients' acuity levels;
- There shall be a RN on-site no less than 40 hours per week who is responsible for conducting nursing assessments upon admission and delegating staffing assignments to the nursing staff based on the assessments and the acuity levels of the clients;

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- The provider shall ensure that its on-site nursing staff is solely responsible for 3.7-WM program and does not provide services for other levels of care at the same time;
- The nursing staff is responsible for monitoring member's progress and administering medications in accordance with physician orders;
- The provider shall have a clinical supervisor available for clinical supervision when needed and by telephone for consultation;
- The LMHP or UP under the supervision of an LMHP caseload shall not exceed 1:10;
- At a minimum of one LMHP or UP under supervision of an LMHP is available on-site at least 40 hours per week;
- There shall be at least one direct care aide on all shifts with additional as needed based upon the provider's census and the clients' acuity levels.;
- There shall be a care coordinator (one FTE per day shift, and/or duties may be assumed by clinical staff); and
- There shall be a clerical support staff (One FTE per day shift).

Additional Staffing and Service Components (ASAM Level 3.7 WM Adult)

An LMHP, who is qualified clinical supervisor, must be available for clinical supervision as needed and by telephone for consultation as needed. The term supervision refers to clinical support, guidance and consultation afforded to unlicensed staff, and should not be confused with clinical supervision of bachelor's or master's level individuals or provisionally licensed individuals pursuing licensure. Such individuals must comply with current, applicable scope of practice and supervisory requirements identified by their respective licensing boards.

Appropriately licensed and credentialed staff available to administer medications in accordance with physician orders.

Licensed, certified or registered clinicians provide a planned regimen of 24-hour, professionally directed evaluation, care and treatment services for individuals and their families.

A peer specialist is recommended.

Minimum Standards of Practice (ASAM Level 3.7 WM Adult)

- **Toxicology and drug screening** – Toxicology and drug screenings are medically monitored. A physician may waive drug screening if and when individual signs list of drugs being used and understands that his/her dishonesty could result in severe medical reactions during withdrawal management process.
- **Stabilization/treatment plan** – A qualified professional must identify the individual's short-term needs based on the withdrawal management history, the medical history and the physical examination, if available, and prepare a plan of action until individual becomes physically stable. The treatment plan must be reviewed and signed by the physician and the individual and must be filed in the individual's record within 24 hours of admission with updates, as needed.
- **Progress notes** - The program must implement the stabilization/treatment plan and document the individual's response to and/or participation in scheduled activities. Notes must include:
 - The individual's physical condition, including vital signs;
 - The individual's mood and behavior;
 - Statements about the individual's condition and needs;
 - Information about the individual's progress or lack of progress in relation to stabilization/treatment goals; and
 - Additional notes must be documented, as needed.
- **Physicians' Orders** - Physicians' orders are required for medical and psychiatric management.

Level 4-WM: Medically Managed Intensive Inpatient Withdrawal Management

This hospital level of care is appropriate for those individuals whose acute biomedical, emotional, behavioral and cognitive problems are so severe that they require primary medical and nursing care. This program encompasses a planned regimen of 24-hour medically directed evaluation and withdrawal management in an acute care inpatient setting.

Although treatment is specific to substance use problems, the skills of the interdisciplinary team and the availability of support services allow the conjoint treatment of any co-occurring biomedical conditions and mental disorders that need to be addressed. A licensed provider providing inpatient treatment must assign one qualified staff for every four members in residence. The licensed provider must maintain sufficient employees on duty 24-hours a day to meet the needs and protect the safety of members. Employees on duty must be awake on all shifts. The program must include an in-house education/vocation component, if serving adolescents. A licensed provider providing inpatient treatment must provide a licensed physician or nurse on-site or on call, and licensed medical or nursing staff to monitor and administer medications on a 24-hour per day basis.

Admission Guidelines (ASAM Level 4 WM)

Facilities that provide Level 4-WM medically managed intensive inpatient withdrawal management services provide care to patients whose withdrawal signs and symptoms are sufficiently severe and unstable enough to require primary medical and nursing services on a 24-hour basis. This program offers intensive physical health and/or psychiatric care in a hospital setting. The focus is on stabilization and preparation for transfer to a less intensive level of care.

Admission to Level 4WM requires meeting the criteria below in dimensions 1, 2, and/or 3. Problems may also exist from mild to severe in dimensions 4, 5, and/or 6, however they are secondary to dimensions 1, 2, and 3 for the 4WM level of care. If the only severity is in dimensions 4, 5, and/or 6 without high severity in 1, 2 and/or 3, then the member does not qualify for level 4WM.

- **1. Acute intoxication and/or withdrawal potential** – Member is experiencing signs and symptoms of severe, unstable withdrawal, or there is evidence that a severe, unstable withdrawal syndrome is imminent (based on history of substance use, age, gender, or previous withdrawal). An acute care setting is required to manage the severity or instability of the withdrawal symptoms.
- **2. Biomedical conditions and complications** –A significant acute biomedical condition that may pose a substantial risk of serious or life-threatening consequences during severe, unstable withdrawal or there is risk of imminent withdrawal. The biomedical conditions and complications require 24-hour medical and nursing care and the full resources of an acute care hospital.

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- **3. Emotional, behavioral or cognitive conditions and complications** – A significant acute psychiatric or cognitive condition requires a 24-hour medical and nursing acute care setting to stabilize during severe, unstable withdrawal or there is evidence that a severe, unstable withdrawal syndrome is imminent.
- **4. Readiness to change** – Refer to the admission guidelines above.
- **5. Relapse, continued use or continued problem potential** –See admission guidelines above.
- **6. Recovery environment** – Refer to the admission guidelines above.

Screening/Assessments/Treatment Plan Review (ASAM Level 4 WM)

Refer to *Core Requirements* in the general section.

A physician must give approval for admission. A physical examination must be performed by a physician, PA or NP within 24 hours of admission and appropriate laboratory and toxicology tests. A physical examination conducted within 24 hours prior to admission may be used if reviewed and approved by the admitting physician.

Comprehensive bio-psychosocial assessments are not required for this level of care.

An individualized, interdisciplinary stabilization/treatment plan shall be developed in collaboration with the member, including problem identification in ASAM Dimensions 2-6. Daily assessments of member’s progress shall be documented. Discharge/transfer planning must begin at admission and referral arrangements prior to discharge.

Provider Qualifications (ASAM Level 4 WM)

ASAM Level 4 and 4-WM programs are licensed by LDH as hospitals and must be accredited by an LDH approved national accrediting body: CARF, COA or TJC. Denial, loss of, or any negative change in accreditation status must be reported to their contracted MCOs in writing within 24 hours of notification by the accreditation body.

Hospitals must comply with Emergency Preparedness regulations associated with 42 CFR §482.15 in order to participate in the Medicare or Medicaid program (Link to CMS Emergency Preparedness Regulation Guidance and Resources: <https://www.cms.gov/Medicare/Provider->

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Enrollment-and-Certification/SurveyCertEmergPrep/index.html). Regulations must be implemented by November 15, 2017. They include safeguarding human resources, maintaining business continuity and protecting physical resources. Facilities should incorporate the four core elements of emergency preparedness into their plans and comply with all components of CMS' Rule:

- **Risk assessment and emergency planning** – Facilities are required to perform a risk assessment that uses an “all-hazards” approach prior to establishing an emergency plan.
- **Communication plan** –Facilities are required to develop and maintain an emergency preparedness communication plan that complies with both federal and state laws. Patient care must be well coordinated within the facility, across healthcare providers, and with state and local public health departments and emergency management agencies and systems to protect patient health and safety in the event of a disaster.
- **Policies and procedures** – Facilities are required by state law, and that support the successful execution of the emergency plan and risks identified during the risk assessment process.
- **Training and testing** – Facilities are required to develop and maintain an emergency preparedness training and testing program that complies with federal and state law, and that is updated at least annually.

Staffing Requirements (ASAM Level 4 WM)

Facility must have qualified professional medical, nursing and other support staff necessary to provide services appropriate to the bio-psychosocial needs of individuals being admitted to the program.

The provider must ensure:

- The provider shall have a medical director, who is a physician, on call 24 hours per day, seven days per week, and on-site as needed for management of psychiatric and medical needs of the clients. Physician’s assistants or APRN may perform duties within the scope of their practice as designated by physician.

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- There shall be a full time nursing supervisor (APRN/RN) with 24 hour on-call availability.
- An LMHP or UP under supervision of an LMHP is available 40 hours per week;
- There shall be a direct care aide ;
- There shall be clerical support staff ; and
- There shall be a care coordinator (one FTE per day shift, and/or duties may be assumed by clinical staff).

Additional Staffing and Service Components (ASAM Level 4 WM)

A physician is available to assess the individual within 24 hours of admission (or earlier, if medically necessary) and is available to provide on-site monitoring of care and further evaluation on a daily basis.

A RN or other licensed and credentialed nurse is available on call 24 hours per day and on-site no less than 40 hours per week and will conduct a nursing assessment on individuals at admission.

A nurse is responsible for overseeing the monitoring of the individual's progress and medication administration on an hourly basis, if needed.

Appropriately licensed and credentialed staff is available to administer medications in accordance with physician orders.

Licensed, certified or registered clinicians provide a planned regimen of 24-hour, professionally directed evaluation, care and treatment services for individuals and their families.

A peer specialist is recommended.

Minimum Standards of Practice (ASAM Level 4 WM)

- **Toxicology and drug screening** - Urine drug screens are required upon admission and as directed by the treatment plan.

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- **Stabilization/treatment plan** - A qualified professional must identify the individual's short-term needs, based on the withdrawal management history, the medical history and the physical examination and prepare a plan of action. The treatment plan must be reviewed and signed by the physician and the individual and must be filed in the individual's record within 24 hours of admission with updates, as needed.

- **Progress notes** - The program must implement the stabilization/treatment plan and document the individual's response to and/or participation in scheduled activities. Notes must include:
 - The individual's physical condition, including vital signs;
 - The individual's mood and behavior;
 - Statements about the individual's condition and needs;
 - Information about the individual's progress or lack of progress in relation to stabilization/treatment goals; and
 - Additional notes must be documented, as needed.

- **Physicians' orders** - Physicians' orders are required for medical and psychiatric management.

Settings (ASAM Level 4 WM)

Level 4-WM services are provided in the below settings:

- General hospital outpatient and inpatient settings for adults and children; and
- Psychiatric hospital inpatient settings for children under age 21.

Eligibility Criteria (ASAM Level 4 WM)

- All Medicaid-eligible adults; and
- All Medicaid-eligible children.

Allowed Mode(s) of Delivery (ASAM Level 4 WM)

- Inpatient.

Coordinated System of Care

The Coordinated System of Care (CSoC) is an innovative reflection of two powerful movements in health care: coordination of care for individuals with complex needs and family-driven and youth-guided care. CSoC is guided by an overarching System of Care (SOC) philosophy and values which include: family driven, youth guided, home and community based, strengths base, individualized, culturally and linguistically competent, integration across systems, connection to natural supports, data driven and outcomes oriented and unconditional care. The Louisiana CSoC uses a wraparound approach to create and oversee a service delivery system that is better integrated, has enhanced service offerings and achieves improved outcomes by ensuring families who have children with severe behavioral health challenges get the right support and services, at the right level of intensity, at the right time, for the right amount of time, from the right provider, to ultimately keep or return children home or to their home communities. Combining all services into one coordinated plan allows for better communication and collaboration among families, youth, state agencies, providers and others who support the family.

Once enrolled in CSoC, children, youth and families work with wraparound facilitators, employed by the Wraparound Agency, who are trained in the wraparound model, which is a structured, four phase, creative, and individualized planning process, guided by the SOC values and principles. In addition to wraparound facilitation children, youth and families have access to four specialized services in addition to other medically necessary state plan services. For more information about the program visit the CSoC website, www.csoc.la.gov.

Services

There are four specialized services available to youth enrolled in the CSoC program in addition to other medically necessary state plan services. Each CSoC service is described in more detail in the next section:

- Parent Support and Training;
- Youth Support and Training;
- Short-Term Respite; and
- Independent Living/Skills Building.

Service Limitations

The following services shall be excluded from Medicaid reimbursement:

- Components that are not provided to, or directed exclusively toward the treatment of, the Medicaid eligible individual;
- Services provided at a work site which are job tasks oriented and not directly related to the treatment of the recipient's needs;
- Services or components in which the basic nature of which are to supplant housekeeping, homemaking, or basic services for the convenience of an individual receiving services;
- Services rendered in an institution for mental disease; and
- Services rendered in a setting that does not meet the characteristics of a home and community based setting according to standards established by the Center for Medicare and Medicaid Services.

Eligibility

Children, youth and families eligible for CSoC include Medicaid members between the ages of 5 and 20 years of age, who have a severe emotional disturbance (SED) or a serious mental illness (SMI) and who are in or at risk of out of home placement.

Parent Support and Training

Person- and family-centered care involves peer- and family-support services. The widespread adoption of peer services has led to greater deployment across services for both physical and behavioral health. Peer-support services are provided in a variety of settings and across different models of care. Peer-support services are services designed and delivered by individuals who have experienced a mental or substance use disorder and are in recovery. They also include services designed and delivered by family members of those in recovery. Peer specialists foster hope and promote a belief in the possibility of recovery. (See www.samhsa.gov/section-223/care-coordination/person-family-centered.)

Research has shown that peer-support services can reduce symptoms and hospitalizations; increase social support and participation in the community; decrease lengths of hospital stays and costs of services; improve well-being, self-esteem and social functioning; and, encourage more thorough and longer-lasting recoveries. (See www.mentalhealthamerica.net/peer-services.)

Parent Support and Training (PST) is designed to benefit the parent/primary caregiver of Medicaid-eligible child/youth experiencing a SED who is eligible for the CSoC and is at risk of out-of-home placement. This service provides the training and support necessary to ensure engagement and active participation of the family in the treatment planning process and with the ongoing implementation and reinforcement of skills learned throughout the treatment process. The specialist may attend meetings with the family and assist in helping family members to effectively contribute to planning and accessing services, including assistance with removing barriers. The specialist assists in describing the program model and providing information, as needed, to assist the family. Support and training is provided to family members to increase their ability to provide a safe and supportive environment in the home and community for the child/youth (e.g., parenting children with various behavior challenges). **These activities may not be delivered in the provider's place of residence.**

Components

This involves:

- Assisting the family in the acquisition of knowledge and skills necessary to understand and address the specific needs of the eligible child/youth in relation to their mental illness/addictive disorder and treatment; development and enhancement of the family's specific problem-solving skills, coping mechanisms and strategies for the child's/youth's symptom/behavior management;
- Assisting the family in understanding various requirements of the waiver process, such as the crisis/safety plan and plan of care (POC) process;
- Training on understanding the child's diagnoses;
- Understanding service options offered by service providers and assisting with understanding policies, procedures and regulations that impact the child with mental illness/addictive disorder concerns while living in the community (e.g., training on system navigation and Medicaid interaction with other child-serving systems); and

- The specialist may also conduct follow-up with the families regarding services provided and continuing needs.

For the purpose of the CSoC, family is defined as the primary care-giving unit and is inclusive of the wide diversity of primary care-giving units in our culture. Family is a biological, adoptive or self-created unit of people residing together, consisting of adult(s) and/or child(ren), with adult(s) performing duties of parenthood for the child(ren). Persons within this unit share bonds, culture, practices and a significant relationship. Biological parents, siblings and others with significant attachment to the individual living outside the home are included in the definition of family. For the purposes of this service, "family" is defined as the persons who live with, or provide care to, a person served on the waiver and may include a parent, spouse, sibling, children, relatives, grandparents, guardians, foster parents or others with significant attachment to the individual. Services may be provided individually or in a group setting.

Provider Qualifications

Family Support Organization

Certification by the Office of Behavioral Health (OBH) as a Family Support Organization (FSO), which includes documentation of the following:

- A licensed mental health professional (LMHP) shall be available at all times to provide back up, support and/or consultation (See Appendix D);
- Arranges for and maintains documentation that all persons, prior to employment, pass drug screen and criminal background checks through the Louisiana Department of Public Safety, State Police and a search of the U.S. Department of Justice National Sex Offender Registry. If the results of any criminal background check reveal that the potential employee (or contractor) was convicted of any offenses against a child/youth or an elderly or disabled person, the provider shall not hire and/or shall terminate the employment (or contract) of such individual. The provider shall not hire an individual with a record as a sex offender nor permit these individuals to work for the provider as a subcontractor. Criminal background checks must be performed as required by R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq. Drug screens and criminal background checks performed over 30 days prior to date of employment will not be accepted as meeting this requirement;

- Arranges for and maintains documentation that all persons, prior to employment, are free from Tuberculosis (TB) in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in recipients and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement;
- Establishes and maintains written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use (See Appendix D);
- Maintains documentation that all direct care staff, who are required to complete First Aid, cardiopulmonary resuscitation (CPR) and seizure assessment training, complete American Heart Association (AHA) recognized training within 90 days of hire, which shall be renewed within a time period recommended by the AHA (See Appendix D);
- Maintains documentation, including frequency and type of activity, that individual staff members have completed required PST training prior to rendering PST services to recipients and/or supervising Parent Support Specialists. The FSO supervisors and direct care staff are required to complete the following trainings: Introduction to Wraparound for Family Support Specialists, Functional Behavioral Approach as well as any additional training required by OBH. These specialized trainings ensure that the direct care staff has the knowledge base needed to provide information and support to the families that they work with. These trainings also focus on skill development, so that the parent support and youth support specialists will be able to use their personal experiences to engage families;
- Ensure and maintains documentation that all unlicensed persons employed by the organization complete training in a recognized Crisis Intervention curriculum prior to handling or managing crisis calls, which shall be updated annually;
- Maintains documentation of verification of completion of required trainings for all staff; and
- Each Family Support Organization is required to have and utilize a comprehensive peer training plan and curriculum, which is inclusive of the Peer Worker Core

Competencies, as outlined by the Substance Abuse and Mental Health Services Administration (SAMHSA), and has been approved by OBH-CSoC.

Parent Support Specialist

- High school diploma or equivalent;
- Must be at least 21 years of age and have a minimum of two years' experience living or working with a child with SED or SMI (youth over the age of 18), or be equivalently qualified by education in the human services field (See Appendix B) or a combination of life/work experience and education, with one year of education substituting for one year of experience (preference is given to parents or caregivers of children with SED/SMI);
- Successful completion of parent support training, according to a curriculum approved by OBH, prior to providing the service (See Appendix D);
- Completion of continuing education in confidentiality requirements, Health Insurance Portability and Accountability Act (HIPAA) requirements and mandated reporting;
- A criminal background check through the Louisiana Department of Public Safety, State Police and a search of the U.S. Department of Justice National Sex Offender Registry will be conducted prior to employment to ensure that the potential employee (or contractor) has not been convicted of any offenses against a child/youth or an elderly or disabled person and does not have a record as a sex offender;
- Pass a motor vehicle screen;
- Pass a TB test prior to employment;
- Pass drug screening tests as required by agency's policies and procedures;
- Complete AHA recognized First Aid, CPR and seizure assessment training. Psychiatrists, advanced practical registered nurses (APRNs)/clinical nurse

specialist (CNSs)/physician assistants (PAs), registered nurses (RNs) and licensed practical nurses (LPNs) are exempt from this training (See Appendix D); and

- Non-licensed direct care staff are required to complete a basic clinical competency training program approved by OBH prior to providing the service. (See Appendix D).

Parent Support Supervisor

- Minimum of a bachelor’s degree in a human services field or bachelor’s degree in any field with a minimum of two years of full-time experience working in relevant family, children/youth or community service capacity;
- Successful completion of PST Supervisor training; and
- Meet the above qualifications for a Parent Support Specialist.

Allowed Provider Types and Specialties

- PT AC FSO, PS 5L Youth and Family Support, PSS 8E CSoC/Behavioral Health.

Limitations and Exclusions

- PST specialist supervisor (1:80 youth);
- PST specialist (1:20 youth);
- Parent support and training will not duplicate any other Medicaid State Plan service or other services otherwise available to the recipient at no cost (e.g., provided as charity care);
- Local Education Agencies (LEAs) may not provide this service; and
- PST must address the needs identified in the assessment and goals/objectives identified in the member’s individualized POC.

Allowed Mode(s) of Delivery

- Family;
- Group;
- On-site; and
- Off-site.

Additional Service Criteria

- One full-time employee (FTE) to 10 families is maximum group size;
- Parent trainer/group facilitators (one FTE per 160 families, minimum staffing ratio);
- Services provided to children and youth must include communication and coordination with the family and/or legal guardian, including any agency legally responsible for the care or custody of the child. Coordination with other child-serving systems should occur, as needed, to achieve the treatment goals. All coordination must be documented in the youth's treatment record. Time spent in coordination activities is not billable time. However, there is a cost factor for coordination built into the rates;
- The parent support specialist must be supervised by a person meeting the qualifications for a parent support supervisor and an LMHP;
- The individuals performing the functions of the parent support specialist may be full-time or part-time; and
- PST may be provided concurrently with the development of the POC.

Youth Support and Training

Youth Support and Training (YST) services are child-/youth-centered services that provide the training and support necessary to ensure engagement and active participation of the youth in the treatment planning process and with the ongoing implementation and reinforcement of skills

learned throughout the treatment process. YST is best delivered to members who have the capacity and ability to understand their diagnosis and symptoms and to be an active participant in their treatment decisions. The Youth support and training services will have a recovery focus designed to promote skills for coping with and managing psychiatric symptoms while facilitating the utilization of natural resources and the enhancement of community living skills. Activities included must be intended to achieve the identified goals or objectives as set forth in the child/youth's individualized POC. The structured, scheduled activities provided by this service emphasize the opportunity for youth to support other children and youth in the restoration and expansion of the skills and strategies necessary to move forward in recovery. YST is a face-to-face intervention with the child/youth present. Services can be provided individually or in a group setting. The majority of YST contacts must occur in community locations where the person lives, works, attends school and/or socializes. **These activities may not be delivered in the provider's place of residence.**

Components

- Helping the child/youth to develop a network for information and support from others who have been through similar experiences;
- Assisting the child/youth to regain the ability to make independent choices and take a proactive role in treatment, including discussing questions or concerns with their clinician about medications, diagnoses or treatment;
- Assisting the child/youth to identify, and effectively respond to or avoid, identified precursors or triggers that maintain or increase functional impairments; and
- Assisting the child/youth with the ability to address and reduce the following behaviors, reducing reliance on YST over time: rebellious behavior, early initiation of antisocial behavior (e.g., early initiation of drug use, shoplifting, truancy), attitudes favorable toward drug use (including perceived risks of drug use), antisocial behaviors toward peers, contact with friends who use drugs, gang involvement and intentions to use drugs.

Provider Qualifications**Family Support Organization**

Certification by the OBH-CSoC as a FSO, which includes documentation of the following:

- A LMHP shall be available at all times to provide back up, support and/or consultation (See Appendix D);
- Arranges for and maintains documentation that all persons, prior to employment, pass drug screen and criminal background checks through the Louisiana Department of Public Safety, State Police and a search of the U.S. Department of Justice National Sex Offender Registry. If the results of any criminal background check reveal that the potential employee (or contractor) was convicted of any offenses against a child/youth or an elderly or disabled person, the provider shall not hire and/or shall terminate the employment (or contract) of such individual. The provider shall not hire an individual with a record as a sex offender nor permit these individuals to work for the provider as a subcontractor. Criminal background checks must be performed as required by R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq. Drug screens and criminal background checks performed over 30 days prior to date of employment will not be accepted as meeting this requirement;
- Arranges for and maintains documentation that all persons, prior to employment, are free from TB in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in recipients and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement;
- Establishes and maintains written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use (See Appendix D);
- Maintains documentation that all direct care staff, who are required to complete First Aid, CPR and seizure assessment training, complete AHA recognized training within 90 days of hire, which shall be renewed within a time period recommended by the AHA (See Appendix D);

- Maintains documentation, including frequency and type of activity, that individual staff members have completed required YST training prior to rendering YST services to recipients. The FSO supervisors and direct care staff are required to complete the following trainings: Introduction to Wraparound for Family Support Specialists, Functional Behavioral Approach as well as any additional training required by OBH. These specialized trainings ensure that the direct care staff has the knowledge base needed to provide information and support to the families that they work with. These trainings also focus on skill development, so that the parent support and youth support specialists will be able to use their personal experiences to engage families;
- Each Family Support Organization is required to have and utilize a comprehensive peer training plan and curriculum, which is inclusive of the Peer Worker Core Competencies, as outlined by the Substance Abuse and Mental Health Services Administration (SAMHSA), and has been approved by OBH-CSoC;
- Ensures and maintains documentation that all unlicensed persons employed by the organization complete training in a recognized Crisis Intervention curriculum prior to handling or managing crisis calls, which shall be updated annually; and
- Maintains documentation of verification of completion of required trainings for all staff.

Youth Support Specialist

- High school diploma or equivalent, or must be currently seeking diploma;
- Must be at least 18 years of age and self-identify as a present or former child recipient of behavioral health services;
- Successful completion of youth support training, according to a curriculum approved by OBH, prior to providing the service (See Appendix D);
- Completion of continuing education in confidentiality requirements, Health Insurance Portability and Accountability Act (HIPAA) requirements and mandated reporting;

- A criminal background check through the Louisiana Department of Public Safety, State Police and a search of the U.S. Department of Justice National Sex Offender Registry will be conducted prior to employment to ensure that the potential employee (or contractor) has not been convicted of any offenses against a child/youth or an elderly or disabled person and does not have a record as a sex offender;
- Pass drug screening tests as required by agency’s policies and procedures;
- Pass a motor vehicle screen;
- Pass a TB test prior to employment;
- Complete AHA recognized First Aid, CPR and seizure assessment training. Psychiatrists, APRNs/CNSs/PAs, RNs and LPNs are exempt from this training (See Appendix D); and
- Non-licensed direct care staff are required to complete a basic clinical competency training program approved by OBH prior to providing the service (See Appendix D).

Youth Support Supervisor

- Minimum of a bachelor’s degree in a human services field or bachelor’s degree in any field with a minimum of two years of full-time experience working in relevant family, children/youth or community service capacity;
- Successful completion of YST Supervisor training; and
- Meet the above qualifications for a Youth Support Specialist.

Allowed Provider Types and Specialties

- PT AC FSO, PS 5L Youth and Family Support, PSS 8E CSoC/Behavioral Health.

Limitations and Exclusions

- YST specialist supervisor (1:80 youth);
- YST specialist (1:20 youth);
- Youth support and training will not duplicate any other Medicaid State Plan service or other services otherwise available to the recipient at no cost (e.g., provided as charity care);
- YST must address the needs identified in the assessment and goals/objectives identified in the member's individualized POC;
- Local Education Agencies (LEAs) may not provide this service; and
- Limit of 750 hours of YST per calendar year. This limit can be exceeded when medically necessary in conjunction with an approved plan of care developed by the Child and Family Team.

Allowed Mode(s) of Delivery

- Individual;
- Group;
- On-site; and
- Off-site.

Additional Service Criteria

- Services provided to children and youth must include communication and coordination with the family and/or legal guardian, including any agency legally responsible for the care or custody of the child;

- Coordination with other child-serving systems should occur, as needed, to achieve the treatment goals. All coordination must be documented in the youth's treatment record. Time spent in coordination activities is not billable time. However, there is a factor for coordination built into the rates;
- The YST specialist must be supervised by a person meeting the qualifications for a YST supervisor and an LMHP; and
- YST may be provided concurrently with the development of the POC.

Independent Living/Skills Building

Independent living/skills building services are designed to assist children who are, or will be, transitioning to adulthood beginning at the age of 14 years old with support in acquiring, retaining and improving self-help, socialization and adaptive skills necessary to be successful in the domains of employment, housing, education and community life and to reside successfully in home and community settings. Independent living/skills building activities are provided in partnership with young children to help the child/youth arrange for the services they need to become employed, access transportation, housing and continuing education. Services are individualized according to each youth's strengths, interests, skills, goals and are included on an individualized transition plan (i.e., waiver POC). It is expected that independent living/skills building activities take place in the community. **These activities may not be delivered in the provider's place of residence.** This service can be utilized to train and cue normal activities of daily living and instrumental activities of daily living. Housekeeping, homemaking (shopping, child care and laundry services) or basic services, solely for the convenience of a child receiving independent living/skills building, are not covered. An example of community settings could encompass: a grocery or clothing store, (teaching the young person how to shop for food, or what type of clothing is appropriate for interviews), unemployment office (assist in seeking jobs, assisting the youth in completing applications for jobs), apartment complexes (to seek out housing opportunities), laundromats (how to wash their clothes). Additional life skills training examples include life safety skills, ability to access emergency services, basic safety practices and evacuation, physical and mental health care (maintenance, scheduling physician appointments), recognizing when to contact a physician, self-administration of medication for physical and mental health conditions, understanding purpose and possible side effects of medication prescribed for conditions, other common prescription and non-prescription drugs and drug uses, use of transportation (accessing public transportation, learning to drive, obtaining insurance), etc. These services may be provided in any other community setting as identified through the POC process. This is not an all-inclusive list.

Transportation provided between the child/youth's place of residence, other services sites or places in the community, and the cost of transportation is included in the rate paid to providers of this service.

Provider Qualifications

Transition Coordination Agency

To provide transition coordination services, agencies must:

- Be licensed per R.S. 40:2151 et seq;
- Arranges for and maintains documentation that all persons, prior to employment, pass criminal background checks through the Louisiana Department of Public Safety, State Police. If the results of any criminal background check reveal that the potential employee (or contractor) was convicted of any offenses against a child/youth or an elderly or disabled person, the provider shall not hire and/or shall terminate the employment (or contract) of such individual. The provider shall not hire an individual with a record as a sex offender nor permit these individuals to work for the provider as a subcontractor. Criminal background checks must be performed as required by R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq. Criminal background checks performed over 30 days prior to date of employment will not be accepted as meeting this requirement;
- Arranges for and maintains documentation that all persons, prior to employment, are free from TB in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in recipients and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement;
- Establishes and maintains written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use (See Appendix D);
- Maintains documentation that all direct care staff, who are required to complete First Aid, CPR and seizure assessment training, complete AHA recognized training within 90 days of hire, which shall be renewed within a time period recommended by the AHA (See Appendix D);

- Ensures and maintains documentation that all unlicensed persons employed by the organization complete a documented training in a recognized Crisis Intervention curriculum prior to handling or managing crisis calls, which shall be updated annually;
- Maintains documentation of verification of completion of required trainings for all staff;
- Ensures supervision is provided to the Transition Coordinator to provide back up, support and/or consultation;
- Ensures a LMHP is available at all times to provide back up, support and/or consultation (See Appendix D); and
- Employs Transition Coordinators with the below qualifications.

Transition Coordinator

- High school diploma or equivalent;
- Must be at least 21 years of age and have a minimum of two years' experience working with children with SED or be equivalently qualified by education in the human services field or a combination of work experience and education, with one year of education substituting for one year of experience (See Appendix B);
- Pass criminal background check through the Louisiana Department of Public Safety, State Police prior to employment;
- Pass a motor vehicle screen;
- Pass a TB test prior to employment;
- Pass drug screening tests as required by agency's policies and procedures;

- Complete AHA recognized First Aid, CPR and seizure assessment training. Psychiatrists, APRNs/CNSs/PAs, RNs and LPNs are exempt from this training (See Appendix D); and
- Non-licensed direct care staff are required to complete a basic clinical competency training program approved by OBH (See Appendix D). Complete an approved training in the skills area(s) needed by the transitioning youth, according to a curriculum approved by OBH prior to providing the service (See Appendix D).

Allowed Provider Types and Specialties

- PT AD Transition Coordination;
- PS 5U Individual, PSS 8E – CSoC/Behavioral Health; and
- PS 5V Agency/Business, PSS 8E – CSoC/Behavioral Health.

Limitations and Exclusions

- Independent living/skills building will not duplicate any other Medicaid State Plan service or other services otherwise available to the recipient at no cost (e.g., provided as charity care);
- Independent living/skills building must address the needs identified in the assessment and address goals/objectives identified in the member’s individualized POC;
- Local Education Agencies (LEAs) may not provide this service; and
- Service requires prior authorization.

Allowed Mode(s) of Delivery

- Individual;
- On-site; and
- Off-site.

Additional Service Criteria

Services provided to children and youth must include communication and coordination with the family and/or legal guardian, including any agency legally responsible for the care or custody of the child. Coordination with other child-serving systems should occur, as needed, to achieve the treatment goals. All coordination must be documented in the youth's medical record. Time spent in coordination activities is not billable time. However, there is a factor for coordination built into the rates.

Independent living/skills building may be provided concurrently with the development of the POC.

Short-Term Respite Care

Short-term respite care provides temporary direct care and supervision for the child/youth in the child's home or a community setting that is not facility-based (i.e., not provided overnight in a provider-based facility). The primary purpose is relief to families/caregivers of a child with a SED or relief of the child. The service is designed to help meet the needs of the primary caregiver, as well as the identified child. Respite services help to de-escalate stressful situations and provide a therapeutic outlet for the child. Respite may be either planned or provided on an emergency basis. Normal activities of daily living are considered to be included in the content of the service when providing respite care and cannot be billed separately. These include support in the home, after school or at night, transportation to and from school/medical appointments or other community-based activities and/or any combination of the above. The cost of transportation is also included in the rate paid to providers of this service. Short-term respite care can be provided in an individual's home or place of residence or provided in other community settings, such as at a relative's home or in a short visit to a community park or recreation center. The child must be present when providing short-term respite care.

Provider Qualifications**Agency**

- Arranges for and maintains documentation that all persons, prior to employment, pass criminal background checks through the Louisiana Department of Public Safety, State Police. If the results of any criminal background check reveal that the potential employee (or contractor) was convicted of any offenses against a child/youth or an elderly or disabled person, the provider shall not hire and/or shall terminate the employment (or contract) of such individual. The provider shall not hire an individual with a record as a sex offender nor permit these individuals to

work for the provider as a subcontractor. Criminal background checks must be performed as required by R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq. Criminal background checks performed over 30 days prior to date of employment will not be accepted as meeting this requirement;

- Arranges for and maintains documentation that all persons, prior to employment, are free from TB in a communicable state via skin testing (or chest exam if recommended by physician) to reduce the risk of such infections in recipients and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement;
- Establishes and maintains written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use (See Appendix D);
- Maintains documentation that all direct care staff, who are required to complete First Aid, CPR and seizure assessment training, complete AHA recognized training within 90 days of hire, which shall be renewed within a time period recommended by the AHA (See Appendix D);
- Ensures and maintains documentation that all unlicensed persons employed by the organization complete a documented training in a recognized Crisis Intervention curriculum prior to handling or managing crisis calls, which shall be updated annually; and
- Maintains documentation of verification of completion of required trainings for all staff.

General note on supervision of Direct Service Workers

Per LDH Health Standards Section HCBS Rule, home and community based agencies must supervise the direct service workers (DSWs) that provide the care recipients receive. The requirement is for the supervisor of the DSW to make an onsite visit to the recipient's home to evaluate the following:

- The DSW's ability to perform their assigned duties;

- To determine whether recipient is receiving the services that are written in the plan of care;
- To verify that the DSW is actually reporting to the home according to the frequency ordered in the plan of care; and
- To determine recipient's satisfaction with the services recipient is receiving.

Staff

The following individual qualifications are required for the direct care staff person:

- Must be at least 18 years of age, and at least three years older than an individual under the age of 18;
- High school diploma, general equivalency diploma or trade school diploma in the area of human services (See Appendix B), or demonstrate competency or verifiable work experience in providing support to persons with disabilities;
- Pass criminal and professional background checks through the Louisiana Department of Public Safety, State Police prior to employment;
- Pass a TB test prior to employment;
- Pass drug screen testing as required by agency's policies and procedures;
- Complete AHA recognized First Aid, CPR and seizure assessment training. Psychiatrists, APRNs/CNSs/PAs, RNs and LPNs are exempt from this training (See Appendix D);
- Pass a motor vehicle screen;
- Must have no finding of abuse, neglect, mistreatment or misappropriation of a recipient's property placed against them as verified by review of the Louisiana Direct Service Worker Registry found at the following website: <http://www.dhh.la.gov/index.cfm/page/2257>;

- Possess and provide documentation of a valid social security number;
- Provide documentation of CPR and first aid certifications;
- Comply with law established by R.S. 40:2179 et seq., and meet any additional qualifications established under Rule promulgated by LDH in association with this statute; and
- Completion of respite training according to the curriculum approved by OBH prior to providing the service (See Appendix D).

Allowed Provider Types and Specialties

Respite Care Services Agency

To provide respite care services, agencies must meet the following requirements:

- Licensed as a Home and Community Based Service (HCBS) Provider/In Home Respite Agency per Revised Statute 40:2120.1 et seq. and Louisiana Administrative Code (LAC) 48:I. Chapter 50 found at the following website: <http://www.doa.la.gov/Pages/osr/LAC-48.aspx>;
- Completion of State-approved training according to a curriculum approved by OBH prior to providing the service (See Appendix D);
- Maintains documentation of verification of completion of required trainings for all staff; and
- PT AE Respite Care Service Agency, PS 8E CSoc/Behavioral Health.

Personal Care Attendant (PCA) Agency

To provide personal care attendant services, agencies must meet the following requirements:

- Licensed as a HCBS provider/PCA agency per Revised Statute 40:2120.1 et seq. and LAC 48:I. Chapter 50 found at the following website: <http://www.doa.la.gov/Pages/osr/LAC-48.aspx>;

- Completion of State-approved training according to a curriculum approved by OBH prior to providing the service (See Appendix D);
- Maintains documentation of verification of completion of required trainings for all staff; and
- PT 82 Personal Care Attendant Agency, PS 8E CSoC/Behavioral Health.

Crisis Receiving Center

To provide crisis receiving center services, centers must meet the following requirements:

- Licensed per Revised Statute 40:2180.11 et seq. and LAC 48: I. Chapters 53 and 54;
- Completion of state approved training according to a curriculum approved by the OBH prior to providing the service (See Appendix D);
- Maintains documentation of verification of completion of required trainings for all staff; and
- PT AF Crisis Receiving Center, PS 8E CSoC/Behavioral Health.

Child-Placing Agency (Therapeutic Foster Care)

To provide child-placing services, agencies must meet the following requirements:

- Licensed as a Child-Placing Agency by the Department of Child and Family Services (DCFS) per Revised Statute 46:1401-1424;
- Completion of state approved training according to a curriculum approved by OBH prior to providing the service (See Appendix D); and
- Maintains documentation of verification of completion of required trainings for all staff.

Supervised Independent Living (SIL) Agency

To provide respite care services, agencies must meet the following requirements:

- Licensed as a HCBS provider/PCA agency per Revised Statute 40:2120.1 et seq. and LAC 48:I. Chapter 50 found at the following website: <http://www.doa.la.gov/Pages/osr/LAC-48.aspx>;
- Completion of state approved training according to a curriculum approved by OBH prior to providing the service (See Appendix D);
- Maintains documentation of verification of completion of required trainings for all staff.; and
- PT 89 Supervised Independent Living, PS 8E CSoC/Behavioral Health.

Limitations and Exclusions

- Short-Term Respite will not duplicate any other Medicaid State Plan service or other services otherwise available to the recipient at no cost (e.g., provided as charity care);
- Short-term respite must address the needs identified in the assessment and address goals/objectives identified in the member's individualized POC;
- Local Education Agencies (LEAs) may not provide this service;
- Short-term respite care pre-approved for the duration of 72 hours per episode, with a maximum of 300 hours allowed per calendar year. These limitations can be exceeded through prior authorization by the CSoC contractor or inclusion in the approved POC;
- Services provided to children and youth must include communication and coordination with the family and/or legal guardian. Coordination with other child serving systems should occur as needed to achieve the treatment goals. All coordination must be documented in the youth's treatment record;

- Medicaid federal financial participation (FFP) will not be claimed for the cost of room and board. The Medicaid rate does not include costs for room and board;
- Respite care may be provided by a licensed respite care facility, with the availability of community outings. Community outings would be included on the approved POC and would include activities, such as school attendance, other school activities, or other activities the individual would receive if they were not receiving respite from a center-based respite facility. Such community outings would allow the individual's routine not to be interrupted. Respite is not provided inside a provider facility;
- Respite services provided by or in an Institution for Mental Disease (IMD) are not covered;
- Short-term respite care may not be provided simultaneously with crisis stabilization services; and
- Short-Term Respite may be provided concurrently with the development of the POC.

Allowed Mode(s) of Delivery

- Individual; and
- Off-site.

Additional Service Criteria

Services provided to children and youth must include communication and coordination with the family and/or legal guardian, including any agency legally responsible for the care or custody of the child. Coordination with other child-serving systems should occur, as needed, to achieve the treatment goals. All coordination must be documented in the youth's treatment record. Time spent in coordination activities is not billable time. However, there is a factor for coordination built into the rates.

RECORD KEEPING

Components of Record Keeping

All provider records must be maintained in an accessible, standardized order, and format, at the office site in the Louisiana Department of Health's (LDH) administrative region where the recipient resides. The provider must have sufficient space, facilities and supplies to ensure effective record keeping. The provider must keep sufficient records to document compliance with LDH requirements for the recipient served and the provision of services.

A separate record that supports medical necessity for each billed service and fully documents services for which payments have been made must be maintained on each recipient. The provider must maintain sufficient documentation to enable LDH, or its designee, to verify that prior to payment each charge is due and proper. The provider must make available all records that LDH or its designee finds necessary to determine compliance with all federal or state law, rule or regulation promulgated by LDH.

Retention of Records

Administrative, personnel and recipient records must be maintained for whichever of the following time frames is longer:

- Until records are audited and all audit questions are answered; or
- Six years from the date of the last payment period.

NOTE: Upon provider closure, all provider records must be maintained according to applicable laws, regulations and the above record retention requirements, and copies of the required documents transferred to the new agency.

Confidentiality and Protection of Records

All records, including administrative and recipient records, must be the property of the provider and secured against loss, tampering, destruction or unauthorized use. Employees of the provider must not disclose or knowingly permit the disclosure of any information concerning the provider,

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SECTION 2.6: RECORD KEEPING

the recipient or their families, directly or indirectly, to any unauthorized person. The provider must safeguard the confidentiality of any information that might identify the recipients or their families. The information may be released only under the following conditions:

- Court order;
- Recipient's written informed consent for release of information;
- Written consent of the individual to whom the recipient's rights have been devolved when the recipient has been declared legally incompetent; or
- Compliance with the Federal Confidentiality Law of Alcohol and Drug Abuse Patients Records (42 CFR, Part 2).

Upon request, a provider must make available information in the case records to the recipient or legally responsible representative. If, in the professional judgment of the administration of the agency, it is felt that information contained in the record would be damaging to the recipient, that information may be withheld from the recipient, except under court order.

The provider may charge a reasonable fee for providing the above records. This fee cannot exceed the community's competitive copying rate.

A provider may use material from case records for teaching or research purposes, development of the governing body's understanding and knowledge of the provider's services, or similar educational purposes, if names are deleted and other similar identifying information is disguised or deleted. Any electronic communication containing recipient specific identifying information sent by the provider to another agency, or to LDH, must comply with regulations of the Health Insurance Portability and Accountability Act (HIPAA) and be sent securely via an encrypted messaging system. A system must be maintained that provides for the control and location of all recipient records.

NOTE: Under no circumstances should providers allow staff to take recipient's case records from the office.

Review by State and Federal Agencies

Providers must make all administrative, personnel and recipient records available to LDH, or its designee, and appropriate state and federal personnel at all times. Providers must always safeguard the confidentiality of recipient information.

Member Records

Providers must have a separate written record for each recipient served by the provider. For the purposes of continuity of care/support and for adequate monitoring of progress toward outcomes and services received, service providers must have adequate documentation of services offered and provided to recipients they serve. This documentation is an on-going chronology of activities undertaken on behalf of the recipient.

Providers shall maintain case records that include, at a minimum:

- Name of the individual;
- Dates and time of service;
- Assessments;
- Copy of the treatment plans, which include at a minimum:
 - Goals and objectives, which are specific, measureable, action oriented, realistic and time-limited;
 - Specific interventions;
 - Service locations for each intervention;
 - Staff providing the intervention; and
 - Dates of service;
- Progress notes;
- Units of services provided;
- Crisis plan;
- Discharge plan; and

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- Advanced directive.

Organization of Records, Record Entries and Corrections

Organization of individual recipient records and the location of documents within the record must be consistent among all records. Records must be appropriately thinned so that current material can be easily located in the record. All entries and forms completed by staff in recipient records must be legible, written in ink (not black) and include the following:

- The name of the person making the entry;
- The signature of the person making the entry;
- The functional title of the person making the entry;
- The full date of documentation; and
- Reviewed by the supervisor, if required.

Any error made by the staff in a recipient's record must be corrected using the legal method which is to draw a line through the incorrect information, write "error" by it and initial the correction. **Correction fluid must never be used in a recipient's records.**

Service/Progress Notes

Service/progress notes document the service/progress billed. Service/progress notes must reflect the service delivered and are the "paper trail" for services delivered.

The following information is required to be entered in the service/progress notes to provide a clear audit trail and document claims:

- Name of recipient;
- Name of provider and employee providing the service(s);
- Service provider contact telephone number;

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SECTION 2.6: RECORD KEEPING**PAGE(S) 7**

- Date of service contact;
- Start and stop time of service contact; and
- Content of each delivered service, including the reason for the contact describing the goals/objectives addressed during the service, specific intervention(s), progress made toward functional and clinical improvement.

Service/progress notes must be reviewed by the supervisor (if applicable) to ensure that all activities are appropriate in terms of the nature and time, and that documentation is sufficient.

The service/progress note must clearly document that the services provided are related to the recipient's goals, objectives and interventions in the treatment plan, and are deemed medically necessary and clinically appropriate; document what materials were used when teaching a skill and document the progress of the recipient with very specific information regarding response to the intervention and the plan for next time. Service/progress notes should include each recipient's response to the intervention, noting if progress is or is not being made. Effective documentation includes observed behaviors if applicable and a plan for the next scheduled contact with the recipient.

Progress Summaries

A progress summary is a synthesis of all activities and services for a specified period (at least every 90 days or more often if required by the managed care organization (MCO) or Coordinated System of Care (CSOC) contractor) which address each recipient's assessed needs, progress toward the recipient's desired personal outcomes, and changes in the recipient's progress and service needs. This summary must be of sufficient detail and analysis to allow for evaluation of the appropriateness of the recipient's treatment plan, sufficient information for use by supervisors, and evaluation of activities by program monitors.

Progress summaries must:

- Document the time period summarized;
- Indicate who was contacted, where contact occurred and what activity occurred;
- Record activities and actions taken, by whom, and progress made;

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- Indicate how the recipient is progressing toward the personal outcomes in the treatment plan, as applicable;
- Document delivery of each service identified on the treatment plan, as applicable;
- Document any deviation from the treatment plan;
- Record any changes in the recipient's medical condition, behavior or home situation that may indicate a need for a reassessment and treatment plan change, as applicable;
- Be legible (including signature) and include the functional title of the person making the entry and date;
- Be complete and updated in the record in the time specified;
- Be complete and updated by the supervisor (if applicable) in the record as progress summary at the time specified;
- Be recorded more frequently when there is frequent activity or when significant changes occur in the recipient's service needs and progress;
- Be signed by the person providing the services; and
- Be entered in the recipient's record when a case is transferred or closed.

Progress summaries must be documented in a narrative format that reflects delivery of each service and elaborates on the activity of the contact. Progress summaries must be of sufficient content to reflect descriptions of activities and cannot be so general that a complete picture of the services and progress cannot be easily determined from the content of the note.

NOTE: General terms and phrases such as “called the recipient”, “supported recipient”, or “assisted recipient” are not sufficient and do not reflect adequate content. Check lists alone are not adequate documentation.

Discharge Summary for Transfers and Closures

A discharge summary details the recipient's progress prior to a transfer or closure. A discharge summary must be completed within 14 calendar days following a recipient's discharge.

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Link to training modules on the LDH website: <http://new.LDH.louisiana.gov/index.cfm/page/2473>

Approved Independent Living/ Skills Building (II/Sb) Curriculum - Youth

Casey Life Skills – <http://lifeskills.casey.org/>

Approved Psychosocial Rehabilitation (PSR) curriculum – Adults

- Boston Psychiatric Rehabilitation Model <https://cpr.bu.edu/>
- Clubhouse Model <http://clubhouse-intl.org/>
- Social Skills Training Model <http://www.psychrehab.com/>

Approved Short Term Respite (STR) Curriculum – Youth

University of Idaho Respite Care Provider Training Manual –
https://marketplace.uidaho.edu/C20272_ustores/web/product_detail.jsp?PRODUCTID=1636

Behavioral Health Service (BHS) Provider License

Information and regulations associated with the BHS license rule may be found on the Louisiana Health Standards Section website available at the following link:
<http://dhh.louisiana.gov/index.cfm/directory/detail/7950/catid/154>.

Information and regulations associated with other licenses issued by the Louisiana Health Standards Section may be found under the Programs section on their website at the following link:
<http://dhh.louisiana.gov/index.cfm/subhome/32>.

CMS Emergency Preparedness Regulation Guidance and Resources

<https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/index.html>

First Aid, Cardiopulmonary Resuscitation (CPR) and Seizure Assessment Training

Agencies, organizations and facilities are required to ensure staff complete an American Heart Association (AHA) recognized first aid, CPR and seizure assessment training. Staff must renew certifications at least once every two years or as recommended by the AHA. Psychiatrists, APRNs/CNSs/PAs, RNs and LPNs are exempt from this training. Courses may be found by visiting the AHA website: <http://www.heart.org/HEARTORG/>

Functional Family Therapy Resources

Please see the FFT website for additional information: www.fftinc.com

Substance Abuse and Mental Health Service Administration's (SAMHSA) online guide for establishing drug-free workplace programs and developing written policies. This resource may be found at the following link: <http://www.samhsa.gov/workplace/toolkit/develop-policy>

General Information and Administration Provider Manual

Providers should refer to Chapter 1 - General Information and Administration of the *Medicaid Services Manual* for additional information on provider enrollment and requirements, including general standards for participation. This manual chapter may be found at the following link:

<http://www.lamedicaid.com/provweb1/Providermanuals/manuals/GIA/GIA.pdf>

GLOSSARY

The following is a list of abbreviations, acronyms and definitions used in the Behavioral Health Services manual chapter.

Ambulatory Withdrawal Management with Extended On-Site Monitoring (ASAM Level 2 WM) - An organized outpatient addiction treatment service that may be delivered in an office setting or health care or behavioral health services provider by trained clinicians who provide medically supervised evaluation, detoxification and referral services. The services are designed to treat the client's level of clinical severity to achieve safe and comfortable withdrawal from mood-altering chemicals and to effectively facilitate the client's entry into ongoing treatment and recovery. The services are provided in conjunction with intensive outpatient treatment services (level II.1).

ASAM - American Society of Addiction Medicine

Assertive Community Treatment (ACT) - Services provided as interventions that address the functional problems of individuals who have the most complex and/or pervasive conditions associated with a major mental illness or co-occurring addictions disorder. These interventions are strength-based and focused on promoting symptom stability, increasing the individual's ability to cope and relate to others and enhancing the highest level of functioning in the community.

Child Specialist (Addiction Services) - An individual, who has documentation verifying the required minimum of 90 clock hours of education and training in child development and/or early childhood education.

Clinically Managed High-Intensity Residential Treatment (ASAM Level 3.5) - A residential program that offers continuous observation, monitoring, and treatment by clinical staff designed to treat clients experiencing substance-related disorders who have clinically-relevant social and psychological problems, such as criminal activity, impaired functioning and disaffiliation from mainstream values, with the goal of promoting abstinence from substance use and antisocial behavior and affecting a global change in clients' lifestyles, attitudes and values.

Clinically Managed Low Intensity Residential Treatment (ASAM Level 3.1) – A residential program that offers at least five hours a week of a combination of low intensity clinical and recovery-focused services for substance-related disorders. Services may include individual, group and family therapy, medication management and medication education, and treatment is directed toward applying recovery skills, preventing relapse, improving emotional functioning, promoting personal responsibility and reintegrating the client into the worlds of work, education and family life (e.g., halfway house).

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Clinically Managed Medium-Intensity Residential Treatment (ASAM Level 3.3 - A residential program that offers at least 20 hours per week of a combination of medium-intensity clinical and recovery focused services in a structured recovery environment to support recovery from substance-related disorders; is frequently referred to as extended or long term care.

Clinically Managed Residential Social Withdrawal Management (ASAM LEVEL 3.2 WM) - An organized residential program utilizing 24 hour active programming and containment provided in a non-medical setting that provides relatively extended, sub-acute treatments, medication monitoring observation, and support in a supervised environment for a client experiencing non-life threatening withdrawal symptoms from the effects of alcohol/drugs and impaired functioning and who is able to participate in daily residential activities.

Community Psychiatric Support and Treatment (CPST) - A comprehensive service which focuses on reducing the disability resulting from mental illness, restoring functional skills of daily living, building natural supports and solution-oriented interventions intended to achieve identified goals or objectives as set forth in the individualized treatment plan.

Coordinated System of Care (CSoC) - An innovative reflection of two powerful movements in health care: coordination of care for individuals with complex needs and family-driven and youth-guided care. CSoC is guided by an overarching System of Care (SOC) philosophy and values, which include: family driven, youth guided, home and community based, strengths base, individualized, culturally and linguistically competent, integration across systems, connection to natural supports, data driven and outcomes oriented and unconditional care.

Crisis Intervention (CI) - Services provided to a person who is experiencing a psychiatric crisis and are designed to interrupt and/or ameliorate a crisis experience, through a preliminary assessment, immediate crisis resolution and de-escalation and referral and linkage to appropriate community services to avoid more restrictive levels of treatment.

Crisis Stabilization (CS) - Services intended to provide short-term and intensive supportive resources for the youth and his/her family. The intent of this service is to provide an out-of-home crisis stabilization option for the family in order to avoid psychiatric inpatient and institutional treatment of the youth by responding to potential crisis situations.

EP - A service provided as part of Medicaid's Early and Periodic Screening, Diagnosis and Treatment (EPSDT) program.

FDA - Food and Drug Administration (FDA) is an agency within the U.S. Department of Health and Human Services. The FDA's organization consists of the Office of the Commissioner and four directorates overseeing the core functions of the agency: Medical Products and Tobacco, Foods, Global Regulatory Operations and Policy, and Operations.

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Federally Qualified Health Center (FQHC) - An entity authorized under §330 of the Public Health Service (PHS) Act to receive grant funding to provide health care services and improve the health status of medically underserved populations. The U.S. Department of Health and Human Services, Health Resources and Services Administration (HRSA) certifies FQHC status.

Functional Family Therapy (FFT) and Functional Family Therapy-Child Welfare (FFT-CW) - FFT and FFT-CW are deemed a best practice/family-based approach to providing treatment to youth who are between the ages of 10 and 18 (0 to 18 for FFT-CW) and are exhibiting significant externalizing behaviors. It is a systems-based model of intervention/prevention, which incorporates various levels of the member's interpersonal experiences to include cognitive, emotional and behavioral experiences, as well as intrapersonal perspectives which focus on the family and other systems (within the environment) and impact the youth and his or her family system. FFT and FFT-CW are strengths-based models of intervention, which emphasize the capitalization of the resources of the youth, their family and those of the multi-system involved. Its purpose is to foster resilience and ultimately decrease incidents of disruptive behavior for the youth. More specifically, some of the goals of the service are to reduce intense/ negative behavioral patterns, improve family communication, parenting practices and problem-solving skill, and increase the family's ability to access community resources.

Homebuilders® - An intensive, in-home Evidence-Based Program (EBP) utilizing research based strategies (e.g. Motivational Interviewing, Cognitive and Behavioral Interventions, Relapse Prevention, Skills Training), for families with children (birth to 18 years) at imminent risk of out of home placement (requires a person with placement authority to state that the child is at risk for out of home placement without Homebuilders), or being reunified from placement.

House Manager (Addiction Services) - A person who supervises activities of the facility when the professional staff is on call, but not on duty. This person is required to have adequate orientation and skills to assess situations related to relapse and to provide access to appropriate medical care when needed.

Human Services Field - Academic program with a curriculum content in which at least 70 percent of the required courses are in the study of behavioral health or human behavior.

Independent living/skills building services - Services designed to assist children who, are or will be, transitioning to adulthood beginning at the age of 14 years old with support in acquiring, retaining and improving self-help, socialization and adaptive skills necessary to be successful in the domains of employment, housing, education and community life and to reside successfully in home and community settings.

Intensive Outpatient Treatment (ASAM Level 2.1) - Professionally directed assessment, diagnosis, treatment and recovery services provided in an organized non-residential treatment setting, including individual, group, family counseling and psycho-education on recovery as well

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as monitoring of drug use, medication management, medical and psychiatric examinations, crisis mitigation coverage and orientation to community-based support groups. Services may be offered during the day, before or after work or school, in the evening or on a weekend, and the program must provide nine or more hours of structured programming per week for adults and six or more hours of structured programming per week for children/adolescents.

Licensed Mental Health Professional (LMHP) - An individual who is licensed in the State of Louisiana to diagnose and treat mental illness or substance use, acting within the scope of all applicable State laws and their professional license. An LMHP includes the following individuals who are licensed to practice independently: Medical psychologists, licensed psychologists, licensed clinical social workers (LCSWs), licensed professional counselors (LPCs), licensed marriage and family therapists (LMFTs), licensed addiction counselors (LACs), and advanced practice registered nurses (APRNs). See Appendix B for further details.

Medically Monitored Intensive Residential Treatment (ASAM Level 3.7) - Residential program that provides a planned regimen of 24-hour professionally directed evaluation, observation, medical monitoring and addiction treatment to clients with co-occurring psychiatric and substance disorders whose disorders are so severe that they require a residential level of care but do not need the full resources of an acute care hospital. The program provides 24 hours of structured treatment activities per week, including, but not limited to, psychiatric and substance use assessments, diagnosis treatment, and habilitative and rehabilitation services.

Medically Monitored Residential Withdrawal Management (ASAM Level 3.7 WM) - A residential program that provides 24-hour observation, monitoring and treatment delivered by medical and nursing professionals to clients whose withdrawal signs and symptoms are moderate to severe and thus require residential care, but do not need the full resources of an acute care hospital.

Medically Necessary Services - Health care services that are in accordance with generally accepted evidence-based medical standards or that are considered by most physicians (or other independent licensed practitioners) within the community of their respective professional organizations to be the standard of care. With regards to behavioral health services, the medical necessity for services shall be determined by an LMHP or physician who is acting within the scope of their professional license and applicable state law.

Multi-Systemic Therapy (MST) - Services that provide an intensive home/family and community-based treatment for youth who are at risk of out-of-home placement or who are returning from out-of-home placement.

Outpatient Therapy by Licensed Practitioners - Other Licensed Practitioner Outpatient Therapy - Individual, family, and group outpatient psychotherapy, mental health assessment, evaluation, testing, medication management, psychiatric evaluation, medication administration, individual therapy with medical evaluation and management and case consultation.

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Parent Support and Training (PST) - Training designed to benefit the parent/primary caregiver of Medicaid-eligible child/youth experiencing a severe emotional disorder (SED) who is eligible for the CSoC and is at risk of out-of-home placement. This service provides the training and support necessary to ensure engagement and active participation of the family in the treatment planning process and with the ongoing implementation and reinforcement of skills learned throughout the treatment process.

Psychosocial Rehabilitation (PSR) - Services designed to assist the individual with compensating for or eliminating functional deficits and interpersonal and/or environmental barriers associated with their mental illness.

Qualified Professional Supervisor - State regulations require supervision of unlicensed professionals by a qualified Professional Supervisor (QPS) for addiction services. A QPS includes the following professionals, who are currently registered with their respective Louisiana board: Licensed psychologist; Licensed clinical social worker (LCSW); Licensed professional counselor (LPC); Licensed addiction counselor; Licensed physician; or Advanced practice registered nurse.

Rural Health Clinic (RHC) - An entity authorized under the Rural Health Clinic (RHC) Act of 1977 to encourage and stabilize the provision of outpatient primary care in rural areas through cost-based reimbursement. These entities may be independent (a free-standing practice that is not part of a hospital, skilled nursing facility or home health agency) or provider-based (an integral and subordinate part of a hospital, skilled nursing facility or home health agency).

Short term respite care - Temporary direct care and supervision for the child/youth in the child's home or a community setting that is not facility-based (i.e., not provided overnight in a provider-based facility).

Unlicensed professionals (UPs) - Unlicensed professionals of addiction services must be registered with the Addictive Disorders Regulatory Authority (ADRA) and demonstrate competency as defined by the Louisiana Department of Health (referenced above), state law (RS 37:3386 et seq.) and regulations. Unlicensed addiction provider must meet at least one of the following qualifications: 1) Master's-prepared behavioral health professional that has not obtained full licensure privileges and is participating in ongoing professional supervision. When working in addiction treatment settings, the master's prepared UP shall be supervised by an LMHP, who meets the requirements of this Section; 2) be a registered addiction counselor; 3) be a certified addiction counselor; 4) be a counselor in training (CIT) that is registered with ADRA and is currently participating in a supervisory relationship with an ADRA-registered certified clinical supervisor.

Youth Support and Training (YST) services – Delivered by a trained youth peer, child/youth-centered services that provide the training and support necessary to ensure engagement and

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active participation of the youth in the treatment planning process and with the ongoing implementation and reinforcement of skills learned throughout the treatment process.

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APPENDIX C: MEDICAL NECESSITY AND EPSDT EXCEPTIONS

POLICY

MEDICAL NECESSITY AND EPSDT EXCEPTIONS POLICY

Medical Necessity

Medically necessary services are defined as those health care services that are in accordance with generally accepted evidence-based medical standards, or that are considered by most physicians (or other independent licensed practitioners) within the community of their respective professional organizations to be the standard of care (LAC Title 50, Part I, Chapter 11).

In order to be considered medically necessary, services must be:

- Deemed reasonably necessary to diagnose, correct, cure, alleviate or prevent the worsening of a condition or conditions that endanger life, cause suffering or pain or have resulted or will result in a handicap, physical deformity or malfunction; and
- Those for which no equally effective, more conservative and less costly course of treatment is available or suitable for the recipient.

Any such services must be individualized, specific and consistent with symptoms or confirmed diagnosis of the illness or injury under treatment, and neither more, nor less, than what the recipient requires at that specific point in time.

Although a service may be deemed medically necessary, it doesn't mean the service will be covered under the Medicaid program. Services that are experimental, non-FDA approved, investigational or cosmetic are specifically excluded from Medicaid coverage and will be deemed "not medically necessary".

The Medicaid director, in consultation with the Medicaid medical director, may consider authorizing services at his discretion on a case-by-case basis.

Procedures for Coverage of a Non-Covered Service Identified as Medically Necessary for EPSDT Recipients

For a service that is not covered under the Medicaid State Plan, but deemed medically necessary for Early and Periodic Screening, Diagnosis and Treatment (EPSDT) Program recipients, information is submitted to the medical director for review. Information should include the following:

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- Information regarding the recipient, including age, diagnosis, condition and medical records relative to the service being requested;
- Information regarding the provider, enrollment status and qualifications for rendering service, as appropriate; and
- Information regarding the requested service is gathered. This information would include, but not be limited to, reasons/policy for non-coverage, applicable rules and State Plan amendment (SPA), alternative services, etc. All supporting information for coverage and medical necessity in individual cases is gathered.

The Medicaid medical director reviews as much information on the recipient as possible, the prospective provider and the requested service, to determine if the service being requested is medically necessary, and if other possible treatment options exist and/or if there are rules, SPAs or federal regulations impacting coverage decision.

If approved for medical necessity, then a determination of availability of federal financial participation (FFP) is made. If FFP is not available due to federal regulations, a recommendation for coverage, and a request to pay out of all State funds, is forwarded for approval to the Medicaid director. If the service is determined medically necessary, but is investigational or experimental, the recommendation is sent to the medical director for consideration of final approval and appropriate match rate.

The payment of authorized services that are normally not a Medicaid-covered benefit are specially handled through the system to ensure payment for the specified recipient occurs and no other non-intended recipients' services are paid. The CSoC Contractor will submit an invoice, including the approved EPSDT exceptions and supporting encounter data for the claims for the EPSDT with an EP modifier. The Medicaid Management Information Systems (MMIS) will accept all encounters with an EP modifier but will create a report for the State to do 100 percent verification reviews for audit purposes. Reimbursement for any inappropriately approved EPSDT exceptions will be recouped from the CSoC Contractor and provider by the State.

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Approved Curriculum and Equivalency Standards

Parent Support and Training/Youth Support and Training

Equivalency Standards

Introduction to Wraparound

This initial training introduces new parent support and training and youth support and training staff to systems of care and system of care values.

Participants learn the definition, phases and principles, and goals of wraparound from the National Wraparound Institute perspective. Participants have an opportunity to practice the following skills that support:

- Describing wraparound;
- Determining Family Support Organization (FSO) staff goals during the various phases of wraparound;
- Putting wraparound principles into practice; and
- Meaningfully participating in the wraparound process as partners with professionals and others.

Functional Behavioral Approach

This intensive training introduces new Parent Support and Training and Youth Support and Training staff to Family Support, which is, essentially, systems of care values in practice. Participants engage in interactive exercises and activities to learn and practice the key competencies of providing support, teaching skills and building and maintaining community connection for the youth and families they serve. They are exposed to tools and strategies to support each of the competencies, that also help provide ongoing assessment of whether their service is “on track” to best support Child Family Team (CFT)-defined needs.

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Supervising Functional Behavioral Approach

This training for those supervising Parent Supports and Youth Supports, allows supervisors to bring their experiences into a session where the original and more advanced tools and strategies are introduced and applied, to demonstrate how they can take these back to their staff and deepen service results for those they are serving.

Approved Curriculum

- Introduction to Wraparound;
- Functional Behavioral Approach (FBA);
- Supervising FBA (for parent support supervisors and youth support supervisors); and
- Each FSO is required to have and utilize a comprehensive peer training plan and curriculum, which is inclusive of the Peer Worker Core Competencies, as outlined by the Substance Abuse and Mental Health Services Administration (SAMHSA), and has been approved by the Office of Behavioral Health (OBH)-Coordinated System of Care (CSoC).

Independent Living/Skill Building**Equivalency Standards**

Training will attend to the principles of the system of care in that services are to be individualized according to each youth's strengths, interests, skills, goals and included on an individualized plan of care.

Training may include facilitating normal and instrumental activities of daily living. Participants will learn how to assess needs of the youth and teach skills needed by youth for living independently, which include the following domains:

- Career planning;
- Communication;

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- Daily living;
- Home life;
- Housing and money management;
- Self-care;
- Social relationships;
- Work life; and
- Work and study skills.

Approved Curriculum

Casey Life Skills is the approved curriculum for Independent Living/Skill Building (IL/SB) services. (See Appendix A for access to link).

Short Term Respite Care

Equivalency Standards

Respite providers will need to learn how to help to de-escalate stressful situations and assure that the respite experience provides a therapeutic outlet for the child.

Training will focus on:

- Developing successful partnerships with families and youth; and
- Understanding culture and values.

Knowledge of:

- System of care values of family driven care;

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- Individualized treatment, and strengths based approaches;
- Safety (cardiopulmonary resuscitation (CPR), First aid, environmental awareness, community safety, etc.);
- Basic communication skills;
- Behavioral strategies for managing challenging behaviors, use of positive behavioral supports; and
- Non-violent prevention of aggressive behavior.

Approved Curriculum

University of Idaho Respite Care Provider Training Manual is the approved curriculum for Short Term Respite (STR) services. (See Appendix A for contact information).

Psychosocial Rehabilitation - Adults**Equivalency Standards**

Services are designed to assist the individual with compensating for or eliminating functional deficits and interpersonal and/or environmental barriers associated with their mental illness. The intent of psychosocial rehabilitation (PSR) is to restore the fullest possible integration of the individual as an active and productive member of his or her family, community and/or culture with the least amount of ongoing professional intervention.

Training will focus on:

- Daily and community living skills;
- Socialization skills;
- Adaptation skills;
- Development of leisure time interests and skills;

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- Symptom management skills;
- Identification and management of symptoms of mental illness;
- Compliance with physician's medication orders;
- Education in mental health/mental illness; and
- Work readiness activities

Approved Curriculum

The following training programs make up the approved curriculum for PSR services for adults:

- Boston Psychiatric Rehabilitation Model;
- Clubhouse Model; and
- Social Skills Training Model.

NOTE: See Appendix A for access to link.

Crisis Stabilization

Equivalency Standards

The goal of crisis stabilization (CS) services is to restore the individual to his or her prior functioning level following a crisis. Bolstering coping skills and assisting in revitalizing or developing a support system are essential portions of stabilization services. Stabilization services may be less active than intervention services. The recipient may not need “talk therapy”; they instead may need a person who is capable of providing verbal support or their physical presence to make the recipient feel safe.

Curriculum standards for crisis stabilization services include but would not be limited to:

- Solution focused crisis assessments;

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- Crisis communications;
- Intensive, solution focused family interventions;
- Assisting the youth and parent(s)/caregiver(s) in developing coping and behavior management skills, and working collaboratively with any existing service providers to prepare for the youth's return to their home environment; and
- Development of risk management / safety plans.

Standardized Basic Clinical Competency Training Modules for Unlicensed Staff

The Louisiana Department of Health (LDH), OBH developed standardized basic training modules for unlicensed providers and direct care staff as an introduction to the key concepts they must be familiar with and competencies they must demonstrate prior to rendering specialized behavioral health services to members of Healthy Louisiana and CSoC.

These modules are available online through the Healthy Louisiana managed care organizations (MCOs), the CSoC Contractor, and LDH. Staff must complete these trainings prior to rendering specialized behavioral health services, and provider agencies are required to submit attestation documentation to the managed care entities with whom they contract.

Training focuses on:

- MH 101 – Introduction to Serious Mental Illness (SMI) and Emotional Behavioral Disorders;
- Crisis intervention;
- Suicide and homicide precautions;
- System of care overview;
- Co-occurring disorders;
- Cultural and linguistic competency (basic); and

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- Treatment planning.

All links to training modules and approved PSR curriculum for adults can be found on the LDH website. Reference Appendix A for links.

Licensed Mental Health Professional

A licensed mental health professional (LMHP) is an individual who is licensed in the State of Louisiana to diagnose and treat mental illness or substance use, acting within the scope of all applicable State laws and their professional license. An LMHP includes individuals licensed to practice independently:

- Medical psychologists
- Licensed psychologists
- Licensed clinical social workers (LCSWs)
- Licensed professional counselors (LPCs)
- Licensed marriage and family therapists (LMFTs)
- Licensed addiction counselors (LACs)
- Advanced practice registered nurses (APRNs)

LPCs may render or offer prevention, assessment, diagnosis, and treatment, which includes psychotherapy of mental, emotional, behavioral, and addiction disorders to individuals, groups, organizations, or the general public by a licensed professional counselor, that is consistent with his/her professional training as prescribed by R.S. 37:1101 et seq. However, LPCs may not assess, diagnose, or provide treatment to any individual suffering from a SMI, when medication may be indicated, except when an LPC, in accordance with industry best practices, consults, and collaborates with a practitioner who holds a license or permit with the Louisiana State Board of Medical Examiners or a Louisiana licensed APRN, who is certified as a psychiatric nurse practitioner. (Reference: Louisiana Mental Health Counselor Licensing Act; Section 1103.)

LMFTs may render professional marriage and family therapy and psychotherapy services limited to prevention, assessment, diagnosis, and treatment of mental, emotional, behavioral, relational, and addiction disorders to individuals, couples and families, singly or in groups that is consistent with his/her professional training as prescribed by R.S. 37:1101 et seq. However, LMFTs may not assess, diagnose, or provide treatment to any individual suffering from a SMI, when medication may be indicated, except when an LMFT, in accordance with industry best practices, consults, and collaborates with a practitioner who holds a license or permit with the Louisiana

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State Board of Medical Examiners or a Louisiana licensed APRN, who is certified as a psychiatric nurse practitioner. (Reference: Louisiana Mental Health Counselor Licensing Act; Section 1103). All treatment is restricted to marriage and family therapy issues.

LACs who provide addiction services must demonstrate competency, as defined by LDH, State law, Addictive Disorders Practice Act and regulations. LACs are not permitted to diagnose under their scope of practice under State law. LACs providing addiction and/or behavioral health services must adhere to their scope of practice license.

APRNs must be nurse practitioner specialists in adult psychiatric and mental health, and family psychiatric and mental health, or certified nurse specialists in psychosocial, gerontological psychiatric mental health, adult psychiatric and mental health and child-adolescent mental health and may practice to the extent that services are within the APRN’s scope of practice.

Resource: First Aid, Cardiopulmonary Resuscitation and Seizure Assessment Training

Agencies, organizations and facilities are required to ensure staff complete an American Heart Association (AHA) recognized first aid, CPR and seizure assessment training. Staff must renew certifications at least once every two years or as recommended by the AHA. Psychiatrists, APRNs/clinical nurse specialists (CNSs)/physician assistants (PAs), registered nurses (RNs), and licensed practical nurses (LPNs) are exempt from this training. Courses may be found by visiting the AHA website: <http://www.heart.org/HEARTORG/>.

Resource: Establishing Drug-Free Workplace Programs and Developing Policies

Agencies, organizations and facilities may refer to the SAMHSA online guide for establishing drug-free workplace programs and developing written policies. This resource may be found at the following link: <http://www.samhsa.gov/workplace/toolkit/develop-policy>.

Resource: Behavioral Health Service) Provider License

Information and regulations associated with the Behavioral Health Service (BHS) license rule may be found on the Louisiana Health Standards Section website available at the following link: <http://dhh.louisiana.gov/index.cfm/directory/detail/7950/catid/154>.

Information and regulations associated with other licenses issued by the Louisiana Health Standards Section may be found under the Programs section on their website at the following link: <http://dhh.louisiana.gov/index.cfm/subhome/32>.

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APPENDIX E-1: EVIDENCED BASED PRACTICES (EBPs) POLICY –**ASSERTIVE COMMUNITY TREATMENT**

Assertive Community Treatment

Assertive Community Treatment (ACT) services are therapeutic interventions that address the functional problems of individuals who have the most complex and/or pervasive conditions associated with a major mental illness or co-occurring addictions disorder. These interventions are strength-based and focused on promoting symptom stability, increasing the individual's ability to cope and relate to others and enhancing the highest level of functioning in the community.

Interventions may address adaptive and recovery skill areas, such as supportive or other types of housing, school and training opportunities, daily activities, health and safety, medication support, harm reduction, money management, entitlements, service planning, and coordination.

The primary goals of the ACT program and treatment regimen are:

- To lessen or eliminate the debilitating symptoms of mental illness each individual consumer experiences and to minimize or prevent recurrent acute episodes of the illness.
- To meet basic needs and enhance quality of life.
- To improve functioning in adult social and employment roles and activities.
- To increase community tenure.
- To lessen the family's burden of providing care.

The fundamental principles of this program are that:

- The ACT team is the primary provider of services and, as such, functions as the fixed point of responsibility for the consumer.
- Services are provided in the community.
- The services are person-centered and individualized to each particular person.

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Target population

ACT serves persons who have a severe and persistent mental illness (SPMI) listed in the diagnostic nomenclature (current diagnosis per DSM 5) that seriously impairs their functioning in the community.

The individual must have one of the following diagnoses:

- Schizophrenia;
- Other psychotic disorder;
- Bipolar disorder; and/or
- Major depressive disorder.

These may also be accompanied by any of the following:

- Substance use disorder; or
- Developmental disability.

Include one or more of the following service needs:

- Two or more acute psychiatric hospitalization and/or four or more emergency room visits in the last six months.
- Persistent and severe symptoms of a psychiatric disability that interferes with the ability to function in daily life.
- Two or more interactions with law enforcement in the past year for emergency services due to mental illness or substance use (this includes involuntary commitment, ACT/forensic assertive community treatment (FACT)).
- Currently residing in an inpatient bed, but clinically assessed to be able to live in a more independent situation if intensive services were provided.
- One or more incarcerations in the past year related to mental illness and/or substance use (FACT).
- Psychiatric and judicial determination that FACT services are necessary to facilitate release from a forensic hospitalization or pre-trial to a lesser restrictive setting (FACT).

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- Recommendations by probation and parole, or a judge with a FACT screening interview, indicating services are necessary to prevent probation/parole violation (FACT).

Must have one of the following:

- Inability to participate or remain engaged or respond to traditional community-based services;
- Inability to meet basic survival needs, or residing in substandard housing, homeless or at imminent risk of becoming homeless; or
- Services are necessary for diversion from forensic hospitalization, pretrial release or as a condition of probation to a lesser restrictive setting (FACT).

Must have three of the following:

- Evidence of co-existing mental illness and substance use disorder;
- Significant suicidal ideation, with a plan and ability to carry out within the last two years;
- Suicide attempt in the last two years;
- History of violence due to untreated mental illness/substance use within the last two years;
- Lack of support systems;
- History of inadequate follow-through with treatment plan, resulting in psychiatric or medical instability;
- Threats of harm to others in the past two years;
- History of significant psychotic symptomatology, such as command hallucinations to harm others;
- Minimum LOCUS score of 3.

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Exception criteria:

- The individual does not meet medical necessity criteria above but is recommended as appropriate to receive ACT services by the funding agency or designee, the ACT team leader, clinical director and psychiatrist, in order to protect public safety and promote recovery from acute symptoms related to mental illness. Examples include those exiting institutions such as nursing facilities, prisons, and/or intermediate level inpatient psychiatric hospitals, or individuals with frequent incidence of emergency department (ED) presentations or involvement with crisis outreach.

Program requirements

ACT services must be provided by an interdisciplinary team. Individuals on this team shall have sufficient individual competence, professional qualifications and experience to provide service coordination; crisis assessment and intervention; symptom assessment and management; individual counseling and psychotherapy; medication prescription, administration, monitoring and documentation; substance use treatment; work-related services; activities of daily living services; social, interpersonal relationship and leisure-time activity services; support services or direct assistance to ensure that individuals obtain the basic necessities of daily life; direct assistance to ensure that individuals obtain supportive housing, as needed; and education, support, and consultation to individuals' families and other major supports. ACT is a medical, comprehensive case management and psychosocial intervention program provided on the basis of the following principles:

- The service is available 24 hours a day, seven days a week.
- An individualized service plan and supports are developed.
- At least 90 percent of services are delivered as community-based outreach services.
- An array of services are provided based on individual patient medical need.
- The service is consumer-directed.
- The service is recovery-oriented.

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APPENDIX E-1: EVIDENCED BASED PRACTICES (EBPs) POLICY –**ASSERTIVE COMMUNITY TREATMENT****PAGE(S)12**

The ACT team must:

- Operate a continuous after-hours on-call system with staff that is experienced in the program and skilled in crisis intervention (CI) procedures. The ACT team must have the capacity to respond rapidly to emergencies, both in person and by telephone.
- Provide mobilized CI in various environments, such as the recipient's home, schools, jails, homeless shelters, streets and other locations.
- Arrange or assist consumers to make a housing application, meet their housing obligations and gain the skills necessary to maintain their home.
- Be involved in psychiatric hospital admissions and discharges and actively collaborate with inpatient treatment staff.
- Ensure provision of culturally competent services.
- ACT team must conduct ongoing monitoring and evaluation of program implementation through the collection of process and outcome measures. Process measures should be obtained through utilization of the EBP Fidelity Scale and General Organizational Index as found within the SAMHSA ACT Toolkit. Outcome measures such as homelessness, hospitalizations (psychiatric/medical), emergency department presentations (psychiatric/medical), incarcerations or arrests/detainments, substance use treatment (residential/inpatient), utilizations of primary care physician (PCP), employment and educational status should be collected in addition to the EBP fidelity measures.

The ACT program provides three levels of interaction with the participating individuals:

- Face-to-face encounter – At least 60 percent of all ACT team activities must be face-to-face, with approximately 90 percent of these encounters occurring outside of the office.
- Collateral encounter – Collateral refers to members of the recipient's family or household or significant others (e.g., landlord or property manager, criminal justice staff and employer) who regularly interact with the recipient and are directly affected by, or have the capability of affecting, his or her condition and are identified in the service plan as having a role in treatment. A collateral contact does

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APPENDIX E-1: EVIDENCED BASED PRACTICES (EBPs) POLICY –

ASSERTIVE COMMUNITY TREATMENT

not include contacts with other mental health service providers or individuals who are providing a paid service that would ordinarily be provided by the ACT team (e.g., meeting with a shelter staff person who is assisting an ACT recipient in locating housing).

- Assertive outreach – Refers to the ACT team being ‘assertive’ about knowing what is going on with an individual and acting quickly and decisively when action is called for, while increasing member independence. The team must closely monitor the relationships that the individual has within the community and intervene early if difficulty arises.

ACT staff must provide a minimum of six encounters with the service recipient or collateral contacts monthly and must document clinically appropriate reasons if this minimum number of encounters cannot be made monthly. At least 50 percent of the encounters shall be with the service recipient. Efforts shall be made to ensure services are provided throughout the month.

The teams will provide comprehensive, individualized services, in an integrated, continuous fashion, through a collaborative relationship with persons with SPMI.

The ACT program utilizes a treatment model that is non-confrontational, follows behavioral principles, considers interactions of mental illness and substance use and has gradual expectations for abstinence.

The teams will provide the following supports and services to consumers:

- Needs assessment and individualized care plan development: This will include items relevant for any specialized interventions, such as linkages with the forensic system for consumers involved in the judicial system. In particular, the assessment will include items related to court orders, identified within 30 days of admission and updated every 90 days or as new court orders are received.
- Crisis assessment and intervention.
- Symptom management and mediation.
- Individual counseling.
- Medication administration, monitoring, education and documentation.

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APPENDIX E-1: EVIDENCED BASED PRACTICES (EBPs) POLICY –**ASSERTIVE COMMUNITY TREATMENT****PAGE(S)12**

- Skills training in activities related to self-care and daily life management, including utilization of public transportation, maintenance of living environment, money management, meal preparation, locating and maintaining a home, skills in landlord/tenant negotiations and renter's rights and responsibilities.
- Social skills training necessary for functioning in a work, educational, leisure or other community environment.
- Peer support.
- Addiction treatment and education, including counseling, relapse prevention, harm reduction, anger and stress management.
- Referral and linkage or direct assistance to ensure that individuals obtain the basic necessities of daily life, including medical, social and financial supports.
- Education, support and consultation to individuals' families and other major supports.
- Monitoring and follow-up to help determine if psychiatric, substance use, mental health support and health related services are being delivered, as set forth in the care plan, adequacy of services in the plan and changes, needs or status of consumer.
- The team will assist the consumer in applying for benefits. This includes Social Security Income, Medicaid and Patient Assistance Program enrollment.
- For those members with forensic involvement, the team will liaise with the forensic coordinators, providing advocacy, education and linkage with the criminal justice system to ensure the consumer's needs are met in regards to their judicial involvement, and that they are compliant with the court orders.
- Service provision for ACT will be based on comprehensive history and ongoing assessment of:
 - Psychiatric history, status and diagnosis.
 - Level of Care Utilization System (LOCUS).
 - Telesage Outcomes Measurement System, as appropriate.
 - Psychiatric evaluation.
 - Housing and living situation.

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- Vocational, educational and social interests and capacities.
- Self-care abilities.
- Family and social relationships.
- Family education and support needs.
- Physical health.
- Alcohol and drug use.
- Legal situation.
- Personal and environmental resources.

Each of these assessments will be completed within 30 days of admission. The LOCUS, psychiatric evaluation and treatment plan will be updated every six months, with an additional LOCUS score being completed prior to discharge.

Provider Qualifications and Responsibilities

The MCO may contract with ACT teams meeting national fidelity standards as evidenced by the SAMHSA Assertive Community Treatment (ACT) Evidence-Based Practices (EBP) Toolkit.

ACT agencies must be licensed pursuant to La. R.S. 40:2151, et. seq. for behavioral health service providers and accredited by an LDH approved national accrediting body: Commission on Accreditation of Rehabilitation Facilities (CARF), Council on Accreditation (COA) or The Joint Commission (TJC). Denial, loss of, or any negative change in accreditation status must be reported in writing immediately upon notification by the accrediting body of such denial, loss of, or any negative change in accreditation status to the managed care entities with which the ACT agency contracts or is reimbursed.

NOTE: Effective March 14, 2017, ACT agencies must apply for accreditation and pay accreditation fees prior to being contracted with or reimbursed by a Medicaid managed care entity, and must maintain proof of accreditation application and fee payment. ACT agencies must attain full accreditation within 18 months of the initial accreditation application date. ACT Agencies contracted with a managed care entity prior to March 14, 2017, must attain full accreditation by September 14, 2018, i.e. 18 months from the initial effective date of the requirement for ACT agencies.

The provider agency must meet all qualifications as required for other outpatient and rehabilitation agencies and must maintain documentation and verification of licensure, accreditation, staff criminal background checks, TB testing, drug testing, evidence of fidelity to the model (via SAMHSA ACT EBP Toolkit) and required training for staff employed or contracted with the agency.

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APPENDIX E-1: EVIDENCED BASED PRACTICES (EBPs) POLICY –**ASSERTIVE COMMUNITY TREATMENT****PAGE(S)12**

ACT agencies must adhere to all requirements established in the Provider Responsibilities section located in the Outpatient Services: Rehabilitation Services chapter of this manual. Please refer to that section for specific information on all provider responsibilities.

Each ACT team shall have sufficient numbers of staff to provide treatment, rehabilitation and support services 24 hours a day, seven days per week. Each ACT team shall have the capacity to provide the frequency and duration of staff-to-program member contact required by each recipient's individualized service plan.

Each ACT team shall have the capacity to increase and decrease contacts based upon daily knowledge of the program member's clinical need, with a goal of maximizing independence. The team shall have the capacity to provide multiple contacts to persons in high need and a rapid response to early signs of relapse. The nature and intensity of ACT services are adjusted through the process of daily team meetings.

Each ACT team shall include at least:

- One qualified ACT team leader.
- One board-certified or board-eligible psychiatrist.
- Two nurses, at least one of whom shall be a RN.
- One other licensed mental health professional.
- One substance use service provider.
- One employment specialist.
- One housing specialist.
- One peer specialist.

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APPENDIX E-1: EVIDENCED BASED PRACTICES (EBPs) POLICY –**ASSERTIVE COMMUNITY TREATMENT**

Each ACT team shall have a staff-to-individual ratio that does not exceed 10:1. Any ACT team vacancies that occur will be filled in a timely manner to ensure that these ratios are maintained. All professional staff must be currently and appropriately licensed by the applicable professional board. Prior to providing the service, each member receives an assessment of initial training needs based on the skills and competencies necessary to provide ACT services. Each staff person must meet the required skills and competencies within six months of their employment on an ACT team. Successful completion of LDH-approved trainings can satisfy this requirement.

Allowed Provider Types and Specialties

- PT AA Assertive Community Treatment Team, PS 8E CSoc/Behavioral Health

Planning and documentation requirements

A comprehensive assessment must be completed within 40 days of admission to the program. A service plan, responsive to the individual's preferences and choices and signed by the individual, must be developed and in place at the time services are rendered.

Each individual service plan must consist of the following:

- The individual's specific mental illness diagnosis.
- Plans to address all psychiatric conditions.
- The individual's treatment goals and objectives (including target dates), preferred treatment approaches and related services.
- The individual's educational, vocational, social, wellness management, residential or recreational goals, associated concrete and measurable objectives and related services.
- The individual's goals and plans, and concrete and measurable objectives necessary for a person to get and keep their housing.
- When psycho-pharmacological treatment is used, a specific service plan, including identification of target symptoms, medication, doses and strategies to monitor and promote commitment to medication, must be used.

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- A crisis/relapse prevention plan, including an advance directive.
- An integrated substance use and mental health service plan for individuals with co-occurring disorder (COD).

Documentation shall be consistent with the Dartmouth Assertive Community Treatment Scale (DACTS), which is an ACT Fidelity Scale found in the SAMHSA toolkit for ACT. The individual service plan will include input of all staff involved in treatment of the individual, as well as involvement of the individual's and collateral others' of the individual's choosing. In addition, the plan must contain the signature of the psychiatrist, the team leader involved in the treatment and the individual's signature (refusals must be documented). The individual service plan is reviewed and updated every six months. A tracking system is expected of each ACT team for services and time rendered for or on behalf of any individual.

Exclusions

ACT services are comprehensive of all other services, with the exception of psychological evaluation or assessment and medication management. These may be provided and billed separately for a recipient receiving ACT services.

ACT shall not be billed in conjunction with the following services:

- Behavioral health (BH) services by licensed and unlicensed individuals, other than medication management and assessment.
- Residential services, including professional resource family care.

Billing

Only direct staff face-to-face time with the member or family may be billed. ACT may be billed for under CPST but must be consistent with the CPST State Plan definition. CPST is a face-to-face intervention with the individual present; however, family or other collaterals may also be involved. Medicaid also does not pay when the vocational supports provided via ACT qualify for vocational rehabilitation funding, even if the vocational rehabilitation services are not available.

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NOTE: Individualized substance use treatment will be provided to those consumers for whom this is appropriate; co-occurring disorder treatment groups will also be provided off-site of the ACT administrative offices, though they do not take the place of individualized treatment. Substance use/mental health treatment will also include dialectical behavioral therapy, cognitive behavioral therapy (CBT) and motivational enhancement therapy.

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The provider agency must have a current certification issued by the Institute for FFT Inc. The licensed entity has agreed to assume responsibility for this service under its license. The provider contracts with FFT, Inc. for training, supervision and monitoring of services. This occurs primarily through a FFT national consultant. The provider will also have a contractual relationship with FFT Inc., allowing the provider to deliver the licensed FFT model.

FFT services are targeted for youth primarily demonstrating externalizing behaviors or at risk for developing more severe behaviors, which affect family functioning. Youth behaviors include antisocial behavior or acts, violent behaviors and other behavioral issues that impair functioning. Youth may also meet criteria for a disruptive behavior disorder (attention deficit/hyperactivity disorder (ADHD), oppositional defiant disorder and/or conduct disorder). Youth with other mental health conditions, such as anxiety and depression, may also be accepted as long as the existing mental and behavioral health (BH) issues manifest in outward behaviors that impact the family and multiple systems. Youth with substance use issues may be included if they meet the criteria below, and FFT is deemed clinically more appropriate than focused drug and alcohol treatment. However, acting out behaviors must be present to the degree that functioning is impaired and the following terms are met:

- Youth, ages 10-18, typically referred by other service providers and agencies on behalf of the youth and family, though other referral sources are also appropriate.
- At least one adult caregiver is available to provide support and is willing to be involved in treatment.
- A DSM-5 diagnosis as primary focus of treatment. Symptoms and impairment must be the result of a primary disruptive/externalizing behavior disorder, although internalizing psychiatric conditions and substance use disorders may be secondary.
- Functional impairment not solely a result of an autism spectrum disorder or intellectual disability.

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- Youth displays externalizing behavior which adversely affects family functioning. Youth's behaviors may also affect functioning in other systems.
- Documented medical necessity for an intensive in-home service.

FFTCW services are targeted for youth and families with suspected or indicated child abuse or neglect. Problems include youth truancy, educational neglect, parental neglect or abuse, a history of domestic violence, adult caregiver substance use, and adult caregiver anxiety, depression and other mental health issues. Youth may also meet criteria for a disruptive behavior disorder (ADHD, oppositional defiant disorder and/or conduct disorder). Youth with other mental health conditions, such as anxiety and depression, may also be accepted as long as the existing mental and BH issues manifest in outward behaviors that impact the family and multiple systems. Youth with substance use issues may be included if they meet the criteria below, and FFTCW is deemed clinically more appropriate than focused drug and alcohol treatment. However, acting out behaviors must be present to the degree that functioning is impaired and the following terms are met:

- Families of youth, ages 0-18, typically referred by other service providers and agencies on behalf of the youth and family, though other referral sources are also appropriate.
- At least one adult caregiver is available to provide support and is willing to be involved in treatment.
- A DSM-5 diagnosis as primary focus of treatment. Symptoms and impairment must be the result of a primary disruptive/externalizing behavior disorder or internalizing psychiatric conditions and substance use. Diagnosis can be for youth or caregiver.
- Functional impairment not solely a result of an autism spectrum disorder or intellectual disability.
- Documented medical necessity for an intensive in-home service.

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FFT and FFTCW are deemed a best practice/family-based approach to providing treatment to youth who are between the ages of 10 and 18 (0 to 18 for FFT CW) and are exhibiting significant externalizing behaviors. It is a systems-based model of intervention/prevention, which incorporates various levels of the member’s interpersonal experiences to include cognitive, emotional and behavioral experiences, as well as intrapersonal perspectives which focus on the family and other systems (within the environment) and impact the youth and his or her family system. FFT/FFTCW is a strengths-based model of intervention, which emphasizes the capitalization of the resources of the youth, their family and those of the multi-system involved. Its purpose is to foster resilience and ultimately decrease incidents of disruptive behavior for the youth. More specifically, some of the goals of the service are to reduce intense/ negative behavioral patterns, improve family communication, parenting practices and problem-solving skill, and increase the family’s ability to access community resources.

The FFT/FFTCW model of intervention/prevention is based on three core principles for understanding the following three components of the treatment: the members who are served, the problems the youth and families are faced with and the process of providing the therapeutic service. More specifically, the three core principles can be generally defined as:

- **Core Principle One: Understanding members**
This is a process whereby the therapist comes to understand the youth and family in terms of their strengths on the individual, family system and multi-systemic level.

- **Core Principle Two: Understanding the member systemically**
This is a process whereby the therapist conceptualizes the youth’s behaviors in terms of their biological, relational, family, socio-economic and environmental etiology. Subsequently, the therapist assesses the youth’s relationships with family, parents, peers, their school and their environment and how these roles/relationships contribute to the maintenance and change of problematic behaviors.

- **Core Principle Three: Understanding therapy and the role of the therapist as a fundamentally relational process**
This is a process where the therapist achieves a collaborative alliance with the youth and family. Subsequently, the therapist ensures that the therapy is systematic and purposeful, while maintaining clinical integrity. More specifically, the therapist

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follows the model but also responds to the emotional processes (needs/feelings/behaviors) that occur in the immediacy during clinical practice.

Specific Design of the Service

On average, a youth receives FFT/FFTCW for approximately 3 to 5 months. Over the course of this period, the therapist works with the family in twelve to fifteen one- to two-hour sessions for less severe cases and up to 30 -one- to two-hour sessions for youth with more complex needs. The frequency of the sessions varies on a case-by-case basis and over the course of the treatment; sessions could occur daily to weekly, as needed. Services occur in the office, family’s home and/or community at times that are convenient for the family. In addition to being available to families as needed (intensity is based on family risk and protective factors), FFT/FFTCW therapists provide regular telephonic follow-up and support to families between sessions. FFT/FFTCW is carried out in the context of five distinct phases. Each phase consists of an assessment, goal-setting and an intervention component; all services rendered are carried-out based upon the theoretical framework of the three core principles.

The intervention program itself consists of five major components, in addition to pretreatment activities: (1) Engagement; (2) Motivation to change; (3) Relational/Interpersonal assessment and planning for behavior change; (4) Behavior change; and (5) Generalization across behavioral domains and multiple systems:

- **Pretreatment**

The goals of this phase involve responsive and timely referrals, a positive “mindset” of referring sources and immediacy. Activities include establishing collaborative relationships with referring sources, ensuring availability, appraising multidimensional (e.g., medical, educational, justice) systems already in place and reviewing referral and other formal assessment data.

- **Engagement phase**

The goals of this phase involve enhancing perception of responsiveness and credibility, demonstrating a desire to listen, help, respect and “match” and addressing cultural competence. The main skills required are demonstrating

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qualities consistent with positive perceptions of members, persistence, cultural/population sensitivity and matching. Therapist focus is on immediate responsiveness and maintaining a strength-based relational focus. Activities include high availability, telephone outreach, appropriate language and dress, proximal services or adequate transportation, contact with as many family members as possible, “matching” and respectful attitude.

- **Motivation phase**

The goals of this phase include creating a positive motivational context, minimizing hopelessness and low self-efficacy and changing the meaning of family relationships to emphasize possible hopeful experience. Required phase skills consist of relationship and interpersonal skills, a nonjudgmental approach, plus acceptance and sensitivity to diversity. Therapist focus is on the relationship process, separating blaming from responsibility while remaining strength-based. Activities include the interruption of highly negative interaction patterns and blaming (e.g., divert and interrupt), changing meaning through a strength-based relational focus, pointing process, sequencing and reframing of the themes by validating negative impact of behavior, while introducing possible benign/noble (but misguided) motives for behavior. Finally, the introduction of themes and sequences that imply a positive future are important activities of this phase.

- **Relational assessment phase**

The goals of relational assessment include eliciting and analyzing information pertaining to relational processes, as well as developing plans for behavior change and generalization. The skills of perceptiveness and understanding relational processes and interpersonal functions are required. The focus is directed to intrafamily and extrafamily context and capacities (e.g., values, attributions, functions, interaction patterns, sources of resistance, and resources and limitations). Therapist activities involve observation, questioning; inferences regarding the functions of negative behaviors and switching from an individual problem focus to a relational perspective.

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- **Behavior change phase**

Behavior change goals consist of skill building, changing habitual problematic interactions and other coping patterns. Skills, such as structuring, teaching, organizing and understanding behavioral assessment, are required. Therapists focus on communication training, using technical aids, assigning tasks and training in conflict resolution. Phase activities are focused on modeling and prompting positive behavior, providing directives and information and developing creative programs to change behavior, all while remaining sensitive to family member abilities and interpersonal needs.

- **Generalization phase**

The primary goals in the generalization phase are extending positive family functioning, planning for relapse prevention and incorporating community systems. Skills include a multi-systemic/systems understanding and the ability to establish links, maintain energy and provide outreach. The primary focus is on relationships between family members and multiple community systems. Generalization activities involve knowing the community, developing and maintain contacts, initiating clinical linkages, creating relapse prevention plans and helping the family develop independence.

Additional Points to Cover

Outreach and linkages made with community supports are an essential part of the model, particularly during pre-treatment, engagement, and generalization phases; this includes non-face-to face and telephonic contact with these sources, with or without the member present.

Description of Individualization for Youth and Family

The FFT/FFTCW therapist must work with any treatment planning team, including the wraparound facilitator (WF) through CSoC, to develop an individualized treatment plan.

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There are four domains of assessment used to monitor progress towards goals:

- Member assessment (through the use of the outcomes questionnaire (OQ) family measures pre-assessment, risk and protective factors assessments pre-assessment, relational assessment):
 - Helps understand individual, family and behavior in a context functioning.
 - Adds to clinical judgment, helps target behavior change targets, tool in treatment.
- Adherence assessment (through the use of the Family Self Report and Therapist Self Report, and Clinical Services System (CSS) tracking/adherence reports, global therapist ratings):
 - Identify adherence to FFT/FFTCW to enhance learning and supervision.
 - Judge clinical progress, monitor clinical decisions.
- Outcome assessment (through the use of therapist outcome measure, counseling outcome measure parent/adolescent and post assessment OQ family measures and post risk and protective factors assessment):
 - To understand the outcome of your work – accountability.
 - Changes in member functioning (pre-post).

NOTE: The term “counseling” throughout the FFT section is in keeping with the nomenclature of this evidenced based practice and should not be mistaken for the counseling and psychotherapy rendered by LMHPs under their respective scope of practice license.

- Case monitoring and tracking (member service system reports)
Every member contact/planned contact, outcome of that contact (helps monitor practice)

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Cultural and Ethical Concerns

FFT/FFTCW treatment is attuned to the importance of ethnicity and culture for all members referred for services. Cultural values and concerns are addressed in the context of the family system and the multi-systems which influence the intervention. Cultural sensitivity is an integral part of understanding the child and family from a systems perspective. FFT/FFTCW can be carried out by therapists from diverse backgrounds. Thus, intervention involves the use of fostering resilience and identifying resources within the family systems and multi-systems. Inevitably, this will include understanding the family and multi-systems within the context of their cultural backgrounds.

Child Integration to Community

The treatment objectives demonstrate that FFT/FFTCW focuses on fostering resilience for youth and family and capitalizing on resources within the family system and multi-systems (to include the community). Thus, in order to achieve generalization, the youth and family need to demonstrate their ability to utilize resources within the community and demonstrate integration prior to discharge.

The FFT/FFTCW model is consistent with the Child and Adolescent Services System Program principles, which are critical treatment standards important to all families in Louisiana. For example, by maintaining the youth within the community, the least restrictive environment, FFT/FFTCW treatment interventions strengthen the family and youth's relationship with community resources and the people managing them. This is important for creating sustainable treatment outcomes. FFT/FFTCW is delivered as an in-home community-based service. FFT/FFTCW clinicians cannot directly bill for travel time.

Provider Qualifications and Responsibilities

FFT/FFTCW agencies must be licensed pursuant to La. R.S. 40:2151, et. seq. for behavioral health service providers and certified by the Institute for FFT, LLC. The provider agency must meet all qualifications as required for other outpatient and rehabilitation agencies and must maintain documentation and verification of licensure, certification through the Institute for FFT, LLC, staff criminal background checks, TB testing, drug testing and required training for staff employed or contracted with the agency. FFT/FFTCW-only agencies are not required to be accredited due to the extensive nature of consultation by the Institute for FFT. These agencies must maintain good

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standing with the Institute for FFT, ensure fidelity to the FFT/FFTCW model and maintain licensure through LDH.

NOTE: Agencies providing non-EBP rehabilitation and/or addiction services in addition to FFT/FFTCW must be accredited by an LDH approved national accrediting body: CARF, COA or TJC.

FFT/FFTCW agencies must adhere to all requirements established in the Provider Responsibilities section located in the Outpatient Services: Rehabilitation Services chapter of this manual.

Exceptions:

- BHSPs **exclusively** providing the evidence-based practice Functional Family Therapy (FFT/FFTCW), Homebuilders® or Multi-Systemic Therapy (MST) are excluded from the requirement to provide **medication management**. Such BHSPs shall develop policies and procedures to ensure:
 - Screening of clients for medication management needs;
 - Referral to appropriate community providers for medication management including assistance to the client/family to secure services; and
 - Collaboration with the client’s medication management provider as needed for coordination of the client’s care.
- BHSPs **exclusively** providing the evidence-based practice Functional Family Therapy (FFT/FFTCW), Homebuilders® or Multi-Systemic Therapy (MST) are excluded from the requirement of having a **Medical Director**. Such BHSPs shall have a **Clinical Director** in accordance with core staffing requirements detailed in this manual chapter under *Provider Responsibilities* in Section 2.3 – Outpatient Services – Rehabilitation Services for Children, Adolescents, and Adults.
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Allowed Provider Types and Specialties

- PT 77 Mental Health Rehab PS 78 MHR
- PT 74 Mental Health Clinic PS 70 Clinic / Group PSS 8E CSoC/ Behavioral Health

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- PT AG Behavioral Health Rehabilitation Provider Agency PS 8E CSoC/
Behavioral Health

Staff education level/qualifications and training topics

Education/qualifications

FFT/FFTCW Therapists

The FFT/FFTCW program at the provider level will consist of one site. This site will be comprised of (three to eight) therapists. Therapists are master’s-level staff with graduate degrees in a clinical field. Other human service degrees may be accepted. Highly skilled bachelor’s-level professionals may also be selected under certain hiring conditions. These conditions include: (1) the provider has actively recruited for master’s-level therapists but has not found any acceptable candidates or the bachelor’s-level applicant is clearly better qualified than the master’s-level applicants and (2) the bachelor’s degree must be in a human services field. A degree in a mental health field is preferred.

NOTE: The term “therapist” is in keeping with the nomenclature of this evidenced based practice and should not be mistaken for LMHPs, who provide counseling and psychotherapy under their respective scope of practice license.

All FFT/FFTCW therapists must have a background in family, youth and community service and a minimum of two years’ experience working with children, adolescents and families. FFT/FFTCW therapists will meet the guidelines for training outlined below.

FFT Site Supervisor

At the cessation of Phase One, (approximately nine to twelve months after the initial training) the FFT/FFTCW site supervisor is expected to emerge and be appointed. The site can appoint a site supervisor prior to the cessation of Phase Two; however, it is expected that, regardless, this person follow FFT/FFTCW training guidelines which are outlined below.

Site supervisors are master’s-level mental health professionals with graduate degrees in a clinical discipline. A background in family, youth and community service and a minimum of two years’ experience working in these areas is required.

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FFT National Consultant

The provider will work with a FFT national consultant, who will provide the monitoring, supervision, and training during the first two phases (typically the first two years) of site implementation. This person will have been involved in the delivery of FFT services for five years, has been a site supervisor, had training and is employed by FFT, LLC.

Note: FFT/FFTCW provider agencies are required to employ or contract with an LMHP as a BHS organizational requirement of LDH. Utilization of the FFT/FFTCW Supervisor does not exempt FFT/FFTCW agencies from this requirement.

All staff will have background checks, TB testing, screenings and required trainings on file before working with youth and families.

Training

FFT/FFTCW services must maintain treatment integrity and meet fidelity criteria developed by FFT, Inc. FFT/FFTCW fidelity is achieved through a specific training model and a sophisticated member assessment, tracking, and monitoring system that provides for specific clinical assessment and outcome accountability. FFT therapists maintain fidelity by regularly staffing cases, attending follow-up trainings, and participating in individual and group supervision. FFT/FFTCW clinical supervisors participate in regular consultation with a National FFT, Inc. consultant.

The following is the process the provider will use to become an approved site by FFT, LLC. This training regimen will be completed in order to ensure fidelity to the FFT/FFTCW model.

- The provider will appoint individual therapists who have met the criteria for education and qualifications outlined above.
- After the provider has identified appropriate staff, they will call FFT, LLC. to set-up the initial one-day orientation training. The provider has arranged for their team and all stakeholders to attend in order to learn the process of referring youth for FFT/FFTCW in the providers' particular community. During this training, the site members will have learned successful implementation of FFT/FFTCW to include use of assessment tools and protocols and the use of the CSS. At the cessation of

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this training, the provider will have agreed to have at least five referrals for FFT/FFTCW for each team member to begin with after they have completed the next training session, which is the initial clinical training (CT1).

- Approximately one to two weeks after the initial one-day orientation training, the provider will arrange to have all FFT/FFTCW therapists attend the CT1 training. This will be conducted over a two-day period and be carried out on the site of the provider. An FFT developer or national consultant will conduct this training.
- Six weeks post CT1, the site is eligible for site certification.
- Immediately following the initial training, the therapists at the provider sites will begin to see their cases and engage in weekly supervision with the FFT national consultant. Each weekly supervision session will be conducted for approximately one hour. The National consultant will use a staffing procedure which reinforces the model, will review all CSS paperwork and provide feedback to the team or teams. In addition, the provider will ensure that the FFT/FFTCW team/teams are meeting for an additional hour per week for peer supervision.
- At six weeks, four to five months, and eight to ten months after the initial clinical training, the FFT national consultant will come to the provider's site and complete two-day follow-up trainings. All FFT/FFTCW therapists employed by the provider will attend the follow-up trainings. The purpose of these follow-up trainings will be to review phase goals and assessments, update therapists on current events or changes and to provide specialized training to the team in regard to their specific cases.
- At six months following CT1, the provider's FFT/FFTCW team/teams will attend the second clinical training (CT2). This will be conducted by the FFT developers or the national consultant. (Please note this is a new requirement by FFT, LLC.).
- At approximately nine months, a lead should emerge or have been appointed, who will serve as the FFT/FFTCW supervisor. The provider will ensure that this staff

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member attends the FFT/FFTCW externship. This externship will consist of three, three-day trainings occurring every month during the duration of the externship. This training will be conducted by FFT/FFTCW externship trainers. At the cessation of this externship, it will be determined whether the selected FFT/FFTCW supervisor will continue to serve in this role.

- Once the site supervisor has completed the externship and is deemed qualified, the provider will be considered to be in Phase Two (approximately Year Two). At this time, the provider will ensure that the supervisor attends supervision trainings (two trainings), and he or she will begin taking over the supervision of the FFT/FFTCW therapists. The site supervisor and therapists will also take part in one two-day training session conducted on site by the FFT national consultant.
- Should there be any staff turnover, the provider will ensure that new FFT/FFTCW therapists attend the replacement trainings either in-state, if offered, or out-of-state, if need be.

Supervision

Intensive supervision and clinical consultation are an integral part of the FFT/FFTCW model and are focused on promoting consistent application of the FFT/FFTCW model to all cases. Supervision is built into the training protocol and certification process. Supervision in FFT/FFTCW includes the following:

- The FFT national consultant will provide the monitoring, supervision and training during the first two years of the provider’s implementation of FFT/FFTCW:
 - This supervision will include one, one-hour weekly phone consult with the site during Year One of implementation.
 - During Year Two, the FFT national consultant will provide two one-hour supervision sessions to the site supervisor in training.
- During Year Two of implementation, the provider’s site supervisor will provide oversight to the therapists and will complete all required trainings outlined by FFT, LLC. The site supervisor will hold one-hour weekly sessions with the therapists.

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- FFT/FFTCW therapists at the provider will also engage in one one-hour weekly peer supervision sessions during Year One. During Year Two, this requirement is left up to the site. Typically, the site supervisor holds one- to two-hour weekly supervisions then. Please indicate your site’s intention regarding these supervision times.
- Phase/Year Three is considered a maintenance phase. A national consultant is assigned to monitor the site monthly through a call with the site supervisor, and this national consultant will do one site visit per year.

Additional supervision

Child psychiatrists and/or psychologists or medical psychologists provide consultation to the FFT/FFTCW teams, as needed. Psychiatrists and/or psychologists are employees/subcontractors of the provider. All analysis of problem behaviors must be performed under the supervision of a licensed psychologist/medical psychologist.

Monitoring and assessment of service delivery

The provider will assess and monitor the delivery of the FFT/FFTCW service via the use of the CSS. This is an online data base which has been originated by FFT, LLC. The type of data collected by the CSS includes:

- Assessments of risk and protective factors (Risk and Protective Factors Assessment)
- Relationship assessments (this is embedded in the progress note)
- Individual functioning (pre- and post-intervention) (OQ-45.2)
- Functioning within the context of the assessments (pre- and post-intervention) YOQ 2.01 and YOQ SR
- Assessments of family and therapist agreement (Family Self Report and Therapist Self Report)

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- Fidelity Ratings (Weekly adherence ratings – by national consultant in Year One and by site supervisor in Year Two and beyond)
- FFT/FFTCW global therapist rating
- Tri-yearly Performance Evaluation, which provides Completion rates, Time of drop-out, Reasons for drop-out, Caseload information, Case tracking information, Fidelity and Adherence information, Assessment Completion information.

Each FFT/FFTCW therapist will receive a log on and password for the CSS for referencing their own members only. The provider will receive an administrator/evaluator log on and password. The FFT national consultant will also have access to the data from the CSS.

Please see the FFT website for additional information: www.fftinc.com

Exclusions

FFT shall not be billed in conjunction with PRTF services:

As standard practice, FFT/FFTCW may be billed with medication management and assessment. FFT may also be billed in conjunction with another behavioral health service (such as individual therapy, CPST, PSR, or ILSB) if:

- The youth has a high level of need such that a combination of both family-focused and individually-focused services is needed to meet the youth's required level of treatment intensity;
- There is a clear treatment plan or Plan of Care indicating distinct goals or objectives being addressed by both the FFT/FFTCW service and by the concurrent service; and
- The services are delivered in coordination of each other to ensure no overlap or contradiction in treatment.

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Billing

- Only direct staff face-to-face time with the child or family may be billed. FFT/FFTCW may be billed under CPST, but must be consistent with the CPST State Plan definition. CPST is a face-to-face intervention with the individual present; however, family or other collaterals may also be involved, and the child/youth receiving treatment does not need to be present for all contacts.
- Collateral contacts billable to Medicaid should involve contacts with parents, guardians or other individuals having a primary care relationship with the individual receiving treatment. All contacts must be based on goals from the child's/youth's plan of care. Phone contacts are not billable.

NOTE: The exception to the allowance of collateral contacts while providing evidence-based practices is coordination with other child-serving systems such as parole and probation programs, public guardianship programs, special education programs, child welfare/child protective services and foster care programs. Coordination with these child-serving systems is considered collateral contact and may be necessary to meet their goals of the individual but is not billable through Medicaid. Services may be provided by these child-serving systems, however, the services provided must be funded through the agency providing the service.

- Time spent in travel, transporting children, documenting, supervision, training, etc. has been factored into the indirect unit cost and may not be billed directly.
- Medicaid may not reimburse for children in the custody of OJJ, who reside in detention facilities, public institutions or secure care and are inmates of a public institution. If the child is in OJJ custody, but not in a public correctional institution (i.e., is outpatient), Medicaid will reimburse for the FFT/FFTCW, except for the oversight of restorative measures, which is an OJJ function.
- Medicaid will not reimburse for services provided to children who are residents of institutions for mental diseases (IMDs), which are institutions with greater than 16 beds, where more than 50 percent of the residents require treatment for BH conditions.

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**APPENDIX E-2: EVIDENCED BASED PRACTICES (EBPs) POLICY –
FUNCTIONAL FAMILY THERAPY (FFT) AND FUNCTIONAL
THERAPY – CHILD WELFARE (FFT-CW)**

- Medicaid does not pay when the vocational supports provided via FFT qualify for vocational rehabilitation funding, even if the vocational rehabilitation services are not available.

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**APPENDIX E-3: EVIDENCED BASED PRACTICES (EBPs) POLICY –
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HOMEBUILDERS

The provider agency must be an approved Homebuilders provider for Louisiana. The licensed entity has agreed to assume responsibility for this service under its license. The provider contracts with Institute for Family Development (IFD) for training, supervision and monitoring of services. This occurs primarily through a Homebuilders® national consultant. IFD provides training and consultation to teams as part of a contract with the Department of Children and Family Services (DCFS). Teams are expected to maintain Homebuilders standards or they can be put on a quality improvement plan.

Homebuilders® is an intensive, in-home evidence based program (EBP) utilizing research based strategies (e.g. motivational interviewing, cognitive and behavioral interventions, relapse prevention, skills training), for families with children (birth to 18 years of age) at imminent risk of out of home placement (requires a person with placement authority to state that the child is at risk for out of home placement without Homebuilders®), or being reunified from placement.

Homebuilders® is provided through IFD. Homebuilders® participants demonstrate the following characteristics:

- Children/youth with serious behavioral and/or emotional problems in the home, school, and/or community;
- Family members with substance abuse problems, mental health problems, poverty-related concerns (lack of adequate housing, clothing and/or food);
- Babies that were born substance-exposed or considered failure to thrive;
- Teenagers/adolescents that run away from home, have suicidal risk, have attendance and/or behavioral problems at school, have drug and alcohol use, and/or experience parent-teen conflict(s); and/or
- Children/youth who have experienced abuse, neglect, or exposures to violence or other trauma.

The primary intervention components of the Homebuilders® model are engaging and motivating family members, conducting holistic, behavioral assessments of strengths and problems, developing outcome-based goals. Therapists provide a wide range of counseling services using

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APPENDIX E-3: EVIDENCED BASED PRACTICES (EBPs) POLICY –
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research-based motivation enhancement and cognitive behavioral interventions, teaching skills to facilitate behavior change and developing and enhancing ongoing supports and resources. In addition, therapists help families enhance their social support network and access basic needs such as food, shelter, and clothing. Homebuilders® programs have been successfully implemented in diverse and multi-ethnic/multicultural communities across the United States and other countries.

NOTE: The term “counseling” throughout the Homebuilders® section is in keeping with the nomenclature of this evidenced based practice and should not be mistaken for the counseling and psychotherapy rendered by licensed medical health professionals (LMHPs) under their respective scope of practice license.

Homebuilders® consists of:

- **Intensity:** An average of eight to ten hours per week of face to face contact, with telephone contact between sessions. Services average 38 face to face hours. Therapists schedule sessions during the day, evening and on weekends with 3-5 or more sessions per week based on safety and intervention needs;
- **Duration:** Four to six weeks. Extensions beyond four weeks must be approved by the Homebuilders consultant. Two aftercare 'booster sessions' totaling five hours are available in the six months following referral. Additional booster sessions can be approved by the Homebuilders consultant; and
- **Crisis Intervention:** Homebuilders therapists are available 24/7 for telephone and face to face crisis intervention.

Target Population

The goals of Homebuilders® are to reduce child abuse and neglect, family conflict, and child behavior problems, and improve parenting skills, family interactions, and family safety to prevent the imminent need for placement or successfully reunify children.

The Homebuilders® model is designed to eliminate barriers to service while using research-based interventions to improve parental skills, parental capabilities, family interactions, children’s behavior, and well- being, family safety and the family environment.

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The children are returning from, or at risk of, placement into foster care, group or residential treatment, psychiatric hospitals or juvenile justice facilities.

Homebuilders® is specifically aimed toward children and families identified with:

- Caregiver and/or child emotional/behavioral management problems;
- Trauma exposure;
- Incurrigibility;
- Academic problems;
- Delinquency;
- Truancy;
- Running away;
- Family conflict and violence;
- Poor/ineffective parenting skills;
- Single parent families;
- Sibling antisocial behavior;
- Parental/caregiver use of physical punishment, harsh, and/or erratic discipline practices;
- Substance use;
- Mental health concerns (depression/mood disorders, anxiety, etc.); and/or
- Additional topics such as: poverty, lack of education, substandard housing, lack of supports and resources.

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Therapeutic Goals

The therapeutic goals of Homebuilders® are to improve parenting skills, family functioning, parent/caregiver and children’s behavior and emotion management skill, increase safety of all family members, in order for children/youth to live safely at home.

Homebuilders® includes a homework/practice component. Homework is individually tailored based on family goals; usually includes practicing skills and implementing interventions.

Core Strategies

The core program strategies are:

- **Engagement:** Use a collaborative and collegial approach, and Motivational Interviewing to engage and motivate families;
- **Assessment and goal setting:** Use member-directed assessment across life domains, ongoing safety assessment and planning, domestic violence assessment, suicide assessment, and crisis planning. Develop behaviorally specific and measurable goals, and specific service/treatment plans;
- **Behavior change:** Use cognitive and behavioral research-based practices and interventions;
- **Skills development:** Teach parents and children a wide variety of “life skills.” Use “teaching interaction” process including demonstrations, practice, feedback; utilize homework to help parents and children practice new skills between visits;
- **Concrete services:** Provide and/or help the family access concrete goods and services that are directly related to achieving the family’s goals, while teaching them to meet these needs on their own;
- **Community coordination and interactions:** Coordinate, collaborate, and advocate with state, local, public, and community services and systems affecting the family, while teaching members to advocate and access support for themselves;

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- **Immediate response to referral:** Accept referrals 24 hours a day, 7 days a week. Therapist and Supervisor are available 24-hours a day, 7 days a week;
- **Service provided in the natural environment:** Provide services in the families' homes and community;
- **Caseload size:** Carry caseloads of two families at a time on average;
- **Flexibility and responsiveness:** Tailor services and sessions to each family's needs, strengths, lifestyle, and culture;
- **Time-limited and low caseload.** Families receive four to six weeks of intensive intervention with up to two "booster sessions". Therapists typically serve two families at a time and provide 80 to 100 hours of service, with an average of 38 hours of face-to-face contact with the family;
- **Strengths-based.** Therapists help members identify and prioritize goals, strengths and values and help them use and enhance strengths and resources to achieve their goals;
- **Ecological/holistic assessment and individualized treatment planning.** Assessments of family strengths, problems and barriers to service/treatment and outcome-based goals and treatment plans utilized with each family;
- **Research-based treatment practices.** Therapists use evidence-based treatment practices, including motivational interviewing, behavioral parent training, cognitive behavioral therapy (CBT) strategies and relapse prevention. Therapists teach family members a variety of skills, including child behavior management, effective discipline, positive behavioral support, communication skills, problem-solving skills, resisting peer pressure, mood management skills, safety planning and establishing daily routines;
- **Support and resource building.** Therapists help families assess their formal and informal supports and develop and enhance ongoing supports and resources for maintaining and facilitating changes; and

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- **Critical thinking framework.** Therapists, supervisors and managers use a critical thinking framework for assessing, planning, implementing and evaluating progress and outcomes.

The North Carolina Family Assessment Scale (NCFAS or NCFAS-R R for reunification cases) is a tool utilized during treatment to summarize the overall assessment, and is used as a pre/post measurement tool to observe change, and to guide the service plan created for treatment.

Limitations

When Homebuilders® is utilized for clinical goals of a Medicaid eligible individual, Medicaid will reimburse. When Homebuilders® is utilized for the clinical goals of a non-Medicaid individual or other goals consistent with the Homebuilders® model, the referring agency or the family will reimburse. Homebuilders® may also be used for stabilization referrals where children are transitioning from a more restrictive to a less restrictive placement (such as a move from a group home to foster home or relative, only for stabilization purposes) or may be used for to stabilize a foster placement that is at risk of dissolution as long as the child demonstrates the listed characteristics.

Provider Qualifications and Responsibilities

Homebuilders® agencies must be licensed pursuant to La. R.S. 40:2151, et. seq. for behavioral health service providers. The provider agency must meet all qualifications as required for other outpatient and rehabilitation agencies and must maintain documentation and verification of licensure, certification by IFD, staff criminal background checks, Tuberculosis (TB) testing, drug testing and required training for staff employed or contracted with the agency. Homebuilders®-only agencies are not required to be accredited due to the extensive nature of consultation by IFD. These agencies must maintain good standing with IFD, ensure fidelity to the Homebuilders® model and maintain licensure through the Louisiana Department of Health (LDH).

NOTE: Agencies providing non-EBP rehabilitation and/or addiction services in addition to Homebuilders® must be accredited by an LDH approved national accrediting body: CARF, COA or TJC.

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Homebuilders® agencies must adhere to all requirements established in the Provider Responsibilities section located in the Outpatient Services: Rehabilitation Services chapter of this manual.

Exceptions:

- BHSPs *exclusively* providing the evidence-based practice Functional Family Therapy (FFT/FFTCW), Homebuilders® or Multi-Systemic Therapy (MST) are excluded from the requirement to provide **medication management**. Such BHSPs shall develop policies and procedures to ensure:
 - Screening of clients for medication management needs;
 - Referral to appropriate community providers for medication management including assistance to the client/family to secure services; and
 - Collaboration with the client’s medication management provider as needed for coordination of the client’s care.

- BHSPs *exclusively* providing the evidence-based practice Functional Family Therapy (FFT/FFTCW), Homebuilders® or Multi-Systemic Therapy (MST) are excluded from the requirement of having a **Medical Director**. Such BHSPs shall have a **Clinical Director** in accordance with core staffing requirements detailed in this manual chapter under *Provider Responsibilities* in Section 2.3 – Outpatient Services – Rehabilitation Services for Children, Adolescents, and Adults.

Allowed Provider Types and Specialties

- PT 77 Mental Health Rehab PS 78 MHR;

- PT 74 Mental Health Clinic PS 70 Clinic / Group PSS 8E CSoC/ Behavioral Health;
and

- PT AG Behavioral Health Rehabilitation Provider Agency PS 8E CSoC/
Behavioral Health.

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**APPENDIX E-3: EVIDENCED BASED PRACTICES (EBPs) POLICY –
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Staff Education Level/Qualifications and Training Topics

Education/Qualifications

Homebuilders® Therapist

Master's degree in psychology, social work, counseling, or a related field, or Bachelor's degree in same fields plus two years of experience working with families.

NOTE: The term “therapist” is in keeping with the nomenclature of this evidenced based practice and should not be mistaken for LMHPs, who provide counseling and psychotherapy under their respective scope of practice license.

Homebuilders® Supervisor

Master's degree in psychology, social work, counseling or a related field, or Bachelor's degree in same fields plus two years of experience providing the program, plus one year supervisory/management experience.

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Training

Training includes the following steps

Staff	Year 1	Year 2	As Needed
Therapists	11-13 days/workshop training	5-7 days/workshop training	Webinar training
Supervisors	same as therapists plus 3-5 days of supervisor workshop training	same as therapists plus 2-3 days of supervisor workshop training	Webinar training
Program Mangers	minimum of Homebuilders® Core Curriculum, Online Data Manager (ODM) training and 3-5 days of Supervisor workshop training.	minimum of 2-3 days of supervisor workshop training	Webinar training

Supervision

Weekly team consultation/supervision with the Homebuilders® consultant (via telephone or Skype), individual supervision and consultation available 24/7. Homebuilders® consultant also consults individually with the supervisor as needed, and is available for emergency consultation 24/7. Sites are required to consult with Homebuilders® consultant for specified issues. Also there is also required consultation with the supervisor or program manager for specified situations. IFD has clear guidelines for when therapists must consult with their supervisor, and when supervisors must consult with their program manager, and when Homebuilders® consultant(s) should be included.

One of the important variables impacting the overall level of consultation provided is the “level” of the supervisor. Supervisors will move to levels 3 and in level 4 they take on more of the responsibility to do their own site reviews (with our oversight), and monthly consultation time is reduced. When a team has supervisor turnover, the new supervisor starts at level 1 and the consultation moves back to level 1 oversight and consultation.

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The Homebuilders® consultants are IFD staff who have years of experience delivering, supervising and /or managing Homebuilders® programs. All are MA/MSW or Ph.D. licensed (in Mental Health Counseling, Social Work or Marriage and Family). The range of Homebuilders® experience for the consultants is 8 to over 30. The consultants also deliver Homebuilders® training through the US and in other countries.

Monitoring and Assessment of Service Delivery

All programs are required to use the web-based member documentation and data system (ODM). All member documentation is entered (with guidelines about when this occurs) into ODM, and data reports are generated from the information that go into part of the fidelity and site reviews.

Site Reviews

There are two onsite visits a year:

- A mid-year review (go out on home visits, observe team consultation, meet with administrators, etc.), with only quantitative data run and reported; and
- A year-end full-site review (visit with home visits, team consultation reviews, file reviews, etc.) – After full site reports are completed, Professional Development Plans (PDPs) and Quality Enhancement Plans (QE plans) are developed after.

IFD supports the creation of PDPs for individuals and QE plans for the team. When/if serious problems occur Quality Improvement plans (QI plans) are developed and are time limited, and can result in individual or teams not being allowed to deliver Homebuilders®. Please see the website for more information: www.institutefamily.org

Exclusions

Homebuilders® services are comprehensive of all other services, with the exception of psychological evaluation or assessment and medication management. These may be provided and billed separately for a recipient receiving Homebuilders® services.

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Homebuilders® shall not be billed in conjunction with the following services:

- Behavioral health (BH) services by licensed and unlicensed individuals, other than medication management and assessment; and
- Residential services, including professional resource family care.

Billing

- Only direct staff face-to-face time with the child or family may be billed. Homebuilders® may be billed for under community psychiatric supportive treatment (CPST), but must be consistent with the CPST State Plan definition. CPST is a face-to-face intervention with the individual present; however, family or other collaterals may also be involved, and the child/youth receiving treatment does not need to be present for all contacts.
- Collateral contacts billable to Medicaid should involve contacts with parents, guardians or other individuals having a primary care relationship with the individual receiving treatment. All contacts must be based on goals from the child's/youth's plan of care. Phone contacts are not billable.

NOTE: The exception to the allowance of collateral contacts while providing evidence-based practices is coordination with other child-serving systems such as parole and probation programs, public guardianship programs, special education programs, child welfare/child protective services and foster care programs. Coordination with these child-serving systems is considered collateral contact and may be necessary to meet their goals of the individual but is not billable through Medicaid. Services may be provided by these child-serving systems, however, the services provided must be funded through the agency providing the service.

- Time spent in travel, transporting children, documenting, supervision, training, etc. has been factored into the indirect unit cost and may not be billed directly.
- Medicaid funding may not reimburse for children in the custody of the Office of Juvenile Justice (OJJ), who reside in detention facilities, public institutions or

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secure care and are inmates of a public institution. If the child is in OJJ custody, but not in a public correctional institution (i.e., is outpatient), Medicaid will reimburse for the Homebuilders® except for the oversight of restorative measures, which is an OJJ function.

- Medicaid will not reimburse for services provided to children who are residents of IMDs, which are institutions with greater than 16 beds, where more than 50 percent of the residents require treatment for BH conditions.
- Medicaid does not pay when the vocational supports provided via Homebuilders® qualify for vocational rehabilitation funding, even if the vocational rehabilitation services are not available.

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APPENDIX E-4: EVIDENCED BASED PRACTICES (EBPs) POLICY –**MULTI-SYSTEMIC THERAPY**

MULTI-SYSTEMIC THERAPY

The provider agency must have a current license issued by MST Services to provide multi-systemic therapy (MST). The licensed entity has agreed to assume responsibility for this service under its license. The provider contracts with MST Services for training, supervision and monitoring of services. This occurs primarily through a MST national consultant. The provider will also have a contractual relationship with MST Services, allowing the provider to deliver the licensed MST model.

Multi-systemic therapy provides an intensive home/family and community-based treatment for youth who are at risk of out-of-home placement or who are returning from out-of-home placement. The MST model is based on empirical data and evidence-based interventions that target specific behaviors with individualized behavioral interventions. Services are primarily provided in the home, but workers also intervene at school and in other community settings. All MST services must be provided to, or directed exclusively toward, the treatment of the Medicaid-eligible youth.

Target Population Characteristics

MST services are targeted for youth primarily demonstrating externalizing behaviors, such as conduct disorder, antisocial or illegal behavior or acts that lead to costly and, oftentimes, ineffective out-of-home services or excessive use of child-focused therapeutic support services. Depression and other disorders are considered, as long as the existing mental and behavioral health (BH) issues manifest in outward behaviors that impact multiple systems (i.e., family, school, community). Youth with substance use issues may be included if they meet the criteria below, and MST is deemed clinically more appropriate than focused drug and alcohol treatment.

- Referral/target ages of 12-17 years;
- Youth exhibits significant externalizing behavior, such as chronic or violent juvenile offenses;
- Child is at risk for out-of-home placement or is transitioning back from an out-of-home setting;
- Externalizing behaviors symptomatology, resulting in a DSM-5 diagnosis of conduct disorder or other diagnoses consistent with such symptomatology (oppositional defiant disorder, other disruptive, impulse-control, and conduct disorders, etc.);

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- Ongoing multiple system involvement due to high risk behaviors and/or risk of failure in mainstream school settings due to behavioral problems;
- Less intensive treatment has been ineffective or is inappropriate; or
- The youth’s treatment planning team or CFT recommends that he/she participate in MST.

MST services may not be clinically appropriate for individuals who meet the following conditions:

- Youth referred primarily due to concerns related to suicidal, homicidal or psychotic behavior;
- Youth living independently, or youth whom a primary caregiver cannot be identified despite extensive efforts to locate all extended family, adult friends or other potential surrogate caregivers;
- The referral problem is limited to sexual offending in the absence of other delinquent or antisocial behavior;
- Youth with moderate to severe difficulties with social communication, social interaction, and repetitive behaviors, which may be captured by a diagnosis of autism;
- Low-level need cases or
- Youth who have previously received MST services or other intensive family- and community-based treatment.

Exception: Youth may be allowed an additional course of treatment if all of the following criteria are met:

- MST program eligibility criteria are currently met;
- Specific conditions have been identified that have changed in the youth’s ecology, compared to the first course of treatment;

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APPENDIX E-4: EVIDENCED BASED PRACTICES (EBPs) POLICY –**MULTI-SYSTEMIC THERAPY****PAGE(S) 15**

- It is reasonably expected that successful outcomes could be obtained with a second course of treatment; and
- Program entrance is subject to prior authorization by the MCO.

Criteria for Continuing Services

Individuals receiving MST services must meet all of the following criteria for continuing treatment with MST:

- Treatment does not require more intensive level of care.
- The treatment plan has been developed, implemented and updated based on the youth's clinical condition and response to treatment, as well as the strengths of the family, with realistic goals and objectives clearly stated.
- Progress is clearly evident in objective terms, but goals of treatment have not yet been achieved, or adjustments in the treatment plan to address the lack of progress are evident.
- The family is actively involved in treatment, or there are active, persistent efforts being made which are expected to lead to engagement in treatment.

Criteria for Discharge from Services

Individuals who meet the following criteria no longer meet medical necessity criteria for MST and shall be discharged from MST treatment:

- The recipient's treatment plan goals or objectives have been substantially met.
- The recipient meets criteria for a higher or lower level of treatment, care or services.
- The recipient, family, guardian and/or custodian are not engaging in treatment or not following program rules and regulations, despite attempts to address barriers to treatment.

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- Consent for treatment has been withdrawn, or youth and/or family have not benefitted from MST, despite documented efforts to engage, and there is no reasonable expectation of progress at this level of care, despite treatment.

Covered Services

Philosophy and Treatment Approach

The MST approach views individuals as being surrounded by a natural network of interconnected systems that encompass individual, family and extra-familial (peer, school and neighborhood) factors. The MST approach believes that it is often necessary to intervene in a number of these systems to achieve positive results. All interventions implemented during treatment come from evidenced-based treatment approaches. Through a combination of direct service contacts and collateral contacts, significant improvement in family functioning occurs, thereby reducing the need for continued professional services.

MST is based on the philosophy that the most effective and ethical way to help children and youth is by helping their families. MST views caregivers as valuable resources, even when they have serious and multiple needs of their own. One goal of MST is to empower caregivers to effectively parent their children. MST treatment reaches across all of the youth's life domains and is highly individualized around each case, as described below.

MST Treatment Principles:

- The primary purpose of assessment is to understand the fit between the identified problems and their broader systemic context.
- Therapeutic contacts emphasize the positive and use systemic strengths as levers for change.
- Interventions are designed to promote responsible behavior and decrease irresponsible behavior among family members.
- Interventions are present-focused and action-oriented, targeting specific and well-defined problems.
- Interventions target sequences of behavior within and between multiple systems that maintain the identified problems.

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- Interventions are developmentally appropriate and fit the developmental needs of the youth.
- Interventions are designed to require daily or weekly efforts by family members.
- Intervention effectiveness is evaluated continuously from multiple perspectives, with the provider assuming accountability for overcoming barriers to successful outcomes.
- Interventions should be designed to promote treatment generalization and long-term maintenance of therapeutic change by empowering caregivers to address family members' needs across multiple systemic contexts.

These nine principles guide treatment and the development of interventions to address referral behaviors. The treatment theory draws from social-ecological and family systems theories of behavior. Supervision and consultation to staff are focused on facilitating use of the MST model, and a variety of measures are in place to monitor a program's adherence to the MST model and ensure that fidelity to the model is maintained to the greatest extent possible (as described below).

Goals

MST is designed to accomplish the following:

- Reduce the frequency of referral behaviors and increase pro-social behaviors, reduce symptoms, maladaptive and externalizing behaviors, so that the child/youth can be treated in a lower level of community-based care. Child/youth no longer demonstrating ongoing risk of deliberate attempts to inflict serious injury on self or others;
- Decrease association with deviant peers and increase association with pro-social peers and involvement in positive recreational activities;
- Help caregivers develop effective parenting skills and skills to manage the consumer's mental health needs, improve caregiver decision-making and limit setting;
- Improve family relationships;

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- Improve school or vocational success, as indicated by improved grade point average, a decrease in disciplinary referrals, unexcused absences and tardies and/or a decrease in job terminations;
- Support involvement in restorative measures, such as community services, if involved with Juvenile Justice (Office of Children, Youth and Families resources will oversee and fund the participation in restorative measures, rather than the MST service provider);
- Reduce likelihood of out-of-home placement and reduce the utilization of out-of-home therapeutic resources (i.e., therapeutic foster care, residential treatment facility, etc.); and
- Develop natural supports for the consumer and family.

Specific treatment goals will always be individualized and tied to behavioral health needs.

Specific Design of the Service

On average, a youth receives MST for 3 to 5 months, but typically, no longer than five months. The therapist meets with the youth or family at least weekly but often multiple times per week, depending on need. Families typically see therapists less frequently as they get closer to discharge. On average, families receive about 60 hours of face-to-face treatment over a four-month period, as well as about 35 hours of non-direct contact provided to the ecology of the youth (e.g., consultation and collaboration with other systems). (Please note that these contact hours reflect averages only, and are not intended to specify a set number of family or member contacts. The MST model is intended to be a highly individualized treatment that is intensive and is delivered as frequently as is required to produce the outcomes desired for each specific youth.) Services occur in the family's home or community at times that are convenient for the family. Staff members are expected to work on weekends and evenings, for the convenience of their members. Therapists and/or their supervisors are on call for families 24/7. Supervisors are available to therapists around-the-clock for support. Each therapist carries a small caseload (four to six families) at any one time.

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APPENDIX E-4: EVIDENCED BASED PRACTICES (EBPs) POLICY –**MULTI-SYSTEMIC THERAPY**

MST includes:

- Assessment;
- Ongoing treatment planning;
- Family therapy;
- Parent counseling (related to empowering caregivers to parent effectively and address issues that pose barriers to treatment goals);
- Consultation to and collaboration with other systems, such as school, juvenile probation, children and youth and job supervisors;
- Individual therapy may occur but is not the primary mode of treatment; and
- Referral for psychological assessment, psychiatric evaluation and medication management, if needed.

NOTE: The term “counseling” throughout the MST section is in keeping with the nomenclature of this evidenced based practice and should not be mistaken for the counseling and psychotherapy rendered by LMHPs under their respective scope of practice license.

Unless it directly impacts the youth’s treatment, MST therapists do not provide individual therapy to caregivers or other family members, or marital therapy.

MST is a practical and goal-oriented treatment that specifically targets the factors in a youth’s social network that are contributing to the problem behaviors. Specific treatment techniques draw from therapies with the most empirical support, such as cognitive, cognitive behavioral, behavioral and pragmatic family therapies, such as structural family therapy. Interventions are developed based on an assessment of the “fit” for a specific behavior (specifically, what factors are driving the behavior, which are always individualized). Interventions always target specific, well-defined problems, focus on present conditions and are action-oriented. Families are often given “assignments” that require daily or weekly efforts, capitalize on strengths, build skills and encourage responsible behavior by the youth and family. By empowering caregivers to address their families’ needs, MST interventions promote generalization and maintenance of positive changes. The help of natural supports, such as extended family or school, is often enlisted.

Therapists are totally responsible for engaging the family and other key participants in the youth’s environment (e.g., teachers, school administrators, community members, workers from agencies

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with mandated involvement). MST requires a solution-focused, strengths-based orientation from therapists.

The effectiveness of interventions is closely monitored from week-to-week from multiple perspectives (e.g., caregivers, identified youth, teachers and the MST team). While overarching goals are established at the beginning of treatment, specific, measurable objectives are set each week. Family members and therapists work together to design the treatment plan, which ensures family involvement. However, therapists and the provider agency are held accountable for achieving change and for positive case outcomes.

NOTE: The MST program has a hands-off policy and does not utilize any restraints or restrictive procedures.

Description of Individualization for Youth and Family

Treatment Planning

The treatment plan is developed by the MST therapist, based on the referral behaviors and the goals of the youth and family. The treatment planning process includes assessment, data collection and analysis, documentation, team and supervisory input, goal development, intervention development and implementation, outcome assessment, ongoing plan revision and termination.

The treatment plan is discussed, put into writing by the MST therapist and signed by the caregiver and ideally signed by the youth as well, if the youth is age 14 or older. Overarching goals are established at the beginning of treatment, while specific objectives are updated each week and closely monitored.

Cultural concerns

MST treatment is attuned to the importance of ethnicity and culture for all members referred for services. Cultural values and concerns should be reflected in the MST therapist's assessment of the youth and family and incorporated into interventions, as appropriate. Weekly clinical supervision should include responsiveness to problems related to racism or discrimination. Cultural competence may be addressed in MST booster trainings if it is identified as an area of need by the MST supervisor and system supervisor.

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Child integration to community

The treatment objectives must demonstrate that MST focuses on community integration by striving to reduce out-of-home placements, improve school attendance and academic success and build natural supports for the family and so on.

By maintaining the youth within the community, the least restrictive environment, MST treatment interventions strengthen the family and youth’s relationship with community resources and the people managing them. This is important for creating sustainable treatment outcomes. Also, the MST model is strengths-focused and competency-based in its treatment approach. The general goal of MST is to promote increased emotional and social health in youth and families.

Provider Qualifications and Responsibilities

Agencies must be licensed to provide MST services by MST Services, Inc. or any of its approved subsidiaries. An MST agency must be a BH/substance use provider organization, which is a legally recognized entity in the United States and is qualified to do business in Louisiana and meets the standards established by the BHSF or its designee. MST agencies must be licensed pursuant to La. R.S. 40:2151, et. seq. for behavioral health service providers. The provider agency must meet all qualifications as required for other outpatient and rehabilitation agencies and must maintain documentation and verification of licensure, certification by MST Services, Inc., staff criminal background checks, TB testing, drug testing and required training for staff employed or contracted with the agency. MST-only agencies are not required to be accredited due to the extensive nature of consultation by MST Services, Inc. These agencies must maintain good standing with MST Services, Inc., ensure fidelity to the MST model and maintain licensure through LDH.

NOTE: Agencies providing non-EBP rehabilitation and/or addiction services in addition to MST must be accredited by an LDH approved national accrediting body: CARF, COA or TJC.

The provider will provide all member services. MST therapists and supervisors are employees of the provider. Ultimate responsibility for services provided lies with the provider. The provider contracts with a network partner for training, supervision and monitoring of services. This occurs primarily through an MST system supervisor provided by the network partner. Network partner status, granted to the network partner’s MST program by MST Services, allows for the development of MST teams supported and monitored directly by the network partner. The provider also has a contractual relationship with MST Services, allowing the provider to deliver the licensed MST model.

MST agencies must adhere to all requirements established in the Provider Responsibilities section located in the Outpatient Services: Rehabilitation Services chapter of this manual.

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Exceptions:

- BHSPs *exclusively* providing the evidence-based practice Functional Family Therapy (FFT/FFTCW), Homebuilders® or Multi-Systemic Therapy (MST) are excluded from the requirement to provide **medication management**. Such BHSPs shall develop policies and procedures to ensure:
 - Screening of clients for medication management needs;
 - Referral to appropriate community providers for medication management including assistance to the client/family to secure services; and
 - Collaboration with the client’s medication management provider as needed for coordination of the client’s care.
- BHSPs *exclusively* providing the evidence-based practice Functional Family Therapy (FFT/FFTCW), Homebuilders® or Multi-Systemic Therapy (MST) are excluded from the requirement of having a **Medical Director**. Such BHSPs shall have a **Clinical Director** in accordance with core staffing requirements detailed in this manual chapter under *Provider Responsibilities* in Section 2.3 – Outpatient Services – Rehabilitation Services for Children, Adolescents, and Adults.
-

Allowed Provider Types and Specialties

- PT 12 Multi-Systemic Therapy Agency, PS 5M Multi-Systemic Therapy

Staff Education Level/Qualifications and Training Topics

Education/Qualifications

The MST program at the provider consists of one or more MST teams, each with an MST clinical supervisor and two to four MST therapists. There is a system supervisor from the network partner, who is responsible for the clinical fidelity of the MST team. All staff will have background checks, tuberculosis (TB) testing, screenings and required training on file before working with youth and families.

MST Clinical Supervisor

The supervisor for an MST team is an independently licensed master’s-level mental health professional with a graduate degree in a clinical mental health field and experience providing

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mental health treatment. A minimum of three years of experience is preferred. The supervisor facilitates weekly team supervision, reviews weekly case summaries in preparation for supervision and is available to therapists 24/7. The MST supervisor will, at times, take therapy cases, if needed, due to demand and staff availability. A full-time supervisor may supervise up to two teams; a half-time supervisor may supervise one team. Clinical services and supervision must be provided by LMHPs in accordance with their respective licensing board regulations. All practitioners must hold an unrestricted Louisiana license.

MST Therapist

Therapists are master’s-level mental health professionals with graduate degrees in a clinical field, a background in family, youth and community service and a minimum of two years’ experience preferred. Highly skilled bachelor’s-level professionals may be selected, with certain hiring conditions. These conditions include: (1) education in a human services field; (2) a minimum of three years’ experience working with family and/or children/youth services; and (3) the provider has actively recruited for master’s-level therapists but has not found any acceptable candidates or the bachelor’s-level applicant is clearly better qualified than the master’s-level applicants. Bachelor’s level staff must have a degree in social work, counseling, psychology or a related human services field and must have at least three years of experience working with the target population (children/adolescents and their families). Therapists are responsible for providing direct service to a caseload of four to six families. The expectation is that the usage of bachelor’s-level staff will not exceed one bachelor’s-level staff person for every two master’s-level staff persons per team.

NOTE: The term “therapist” is in keeping with the nomenclature of this evidenced based practice and should not be mistaken for LMHPs, who provide counseling and psychotherapy under their respective scope of practice license.

MST System Supervisor (MST consultant from the network partner)

The system supervisor is a master’s-level, mental health professional with a graduate degree in a clinical field and experience as an MST clinical supervisor. The system supervisor provides weekly clinical consultation to the MST teams, monthly clinical consultation to the MST supervisors, quarterly booster trainings for the MST teams and monitors adherence to the MST model. A manager of network partnerships from MST Services is assigned to the network partner to monitor and train system supervisors.

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Training

System supervisors are responsible for the training of MST therapists and MST clinical supervisors. All therapists and supervisors attend a 30-hour (five-day) MST orientation training within two months of hire. This training covers such topics as: engagement and alignment, parent-child interventions, marital interventions, school-based interventions, confidentiality and ethics, peer interventions, social supports, individual interventions, safety issues, substance use interventions and psychiatric consultation. All participants take a test at the end of the training week. Individual results of the tests are used to identify areas of strength and weakness for continued clinical development.

Booster trainings are conducted for one and a half days each quarter. The entire MST team attends a full day of booster training (minimum seven hours), while the half-day (minimum three and a half hours) may be attended by the entire team or only the supervisors. Topics for booster trainings are derived from planning discussions between the system supervisor and MST clinical supervisors as they reflect on challenges over the previous months. Examples of booster trainings include family contracting, interventions for families affected by divorce, safety planning, preventing burnout, caregiver substance use and school-based assessment and intervention. Orientation and booster trainings are led by MST-licensed system supervisors.

Supervision

Intensive supervision and clinical consultation are an integral part of the MST model and are focused on promoting consistent application of the MST model to all cases. Training is monitored through the licensing agreements and contractual arrangement that the provider has with the network partner, and they with MST Services.

Supervision and consultation in MST includes the following:

- MST therapists receive weekly team supervision with their MST supervisor, typically lasting one or two hours. If an MST supervisor has two teams, supervision is provided separately to each team. Prior to supervision meetings, the supervisor reviews weekly case summaries, makes notes and creates an agenda for the supervision meeting.
- Each MST team receives weekly telephone consultation from an MST system supervisor, typically for one hour. Each week the system supervisor reviews case

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summaries and MST clinical supervisor notes, in preparation for the consultation session.

- Each MST therapist has a clinical plan (professional development plan) to guide him/her to effective levels of MST adherence.
- MST clinical supervisors are available around-the-clock to provide support to MST therapists.
- The MST clinical supervisors receive monthly telephone consultation from the system supervisor to monitor and develop their supervisory effectiveness. This supervision involves close review of audiotapes of supervision sessions and case reviews.

Monitoring and Assessment of Service Delivery: The licensing agreement and contracts between MST Services, the network partner and the provider include monitoring activities to ensure fidelity to the MST model, as described below. Adherence to the model is monitored through the administration of two measures:

Therapist Adherence Measure-Revised (TAM-R): This is an objective, standardized instrument that evaluates a therapist's adherence to the MST model as reported by the primary caregiver of the family. It has been shown to have significant value in measuring a MST therapist's adherence to MST principles and to predicting treatment outcomes. The TAM-R has been validated in clinical trials with serious chronic, juvenile offenders and is now implemented by all licensed MST programs. The TAM-R takes 10 to 15 minutes to complete. It is administered during the second week of treatment and every four weeks thereafter. A staff person will contact the family in-person or by phone to complete the measure. Data is entered onto an online database managed by the MST Institute, and results are reviewed by the MST supervisor and therapist.

Supervisor Adherence Measure (SAM): This measure evaluates the MST clinical supervisor's adherence to the MST model of supervision. This 10 to 15-minute measure is completed by MST therapists, who are prompted to complete the SAM every two months and enter their responses directly onto the on-line database. Results are shared with the MST system supervisor, who then shares a summary of the feedback with the MST clinical supervisor during a consultation meeting.

The online database also collects case-specific information, including the percent of cases successfully completing MST and whether specific instrumental and ultimate outcomes have been achieved at discharge. The provider will ensure that the MST program collects TAM-R and SAM,

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as required by the model, and that this and other data is entered into the online database in a timely fashion.

Every six months, a program implementation review is completed by the system supervisor and MST clinical supervisor for each team. This review includes completion of a program review form (a checklist of characteristics considered critical to the success of an MST program), a narrative summary of the program's strengths and weaknesses and recommendations. This review is used to monitor the team's fidelity to the model and troubleshoot problem areas.

Exclusions

MST services are comprehensive of all other services, with the exception of psychological evaluation or assessment and medication management. These services may be provided and billed separately for a recipient receiving MST services.

MST shall not be billed in conjunction with the following services:

- BH services by licensed and unlicensed individuals, other than medication management and assessment.
- Residential services, including professional resource family care.

Billing

- Only direct staff face-to-face time with the child or family may be billed. MST may be billed under community psychiatric supportive treatment (CPST), but must be consistent with the CPST Medicaid State Plan definition. CPST is a face-to-face intervention with the individual present; however, family or other collaterals may also be involved, and the child/youth receiving treatment does not need to be present for all contacts.
- Collateral contacts billable to Medicaid should involve contacts with parents, guardians or other individuals having a primary care relationship with the individual receiving treatment. All contacts must be based on goals from the child's/youth's plan of care. Phone contacts are not billable.

NOTE: The exception to the allowance of collateral contacts while providing evidence-based practices is coordination with other child-serving systems such as parole and probation programs, public guardianship programs, special education

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programs, child welfare/child protective services and foster care programs. Coordination with these child-serving systems is considered collateral contact and may be necessary to meet their goals of the individual, but is not billable through Medicaid. Services may be provided by these child-serving systems, however, the services provided must be funded through the agency providing the service.

- Time spent in travel, transporting children, documenting, supervision, training, etc. has been factored into the indirect unit cost and may not be billed directly.
- Medicaid may not reimburse for children in the custody of the Office of Juvenile Justice (OJJ) who reside in detention facilities, public institutions or secure care, and are inmates of a public institution. If the child is in OJJ custody, but not in a public correctional institution (i.e., is outpatient), Medicaid will reimburse for the MST, except for the oversight of restorative measures, which is an OJJ function.
- Medicaid will not reimburse for services provided to children who are residents of institutions for mental diseases (IMDs). These are institutions with greater than 16 beds, where more than 50 percent of the residents require treatment for BH conditions.
- Medicaid does not pay when the vocational supports provided via MST qualify for vocational rehabilitation funding, even if the vocational rehabilitation services are not available.

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APPENDIX E-5: EVIDENCED BASED PRACTICES (EBPs) POLICY –**CHILD PARENT PSYCHOTHERAPY****PAGE(S) 7**

CHILD PARENT PSYCHOTHERAPY

Child Parent Psychotherapy (CPP) is an intervention for children age 0-6 and their parents who have experienced at least one form of trauma including but not limited to maltreatment, sudden traumatic death of someone close, a serious accident, sexual abuse, or exposure to domestic violence. The primary goal of the treatment is to support and strengthen the relationship between a child and his or her parent (or caregiver) in order to repair the child's sense of safety, attachment, and appropriate affect to ultimately improve the child's cognitive, behavioral, and social functioning.

Child Parent Psychotherapy is a model used within the service Outpatient Therapy by Licensed Practitioners, so follows the requirements set out in the “Outpatient Therapy by Licensed Practitioners” section of this manual.

Evaluation of the Evidence Base for the EBP Model

Evaluation of the evidence-base for the CPP model has been conducted by a national registry.

CPP has received a CEBC Scientific Rating of 2-Supported by Research Evidence by the California Evidence Based Clearinghouse:

<http://www.cebc4cw.org/program/child-parent-psychotherapy/detailed>

The model and research evidence for CPP are also described in a fact sheet from The National Child Traumatic Stress Network (NCTSN):

https://www.nctsn.org/sites/default/files/interventions/cpp_fact_sheet.pdf

Target Population Characteristics

Children: Birth–6 years old that have:

- Experienced at least one traumatic event and
- Are experiencing behavior, attachment, and/or mental health problems, including posttraumatic stress disorder (PTSD) because of experienced trauma.

And Parent(s)/Caretaker(s) of traumatized child.

CPP may help when:

- Children have been through scary or painful events such as
 - loss of a loved person;
 - separation;
 - serious medical procedures;

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- abuse or violence at home or in the community;
- Children show difficult behaviors;
- Children have a change in placement or caregivers;
- Family members have physical health or mental health difficulties; or
- Caregivers would like help with parenting and improving parent-child relationships.

Philosophy and Treatment Approach

CPP is a dyadic treatment with both the parent/caregiver and child, because caregivers are the most important people in their children's lives. Parents/caregivers know their children best and are central to their development. Stressful experiences affect the parent-child relationship, and young children rely on their parents/caregivers to feel safe. When difficult things happen, young children need parents and caregivers to help them with the following:

- Make sense of what their family went through;
- Know what they can expect in the future; and
- Learn to cope with challenging negative emotions.

Goals

- Reduction in child PTSD symptoms;
- Reduction in child behavior problems;
- Increased child/parent attachment security; and
- Reduction in parent PTSD and other mental health symptoms.

Specific Design of the Service

Recommended Intensity:

Weekly 1 to 1.5-hour sessions

Recommended Duration:

52 weeks (one year)

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**APPENDIX E-5: EVIDENCED BASED PRACTICES (EBPs) POLICY –
CHILD PARENT PSYCHOTHERAPY****Delivery Settings**

This program is typically conducted in a(n):

Adoptive Home, Birth Family Home, Community Agency, Foster/Kinship Care, Outpatient Clinic, School in order to follow the child.

The type of trauma and the child's age/developmental status determine the structure of CPP sessions. For example, if the child is an infant, the focus is on helping the parent(s) understand the trauma's potential impact on development and or functionality of the infant. Older children often take an active role in the treatment, which often involves play to facilitate communication between child and parent.

Cultural Considerations

According to a review by The National Child Traumatic Stress Network (NCTSN), the model is broadly tailored and the basic theoretical principles and core goals of CPP are thought to apply across diverse groups. The treatment has been used extensively with a wide range of minority groups: Latino (Mexican, Central, and South American), African-American, and Asian (Chinese). Clinical and research data, including four randomized trials conducted with predominantly ethnic minority samples, document the efficacy of this approach with culturally diverse groups.

Additional culture-specific information on CPP can be found in a NCTSN fact sheet at:

https://www.nctsn.org/sites/default/files/interventions/cpp_culture_specific_fact_sheet.pdf

Provider Qualifications and Responsibilities**EBP Model Requirements**

Therapists must achieve satisfactory completion of the full 18 month CPP training, upon which the clinician will be eligible to join the roster of nationally trained CPP therapists. This list is held by the Child Parent Psychotherapy Learning Collaborative in Louisiana. Providers must submit verification of inclusion on the roster of nationally trained CPP therapists to each MCO with whom it contracts to demonstrate eligibility for CPP therapist status. Verification must be maintained in the therapist's personnel folder.

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**APPENDIX E-5: EVIDENCED BASED PRACTICES (EBPs) POLICY –
CHILD PARENT PSYCHOTHERAPY**

All clinicians seeking to complete training and be eligible for the CPP roster must be masters or doctoral-level licensed psychotherapists with a degree in a mental health discipline.

Certification should be maintained by engaging in periodic fidelity review activities, including completion of a CPP Case Presentation (template) and case consultation calls with a CPP Trainer, at the frequency described below in the description of fidelity monitoring.

Other Qualifications and Requirements

Practitioners must meet qualifications and requirements established in the Outpatient Therapy by Licensed Practitioners section of this manual.

Allowed Provider Types and Specialties

- PT 31 Psychologist PS
 - 6A Psychologist - Clinical
 - 6B Psychologist – Counseling
 - 6C Psychologist - School
 - 6D Psychologist - Developmental
 - 6E Psychologist - Non-declared
 - 6F Psychologist – Other
 - 6G Psychologist – Medical

- PT 73 Social Worker (Licensed/Clinical) PS 73 Social Worker

- PT AK Licensed Professional Counselor (LPC) PS 8E LPC

- PT AH Licensed Marriage & Family Therapists (LMFT) PS 8E

- PT AJ Licensed Addiction Counselor PS 8E CSoC/Behavioral Health
- PT 19 Doctor of Osteopathic Medicine PS
 - 26 Psychiatry
 - 27 Psychiatry; Neurology
 - 2W Addiction Specialist

- PT 20 Psychiatrist PS
 - 26 Psychiatry
 - 2W Addiction Specialist

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**APPENDIX E-5: EVIDENCED BASED PRACTICES (EBPs) POLICY –
CHILD PARENT PSYCHOTHERAPY**

- PT 78 Advanced Practice Registered Nurse PS 26
- PT 93 Clinical Nurse Specialist PS 26
- PT 94 Physician Assistant PS 26

Training

The intensive 18 month training structure:

- 3 day - initial core didactics is \geq 18 hours face to face classroom time
- 6 months- twice-monthly consultation calls for treatment collaboration
- 2 day – face to face participant driven case based collaboration between training clinicians and trainer.
- 6 months –twice-monthly consultation calls to strengthen and support development.
- 2 days – face to face competence building with case based participant driven collaboration lead by the trainer
- 6 months – continued consultation and supportive twice-monthly calls

Minimum requirements:

- Therapist must attend all face to face sessions and a minimum of 70% of the consultation calls during the 18 month period.
- Therapists must work with at least 4 qualifying parent-child dyads in the 18 month period.

Quality Assurance

Outcomes

Outcomes to be measured in the delivery of CPP include:

- Effectiveness of CPP on reducing behavioral symptoms among CPP recipients as evidenced by the (ECSA) Brief Early Childhood Screening Assessment once before treatment, at the 6 month interval, and again post treatment as reported by the guardian; and
- Effectiveness of CPP on improving caregiver/child relationship as measured using The Relationship Scale at pre- and post- treatment.

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APPENDIX E-5: EVIDENCED BASED PRACTICES (EBPs) POLICY –

CHILD PARENT PSYCHOTHERAPY

Model-Specific Documentation Requirements

Case Consultation form. While not completed on every case as required practice, the Case Consultation form is a tool that should be completed on specific cases that will be submitted for fidelity review.

Fidelity

Therapist fidelity to the CPP model is monitored via therapist submission of a Case Consultation form for one case, at two different time points during the case (early in treatment, as well as 2-3 months into treatment).

These Case Consultation forms are submitted to the CPP Trainer, who will review and follow up with the therapist on a 30-60 minute case consultation phone call.

To maintain CPP fidelity, CPP therapists should submit Case Consultation forms and complete a case consultation call with a CPP trainer at the following frequency:

- For the first 2 years post-certification: Every 6 months.
- Beyond 2 years post-certification: Annually.

Limitations/Exclusions

CPP, as a service offered under Outpatient Therapy by Licensed Practitioners, has an initial authorization level of benefit, and services which exceed the limitation of the initial authorization may require approval for re-authorization prior to service delivery. The recommended duration of the CPP model is 52 weeks; therefore re-authorization should be requested indicating that the specialty model CPP is being utilized and therefore appropriately may exceed the initial authorization and should be authorized for continuing services to complete the medically necessary treatment episode and provide evidence-based care to the youth and family.

Billing

- Only direct staff face-to-face time with the child or family may be billed. CPP is a face-to-face intervention with the individual and caregiver present; however, the child receiving treatment does not need to be present for all contacts. If the child is not present, the appropriate procedure code must be billed, e.g. 90846 - Family Psychotherapy without Patient Present.

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**APPENDIX E-5: EVIDENCED BASED PRACTICES (EBPs) POLICY –
CHILD PARENT PSYCHOTHERAPY**

- Collateral contacts billable to Medicaid should involve contacts with parents, guardians using the appropriate procedure code as stated above. All contacts must be based on goals from the child's/youth's plan of care. Phone contacts are not billable.

NOTE: The exception to the allowance of collateral contacts while providing evidence-based practices is coordination with other child-serving systems such as parole and probation programs, public guardianship programs, special education programs, child welfare/child protective services and foster care programs. Coordination with these child-serving systems is considered collateral contact and may be necessary to meet their goals of the individual, but is not billable through Medicaid. Services may be provided by these child-serving systems, however, the services provided must be funded through the agency providing the service.

- Therapists bill standard CPT individual and family therapy codes for sessions providing CPP. The EBP tracking code "EBP02" should be indicated on claims to note that the therapy session utilized CPP as an evidence-based model of therapeutic intervention.
- To use the CPP EBP tracking code of "EBP02" on claims, the therapist must first provide documentation (stating that the clinician has fulfilled the requirements of an implementation level course in Child-Parent Psychotherapy from a trainer endorsed by the University of California, San Francisco) to the MCO(s) the provider is contracted with as part of the therapist's credentialing.

CHAPTER 2: BEHAVIORAL HEALTH SERVICES**APPENDIX E-6: EVIDENCED BASED PRACTICES (EBPs) POLICY –
PARENT-CHILD INTERACTION THERAPY****PAGE(S) 8****PARENT CHILD INTERACTION THERAPY**

Parent-child interaction therapy (PCIT) is an evidence-based behavior parent training treatment developed by Sheila Eyberg, PhD for young children with emotional and behavioral disorders that places emphasis on improving the quality of the parent-child relationship and changing parent-child interaction patterns. Children and their caregivers are seen together in PCIT. Parents are taught and practice communication skills and behavior management with their children in a playroom while coached by therapists. The activities and coaching by a therapist enhance the relationship between parent and child and help parents implement non-coercive discipline strategies.

PCIT is a model used within the service Outpatient Therapy by Licensed Practitioners, so follows the requirements set out in the “Outpatient Therapy by Licensed Practitioners” section of this manual.

Evaluation of the Evidence Base for the EBP Model

Evaluation of the evidence-base for the PCIT model has been conducted by national registries.

Blueprints Programs lists PCIT as a Certified Promising Program:
<http://www.blueprintsprograms.com/programs>

PCIT has received a CEBC Scientific Rating of 1-Well Supported by Research Evidence by the California Evidence Based Clearinghouse:
<http://www.cebc4cw.org/program/parent-child-interaction-therapy/>

The model and research evidence for PCIT are also described in a fact sheet from The National Child Traumatic Stress Network (NCTSN):
https://www.nctsn.org/sites/default/files/interventions/pcit_fact_sheet.pdf

Target Population Characteristics

PCIT serves children ages 2-7 years old (can be up to 9 based on clinical judgement) with:

- Disruptive behavior problems
- ADHD
- Selective mutism or
- Anxiety

PCIT may not be clinically appropriate for individuals with significant social reciprocity deficits.

CHAPTER 2: BEHAVIORAL HEALTH SERVICES**APPENDIX E-6: EVIDENCED BASED PRACTICES (EBPs) POLICY –
PARENT-CHILD INTERACTION THERAPY****PAGE(S) 8**

PCIT effectively serves children whose parents:

- have limited experience with children;
- have limited support;
- feel overwhelmed by their child's behavior;
- feel angry at their child;
- have a child with an opposing temperament from their own; or
- feel their child is out of control.

Philosophy and Treatment Approach

PCIT is based on many of the same theoretical underpinnings as other parent training models. However, the treatment format differs from many other behavior parent training programs that take more of a didactic approach to working with families. Specifically, parents are initially taught relationship enhancement or discipline skills that they will practice in session and at home with their child.

In subsequent sessions, most of the session time is spent coaching caregivers in the application of specific therapy skills. Therapists typically coach from an observation room with a one-way mirror into the playroom, using a "bug-in-the-ear" system for communicating to the parents as they play with their child.

More recent advances in technology have allowed for coaching via video feed from another room which has reduced the need for adjoining clinical spaces. Concluding each session, the therapist and caregiver together decide which skills to focus on most during daily 5-minute home practice sessions the following week.

Goals

- Improve parent/caregiver-child relationships;
- Improve children's cooperation;
- Increase children's abilities to manage frustration and anger ;
- Increase children's appropriate social skills;
- Improve children's attention skills;
- Build children's self-esteem;
- Increase parenting skills; and
- Decrease caregiver's stress.

CHAPTER 2: BEHAVIORAL HEALTH SERVICES**APPENDIX E-6: EVIDENCED BASED PRACTICES (EBPs) POLICY –
PARENT-CHILD INTERACTION THERAPY****PAGE(S) 8****Specific Design of the Service**

PCIT can be provided in a clinic or home-based setting, and is typically provided in weekly therapy sessions. A typical course of treatment may average 15-20 sessions. However, traditional PCIT differs from other parent training treatment strategies in that treatment is not session-limited. Specifically, families graduate from treatment when parents demonstrate mastery of skills and rate their child's behaviors as being within normal limits. The model duration depends on clinical outcome.

Specifically, the first portion (“child directed interaction” is completed when a parent meets specific criteria defined as “mastery” of the skills of child directed intervention. The therapist first teaches the parent the Child Directed Interaction (CDI) skills in a didactic, parent-only session. Then in subsequent sessions, the therapist coaches the parent (through a “bug-in-the-ear” system”) in the parents’ use of those CDI skills during play with their child. CDI skills include the “PRIDE” skills: Praise, Reflect, Imitate, Describe, and Enjoy.

The second portion (“parent directed interaction”) similarly depends on parental successful achievement of specific mastery criteria. The therapist first teaches the parent the Parent Directed Interaction (PDI) skills in a didactic, parent-only session. Then in subsequent sessions, the therapist coaches the parent (through a “bug-in-the-ear” system”) in the parents’ use of those PDI skills during play with their child. PDI skills include effective commands, and compliance strategies, including predictable and consistent consequences such as time out and removal of privileges.

Cultural Considerations

As summarized in the Blueprints Programs Fact Sheet on PCIT, diverse samples have been included in evaluation studies, including heavy concentrations of both White and African American children and families. One study included Puerto Rican families. Cross-national generality has been demonstrated in a Chinese sample.

According to a review by The National Child Traumatic Stress Network (NCTSN), the PCIT model is broadly tailored and thought to apply across diverse groups. Researchers have also described specific adaptations of PCIT with Mexican American families, and with Native American families. PCIT does not pathologize normal cultural variations or impose a single standard of parenting and child behavior on clients. Cultural variations in tolerance for “disruptive” behavior in children are addressed in Dr. Eyberg’s teaching by asking parents during live coaching if a particular child behavior is something they want to see reduced through strategic ignoring.

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Additional culture-specific information on PCIT can be found in a NCTSN fact sheet at:
https://www.nctsn.org/sites/default/files/interventions/pcit_culture_specific_fact_sheet.pdf

Provider Qualifications and Responsibilities**EBP Model Requirements**

The provider must be credentialed by PCIT International and have an active PCIT certification. PCIT certification must be renewed every two years through PCIT International. The recertification requires the therapist to have obtained at least 3 hours of PCIT Continuing Education credit the last 2 years through educational activities sponsored by the PCIT International Task Force on Continuing Education.

Providers must submit verification of active PCIT certification to each MCO with whom it contracts to demonstrate eligibility for PCIT therapist status. Verification must be maintained in the therapist's personnel folder.

Other Qualifications and Requirements

Practitioners must meet qualifications and requirements established in the Outpatient Therapy by Licensed Practitioners section of this manual.

Allowed Provider Types and Specialties

- PT 31 Psychologist PS
 - 6A Psychologist - Clinical
 - 6B Psychologist – Counseling
 - 6C Psychologist - School
 - 6D Psychologist - Developmental
 - 6E Psychologist - Non-declared
 - 6F Psychologist – Other
 - 6G Psychologist – Medical
- PT 73 Social Worker (Licensed/Clinical) PS 73 Social Worker
- PT AK Licensed Professional Counselor (LPC) PS 8E LPC
- PT AH Licensed Marriage & Family Therapists (LMFT) PS 8E
- PT AJ Licensed Addiction Counselor PS 8E CSoC/Behavioral Health

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- PT 19 Doctor of Osteopathic Medicine PS
 - 26 Psychiatry
 - 27 Psychiatry; Neurology
 - 2W Addiction Specialist

- PT 20 Psychiatrist PS
 - 26 Psychiatry
 - 2W Addiction Specialist

- PT 78 Advanced Practice Registered Nurse PS 26

- PT 93 Clinical Nurse Specialist PS 26

- PT 94 Physician Assistant PS 26

Training

Basic Training. To apply for status as a Certified PCIT Therapist, an applicant must demonstrate appropriate Basic Training, as evidenced by:

1) 40-hours of face-to-face training with a PCIT Level II or Master Trainer that includes an overview of the theoretical foundations of PCIT, DPICS coding practice, case observations, and coaching with families, with a focus on mastery of CDI and PDI skills, and a review of the 2011 PCIT Protocol. The 40 hours of training may be conducted via didactic training, a mentorship model, or any combination of the two. PCIT training is ideally offered over a period of time rather than limited to one timepoint, for example CDI training at one time, followed by PDI training at a later date.

OR

2) 10 hours of online training from a program endorsed by PCIT International and 30 hours of face-to-face contact with a PCIT Level II or Master Trainer. Online training must be supplemented with skills review from a PCIT Trainer. Therefore, the 30 hours of face-to-face training may be conducted in didactic training, a mentorship model, or any combination of the two. This training will include an overview of the theoretical foundations of PCIT, DPICS coding practice, case observations, and coaching with families, with a focus on mastery of CDI and PDI skills, and a review of the 2011 PCIT Protocol.

OR

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3)40 hours of PCIT training with a PCIT International Level 1 Trainer using a combination of didactic training and live co-therapy and supervision. Training from a PCIT Level 1 Trainer must include a minimum of 20 hours of co-therapy and/or live case supervision and continue until the trainee meets CDI and PDI coaching competencies. Video review or phone consultation cannot

be used in lieu of the co-therapy or live-supervision requirements. This training will include an overview of the theoretical foundations of PCIT, DPICS coding practice, case observations, and coaching with families, with a focus on mastery of CDI and PDI skills, and a review of the 2011 PCIT Protocol.

Prior to PCIT certification, therapist trainees must complete 2 cases under supervision with real time or video review of skills.

Quality Assurance

Outcomes

The treatment model depends on measurement of the Eyberg Child Behavior Inventory (ECBI) regularly throughout the treatment (minimally baseline, every 3-4 sessions, and at completion) as well as coding parent skills using the Dyadic Parent Child Interaction Coding System (DPICS) at each visit. The ECBI has established levels of symptoms under which the likelihood of relapse is diminished. DPICS skills are tracked and guide treatment.

Model-Specific Documentation Requirements

All PCIT sessions should be conducted with fidelity according to the appropriate session outline found in the PCIT International protocol (see PCIT Integrity Checklists at the end of each session outline). Sessions should be guided by real-time data, including a weekly ECBI, reported homework completion, and skills coding. Progress should be shared with the family at the conclusion of each session, as well as documented in their chart, using an ECBI (Eyberg Child Behavior Inventory), and a Skills Summary Sheet.

Both the ECBI and Skills Summary Sheet should be updated weekly, and both kept in the client's chart.

Fidelity

In order to reach the standard to be a Certified PCIT Therapist (as per PCIT International) the therapist must serve as a therapist for a minimum of two PCIT cases to graduation criteria as defined by the 2011 PCIT Protocol. Until the two PCIT cases meet graduation criteria, the applicant must remain in contact via real-time consultation (e.g., telephone conference or live, online, or telehealth

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observation) or video review with feedback with a certified PCIT Trainer at least twice a month. The PCIT protocol (which the therapist receives consultation on throughout the course of the case) includes therapist completion of a fidelity checklist at each session, and review of fidelity during supervision.

Fidelity is then directly assessed via the following requirement: Applicants must have their treatment sessions observed by a certified PCIT Trainer. Observations may be conducted in real time (e.g., live or online/telehealth) or through video recording.

PCIT therapist certification requirements can be found here:

http://www.pcit.org/uploads/6/3/6/1/63612365/therapist_training_guidelines_revised_1.25.18_final.pdf

PCIT does not require post-certification fidelity monitoring. PCIT does require re-certification every 2 years, with evidence of PCIT Continuing Education hours.

Limitations/Exclusions

PCIT, as a service offered under Outpatient Therapy by Licensed Practitioners, has an initial authorization level of benefit, and services which exceed the limitation of the initial authorization may require approval for re-authorization prior to service delivery.

As per the PCIT model, families graduate from treatment when parents demonstrate mastery of skills and rate their child's behaviors as being within normal limits. PCIT sessions continue through completion of the “child directed interaction” component, and the “parent directed interaction” component, both of which are completed when a parent meets specific criteria defined as “mastery” of the skills. While a typical course of treatment averages 15-20 sessions, PCIT is not session-limited but instead the model duration depends on clinical outcome. Therefore, effective treatment duration may exceed the initial authorization level of benefit; in that case re-authorization should be requested indicating that the specialty model PCIT is being utilized and services appropriately may exceed the initial authorization and should be authorized for continuing services to complete the medically necessary treatment episode and provide evidence-based care to the youth and family.

Billing

- Only direct staff face-to-face time with the child or family may be billed. PCIT is a face-to-face intervention with the individual and caregiver present; however, the child receiving treatment does not need to be present for all contacts. If the child is not present, the appropriate procedure code must be billed, e.g. 90846 - Family Psychotherapy without Patient Present.
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- Collateral contacts billable to Medicaid should involve contacts with parents, guardians using the appropriate procedure code as stated above. All contacts must be based on goals from the child’s/youth’s plan of care. Phone contacts are not billable.

NOTE: The exception to the allowance of collateral contacts while providing evidence-based practices is coordination with other child-serving systems such as parole and probation programs, public guardianship programs, special education programs, child welfare/child protective services and foster care programs. Coordination with these child-serving systems is considered collateral contact and may be necessary to meet their goals of the individual, but is not billable through Medicaid. Services may be provided by these child-serving systems, however, the services provided must be funded through the agency providing the service.

- Therapists bill standard CPT individual and family therapy codes for sessions providing PCIT. The EBP tracking code “EBP03” should be indicated on claims to note that the therapy session utilized PCIT as an evidence-based model of therapeutic intervention.
 - To use the PCIT EBP tracking code of “EBP03” on claims, the therapist must first provide documentation of their active certification from PCIT International to the MCO(s) the provider is contracted with, as part of the therapist’s credentialing.

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PRESCHOOL PTSD TREATMENT AND YOUTH PTSD****TREATMENT****PAGE(S) 7**

**PRESCHOOL Posttraumatic Stress Disorder (PTSD) TREATMENT AND
YOUTH PTSD TREATMENT**

Preschool PTSD Treatment (PPT) and **Youth PTSD Treatment (YPT)** are cognitive behavioral therapy interventions for posttraumatic stress disorder (PTSD) and trauma-related symptoms. PPT and YPT are adapted for different age groups:

- Preschool PTSD Treatment (PPT) is used for children ages 3-6.
- Youth PTSD Treatment (YPT) is used for children and youth ages 7-18.

PPT and YPT are models used within the service Outpatient Therapy by Licensed Practitioners, so follows the requirements set out in the “Outpatient Therapy by Licensed Practitioners” section of this manual.

Evaluation of the Evidence Base for the EBP Model

Evaluation of the evidence-base for the PPT model has been conducted by national registries.

Preschool PTSD Treatment was accepted in 2012 in the National Registry of Evidence-Based Programs and Practices.

Preschool PTSD has received a CEBC Scientific Rating of 3-Promising Research Evidence by the California Evidence Based Clearinghouse:

<http://www.cebc4cw.org/program/preschool-ptsd-treatment/>

Target Population Characteristics

PPT: Children ages 3-6 years old with posttraumatic stress symptoms.

YPT: Children and youth ages 7-18 years old with posttraumatic stress symptoms.

Philosophy and Treatment Approach

The essential components of PPT and YPT include:

- Psychoeducation about posttraumatic stress disorder (PTSD) with pictorial aids;
- A focus on defiant behavior and discipline plans following trauma;
- Identification of feelings and gradations of feelings in young children;
- Relaxation exercises as new coping skills;

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- Narrative techniques for recall of traumatic events;
- In-office and homework exposure exercises;
- Development of developmentally appropriate safety plans;
- Relapse prevention session;
- Attunement of parents to children’s internalized phenomena through observation of sessions and reflection with therapist;
- Involvement of caregivers in every aspect of treatment;
- Direct discussion of reluctance to attend therapy; and
- Time for caregivers to discuss their personal issues if appropriate.

PPT involves the family or other support systems in the individual's treatment. At least one primary caregiver is involved in every therapy session, either in the room with the therapist and the child, or observing the child’s sessions on TV, or talking alone with the therapist. Caregivers are also essential for conducting in vivo (outside the office) exposure exercises as homework with the children.

YPT also involves the parents/caregivers. Three sessions - session 1 (psychoeducation), session 2 (oppositional defiant behavior), and session 12 (review) – are joint parent-child sessions. For the other nine sessions, parents will join the therapist and children at the beginning briefly (less than 5 minutes), and then watch the children’s sessions on a monitor. This is flexible and can be opted out of if the youth desires more privacy or the therapist believes the parent has boundary issues and would not respect the privacy of the youth.

Goals

The primary goal of PPT and YPT is the reduction of PTSD symptoms in children and reduction in functional impairment.

Specific Design of the Service

Recommended Intensity:

One 60-minute session per week

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Recommended Duration:

12 sessions

Delivery Setting:

This program is typically conducted in an outpatient clinic.

Cultural Considerations

The PPT and YPT models have not been tested for use in non-English speaking populations.

In a randomized controlled trial of PPT demonstrating significant improvement in PTSD symptoms, the participants were 59.5% Black/African American, 35.1% White, and 5.4% Other, but there was not sufficient power in the sample size to test for different outcomes by race.

Details may be found in the publication:

Scheeringa MS, Weems CF, Cohen JA, Amaya-Jackson L, Guthrie D (2011). Trauma-focused cognitive-behavioral therapy for posttraumatic stress disorder in three through six year-old children: A randomized clinical trial. *Journal of Child Psychology and Psychiatry*, 52, 8, 853-860.

Provider Qualifications and Responsibilities

EBP Model Requirements

Therapists must receive training and consultation, as outlined below under “Training,” to receive “Advanced” certification in PPT or YPT from Tulane Psychiatry. All clinicians seeking to complete training and to be eligible for advanced certification in PPT or YPT must be masters or doctor-level licensed psychotherapists with a degree in a mental health discipline.

Providers must submit verification of “Advanced” certification in PPT or YPT from Tulane Psychiatry to each MCO with whom it contracts to demonstrate eligibility for PPT or YPT therapist status. Verification must be maintained in the therapist’s personnel folder.

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Other Qualifications and Requirements

Practitioners must meet qualifications and requirements established in the Outpatient Therapy by Licensed Practitioners section of this manual.

Allowed Provider Types and Specialties

- PT 31 Psychologist PS
 - 6A Psychologist - Clinical
 - 6B Psychologist – Counseling
 - 6C Psychologist - School
 - 6D Psychologist - Developmental
 - 6E Psychologist - Non-declared
 - 6F Psychologist – Other
 - 6G Psychologist – Medical

- PT 73 Social Worker (Licensed/Clinical) PS 73 Social Worker

- PT AK Licensed Professional Counselor (LPC) PS 8E LPC

- PT AH Licensed Marriage & Family Therapists (LMFT) PS 8E

- PT AJ Licensed Addiction Counselor PS 8E CSoC/Behavioral Health

- PT 19 Doctor of Osteopathic Medicine PS
 - 26 Psychiatry
 - 27 Psychiatry; Neurology
 - 2W Addiction Specialist

- PT 20 Psychiatrist PS
 - 26 Psychiatry
 - 2W Addiction Specialist

- PT 78 Advanced Practice Registered Nurse PS 26

- PT 93 Clinical Nurse Specialist PS 26

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- PT 94 Physician Assistant PS 26

Training

Attendance at a one-day training workshop followed by six months of weekly telephone consultation as trainees use the model on their own clients.

Tulane Psychiatry will issue an “Advanced” certificate in PPT or YPT following completion of the in-person training workshop and 6 months of subsequent consultation with the PPT or YPT trainer.

Quality Assurance

Outcomes

In PPT, PTSD symptoms are measured with a parent-report questionnaire, the Young Child PTSD Checklist.

In YPT, PTSD symptoms are measured with a questionnaire, the Child PTSD Checklist (CPC). The CPC has both child-report and caregiver-report versions. This checklist should ideally be completed by both the youth and the caregiver; however, if that is not feasible due to age or logistics, one respondent is acceptable.

These checklists needs to be administered prior to treatment and immediately post-treatment to document change in symptom severity.

Model-Specific Documentation Requirements

Progress notes should be completed using the “Treatment Fidelity Progress Note” for PPT or YPT. There is a specific progress note format for each of the 12 sessions of PPT and YPT, requiring therapists to document completion of the core tasks for each treatment session.

Fidelity

Fidelity monitoring can be achieved by auditing the “Treatment Fidelity Progress Notes.” The audit would produce a passing score if 90% of the core tasks were partially or fully completed.

The EBP developer recommends that every 6 months, a sample of completed cases should be identified, and the PPT or YPT therapist will submit for each selected (completed) case the full set of “Treatment Fidelity Progress Notes” for that case.

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Limitations/Exclusions

PPT and YPT are not recommended for children and youth with autism or psychosis. As previously noted, PPT and YPT have not been adapted or tested for use with non-English speaking children and families.

PPT and YPT, as a service offered under Outpatient Therapy by Licensed Practitioners, has an initial authorization level of benefit, and services which exceed the limitation of the initial authorization may require approval for re-authorization prior to service delivery.

The recommended duration of the PPT and YPT models is 12 sessions. If additional sessions are needed to complete PPT or YPT, re-authorization should be requested indicating that the specialty model PPT or YPT are being utilized and therefore appropriately may exceed the initial authorization and should be authorized for continuing services to complete the medically necessary treatment episode and provide evidence-based care to the youth and family.

Billing

- Only direct staff face-to-face time with the child or family may be billed. PPT and YPT are face-to-face interventions with the individual present; however, the caregiver is also involved, and the child/youth receiving treatment does not need to be present for all contacts. If the child is not present, the appropriate procedure code must be billed, e.g. 90846 – Family Psychotherapy without Patient Present.
- Collateral contacts billable to Medicaid should involve contacts with parents, guardians using the appropriate procedure code as stated above. All contacts must be based on goals from the child’s/youth’s plan of care. Phone contacts are not billable.

NOTE: The exception to the allowance of collateral contacts while providing evidence-based practices is coordination with other child-serving systems such as parole and probation programs, public guardianship programs, special education programs, child welfare/child protective services and foster care programs. Coordination with these child-serving systems is considered collateral contact and may be necessary to meet their goals of the individual, but is not billable through Medicaid. Services may be provided by these child-serving systems, however, the services provided must be funded through the agency providing the service.

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PRESCHOOL PTSD TREATMENT AND YOUTH PTSD

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- Therapists bill standard CPT individual and family therapy codes for sessions providing PPT and YPT.
- The EBP tracking code “EBP04” should be indicated on claims to note that the therapy session utilized YPT as an evidence-based model of therapeutic intervention.
- To use the YPT EBP tracking code of “EBP04” on claims, the therapist must first provide documentation of their Advanced Certification from Tulane Psychiatry to the MCO(s) the provider is contracted with, as part of the therapist’s credentialing package.
- The EBP tracking code “EBP05” should be indicated on claims to note that the therapy session utilized PPT as an evidence-based model of therapeutic intervention.
- To use the PPT EBP tracking code of “EBP05” on claims, the therapist must first provide documentation of their Advanced Certification from Tulane Psychiatry to the MCO(s) the provider is contracted with, as part of the therapist’s credentialing package.

CSoC WRAPAROUND MODEL

The Coordinated System of Care (CSoC) is an approach designed for Medicaid recipients, between 5 and 20 years of age, who have a severe emotional disturbance (SED) or a serious mental illness (SMI) and who are in or at risk of an out of home placement. The CSoC utilizes the Wraparound Model which is guided by the following system of care (SOC) values and principles:

- Family driven;
- Youth guided;
- Culturally and linguistically competent;
- Home and community based;
- Strength based;
- Individualized;
- Integrated across systems, bringing agencies, schools and providers together to work with families;
- Connected to natural helping networks;
- Data driven and outcome oriented; and
- Unconditional care.

The Wraparound model is fully consistent with the SOC framework. Wraparound’s philosophy of care begins from the principle of “voice and choice”, which stipulates that the perspectives of the family, including the child or youth, must be given primary importance during all phases and activities of Wraparound. The values associated with Wraparound further require that the planning process itself, as well as the services and supports provided, should be individualized, family-driven, culturally competent and community-based. Additionally, the Wraparound process should increase the “natural support” available to a family by strengthening interpersonal relationships and utilizing other resources that are available in the family’s network of social and community relationships. Finally, the Wraparound process should be “strengths-based”, including activities that purposefully help the child and family to recognize, utilize and build talents, assets and positive capacities.

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In CSOC, the Wraparound agencies (WAAs) serve as the locus for access, accountability, service coordination and utilization management functions. There is one WAA in each region of the state. The WAA is responsible for facilitating the Wraparound process, developing individualized plans of care (POC) that cross agencies and assigning one accountable individual to coordinate care, the WF. The WF works with the child/youth and their parent/primary caregiver, to build a team which includes formal provider(s), and system partners currently working with the family, as well as the family's natural/informal supports. In addition, once enrolled in CSOC, children/youth and families have access to parent support/training and youth support/training specialists, who are employed by the Family Support Organization (FSO). The WF is responsible for assisting the family in building a team and facilitating the Child and Family Team (CFT) meeting process with support and coaching from a WF supervisor/coach. The WF acts as a bridge between the CSOC contractor and families, and assists the family in building a CFT. The team works with the family to create one cohesive plan to coordinate care and address identified needs. The WF will work with children and youth, their families, providers, regional agency staff, courts, child welfare agencies, schools, community organizations and the FSO to coordinate care planning and access to comprehensive services and supports. Service coordination by the WAA, in collaboration with the FSO, will be guided by the four phase Wraparound process, which is defined by the standards and principles established by the National Wraparound Initiative (NWI) (information on NWI is available at: www.nwi.pdx.edu; information on the ten principles is available [https://nwi.pdx.edu/NWI-book/Chapters/Bruns-2.1-\(10-principles-of-wrap\).pdf](https://nwi.pdx.edu/NWI-book/Chapters/Bruns-2.1-(10-principles-of-wrap).pdf)).

Eligibility Criteria/Process

In order to be eligible, the child or youth must also have functional needs as demonstrated by the Child and Adolescent Needs and Strengths (CANS) Comprehensive Assessment. Children identified as meeting the criteria for the CSOC, as determined by the CANS, may include:

- Children and youth, 5-20 years of age with significant behavioral health (BH) challenges or co-occurring disorders documented in the Individualized Behavioral Health Assessment (IBHA). This includes youth primarily demonstrating externalizing behaviors, such as conduct disorder, delinquent, antisocial or illegal behavior or acts, substance-related disorders and attention deficit hyperactivity disorder issues that lead to costly, and oftentimes, ineffective out-of-home services or excessive use of other therapeutic supports and services. Co-occurring disorders (COD) refer primarily to the presence of mental health and substance-related disorders. Children and youth with COD have one or more substance-related disorder(s), as well as one or more mental health disorder(s).
- For children with BH disorders and developmental disabilities, if the child has a SED and otherwise meets criteria for the CSOC, they are eligible for services within the CSOC for their SED.

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- “For individuals with an OCDD statement of approval who receive waiver supports or state funded supports via the local governing entity, these services will continue to be coordinated by the identified support coordinator. Other services to meet the youth’s needs related to his/her Intellectual/developmental disability will be coordinated by the appropriate entity based on the youth’s enrollment status and identification of agency responsibility (i.e., Medicaid state plan EPSDT services will be coordinated via FFS process if youth is not enrolled in health plan or by the health plan if he/she is; school services will be coordinated by the school).”

NOTE - Children/youth cannot be enrolled in more than one C Waiver at a time. However, a child/youth can be enrolled in a 1915 (c) and the 1915 (b)(3) waiver programs authorized under section 1915 (c) and 1915 (b) of the Social Security Act.

- Children/youth who are at imminent, current or previous placement in a restrictive, intensive or intrusive level of behavioral healthcare, such as:
 - Addiction facilities;
 - Alternative schools;
 - Detention;
 - Developmental disabilities facilities;
 - Foster care;
 - Homeless, as identified by the Department of Education (DOE);
 - Psychiatric hospitals;
 - Residential treatment facilities; and
 - Secure care facilities.

In addition to the child/youth receiving services, parents/primary caregivers must participate in the CFT process. Other adult caregivers, siblings, extended family members and other natural supports, identified by the youth and family, may also participate in the CFT process. In addition, representatives from other agencies in which the child/family is involved, such as child welfare or juvenile services, are also typically involved to add their perspectives to the development of the POC. Families will be encouraged to provide their own perspectives on their strengths and needs.

In order to determine eligibility, the CSOC contractor will conduct a brief CANS assessment over the phone with the child or parent. If the brief CANS indicates that the child is (presumed) eligible for CSOC, the CSOC contractor will send referrals and initial 30-day authorization to the appropriate WAA electronically upon completion of the telephonic interview.

The CSOC contractor will authorize the WAA to arrange for community services necessary to support the child and family for up to 30 days while establishing the CFT and beginning the Wraparound planning process. Inpatient or other out-of-home placements must be pre-authorized by the CSOC contractor during the initial 30 day and subsequent authorization periods.

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An approved licensed BH practitioner will sign off on any treatment to ensure that services by unlicensed individuals are medically necessary.

The WAA will work with the family to gain access to federal funding when available (i.e., help them complete a Medicaid application). The WAA shall initiate the CFT process immediately upon receipt of the referral by the CSOC contractor.

The following must be completed within 30 days of the start of WAA involvement (and the CSOC contractor may require proof that these requirements have been met through periodic audits of select cases or providers):

- CANS Comprehensive Assessment and IBHA;
- Individualized POC – A copy of the initial assessment and individualized POC developed by the CFT must be completed within 30 days of the start of WAA involvement. The individualized POC must be developed with adherence to NWI standards and treatment planning requirements consistent with 42 CFR 438.208(c)(3); and
- CFT meeting documentation – The initial CFT meeting must be held within 30 days of the start of WAA involvement. Participation in the CFT process is documented through the signatures of the child/youth, parents or caregivers of the child/youth and other CFT members on the POC.

CSOC Level of Care Process

Level of care is determined using the CANS Comprehensive Assessment in conjunction with a bio-psychosocial assessment, the IBHA. The CANS Comprehensive Assessment is completed based on a face-to-face interview with the child and parent(s) and additional supporting information. The CANS addresses the following domains: life domain functioning, youth strengths, acculturation, caregiver strengths and needs, youth behavioral/emotional needs and youth risk behaviors. Goal development is directly related to the CANS. The initial CANS Comprehensive Assessment is completed by a CANS certified licensed mental health professional (LMHP) after the member scores positive on the Brief CANS and is referred to the WAA for services (See Appendix D for LMHP definition) The initial comprehensive CANS must be completed within 30 days of the referral and is used to develop the initial POC.

A CANS comprehensive assessment must be completed on each child/youth enrolled in CSOC at a minimum of every six months, or more frequently if conditions warrant re-evaluation. These conditions would include evidence that the child/youth has had a significant change in risk factors, an extended need for increased services has been identified, or a decision regarding changes in level of care is required. The reassessment must be completed by a CANS certified LMHP.

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APPENDIX F – CSoC WRAPAROUND MODEL**PAGE(S) 19**

The re-evaluation must take into account any clinical evidence of therapeutic clinical goals that must be met before the individual can transition to a less intensive level of care and clinical evidence of symptom improvement.

Goals are established based upon the child's/youth's needs and interventions for goals are built upon the child's/youth's identified strengths. The CFT identifies goals and interventions based upon the CANS comprehensive assessment as well as the child/youth, parents or primary giver and other team members input. POC goals identified by the child/youth and parents or caregivers of the child/youth as being the most pertinent or pressing are given preference.

The Wraparound Model

The NWI website (www.nwi.pdx.edu) is the source of the following information. Wraparound is an intensive, creative and individualized care planning and management process. Wraparound is not a treatment, per se. Instead Wraparound is a care coordination approach that fundamentally changes the way in which individualized care is planned and managed across systems. The Wraparound process aims to achieve positive outcomes by providing a structured, creative and individualized team planning process that, compared to traditional treatment planning, results in plans that are more effective and more relevant to the child and family. Additionally, Wraparound plans are more holistic than traditional care plans in that they address the needs of the youth within the context of the broader family unit and are also designed to address a range of life areas. Through the team-based planning and implementation process, Wraparound also aims to develop the problem-solving skills, coping skills and self-efficacy of the young people and their family members. Finally, there is an emphasis on integrating the youth into the community and building the family's social support network.

The Wraparound process is facilitated by a WF, who works with the child/youth and their parent/primary caregiver to create a CFT. The child/youth and the family comprise the core of the CFT members, joined by parent and youth support/training staff from the FSO, providers involved in the care of the family, representatives of agencies with which the family is involved and natural supports chosen by the family. The CFT is the primary point of responsibility for coordinating the many services and supports involved, with the family and youth ultimately driving the process. The Wraparound process involves four phases over which responsibility for care coordination increasingly shifts from the Wraparound facilitator and the CFT, to the family.

The goals of the Wraparound process are to 1) meet the behavioral health needs prioritized by the youth and family, 2) improve the family's ability and confidence to manage their own services and supports, 3) develop and strengthen the family's natural social support system over time and 4) integrate the work of all child-serving systems and natural supports into one streamlined plan to address the child's behavioral health needs in order to restore the child to a developmentally appropriate level of functioning.

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The CFT will identify specific goals to enhance the functioning of the child, and recommended services will be consistent with the medical necessity criteria of the CSOC contractor.

Phase One: Engagement and Team Preparation

During this phase the WF is responsible for establishing the groundwork of trust and shared vision among the family and Wraparound team members. The WF orients the youth and family to the Wraparound process; stabilizes immediate crisis; explores the strengths, needs, vision and culture of the family; begins to identify potential team members, including formal and informal supports; engages potential team members, with the consent of the family; and begins to prepare for the first CFT meeting. (Source: www.nwi.pdx.edu/pdf/WalkerNWIPhaseActivWAProcess.pdf).

Key Activities During Phase One: Engagement and Team Preparation

- Upon referral to the WAA, the CSOC contractor will authorize completion of CANS comprehensive assessment and IBHA to be conducted by a CANS certified licensed mental health provider, to confirm clinical eligibility of the youth/child. The findings will be sent to the WF to assist the CFT in the Wraparound planning process.
- The WF shall work closely with the FSO to integrate the provision of supports from parent and youth support/trainers. To the fullest extent possible, the WAA and FSO will collaborate to initiate initial contact with the family. In some cases, staff from both agencies will initiate contact together. It is expected that personnel from the FSO will have ongoing active involvement on the CFT, unless the family chooses not to have them involved or the CFT in consultation, as needed, with the physician overseeing the care determines, FSO involvement to be clinically contra-indicated. It is expected that Parent Support and Training (PST) and Youth Support and Training (YST) will be a key component of the array of services and supports included in the POC.
- During the initial contact with the youth and family, the WF ensures the delivery of the CSOC brochure that describes the CSOC services, free choice of providers and how to report abuse and neglect. Each CSOC child/youth will be a member of the CSOC contractor and will be provided a member handbook. In the member handbook, the member's rights and responsibilities are identified. The Wraparound facilitator will also ensure that the family is offered the choice of either institutional or Home and Community Based Services (HCBS) waiver services, using the Freedom of Choice Form.
- During preliminary discussions of treatment, the child/youth and their parents or caregivers are informed by the WF of the array of services that may be accessed

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through the CSoC. The array of services available to the family includes waiver-specific services and also includes services available in the system of care outside of the SED waiver. Examples of such services would be traditional behavioral health services, such as medication management and individual therapy provided in the home. Non-traditional community-based services, such as PST and YST, as well as psychosocial treatment group, would also be available. Naturally occurring supports outside of the behavioral health system are also utilized to support the family. Formalized services are not incorporated to take the place of existing or identified natural supports.

- During the initial meetings the Wraparound facilitator and FSO will work closely with the child/youth and family/caregiver to determine membership of the CFT.
- The WF shall work closely with the child welfare, juvenile justice and local education agencies (LEAs) to integrate care management responsibilities. It is expected that personnel from all the child-serving State agencies, the juvenile justice system and LEAs will have active involvement on the CFT unless clinically contra-indicated.
- With the child/youth, family and other identified team members, including information from the CANS/IBHA, the WF will conduct a strengths, needs and cultural discovery, to assist the family in identifying a family vision and produce a narrative ‘family story’ document, to share with the youth, family and other team members.
- The WF is responsible for coordinating with the youth, family and other team members to schedule and prepare for the first CFT.

Phase Two: Initial Plan Development

During Phase Two, trust and mutual respect are built while the team creates an initial POC. With the CFT, the WF assists in determining ground rules of the meetings; eliciting and documenting strengths from all team members; creating team mission; describing and prioritizing needs/goals; determining plan objectives and indicators for each objective; selecting strategies that utilize both formal and informal supports; assigning action steps; assessing potential risks; and development of a crisis plan and an initial POC.

(Source: www.nwi.pdx.edu/pdf/WalkerNWIPhaseActivWAProcess.pdf).

Key Activities during Phase Two: Initial Plan Development

- The child/youth and parents or caregivers of the child/youth must be involved in the development of the POC. In addition, behavioral health providers,

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representatives of agencies legally responsible for the care or custody of the child and other individuals are strongly encouraged to participate in the development of the POC.

- Participation in the CFT process is documented through the signatures of the child/youth, parents or caregivers of the child/youth, and other CFT members on the POC. The CSOC contractor must operate from one integrated POC. This reinforces the Wraparound process and results in the POC encompassing all services that may be accessed through the CSOC contractor.
- The WF is responsible for communicating with the child/youth's primary care physician (PCP). The WF must document attempts to communicate and coordinate with the child's PCP in the development of the individualized POC. If the child's PCP wishes to take part in the development of the individualized POC, then the WF must ensure that the PCP is involved to the extent he or she desires. If the PCP chooses not to participate in the care planning process, then the WF must initiate communication with the PCP and ensure that a copy of the individualized POC is sent to the PCP. Note: Any BH treatment must be ordered and overseen by a physician or other LMHP to comply with other federal requirements.
- The POC is developed based upon the CANS comprehensive assessment and identified goals, as determined by the CFT. The child/youth and parents or caregivers of the child/youth have the primary role of identifying appropriate goals, strengths, needs and the development of a risk assessment and crisis/safety plan. Input of all members of the CFT is used to identify the appropriate frequency and duration of CSOC services (including relevant clinical and agency service information provided by providers and other agency members of the CFT, as well as natural supports that are built into the POC to assist the child/youth in meeting their goals.
- The Wraparound facilitator plays a role in this process by facilitating the POC development through documentation of the decisions made by the CFT, facilitating the overall meeting and ensuring that all members of the team have the opportunity to participate. The child/youth and parents or caregivers of the child/youth have the ability to request a meeting of their CFT at any time should needs or circumstances change.
- The Wraparound facilitator will provide adequate notice of the CFT meetings to all of the CFT members. To ensure the planning process is

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timely, WAAs will comply with the basic service delivery standards as outlined in the CSoc contractor and WAA contracts. The Wraparound facilitator is responsible for writing the POC, based upon the determinations made by the CFT.

- Once developed the Wraparound facilitator will ensure POCs are entered into the CSoc contractor's database and electronic health record, ensuring that compliance with the Health Insurance and Portability Act (HIPAA) and Federal Educational Right to Privacy Act (FERPA) standards are maintained. The WF will submit the POC to the CSoc contractor for review prior to the end of the initial 30-day authorization period.
- The CSoc contractor reviews the POC for consistency with the child/youth and family's strengths and needs (as identified by the CANS, IBHA, broader assessment and the POC and utilization guidelines. If the POC meets these criteria, the CSoc contractor provides authorization for a period of up to 180 days. On-going authorizations provided by the CSoc contractor will be for up to 180-day periods for most children/youth.

NOTE: Authorizations may exceed 180 days for some children/youth, as determined by medical and social necessity for the service).

- If the POC appears to be inconsistent with assessed strengths and needs and the utilization guidelines for the desired services or if it exceeds the cost of care limitations, the CSoc contractor and the WAA Wraparound facilitator discuss the child/youth/family strengths and needs to determine a recommendation for further discussion with the CFT.
- An approved licensed BH practitioner will approve any treatment on the POC to ensure that services by unlicensed individuals are medically necessary.
- Each POC is required to contain a crisis and safety plan. Crisis plans are developed in conjunction with the POC during the CFT meeting, based upon the individualized preferences of the child/youth and parents or caregivers of the child/youth. As with the POC itself, the child/youth and parents or caregivers of the child/youth may choose to revise the crisis plan at any time they feel it is necessary. Each crisis plan is individualized to the child/youth. A potential crisis (risk) and appropriate interventions (strategies to mitigate risk) are specific to the child/youth and identified by the CFT.

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- The crisis plan includes action steps, as a backup plan, if the crisis cannot be averted. The action steps are developed through the Wraparound process by the CFT and incorporated in the crisis plan. The action steps may involve contacting natural supports, calling a crisis phone line or contacting the Wraparound facilitator, etc. The CSOC contractor is required to provide 24 hours a day/365 days a year crisis response that is readily accessible to children/youth and their parents or caregivers. A required component of the crisis plan is the contact information for those involved at all levels of intervention during the crisis. Families are provided a copy of the crisis plan as an attachment to their POC in order to have access to the identified information should a crisis occur.

Phase Three: Plan Implementation

During this phase, the initial POC is implemented, progress and success are continually reviewed, and changes are made to the plan based on observations and data, then implemented. It is the role of the WF to maintain team cohesion and mutual respect. The activities of this phase are repeated until the identified team mission is achieved and formal Wraparound is no longer needed. The WF is responsible for ensuring that there is an implemented action step for each strategy on the plan; tracking progress on action steps, with the CFT evaluating success of the strategies, celebrating successes; considering new strategies, when needed; maintaining awareness of team members ‘buy-in’; addressing issues of team cohesion and trust; completing necessary documentation of the CFT process.

(Source: www.nwi.pdx.edu/pdf/WalkerNWIPhaseActivWAProcess.pdf).

Key activities during Phase Three: Plan Implementation

- The WF is responsible for monitoring and follow-up activities, including intensive care coordination and reviewing the POC with the CFT, at minimum, monthly, (more frequently, if needed) to update the POC to reflect the changing needs of the child/youth. The WF and CFT reviews: 1) whether services are being provided in accordance with the POC, 2) whether the services in the POC are adequate and 3) whether there are changes in needs or status of the individual and, if so, adjusting the POC as necessary. The CFT is the primary point of responsibility for coordinating the many services and supports with which the youth and family are involved, and the family and youth ultimately drive the goals of the CFT. Over time, the responsibility for care coordination increasingly shifts from the Wraparound facilitator and the CFT to the family.

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- A CFT meeting can be convened at any time in which needs or circumstances have changed or the child/youth and parents or caregivers of the child/youth feel it is warranted, or the needs of the child/youth require the CFT to meet on a more frequent basis to best coordinate care.

The WF is responsible for:

- Supporting the action steps of the POC by checking in and following up with CFT members, educating providers and other system and community representatives about the Wraparound process, as needed, and identifying and obtaining necessary resources.
- Monitoring progress on the action steps of the POC by tracking information about the timeliness of completion of responsibilities assigned to each team member, fidelity to the POC and completion of planned interventions.
- Guiding the CFT in evaluating whether selected strategies are helping meet the youth's and family's needs.
- Encouraging the team to acknowledge and celebrate success when progress has been made, when outcomes or indicators have been achieved or when positive events or achievements occur.
- Supporting the CFT to determine when strategies for meeting needs are not working or when new needs should be prioritized, and guiding the CFT in a process of considering new strategies and action steps using the process described above for developing the POC.
- Making use of available information to assess CFT members' satisfaction with and commitment to the CFT process and POC, sharing this information with the CFT, as appropriate, and welcoming and orienting new CFT members who may be added as the process unfolds.
- Helping to maintain CFT cohesiveness and satisfaction, supporting fidelity to Wraparound principles and activities and guiding the CFT in understanding and managing any disagreements, conflicts or dissatisfactions that may arise.
- Maintaining/updating the POC document including results of reviews of progress, successes and changes to the CFT and POC over time and maintaining/distributing copies of the POC to CFT members.

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Phase Four: Transition

During this phase, plans are made for a purposeful transition out of formal Wraparound to a mix of formal and natural supports in the community. The focus on transition is continual during all of the Wraparound process and the preparation for transition is apparent even during the initial engagement phase and activities. The WF is responsible for assisting the CFT in creating a transition plan; creating a post-transition crisis management plan; modifying the Wraparound process to reflect transition; documenting the teams work, celebrating success and checking in with the family after discharge.

(Source: www.nwi.pdx.edu/pdf/WalkerNWIPhaseActivWAProcess.pdf).

Key activities of Phase Four: Transition

The final phase of activity centers on the transition from the CFT to natural supports. During this phase, the Wraparound facilitator and CFT focus on planning for a purposeful transition out of formal Wraparound to a mix of formal and natural supports in the community (and, if appropriate, to services and supports in the adult system).

The focus on transition is continual during the Wraparound process, and the preparation for transition is apparent even during the initial engagement activities. However, this is the primary focus of the transition phase of the Wraparound process.

Wraparound Agency Requirements

There is one Wraparound Agency (WAA) for each of the Act 1225 regions. WAAs were selected by Community Teams which included local state agency leaders and other members of the community. The WAA is responsible for conducting the Wraparound process for eligible youth in their region.

WAA Qualification Requirements

- Arranges for and maintains documentation that all persons, prior to employment, pass criminal background checks through the Louisiana Department of Public Safety, State Police and a search of the U.S. Department of Justice National Sex Offender Registry. If the results of any criminal background check reveal that the potential employee (or contractor) was convicted of any offenses against a child/youth or an elderly or disabled person, the provider shall not hire and/or shall terminate the employment (or contract) of such individual. The provider shall not hire an individual with a record as a sex offender nor permit these individuals to work for the provider as a subcontractor. Criminal background checks must be performed as required by R.S. 40:1203 et seq., and in accordance with R.S. 15:587

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et seq. Criminal background checks performed over 30 days prior to date of employment will not be accepted as meeting this requirement.

- Arranges for and maintains documentation that all persons, prior to employment, are free from tuberculosis (TB) in a communicable state via skin testing to reduce the risk of such infections in recipients and staff. Results from testing performed over 30 days prior to date of employment will not be accepted as meeting this requirement.
- Establishes and maintains written policies and procedures inclusive of drug testing staff to ensure an alcohol and drug-free workplace and a workforce free of substance use.
- Maintains documentation that all direct care staff, who are required to complete First Aid, cardiopulmonary resuscitation (CPR) and seizure assessment training, complete American Heart Association (AHA) recognized training within 90 days of hire, which shall be renewed within a time period recommended by the AHA.
- Ensure and maintains documentation that all unlicensed persons employed by the organization complete training in a recognized crisis intervention curriculum prior to handling or managing crisis calls, which shall be updated annually.
- Maintains documentation of verification of staff meeting educational and professional requirements, as well as completion of required trainings for all staff.

WAA Certification and Credentialing Requirements

In order to develop CSOC POCs through CFT activities and access funding through the administrative portion of the CSOC contractor, each WAA must be credentialed by the CSOC contractor. Central to that credentialing will be certification by the Office of Behavioral Health (OBH) CSOC.

In order to maintain OBH CSOC certification, all WAA staff must meet the current Provider Qualifications as defined in the most recent Behavioral Health Provider Manual. The WAA must ensure that all WF Supervisors and Facilitators are participating in ongoing Wraparound training that is in alignment with the NWI's fidelity standards and approved by OBH. In addition, all Wraparound supervisors must complete all required trainings and conduct face-to-face observations of staff they supervise in CFTs and other meetings on an on-going basis as defined in the OBH WAA Certification Application. In addition, the certification process includes documenting that individual WAA staff members have completed training, as described in the section below.

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The Louisiana Department of Health (LDH) will provide evidence of this certification for the credentialing process. Once credentialed by the CSOC contractor, the use of Medicaid and other block grant reimbursement to support the delivery of Wraparound facilitation through the administrative portion of a CSOC contractor's administrative rate will be allowed, subject to the limitations defined in this document.

WAA Staff Qualification Requirements

- A criminal background check through the Louisiana Department of Public Safety, State Police and a search of the U.S. Department of Justice National Sex Offender Registry will be conducted prior to employment to ensure that the potential employee (or contractor) has not been convicted of any offenses against a child/youth or an elderly or disabled person and does not have a record as a sex offender. If the results of any criminal background check reveal that the potential employee (or contractor) was convicted of any offenses against a child/youth or an elderly or disabled person, the provider shall not hire and/or shall terminate the employment (or contract) of such individual. The provider shall not hire an individual with a record as a sex offender nor permit these individuals to work for the provider as a subcontractor. Criminal background checks must be performed as required by R.S. 40:1203 et seq., and in accordance with R.S. 15:587 et seq.;
- Pass a motor vehicle screen;
- Pass a TB test;
- Pass drug screening tests as required by agency's policies and procedures;
- Complete AHA recognized First Aid, CPR and seizure assessment training. (Note: psychiatrists, APRNs/CNSs/PAs, registered nurses (RNs) and licensed practical nurses (LPNs) are exempt from this training.)

Staffing Requirements and Qualifications

In order to maintain WAA certification and to ensure compliance with Wraparound fidelity requirements, WAA staff must meet the following educational and experience requirements, as specified below. The WAA must maintain documentation of verification of completion of required trainings for all staff.

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Staffing Guidelines for WAAs

Positions/functions include an Executive Director or Program Director, Business Manager, Wraparound facilitators with a caseload of no more than ten families, Wraparound supervisors/coaches with a recommended ratio of one supervisor/coach per eight WF, a 1.0 FTE Licensed Mental Health Professional Clinical Director, Quality Improvement/Data Director, Community Resource Specialist and Administrative Assistants.

Wraparound Facilitator

The Wraparound facilitator must meet the following requirements:

- Bachelor's-level degree in a human services field or bachelor's-level degree in any field, with a minimum of two years of full-time experience working in relevant family, children/youth or community service capacity. Relevant alternative experience may substitute for the bachelor's-level degree requirement in individual cases, subject to approval by LDH;
- Completion of the required training for Wraparound facilitators; and
- Pass a Louisiana criminal history background check, drug screening and motor vehicle screens.

Certified WAAs must also employ staff to supervise and coach the Wraparound facilitators. Requirements include the following:

- Master's-level or higher graduate degree in a human services field (as defined above);
- Minimum of three years of full-time experience working in relevant family, children/youth or community service capacity;
- Completion of the required training for WF supervisors/coaches;
- If the supervisor/coach also functions, in part, as a Wraparound facilitator, they must also meet the requirements for a Wraparound facilitator described above;
- The WF supervisor/coach must provide regular supervision and coaching to WF service delivery staff, including completion of all supervisor and coaching requirements for high fidelity Wraparound; and

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- The WF supervisor/coach must have expertise, knowledge and skills in the Wraparound model and possess the ability to teach and develop those skills in the Wraparound facilitator. A Wraparound supervisor/coach must have a high degree of cultural awareness and the ability to engage families from different cultures, and backgrounds. A preferred supervisor/coach characteristic is an understanding of, and experience with, different systems, including schools, behavioral health, child welfare, juvenile justice, health and others. The WF supervisor/coach must oversee the work of the WF on an ongoing basis.

Core Training Requirements for the Wraparound Supervisors/Coaches and Facilitators

All Wraparound direct care staff, including but not limited to supervisors/coaches and facilitators, are required to participate in OBH approved trainings described below:

Introduction to Wraparound (3-day)

This is the first training of the series for frontline Wraparound practitioners, supervisors/coaches, and directors who may participate in a child and family team process. Through attendance at this training, participants will be able to:

- Gain an understanding of the critical components of the Wraparound process in order to provide high fidelity Wraparound practice; and
- Practice the steps of the process to include eliciting the family story from multiple perspectives, reframing the family story from a strengths perspective, identifying functional strengths, developing vision statements, team missions, identifying needs, establishing outcomes, brainstorming strategies, and creating a plan of care and crisis plan that represents the work of the team and learn basic facilitation skills for running a CFT meeting.

Wraparound supervisors/coaches and facilitators must participate in the Introduction to Wraparound within the first 60 days of employment and repeat the training at least once during their first two years of practice.

Child and Adolescent Needs and Strengths (CANS) Training

Within the first 90 days of employment Wraparound supervisors/coaches and facilitators must be trained on the Child and Adolescent Needs and Strengths (CANS) for Louisiana Comprehensive Multisystem Assessment. Please see the PRAED Foundation's collaborative training website at www.canstraining.com.

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Ongoing Training Activities for Wraparound Facilitators and Supervisors/Coaches

Each staff member must participate in training activities to address new information and deficiencies identified by their supervisor.

Additional Training Requirements

Any additional training as required by the waiver and/or required by OBH to support fidelity to Wraparound practice.

Observation of Wraparound Facilitators by Supervisor/Coach

Supervisors/Coaches are required to observe Wraparound Facilitators as follows:

- Three meetings within the first months of hire (Two CFT meetings; One – Choice of Supervisor) and,
- Minimum of one CFT observation every six months, after six months of hire.

Additional Training Requirements for Wraparound Supervisors/Coaches

An Introduction to Coaching which must be approved by OBH, is mandatory for local supervisors/coaches in the WAA. Through attendance at this training, participants will be able to:

- Identify the skills necessary to support high fidelity Wraparound practices;
- Develop an increased understanding of the roles and responsibilities of the local supervisor/coach; and
- Develop skills to support Wraparound facilitators in high fidelity Wraparound practices.

Allowed Provider Types

As the Wraparound process is not considered a service, it is included in administrative rate.

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Limitations and Exclusions

All coordination of care activities must protect each member's privacy in accordance with the privacy requirements at 45 CFR, parts 160 and 164, subparts A and E, to the extent that they are applicable.

Costs associated with planning activities that are the responsibility of other child-serving systems are not eligible for Medicaid reimbursement and will need to be tracked and paid separately. When determining if the meeting time is reimbursable by Medicaid, as opposed to other services, the purpose of the planning meeting is the key differentiating factor.

If the purpose is to coordinate medical and non-medical supports for the ultimate purpose of advancing medical treatment goals (for example, facilitating diversion from an accredited residential treatment facility), then the CFT activities are Medicaid reimbursable. However, if the primary purpose of the planning meeting is to develop a permanency plan for a child welfare placement, CFT activities are not Medicaid reimbursable and must be supported with non-Medicaid funds. As a result, close coordination is essential between the WAA WF and the Department of Children and Family Services (DCFS) to align BH services and supports to support and inform the DCFS-developed permanency plans. In addition, consistent with Medicaid managed care rules, CSOC Contractor will ensure that all CFTs are aware of and utilize the CSOC contractor's medical necessity criteria for any BH medical services recommended as part of an individualized POC.

Conflicts of Interest

Because of the inherent conflicts of interest that might arise if WAAs also directly provide the services they manage, WAAs will not act as service providers.

Non-Reimbursable Activities

No direct services may be provided by the CFT members as part of their contractually defined WAA role. The WAA staff may not provide direct services to any child for whom he or she has assisted in developing the POC. Any CFT members providing direct services outside of their WAA role must ensure that there is no conflict of interest between their direct care activities and their WAA responsibilities. Any direct services would be reimbursed separate from WAA reimbursement, in accordance with CSOC contractor contractual relationships with the provider. Any direct service expense would be reported, along with medical service expenses, in the financial and encounter reporting processes.

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The following activities by Wraparound facilitators are not allowable:

- Activities that are not delivered to a specific enrolled child or youth or the family of that child/youth in support of the child's/youth's treatment;
- Activities that are the responsibility of another State agency and are excluded from Medicaid coverage (such as child welfare permanency planning). The WAA must ensure that only specifically documented coordination and delivery of BH services and supports are reimbursed by the CSOC contractor; and
- Transportation of the member is not a reimbursable component of WF. The WAA will coordinate with local Medicaid transportation supports, and also help children and families connect with natural supports, to provide needed transportation as part of the CFT process. In addition, the WAA provider may develop other local funds to cover staff and travel costs to provide transportation.

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APPENDIX G: Standardized Assessments for Members Receiving CPST and PSR

Standardized Assessments for Members Receiving CPST and PSR

All Mental Health Rehabilitation (MHR) providers are required to implement the statewide use of the Child Adolescent Level of Care Utilization System (CALOCUS) and the Level of Care Utilization System (LOCUS) for members receiving Community Psychiatric Support and Treatment (CPST) and/or Psychosocial Rehabilitation (PSR) between the ages of 6 through 20 years of age. The CALOCUS is not required for members under the age of 6 years of age. For members 21 years of age and older, there are no changes in the administration of the LOCUS for this age group.

Members 6-18 Years of Age

Members receiving CPST and/or PSR, ages 6 through 18 years of age, must be assessed using the CALOCUS.

Members 19-20 Years of Age

Members receiving CPST and/or PSR, ages 19 through 20 years of age, must be assessed using the LOCUS.

Members Enrolled in the Coordinated System of Care

For members who are enrolled in the Coordinated System of Care (CSoC) and are receiving CPST and PSR, MHR providers are only required to complete the CALOCUS/LOCUS at discharge from the CSoC program. The CSoC contractor will include the discharge rating in the CSoC packet submitted to the member's managed care organization (MCO). The next rating will be due six months following this rating. If the discharge packet does not include a CALOCUS/LOCUS discharge rating, the MHR provider will be required to conduct a rating within 30 calendar days following the transition back to the member's MCO for CPST and PSR services to continue.

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**APPENDIX G: Standardized Assessments for Members Receiving CPST
and PSR**

The following applies to members between the ages of 6 through 20 years of age enrolled in an MCO.

Conducting the CALOCUS/LOCUS Rating

The assessment and rating must be conducted face-to-face with the member and shall be completed with the involvement of the primary caregiver as well as with other natural supports if necessary. The assessment shall be conducted in a culturally and linguistically competent manner. The rating shall be part of a full psychosocial/psychiatric assessment.

Documentation

MHR providers must use assessment forms that collect all data elements necessary to rate the CALOCUS. The LOCUS assessment form currently being used for members 21 years of age and older must be used for members 19-20 years of age. Providers must also submit CALOCUS/LOCUS ratings on a form that includes the rating in each dimension, the criteria to support the rating, independent criteria, the composite score, the level of care, a section to document notes, a signature line with credentials, and a rating date. A sample rating form is on page 48 of the CALOCUS manual.

Frequency of Use

A CALOCUS/LOCUS rating must be completed and submitted for all members prior to receiving CPST and/or PSR as part of the initial comprehensive assessment and every 180 days thereafter until discharge. The last CALOCUS/LOCUS rating shall be administered at discharge and submitted to the member's MCO. In the event a member is not available to conduct a final rating upon discharge, the provider should make a note in the member's record and notify the member's MCO or the CSoc contractor. For the discharge rating, a comprehensive assessment is not required. The rating should be part of the member's discharge summary and may be completed during an individual therapy session, or while delivering community psychiatric support and treatment. A psychiatric diagnostic evaluation (90791) is limited to one every six months or two per year. Therefore, it should not be used for the discharge rating.

The MCO may request a reassessment when a member transfers from one MHR provider to another MHR provider if there has been a clinical change that may necessitate an updated rating or if there is a gap in services within six months and an updated rating is needed. Upon such a transfer, the MCO will make available to the new provider the previous CALOCUS/LOCUS data if the previous provider does not have the information. There is an exception for members enrolled with Louisiana Healthcare Connections (LHCC). The new provider who is unable to

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obtain the records from the previous provider should conduct an assessment and CALCOUS/LOCUS rating instead of requesting the records from LHCC.

Staff Level

The CALOCUS/LOCUS must be conducted and rated by a physician or licensed mental health practitioner (LMHP) who has successfully completed the required training. An LMHP is an individual who is licensed in the state of Louisiana to diagnose and treat mental illness or substance use, acting within the scope of all applicable state laws and their professional license. An LMHP includes the following individuals licensed to practice independently:

- Medical psychologist;
- Licensed psychologist;
- Licensed clinical social worker (LCSW);
- Licensed professional counselor (LPC);
- Licensed marriage and family therapist (LMFT);
- Licensed addiction counselor (LAC); and
- Advanced practice registered nurse (APRN)

APRNs must be nurse practitioner specialists in adult psychiatric and mental health as well as in family psychiatric and mental health or they must be certified nurse specialists in psychosocial, gerontological psychiatric mental health, adult psychiatric and mental health, and child-adolescent mental health. They may practice to the extent that services are within the APRN's scope of practice.

Training

Physicians and LMHP staff assessing members using the CALOCUS/LOCUS must complete training prior to conducting their first rating. The MCOs and the CSoC contractor must require physicians and LMHP staff conducting CALOCUS/LOCUS ratings to repeat the training if ratings are inconsistent with the clinical information submitted with the rating. MCOs and the CSoC contractor shall ensure MHR providers have access to training for all physicians and LMHP staff

MCO Use of CALOCUS/LOCUS Data

CALOCUS/LOCUS data including the rating for each dimension, the final score and level of care, psychosocial and psychiatric assessments, treatment history, other standardized assessment

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tools, and treatment plans shall be used to determine eligibility, frequency and duration for CPST and/or PSR. Other useful sources of information that a provider may submit include data from school, other mental health or substance use providers, etc.

A member's final score/level of care, or a rating in one or more dimensions on the CALOCUS/LOCUS, should not be used as the only data element to determine who may be eligible or should continue to receive CPST and/or PSR. A member's rating shall also not be used as the only factor to determine a service authorization, using a pre-established set of services and number of units for a duration of time, based on the results of a member's CALOCUS/LOCUS rating.

Exceptions

Members who receive Multi-Systemic Therapy, Homebuilders, Functional Family Therapy and Functional Family Therapy-Child Welfare are not required to be assessed using the CALOCUS.