

MHSUS OFFICE OF CERTIFICATION POTENTIAL PROVIDER ORIENTATION

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MHSU OFFICE OF CERTIFICATION SITE REVIEW TEAM

- Cathy Anderson
- Charlene Marshall
- Lori Burke
- Sam Threatt
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**YOU WILL RECEIVE A CERTIFICATE FOR ATTENDING THIS
ORIENTATION**

**HOWEVER, ATTENDING THIS ORIENTATION DOES NOT MEAN YOU
ARE CERTIFIED TO PROVIDE SERVICES. THIS CERTIFICATE EXPIRES
ONE (1) YEAR FROM TODAY.**



WHAT CERTIFICATION **DOES NOT** MEAN...

ADMH Certification **DOES NOT** constitute a contractual agreement between Mental Health Substance Use Services (MHSUS) and certified provider for services. You are responsible for your funding source. This includes Medicaid 105 Rehab Option, SAMHSA Block Grant funds, other grant funds received by ADMH MHSU.

- ✓ ATTENDING THIS TRAINING WILL NOT GUARANTEE CERTIFICATION.
- ✓ YOUR FUNDING SOURCE IS UP TO YOU.
- ✓ BECOMING CERTIFIED DOES NOT MEAN YOU WILL RECEIVE FUNDING OR A CONTRACT FROM ADMH OR MEDICAID.
- ✓ YOU ARE RESPONSIBLE FOR DEVELOPING A RELATIONSHIP WITH COMMUNITY MENTAL HEALTH PROVIDERS OR OTHER COMMUNITY RESOURCES FOR REFERRALS TO YOUR PROGRAM.
- ✓ EXECUTIVE DIRECTOR MUST MEET QUALIFICATIONS IN ORDER FOR APPLICATION TO BE REVIEWED. **IF ED DOES NOT MEET CRITERIA, APPLICATION WILL BE DENIED. Failure to submit required documents will result in denial of application.**
- ✓ IF YOU SUBMIT RESUME OF CLINICAL DIRECTOR WITH APPLICATION, THEY MUST MEET QUALIFICATIONS PER CODE TO BE REVIEWED. **IF CD DOES NOT MEET CRITERIA, APPLICATION WILL BE DENIED. Failure to submit required documents will result in denial of application.**
- ✓ YOU MUST SUBMIT AGENCY POLICIES AND PROCEDURES PER ADMH ADMINISTRATIVE CODE(S). Failure to submit policies and procedures per ADMH Administrative Code(s) could result in denial of application and will delay the review process.

- **This Orientation is only for Mental Illness Treatment, Substance Use Treatment and/or Prevention Services.**
- **MHSU only certifies treatment providers and prevention providers.**
- **MHSU does NOT certify group homes that only provide room, board and watchful oversight. You must provide all required services and have all required personnel per Administrative Code(s).**

IF YOU HAVE QUESTIONS REGARDING POTENTIAL FUNDING/CONTRACT CONTACT:

- ❖ **SUBSTANCE USE**– Denice Morris, Director of Substance Abuse Treatment and Development – denice.morris@mh.alabama.gov
- ❖ **Mental Health** – Kim Hammack, Director of Mental Health Community Programs - kim.hammack@mh.alabama.gov
- ❖ **Children and Family Services**– Beverly Johnson, Director of Children and Family Services – Beverly.Johnson@mh.alabama.gov

IMPORTANT LINKS:

Link to Certified Mental Health, Substance Use and Prevention Providers

<http://www.mh.alabama.gov>

Be sure to look at the links above to see what type of services are being offered in your county and what the gaps in services may be for your area.

CERTIFICATION



CONTRACT OR FUNDING

**MENTAL HEALTH
AND
SUBSTANCE USE
SERVICES**

ADMINISTRATIVE CODE UNIFORM NUMBERING SYSTEM

- If a rule is divided into many separate paragraphs and subparagraphs, the paragraphs and subparagraphs shall be designated as follows:

- (1), (2), etc. (Main paragraphs)
- (a), (b), etc. (subparagraphs under main paragraphs)
- 1., 2., etc. (subparagraphs under (a), (b), etc.)
- (i), (ii), etc. (subparagraphs under 1., 2., etc.)
- (I), (II), etc. (subparagraphs under (i), (ii), etc.)
- I., II., etc. (subparagraphs under (I), (II), etc.)
- A., B., etc. (subparagraphs under I., II., etc.)
- (A), (B), etc. (subparagraphs under A., B., etc.)

So, what this looks like progression...

(1) Main Paragraph

(a) Subparagraph under main paragraph

1. Subparagraph under (a)

(i) Subparagraph under 1.

(l) Subparagraph under (i)

l. Subparagraph under (l)

A. Subparagraph under l.

(A) Subparagraph under A.

So, what this looks like in code:

(1) Main Paragraph

(a) Subparagraph under main paragraph

1. Subparagraph under (a)

(i) Subparagraph under 1.

(l) Subparagraph under (i)

l. Subparagraph under (l)

A. Subparagraph under l.

(A) Subparagraph under A.

❖ MHSUS Administrative Code

- ❑ <https://mh.alabama.gov/wp-content/uploads/2023/12/580-2-20-With-Changes-Effective-June-12-2023.pdf>

❖ MH Administrative Code

- ❑ <https://mh.alabama.gov/wp-content/uploads/2023/11/580-2-9-With-Changes-Effective-March-14-2023.pdf>

❖ SA Administrative Code

- ❑ <https://mh.alabama.gov/wp-content/uploads/2023/11/580-9-44-SA-Administrative-Code-June-12-2023.pdf>

❖ Prevention Services Administrative Code

- ❑ <http://www.alabamaadministrativecode.state.al.us/docs/mhlt/h/580-9-47.pdf>

IMPORTANT!!!

READ!

READ!

READ!

**THE ADMINISTRATIVE
CODES CAREFULLY AND
COMPLETELY**



- It is the responsibility of potential providers to check ADMH website for updates to the Administrative Codes.
- SA Levels of Care will undergo significant changes when ASAM updates Levels of Care this year.
- All policies and procedures must be updated whenever there is a repeal, replacement or new Administrative Code.

MHSUS ADMINISTRATIVE CODE 580-2-20 PROGRAM OPERATIONS

<https://mh.alabama.gov/wp-content/uploads/2023/12/580-2-20-With-Changes-Effective-June-12-2023.pdf>

Policy and Procedure Manual
requirements

MHSUS ADMINISTRATIVE CODE 580-2-20
Table of Contents – applies to both MH and SA:

- 580-2-20-.02 Governing Body
- 580-2-20-.02 Personnel
- 580-2-20-.05 Infection Control
- 580-2-20-.04 Recipient Protection
- 580-2-20-.06 Incident Management– procedures– must include MHSUS required procedures as well as your agency's. <https://mh.alabama.gov/wp-content/uploads/2019/02/IMP-Part-B-Final.pdf>
- 580-2-20-.07 Performance Improvement
- 580-2-20-.08 Recipient Records
- 580-2-20-.09 General Clinical Practice

All must be
in policy and
procedure
manual

MHSUS ADMINISTRATIVE CODE
580-2-20

<https://mh.alabama.gov/wp-content/uploads/2023/12/580-2-20-With-Changes-Effective-June-12-2023.pdf>

580-2-20-.03 PERSONNEL

EXECUTIVE DIRECTOR
FOR BOTH
MH AND SU
580-2-20-.03

- ❖ (1) There shall be a full-time executive director who has overall responsibility for the operation of the agency. The executive director shall:
 - (a) Have at least a **master's degree** in Public Health, Business Administration, Public Administration, Psychology, Counseling, Social Work or related field and **at least five years managerial experience in a mental health or substance abuse treatment setting**; or
 - (b) Have a **Bachelor's Degree** in Public Health, Business Administration, Public Administration, Psychology, Counseling, Social Work or related field and **at least ten (10) years managerial experience in mental health or substance abuse treatment setting**.


- (c) Notify MHSU within thirty (30) days of changes in Executive Director.
- (d) Be verified for compliance with ADMH Administrative Code by ADMH MHSUS certification process.

Must submit resume, job description, copy of transcripts, copy of any licensure/certification held and updated organizational chart.

CLINICAL DIRECTOR FOR BOTH MH AND SU 580-2-20-.03 PERSONNEL

- ❖ (2) There shall be a **full-time Clinical Director** (in addition to the Executive Director) who has full-time responsibility for the quality of clinical care and the appropriateness of clinical programs as delineated in the job description. The Clinical Director shall:
 - (a) Have a minimum of either a master's degree in psychology, social work, counseling, or psychiatric nursing and have a minimum of 3 years post master's relevant clinical experience or be a physician who has completed an approved residency in psychiatry.
 - (b) **For agencies who provide substance abuse treatment services**, have a license or a substance abuse counselor certification credential from the Alabama Association of Addiction Counselors, National Association of Alcoholism and Drug Abuse Counselors, Alabama Alcohol and Drug Abuse Association, or International Certification and Reciprocity Consortium/Alcohol and Other Drug Abuse, Inc.

- (c) Notify MHSU within thirty (30) days of changes in Clinical Director.
- (d) Be verified for compliance with ADMH Administrative Code by ADMH MHSUS certification process.



Must submit resume, job description, copy of transcripts, copy of any required licensure/certification held and updated organizational chart.

**BUSINESS MANAGER/CHIEF FINANCIAL
OFFICER OR EQUIVALENT FOR BOTH
MH AND SU
580-2-20-.03 PERSONNEL**

- ❖ (a) The financial accounting operations of a service provider organization with a total annual budget exceeding \$750,000 shall be supervised by a full-time employee or contracted service who has the following qualifications:
 - 1. At least a bachelor's degree in accounting or business, finance, management, public administration, with at least three (3) college accounting courses.
 - 2. At least two years accounting experience.

- ❖ (b) The financial accounting operations of a service provider organization with a total annual budget less than \$750,000 shall be supervised by an employee or contracted service who/which has the following qualifications:
 - 1. Demonstrated familiarization with Generally Accepted Accounting Principles and;
 - 2. At least two (2) years accounting/bookkeeping experience.

IMPORTANT INFORMATION REGARDING ANY CHANGES IN ED OR CD

❖ If there is a change in Executive Director, you must:

- Notify ADMH Office of Certification Administration ASAP so that a background check information can be emailed to new ED or Interim ED and
- Complete certification application and other appropriate paperwork – resume, job description, copy of transcripts, copy of any licensure/certification, and new updated organizational chart.

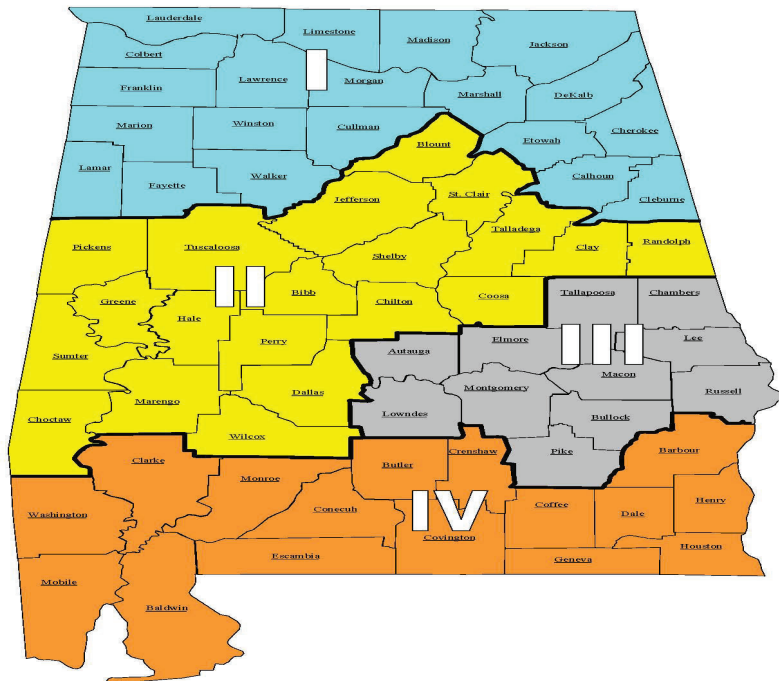
❖ If there is a change in Clinical Director, you must:

- Notify ADMH Office of Certification Administration ASAP and complete and submit certification application and other appropriate paperwork – resume, job description, copy of transcripts, copy of any required licensure/certification and new updated organizational chart.

- Mental Illness Personnel for all staff is included in 580-2-20-.03 Personnel
- Substance Use Personnel for ED, CD, and Financial/Business is in 580-2-20.03 and Substance Use Treatment Staff requirements is included in 580-9-44-.03 Personnel. Substance Use Providers must have policies and procedures for both these Administrative Codes.

Mental Illness

REGIONAL MAP FOR MENTAL ILLNESS PROVIDERS



**MENTAL HEALTH SERVICES ADMINISTRATIVE
CODE CHAPTER 580-2-9
PROGRAM OPERATIONS**

**[HTTPS://MH.ALABAMA.GOV/WP-
CONTENT/UPLOADS/2023/06/580-2-20-WITH-
CHANGES-EFFECTIVE-JUNE-12-2023.PDF](https://mh.alabama.gov/wp-content/uploads/2023/06/580-2-20-with-changes-effective-june-12-2023.pdf)**

Policy and Procedure Manual
requirements

**What services do I want to provide to
people suffering from mental illness?**

What are the options?

Choose what service you want to provide.
READ THE ADMINISTRATIVE CODE



MUST HAVE PROGRAM DESCRIPTION ADDRESSING ALL REQUIREMENTS PER ADMINISTRATIVE CODE:

- **580-2-20-.10 General Outpatient – must identify target population on application (Adult or Child and Adolescent)**

- **580-2-20.11 Outreach Services (Adults):**
 - ❖ **580-2-20-.11 (1) Adult Case Management**
 - ❖ **580-2-20-.11 (2) Adult In-Home Intervention**
 - ❖ **580-2-20-.11 (3) Assertive Community Treatment (ACT)**
 - ❖ **580-2-20-.11 (4) Program for Assertive Community Treatment (PACT)**
 - ❖ **580-2-20-.11 (5) Individual Placement and Support – Supported Employment (IPS-SEP)**
 - ❖ **580-2-20-.11 (6) First Episode Psychosis Program (FEP)**

MUST HAVE PROGRAM DESCRIPTION ADDRESSING ALL REQUIREMENTS PER ADMINISTRATIVE CODE:

- **580-2-20.11 MI Outreach Services (Child and Adolescent):**
 - ❖ **580-2-20-.11 (7) Child and Adolescent Low Intensity Care Coordination (LICC)**
 - ❖ **580-2-20-.11 (8) Child and Adolescent High Intensity Care Coordination (HICC)**
 - ❖ **580-2-20-.11 (9) Child and Adolescent In-Home Intervention**

- **580-2-20-.12 MI Day Programs:**
 - ❖ **580-2-20-.12 (1) Adult Rehabilitation Day Program (RDP)**
 - ❖ **580-2-20-.12 (2) Adult Intensive Day Treatment (AIDT)**
 - ❖ **580-2-20-.12 (3) Partial Hospitalization Program (PHP) (Adults)**
 - ❖ **580-2-20-.12 (4) Child and Adolescent Day Treatment**

MUST HAVE PROGRAM DESCRIPTION ADDRESSING ALL REQUIREMENTS PER ADMINISTRATIVE CODE:

- **580-2-20.13 MI Residential Services**
 - ❖ 580-2-20-.13 (33) An Adult Small Capacity (3-bed) Residential Home
 - ❖ 580-2-20-.13 (34) An Adult Residential Care Home with Specialized Basic Services
 - ❖ 580-2-20-.13 (35) An Adult Residential Care Home with Specialized Behavioral Services
 - ❖ 580-2-20-.13 (36) An Adult Residential Care Home with Specialized Medical Services
 - ❖ 580-2-20-.13 (37) A Crisis Residential Unit (CRU) (Adult)
 - ❖ 580-2-20-.13 (38) The Transitional Age Residential Care Program (age 17-25) (Adult)
 - ❖ 580-2-20-.13 (39) A Child/Adolescent Residential

MUST HAVE PROGRAM DESCRIPTION ADDRESSING ALL REQUIREMENTS PER ADMINISTRATIVE CODE:

- **580-2-9.19 Designated Mental Health Facility – must be existing provider and be a Certified Community Provider or a Hospital**
- **580-2-9.20 Consultation and Education**
- **580-2-9.23 Child and Adolescent Seclusion and Restraint**
- **580-2-9.24 Adult Seclusion and Restraint**

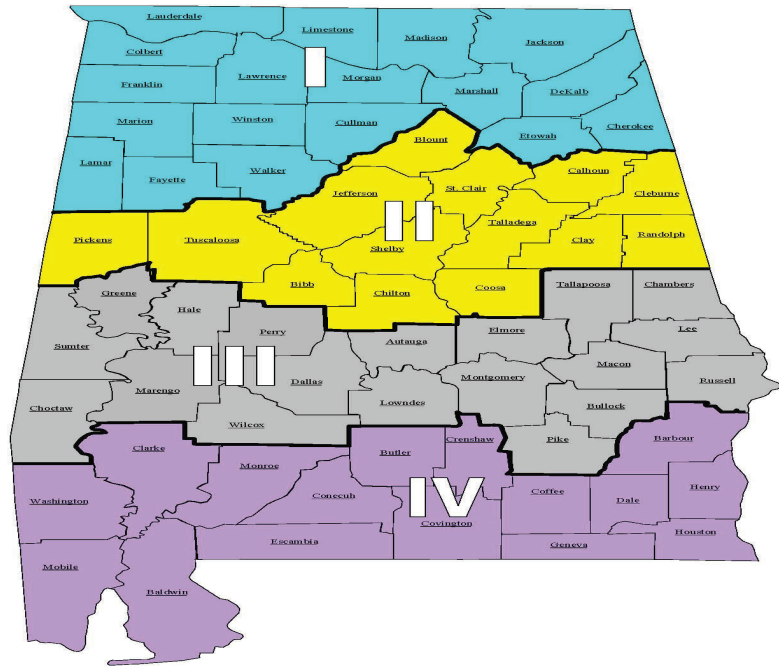
CERTIFICATION



CONTRACT OR FUNDING

SUBSTANCE USE SERVICES

**SUBSTANCE ABUSE
PROVIDER REGIONAL MAP**




SUBSTANCE USE SERVICES
ADMINISTRATIVE CODE CHAPTER
580-9-44
**[HTTPS://MH.ALABAMA.GOV/WP-
CONTENT/UPLOADS/2023/11/580-9-44-SA-
ADMINISTRATIVE-CODE-JUNE-12-2023.PDF](https://mh.alabama.gov/wp-content/uploads/2023/11/580-9-44-SA-ADMINISTRATIVE-CODE-JUNE-12-2023.pdf)**

Policy and Procedure Manual
requirements

ADMINISTRATIVE CODES AND TABLE OF CONTENT OF POLICIES AND & PROCEDURES

➤ 580-9-44-.02 Personnel– Direct Care Staff requirements



Both 580-2-20-.03 and 580-9-44-.02
Administrative Codes shall be addressed
in Agency Policies and Procedures and
implemented.

Substance Use Disorder Counselor Certification options:

- SU Counselor Certification Options:
 - <http://www.aadaa.us> or
 - <http://www.naadac.org/about>

ADMINISTRATIVE CODE REQUIREMENTS FOR SUBSTANCE USE SERVICES

- Must be trained on the 6 dimensions of American Society of Addiction Medicine (ASAM) and Levels of Care per ASAM.
- Must use ADMH Approved Screening Tool (found as a part of the MHSUS Placement Assessment):
 - UNCOPE (ADULTS)
 - CRAFT (ADOLESCENTS)
- Must use the ADMH Integrated Placement Assessment Tool for assessing the client needs:

<https://mh.alabama.gov/assessment-tools/>

“WHAT SUBSTANCE USE SERVICES DO YOU WANT TO PROVIDE?”

Choose what service you want to provide.
READ THE ADMINISTRATIVE CODES



OUTPATIENT OR INTENSIVE OUTPATIENT

- 580-9-44-.14 Level 0.5: Early Intervention
- 580-9-44-.15 Level I: Outpatient Treatment
- 580-9-44-.16 Level I-D: Ambulatory Detoxification Without Extended On-Site Monitoring
- 580-9-44-.17 Level II.1: Intensive Outpatient Treatment
- 580-9-44-.18 Level II.5: Partial Hospitalization Treatment Program
- 580-9-44-.19 Level II-D: Ambulatory Detoxification With Extended On-Site Monitoring

RESIDENTIAL SERVICES

- 580-9-44-.20 Level III.01: Transitional Residential Program
- 580-9-44-.21 Level III.1: Clinically Managed Low Intensity Residential Treatment Program
- 580-9-44-.22 Level III.2-D: Clinically Managed Residential Detoxification
- 580-9-44-.23 Level III.3: Clinically Managed Medium Intensity Residential Treatment Program For Adults
- 580-9-44-.24 Level III.5: Clinically Managed Medium Intensity Residential Treatment Program For Adolescents

RESIDENTIAL SERVICES

- 580-9-44-.25 Level III.5: Clinically Managed High Intensity Residential Treatment Program For Adults
- 580-9-44-.26 Level III.7: Medically Monitored Intensive Residential Treatment Program For Adults
- 580-9-44-.27 Level III.7: Medically Monitored High Intensity Residential Treatment Program For Adolescents
- 580-9-44-.28 Level III.7-D: Medically Monitored Residential Detoxification

CERTIFICATION



CONTRACT OR FUNDING

PREVENTION SERVICES

[HTTP://WWW.ALABAMAADMINISTRATIVECODE.STATE.AL.US/DOCS/MHLTH/580-9-47.PDF](http://www.alabamaadministrativecode.state.al.us/docs/mhlth/580-9-47.pdf)

- 580-9-47-.01 Definitions – do not include in application
- 580-9-47-.02 Personnel
 - Full-time Executive Director
 - Prevention Director
 - Prevention Service Provider
- 580-9-47-.03 Prevention Records
- 580-9-47-.04 Community Planning
- 580-9-47.05 Prevention Strategies
- 580-9-47.06 Performance Improvement
- Must have approved Prevention Plan

POLICY AND PROCEDURE MANUAL

- ❖ **Must utilize ADMH Administrative Codes** when writing/developing policies and procedures. You cannot utilize policies and procedures from other states you may provide services. Your **POLICY** is the ADMH Administrative Code.
- ❖ **Use the Administrative Code numbers.**
- ❖ A policy and procedures manual is a crucial tool for running a business.
- ❖ It serves as a consistent source for organizational policy, which are the overall regulations that govern the business, and **the procedures that define how those policies will be implemented.**
- ❖ A policy and procedure manual exists to answer the **who, what, when, where** and **how** of operations. It spells out for all employees what is expected of them and how to accomplish it.
- ❖ It contains instructions on how to perform a task.
- ❖ It ensures routine jobs get performed safely and in compliance with the ADMH Administrative Code.

- ❖ Procedures are really about communication.
- ❖ Your employees need to understand what is expected of them.
- ❖ Your employees need a procedures manual to reference for training.
- ❖ Your supervisors need a policy manual to reference for managing business processes.
- ❖ By documenting your procedures, you are communicating what is important for growth, quality, and customer satisfaction.

- ❖ Your policy and procedure manual can be a three-ring binder, a folder on a network share drive. What's important is that everyone understands what constitutes your policy and procedure manual and where a policy or procedure can be found when someone needs it.
- ❖ Your policy and procedure manual will be unique to your agency and programs and should contain the required minimum policies listed in the Administrative Code.
- ❖ Therefore, you must be familiar with the entire Administrative Code and other laws that pertain to operating a behavior health program such as HIPPA, 42 C.F.R. Part 2, Evidence Based Practices for the population you intend to serve.

- **DO NOT JUST CUT AND PAST ADMINISTRATIVE CODE**
- **DO NOT SAY AGENCY HAS A PROCEDURE/PROCESS AND NOT INCLUDE THE PROCEDURE/PROCESS**
- **YOU MUST HAVE PROCEDURES/ PROCESSES BASED ON ADMH MH/SU/PREVENTION ADMINISTRATIVE CODES**

What not to send....

- **DO NOT** submit your agency's HR policies and procedures, for example – employee leave benefits, insurance benefits, etc.
- **DO NOT** submit your agency's policies and procedures from another state – they do not address ADMH Administrative Code requirements.
- **DO NOT** submit your agency's policies and procedures for another state agency requirements – they do not address ADMH Administrative Code requirements.

APPLICATION REQUIREMENTS – ALL ITEMS MUST BE RECEIVED TO PROCESS APPLICATION

- ✓ Criminal Background check request for ED will be sent after OCA receives application
- ✓ Articles of Incorporation
- ✓ Board By-laws and Board duties/responsibilities including a list of Board Members
- ✓ Board minutes
- ✓ Resumes, transcripts, job description and copy of any licensure and/or certification for Executive Director and Clinical Director
- ✓ Organizational Chart –showing lines of supervision
- ✓ **POLICY AND PROCEDURE MANUAL** per **ADMH Administrative Code(s)** – must be included with the application. DO NOT send HR policies and procedures
- ✓ Program Description and application for each service you are applying for and each location you are applying. Each type of service you are applying to provide must have its own application and program description that meets ADMH Administrative Code.

CERTIFICATION APPLICATION PROCESS FEE

- ❖ The applicant will submit application along with all required documents to the Office of Certification Administration. Agency must submit policies and procedures per ADMH Administrative Code(s).
- ❖ The Office of Certification Administration will document receipt of the application packet and hold such until the results of criminal background checks are received for executive director.
- ❖ The Office of Certification Administration will forward the complete application, including background check information, to the Office of MHSUS Certification for review, final approval and processing the application.

- ❖ The Director of MHSUS Certification, along with MHSU Certification Team Member, SU Treatment Services Director and/or , Mental Health Community Programs Director Children and Family Services Director or designee, will review the complete packet, communicate any corrections needed to you and make recommendations regarding approval.
- ❖ Upon approval by the MHSUS Associate Commissioner, the Office of Certification Administration will mail a letter to the agency to request the \$1500 non-refundable application fee in the form of a cashier's check made payable to Alabama Department of Mental Health from the applicant. ***DO NOT MAIL CASHIER'S CHECK UNTIL YOU RECEIVE THIS LETTER***
- ❖ Once received, the Office of Life Safety and Technical Services will be notified to schedule and conduct an inspection of the property to be certified.
- ❖ When property has been given approval by Life Safety and Technical Services, the provider will be issued a Temporary Operating Authority (TOA) by the Office of Certification Administration.

REMINDER:

- **DO NOT SEND POLICIES AND PROCEDURES FOR ANOTHER STATE OR ANOTHER STATE AGENCY OR JOINT COMMISSION OR CARF, etc.**
- **YOU MUST HAVE PROCEDURES/PROCESSES BASED ON ADMH MH/SU/PREVENTION ADMINISTRATIVE CODE – THERE ARE NOT EXCEPTIONS**

FAILURE TO HAVE ALL REQUIRED DOCUMENTS SUBMITTED AT THE TIME OF APPLICATION WILL DELAY THE ALREADY LENGTHY REVIEW PROCESS.

POLICIES AND PROCEDURES MUST MEET ALL PARTS OF ADMINISTRATIVE CODE(S)

100%.

IMPORTANT!!!

READ!

READ!

READ!



**APPLICATION/SUPPORTING
DOCUMENTS**

All applications to the Alabama Department of Mental Health (ADMH) for certification of community programs shall be submitted to Office of Certification Administration per instructions given previous day.

CERTIFICATION



CONTRACT OR FUNDING



QUESTIONS





Alabama Department
of Mental Health
connecting mind and wellness