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
- Jonathan Melton



YOU WILL RECEIVE A CERTIFICATE FOR ATTENDING THIS ORIENTATION

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





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- This Orientation is only for Mental Illness Treatment, Substance Use Treatment and/or Prevention Services Only. If you want to provide DD/ID services, you must attend the DD/ID Becoming a Community Provider.
- MHSU only certifies treatment providers and prevention providers.
- MHSU does NOT certify group homes that only provide room, board and watchful oversite. You must provide all required services and have all required personnel per Administrative Code(s).



- ✓ ATTENDING THIS TRAINING WILL NOT GUARANTEE CERTIFICTION.
- ✓ YOUR FUNDING SOURCE IS UP TO YOU.
- ✓ BECOMING CERTIFIED DOES NOT MEAN YOU WILL RECEIVE FUNDING OR A CONTRACT FROM ADMH OR MEDICAID. There is not funding and not contract with ADMH to include Medicaid 105 Rehab Option.
- ✓ 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.
- ✓ Applications are valid for six (6) months from date of receipt.



WHAT CERTIFICATION DOES NOT MEAN...

ADMH Certification <u>DOES NOT</u> 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.

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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



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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.



ADMINISTRATIVE CODE 580-3-23

580 3 23 .05 Applicability.

- (1) The following entities which provide services to persons with mental illness, mental retardation, or substance abuse may be considered exempt from the certification requirements by the DMH/MR:
- (a) General or psychiatric hospitals licensed as such by the Alabama Board of Health, unless the hospital requests to be a designated Mental Health Facility as certified by DMH/MR.
 - (b) Federal or state agencies.
 - (c) Public or private educational institutions.
- (d) Qualified member of professions in their own private practice (such as licensed physicians, psychologists, psychiatrists, social workers, or Christian Science practitioners) as contemplated by the Code of Ala. 1975, Section 22 50 17.



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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:

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(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.)
1., II., etc. (subparagraphs under (I), (II), etc.)
A., B., etc. (subparagraphs under I., II., etc.)
(A), (B), etc. (subparagraphs under A., B., etc.)
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So, what this looks like progression...

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(1) Main Paragraph
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- (a) Subparagraph under main paragraph
 - 1. Subparagraph under (a)
 - (i) Subparagraph under 1.
 - (I) Subparagraph under (i)
 - I. Subparagraph under (I)
 - A. Subparagraph under I.
 - (A) Subparagraph under A.



So, what this looks like in code:

- (1) Main Paragraph
- Subparagraph under main paragraph (a)
- Subparagraph under (a) 1.
- (i) Subparagraph under 1.
- (1) Subparagraph under (i)
- Subparagraph under (I) Ι.
- Subparagraph under I. Α.
- (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-Admininstrative-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.
- SU 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

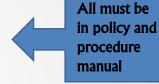
Policy and Procedure Manual requirements



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

- > 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/incident-management-plan/ Part B for Mental Health and Substance Use (MHSU) Division Certified Community Providers Incident Management Plan
- > 580-2.20-.07 Performance Improvement
- > 580-2-20-.08 Recipient Records
- > 580-2-20-.09 General Clinical Practice





MHSUS ADMINISTRATIVE CODE 580-2-20

https://mh.alabama.gov/wpcontent/uploads/2023/12/580-2-20-With-Changes-Effective-June-12-2023.pdf



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580-2-20-.03 PERSONNEL



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



(1) There shall be a <u>full-time executive director</u> 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.



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CLINICAL DIRECTOR FOR 580-2-20-.03 PERSONNEL



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.



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(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



- The financial accounting operations of a service **⋄**(a) 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.



- ▶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.

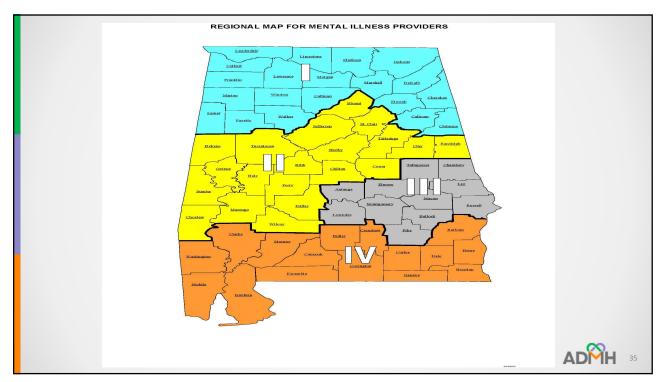


- Mental Illness Personnel for all staff is included in 580-2-20-.03 Personnel
- Substance Use Personnel for ED, CD, and Financial/Business is in 580-2-20.03 and Substance Use Treatment Staff requirements is included in 580-9-44-.03 Personnel. Substance Use Providers must have policies and procedures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

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Mental Illness





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

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**



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MUST HAVE PROGRAM DESCRIPTION ADDRESSING ALL REQUIREMENTS PER ADMINISTRATIVE CODE:

- > <u>580-2-20-.10</u> 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



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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



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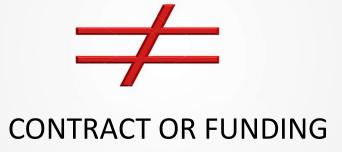
MUST HAVE PROGRAM DESCRIPTION ADDRESSING ALL REQUIREMENTS PER ADMINISTRATIVE CODE:

- ➤ 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



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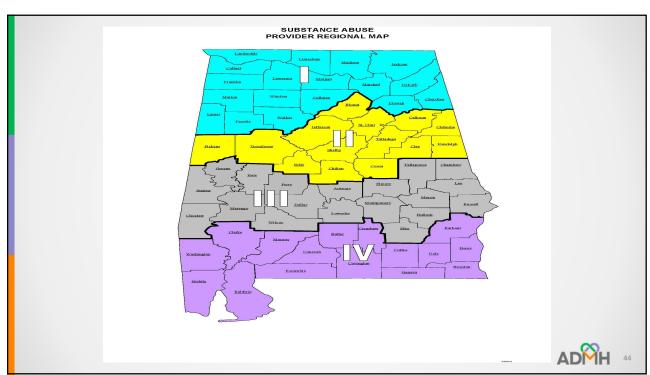
CERTIFICATION





SUBSTANCE USE SERVICES





SUBSTANCE USE SERVICES ADMINISTRATIVE CODE CHAPTER 580-9-44

HTTPS://MH.ALABAMA.GOV/WP-CONTENT/UPLOADS/2023/11/580-9-44-SA-ADMININSTRATIVE-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



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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



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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



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PREVENTION SERVICES

HTTP://WWW.ALABAMAADMINISTR ATIVECODE.STATE.AL.US/DOCS/MHL TH/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.
- Must have Index of Policies and Procedures that meet ADMH Administrative Code(s)
- ❖ 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,
- ❖ It contains instructions on how to perform a task.
- ❖ It ensures routine jobs get performed safely and in compliance with the ADMH Administrative Code.



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- 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 - make sure you include the procedure/process.
- YOU MUST HAVE PROCEDURES/ PROCESSES BASED ON ADMH MH/SU/PREVENTION ADMINISTRAITVE **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
- By-laws and Governing Body duties/responsibilities including a list of Governing Body/Board Members
- ✓ Governing Body/Board minutes
- Resumes, transcripts, job description and copy of any licensure and/or certification for <u>Executive Director</u> and <u>Clinical Director</u>
- ✓ Organizational Chart —showing lines of supervision
- ✓ INDEX OF POLICY AND PROCEDURE MANUAL PER ADMH ADMINISTRATIVE CODE(S).
- POLICY AND PROCEDURE MANUAL per ADMH Administrative Code(s) <u>must be included with the application</u>. 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.



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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 Director 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 and/or 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) for six (6) months by the Office of Certification Administration. You are expected to start providing services upon receipt of TOA.



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(s) THERE ARE
 NOT EXCEPTIONS



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

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

100%.



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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.



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CONTRACT OR FUNDING





