

Delaware
Promoting Optimal Mental Health for Individuals
through Supports and Empowerment (PROMISE)
Home and Community Based Services

DRAFT Service Certification and Reimbursement
Manual

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Service Specification

Service Title: *Care Management*

Service Definition (Scope):

Care Management includes services assisting beneficiaries in gaining access to needed demonstration and other State plan services, as well as medical, social, educational, and other services, regardless of the funding source for the services to which access is gained. All PROMISE beneficiaries will receive care management. Care managers are responsible for the ongoing monitoring of the provision of services included in the beneficiary's Recovery Plan and/or beneficiary's health and welfare. Care managers are responsible for initiating the process to evaluate and/or reevaluate the beneficiary's level of care/needs-based eligibility and/or development of Recovery Plans.

The care manager will work with the beneficiary to identify barriers to individual goals, include services, natural supports and community resources across episodes of care ensuring. The care manager will ensure that the four functions of care management occur: assessment, Recovery Plan development, facilitating access and referral to needed services, and monitoring of services. The care manager will work with the Assertive Community Treatment/Intensive Care Management (ACT/ICM) teams, as well as group home providers, to ensure that the care management embedded within those teams is supported and that care manager does not undermine the Evidence-Based Practice (EBP) team so long as person-centered planning and individual's personal goals are supported and the services and supports needed by the individual are delivered.

The function of the care manager is to produce a community-based, individualized Recovery Plan. This includes working with the beneficiary and/or family to identify who should be involved in the treatment planning process. The care manager guides the Recovery Plan development process. The care manager also is responsible for subsequent Recovery Plan review and revision, as needed, at a minimum, on a yearly basis for beneficiaries to review the Recovery Plan and, more frequently, when changes in the beneficiary's circumstances warrant changes in the Recovery Plan. The care manager will emphasize building collaboration and ongoing coordination among the family, caretakers, service providers, and other formal and informal community resources identified by the family and promote flexibility to ensure that appropriate and effective service delivery to the participant and family/caregivers. Care managers complete specialized training in the person-centered planning philosophy, and 1915(i)-like home- and community-based services (HCBS) rules and processes, service eligibility and associated paperwork, and meeting facilitation.

When a beneficiary is receiving PROMISE services, the Care Manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.

The care manager responsibilities includes initiating the process to evaluate and/or re-evaluate the beneficiary's level of care and/or development of Recovery Plans; assisting the beneficiary in gaining access to needed services regardless of the funding source; providing intensive care management for PROMISE members in need of supports services through recovery planning and coordination to identify services; brokering of services to obtain and integrate services, facilitation, and advocacy to resolve issues that impede access to needed services; monitoring and reassessment of services based on changes in beneficiary's condition; gate keeping to assess and determine the need for services to members; and ongoing monitoring of the provision of services included in the beneficiary's Recovery Plan and/or beneficiary health and welfare.

In the performance of providing information to beneficiaries, the care manager will:

- Inform beneficiaries about the HCBS services, required needs assessments, the person centered planning process, service alternatives, service delivery options (opportunities for beneficiary-direction), roles, rights, risks, and responsibilities;

- Inform beneficiaries on fair hearing rights and assist with fair hearing requests when needed and upon request.

In the performance of facilitating access to needed services and supports, the care manager will:

- Collect additional necessary information including, at a minimum, beneficiary preferences, strengths, and goals to inform the development of the beneficiary-centered Recovery Plan;
- Assist the beneficiary and his/her Service planning team in identifying and choosing willing and qualified providers; and
- Coordinate efforts and prompt the beneficiary to ensure the completion of activities necessary to maintain HCBS program eligibility.

In the performance of the coordinating function, the care manager will:

- Coordinate efforts in accordance with Department requirements and prompt the beneficiary to participate in the completion of a needs assessment as required by the State to identify appropriate levels of need and to serve as the foundation for the development of and updates to the Recovery Plan;
- Use a beneficiary-centered planning approach and a team process to develop the beneficiary's Recovery Plan to meet the beneficiary's needs in the least restrictive manner possible. At a minimum, the approach shall:
 - Include people chosen by the beneficiary for Recovery Plan meetings, review assessments, include discussion of needs, to gain understanding of the beneficiary's preferences, suggestions for services, and other activities key to ensure a beneficiary-centered Recovery Plan;
 - Provide necessary information and support to ensure that the beneficiary directs the process to the maximum extent possible and is enabled to make informed choices and decisions;
 - Be timely and occur at times and locations of convenience to the beneficiary;
 - Reflect cultural considerations of the beneficiary;
 - Include strategies for solving conflict or disagreement within the process;
 - Offer choices to the beneficiary regarding the services and supports they receive and the providers who may render them;
 - Inform beneficiaries of the method to request updates to the Recovery Plan; and
 - Ensure and document the beneficiary's participation in the development of the Recovery Plan.
- Develop and update the Recovery Plan in accordance with the state requirements based upon the standardized needs assessment and person centered planning process annually, or more frequently as needed;
- Explore coverage of services to address beneficiary identified needs through other sources, including services provided under the State Plan, Medicare, and/or private insurance or other community resources. These resources shall be used until the plan limitations have been reached or a determination of non-coverage has been established and prior to any service's inclusion in the Recovery Plan, in accordance with department standards;
- Actively coordinate with other individuals and/or entities essential in the physical and/or behavioral care delivery for the beneficiary, including MCO care coordinators, to ensure seamless coordination between physical, behavioral, and support services;
- Coordinate with providers and potential providers of services to ensure seamless service access and delivery; and
- Coordinate with the beneficiary's family, friends, and other community members to cultivate the beneficiary's natural support network, to the extent that the beneficiary (adult) has provided permission for such coordination.

In the performance of the monitoring function, the care manager will:

- Monitor the health, welfare, and safety of the beneficiary and Recovery Plan implementation through regular contacts (monitoring visits with the beneficiary, paid and unpaid caregivers and others) at a minimum frequency as required by the department;
- Respond to and assess emergency situations and incidents and assure that appropriate actions are taken to protect the health, welfare, and safety of the beneficiary;
- Review provider documentation of service provision and monitor beneficiary progress on outcomes and initiate Recovery Plan team discussions or meetings when services are not achieving desired outcomes. Outcomes include housing status, employment status, involvement in the criminal justice system, response to treatment, and other

services, and satisfaction with services;

- Through the Recovery Plan monitoring process, solicit input from beneficiary and/or family, as appropriate, related to satisfaction with services;
- Arrange for modifications in services and service delivery, as necessary, to address the needs of the beneficiary, consistent with an assessment of need and Department requirements, and modify the Recovery Plan accordingly;
- Advocate for continuity of services, system flexibility and integration, proper utilization of facilities and resources, accessibility and beneficiary rights; and
- Participate in any department identified activities related to quality oversight.

Certified peer specialists who work for Care Management Agencies assist Care Managers with Recovery Plan development, facilitating access and referral to needed services, and monitoring of services. Peers do not conduct Comprehensive Needs Assessments or Eligibility Evaluations.

Ensure that individuals are aware of how to access the EEU call center and 24-hour crisis staff for response to emergency situations and that Care Manager are informed of any crises that occur.

Care management includes functions necessary to facilitate community transition for beneficiaries who received Medicaid-funded institutional services (i.e., Intermediate Care Facility, Nursing Facility, and Institution for Mental Disease) or who lived in an institution for at least 90 consecutive days prior to their transition to the waiver. Care management activities for beneficiaries leaving institutions must be coordinated with, and must not duplicate, institutional discharge planning. This service may be provided up to 90 days in advance of anticipated movement to the community. The Care Manager must work with the community providers including the ACT/ICM teams to ensure that the services and supports are proactively in place.

The maximum caseload for a care manager providing services through this waiver is set by Medicaid or its designee, which includes individuals in other waiver programs and other funding sources, unless the requirement is waived by the Department.

Care management agencies must use an information system as approved and required by the department to maintain case records in accordance with department requirements.

Services must be delivered in a manner that supports the beneficiary’s communication needs including, but not limited to, age appropriate communication, translation services for beneficiaries that are of limited-English proficiency or who have other communication needs requiring translation, assistance with the provider’s understanding and use of communication devices used by the beneficiary.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Depending upon whether a lead care manager is assisted by a peer care manager or not, the average number of units necessary per beneficiary per year will vary depending upon the acuity of the beneficiary and the type of services that the beneficiary will receive. The Recovery Plan should reflect the following:

Level	High Touch	Medium Touch	Low Touch
	Tiers 1 and 2 Residential Setting ¹ ; SUD Residential; Outpatient Mental Health, SUD, CRISP; or Co-Occurring	Tiers 3 and 4 Residential Setting ² ; Diamond State Health Plan Plus ³	ACT/ICM Team, PASRR (note: PASRR not PROMISE eligible)
Estimated time per year when performed solely by lead care manager.	67.5 hours	46 hours	17.5 hours
Estimated time for lead care manager when assisted by peer care manager.	40.5 hours	27.5 hours	11.5 hours
Estimated time for the peer care manager.	27 hours	18.5 hours	6 hours

1 Assumes Peer Support Specialist will help with Recovery Plan revision, referral assistance, coordination with providers/benefit

coordination, monitoring visits, and telephone contacts; the total number of contacts remains the same as in the framework when not partnered with a Peer Support Specialist.

2 Assumes beneficiaries in community-based residential settings must be seen at least once a month; these tiers have less staff involvement and supervision, thus more CM involvement.

3 Assumes beneficiaries in community-based residential settings must be seen at least once a month; these tiers have staff on site offering more support, thus less CM involvement

The following activities are excluded from care management as a billable waiver service:

- Outreach or eligibility activities (other than transition services) before beneficiary enrollment in the waiver;
- Travel time incurred by the care manager may not be billed as a discrete unit of service;
- Services that constitute the administration of another program such as child welfare or child protective services, parole and probation functions, legal services, public guardianship, special education, and foster care;
- Representative payee functions; and
- Other activities identified by the department.

Care Management must be conflict free and may only be provided by agencies and individuals employed by agencies who are not:

- Related by blood or marriage to the beneficiary or to any paid service provider of the beneficiary;
- Financially or legally responsible for the beneficiary;
- Empowered to make financial or health-related decisions on behalf of the beneficiary;
- Sharing any financial or controlling interest in any entity that is paid to provide care for or conduct other activities on behalf of the beneficiary; and
- Individuals employed by agencies paid to render direct or indirect services (as defined by the department) to the beneficiary, or an employee of an agency that is paid to render direct or indirect services to the beneficiary.

Claims for costs incurred on behalf of beneficiaries transitioning from an institutional setting may only be paid after the transition to the community.

Except as permitted in accordance with requirements contained in Department guidance, policy and regulations, this service may not be provided on the same day and at the same time as services that contain elements integral to the delivery of this service (i.e., care management may not be billed concurrent with the provision of ACT/ICM unless there is a specific Department policy that allows billing like attendance at a plan of care development meeting where the ACT team is present).

Care Managers must either be employed by a State agency or work for a provider agency with an executed contract with the State of Delaware.

Provider Specifications

Provider Category(s) <i>(check one or both):</i>	<input type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/>	Agency. List the types of agencies:
				State Agency Staff Care Management Agency
Specify whether the service may be provided by <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/>	Relative/Legal Guardian
Provider Qualifications <i>(provide the following information for each type of provider):</i>				
Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>	
State Agency Staff			Care Managers employed by the State must: <ul style="list-style-type: none"> • Be at least 18 years of age. • Have at least a bachelor's degree in education, psychology, 	

			<p>social work, or other related social sciences, or</p> <ul style="list-style-type: none"> • Have at least a bachelor’s degree in another discipline, with at least 12 credits in education, psychology, social work, or other related social sciences and at least one year experience in working with people with serious and persistent mental illness (SPMI) or serious mental illness (SMI) or SUD or • Comply with Department standards, including regulations, policies, and procedures relating to provider qualifications. • Complete Department required pre/in-service training, including training based on the beneficiary’s Recovery Plan, which may include, but is not limited to, communication, mobility, and behavioral needs. • Complete required training developed by the Department for Care Management, including training in needs assessment and person-centered planning. • Professional background check. • Have a valid driver’s license if the operation of a vehicle is necessary to provide the service. <p>State employed Peers on Care Management teams must:</p> <ul style="list-style-type: none"> • Must be at least 21 years old, and have a high school diploma or equivalent. • Must be certified in the State of Delaware to provide the service, which includes criminal, abuse/neglect registry and professional background checks, and completion of a state approved standardized basic training program. • Must self-identify as a present or former primary beneficiary of mental health and/or substance use disorder (SUD) services.
Care Management Agency			<p>Agencies must have an executed contract with the State of Delaware.</p> <ul style="list-style-type: none"> • Comply with State regulations and policies and have a waiver provider agreement. • Comply with Department standards, including regulations, policies, and procedures relating to provider qualifications. • Ensure that employees (direct, contracted, or in a consulting capacity) have been trained to meet the unique needs of the beneficiary; for example, communication, mobility, and behavioral needs. • Comply with and meet all standards as applied through each phase of the standard, annual Department performed monitoring process. • Ensure 24-hour access to Care Management personnel (via direct employees or a contract) for response to emergency situations that are related to the Care Management service or other waiver services. <p>Care Managers must:</p> <ul style="list-style-type: none"> • Be at least 21 years of age.

			<ul style="list-style-type: none"> • Have at least a bachelor’s degree in education, psychology, social work, or other related social sciences, or • Have at least a bachelor’s degree in another discipline, with at least 12 credits in education, psychology, social work, or other related social sciences and at least one year experience in working with people with serious and persistent mental illness (SPMI) or serious mental illness (SMI) or SUD or • Comply with Department standards, including regulations, policies, and procedures relating to provider qualifications. • Complete Department required pre/in-service training, including training based on the beneficiary’s Recovery Plan, which may include, but is not limited to, communication, mobility, and behavioral needs. • Complete required training developed by the Department for Care Management, including training in needs assessment and person-centered planning. • Professional background check. • Have a valid driver’s license if the operation of a vehicle is necessary to provide the service. <p>Peers on agency care management teams must:</p> <ul style="list-style-type: none"> • Must be at least 21 years old, and have a high school diploma or equivalent. • Must be certified in the State of Delaware to provide the service, which includes criminal, abuse/neglect registry and professional background checks, and completion of a state approved standardized basic training program. • Must self-identify as a present or former primary beneficiary of mental health and/or SUD services.
Provider Type:	Entity Responsible for Verification:	Frequency of Verification:	
State Agency Staff	Department or designee	At least annually and more frequently as deemed necessary by the Department.	
Care Management Agency	Department or designee	At least annually and more frequently as deemed necessary by the Department.	
Service Delivery Method			
Service Delivery Method <i>(check each that applies):</i>	<input type="checkbox"/>	Beneficiary-directed	<input checked="" type="checkbox"/> Provider managed
Billing Method.			
Bill code	Care Management Monthly without peer: T2022 TG Case management, per month. TG = Complex/high tech level of care. T2022 TF Case management, per month. TF = Intermediate level of care.	Bill rate and Unit.	Care Management Monthly Case Rates (without peer): <ul style="list-style-type: none"> • High touch - \$625.73. • Medium touch -\$426.33. • Low touch - \$162.13. • Per month. Care Management Monthly Case

<p>T2022 Case management; per month Care Management Monthly with peer: T2022 HT TG Case management, per month. HT = Multi-disciplinary team. TG = Complex/high tech level of care. T2022 HT TF Case management, per month. HT = Multi-disciplinary team. TF = Intermediate level of care. T2022 HT Case management, per month. HT = multi-disciplinary team.</p>	<p>Rates (with peer):</p> <ul style="list-style-type: none"> • High touch - \$508.19. • Medium touch - \$346.03. • Low touch - \$136.01. • Per month.
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Service Specification

Service Title: *Community Psychiatric Support and Treatment (CPST)*

Service Definition (Scope):

Community Psychiatric Support and Treatment (CPST) services are provided as part of a comprehensive specialized psychiatric program available to all Medicaid eligible adults with significant functional impairments meeting the need levels in the PROMISE program resulting from an identified mental health or substance abuse disorder diagnosis. The medical necessity for these treatment and rehabilitative services must be determined by a licensed behavioral health practitioner (LBHP) or physician who is acting within the scope of his/her professional license and applicable state law and furnished by or under the direction of a licensed practitioner, to promote the maximum reduction of symptoms and/or restoration of a beneficiary to his/her best age-appropriate functional level. The LBHP or physician may conduct an assessment consistent with state law, regulation, and policy. A unit of service is defined according to the Healthcare Common Procedure Coding System (HCPCS) approved code set unless otherwise specified.

Definitions:

The services are defined as follows:

CPST are goal-directed supports and solution-focused interventions intended to achieve identified goals or objectives as set forth in the beneficiary's Recovery Plan. CPST is a face-to-face intervention with the beneficiary present; however, family or other collaterals may also be involved. This service may include the following components:

- A. Assist the beneficiary and family members or other collaterals to identify strategies or treatment options associated with the beneficiary's mental illness and/or SUD, with the goal of minimizing the negative effects of symptoms or emotional disturbances or associated environmental stressors which interfere with the individual's daily living, financial management, housing, academic and/or employment progress, personal recovery or resilience, family and/or interpersonal relationships, and community integration.
- B. Provide beneficiary supportive counseling, solution-focused interventions, emotional and behavioral management support, and behavioral analysis with the beneficiary, with the goal of assisting the beneficiary with developing and implementing social, interpersonal, self-care, daily living, and independent living skills to restore stability, to support functional gains and to adapt to community living.
- C. Facilitate participation in and utilization of strengths based planning and treatments which include assisting the beneficiary and family members or other collaterals with identifying strengths and needs, resources, natural supports, and developing goals and objectives to utilize personal strengths, resources, and natural supports to address functional deficits associated with their mental illness and/or SUD.
- D. Assist the beneficiary with effectively responding to or avoiding identified precursors or triggers that would risk their remaining in a natural community location, including assisting the beneficiary 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.
- E. Provide restoration, rehabilitation, and support to develop skills to locate, rent, and keep a home, to enable landlord/tenant negotiations; to select a roommate and to understand and exercise renter's rights and responsibilities.
- F. Assist the beneficiary to develop daily living skills specific to managing their own home including managing their money, medications, and using community resources and other self-care requirements.
- G. Implement interventions using evidence-based techniques, drawn from cognitive-behavioral therapy and other evidence-based psychotherapeutic interventions that ameliorate targeted symptoms and/or recover the person's capacity to cope with or prevent symptom manifestation.

Additional medical necessity criteria for receiving the service, if applicable (specify):

For beneficiaries not receiving ACT/ICM, medical necessity criteria include the following:

- The service is recommended by a licensed behavioral health practitioner (LBHP) or physician acting within the scope of his/her professional license; AND
- The service is included in the beneficiary's Recovery Plan; AND
- The service is needed to allow the beneficiary the best opportunity to remain in the community; AND
- The service is directed at developing skills or achieving specific outcome(s) such as: increase community tenure/ inclusion/participation, enhance personal relationships; establish support networks; increase independence/ productivity; develop daily living skills to improve self-management of the effects of psychiatric or emotional symptoms that interfere with daily living; effectively respond to or avoid identified precursors or triggers that result in functional impairments; increase or maintain personal self-sufficiency; and/or develop coping strategies and effective functioning in the social environment, including home, work and school; AND
- The beneficiary requires involvement of a licensed behavioral health practitioner (LBHP) to help develop and achieve these outcomes ; AND
- The frequency and intensity of the service aligns with the unique needs of the beneficiary. Examples include:
 - A beneficiary being discharged from an inpatient setting after three admissions in six months has a goal of being able to better self-manage the ongoing symptoms of his mental illness and identifies the need for three hours per week of CPST for the next three months to help him identify triggers for impulsive and self-injurious behaviors, develop a person-centered crisis management plan, provide supportive therapy, and to develop and monitor progress with psychosocial rehabilitation (PSR) services.
 - A beneficiary with a goal of improving her relationship with her family identifies the need for CPST once every two weeks to assess progress, and make modifications when indicated, to PSR services that are being provided to help her achieve this goal)

For beneficiaries receiving ACT, medical necessity criteria includes the following:

ACT admission criteria (see Appendix 1 Section 1.1 for a complete listing of admission criteria)

- Must be certified by the psychiatric prescriber
- Severe and Persistent Mental Illness that seriously impairs a person's ability to live in the community
- Priority is for people with Schizophrenia, other psychotic disorders, Bipolar disorder.
- Must have primary MH diagnosis or COD
- Individuals with only SA/IDD, brain injury, personality disorder **are not intended recipients**
- May have repeated hospitalizations with SA issues
- Must have at least one of the following (#'s 1-4):
- At least one of the following:
- Difficulty performing daily tasks for basic adult functioning in the community (e.g. personal business; obtaining medical, legal, and housing services; recognizing and avoiding common dangers to self and possessions; meeting nutritional needs; maintaining personal hygiene).
- Significant difficulty maintaining consistent employment at a self-sustaining level or significant difficulty consistently carrying out the homemaker role (e.g. household meal preparation, washing clothes, budgeting or child care tasks).
- Significant difficulty maintaining a safe living situation (e.g. repeated evictions or loss of housing)
- High use of acute hospitals (two or more admissions per year) or psychiatric emergency services
- Intractable (persistent or very recurrent) severe major symptoms (e.g. affective, psychotic, suicidal)
- Co-occurring substance use and SPMI of greater than 6 months
- High risk or recent history of criminal justice involvement
- Significant difficulty meeting basic survival needs or residing in substandard housing, homelessness, or at imminent risk of becoming homeless
- Residing in an inpatient or supervised community residence, but clinically assessed to be able to live in a more independent living situation if intensive services are provided, or requiring a residential or institutional placement if more intensive services are not available
- Difficulty effectively utilizing traditional office-based outpatient services or other less-intensive community- based programs (e.g. individual fails to progress, drops out of services)
- SUD only individuals must meet the admission criteria in the SUD certification manual (See Appendix 4)

- Admission documentation Must include:
 - Evidence that one of the criteria is met
 - The reasons for admission are stated by BOTH the individual and ACT team
 - Signature of the psychiatric prescriber
 - Engagement/enrollment into ACT must begin within 5 days of referral to ACT
 - A review of medical necessity can be initiated at any time but treatment team notes must regularly reflect all life domains and ongoing medical necessity of services

Discharge criteria

- Minimum of 4 hours of services per month
- If less is provided during the course of 6 months due to recovery progress must evaluate LOC
- Changes in recovery plan goals
- Plans for continuing care **in the next month**

For beneficiaries receiving ICM, medical necessity criteria includes the following:

ICM admission criteria (see Appendix 2 Section 3.1 for a complete listing of admission criteria)

- Must be certified by the psychiatric prescriber
- Severe and Persistent Mental Illness THAT seriously impairs a person's ability to live in the community
- Priority is for people with Schizophrenia, other psychotic disorders, Bipolar disorder.
- Must have primary MH diagnosis or COD
- Individuals with only SA/IDD, brain injury, personality disorder **are not intended recipients**
- May have repeated hospitalizations with SA issues
- Diagnoses that would otherwise be excluded from ICM services may be considered for an-ICM team if an assessment by the team supports ICM services as the best course of service.
- Must have at least one of the following (#'s 1-4):
- Difficulty performing daily tasks for basic adult functioning in the community (e.g. personal business; obtaining medical, legal, and housing services; recognizing and avoiding common dangers to self and possessions; meeting nutritional needs; maintaining personal hygiene).
- Significant difficulty maintaining consistent employment at a self-sustaining level or significant difficulty consistently carrying out the homemaker role (e.g. household meal preparation, washing clothes, budgeting or child care tasks).
- Significant difficulty maintaining a safe living situation (e.g. repeated evictions or loss of housing)
- Continuous high-service needs as demonstrated by at least one of the following:
 - Co-occurring substance use and SPMI or SMI of significant duration, e.g., greater than six months.
 - High risk or recent history of criminal justice involvement, e.g., arrest and incarceration.
 - Difficulty effectively utilizing traditional office-based outpatient services or other less-intensive community-based programs, e.g., individual fails to progress, drops out of service.
- SUD specific teams must meet the certification standards in Appendix 4.

- Requests for Discharge from services shall occur when an individual:

- Has successfully reached individually-established goals (*i.e. Demonstrates an ability to function in all major role areas such as work, social, self-care*) for discharge and when the individual and program staff mutually agrees to the transition to less intensive services;
- Moves outside the geographic area of ICM responsibility. In such cases, the ICM team shall arrange for transfer of mental health service responsibility to an ACT or ICM program or another provider wherever the individual is moving. The ICM team shall maintain contact with the individual until this service transfer is complete;
- Declines or refuses services and requests discharge, despite the team's documented best efforts to utilize appropriate engagement techniques to develop a mutually acceptable person directed recovery plan with the individual;
 - Prior to discharge from ICM services, the EEU shall approve and/or request further

information to review the circumstances, the clinical situation, the risk factors, and attempted strategies to engage the individual prior to the discharge of an individual from ICM services.

- In addition to the discharge criteria listed above based on mutual agreement between the individual, ICM staff, an individual discharge may also be facilitated due to any one of the following circumstances:
 - Death.
 - Inability to locate the individual despite documented active outreach efforts by the team for a period of ninety (90) continuous days.
 - Incarceration of ninety (90) days or more.
 - Hospitalization or nursing facility care where it has been determined, based on mutual agreement by the hospital or nursing facility treatment team and the ICM team with approval of plan by EEU that the individual will not be appropriate for discharge from the hospital or nursing facility for a prolonged period of time

Specify limits (if any) on the amount, duration, or scope of this service for (*chose each that applies*):

Categorically needy (*specify limits*):

CPST Limitations: Services are subject to prior approval, must be medically necessary, and must be recommended by a licensed behavioral health practitioner or physician according to a Recovery Plan. The activities included in the service must be intended to achieve identified treatment plan goals or objectives. The Recovery Plan should be developed in a person-centered manner with the active participation of the beneficiary, family, and providers and be based on the beneficiary's condition and the standards of practice for the provision of these specific rehabilitative services. The Recovery Plan should identify the medical or remedial services intended to reduce the identified condition, as well as improve the anticipated outcomes for the beneficiary. The Recovery Plan must specify the frequency, amount, and duration of services. The Recovery Plan must be signed by the licensed behavioral health practitioner or physician responsible for developing the plan. The Recovery Plan will specify a timeline for reevaluation of the plan that is at least an annual redetermination. The reevaluation should involve the beneficiary, family, and providers and include a reevaluation of the plan to determine whether services have contributed to meeting the stated goals. The beneficiary should sign the Recovery Plan. At the reevaluation, a new Recovery Plan should be developed if there is no measureable reduction of disability or restoration of functional level. The new plan should identify a different rehabilitation strategy with revised goals and services. Providers must maintain case records that include a copy of the Recovery Plan, the name of the beneficiary, dates of services provided, nature, content and units of treatment, and rehabilitation services provided, and progress made toward functional improvement and goals in the Recovery Plan. Services provided at a work site must not be job tasks oriented and may not duplicate any services provided aimed at supporting the beneficiary in the attainment or maintenance of employment. Any services or components of services the basic nature of which are to supplant housekeeping, homemaking, or basic services for the convenience of a beneficiary receiving covered services (including housekeeping, shopping, child care, and laundry services) are non-covered. Services cannot be provided in an institute for mental disease (IMD). Room and board is excluded. Evidence-based Practices require prior approval and fidelity reviews on an ongoing basis as determined necessary by DHSS. Services may be provided at a community-based site-based facility, in the community, or in the beneficiary's place of residence as outlined in the Recovery Plan. Components that are not provided to, or directed exclusively toward the treatment of, the Medicaid eligible beneficiary are not eligible for Medicaid reimbursement. Beneficiaries enrolled in ACT/ICM/CRISP receive CPST solely through their ACT/ICM/CRISP team.

CPST Limitations: Caseload Size must be based on the needs of the beneficiaries/families with an emphasis on successful outcomes and beneficiary satisfaction and must meet the needs identified in the Recovery Plan. The CPST provider must receive regularly scheduled clinical supervision from a person meeting the qualifications of a LBHP with experience regarding this specialized mental health service.

The Care Manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the care manager for monitoring

at all times on an ongoing basis. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.			
Medically needy (<i>specify limits</i>):			
Specify whether the service may be provided by a (<i>check each that applies</i>):			<input type="checkbox"/> Relative
			<input type="checkbox"/> Legal Guardian
			<input type="checkbox"/> Legally Responsible Person
Provider Qualifications (<i>For each type of provider. Copy rows as needed</i>):			
Provider Type (<i>Specify</i>):	License (<i>Specify</i>):	Certification (<i>Specify</i>):	Other Standard (<i>Specify</i>):
SUD treatment program or a co-occurring (SUD with mental health disorder) treatment program	16 Del. Admin. C.§ 6001 et seq (Division of Substance Abuse and Mental Health Substance Abuse Facility Licensing Standards)		SUD and co-occurring treatment programs providing CPST must employ professionals must be determined to be a clinician under State regulations meaning a person with a doctoral or master's degree in psychology, counseling, social work, nursing, rehabilitation or related field from an accredited college or university. Anyone providing SUD services must be certified by DHSS in addition to any required scope of practice license required for the facility or agency to practice in the State of Delaware.
Assertive Community Treatment (ACT teams including specialized SUD ACT teams and ACT reintegration teams)		Certification by DSAMH as an ACT team in fidelity with TMACT	In compliance with TMACT fidelity (scoring at least a 3.0) or have provisional certification, ACT teams may provide any component of the services listed and must employ and utilize the qualified State Plan providers (i.e., physicians, licensed practitioners) and HCBS providers necessary to maintain fidelity including CPST specialists. CPST Specialists on ACT teams: Must be determined to be a clinician under State regulations meaning a person with a doctoral or master's degree in psychology, counseling, social work, nursing, rehabilitation or related field from an accredited college or university. Anyone providing SUD services must be certified by DHSS in addition to any required scope of practice license required for the facility or agency to practice in the State of Delaware.
Intensive Care Management teams (ICM teams)		Certification by DSAMH in fidelity with State ICM standards	In compliance with state mandates under the settlement, ICM teams may provide any component of the services listed and must employ and utilize the qualified State Plan providers (i.e., physicians, licensed practitioners) and HCBS providers necessary to maintain fidelity including CPST specialists. ACT teams not meeting provisional certification or having fidelity below 3.0 are ICM teams.

			<p>CPST Specialists on ICM teams: Must be determined to be a clinician under State regulations meaning a person with a doctoral or master’s degree in psychology, counseling, social work, nursing, rehabilitation or related field from an accredited college or university.</p> <p>Anyone providing SUD services must be certified by DHSS in addition to any required scope of practice license required for the facility or agency to practice in the State of Delaware.</p>
CRISP designated agencies			<p>Designation by DSAMH as a qualified CRISP agency including compliance with minimum state training requirements and other settlement requirements.</p> <p>In compliance with state mandates under the settlement, CRISP teams may provide any component of the services listed and must employ/contract and utilize the qualified HCBS providers necessary to maintain individuals in the community including CPST specialists.</p> <p>CPST Specialists on CRISP teams: Must be determined to be a clinician under State regulations meaning a person with a doctoral or master’s degree in psychology, counseling, social work, nursing, rehabilitation or related field from an accredited college or university.</p> <p>Anyone providing SUD services must be certified by DHSS in addition to any required scope of practice license required for the facility or agency to practice in the State of Delaware.</p>
PROMISE Rehabilitation Agencies			<p>Designation by DSAMH as a qualified PROMISE rehabilitation agency including compliance with minimum state training requirements and other settlement requirements.</p> <p>In compliance with state mandates under the settlement, PROMISE Rehabilitation Agencies may provide any component of the services listed and must employ/contract and utilize the qualified HCBS providers necessary to maintain individuals in the community including CPST specialists.</p> <p>CPST Specialists on in rehabilitation agencies: Must be determined to be a clinician under State regulations meaning a person with a doctoral or master’s degree in psychology, counseling, social work, nursing, rehabilitation or related field from an accredited college or university.</p> <p>Anyone providing SUD services must be certified by DHSS in addition to any required scope of</p>

			practice license required for the facility or agency to practice in the State of Delaware.
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Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):

Provider Type (Specify):	Entity Responsible for Verification (Specify):	Frequency of Verification (Specify):
Substance abuse treatment program or a co-occurring (substance abuse disorder with mental health disorder) treatment program	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.
ACT teams	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.
ICM Teams	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.
CRISP designated agencies	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.
PROMISE Rehabilitation agencies	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.

Service Delivery Method. (Check each that applies):

<input type="checkbox"/> Beneficiary-directed	<input checked="" type="checkbox"/> Provider managed
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Billing Method.

Bill code.		Rate and Unit.	
H0036 Community psychiatric supportive treatment, face-to-face, per 15 minutes.			<ul style="list-style-type: none"> Office:\$20.64 (1:1). Community: \$22.71 (1:1). Per 15 minutes.
H0036 U1 Community psychiatric supportive treatment, face-to-face, per 15 minutes.			
U1 = Medicaid level of care 1, services rendered in a home and community based setting.			

EBP billing

Service	Limitations	Bill codes	Definition
Assertive Community Treatment (ACT)	See EBP certification guidelines for ACT/ICM limits. Practitioners on the ACT teams are subject to the following billing limits per category per month per individual not to exceed a total of 4 per diems (as defined above) per individual in total from any combination of practitioners (Note: the billing must be based on actual	H0040 HM	H0040 HM ACT program, per diem. HM – Less than bachelor degree level. *Evidence-base practice (EBP) requires fidelity.
		H0040 HN	H0040 HN ACT program, per diem.

	<p>services provided to the client and <i>medically necessary care consistent with the fidelity model should be delivered even if beyond the minimum number of units permitted to be billed under this reimbursement strategy.</i>):</p> <ul style="list-style-type: none"> — Category 1: Physicians and APRNs may not bill more than 1 per diem for an individual per month in total. — Category 2: Any combination of psychologist, master’s level, team leader, LCSW, LPC, LMFT, LAC, behavioral health other, RN, and LPN may not bill more than 1 per diems for an individual in a month total. Ideally, this visit will not be in a clinic setting — Category 3: All other practitioners on the ACT teams may bill up to 2 per diems for an individual in a month total. Ideally, these visits will not be in a clinic setting. 	<p>H0040 TD</p> <p>H0040 HO</p> <p>H0040 SA</p> <p>H0040 AM</p>	<p>HN –bachelor degree level. *EBP requires fidelity.</p> <p>H0040 TD ACT program, per diem. TD — Registered nurse with specialized training. *EBP requires fidelity.</p> <p>H0040 HO ACT program, per diem. HO – Master’s degree level. *EBP requires fidelity.</p> <p>H0040 SA ACT program, per diem. SA – Nurse practitioner. *EBP requires fidelity.</p> <p>H0040 AM ACT program, per diem. AM – Physician, team member service. *EBP requires fidelity.</p>
<p>Intensive Case Management (ICM)</p>	<p>See EBP certification guidelines for ACT/ICM limits.</p> <p>If billing using per diems, practitioners on the ICM teams are subject to the following billing limits per category per month per individual not to exceed a total of 6 per diems per individual in total from any combination of practitioners <i>Note: Medically necessary care under this model should be delivered even if beyond the minimum number of units permitted to be billed under this model:</i></p> <ul style="list-style-type: none"> — Category 1: Physicians and advance practice registered nurse (APRN) may not bill more than 1 per diem in total for an individual in a month total. — Category 2: Any combination of psychologist, team leader, licensed clinical social worker (LCSW), licensed professional counselor (LPC), licensed marriage and family therapist (LMFT), licensed associated counselor (LAC), behavioral health other, registered nurse (RN), master’s level, and licensed practical nurse 	<p>H0037 HM</p> <p>H0037 HN</p> <p>H0037 TD</p> <p>H0037 HO</p> <p>H0037 SA</p>	<p>H0037 HM Community psychiatric supportive treatment program, per diem. HM — Less than bachelor degree level. *Requires physician assistant (PA).</p> <p>H0037 HN Community psychiatric supportive treatment program, per diem. HN — Bachelor's degree level. *Requires PA.</p> <p>H0037 TD Community psychiatric supportive treatment program, per diem. TD — Registered nurse with specialized training. *Requires PA.</p> <p>H0037 HO Community psychiatric supportive treatment program, per diem. HO — Master's degree level. *Requires PA.</p> <p>H0037 SA Community psychiatric supportive treatment program, per diem. SA — Nurse practitioner.</p>

	<p>(LPN) may not bill more than 1 per diem for an individual in a month total.</p> <ul style="list-style-type: none"> — Category 3: All other practitioners on the ICM teams may bill up to 5 per diems for an individual in a month total, and no more than 3 in a clinic setting <p>ICM 15-minute units may only be billed when the ICM practitioner has performed a medically necessary face-to-face service with the client or a family member for that time. Small ICM teams serve on average 100 or less clients. Large ICM teams serve on average 101-200 clients.</p> <ul style="list-style-type: none"> • For an ICM team per diem to be generated, a 15-minute or longer face-to-face contact that meets all requirements outlined below must occur. A 15-minute contact is defined as lasting at least 8 minutes. Group contacts alone are not permitted as a face-to-face contact for generating an ICM per diem rate. • ICM practitioners using a 15 minute unit rate, may only bill for a 15-minute unit if at least 8 minutes of service is provided. • Group ICM contacts are not reimbursable. • Practitioners may not bill for services included in the ICM per diem or 15-minute units and also bill for that service outside of the per diem/15-minute rate for consumers enrolled in ICM. • Effective 7/1/2014, all services require prior authorizations. • ICM Rate Level: A team that does not have an ACT provisional, basic, moderately-high or high level fidelity rating (see definitions below) can only bill at the ICM rate. ICM teams will bill using the 15 minute rates. The ICM per diem rate is reserved for ACT teams not meeting fidelity standards. 	<p>H0037 AM</p>	<p>*Requires PA.</p> <p>H0037 AM</p> <p>Community psychiatric supportive treatment program, per diem. AM — Physician, team member service.</p> <p>*Requires PA.</p>
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ACT Rate Summary (New Teams — First Year Rate with Provisional Certification)

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$223.78	\$222.69	H0040 HO
Bachelors Therapist	Per Diem	\$183.48	\$181.57	H0040 HN
Peer/High School	Per Diem	\$188.18	\$186.43	H0040 HM
Doctor/Psychiatrist	Per Diem	\$553.63	\$563.65	H0040 AM
APRN	Per Diem	\$301.55	\$304.68	H0040 HP
Nurse	Per Diem	\$172.63	\$172.23	H0040 TD

ACT Rate Summary (Established Teams)

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$174.33	\$164.88	H0040 HO
Bachelors Therapist	Per Diem	\$145.18	\$136.46	H0040 HN
Peer/High School	Per Diem	\$143.95	\$135.26	H0040 HM
Doctor/Psychiatrist	Per Diem	\$648.54	\$628.90	H0040 AM
APRN	Per Diem	\$354.88	\$341.52	H0040 HP
Nurse	Per Diem	\$204.65	\$194.51	H0040 TD

ACT Rate Summary (Established Teams) — Billing Using 15 Minute Units

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$24.81	\$23.98	H0039 HO
Bachelors Therapist	15 minute	\$20.66	\$19.85	H0039 HN
Peer/High School	15 minute	\$20.49	\$19.67	H0039 HM
Doctor/Psychiatrist	15 minute	\$92.30	\$91.46	H0039 AM
APRN	15 minute	\$50.50	\$49.67	H0039 HP
Nurse	15 minute	\$29.12	\$28.29	H0039 TD

ACT Rate Summary (New Teams — First Year) — Billing Using 15 Minute Units

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$45.91	\$44.47	H0039 HO
Bachelors Therapist	15 minute	\$37.64	\$36.26	H0039 HN
Peer/High School	15 minute	\$38.60	\$37.23	H0039 HM
Doctor/Psychiatrist	15 minute	\$113.57	\$112.55	H0039 AM
APRN	15 minute	\$61.86	\$60.84	H0039 HP
Nurse	15 minute	\$35.41	\$34.39	H0039 TD

ICM Rate Summary (Established Teams) — Per Diem Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$122.56	\$89.89	H0037 HO
Bachelors Therapist	Per Diem	\$100.89	\$73.84	H0037 HN
Peer/High School	Per Diem	\$103.59	\$75.85	H0037 HM
Doctor/Psychiatrist	Per Diem	\$232.74	\$172.10	H0037 AM

Staff	Unit	Small Team	Large Team	Procedure Code
APRN	Per Diem	\$122.91	\$90.61	H0037 HP
Nurse	Per Diem	\$72.51	\$53.18	H0037 TD

ICM Rate Summary (New Teams — First Year Rate) — Per Diem Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$134.77	\$98.97	H0037 HO
Bachelors Therapist	Per Diem	\$110.35	\$80.89	H0037 HN
Peer/High School	Per Diem	\$113.46	\$83.18	H0037 HM
Doctor/Psychiatrist	Per Diem	\$268.32	\$198.39	H0037 AM
APRN	Per Diem	\$141.24	\$104.18	H0037 HP
Nurse	Per Diem	\$82.87	\$60.87	H0037 TD

ICM Rate Summary (Established Teams) — 15 Minute Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$25.66	\$25.37	H0036 HO
Bachelors Therapist	15 minute	\$21.12	\$20.84	H0036 HN
Peer/High School	15 minute	\$21.69	\$21.40	H0036 HM
Doctor/Psychiatrist	15 minute	\$48.73	\$48.57	H0036 AM
APRN	15 minute	\$25.73	\$25.57	H0036 HP
Nurse	15 minute	\$15.18	\$15.01	H0036 TD

ICM Rate Summary (New Teams — First Year) — 15 Minute Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$29.84	\$29.56	H0036 HO
Bachelors Therapist	15 minute	\$24.44	\$24.16	H0036 HN
Peer/High School	15 minute	\$25.12	\$24.85	H0036 HM
Doctor/Psychiatrist	15 minute	\$59.41	\$59.26	H0036 AM
Nurse Practitioner	15 minute	\$31.27	\$31.12	H0036 HP
Nurse	15 minute	\$18.35	\$18.18	H0036 TD

Service Specification			
Service Title:		<i>Benefits Counseling</i>	
Service Definition (Scope):			
<p>Benefits Counseling provides work incentive counseling services to PROMISE participants seeking to work while maintaining access to necessary healthcare and other benefits. Benefits counseling will provide information to individuals regarding available benefits and assist individuals to understand options for making an informed choice about going to work while maintaining essential benefits.</p> <p>This service will assist individuals to understand the work incentives and support programs available and the impact of work activity on those benefits. This service will assist individuals to understand their benefits supports and how to utilize work incentives and other tools to assist them to achieve self-sufficiency through work.</p> <p>This service will also include the development and maintenance of proper documentation of services, including creating Benefits Summaries and Analyses and Work Incentive Plans.</p> <p>Services must be delivered in a manner that supports the participant's communication needs including, but not limited to, age appropriate communication, translation/interpretation services for participants that are of limited-English proficiency or who have other communication needs requiring translation, assistance with the provider's understanding and use of communication devices used by the participant.</p> <p>This service is in addition to information provided by the Aging and Disability Resource Centers (ADRC), SHIP or other entities providing information regarding long-term services and supports.</p> <p>Documentation is maintained that the service is not available under a program funded under section 110 of the Rehabilitation Act of 1973 or the IDEA (20 U.S.C. 1401 et seq.).</p>			
Additional needs-based criteria for receiving the service, if applicable (<i>specify</i>):			
Individuals may not have access to this service from any other source.			
Specify limits (if any) on the amount, duration, or scope of this service for (<i>choose each that applies</i>):			
<input checked="" type="checkbox"/>	Categorically needy (<i>specify limits</i>):		
	20 hours per year maximum with exceptions possible with explicit written Departmental approval.		
<input type="checkbox"/>	Medically needy (<i>specify limits</i>):		
Provider Qualifications (<i>For each type of provider. Copy rows as needed</i>):			
Provider Type (<i>Specify</i>):	License (<i>Specify</i>):	Certification (<i>Specify</i>):	Other Standard (<i>Specify</i>):
Benefits Counseling Agency	State Business License or 501 (c)(3) status	Community Partner Work Incentives Counseling (CPWIC) Certification issued by an appropriate accrediting body as authorized by the Social Security Administration	Comply with Department standards, including regulations, contract requirements, policies, and procedures relating to provider qualifications. Ensure employees and/or contractors complete Department-required training, including training on the participant's service plan and the participant's unique and/or disability-specific needs, which may

		(SSA).	include, but is not limited to, communication, mobility, and behavioral needs. Individuals employed or contracted by providers must: <ul style="list-style-type: none"> • Have a screening against the child abuse and adult abuse registry checks and obtain service letters in accordance with 19 Del Code Section 708 and 11 Del Code Sections 8563 and 8564 and not have an adverse registry findings in the performance of the service. • Be state licensed (as applicable), or registered in their profession as required by state law. • In the case of direct care personnel, possess certification through successful completion of training program as required by the Department.
Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):			
Provider Type (Specify):	Entity Responsible for Verification (Specify):		Frequency of Verification (Specify):
Benefits Counseling Agency	Department or Designee		Initially and annually (or more frequent based on service monitoring concerns)
Service Delivery Method. (Check each that applies):			
<input type="checkbox"/>	Participant-directed		<input checked="" type="checkbox"/> Provider managed
Billing Method.			
Bill Code.	H2014 SE. Skills training and development, per 15 minutes. SE = State and/or Federally funded programs/services.		Rate and Unit. \$17.28 per 15 minutes.

Service Specification

Service Title: *Financial Coaching Plus*

Service Definition (Scope):

Financial Coaching Plus uses a financial coaching model to assist individuals in establishing financial goals, creating a plan to achieve them, and providing information, support, and resources needed to implement stated goals in the financial plan. The financial coach will assist the client seeking to improve his/her financial situation in order to improve economic self-sufficiency. Financial Coaching Plus includes the development of a personal budget and identifies reliable and trusted savings, credit, and debt programs that promote financial stability. The content and direction of the coaching is customized to respond to the individual financial goals set by the participant. Financial coaching is provided to the client one-on-one in a setting convenient for the client over a time-limited series of sessions and follow-up to increase the opportunity for self-directed behavior skills learning.

The Financial Coach will:

- Assist the client in developing financial strategies to reach participant’s goals with care to ensure that personal strategies reflect considerations related to benefits, as identified through benefits counseling;
- Ensure that individuals understand the availability of various tax credits such as the Earned Income Tax Credit, Child Care Tax Credit, and others;
- Refer individuals as needed to benefit counselors;
- Provide information to complement information provided through benefits counseling regarding appropriate asset building;
- Use an integrated dashboard of available community-based asset building opportunities and financial tools/services to ensure participants are leveraging all resources to increase economic self-sufficiency;
- Provide information about how to protect personal identify and avoid predatory lending schemes;
- Provide assistance with filing yearly taxes either through the IRS VITA program or its virtual program that involves self-filing.

The Financial Coaching Plus service will include the collection and maintenance of proper documentation of services provided as required by the Department that will track goals, actions, and outcomes of individual participants.

The Financial Coaching Plus service may complement information provided on the use of public benefits and/or work incentives through Benefits Counseling or other services.

Documentation is maintained that the service is not available under a program funded under section 110 of the Rehabilitation Act of 1973 or the IDEA (20 U.S.C. 1401 et seq.) or other services

Specify limits (if any) on the amount, duration, or scope of this service for *(chose each that applies)*:

<input checked="" type="checkbox"/>	Categorically needy <i>(specify limits)</i> : Financial Coaching Plus service limited to five hours per beneficiary per year.
<input type="checkbox"/>	Medically needy <i>(specify limits)</i> :

Provider Qualifications *(For each type of provider. Copy rows as needed):*

Provider Type <i>(Specify):</i>	License <i>(Specify):</i>	Certification <i>(Specify):</i>	Other Standard <i>(Specify):</i>
Financial Coaching Plus Agency	State Business License or	An agency must demonstrate that Financial Coaches	Comply with Department standards, including regulations, contract requirements, policies, and procedures relating to provider qualifications.

	501 (c)(3) status	who will provide this service are certified in the financial coaching curriculum developed by the Department of Health and Social Services and the University of Delaware Alfred Lerner College of Business and Economics and the Division of Professional Continuing Studies.	<p>The provider, including its parent company and its subsidiaries, and any sub provider, including its parent company and subsidiaries, agree to comply with the provisions of 29 Del Code Chapter 58, Laws Regulating the Conduct of Officers and Employees of the State and in particular with Section 5805 (d) Post Employment Restrictions.</p> <p>Ensure employees and/or contractors complete Department-required training, including training on the beneficiary's service plan and the beneficiary's unique and/or disability-specific needs, which may include, but is not limited to, communication, mobility, and behavioral needs.</p> <p>Individuals employed or contracted by providers must:</p> <ul style="list-style-type: none"> • Have criminal background investigations in accordance with state requirements. • Have a screening against the child abuse and adult abuse registry checks and obtain service letters in accordance with 19 Del Code Section 708 and 11 Del Code Sections 8563 and 8564 and not have an adverse registry findings in the performance of the service. • Be state licensed (as applicable), or registered in their profession as required by state law. • In the case of direct care personnel, possess certification through successful completion of training program as required by the Department. <p>An agency must demonstrate that Financial Coaches who will provide this service:</p> <ul style="list-style-type: none"> • Have at least one year of full time financial coaching experience. • Are trained in Financial Coaching Plus strategies specific to the PROMISE population.
Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):			
Provider Type (Specify):	Entity Responsible for Verification (Specify):		Frequency of Verification (Specify):
Financial Coaching Plus Agency	Department or Designee		Initially and annually (or more frequent based on service monitoring concerns)
Service Delivery Method. (Check each that applies):			
<input type="checkbox"/>	Participant-directed	<input checked="" type="checkbox"/>	Provider managed
Billing Method.			
Bill code.	T2013 SE. Habilitation, educational, waiver; per hour. SE = State and/or Federally funded programs/services.	Rate and Unit.	\$66.88 per hour.

Service Specification

Service Title: *Peer Supports*

Service Definition (Scope):

Peer Support (PS) services are beneficiary-centered services with a rehabilitation and recovery focus designed to promote skills for coping with and managing psychiatric symptoms while facilitating the utilization of natural resources and the enhancement of recovery-oriented attitudes such as hope and self-efficacy, and community living skills. Activities included must be intended to achieve the identified goals or objectives as set forth in the beneficiary's individualized care plan, which delineates specific goals that are flexibly tailored to the beneficiary and attempt to utilize community and natural supports. The structured, scheduled activities provided by this service emphasize the opportunity for beneficiaries to support each other in the restoration and expansion of the skills and strategies necessary to move forward in recovery.

A peer uses lived experience with a mental illness, SUD, or another co-occurring disorder such as physical health, developmental disability, etc. or assist in supporting beneficiaries in their recovery path.

This service may include the following components:

- Helps beneficiaries aspire to and attain roles which emphasize their strengths by:
 - Sharing parts of their own personal recovery story and first hand experiences.
 - Providing mutual support, hope, reassurance and advocacy.
- Provides PS to beneficiaries regarding understanding their symptoms of mental illness and effects of trauma and trauma history, developing positive coping skills.
- Engaging beneficiaries through outreach and support.
- Assists beneficiaries to advocate for self and others.
- Promotes recovery through modeling by:
 - Sharing one's own personal recovery story.
 - Display of self-confidence and self-determination.
 - Use of natural supports including connections to friends and family, peer mutual help groups, and other supports in the community.
 - Display of personal achievements of personal recovery goals.
- Helps the beneficiary to develop a network for information and support from others who have been through similar experiences.
- Assists the beneficiary with gaining and regaining the ability to make independent choices and to take a proactive role in treatment including discussing questions or concerns about medications, diagnoses or treatment approaches with their treating clinician.
- Assists the beneficiary with identifying and effectively responding to or avoiding identified precursors or triggers that result in functional impairments.
- Assists the beneficiary to complete peer-related elements of a comprehensive assessment.
- Prepares the beneficiary to attend their recovery plan meetings and is present to assist them express their goals and needs.
- Assists beneficiary to accomplish their life goals of living in a chosen community, including working in a job and engaging in activities, including leisure activities, to support community integration, having a natural support system in place and having a number of hobbies or activities that are creative and integrated community leisure activities.
- Works with the beneficiary and staff in developing and implementing person-directed individual recovery plans, using both their own expertise, based on their lived experience, as well as evidence-based tools, such as Wellness Recovery Action Planning (WRAP).
- Assists in helping the individual to work on their beneficiary wellness plan for physical and emotional wellness. These services might include physical exercise, dietary assistance, recognition of medical/healthcare needs,

introduction to alternative healing techniques such as meditation or massage, etc. PS specialists are primarily expected to engage beneficiaries and provide personalized individualized support toward recovery. However PS specialists may assist with instrumental activities of daily living (IADLs), when they are assessed to be important aspects of the recovery process for a person to whom the PS Specialist is providing services, consistent with the broader PS role.

- Facilitates peer recovery support groups.
- Accompanies beneficiaries to appointments which connect them to community resources and services. Under this service, the peer staff should not provide transportation. If the peer provides non-medical transportation, the peer should be enrolled as a transportation provider and separately charge for the non-medical transportation service instead of peer support. Peers should not be routinely used to provide client transportation.
- Acts as an advocate for beneficiaries to secure needed services, financial entitlements, and effectively raise complaints and suggestions about unmet needs, and helps beneficiaries develop self-advocacy skills.
- Locates peer-run programs, and support groups for interested beneficiaries.
- Participates in the ongoing engagement of beneficiaries.

A peer specialist should ensure that the following occur:

- Maintains compliance with all applicable practice standards and guidelines.
- Maintains beneficiary confidentiality and adherence to Health Insurance Portability & Accountability Act requirement at all times.
- Completes all required documentation in a timely manner consistent with agency guidelines.
- Maintains agency required productivity standards built into the State's rates.

Peer specialists may function within a team or work with the beneficiary on an individual basis. Peer specialists may serve on assertive community treatment (ACT) and intensive care management (ICM) teams. If the PS functions within a team, then the peer:

- Provides training and education to the beneficiary and other members of the beneficiary's team on:
 - Recovery-oriented care and processes.
 - Local and national PS resources and advocacy organizations.
 - Psychiatric advance directives: advocacy, information, and referral.
 - Recovery planning, illness self-management and wellness tools.
 - Trauma informed care.
 - Use of expressive therapies.
- Is not used primarily to complete tasks that clinicians or other specialists on the team do not want to complete, such as transport beneficiaries, complete paper work, and so on.

PS is a face-to-face intervention with the beneficiary present. Services may be provided individually or in a group setting. The majority of PS contacts must occur in community locations where the person lives, works, attends school, and/or socializes.

Medical Necessity Criteria

For beneficiaries not receiving ACT/ICM, medical necessity criteria include the following::

- The service is recommended by the care manager and the beneficiary in collaboration, and the service is included in the beneficiary's Recovery Plan; AND
- The service is needed to allow the beneficiary the best opportunity to remain in the community; AND
- The frequency and intensity of the service aligns with the unique needs of the beneficiary Examples include:
 - A beneficiary being discharged from an inpatient setting after three admissions in six months has identified a goal of being able to better self-manage the ongoing symptoms of his mental illness. He identifies the need for four hours per day of peer support for the next three months to help him cope with and self- manage ongoing depressive symptoms and to become better engaged in outpatient services.
 - A beneficiary has the goal of preparing meals for herself and her family on a weekly basis but is not

comfortable going to the grocery store alone due to challenges with agoraphobia and panic attacks. Peer support is being requested once a week to provide support, hope, and outreach and to accompany her on short trips to the grocery store.

- A beneficiary has identified a goal of engaging in more healthy leisure activities and believes it would be beneficial to have more access to peers to support this effort. Peer support is needed three times per week to offer access to group activities with peers.

For beneficiaries receiving ACT, medical necessity criteria includes the following:

ACT admission criteria (see Appendix 1 Section 1.1 for a complete listing of admission criteria)

- Must be certified by the psychiatric prescriber
- Severe and Persistent Mental Illness THAT seriously impairs a person's ability to live in the community
- Priority is for people with Schizophrenia, other psychotic disorders, Bipolar disorder.
- Must have primary MH diagnosis or COD
- Individuals with only SA/IDD, brain injury, personality disorder **are not intended recipients**
- May have repeated hospitalizations with SA issues
- Must have at least one of the following (#'s 1-4):
- At least one of the following:
 - Difficulty performing daily tasks for basic adult functioning in the community (e.g. personal business; obtaining medical, legal, and housing services; recognizing and avoiding common dangers to self and possessions; meeting nutritional needs; maintaining personal hygiene).
 - Significant difficulty maintaining consistent employment at a self-sustaining level or significant difficulty consistently carrying out the homemaker role (e.g. household meal preparation, washing clothes, budgeting or child care tasks).
 - Significant difficulty maintaining a safe living situation (e.g. repeated evictions or loss of housing)
 - High use of acute hospitals (two or more admissions per year) or psychiatric emergency services
 - Intractable (persistent or very recurrent) severe major symptoms (e.g. affective, psychotic, suicidal)
 - Co-occurring substance use and SPMI of greater than 6 months
 - High risk or recent history of criminal justice involvement
 - Significant difficulty meeting basic survival needs or residing in substandard housing, homelessness, or at imminent risk of becoming homeless
 - Residing in an inpatient or supervised community residence, but clinically assessed to be able to live in a more independent living situation if intensive services are provided, or requiring a residential or institutional placement if more intensive services are not available
 - Difficulty effectively utilizing traditional office-based outpatient services or other less-intensive community-based programs (e.g. individual fails to progress, drops out of services)
- SUD only ACT beneficiaries must meet the admission standards and teams must meet the certification standards in Appendix 4.
- Admission documentation Must include:
 - Evidence that one of the criteria is met
 - The reasons for admission are stated by BOTH the individual and ACT team
 - Signature of the psychiatric prescriber
 - Engagement/enrollment into ACT must begin within 5 days of referral to ACT
 - A review of medical necessity can be initiated at any time but treatment team notes must regularly reflect all life domains and ongoing medical necessity of services

Discharge criteria

- Minimum of 4 hours of services per month
- If less is provided during the course of 6 months due to recovery progress must evaluate LOC
- Changes in recovery plan goals
- Plans for continuing care **in the next month**

For beneficiaries receiving ICM, medical necessity criteria includes the following:

ICM admission criteria (see Appendix 2 Section 3.1 for a complete listing of admission criteria)

- Must be certified by the psychiatric prescriber
- Severe and Persistent Mental Illness THAT seriously impairs a person's ability to live in the community

- Priority is for people with Schizophrenia, other psychotic disorders, Bipolar disorder.
 - Must have primary MH diagnosis or COD
 - Individuals with only SA/IDD, brain injury, personality disorder **are not intended recipients**
 - May have repeated hospitalizations with SA issues
 - Diagnoses that would otherwise be excluded from ICM services may be considered for an-ICM team if an assessment by the team supports ICM services as the best course of service.
 - Must have at least one of the following (#'s 1-4):
 - Difficulty performing daily tasks for basic adult functioning in the community (e.g. personal business; obtaining medical, legal, and housing services; recognizing and avoiding common dangers to self and possessions; meeting nutritional needs; maintaining personal hygiene).
 - Significant difficulty maintaining consistent employment at a self-sustaining level or significant difficulty consistently carrying out the homemaker role (e.g. household meal preparation, washing clothes, budgeting or child care tasks).
 - Significant difficulty maintaining a safe living situation (e.g. repeated evictions or loss of housing)
 - Continuous high-service needs as demonstrated by at least one of the following:
 - Co-occurring substance use and SPMI or SMI of significant duration, e.g., greater than six months.
 - High risk or recent history of criminal justice involvement, e.g., arrest and incarceration.
 - Difficulty effectively utilizing traditional office-based outpatient services or other less-intensive community-based programs, e.g., individual fails to progress, drops out of service.
- SUD only ACT beneficiaries must meet the admission standards and teams must meet the certification standards in Appendix 4.
- Requests for Discharge from services shall occur when an individual:
 - Has successfully reached individually-established goals (*i.e. Demonstrates an ability to function in all major role areas such as work, social, self-care*) for discharge and when the individual and program staff mutually agrees to the transition to less intensive services;
 - Moves outside the geographic area of ICM responsibility. In such cases, the ICM team shall arrange for transfer of mental health service responsibility to an ACT or ICM program or another provider wherever the individual is moving. The ICM team shall maintain contact with the individual until this service transfer is complete;
 - Declines or refuses services and requests discharge, despite the team's documented best efforts to utilize appropriate engagement techniques to develop a mutually acceptable person directed recovery plan with the individual;
 - Prior to discharge from ICM services, the EEU shall approve and/or request further information to review the circumstances, the clinical situation, the risk factors, and attempted strategies to engage the individual prior to the discharge of an individual from ICM services.
 - In addition to the discharge criteria listed above based on mutual agreement between the individual, ICM staff, an individual discharge may also be facilitated due to any one of the following circumstances:
 - Death.
 - Inability to locate the individual despite documented active outreach efforts by the team for a period of ninety (90) continuous days.
 - Incarceration of ninety (90) days or more.
 - Hospitalization or nursing facility care where it has been determined, based on mutual agreement by the hospital or nursing facility treatment team and the ICM team with approval of plan by EEU that the individual will not be appropriate for discharge from the hospital or nursing facility for a prolonged period of time

Specify Applicable (if any) Limits on the Amount, Frequency, or Duration of this Service:

Peer Support is available daily, no more than four hours per day for an individual beneficiary. The maximum group size for group settings for this service is no more than 1:8. Progress notes document beneficiary progress relative to goals identified in the individualized care plan. On a monthly basis, the progress notes indicate where treatment goals

have not yet been achieved. Limit of 750 hours of group PS (or a combination of group psychosocial rehabilitation and group PS) per calendar year. This limit can be exceeded when medically necessary through prior authorization. Medicaid reimburses for PS services delivered directly to Medicaid beneficiaries. Attendance at team meetings is an indirect cost built into the team PS specialist rates and may not be billed for directly. Individuals receiving SUD or co-occurring SUD Recovery Coach services should receive those services under the State Plan prior to accessing PROMISE services unless it is determined that peer services delivered by a mental health peer specialist is a more appropriate services. Beneficiaries enrolled in ACT/ICM/CRISP receive Peer Support solely through their ACT/ICM/CRISP team.

Peers should not be involved in managing medications and should not generally be expected to perform tasks that other team members are trained to do.

Peer Support specialists do not generally assist with activities of daily living (ADLs).

Peers should be supervised by other senior peers or non-peer staff that has been certified to supervise peers and receive regularly scheduled clinical supervision from a person meeting the qualifications of a mental health professional with experience regarding this specialized mental health service. On an ACT or ICM team, this supervision would ideally be provided primarily by the team leader.

The Care Manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.

Provider Specifications

Provider Category(s) <i>(check one or both):</i>	<input type="checkbox"/>	Individual. List Types:	X	Agency. List the Types of Agencies:
				Peer Specialist Agency SUD treatment program or a co-occurring treatment program ACT Team ICM Team CRISP designated agency PROMISE rehabilitation agency
Specify Whether the Service May Be Provided By <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person:	<input type="checkbox"/>	Relative/Legal Guardian:

Provider Qualifications *(provide the following information for each type of provider):*

Provider Type:	License <i>(specify):</i>	Certificate <i>(specify):</i>	Other Standard <i>(specify):</i>
Peer Specialist Agency			Designation by DSAMH as a qualified Peer Specialist agency including compliance with minimum state training requirements and other settlement requirements. In compliance with state mandates under the settlement, Peer Specialist Agencies may provide any component of the services listed and must employ/contract and utilize the qualified HCBS providers necessary to maintain individuals in the community including Peer specialists.

			<p>Peer Specialists</p> <ul style="list-style-type: none"> • Must be at least 21 years old, and have a high school diploma or equivalent (preferably with some college background). • Must be certified and registered in the State of Delaware to provide the service, which includes criminal, abuse/neglect registry and professional background checks, and completion of a state approved standardized basic training program. • Must self-identify as having lived experience of mental illness and/or substance abuse as a present or former primary beneficiary or survivor of mental health and/or SUD services. • Must have taken the state-approved standardized peer specialist training that includes academic information as well as practical knowledge and creative activities focused on the principles and concepts of peer support and how it differs from clinical support. The training provides practical tools for promoting wellness and recovery, knowledge about beneficiary rights and advocacy, as well as approaches to care that incorporate creativity.
SUD treatment program or a co-occurring (SUD with mental health disorder) treatment program	16 Del. Admin. C.§ 6001 et seq (Division of Substance Abuse and Mental Health Substance Abuse Facility Licensing Standards)		<p>Peer Specialists on in SUD and co-occurring treatment programs agencies:</p> <ul style="list-style-type: none"> • Must be at least 21 years old, and have a high school diploma or equivalent (preferably with some college background). • Must be certified and registered in the State of Delaware to provide the service, which includes criminal, abuse/neglect registry and professional background checks, and completion of a state approved standardized basic training program. • Must self-identify as having lived experience of mental illness and/or substance abuse as a present or former primary beneficiary or survivor of mental health and/or SUD services. • Must have taken the state-approved standardized peer specialist training that includes academic information as well as practical knowledge and creative activities focused on the principles and concepts of peer support and how it differs from clinical support. The training provides practical tools for promoting wellness and recovery, knowledge about beneficiary rights and advocacy, as well as approaches to care that incorporate creativity.
Assertive Community Treatment (ACT teams including specialized SUD ACT teams and ACT reintegration teams)		Certification by DSAMH as an ACT team in fidelity with TMACT	<p>In compliance with TMACT fidelity (scoring at least a 3.0) or have provisional certification, ACT teams may provide any component of the services listed and must employ and utilize the qualified State Plan providers (i.e., physicians, licensed practitioners) and HCBS providers necessary to maintain fidelity including Peer specialists.</p> <p>Peer Specialists on an ACT team:</p> <ul style="list-style-type: none"> • Must be at least 21 years old, and have a high school diploma or equivalent (preferably with some college background). • Must be certified and registered in the State of Delaware to provide the service, which includes criminal, abuse/neglect registry and professional background checks, and completion

			<p>of a state approved standardized basic training program.</p> <ul style="list-style-type: none"> • Must self-identify as having lived experience of mental illness and/or substance abuse as a present or former primary beneficiary or survivor of mental health and/or SUD services. • Must have taken the state-approved standardized peer specialist training that includes academic information as well as practical knowledge and creative activities focused on the principles and concepts of peer support and how it differs from clinical support. The training provides practical tools for promoting wellness and recovery, knowledge about beneficiary rights and advocacy, as well as approaches to care that incorporate creativity. <p><u>Additional ACT training required:</u> The ACT Peer Specialist is an individual who has a unique perspective because of his/her own experience with serious and persistent mental illness or a co-occurring disorder of serious mental illness and substance abuse (SA).</p> <ul style="list-style-type: none"> • Qualifications include: <ul style="list-style-type: none"> ○ An ability or aptitude to communicate peer/recovery skills, attitudes, and concepts to other members of the team. ○ Ability to work independently and collaboratively. ○ Peer Specialist training. ○ Willingness to self-disclose to consumers and others as appropriate. ○ Willingness to attend training on subjects of recovery. ○ Adequate transportation necessary to attend meetings, required training, and meet with clients. • The ACT Peer Specialist shall have documented competency in the following areas, or receive core training to be completed within six months of hire: <ul style="list-style-type: none"> ○ Recovery from a mental condition or co-occurring mental health and SA condition that is self-expressed freely. ○ An ongoing self-recovery plan that the individual can clearly articulate. ○ Experience in providing PS services as identified above. ○ Participation in local or national consumer advocacy organizations. ○ An understanding of psychiatric advance directives. ○ An ability or aptitude to communicate peer/recovery skills, attitudes, and concepts to other members of the team. ○ Education and advocacy. ○ Information and referral.
Intensive Care Management teams (ICM teams)		Certification by DSAMH in fidelity with State ICM	In compliance with state mandates under the settlement, ICM teams may provide any component of the services listed and must employ and utilize the qualified State Plan providers (i.e., physicians, licensed practitioners) and HCBS providers necessary to maintain fidelity including Peer specialists. ACT teams not meeting provisional certification or having fidelity below 3.0 are

		standards	<p>ICM teams.</p> <p>Peer Specialists on ICM teams:</p> <ul style="list-style-type: none"> • Must be at least 21 years old, and have a high school diploma or equivalent (preferably with some college background). • Must be certified and registered in the State of Delaware to provide the service, which includes criminal, abuse/neglect registry and professional background checks, and completion of a state approved standardized basic training program. • Must self-identify as having lived experience of mental illness and/or substance abuse as a present or former primary beneficiary or survivor of mental health and/or SUD services. • Must have taken the state-approved standardized peer specialist training that includes academic information as well as practical knowledge and creative activities focused on the principles and concepts of peer support and how it differs from clinical support. The training provides practical tools for promoting wellness and recovery, knowledge about beneficiary rights and advocacy, as well as approaches to care that incorporate creativity. <p>Additional ICM training required:</p> <ul style="list-style-type: none"> • The ICM Peer Specialist is an individual who has a unique perspective because of his/her own experience with serious and persistent mental illness or a co-occurring disorder of serious mental illness and substance abuse (SA). • Qualifications include: <ul style="list-style-type: none"> ○ An ability or aptitude to communicate peer/recovery skills, attitudes, and concepts to other members of the team. ○ Ability to work independently and collaboratively. ○ Peer Specialist training. ○ Willingness to self-disclose to beneficiaries and others as appropriate. ○ Willingness to attend training on subjects of recovery. ○ Adequate transportation necessary to attend meetings, required training, and meet with clients. • The ICM Peer Specialist shall have documented competency in the following areas, or receive core training to be completed within six months of hire: <ul style="list-style-type: none"> ○ Recovery from a mental condition or co-occurring mental health and SA condition that is self-expressed freely. ○ An ongoing self-recovery plan that the individual can clearly articulate. ○ Experience in providing PS services as identified above. ○ Participation in local or national consumer advocacy organizations. ○ An understanding of psychiatric advance directives. ○ An ability or aptitude to communicate peer/recovery skills, attitudes, and concepts to other members of the team.
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			<ul style="list-style-type: none"> ○ Education and advocacy. ○ Information and referral.
CRISP designated agencies			<p>Designation by DSAMH as a qualified CRISP agency including compliance with minimum state training requirements and other settlement requirements.</p> <p>In compliance with state mandates under the settlement, CRISP teams may provide any component of the services listed and must employ/contract and utilize the qualified HCBS providers necessary to maintain individuals in the community including Peer specialists.</p> <p>Peer Specialists in CRISP agencies:</p> <ul style="list-style-type: none"> • Must be at least 21 years old, and have a high school diploma or equivalent (preferably with some college background). • Must be certified and registered in the State of Delaware to provide the service, which includes criminal, abuse/neglect registry and professional background checks, and completion of a state approved standardized basic training program. • Must self-identify as having lived experience of mental illness and/or substance abuse as a present or former primary beneficiary or survivor of mental health and/or SUD services. • Must have taken the state-approved standardized peer specialist training that includes academic information as well as practical knowledge and creative activities focused on the principles and concepts of peer support and how it differs from clinical support. The training provides practical tools for promoting wellness and recovery, knowledge about beneficiary rights and advocacy, as well as approaches to care that incorporate creativity.
PROMISE Rehabilitation Agencies			<p>Designation by DSAMH as a qualified PROMISE Rehabilitation agency including compliance with minimum state training requirements and other settlement requirements.</p> <p>In compliance with state mandates under the settlement, PROMISE Rehabilitation Agencies may provide any component of the services listed and must employ/contract and utilize the qualified HCBS providers necessary to maintain individuals in the community including Peer specialists.</p> <p>Peer Specialists in PROMISE Rehabilitation Agencies:</p> <ul style="list-style-type: none"> • Must be at least 21 years old, and have a high school diploma or equivalent (preferably with some college background). • Must be certified and registered in the State of Delaware to provide the service, which includes criminal, abuse/neglect registry and professional background checks, and completion of a state approved standardized basic training program. • Must self-identify as having lived experience of mental illness and/or substance abuse as a present or former primary beneficiary or survivor of mental health and/or SUD services. • Must have taken the state-approved standardized peer

			specialist training that includes academic information as well as practical knowledge and creative activities focused on the principles and concepts of peer support and how it differs from clinical support. The training provides practical tools for promoting wellness and recovery, knowledge about beneficiary rights and advocacy, as well as approaches to care that incorporate creativity.	
Verification of Provider Qualifications:				
Provider Type:	Entity Responsible for Verification:	Frequency of Verification:		
Peer Specialist Agency	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.		
Substance abuse treatment program or a co-occurring (substance abuse disorder with mental health disorder) treatment program	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.		
ACT teams	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.		
ICM Teams	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.		
CRISP designated agencies	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.		
PROMISE Rehabilitation agencies	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.		
Service Delivery Method				
Service Delivery Method <i>(check each that applies):</i>		Beneficiary-directed:	X	Provider Managed.
Billing Method.				
Bill code.	H0038 Self-help/peer services per 15 minutes. H0038 HQ Self-help/peer services per 15 minutes. HQ = group setting.	Rate and Unit.	\$14.75 per 15 minutes. \$3.69 per 15 minutes.	

Service Specification

Service Title: *Psychosocial Rehabilitation (PSR)*

Service Definition (Scope):

Psychosocial Rehabilitation (PSR) services are provided as part of a comprehensive specialized psychiatric program available to all Medicaid eligible adults with significant functional impairments meeting the need levels in the PROMISE program resulting from an identified mental health or substance abuse disorder diagnosis. The medical necessity for these rehabilitative services must be determined by a licensed behavioral health practitioner or physician who is acting within the scope of his/her professional license and applicable state law and furnished by or under the direction of a licensed practitioner, to promote the maximum reduction of symptoms and/or restoration of a beneficiary to his/her best age-appropriate functional level conducting an assessment consistent with state law, regulation, and policy. A unit of service is defined according to the HCPCS approved code set unless otherwise specified.

Definitions:

PSR services are designed to assist the beneficiary with compensating for or eliminating functional deficits and interpersonal and/or environmental barriers associated with their mental illness and/or SUD. Activities included must be intended to achieve the identified goals or objectives as set forth in the beneficiary's Recovery Plan. The intent of PSR is to restore the fullest possible integration of the beneficiary 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 beneficiary present. Services may be provided individually or in a group setting and should utilize (with documentation) evidence-based rehabilitation interventions. Group PSR sessions may not include more than eight (8) beneficiaries in attendance. This service may include the following components:

- A. Restoration, rehabilitation, and support with the development of 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 beneficiary's social environment including home, work, and school.
- B. Restoration, rehabilitation, and support with the development of daily living skills to improve self-management of the negative effects of psychiatric or emotional symptoms that interfere with a beneficiary's daily living. Supporting the beneficiary with development and implementation of daily living skills and daily routines critical to remaining in home, school, work, and community.
- C. Assisting the beneficiary with implementing learned skills so the beneficiary can remain in a natural community location.
- D. Assisting the beneficiary with effectively responding to or avoiding identified precursors or triggers that result in functional impairments.
- E. Ongoing in-vivo assessment of the beneficiary's functional skill and impairment levels that is used to select PSR interventions and periodically assess their effectiveness. Workers who provide PSR services should periodically report to a supervising licensed practitioner on beneficiaries' progress toward the recovery and re-acquisition of skills.

Additional medical necessity criteria for receiving the service, if applicable (specify):

For beneficiaries not receiving ACT/ICM, medical necessity criteria include the following:

- The service is recommended by a licensed behavioral health practitioner (LBHP) or physician acting within the scope of his/her professional license; AND
- The service is included in the beneficiary's Recovery Plan; AND
- The service is needed to allow the beneficiary the best opportunity to remain in the community; AND
- The service is directed at developing skills or achieving specific outcome(s) such as: increase community tenure/ inclusion/participation, enhance personal relationships; establish support networks; increase independence/ productivity; develop daily living skills to improve self-management of the effects of psychiatric or emotional symptoms that interfere with daily living; effectively respond to or avoid identified precursors or triggers that result in functional impairments; increase or maintain personal self-sufficiency; and/or develop coping strategies and effective functioning in the social environment, including home, work and school; AND
- The beneficiary requires involvement of a licensed behavioral health practitioner (LBHP) to help develop and achieve these outcomes ; AND
- The frequency and intensity of the service aligns with the unique needs of the beneficiary. Examples include:
 - A beneficiary being discharged from an inpatient setting after three admissions in six months has a goal of being able to better self-manage the ongoing symptoms of his mental illness and identifies the need

for 10 hours per week of PSR for the next three months to help him practice new coping strategies when he is feeling stressed or anxious and to assist him with developing more effective daily living skills to prevent unnecessary anxiety, such as time management, budgeting, and timely payment of monthly bills.

- A beneficiary identifies group PSR sessions as a way to help her achieve her goals of establishing a support network and learning how to better self-manage her ongoing symptoms of bipolar disorder. PSR is requested once a week for six months.

For beneficiaries receiving ACT, medical necessity criteria includes the following:

ACT admission criteria (see Appendix 1 Section 1.1 for a complete listing of admission criteria)

- Must be certified by the psychiatric prescriber
- Severe and Persistent Mental Illness THAT seriously impairs a person's ability to live in the community
- Priority is for people with Schizophrenia, other psychotic disorders, Bipolar disorder.
- Must have primary MH diagnosis or COD
- Individuals with only SA/IDD, brain injury, personality disorder **are not intended recipients**
- May have repeated hospitalizations with SA issues
- Must have at least one of the following (#'s 1-4):
- At least one of the following:
 - Difficulty performing daily tasks for basic adult functioning in the community (e.g. personal business; obtaining medical, legal, and housing services; recognizing and avoiding common dangers to self and possessions; meeting nutritional needs; maintaining personal hygiene).
 - Significant difficulty maintaining consistent employment at a self-sustaining level or significant difficulty consistently carrying out the homemaker role (e.g. household meal preparation, washing clothes, budgeting or child care tasks).
 - Significant difficulty maintaining a safe living situation (e.g. repeated evictions or loss of housing)
 - High use of acute hospitals (two or more admissions per year) or psychiatric emergency services
 - Intractable (persistent or very recurrent) severe major symptoms (e.g. affective, psychotic, suicidal)
 - Co-occurring substance use and SPMI of greater than 6 months
 - High risk or recent history of criminal justice involvement
 - Significant difficulty meeting basic survival needs or residing in substandard housing, homelessness, or at imminent risk of becoming homeless
 - Residing in an inpatient or supervised community residence, but clinically assessed to be able to live in a more independent living situation if intensive services are provided, or requiring a residential or institutional placement if more intensive services are not available
 - Difficulty effectively utilizing traditional office-based outpatient services or other less-intensive community-based programs (e.g. individual fails to progress, drops out of services)
- SUD only ACT beneficiaries must meet the admission standards and teams must meet the certification standards in Appendix 4.
- Admission documentation Must include:
 - Evidence that one of the criteria is met
 - The reasons for admission are stated by BOTH the individual and ACT team
 - Signature of the psychiatric prescriber
 - Engagement/enrollment into ACT must begin within 5 days of referral to ACT
 - A review of medical necessity can be initiated at any time but treatment team notes must regularly reflect all life domains and ongoing medical necessity of services

Discharge criteria

- Minimum of 4 hours of services per month
- If less is provided during the course of 6 months due to recovery progress must evaluate LOC
- Changes in recovery plan goals
- Plans for continuing care **in the next month**

For beneficiaries receiving ICM, medical necessity criteria includes the following:

ICM admission criteria (see Appendix 2 Section 3.1 for a complete listing of admission criteria)

- Must be certified by the psychiatric prescriber

- Severe and Persistent Mental Illness THAT seriously impairs a person’s ability to live in the community
 - Priority is for people with Schizophrenia, other psychotic disorders, Bipolar disorder.
 - Must have primary MH diagnosis or COD
 - Individuals with only SA/IDD, brain injury, personality disorder **are not intended recipients**
 - May have repeated hospitalizations with SA issues
 - Diagnoses that would otherwise be excluded from ICM services may be considered for an-ICM team if an assessment by the team supports ICM services as the best course of service.
 - Must have at least one of the following (#’s 1-4):
 - Difficulty performing daily tasks for basic adult functioning in the community (e.g. personal business; obtaining medical, legal, and housing services; recognizing and avoiding common dangers to self and possessions; meeting nutritional needs; maintaining personal hygiene).
 - Significant difficulty maintaining consistent employment at a self-sustaining level or significant difficulty consistently carrying out the homemaker role (e.g. household meal preparation, washing clothes, budgeting or child care tasks).
 - Significant difficulty maintaining a safe living situation (e.g. repeated evictions or loss of housing)
 - Continuous high-service needs as demonstrated by at least one of the following:
 - Co-occurring substance use and SPMI or SMI of significant duration, e.g., greater than six months.
 - High risk or recent history of criminal justice involvement, e.g., arrest and incarceration.
 - Difficulty effectively utilizing traditional office-based outpatient services or other less-intensive community-based programs, e.g., individual fails to progress, drops out of service.
- SUD only ACT beneficiaries must meet the admission standards and teams must meet the certification standards in Appendix 4.
 - Requests for Discharge from services shall occur when an individual:
 - Has successfully reached individually-established goals (*i.e. Demonstrates an ability to function in all major role areas such as work, social, self-care*) for discharge and when the individual and program staff mutually agrees to the transition to less intensive services;
 - Moves outside the geographic area of ICM responsibility. In such cases, the ICM team shall arrange for transfer of mental health service responsibility to an ACT or ICM program or another provider wherever the individual is moving. The ICM team shall maintain contact with the individual until this service transfer is complete;
 - Declines or refuses services and requests discharge, despite the team's documented best efforts to utilize appropriate engagement techniques to develop a mutually acceptable person directed recovery plan with the individual;
 - Prior to discharge from ICM services, the EEU shall approve and/or request further information to review the circumstances, the clinical situation, the risk factors, and attempted strategies to engage the individual prior to the discharge of an individual from ICM services.
 - In addition to the discharge criteria listed above based on mutual agreement between the individual, ICM staff, an individual discharge may also be facilitated due to any one of the following circumstances:
 - Death.
 - Inability to locate the individual despite documented active outreach efforts by the team for a period of ninety (90) continuous days.
 - Incarceration of ninety (90) days or more.
 - Hospitalization or nursing facility care where it has been determined, based on mutual agreement by the hospital or nursing facility treatment team and the ICM team with approval of plan by EEU that the individual will not be appropriate for discharge from the hospital or nursing facility for a prolonged period of time

Specify limits (if any) on the amount, duration, or scope of this service for (*chose each that applies*):

<input checked="" type="checkbox"/>	Categorically needy (<i>specify limits</i>): PSR Limitations: Services are subject to prior approval, must be medically necessary and must be recommended by a licensed behavioral health practitioner or physician according to a Recovery Plan. The activities included in the
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service must be intended to achieve identified treatment plan goals or objectives. The Recovery Plan should be developed in a person-centered manner with the active participation of the beneficiary, family, and providers and be based on the beneficiary's condition and the standards of practice for the provision of these specific rehabilitative services. The Recovery Plan should identify the medical or remedial services intended to reduce the identified condition, as well as the anticipated outcomes of the beneficiary. The Recovery Plan must specify the frequency, amount, and duration of services. The Recovery Plan must be signed by the licensed behavioral health practitioner or physician responsible for developing the plan. The Recovery Plan will specify a timeline for reevaluation of the plan that is at least an annual redetermination. The reevaluation should involve the beneficiary, family and providers and include a reevaluation of plan to determine whether services have contributed to meeting the stated goals. A new Recovery Plan should be developed if there is no measureable reduction of disability or restoration of functional level. The new the plan should identify different rehabilitation strategy with revised goals and services. Providers must maintain case records that include a copy of the Recovery Plan, the name of the beneficiary, dates of services provided, nature, content and units of rehabilitation services provided, and progress made toward functional improvement and goals in the Recovery Plan. Services provided at a work site must not be job tasks oriented and must not duplicate any Individual or Short-term Group Supported Employment. Any services or components of services which are to supplant housekeeping, homemaking, or basic services for the convenience of a beneficiary receiving covered services (including housekeeping, shopping, child care, and laundry services) are non-covered. Services cannot be provided in an IMD. Room and board is excluded. PSR interventions chosen must have a proven evidence-based support for their effectiveness. Evidence-based Practices require prior approval and fidelity reviews on an ongoing basis as determined necessary by Delaware Department of Health and Social Services (DHSS). Services may be provided at a site-based facility, in the community, or in the beneficiary's place of residence as outlined in the Recovery Plan. Components that are not provided to, or directed exclusively toward the treatment of, the Medicaid eligible beneficiary are not eligible for Medicaid reimbursement.

PSR Limitations: Limit of 260 hours of group PSR per calendar year. This limit can be exceeded when medically necessary through prior authorization. The PSR provider must receive regularly scheduled clinical supervision from a person meeting the qualifications of a LBHP with experience regarding this specialized mental health service. Beneficiaries enrolled in ACT/ICM/CRISP receive PSR solely through their ACT/ICM/CRISP team.

The Care Manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.

Medically needy (*specify limits*):

Specify whether the service may be provided by a (*check each that applies*):

- Relative
- Legal Guardian
- Legally Responsible Person

Provider Qualifications (*For each type of provider. Copy rows as needed*):

Provider Type (<i>Specify</i>):	License (<i>Specify</i>):	Certification (<i>Specify</i>):	Other Standard (<i>Specify</i>):
SUD treatment program or a co-occurring (SUD with mental health disorder) treatment	16 Del. Admin. C.§ 6001 et seq (Division of Substance Abuse and Mental Health		PSR Specialists on in SUD and co-occurring treatment programs agencies: Must be at least 18 years old, and meet the regulatory requirements for associate clinicians such as a person with a bachelor's degree in a human service field or a registered nurse. Certification in the State of Delaware to provide the service, which includes criminal, professional background checks, and completion

program	Substance Abuse Facility Licensing Standards)		<p>of a state approved standardized basic training program.</p> <p>Anyone providing SUD services must be certified by DHSS, in addition to any required scope of practice license required for the facility or agency to practice in the State of Delaware.</p>
Assertive Community Treatment (ACT teams including specialized SUD ACT teams and ACT reintegration teams)		Certification by DSAMH as an ACT team in fidelity with TMACT	<p>In compliance with TMACT fidelity (scoring at least a 3.0) or have provisional certification, ACT teams may provide any component of the services listed and must employ and utilize the qualified State Plan providers (i.e., physicians, licensed practitioners) and HCBS providers necessary to maintain fidelity including PSR specialists.</p> <p>PSR Specialists on an ACT team: Must be at least 18 years old, and meet the regulatory requirements for associate clinicians such as a person with a bachelor's degree in a human service field or a registered nurse.</p> <p>Certification in the State of Delaware to provide the service, which includes criminal, professional background checks, and completion of a state approved standardized basic training program.</p> <p>Anyone providing SUD services must be certified by DHSS, in addition to any required scope of practice license required for the facility or agency to practice in the State of Delaware.</p>
Intensive Care Management teams (ICM teams)		Certification by DSAMH in fidelity with State ICM standards	<p>In compliance with state mandates under the settlement, ICM teams may provide any component of the services listed and must employ and utilize the qualified State Plan providers (i.e., physicians, licensed practitioners) and HCBS providers necessary to maintain fidelity including PSR specialists. ACT teams not meeting provisional certification or having fidelity below 3.0 are ICM teams.</p> <p>PSR Specialists on ICM teams: Must be at least 18 years old, and meet the regulatory requirements for associate clinicians such as a person with a bachelor's degree in a human service field or a registered nurse.</p> <p>Certification in the State of Delaware to provide the service, which includes criminal, professional background checks, and completion of a state approved standardized basic training program.</p> <p>Anyone providing SUD services must be certified by DHSS, in addition to any required scope of practice license required for the facility or agency to practice in the State of Delaware.</p>
CRISP designated agencies			<p>Designation by DSAMH as a qualified CRISP agency including compliance with minimum state training requirements and other settlement requirements.</p> <p>In compliance with state mandates under the settlement, CRISP teams may provide any component of the services listed and must employ/contract and utilize the qualified HCBS providers necessary to maintain individuals in the community including PSR specialists.</p> <p>PSR Specialists in CRISP agencies: Must be at least 18 years old, and meet the regulatory requirements for associate clinicians such as a person with a bachelor's degree in</p>

			<p>a human service field or a registered nurse.</p> <p>Certification in the State of Delaware to provide the service, which includes criminal, professional background checks, and completion of a state approved standardized basic training program.</p> <p>Anyone providing SUD services must be certified by DHSS, in addition to any required scope of practice license required for the facility or agency to practice in the State of Delaware.</p>
PROMISE Rehabilitation Agencies			<p>Designation by DSAMH as a qualified PROMISE Rehabilitation agency including compliance with minimum state training requirements and other settlement requirements.</p> <p>In compliance with state mandates under the settlement, PROMISE Rehabilitation Agencies may provide any component of the services listed and must employ/contract and utilize the qualified HCBS providers necessary to maintain individuals in the community including PSR specialists.</p> <p>PSR Specialists in PROMISE Rehabilitation Agencies: Must be at least 18 years old, and meet the regulatory requirements for associate clinicians such as a person with a bachelor’s degree in a human service field or a registered nurse.</p> <p>Certification in the State of Delaware to provide the service, which includes criminal, professional background checks, and completion of a state approved standardized basic training program.</p> <p>Anyone providing SUD services must be certified by DHSS, in addition to any required scope of practice license required for the facility or agency to practice in the State of Delaware.</p>

Verification of Provider Qualifications (For each provider type listed above. Copy rows as needed):

Provider Type (Specify):	Entity Responsible for Verification (Specify):	Frequency of Verification (Specify):
Substance abuse treatment program or a co-occurring (substance abuse disorder with mental health disorder) treatment program	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.
ACT teams	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.
ICM Teams	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.
CRISP designated agencies	The Department or its designee	Upon contracting and at least bi-annually thereafter the Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.
PROMISE Rehabilitation	The Department or its	Upon contracting and at least bi-annually thereafter the

agencies	designee	Department will conduct an on-site audit to ensure that all providers are appropriately credentialed.	
Service Delivery Method. (Check each that applies):			
<input type="checkbox"/>	Beneficiary-directed	<input checked="" type="checkbox"/>	Provider managed
Billing Method.			
Bill Code.	<p>H2017 HN Psychosocial Rehabilitation Services, per 15 minutes. HN = Bachelor's Degree Level.</p> <p>H2017 HN HQ Psychosocial Rehabilitation Services, per 15 minutes. HN = Bachelor's Degree Level. HQ = Group Setting.</p> <p>H2017 HN U1 Psychosocial Rehabilitation Services, per 15 minutes. HN = Bachelor's Degree Level. U1 = Medicaid level of care 1, services rendered in a home and community based setting.</p>	Rate and Unit.	<ul style="list-style-type: none"> • Office Individual:\$16.64 (1:1) per 15 minutes. • Office Group: \$4.16 (1:8) per 15 minutes. • Community Individual: \$18.40 (1:1) per 15 minutes.

Service Specification

Service Title: *Community-based residential alternatives **excluding** assisted living (Residential Supports)*

Service Definition (Scope)

Community-based residential alternatives (excluding assisted living) offer a cost-effective, community-based alternative to nursing facility care for persons with behavioral health needs. Community-based residential services are supportive and health-related residential services provided to beneficiaries in settings licensed by state of Delaware. Residential services are necessary, as specified in the Recovery Plan, to enable the beneficiary to remain integrated in the community and ensure the health, welfare, and safety of the beneficiary. Community-based residential services include personal care and supportive services (homemaker, chore, attendant services, and meal preparation) that are furnished to beneficiaries who reside in homelike, non-institutional, integrated settings. In addition, 24-hour onsite response capability to meet scheduled and unscheduled or unpredictable beneficiary needs and to provide supervision and safety. Services also include social and recreational programming, and medication assistance (to the extent permitted under State law).

This service includes assisting beneficiaries in acquiring, retaining, and improving skills such as communication, self-help, domestic, self-care, socialization, fine and gross motor skills, mobility, personal adjustment, relationship development, use of community resources and adaptive skills necessary to reside successfully in home and community-based settings. As needed, this service may also include prompting to carry out desired behaviors and/or to curtail inappropriate behaviors as well as habilitative services to instruct beneficiaries in accessing and using community resources such as transportation, translation, and communication assistance related to a habilitative outcome and services to assist the beneficiary in shopping and other necessary activities of community and civic life, including self-advocacy. Finally, assistance with activities of daily living (ADLs) and instrumental activities of daily living (IADLs) are included. This service will be provided to meet the beneficiary's needs as determined by an assessment performed in accordance with Department requirements and as outlined in the beneficiary's Recovery Plan.

ADLs include tasks related to caring for and moving the body.

- Walking.
- Bathing.
- Dressing.
- Toileting.
- Brushing teeth.
- Eating.

IADLs are the activities not directly related to functional activities, rather they are assistance with an additional set of more complex life functions necessary for maintaining a person's immediate environment and living independently in the community. IADLs include:

- Cooking and meal planning.
- Performing ordinary housework.
- Getting around in the community.
- Using the telephone or computer.
- Shopping for groceries.
- Supporting the beneficiary in exploring employment opportunities.
- Keeping track of finances.
- Managing medication including assisting with setting up medication administration mechanisms (e.g., pill jars) and ensuring that individuals have the supports necessary to timely take medications. (Not appropriate for Peer Specialists.)

The provider will be encouraged to hire staff to deliver personal care services separate from staff who provide habilitation services that involved the development of ADL and IADL skills, if there is more than one staff member on-site at the residence during normal hours who can provide personal care services. This will ensure that the clinical

boundary issues that would otherwise complicate habilitation services (if the same staff were also delivering personal care services) will be mitigated.

Services must be delivered in a manner that supports the beneficiary's communication needs including, but not limited to, age appropriate communication, translation services for beneficiaries that are of limited-English proficiency or who have other communication needs requiring translation, assistance with the provider's understanding and use of communication devices used by the beneficiary.

The cost of transportation provided by residential service providers to and from activities is included as a component of the residential services and, therefore, is reflected in the rate for the service. Providers of residential services are responsible for the full range of transportation services needed by the beneficiaries they serve to participate in services and activities specified in their Recovery Plan. This includes transportation to and from day activities and employment services, as applicable.

The following levels of residential services are available to beneficiaries as determined necessary, based upon a quarterly assessment, documented in the Recovery Plan and approved by the department.

Note: prior to be eligible for Tier1 – the beneficiary is considered to be in Tier 0 and eligible to receive any PROMISE services other than Community Based Residential Alternatives.

Tier 0- Private Housing or Transitional housing (not eligible for Community Based Residential Alternatives/Residential Supports

For this tier — an individual may be in private non-supported housing, in transitional housing with an SRAP voucher awaiting location of permanent housing, or in permanent housing with an SRAP voucher. Housing assistance, if offered, is state or federally funded. Room and Board is not Medicaid funded and is outside of Residential Supports. This tier equates to the current transitional housing or SRAP voucher program. All PROMISE services on an individual's Recovery Plan are provided by community providers.

Model 1 – Habilitative supports in the home (the beneficiary is encouraged to seek behavioral health treatment for SPMI in the community) (Tiers 1 and 2)

Tier 1 — The goal should be to move to independent living, by reducing need for ADL and IADL assistance, while considering social needs and the resulting proper timing of move to independent living; residential staff should be part of the clinical team — in recovery planning, etc. This tier is not available in a Group Home. The individual's PROMISE Recovery plan indicates when residential Supports staff assist with ADLs (and IADLs).

A beneficiary requires:

Limited supervision as the beneficiary is able to make safe decisions when in familiar surroundings, but requires occasional increased need for assistance or to address unanticipated needs, with supports available on a 24-hour on call or as-needed basis, and

Incidental or intermittent hands-on assistance or cueing for at least 1 ADL and at least 1 IADL, or

Incidental or intermittent hands-on assistance or cueing with at least 3 instrumental ADLs; or

Instruction in accessing and using community resources such as transportation, translation, and communication assistance related to a habilitative outcome and services to assist the beneficiary in shopping and other necessary activities of community and civic life, including self-advocacy; or

Instruction in developing or maintaining financial stability and security (e.g., understanding budgets, managing money, and the right to manage their own money).

Tier 1 Community Based Residential Alternatives services are provided in a supervised apartment setting up to 18 months by a Supportive Housing Agency complying with the following staffing ratios for 6-10 individuals not in ACT/ICM. 1 staff is on site during business hours to assist with ADLs. The staff has a high school degree. A high school level staff person is on call for evening and weekend back-up. *On-call staff do not sleep overnight. A total of 4.25 FTE including .25 FTE of a supervisor/residence manager's time is assumed in the rates. Note: Staff on clinical teams (e.g., co-occurring clinic staff) provide community based behavioral health treatment/ rehab and consult to site staff. Community Based Residential Alternatives services are not available to beneficiaries on an

ACT/ICM team assessed at Tier 1. If the beneficiary is on an ACT/ICM team, the ACT/ICM teams provides all day time services – the Community Based Residential Alternatives provider does not provide day time supports. In addition, the *ACT/ICM team provides night time support. The ACT/ICM provides on call staff for evening and weekend back-up. On-call staff do not sleep overnight.*

Medical Necessity Criteria for Tier 1:

ASAM Criteria

Low immediate need on ASAM

1. Substance abuse — adequate ability (second choice)
2. Biomedical — no known or stable
3. Suicidality — can have up to "has frequent thoughts" (#2)
3. *Suicidality* –Control/Impulsivity – low
3. *Dangerousness* – can have history but not current
3. *Self-care* — requires assistance in personal care, life skills — must assess number of ADLs/IADLs needed and must meet PROMISE service description criteria

Daily Living Activities Questionnaire

Assess ADL/IADL need

Initial assistance for 1 ADL and 1 IADL, or 3 IADLs *But continuing assistance / monitoring not needed

Community Living Questionnaire

Person's preference (Q2) helps determine Tier 1 vs. independent living

*The number of ADLs and IADLs listed here provides a general guide. A person who has more difficulty with ADLs and IADLs than represented here, but who has natural supports available to provide regular, consistent assistance, might be able to be served at this tier rather than at a higher tier. On the other hand, a person with the same number of ADLs and IADLs in question might need a higher (or lower) tier, depending on the severity of his or her needs.

Tier 2 — For this tier — Goal should be to move to Tier 1 (or straight to independent living, if need is 4 IADLs) by reducing need for continuing ADL assistance, while considering social needs and the resulting proper timing of moving to new residence; residential staff should be part of the clinical team — in recovery planning, etc. This tier is not available in a Group Home. In order to ensure that individuals have a choice of day services, individuals on ACT/ICM teams will be served by the ACT/ICM team during the day. Tier 2 beneficiaries on ACT/ICM teams may choose to receive night services from the Community Based Residential Alternatives providers. If a beneficiary chooses to not receive ACT/ICM or is not eligible for ACT/ICM, he or she may receive Community Based Residential Alternatives during the day and/or night as necessary to promote recovery and as outlined on his Recovery Plan. This service is provided in supervised apartments up to 18 months.

A beneficiary requires:

- Low intensity supervision with staff onsite or available to ensure safety from harm as determined by an assessment, or
- Provision of care by an unlicensed practitioner depending on the assessment and the Recovery Plan, and
- Management of 1 or more behaviors that prevent or interfere with the beneficiary's inclusion in home and family life or community life, or
- Hands-on assistance or cueing for at least 2 activities of daily living, or
- Hands-on assistance or cueing with at least 4 instrumental ADLs; or
- Instruction in accessing and using community resources such as transportation, translation, and communication

assistance related to a habilitative outcome and services to assist the beneficiary in shopping and other necessary activities of community and civic life, including self-advocacy; or

Instruction in developing or maintaining financial stability and security (e.g., understanding budgets, managing money, and the right to manage their own money),

Tier 2 - Staffing for individuals not in ACT/ICM for 6-10 residents

Day Community Based Residential Alternatives rate - 3.0 FTE spread during the 2 day shifts during the week and weekend per 6-10 residents; the rates assume 2.75 FTE of a high school level person trained to assist with ADLs and .25 FTE of a residence manager/supervisor. Staff on clinical teams (e.g., co-occurring clinic staff) provide community based behavioral health treatment/ rehab and consult to site staff.

Night Community Based Residential Alternatives rate - 2 FTE spread over the night week and weekend night shifts who are on call and is within walking distance throughout the night shift; Staff do not sleep overnight. Staff on clinical teams (e.g., co-occurring clinic staff) provide community based behavioral health treatment/ rehab and consult to site staff.

Tier 2 - Staffing for individuals in ACT/ICM for 6-10 residents.

The ACT/ICM team provides daily support. ACT/ICM provides all day time services – the Community Based Residential Alternatives provider does not provide day time supports

Receive only the Night Community Based Residential Alternatives rate -; Clinical staff are on call from ACT/ICM team and provide community based behavioral health treatment/ rehab and consult to site staff.

Medical Necessity Criteria for Tier 2:

ASAM Criteria

Low immediate need on ASAM

1. Substance abuse — can have “some difficulty” (third choice in the list of potential statuses)
2. Biomed — no known or stable
 3. Suicidality — can have up to "has frequent" (#2)
 3. Suicidality — control/impulsivity — low
 3. *Dangerousness* — can have history but not current
 3. *Self-care* — requires assistance in personal care, life skills — **must assess number of ADLs/IADLs needed and must meet PROMISE service description criteria**
 3. *Psychological/ emotional health* — any level
4. Readiness to change — any level, but *does* participate in treatment in community
5. Relapse, etc. — all but fourth choice ("not taking prescribed medications ...")

Daily Living Activities Questionnaire

Initial or continual assistance for 2 ADLs or 4 IADLs is needed*

Community Living Questionnaire

Person’s preference (Q2) — helps in goal setting, recovery planning, and assessment

*The number of ADLs and IADLs listed here provides a general guide. A person who has more difficulty with ADLs and IADLs than represented here, but who has natural supports available to provide regular, consistent assistance, might be able to be served at this tier rather than at a higher tier. On the other hand, a person with the same number of ADLs and IADLs in question might need a higher (or lower) tier, depending on the severity of his or her needs.

Model 2 – Intensive supports for medically fragile beneficiaries (Tiers 3 and 4)

Tier 3 — For this tier — Goal could be to remain in group home versus nursing home, as long as possible, or to move to Tier 2 if biomedical need is not permanent. This tier could be in a Supervised Apartment or Group Home. Individuals on ACT teams in Group Homes at this tier should be transitioned off the ACT team after 30 days. *Tier 3 is for people with medically fragile beneficiaries at least one staff person during regular business hours should be a nurse. This tier focuses on people with medical needs. Individuals in this level of Community Based Residential Alternatives have medical needs that prohibit their residing more independently. The staff person who is covering in the evenings should have the basic capacity to deal with medical issues that arise. In this tier, the Group home is expected to meet all physical needs of the client within the rate provided. This tier is not eligible for PLUS LTC (i.e., not eligible for NF level of care). Group Home or Supervised apartment: Short-term to long-term, depending on acute versus chronic. A beneficiary requires:

- (i) Supervision with staff onsite to ensure safety from harm as determined by an assessment,
- (ii) Intermittent skilled care of a licensed professional or paraprofessional throughout the day for medical diagnosis or medical treatment,
- (iii) Management of 1 or more behaviors of a disruptive or destructive nature that prevent or interfere with the beneficiary's inclusion in home and family life or community life, and/or
- (iv) Hands-on assistance or cueing with at least 2 ADLs or periodic assistance throughout a day with at least 3 ADLs, or
- (v) Complete assistance with at least 4 instrumental ADLs.

Medical Necessity criteria for Tier 3 includes meeting the following:

ASAM Criteria

Can have high **biomedical** immediate need

1. Substance abuse — can have some difference or past history .(third and fourth choices)

2. Biomedical — "current/ unstable"

3. Suicidality — any level, but doesn't need acute

3. *Suicidality* – control/ impulsivity — moderate to high

3. *Dangerousness* — can have moderate-high risk

3. *Self-care* — any level, but will tend to not seek treatment without assistance, and require assistance in personal care, life skills (see PROMISE service descriptions) or other ASAM items checked

3. *Psychological/emotional health* — any level

4. Readiness to change — any level

5. Relapse etc. — any level

Daily Living Activities Questionnaire

Special attention to biomedical need

Hands-on assistance or cueing with at least 2 ADLs or periodic assistance throughout a day with at least 3 ADLs, or Complete assistance with at least 4 instrumental ADLs.

Community Living Questionnaire

Person's preference (Q2) — helps in goal setting, recovery planning, and assessment

Tier 3 Staffing in Supervised Apartment at the highest level (Tier 2) with individual supports from outside providers on the Recovery Plan to address individual assessed needs. The total cost of CPST, PSR, habilitation, nursing, and personal care (including supports by an ACT/ICM or CRISP team) on the Recovery Plan may not to exceed the cost of supports in a Tier 3 Group Home. Individuals in a Group Home may not receive ICM/ACT so ICM/ACT costs for an individual in Supervised Apartments will be counted as supports in this model.

Tier 3 staffing for individuals in a group home.

The service provider shall maintain the following staffing pattern:

- For Group homes up to 5 residents, the rates support 7.58 FTE including 2 FTE for CNAs and 5.58 FTE for clinicians (1 FTE residence manager; .08 FTE Psychiatrist; 3 FTE BAs; 1.5 RNs).
- For Group homes from 6-10 residents, the rates support 11.9 FTE including 3 FTE for CNAs and 8.9 FTE for clinicians (1 FTE residence manager; .15 FTE Psychiatrist; 5 FTE BAs; 2.75 RNs).
- Regulations require:
 - (i) Residence manager who is a clinician.
 - (ii) Psychiatrist.
 - (iii) Clinicians (Phd, MA, RN with cert in MH, or BA + 5 yr MH and 2 yr residential).
 - (iv) Associate Clinicians (BA or RN).
 - (v) Residential Service Assistant (HSD or GED).
- 75% of staff are clinicians or associate clinicians.
- Between the hours of 8 AM and 10 PM: A minimum of one (1) clinician or associate clinician, with sufficient training to assist residents with routine medical needs, including the administrations of medications, and to conduct basic assessment of the need for urgent, emergent or acute medical services, shall be on duty and on site for every one to five (5) residents present in the home and a minimum of two (2) staff members, at least one (1) of whom shall be a clinician, associate clinician, or Residential service assistant shall be on duty and on site whenever six (6) or more residents are present in the home.
- At all other times, a minimum of one clinician or associate clinician shall be on duty and on-site whenever any residents are present in the home.
- At all times, at least one clinician, associate clinician or residential service assistant shall be available on call. When a staff member is on duty and on-site alone, the on-call person must be a clinician or associate clinician.
- The department may require a modified staffing pattern based on extenuating circumstances or resident need.
- The psychiatrist shall visit the group home at least once a week and spend a minimum of one-half hour per resident per month providing direct services to residents on site, participating in the assessment of residents' needs, planning service provision, and providing supervision/consultation to other program staff. The psychiatrist shall evaluate each resident's medications at least every 2 weeks.
- A RN or LPN may administer medications, including injections. Residents shall take medications under direct supervision of a qualified staff member per treatment plan.
- The service provider shall designate a clinician or associate clinician to be the primary clinician. Each individual will have a treatment plan developed within 30 days of admission and updated every 6 months. The individuals will have a complete physical examination by a physician within 30 days of admission unless they have had one within a year of admission and their medical records are available. Each individual will have an annual physical exam arranged by the GH. The service provider will arrange for transportation to dental evaluations (annually) and preventive care.
- If there is not an RN on staff, the GH shall train staff to ensure that one or more members on duty has knowledge of first aid including CPR and other care.
- The Department may require a modified staffing pattern based on extenuating circumstances or resident need.

Tier 3 additions:

No additional reimbursement will be granted for residents without written exception of the DSAMH fiscal officer that the reimbursement is not duplicative of the per diem rates.

One Nurse on duty at least 8 hours a day at primary times when medications are dispensed (breakfast and dinner). An RN is on call at all other times.

Except as permitted in accordance with requirements contained in department guidance, policy, and regulations,

this service may not be provided on the same day and at the same time as services that contain elements integral to the delivery of this service. This service may not be included on the same Recovery Plan as the following services: Nursing, Home Health Aide, Personal Care, Independent Activities of Daily Living/Chore, Non-medical Transportation, or Respite.

Tier 4 - Special Care Unit Services

For this Tier — The goal is to move to any Tier 1 or 2 or independent living, depending on dangerousness risk issues. This tier could be in a Supervised Apartment or Group Home. Individuals on ACT teams may not be in Group Homes at this tier and should be transitioned off the ACT team immediately. Tier 4 is for people who are dangerous, so this tier should be staffed with a 2nd clinician when there are more than 5 clients in the home; training should highlight the risk assessment and interventions for handling dangerousness, etc. This tier is not eligible for PLUS LTC (i.e., not NF eligible). A beneficiary requires:

Extensive support and cannot be left alone for any period throughout the day, as determined by an assessment or clinical determination of need for continuous supervision, due to a significant risk for recent or ongoing occurrences of behavior in which the beneficiary is a threat to self or others

Medical Necessity criteria for Tier4 includes meeting the following:

ASAM Criteria

Can have high immediate need profile

1. Substance abuse — can have current potential (fifth choice)
2. Biomed — up to “current/unstable”
3. Suicidality — any level not needing acute

3. *Suicidality* – control/impulsivity — has moderate- high risk for problems

3. Dangerousness — highest risk that does not require inpatient

3. *Self-care* — any level, but will tend to not seek treatment without assistance, and require assistance in personal care, life skills (see PROMISE service descriptions) or other ASAM items checked

3. *Psychological/ emotional health* — any level or

4. Readiness to change — any level or

5. Relapse, etc. — any level (except for those in 3–5 day beds, which will probably have high need on 3 and on 5)

Community Living Questionnaire

Person’s preference (Q2) — helps in goal setting, recovery planning, and assessment

ASAM, along with collaterals/health record, are important for determining Tier 4

Tier 4 — Staffing in Supervised Apartment at the highest level (Tier 2) with individual supports on the Recovery Plan to address individual assessed needs. The total cost of CPST, PSR, habilitation, nursing, and personal care (including supports by an ACT/ICM or CRISP team) on the Recovery Plan may not to exceed the cost of supports in a Tier 4 Group Home. Individuals in a Group Home may not receive ICM/ACT so ICM/ACT costs for an individual in Supervised Apartments will be counted as supports in this model.* Clients must be on clinical teams (e.g., assertive community treatment or ICM) that can provide 24-hour back-up to onsite staff. The ACT/ICM/CRISP team provides all day time services– the Community Based Residential Alternatives provider does not provide day time supports. All staff must be trained in and have demonstrated competence in managing dangerousness.

Tier 4 Staffing in Group Home (note: a Tier 4 resident is weighted at 1.25 of a Tier 3 resident). The service provider shall maintain the following staffing pattern:

- Rates are set to support the following staffing:
 - For Group homes up to 5 residents, the rates support 9.58 FTE including 2.5 FTE for CNAs and 7.08 FTE for clinicians (1 FTE residence manager; .08 FTE Psychiatrist; 4.5 FTE BAs; 1.5 RNs).
 - For Group homes from 6-10 residents, the rates support 11.9 FTE including 3 FTE for CNAs and 8.9

FTE for clinicians (1 FTE residence manager; .15 FTE Psychiatrist; 5 FTE BAs; 2.75 RNs).

- Regulations require:
 - (i) Residence manager who is a clinician
 - (ii) Psychiatrist
 - (iii) Clinicians (Phd, MA, RN with cert in MH, or BA + 5 yr MH and 2 yr residential)
 - (iv) Associate Clinicians (BA or RN)
 - (v) Residential Service Assistant (HSD or GED)
- 75% of staff are clinicians or associate clinicians
- Between the hours of 8 AM and 10 PM: A minimum of one (1) clinician or associate clinician, with sufficient training to assist residents with routine medical needs, including the administrations of medications, and to conduct basic assessment of the need for urgent, emergent or acute medical services, shall be on duty and on site for every one to five (5) residents present in the home and a minimum of two (2) staff members, at least one (1) of whom shall be a clinician, associate clinician, or Residential service assistant shall be on duty and on site whenever six (6) or more residents are present in the home.
- At all other times, a minimum of one clinician or associate clinician shall be on duty and on-site whenever any residents are present in the home
- At all times, at least one clinician, associate clinician or residential service assistant shall be available on call. When a staff member is on duty and on-site alone, the on-call person must be a clinician or associate clinician.
- The department may require a modified staffing pattern based on extenuating circumstances or resident need.
- The psychiatrist shall visit the group home at least once a week and spend a minimum of one-half hour per resident per month providing direct services to residents on site, participating in the assessment of residents' needs, planning service provision, and providing supervision/consultation to other program staff. The psychiatrist shall evaluate each resident's medications at least every 2 weeks.
- A RN or LPN may administer medications, including injections. Residents shall take medications under direct supervision of a qualified staff member per treatment plan.
- The service provider shall designate a clinician or associate clinician to be the primary clinician. Each individual will have a treatment plan developed within 30 days of admission and updated every 6 months. The individuals will have a complete physical examination by a physician within 30 days of admission unless they have had one within a year of admission and their medical records are available. Each individual will have an annual physical exam arranged by the GH. The service provider will arrange for transportation to dental evaluations (annually) and preventive care.
- If there is not an RN on staff, the GH shall train staff to ensure that one or more members on duty has knowledge of first aid including CPR and other care.
- The Department may require a modified staffing pattern based on extenuating circumstances or resident need.
- No additional reimbursement will be granted for residents without written exception of the DSAMH fiscal officer that the reimbursement is not duplicative of the per diem rates. Except as permitted in accordance with requirements contained in department guidance, policy, and regulations, this service may not be provided on the same day and at the same time as services that contain elements integral to the delivery of this service. This service may not be included on the same Recovery Plan as the following services: Nursing, Home Health Aide, Personal Care, Independent Activities of Daily Living/Chore, Non-medical Transportation, or Respite.
- An RN is on call at all times there is not an RN/physician on duty.

Tier 5 – Meet a NF LOC and individual is in PROMISE and PLUS LTC

PLUS LTC MCO manager and the PROMISE CARE MANAGER will develop a care plan with the beneficiary to meet extraordinary physical needs. PLUS LTC can reimburse for extraordinary needs. Tier 5 individuals are eligible for NF level of care. PROMISE pays the Tier 4 rate and then the PLUS LTC develops a care plan under the PLUS

LTC program to provide additional supports under the PLUS program necessary to maintain an individual meeting the nursing facility level of care outside of the nursing facility.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Criteria for determining medical necessity for Community Based Residential Alternatives:

In assessing the person's need for Community Based Residential Alternatives, the Care Manager needs to use careful clinical/functional assessment, in combination with consideration of preferences and the recovery environment, in order to identify the appropriate levels and types of care. At a minimum, the following factors need to be considered in combination:

- *The person's preferences for housing:* The person's preferences need to be considered when identifying the appropriate levels and types of residential support. Sometimes, the person may prefer a housing option (e.g., apartment) at a level of care that clinical and housing experts believe would create a health and safety risk, (i.e., where the person's needed level of care is higher than the preferred housing option). If this occurs, the Care Manager and individual should complete a risk assessment as outlined in the Care Manager manual and the recovery plan should identify the services, activities, and supports that can be mobilized in order to achieve the person's preference. *Please note: Group home rates for individuals at Tier 1 and Tier 2 will not be created and reimbursement is not expected to continue for facilities when it is not medically necessary for the individual to be in that environment. In cases where the person prefers a higher level of care than others believe the person needs, the person should be encouraged to find other ways of meeting needs (e.g., for socialization) that are addressed by the higher level of care. The individual recovery plan should provide an explicit, detailed plan for addressing those issues as well as the transition plan with deadlines and outcomes for the individual to move to the appropriate housing option (e.g., from group home to apartment in a timely manner).*
- *The natural supports or environment in which the person is recovering:* Residential supports should not supplant natural supports. Some people whose individual capacities alone might indicate a higher level of care should receive lower residential support tiers because natural supports are available to ensure the person's success in housing options at a lower level of care tier. For example, someone might have several independent activities of daily living (ADLs) that indicate a need for Tier 2, but she has family members and/or friends who are available on a regular basis to help the person achieve those IADLs. This person might be placed in Tier 1 or even Tier 0. Landlords also are an important part of the recovery environment, and some landlords are more flexible than others in tolerating the challenges and limitations people sometimes bring to the residential setting.
- *The person's abilities and limitations related to living in the community.* The severity of any functional limitation related to an ADL or IADL should be incorporated. Two people may both be identified as having a need for assistance with personal hygiene, but one person's inability might represent a significant health risk, while the other person's inability might merely represent an occasional risk to the quality of interactions with people who do not know the person very well. The severity of functional limitation may not just rely on the person's own self-report concerning her or his abilities and limitations in community living. It is important to bolster self-reports with the observations of collaterals (family members and other people in the person's natural support network as well as providers who know the person well.). Every person's self-report (not just the self-report of someone coping with a serious mental illness) is limited, and it is always the case that observations of other people who know us well help round out an assessment. Sometimes, direct observations of behaviors that are associated with successful community living will also be important in establishing an accurate assessment.
- *Back-Up Plans:* Residential supports should not be used as substitutes for an effective back-up plan. ACT and ICM teams should provide 24/7 on-call services. People on ACT teams are able to live more independently than they would otherwise be able to live, due to the regular assistance of the ACT teams in providing training and support for independent living. It is assumed that all individuals with Tier 1 needs on an ACT/ICM team will not receive Community Based Residential Alternatives (i.e., effectively Tier 0). Individual recovery plans must include provisions for ensuring the person's success in community living, in case the original or initial plan needs to be

revised. For people in Tier 2 receiving ACT, who are in Supervised Apartments, there may be staff at the residence who will provide Community Based Residential Alternatives during off hours. For example, if a person's plan in the area of Community Based Residential Alternatives is contingent, in part, on the availability of a family member or other person from the natural support system to assist with certain behaviors, and that person is not available for a period of time, a "back-up plan" needs to be in place to ensure there is not significant disruption in the person's living situation. Part of the "back-up plan" could include specific activities or interventions aimed at helping bolster the person's own abilities in the area of independent living. Family members, friends, residential neighbors, companions from faith communities and other voluntary organizations, and peers from mutual/self-help organizations represent examples of natural supports that might be identified and mobilized to ensure that any residential support needs are met during off hours.

- All individuals in Tiers 1-4 Community Based Residential Alternatives have serious mental illness (SMI).
- Tier 0 is for people with SRAP vouchers who only need temporary housing. No Community Based Residential Alternatives are provided.
- Tiers 1–2 are for people NOT high on an ASAM Immediate Need profile.
- Tier 2-A is to be utilized for individuals who have not yet been assessed for PROMISE but are referred because they are presumed to be eligible for PROMISE. Individuals should be assessed by Care Managers for PROMISE prior to leaving State Hospitals. These are considered emergency placements only. Tier 2-A = Resource beds: 1-3 months. A=Assessment. Goal is for Care Manager to assess individual, develop Recovery Plan, and assist the individual implement more permanent services within 1-3 months. Note: CM should have assessment and Recovery Plan completed within 30 days of referral to program and Recovery Plan should be implemented within 45 days of Recovery Plan approval by EEU.
- Tiers 3–4 include some people high on ASAM Immediate Need profile.
- ASAM Dimension 3 (self-care, dangerousness, etc.) must be used in conjunction with health record review and interview with collaterals (e.g., providers) to assess specific level of risk — e.g., number of activities of daily living/independent activities of daily living (ADLs/IADLs) need assistance with and dangerousness (to assess need for Tier 4).
 - ASAM is important for determining need for Tier 4 (with dangerousness being the most important dimension for consideration).
 - In combination with the Community Living Questionnaire and data from collaterals/health record, ASAM is helpful in determining need for Tier 3, based on biomedical need.
- Community Living Questionnaire should not only help with placement, but should aid in individualized Community Based Residential Alternatives planning for all 4 tiers and should help provide prognosis for length of stay (which can vary considerable within tiers):
 - Independent living with in-home supports versus Tier 1 group home placement — based on person's preference — when need for IADL/ADL assistance could lead to either placement.
 - When someone is in need of Tier 3 group home due to physical health/medical risk issues.
 - Specific needs for group home habilitative and rehabilitative supports and for IADL/chore services.
 - Based on preferences (e.g., Q4), goals to set in the recovery plan, how to assess and review progress with the person; also, provides basis for motivating when work on ADLs/IADLs is difficult. However, interviewing collaterals (family members, providers) and reviewing the health record for additional data will be needed in most cases in order to fully assess need for IADLs and ADLs.

Services that are provided by third parties must be coordinated with the residential services provider, including community-based rehabilitative services provided outside of the residence. Personal care services are provided in facilities as part of the community-based residential service. To avoid duplication, personal care (as a separate service) is not available to beneficiaries receiving residential services. These services are provided to beneficiaries residing in homes that have no more than nine other residents and with home and community-based characteristics.

Residential services may only be funded through the waiver when the services are not covered by the State Plan,

EPDST, or a responsible third-party, such as Medicare or private insurance. Care managers must assure that coverage of services provided under the State Plan, EPSDT, or a responsible third-party continues until the plan limitations have been reached or a determination of non-coverage has been established prior to this service's inclusion in the Recovery Plan. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.

Except as permitted in accordance with requirements contained in department guidance, policy, and regulations, this service may not be provided on the same day and at the same time as services that contain elements integral to the delivery of this service. This service may not be included on the same Recovery Plan as the following services: Nursing, Home Health Aide, Personal Care, Independent Activities of Daily Living/Chore, Non-medical Transportation, or Respite.

Residential services should be provided only in facilities meeting home and community-based characteristic requirements and cannot be provided in the following settings or in settings located on the grounds of these facilities:

- Nursing facility
- Institution for mental disease
- Intermediate care facility for individuals with Intellectual Disabilities
- Hospital providing long-term care or services
- Any other location that has qualities of an institutional setting, as determined by the Department

Room and board is excluded from this service. This service must be delivered in Delaware.

The Care Manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.

The service provider must maintain documentation in accordance with department requirements. The care manager will monitor the community character of the residence during regularly scheduled contact with the beneficiary. All the facilities are community based with a home-like environment providing access to typical home facilities and integrated into the community. Monthly visits will also ensure that the facility maintains a community character at each monthly visit. Community character means that a provider-owned facility ensures that persons are encouraged and afforded the opportunity to exercise their options of when and where to take community outings, have freedom to choose roommates, and are free to exercise personal choices as are other persons who do not qualify for services under the PROMISE program. Persons participating through Permanent Supported Housing will have freedom to choose their service providers. Individuals will be encouraged to have control over their meal and sleep times, visitor access, privacy, room decorations, and ability to engage freely in the community. Results of this monitoring will be reported to the department.

The Care manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis (i.e., at least once a month). The care manager must review the authorized tier monthly for appropriateness. If the monitoring suggests that a change in tiers is needed, the care manager will recommend a re-assessment to re-evaluate the beneficiary to determine the appropriateness of the assigned tier in accordance with department requirements.

Provider Specifications

Provider Category(s) <i>(check one or both):</i>	<input type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/>	Agency. List the types of agencies:
				Group Homes for Persons with Mental Illness Supportive Housing Agency
Specify whether the service may be	<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/>	Relative/Legal Guardian

provided by (<i>check each that applies</i>):			
Provider Qualifications (<i>provide the following information for each type of provider</i>):			
Provider Type:	License (<i>specify</i>)	Certificate (<i>specify</i>)	Other Standard (<i>specify</i>)
Group Homes for Persons with Mental Illness	Licensed by the division of Long Term Care under DAC Title 16, Chapter 11, Regulation 3305		<p>For facilities for 4-10 beds.</p> <p>The agency must maintain a staffing ratio consistent with the weighted tiers of the clients in the home. The staff must meet the following qualifications and training:</p> <p>Psychiatrist - A person with a medical degree or Doctor of Osteopathy degree, who is licensed to practice medicine in Delaware and is board certified in psychiatry or has served a residency in psychiatry. An LIP, such as a Nurse Practitioner or Physician's Assistant, may work in this role under formal protocols with the psychiatrist.</p> <p>Clinician - A person with a doctoral or master's degree in clinical or counseling psychology, mental health nursing, clinical social work, vocational/psychiatric rehabilitation or education from an accredited college or university; a registered nurse with certification in mental health nursing from the American Nurses Association; or a person with a bachelor's degree with five (5) years' experience in mental health service delivery with at least two (2) years' experience in residential services.</p> <p>Associate Clinician - A person with a bachelor's degree in clinical or counseling psychology, social work, nursing, vocational/psychiatric rehabilitation, education or other mental health field from an accredited college or university; or a registered nurse. An associate clinician shall have had at least 2 years of direct experience in mental health service.</p> <p>Residence Manager - Responsible for the operation of the group home and responsible for the supervision of residents' recovery plans. The qualifications of the Residence Manager must be that of a Clinician (see above).</p> <p>Peer Specialist - A person with a lived experience of mental illness who has received training in this role and scope of practice. All Peers are certified by the state as peer specialists.</p> <p>Residential Service Assistant - A person who has a high school diploma, GED, or CNA. (Note RSAs are not permitted to meet staffing qualifications for Tier 4)</p>

			<p>*Note: Associate Clinicians and Residential Service Assistants shall have qualifications for the treatment activities in which they engage and shall be supervised by the residence manager. At least seventy-five (75) percent of the group home staff shall be clinicians or associate clinicians. Twenty-five percent should be Peers who work as full members of the multi-disciplinary team. Nothing in these regulations shall be construed to exempt or limit the application of professional licensing requirements, including those pertaining to professional counselors, psychologists, and clinical social workers under 24 Del.C., Chs. 30, 35, and 39, respectively.</p> <p>*Note: Nothing in these regulations prohibit a Peer from serving in any of these roles if they also meet the role standards for education and years of experience.</p> <p>Accreditation is required for group homes with revenues over \$500,000 (CARF, TJC)</p> <p>The service provider shall comply with criminal background check and drug testing laws.</p> <p>The service provider shall maintain a current personnel policies and procedures manual that sets forth grounds for termination, adequately supports sound resident care and is made readily available to the program's staff in each home. The service provider shall comply with the provisions of such manual. The manual shall contain an explanation of the residents' rights pursuant to 16 Del.C. §1121 and applicable federal law.</p> <ul style="list-style-type: none"> • Training in risk assessment of dangerousness and interventions aimed at reducing such risk, including training in managing difficult behaviors, in the implementation of de-escalation techniques, and in self-defense techniques to prevent harm from violent behaviors. • Orientation to situational counseling, stress management and social interaction. • A complete course in medications used in the treatment of mental illness including the medications' effects, side effects, and adverse effects (sometimes life threatening) used alone or in combination with other prescription and non-prescription medication and alcoholic or caffeinated beverages. • A course in the common types of mental illness including signs and symptoms of schizophrenia, mood and personality disorders and indications of deterioration of an individual's mental condition. • A course in basic first aid, including basic CPR training and basic physical health coaching including
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			<p>healthy diets, adequate exercise, smoking cessation, and routine dental and medical exams and services as needed.</p> <ul style="list-style-type: none"> • An explanation of the rights of adults with psychiatric disabilities in residential care in Delaware. • Expectations for confidentiality and ethical behavior towards residents who will reside in the group home. • Policies and procedures that apply to a group home on both a daily and emergency basis. • Fire safety and evacuation procedures; • Health care, sanitation, and safe handling of food. • Familiarization with community behavioral health services available in the county in which the group home is located. • Orientation to situational counseling, de-escalation and mediation techniques, stress management and social interaction. • Training in understanding what recovery actually looks like in terms of outcomes, avoidance of paternalistic approaches, how to support appropriate adult activities and leisure skill development for residents. • Demonstration of a clear understanding of these regulations; and • A plan for the continuing education and development of staff. • A service provider need not require training in discrete areas in which the staff person has demonstrated competency through satisfactory job performance or previous experience to the satisfaction of the service provider and the Department. • Staff may be provisionally hired and perform job duties pending completion of training within thirty (30) days. Such provisional staff shall not be on duty without on-site supervision.
Supportive Housing Agency		Certification by DSAMH	<p>The agency must maintain a staffing ratio consistent with the weighted tiers of the clients in the supervised apartments (see staffing ratios in definition above). The staff must meet the qualifications and training below.</p> <ul style="list-style-type: none"> • Comply with Department standards, including regulations, contract requirements, policies, and procedures relating to provider qualifications. • Have a waiver provider agreement. • The organization must be able to document 3 years of experience in providing services to an SPMI population • Comply with Department standards, including regulations, policies, and procedures relating to

			<p>provider qualifications.</p> <ul style="list-style-type: none"> • Ensure that employees (direct, contracted, or in a consulting capacity) have been trained to meet the unique needs of the beneficiary; for example, communication, mobility, and behavioral needs. • Comply with and meet all standards as applied through each phase of the standard, annual Department performed monitoring process. • Ensure 24-hour access to personnel (via direct employees or a contract) for response to emergency situations that are related to the Community Based Residential Alternatives service or other waiver services. <p>Employees must:</p> <ul style="list-style-type: none"> • Comply with Department standards, including regulations, policies, and procedures relating to provider qualifications. • Have a valid driver’s license if the operation of a vehicle is necessary to provide the service. • Must be at least 18 years old, and have a high school diploma or equivalent. • Must be certified in the State of Delaware to provide the service, which includes criminal, abuse/neglect registry and professional background checks, and completion of a state approved standardized basic training program. • If providing nursing care, must have qualifications required under State Nurse Practice Act (i.e. RN or LPN). <p>All Supervised Apartment staff must complete the following State mandated training:</p> <ul style="list-style-type: none"> • CPR • First Aid • Introduction to Community-Based Residential Services for Direct Care Staff • Air and Blood Borne Pathogens • Non-Physical Crisis De-Escalation, Crisis Management and Debriefing • Proper Techniques to address Challenging Behavior and Proper Contingency Management • Principles of Psychiatric Rehabilitation • Motivational Interviewing for Co-Occurring Disorders • Basics of Counseling • Recovery Oriented Service Delivery & Documentation • What is Peer Support • Rights and Responsibilities of Individuals receiving Mental Health services
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			<ul style="list-style-type: none"> • Cultural Competence and Diversity • Prevention/Intervention and Recovery/Resiliency Strategies • Behavioral Health/SUDs and Associated Medical Care and Conditions • HIPPA and Confidentiality • Grief, Loss, and Death Notification Procedures • Applied Suicide Intervention Skills • Community Integration and Olmstead Decision • Intro to Human Needs, Values, Guiding Principles, and Effective Teaching Strategies • Environmental Emergencies: Mitigation, Preparation, and Responding • Basic Health and Medications • Advanced Health and Medications • Nutrition: Food Preparation, Food Storage, Healthy Diet, and Positive Health • Assessing mobile crisis need and accessing
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Verification of Provider Qualifications

Provider Type:	Entity Responsible for Verification:	Frequency of Verification:
Group Homes for Persons with Mental Illness Supportive Housing Agency	department or designee	At least every 2 years and more frequently when deemed necessary by the department.

Service Delivery Method

Service Delivery Method <i>(check each that applies):</i>	<input type="checkbox"/>	Beneficiary-directed	<input checked="" type="checkbox"/>	Provider managed
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Billing Method.

T2033	T2033: <ul style="list-style-type: none"> • Residential care, NOS, waiver, per diem, Tier 1. 	Tier 1 (non-ACT) \$ 74.02
T2033 TF	T2033 TF: <ul style="list-style-type: none"> • Residential care, NOS, waiver, per diem, Tier 2. • TF = Intermediate level of care. 	Tier 2 Day (non-ACT) \$ 53.23 Tier 2 Night \$ 40.76
T2033 TG	T2033 TG: <ul style="list-style-type: none"> • Residential care, NOS, waiver, per diem, Tier 3. • TG = Complex/high tech level of care. 	Tier 3: up to 5 residents in a Group Home \$ 328.53 Tier 3: 6-8 residents in a Group Home \$ 328.36 Tier 3: 9-10 residents in a Group Home \$ 262.69
T2033 HK	T2033 HK: <ul style="list-style-type: none"> • Residential care, NOS, waiver, per diem, Tier 4. • HK = Specialized mental health 	Tier 4: up to 5 residents in a Group Home \$ 399.28 Tier 4: 6-8 residents in a Group Home \$ 328.36 Tier 4: 9-10 residents in a Group

program for high-risk populations.	Home \$ 262.69
	Room and Board: up to 5 residents (Non-Medicaid funded) \$39
	Room and Board: 6-10 residents (Non-Medicaid funded) \$33

Service Specification

Service Title: *Nursing*

Service Definition (Scope):

Nursing services are prescribed by a physician in addition to any services under the State Plan as determined by an assessment in accordance with department requirements. Nursing services are necessary, as specified in the Recovery Plan, to enable the beneficiary to integrate more fully into the community and ensure the health, welfare, and safety of the beneficiary. This service is intended to be utilized in the beneficiary's home.

Services are provided by a registered nurse or a licensed practical nurse under the supervision of a registered nurse licensed to practice in the State. The physician's order to reauthorize must be obtained every ninety (90) days for continuation of service. If the beneficiary is receiving nursing services, the Care Manager must ensure that a doctor's order is in place prior to initiation of the services. If changes in the beneficiary's status take place after the physician's order, but prior to the reauthorization of the service, and result in a change in the level of services authorized in the Recovery Plan, the provider is responsible for reporting to the ordering physician and care manager.

Nursing services must be performed by a registered nurse or licensed practical nurse as defined by the State Nurse Practice Act. Skilled nursing is typically provided on a one to one basis and can be continuous, intermittent or short-term, based on the beneficiary's assessed need.

- Short-term or Intermittent Nursing — Nursing that is provided on a short-term or intermittent basis, not expected to exceed 75 units of service in a Recovery Plan year and are over and above services available to the beneficiary through the State Plan;
- Long-term or Continuous Nursing — Long-term or continuous nursing is needed to meet ongoing assessed needs that are likely to require services in excess of 75 units per Recovery Plan year, are provided on a regular basis and are over and above services available to the beneficiary through the State Plan.

Services must be delivered in a manner that supports the beneficiary's communication needs including, but not limited to, age appropriate communication, translation services for beneficiary's that are of limited-English proficiency or who have other communication needs requiring translation, assistance with the provider's understanding and use of communication devices used by the beneficiary.

The nursing service provider must maintain documentation in accordance with department requirements. The care manager will monitor at least on a quarterly basis to see if the objectives and outcomes are being met.

Medical necessity criteria include the following:

- The service is recommended by a physician or other practitioner of the healing arts acting within their scope of practice and the service is included in the beneficiary's Recovery Plan; AND
- In-home psychiatric nursing is needed to allow the beneficiary the best opportunity to remain in the community; AND
- For beneficiaries on an ACT team, enrolled in DSHP or enrolled in DSHP Plus, the Recovery Plan clearly identifies the types of nursing services and interventions needed that are in addition to what is already being provided by Medicaid state plan services, DSHP Plus, and/or an ACT/ICM team; AND
- The beneficiary is not receiving the service through a community based residential alternative setting Tier 3 or 4 Group Home or institutional setting; AND
- The frequency and intensity of the service aligns with the unique nursing needs of the beneficiary. Examples include:
 - A beneficiary has a goal of learning how to better manage her numerous medications so she does not accidentally mix them up or miss a dose. A weekly visit by a nurse is recommended by her psychiatrist to assist her with mediset set up and monitoring for the next three months.
 - A beneficiary is not confident in his ability to appropriately clean, dress, and take care of the severely dry, cracked skin he experiences. This contributes to anxiety, compulsive washing, and missing days of work. A weekly visit by a nurse is recommended to assess his skin condition and to educate him on skin care for the next six months.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Nursing services may only be funded through the waiver when the services are not covered by the State Plan, EPDST or a responsible third-party, such as Medicare or private insurance. Care managers must assure that coverage of services provided under the State Plan, EPSDT, or a responsible third-party continues until the plan limitations have been reached or a determination of non-coverage has been established prior to this services inclusion in the Recovery Plan. For example, if an beneficiary requests nursing on his or her Recovery Plan, the Care Manager must ensure that State Plan home health nursing benefit through the MCO is first exhausted. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable. The nursing care must be ordered by the beneficiary's primary care physician or another non-behavioral health physician.

Nursing services must be prior authorized by the department and are only available to the extent that the specific tasks required are unable to be completed by a beneficiary or paid or unpaid caregiver and require the skills of a licensed nurse. The most appropriate level of nursing must be used for a task.

Nursing provided at a ratio other than on a 1:1 basis must be approved by the department.

Except as permitted in accordance with requirements contained in department guidance, policy and regulations, this service may not be provided on the same day and at the same time as services that contain elements integral to the delivery of this service. This service may not be included on the same Recovery Plan as Community Based Residential Alternatives Tiers 3 and 4 provided in a Group Home or if the individual receives ACT/ICM.

The Care Manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.

Provider Specifications

Provider Category(s) <i>(check one or both):</i>	<input type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/>	Agency. List the types of agencies:
				Home Health Agency; Private Duty Nursing Agency
Specify whether the service may be provided by <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/>	Relative/Legal Guardian

Provider Qualifications *(provide the following information for each type of provider):*

Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>
Home Health Agency	State Business License or 501 (c)(3) status; and State Home Health Agency License from Office of Health Facilities Licensing and Certification per Delaware Code Title 16-4406 Home Health Agencies (Licensure).	N/A	<p>Comply with Department standards, including regulations, contract requirements, policies, and procedures relating to provider qualifications.</p> <p>Complete and ensure employees complete Department-required training, including training on the participant's service plan and the participant's unique and/or disability-specific needs, which may include, but is not limited to, communication, mobility, and behavioral needs.</p> <p>Individuals employed by providers must:</p> <ul style="list-style-type: none"> • Be at least 18 years of age. • Have criminal background investigations in

			<p>accordance with state requirements.</p> <p>Have a screening against the child abuse and adult abuse registry checks and obtain service letters in accordance with 19 Del Code Section 708 and 11 Del Code Sections 8563 and 8564 and not have an adverse registry findings in the performance of the service.</p> <ul style="list-style-type: none"> In the case of direct care personnel, possess certification through successful completion of training program as required by the Department and be a Registered Nurse (RN) or Licensed Practical Nurse (LPN).
Private Duty Nursing Agency			Enrolled under the Medicaid State Plan as a Private Duty Nursing provider agency and practitioners meet all State Plan requirements as a Registered Nurse (RN) or Licensed Practical Nurse (LPN).
Verification of Provider Qualifications			
Provider Type:	Entity Responsible for Verification:	Frequency of Verification:	
Home Health Agency	Department or Designee	Initially and annually (or more frequent based on service monitoring concerns)	
Private Duty Nursing Agency	Department or Designee	Initially and annually (or more frequent based on service monitoring concerns)	
Service Delivery Method			
Service Delivery Method (check each that applies):	<input type="checkbox"/>	Beneficiary-directed	X Provider managed
Billing Method.			
Bill Code.	S9123 Nursing care, in the home; by registered nurse, per hour (<i>use for general nursing care only, not to be used when CPT codes 99500-99602 can be used</i>).	Rate and Unit.	<ul style="list-style-type: none"> RN: \$51.50 (Home Health +PDN); per hour. LPN: \$46.14 (Home Health +PDN); per hour.
	S9124 Nursing care, in the home; by a licensed practical nurse, per hour.		

Service Specification

Service Title: *Personal Care*

Service Definition (Scope):

Personal Care includes care with activities of daily living (ADLs) (e.g., bathing, dressing, personal hygiene, transferring, toileting, skin care, eating and assisting with mobility). When specified in the Recovery Plan, this service includes care with instrumental activities of daily living (IADLs) (e.g., light housekeeping, chores, shopping, meal preparation). Care with IADLs must be essential to the health and welfare of the beneficiary based on the assessment of the care manager and identified within the Recovery Plan as a goal that was identified by the beneficiary. Input should also be obtained from the beneficiary's family or other natural supports, when appropriate and desired by the beneficiary.

Personal Care services primarily provide hands-on Personal Care to beneficiaries that reside in a private home and that are necessary, as specified in the Recovery Plan, to enable the beneficiary to integrate more fully into the community and ensure the health, welfare, and safety of the beneficiary.

This service will be provided to meet the beneficiary's needs, as determined by an assessment, in accordance with department requirements and as outlined in the beneficiary's Recovery Plan.

The provider and beneficiary will be encouraged to hire staff to deliver personal care services separate from staff who provide habilitation services that involved the development of ADL and IADL skills, if there is more than one staff member on-site at the residence during normal hours who can provide personal care services. This will ensure that the clinical boundary issues that would otherwise complicate habilitation services (if the same staff were also delivering personal care services) will be mitigated.

Personal Care services are aimed at assisting the beneficiary with completing ADLs that would be performed independently if they had no disability. These services include:

- Care to assist with daily living activities (e.g., eating, bathing, dressing, personal hygiene), cueing to prompt the beneficiary to perform a task and providing supervision to assist a beneficiary who cannot be safely left alone;
- Health maintenance, such as bowel and bladder routines, ostomy care, catheter, wound care and range of motion, as indicated in the beneficiary's Recovery Plan and permitted under applicable State requirements;
- Routine support services, such as meal planning, keeping of medical appointments, and other health regimens needed to support the beneficiary;
- Care and implementation of prescribed therapies;
- Overnight personal care services to provide intermittent or ongoing awake, overnight care to a beneficiary in their home for up to eight hours. Overnight personal care services require awake staff.

Personal care may include care with the following activities when incidental to personal care and necessary to complete ADLs:

- Activities that are incidental to the delivery of the personal care to assure the health, welfare, and safety of the beneficiary such as changing linens, doing the dishes associated with the preparation of a meal, laundering of towels from bathing may be provided and must not comprise the majority of the service;
- Services to accompany the beneficiary into the community for purposes related to personal care, such as shopping in a grocery store, picking up medications and providing care with any of the activities noted above to enable the completion of those tasks.

Services must be delivered in a manner that supports the beneficiary's communication needs including, but not limited to, age appropriate communication, translation services for beneficiaries that are of limited-English proficiency or who have other communication needs requiring translation, care with the provider's understanding and use of communication devices used by the beneficiary.

The personal care service provider must maintain documentation in accordance with department requirements. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. The care manager will monitor on a quarterly basis to see if the objectives and outcomes are being met.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Personal care services may not be billed at the same time as respite or IADL/Chore services.

Personal care services are provided only during those times when neither the beneficiary nor anyone else in the household is able or available to provide them, and where no other relative, caregiver, community/volunteer agency, or third-party payer is able to provide, or be responsible for, their provision.

Personal care Services in excess of 12 hours per day will require prior approval by the department.

Medical necessity criteria include the following:

- The service is recommended by the care manager and the beneficiary in collaboration, and the service is included in the beneficiary's Recovery Plan; AND
- The service is needed to allow the beneficiary the best opportunity to remain in the community, AND
- The tasks required are unable to be completed by the beneficiary or paid or unpaid caregiver; AND
- The beneficiary is not residing in a community based group home; AND
- The frequency and intensity of the service aligns with the unique needs of the beneficiary (See examples below); AND
- For beneficiaries also enrolled in DSHP Plus, the Recovery Plan clearly identifies the types of services needed that are in addition to what is already being provided by DSHP Plus.

Examples of the need for personal care services include:

- A beneficiary has established a goal to engage in more social activities and to strengthen her social network of friends. However, she struggles with maintaining good personal hygiene due to lack of energy, focus and poor self-hygiene. This negatively interferes with goals for social interaction and personal care has been identified as necessary to provide daily assistance with bathing, dressing, and personal hygiene.
- A beneficiary has the goal of living independently but struggles with debilitating and recurring nightmares that can trigger thoughts of self-harm. He believes overnight personal care services could offer the necessary support and supervision he needs to ensure his safety while still allowing him to live in his own home.
- A beneficiary has a goal of preparing meals for herself regularly and for her friends a couple of times each month. She believes her preoccupation with germs/potential contamination interfere with her ability to shop for food and prepare meals. She has identified that personal care services, made available three times per week to accompany her to the grocery store and daily to assist her with meal preparation would help her make significant progress in achieving her goal.

Except as permitted in accordance with requirements contained in department guidance, policy, and regulations, this service may not be provided on the same day and at the same time as services that contain elements integral to the delivery of this service. This service is not available to beneficiaries residing in assisted living or receiving residential supports. Personal care services may only be on the same Recovery Plan as assisted living or residential supports in limited circumstances as approved by the department, such as personal care necessary to support a beneficiary in a work environment.

Costs incurred by the personal care service workers that relate to accompanying a beneficiary in the community or accessing other services are not reimbursable under the waiver as personal care services (e.g., tickets to a movie or ball game). The transportation costs associated with the provision of personal care outside the beneficiary's home must be billed separately and may not be included in the scope of personal care. Personal care workers may furnish and bill separately for transportation provided that they meet the state's provider qualifications for transportation services, whether medical transportation under the State plan or non-medical transportation under the waiver.

To the extent that integration into the community and recover-oriented goals are the primary focus of the activity provided, the beneficiary and care manager may want to instead utilize peer support resources on the service plan instead of personal care. If the goals are solely personal care in nature, peers should not be utilized to provide the service.

The Care Manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.

Provider Specifications			
Provider Category(s) <i>(check one or both):</i>	<input type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/> Agency. List the types of agencies:
			Home Health Agency; Personal Assistance Services Agency
Specify whether the service may be provided by <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/> Relative/Legal Guardian
Provider Qualifications <i>(provide the following information for each type of provider):</i>			
Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>
Home Health Agency	State Business License or 501 (c)(3) status; and State Home Health Agency License from Office of Health Facilities Licensing and Certification per Delaware Code Title 16-4406 Home Health Agencies (Licensure).	N/A	<p>Comply with Department standards, including regulations, contract requirements, policies, and procedures relating to provider qualifications.</p> <p>Complete and ensure employees complete Department-required training, including training on the participant's service plan and the participant's unique and/or disability-specific needs, which may include, but is not limited to, communication, mobility, and behavioral needs.</p> <p>Individuals employed by providers must:</p> <ul style="list-style-type: none"> • Be at least 18 years of age. • Have criminal background investigations in accordance with state requirements. • Have a screening against the child abuse and adult abuse registry checks and obtain service letters in accordance with 19 Del Code Section 708 and 11 Del Code Sections 8563 and 8564 and not have an adverse registry findings in the performance of the service. <p>In the case of direct care personnel, possess certification through successful completion of training program as required by the Department.</p>
Personal Assistance Services Agency	State Business License or 501(c)(3) status; and State Personal Assistance Services Agency License from Office of Health Facilities Licensing and Certification per Delaware Code Title 16-4469.	N/A	<p>Comply with Department standards, including regulations, contract requirements, policies, and procedures relating to provider qualifications.</p> <p>Complete and ensure employees complete Department-required training, including training on the participant's service plan and the participant's unique and/or disability-specific needs, which may include, but is not limited to, communication, mobility, and behavioral needs.</p> <p>Individuals employed by providers must:</p> <ul style="list-style-type: none"> • Be at least 18 years of age.

			<ul style="list-style-type: none"> • Have criminal background investigations in accordance with state requirements. • Have a screening against the child abuse and adult abuse registry checks and obtain service letters in accordance with 19 Del Code Section 708 and 11 Del Code Sections 8563 and 8564 and not have an adverse registry findings in the performance of the service. • In the case of direct care personnel, possess certification through successful completion of training program as required by the Department.
Verification of Provider Qualifications			
Provider Type:	Entity Responsible for Verification:		Frequency of Verification:
Home Health Agency	Department or Designee		Initially and annually (or more frequent based on service monitoring concerns)
Personal Assistance Services Agency	Department or Designee		Initially and annually (or more frequent based on service monitoring concerns)
Service Delivery Method			
Service Delivery Method (check each that applies):	<input type="checkbox"/>	Beneficiary-directed	<input checked="" type="checkbox"/> Provider managed
Billing Method.			
Bill Code.	<p>T1019 Personal care services, per 15 minutes, not for an inpatient or resident of a hospital, nursing facility, ICF/MR or IMD, part of the individualized plan of treatment (code may not be used to identify services provided by home health aide or certified nurse assistant); home health agency.</p> <p>T1019 U1 Personal care services, per 15 minutes, not for an inpatient or resident of a hospital, nursing facility, ICF/MR or IMD, part of the individualized plan of treatment (code may not be used to identify services provided by home health aide or certified nurse assistant); personal care agency.</p>	Rate and Unit.	<ul style="list-style-type: none"> • Home Health Agency: \$6.58. • Personal Assistance Agency: \$5.85. • Per 15 minutes.

Service Specification

Service Title: *Respite*

Service Definition (Scope):

Respite care includes services provided to beneficiaries unable to care for themselves furnished on a short-term basis because of the absence or need for relief of those persons who normally provide care for the beneficiary. Respite may be provided in an emergency to prevent hospitalization. Respite provides planned or emergency short-term relief to a beneficiary's unpaid caregiver or principle caregiver who is unavailable to provide support. This service will be provided to meet the beneficiary's needs as determined by an assessment performed in accordance with department requirements and as outlined in the beneficiary's Recovery Plan. Beneficiaries are encouraged to receive Respite in the most integrated and cost-effective settings appropriate to meet their respite needs.

Respite services may include the following activities:

- Assistance with the beneficiary's social interaction, use of natural supports and typical community services available to all people and participation in volunteer activities.
- Activities to improve the beneficiary's capacity to perform or assist with activities of daily living and instrumental activities of daily living.
- Onsite modeling of behavior, behavior support, intensive behavior episode intervention, training, cueing, and/or supervision.

Respite 15-minute Unit

Respite (15-minute unit) may be provided in the beneficiary's home or out of the beneficiary's home (not in a facility) in units of 15-minutes, for up to 12 hours a day. It is intended to provide short-term respite.

Respite Per diem

Respite (per diem) may be provided in a facility on a per diem basis. It is intended to provide short-term respite.

Services must be delivered in a manner that supports the beneficiary's communication needs including, but not limited to, age appropriate communication, translation services for beneficiaries that are of limited-English proficiency or who have other communication needs requiring translation, assistance with the provider's understanding, and use of communication devices used by the beneficiary.

If the beneficiary is to receive respite on an ongoing basis, the care manager will monitor on a quarterly basis, as applicable, to see if the objectives and outcomes are being met.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Respite services may not be billed at the same time as personal care or IADL/Chore services.

This service is limited to no more than 14 days per year regardless of funding source. The department may authorize service request expectations above these limits on a case-by-case basis when it determines that:

- No other service options are available to the member, including services provided through an informal support network;
- The absence of the service would present a significant health and welfare risk to the member; and
- Respite service provided in a nursing home, group home, or assisted living facilities is not utilized to replace or relocate an individual's primary residence.
- Room and board in a nursing facility and group home may be paid for by Medicaid for respite service only.

Medical Necessity Criteria include:

- The service is recommended by the care manager and the beneficiary in collaboration, and the service is included in the beneficiary's Recovery Plan; AND
- There are emotional and/or behavioral problems which stress the ability of the caregiver or beneficiary to provide for the beneficiary's needs in the home thus putting the beneficiary at risk of requiring a more intensive level of care (e.g., strained family relationships; exhaustion in caregiver; caregiver struggles to meet other work/family responsibilities or lacks enough time to care for self needs; increased symptoms of mental illness or substance use, such as psychotic thinking, sleeplessness, or self-injurious behavior) OR the primary

caregiver has a time limited situation that necessitates assistance in providing care for the beneficiary (e.g., caregiver is experiencing an acute medical problem, caregiver must attend to a family crisis); AND

- The absence of the service would present a significant health and welfare risk to the beneficiary (e.g., beneficiary has a seizure disorder, beneficiary needs assistance with medication administration, beneficiary has difficulty appropriately regulating water intake)
 - No other means of temporary care exists; AND
 - For beneficiaries also enrolled in DSHP Plus, the Recovery Plan clearly identifies the types of services needed that are in addition to what is already being provided by DSHP Plus; AND
 - The frequency and intensity of the service aligns with the unique situation of the beneficiary and/or caregiver.
- Examples include:

- A caregiver requests respite for a particular weekend so he can have a break and visit family members out of state.
- A beneficiary has a goal on her Recovery Plan to appropriately limit her water intake, since it has led to electrolyte imbalances numerous times in the past, and agrees that she continues to need support in order to achieve that goal. As a result, she and her sister (who she lives with) have identified the need for pre-planned respite services one afternoon each month so the sister can go to a movie or shopping alone.
- A caregiver has identified the immediate need for respite services for up to a week because the beneficiary has been awake most of the night for the last three nights, resulting in the caregiver being awake as well and unable to go to work. The caregiver believes the beneficiary's mood and sleep cycle will normalize in about a week, as it has done many times before, but respite will allow the beneficiary to avoid a higher level of care and will provide a needed break for the caregiver.

The Care Manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.

Provider Specifications

Provider Category(s) <i>(check one or both):</i>	<input type="checkbox"/> Individual. List types:	X	Agency. List the types of agencies:
			Home Health Agency; Personal Assistance Agency; Nursing Facility; Group Home
Specify whether the service may be provided by <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/> Relative/Legal Guardian

Provider Qualifications *(provide the following information for each type of provider):*

Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>
Home Health Agency	State Business License or 501 (c)(3) status; and State Home Health Agency License from Office of Health Facilities Licensing and Certification per Delaware Code Title 16-4406 Home Health	N/A	<p>Comply with Department standards, including regulations, contract requirements, policies, and procedures relating to provider qualifications.</p> <p>Complete and ensure employees complete Department-required training, including training on the participant's service plan and the participant's unique and/or disability-specific needs, which may include, but is not limited to, communication, mobility, and behavioral needs.</p> <p>Individuals employed by providers must:</p> <ul style="list-style-type: none"> • Be at least 18 years of age.

	Agencies (Licensure).		<ul style="list-style-type: none"> • Have criminal background investigations in accordance with state requirements. • Have a screening against the child abuse and adult abuse registry checks and obtain service letters in accordance with 19 Del Code Section 708 and 11 Del Code Sections 8563 and 8564 and not have an adverse registry findings in the performance of the service. <p>In the case of direct care personnel, possess certification through successful completion of training program as required by the Department.</p>
Personal Assistance Services Agency	State Business License or 501(c)(3) status; and State Personal Assistance Services Agency License from Office of Health Facilities Licensing and Certification per Delaware Code Title 16-4469.	N/A	<p>Comply with Department standards, including regulations, contract requirements, policies, and procedures relating to provider qualifications.</p> <p>Complete and ensure employees complete Department-required training, including training on the participant's service plan and the participant's unique and/or disability-specific needs, which may include, but is not limited to, communication, mobility, and behavioral needs.</p> <p>Individuals employed by providers must:</p> <ul style="list-style-type: none"> • Be at least 18 years of age. • Have criminal background investigations in accordance with state requirements. • Have a screening against the child abuse and adult abuse registry checks and obtain service letters in accordance with 19 Del Code Section 708 and 11 Del Code Sections 8563 and 8564 and not have an adverse registry findings in the performance of the service. • In the case of direct care personnel, possess certification through successful completion of training program as required by the Department.
Nursing Home	State Business license or 501(c)(3) status; and Delaware Skilled & Intermediate Care Nursing Facilities License as noted in Delaware Regulations Title 16, 3201		
Group Homes for Persons with Mental Illness	Licensed by the division of Long Term Care under DAC Title 16, Chapter 11, Regulation 3305		<ul style="list-style-type: none"> • 5-10 beds <p>The agency must maintain a staffing ratio consistent with the weighted tiers of the clients in the home as outlined in the Community-based Residential Supports PROMISE service</p>

		<p>definition. The staff must meet the following qualifications and training:</p> <p>Psychiatrist - A person with a medical degree or Doctor of Osteopathy degree, who is licensed to practice medicine in Delaware and is board certified in psychiatry or has served a residency in psychiatry. An LIP, such as a Nurse Practitioner or Physician's Assistant, may work in this role under formal protocols with the psychiatrist.</p> <p>Clinician - A person with a doctoral or master's degree in clinical or counseling psychology, mental health nursing, clinical social work, vocational/psychiatric rehabilitation or education from an accredited college or university; a registered nurse with certification in mental health nursing from the American Nurses Association; or a person with a bachelor's degree with five (5) years' experience in mental health service delivery with at least two (2) years' experience in residential services.</p> <p>Associate Clinician -A person with a bachelor's degree in clinical or counseling psychology, social work, nursing, vocational/psychiatric rehabilitation, education or other mental health field from an accredited college or university; or a registered nurse. An associate clinician shall have had at least 2 years of direct experience in mental health service.</p> <p>Residence Manager - Responsible for the operation of the group home and responsible for the supervision of residents' recovery plans. The qualifications of the Residence Manager must be that of a Clinician (see above).</p> <p>Peer Specialist - A person with a lived experience of mental illness who has received training in this role and scope of practice. All Peers are certified by the state as peer specialists.</p> <p>Residential Service Assistant - A person who has a high school diploma, GED, or CNA. (Note RSAs are not permitted to meet staffing qualifications for Tier 4).</p> <p>*Note: Associate Clinicians and Residential Service Assistants shall have qualifications for the treatment activities in which they engage and shall be supervised by the residence manager. At least seventy-five (75) percent of the group home staff shall be clinicians or associate clinicians. Twenty-five percent should be Peers who work as full members of the multi-disciplinary team. Nothing in these regulations shall be construed to exempt or limit the application of professional licensing requirements, including those pertaining to professional counselors,</p>
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		<p>psychologists, and clinical social workers under 24 Del.C., Chs. 30, 35, and 39, respectively.</p> <p>*Note: Nothing in these regulations prohibit a Peer from serving in any of these roles if they also meet the role standards for education and years of experience.</p> <p>Accreditation is required for group homes with revenues over \$500,000.</p> <p>The service provider shall comply with criminal background check and drug testing laws.</p> <p>The service provider shall maintain a current personnel policies and procedures manual that sets forth grounds for termination, adequately supports sound resident care and is made readily available to the program's staff in each home. The service provider shall comply with the provisions of such manual. The manual shall contain an explanation of the residents' rights pursuant to 16 Del.C. §1121 and applicable federal law.</p> <ul style="list-style-type: none"> • Training in risk assessment of dangerousness and interventions aimed at reducing such risk, including training in managing difficult behaviors, in the implementation of de-escalation techniques, and in self-defense techniques to prevent harm from violent behaviors • Orientation to situational counseling, stress management and social interaction. • A complete course in medications used in the treatment of mental illness including the medications' effects, side effects, and adverse effects (sometimes life threatening) used alone or in combination with other prescription and non-prescription medication and alcoholic or caffeinated beverages; • A course in the common types of mental illness including signs and symptoms of schizophrenia, mood and personality disorders and indications of deterioration of an individual's mental condition; • A course in basic first aid, including basic CPR training and basic physical health coaching including healthy diets, adequate exercise, smoking cessation, and routine dental and medical exams and services as needed; • An explanation of the rights of adults with psychiatric disabilities in residential care in Delaware; • Expectations for confidentiality and ethical behavior towards residents who will reside in the group home; • Policies and procedures that apply to a group home on both a daily and emergency basis; • Fire safety and evacuation procedures; • Health care, sanitation, and safe handling of food; • Familiarization with community behavioral health services available in the county in which the group home is located;
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			<ul style="list-style-type: none"> • Orientation to situational counseling, de-escalation and mediation techniques, stress management and social interaction. • Training in understanding what recovery actually looks like in terms of outcomes, avoidance of paternalistic approaches, how to support appropriate adult activities and leisure skill development for residents; • Demonstration of a clear understanding of these regulations; and • A plan for the continuing education and development of staff. • A service provider need not require training in discrete areas in which the staff person has demonstrated competency through satisfactory job performance or previous experience to the satisfaction of the service provider and the Department. • Staff may be provisionally hired and perform job duties pending completion of training within thirty (30) days. Such provisional staff shall not be on duty without on-site supervision.
Supportive Housing Agency		Certification by DSAMH	<p>The agency must maintain a staffing ratio consistent with the weighted tiers of the clients in the supervised apartments. The staff must meet the qualifications and training below.</p> <ul style="list-style-type: none"> • Comply with Department standards, including regulations, contract requirements, policies, and procedures relating to provider qualifications. • Have a waiver provider agreement. • The organization must be able to document 3 years of experience in providing services to an SPMI population • Comply with Department standards, including regulations, policies, and procedures relating to provider qualifications. • Ensure that employees (direct, contracted, or in a consulting capacity) have been trained to meet the unique needs of the beneficiary; for example, communication, mobility, and behavioral needs. • Comply with and meet all standards as applied through each phase of the standard, annual Department performed monitoring process. • Ensure 24-hour access to personnel (via direct employees or a contract) for response to emergency situations that are related to the Community Based Residential Alternatives service or other waiver services. <p>Employees must:</p> <ul style="list-style-type: none"> • Comply with Department standards, including regulations, policies, and procedures relating to provider qualifications. • Have a valid driver's license if the operation of a vehicle is necessary to provide the service. • Must be at least 18 years old, and have a high school diploma or equivalent.

			<ul style="list-style-type: none"> • Must be certified in the State of Delaware to provide the service, which includes criminal, abuse/neglect registry and professional background checks, and completion of a state approved standardized basic training program. • If providing nursing care, must have qualifications required under State Nurse Practice Act (i.e. RN or LPN). <p>All Supervised Apartment staff must complete the following State mandated training:</p> <ul style="list-style-type: none"> • CPR • First Aid • Introduction to Community-Based Residential Services for Direct Care Staff • Air and Blood Borne Pathogens • Non-Physical Crisis De-Escalation, Crisis Management and Debriefing • Proper Techniques to address Challenging Behavior and Proper Contingency Management • Principles of Psychiatric Rehabilitation • Motivational Interviewing for Co-Occurring Disorders • Basics of Counseling • Recovery Oriented Service Delivery & Documentation • What is Peer Support • Rights and Responsibilities of Individuals receiving Mental Health services • Cultural Competence and Diversity • Prevention/Intervention and Recovery/Resiliency Strategies • Behavioral Health/SUDs and Associated Medical Care and Conditions • HIPPA and Confidentiality • Grief, Loss, and Death Notification Procedures • Applied Suicide Intervention Skills • Community Integration and Olmstead Decision • Intro to Human Needs, Values, Guiding Principles, and Effective Teaching Strategies • Environmental Emergencies: Mitigation, Preparation, and Responding • Basic Health and Medications • Advanced Health and Medications • Nutrition: Food Preparation, Food Storage, Healthy Diet, and Positive Health • Assessing mobile crisis need and accessing
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Verification of Provider Qualifications		
Provider Type:	Entity Responsible for Verification:	Frequency of Verification:
Home Health Agency	Department or Designee	Initially and annually (or more frequent based on service monitoring concerns)
Personal Assistance Services Agency	Department or Designee	Initially and annually (or more frequent based on

		service monitoring concerns)
Nursing Facility	Department or Designee	Initially and annually (or more frequent based on service monitoring concerns)
Group Homes for Persons with Mental Illness Supportive Housing Agency	Department or designee	At least every 2 years and more frequently when deemed necessary by the department.
Service Delivery Method		
Service Delivery Method (check each that applies):	Beneficiary-directed	X Provider managed
Billing Method.		
Bill code.	S5150 Unskilled respite care, not hospice; 15 minutes.	Rate and Unit. <ul style="list-style-type: none"> Home Health Agency: \$6.58. Personal Assistance Agency: \$5.85. Per 15 minutes.
	T2033 Residential care, NOS, waiver, per diem, Tier 1	<ul style="list-style-type: none"> Respite in Supported Apartment Tier 1. Tier 1 (non-ACT) \$ 74.02
	<ul style="list-style-type: none"> T2033 TF Residential care, NOS, waiver, per diem, Tier 2. TF = Intermediate level of care.	Respite in supported Apartment Tier 2 Tier 2 Day (non-ACT) \$ 53.23 <ul style="list-style-type: none"> Tier 2 Night \$ 40.76
	T2033 TG: <ul style="list-style-type: none"> Residential care, NOS, waiver, per diem, Tier 3. TG = Complex/high tech level of care. 	Respite in Group Home Tier 3 Tier 3: up to 5 residents in a Group Home \$ 328.53 Tier 3: 6-8 residents in a Group Home \$ 328.36 Tier 3: 9-10 residents in a Group Home \$ 262.69 Room and Board: up to 5 residents (\$39 Room and Board: 6-10 residents \$33
	T2033 HK: <ul style="list-style-type: none"> Residential care, NOS, waiver, per diem, Tier 4. HK = Specialized mental health program for high-risk populations. 	Respite in Group Home Tier 4 Tier 4: up to 5 residents in a Group Home \$ 399.28 Tier 4: 6-8 residents in a Group Home \$ 328.36 Tier 4: 9-10 residents in a Group Home \$ 262.69 Room and Board: up to 5 residents (\$39 Room and Board: 6-10 residents \$33

Service Specification

Service Title: *Non-medical Transportation*

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (Scope):

Non-medical Transportation services are offered, in addition to any medical transportation furnished under the 42 CFR 440.17(a) in the State Plan. Non-medical transportation services are necessary, as specified by the Recovery Plan, to enable beneficiaries to gain access to waiver services that enable them to integrate more fully into the community and ensure the health, welfare, and safety of the beneficiary. In order to be approved, non-medical transportation would need to be directly related to a goal on the beneficiary's treatment plan (e.g., to a supported employment job) and not for the general transportation needs of the beneficiary (e.g., regular trips to the grocery store). This service will be provided to meet the beneficiary's needs as determined by an assessment performed in accordance with department requirements and as specifically outlined in the beneficiary's Recovery Plan.

Transportation services under the PROMISE program are offered in accordance with the participant's service plan. Whenever possible and as determined through the person-centered planning process, family, neighbors, friends, carpools, coworkers, or community agencies which can provide this service without charge must be utilized.

Transportation services will be delivered through a transportation broker who will arrange and/or provide services pursuant to the plan of care.

Such transportation may also include public transportation - The utilization of Public Transportation promotes self-determination and is made available to individuals as a cost-effective means of accessing services and activities. This service provides payment for the individual's use of public transportation to access employment.

The Care Manager will monitor this service quarterly and will provide ongoing assistance to the individual to identify alternative community-based sources of transportation.

Documentation is maintained that the service is not available under a program funded under section 110 of the Rehabilitation Act of 1973, the IDEA (20 U.S.C. 1401 et seq.) or any other source.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Transportation services provided through the waiver will not be used for obtaining State Plan services. The beneficiary's Recovery Plan must document the need for those Non-medical Transportation services that are not covered under the Medical Assistance Transportation Program.

Non-medical Transportation services may only be included in the Recovery Plan after an individualized determination that the method is the most cost-effective manner to provide needed Transportation services to the beneficiary, and that all other non-Medicaid sources of transportation which can provide this service without charge (such as family, neighbors, friends, community agencies), have been exhausted.

Medical necessity criteria include the following:

- The service is recommended by the care manager and the beneficiary in collaboration, and the service is included in the beneficiary's Recovery Plan; OR

- The service is directly related to a goal on the beneficiary's Recovery Plan related to community integration and/or employment;

AND the following criteria must be met:

- The service is needed to allow the beneficiary the best opportunity to remain in the community, AND
- The beneficiary has no other means of transportation available (e.g., family, neighbors, friends, carpools, co-workers, natural supports, community agencies); AND
- The service is not intended to meet the general transportation needs of the beneficiary in an ongoing fashion; AND;
- The service is not provided during the performance of the beneficiary's paid employment; AND
- The frequency and intensity of the service aligns with the unique needs of the beneficiary. Examples include:
 - A beneficiary identifies the need for public transportation support to help her get to and from her new job she obtained through supported employment efforts.
 - A beneficiary has established a goal to increase his social support network and needs non-medical transportation to a peer-operated program two days per week for the next three months.

Services that cannot be claimed as HCBS transportation services include:

- Services not authorized by the plan of care.
- Trips that have no specified purpose or destination.
- Trips for family, provider, or staff convenience.
- Transportation provided by the beneficiary.
- Transportation provided by the beneficiary's spouse.
- Transportation provided by the biological, step, or adoptive parents of the participant or legal guardian, when the beneficiary is a minor.
- Trips when the beneficiary is not in the vehicle.
- Transportation claimed for more than one beneficiary per vehicle at the same time or for the same miles, except public transportation.
- Transportation outside the State of Delaware, unless:
 - The transportation is provided to access the nearest available medical or therapeutic service.
 - Advance written approval is given by the care manager.
- Services that are mandated to be provided by the public schools as specified in the individual's IEP pursuant to the Individuals with Disabilities Education Act.
- Services that are mandated to be provided by Vocational Rehabilitation as specified in the individual's IPE pursuant to the Rehabilitation Act of 1973.

Non-medical Transportation does not pay for vehicle purchases, rentals, modifications, or repairs.

Non-medical Transportation cannot be provided at the same time a service when the provider is responsible for providing transportation integral to the service or for providing transportation to and from the service.

Except as permitted in accordance with requirements contained in department guidance, policy, and regulations, this service may not be provided on the same day and at the same time as services that contain elements integral to the delivery of this service. This service may not be included on the same Recovery Plan as Community Based Residential Alternatives/Assisted Living/ACT/ICM, as the providers of these services are responsible for transportation and in these situations the cost of transportation is built into the rate.

The Care Manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.

Provider Specifications			
Provider Category(s) <i>(check one or both):</i>	<input checked="" type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/> Agency. List the types of agencies:
			Transportation Broker Agency
Specify whether the service may be provided by <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person	<input checked="" type="checkbox"/> Relative/Legal Guardian
Provider Qualifications <i>(provide the following information for each type of provider):</i>			
Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>
Transportation Broker Agency	State Business License or 501 (c)(3) status	Broker	All drivers possess a valid driver's license. All vehicles are properly registered and insured.
Verification of Provider Qualifications			
Provider Type:	Entity Responsible for Verification:		Frequency of Verification:
Transportation Broker Agency	Department or Designee		Initially and annually (or more frequent based on service monitoring concerns)
Service Delivery Method			
Service Delivery Method <i>(check each that applies):</i>	Beneficiary-directed		<input checked="" type="checkbox"/> Provider managed
Billing Method.			
Bill Code.	<p>A0090 Nonemergency transportation, per mile — vehicle provided by individual (family member, self, neighbor) with vested interest.</p> <p>A0100 Nonemergency transportation: taxi.</p> <p>A0110 Nonemergency transportation and bus, intra or interstate carrier.</p> <p>A0120 Nonemergency transportation: mini-bus, mountain area transports, or other transportation systems.</p> <p>A0130 Nonemergency transportation: wheel-chair van.</p> <p>A0170 Transportation ancillary: parking fees, tolls, other.</p> <p>T2003 SE Nonemergency transportation; encounter/trip. SE — State and/or federally-funded programs/services.</p> <p><i>Note: planned for future rate setting but not for initial implementation. Eventually for the Promise Program, use healthcare common procedure coding system (HCPCS) code T2003 once per calendar month using from and through dates.)</i></p>	Rate and Unit.	See FFS fee schedule from Logisticare.

	<i>T2003 Nonemergency transportation; encounter/trip.</i>		
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Service Specification

Service Title: ***Independent Activities of Daily Living/Chore (IADL/Chore)***

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (Scope):

Independent Activities of Daily Living/Chore (IADL/Chore) services are delivered to beneficiaries that reside in a private home and are necessary, as specified in the Recovery Plan, to enable the beneficiary to integrate more fully into the community and to ensure the health, welfare, and safety of the beneficiary.

This service will be provided to meet the beneficiary's needs, as determined by an assessment performed in accordance with Department requirements and as outlined in the beneficiary's Recovery Plan.

IADL services consist of the performance of general household tasks (e.g., meal preparation, cleaning, laundry, and other routine household care) provided by a qualified homemaker when the beneficiary regularly responsible for these activities is absent or unable to manage the home and care for him or herself or others in the home, or when no landlord or provider agency staff is responsible to perform the IADL services.

Chore services consist of services provided to maintain the home in a clean, sanitary, and safe condition. This service includes heavy household chores, such as:

- Washing floors, windows, and walls,
- Tacking down loose rugs and tiles,
- Moving heavy items of furniture in order to provide safe access and egress,
- Removing ice, snow and/or leaves, and
- Yard maintenance.

The providers of this service must review and be familiar with the crisis support plan.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

IADL/Chore services may not be billed at the same time as personal care or respite services.

IADL/Chore services are limited to 40 hours per beneficiary per Recovery Plan year when the beneficiary or family member(s) or friend(s) with whom the beneficiary resides is temporarily unable to perform and financially provide for the IADL/Chore functions.

Medical necessity criteria include the following:

- The service is recommended by the care manager and the beneficiary in collaboration, and the service is included in the beneficiary's Recovery Plan; AND
- The service is needed to allow the beneficiary the best opportunity to remain in the community, AND
- The tasks required are unable to be completed by the beneficiary or paid or unpaid caregiver; AND
- The beneficiary is not residing in a community based group home; AND
- For beneficiaries also enrolled in DSHP Plus, the Recovery Plan clearly identifies the types of services needed that are in addition to what is already being provided by DSHP Plus; AND
- The frequency and intensity of the service aligns with the unique needs of the beneficiary. Examples include:
 - A beneficiary has the goal of continuing to live independently in his home. Unfortunately, his brother, who used to help with home repairs and general maintenance, has moved out of state, and the beneficiary has no other family or natural supports to help at this time. The beneficiary is not confident in his ability to take care of his yard due to anxiety when leaving his home, and he has

- received a notice from the home owner's association expressing concerns with the condition of his property. IADL/chore has been identified as need to help with yard maintenance once every month.
- A beneficiary has established a goal of meeting and socializing with her neighbors and friends from church, but states her hoarding behaviors interfere with her comfort in inviting people to her apartment. Monthly IADL/chore assistance with household cleaning and to de-clutter active living areas are needed to facilitate progress in meeting this goal.

The Care Manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.

Provider Specifications

Provider Category(s) <i>(check one or both):</i>		Individual. List types:	X	Agency. List the types of agencies:
			Home Health Agency; Personal Assistance Services Agency	
Specify whether the service may be provided by <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/>	Relative/Legal Guardian

Provider Qualifications *(provide the following information for each type of provider):*

Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>
Home Health Agency	State Business License or 501 (c)(3) status; and State Home Health Agency License from Office of Health Facilities Licensing and Certification per Delaware Code Title 16-4406 Home Health Agencies (Licensure).	N/A	<p>Comply with Department standards, including regulations, contract requirements, policies, and procedures relating to provider qualifications.</p> <p>Complete and ensure employees complete Department-required training, including training on the participant's service plan and the participant's unique and/or disability-specific needs, which may include, but is not limited to, communication, mobility, and behavioral needs.</p> <p>Individuals employed by providers must:</p> <ul style="list-style-type: none"> • Be at least 18 years of age. • Have criminal background investigations in accordance with state requirements. • Have a screening against the child abuse and adult abuse registry checks and obtain service letters in accordance with 19 Del Code Section 708 and 11 Del Code Sections 8563 and 8564 and not have an adverse registry findings in the performance of the service. <p>In the case of direct care personnel, possess certification through successful completion of training program as required by the Department.</p>
Personal Assistance Services	State Business License or 501(c)(3) status; and State Personal	N/A	Comply with Department standards, including regulations, contract requirements, policies, and procedures relating to provider qualifications.

Agency	Assistance Services Agency License from Office of Health Facilities Licensing and Certification per Delaware Code Title 16-4469.		<p>Complete and ensure employees complete Department-required training, including training on the participant's service plan and the participant's unique and/or disability-specific needs, which may include, but is not limited to, communication, mobility, and behavioral needs.</p> <p>Individuals employed by providers must:</p> <ul style="list-style-type: none"> • Be at least 18 years of age. • Have criminal background investigations in accordance with state requirements. • Have a screening against the child abuse and adult abuse registry checks and obtain service letters in accordance with 19 Del Code Section 708 and 11 Del Code Sections 8563 and 8564 and not have an adverse registry findings in the performance of the service. • In the case of direct care personnel, possess certification through successful completion of training program as required by the Department.
Verification of Provider Qualifications			
Provider Type:	Entity Responsible for Verification:	Frequency of Verification:	
Home Health Agency	Department or Designee	Initially and annually (or more frequent based on service monitoring concerns)	
Personal Assistance Services Agency	Department or Designee	Initially and annually (or more frequent based on service monitoring concerns)	
Service Delivery Method			
Service Delivery Method <i>(check each that applies):</i>		Beneficiary-directed	<input checked="" type="checkbox"/> Provider managed
Billing Method.			
Bill Code.	S5120	Chore Services; per 15 minutes.	Rate and Unit. <ul style="list-style-type: none"> • Home Health Agency: \$6.58 • Personal Assistance Agency: \$5.85 • Per 15 minutes.

Service Specification

Service Title: ***Individual Employment Support Services (IESS)***

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (Scope):

Individual Employment Support Services (IESS) are services to beneficiaries needing ongoing individualized support to learn a new job or to maintain a job in a competitive or customized integrated work setting that meets job and career goals (including self-employment). Beneficiaries in a competitive employment arrangement receiving IESS are compensated at or above the minimum wage and receive similar wages and levels of benefits paid by the employer for the same or similar work performed by individuals without disabilities. IESS are necessary, as specified in the Recovery Plan, to support the beneficiary to live and work successfully in home and community-based settings, enable the beneficiary to integrate more fully into the community and ensure the health, welfare, and safety of the beneficiary. Supported individual employment may also include support to establish or maintain self-employment, including home-based self-employment. Supported employment services are individualized and may include any combination of the following services: on-going vocational/job-related discovery or assessment not otherwise covered in the annual career planning, on-going person-centered employment planning not otherwise covered in the annual career planning, job placement, job development negotiation with prospective employers, job analysis, job carving, training and systematic instruction, individual supports, benefits support training, planning, transportation, asset development and career advancement services, implementation of assistive technology, and other workforce support services including services not specifically related to job skill training that enable the waiver beneficiary to be successful in integrating into the job setting. Supported employment includes person-centered, comprehensive employment planning and support services that provide assistance for waiver program beneficiaries to obtain, maintain, or advance in competitive employment or self-employment. This employment planning includes engaging a beneficiary in identifying a career direction and developing a plan for achieving competitive, integrated employment at or above the state's minimum wage. The outcome of this activity is identification of the beneficiary's career objective and development of a career plan used to guide beneficiary to gain competitive employment.

Competitive or customized integrated employment, including self-employment, shall be considered the first option when serving beneficiaries with disabilities who are of working age. IESS adopt a "rapid job search" approach to achieving competitive employment and services planned do not assume that a beneficiary must achieve greater readiness for competitive employment before competitive employment is sought.

Supported employment may provide work experiences where the beneficiary can develop strengths and skills that contribute to employability in paid employment in integrated community settings. IESS include supervision, monitoring, training, education, demonstration, or support to assist with the acquisition and retention of skills and training and education in self-determination. Skills development as a part of placement and training may occur as a one-to-one training experience in accordance with Department requirements. IESS may be utilized for a beneficiary to gain work related experience considered crucial for job placement (e.g., unpaid internship), if such experience is vital to the person achieve his or her vocational goal. Provide and support the acquisition of skills necessary to enable the beneficiary to obtain competitive, integrated work where the compensation for the beneficiary is at or above the minimum wage, but not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities, which is considered to be the optimal outcome of Individual Employment Support Services.

In addition to the elements note above, IESS provides two components in accordance with an assessment: intensive IESS and extended follow-along.

Intensive Individual Employment Support Services

Intensive Individual Employment Support Services is an essential component of Individual Employment Support

Services and may include:

- On-the-job training and skills development.
- Assisting the beneficiary with development of natural supports in the workplace.
- Helping the beneficiary to attend school and providing academic supports, when that is their preferences and,
- Coordinating with employers or employees, coworkers and customers, as necessary. (Note: Coordinating with employers and other employees is done only if the beneficiary prefers to have her or his mental illness disclosed and gives permission. Supporting the beneficiary's preference in this area is fundamental to recovery.)
- Providing work incentives planning prior to or during the process of job placement. Work incentives planning involves helping the beneficiary review her or his options for working (number of hours per week, etc.), given the hourly pay the beneficiary's being offered, or is likely to be offered, the beneficiary's current income needs, and the rules concerning how SSA benefits, medical benefits, medical subsidies, and other subsidies (housing, food stamps, etc.) change based on income from paid employment. (This includes providing information on Ticket to Work, etc.). Work incentive planning allows beneficiaries to make informed decisions about how many hours per week to work, as well as their preferred timing in moving from part-time to full-time work. Beneficiaries also are given information and assistance about reporting earnings to various sources of entitlements/benefits.
- Assisting beneficiaries in making informed decisions about whether to disclose their mental illness condition to employers and co-workers.

Intensive IESS includes assisting the beneficiary in meeting employment expectations, performing business functions, addressing issues as they arise, and also includes travel training, and diversity training to the specific business where the beneficiary is employed. Intensive IESS provides support to assist beneficiaries in stabilizing in an integrated situation (including self-employment) and may include activities on behalf of the beneficiary when the beneficiary is not present to assist in maintaining job placement. Once the individual is stable in the position, Extended follow-along will ensue.

Extended Follow Along

Extended follow-along is ongoing support available for an indefinite period as needed by the beneficiary to maintain their paid employment position once they have been stabilized in their position (generally receiving onsite support once per month or less). Extended follow-along support may include reminders of effective workplace practices and reinforcement of skills gained during the period of intensive IESS.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

IESS may not be rendered to a beneficiary eligible for services under a program funded by either the Rehabilitation Act of 1973 as amended or the Individuals with Disabilities Education Act (IDEA) or any other small business development resource available to the beneficiary.

This service must occur in integrated settings and may not occur in non-integrated settings.

IESS services do not include volunteer work and may not be for job placements paying below minimum wage.

Services must be delivered in a manner that supports the beneficiary's communication needs including, but not limited to, age appropriate communication, translation services for beneficiaries that are of limited-English proficiency or who have other communication needs requiring translation, assistance with the provider's understanding, and use of communication devices used by the beneficiary.

This service may be delivered in Delaware and in states contiguous to Delaware.

The IESS service provider must maintain documentation in accordance with Department requirements. The documentation must be available to the Case Manager for monitoring at all times on an ongoing basis. The Case Manager will monitor on a quarterly basis to see if the objectives and outcomes are being met.

Except as permitted in accordance with requirements contained in Department guidance, policy and regulations, this service may not be provided on the same day and at the same time as services that contain elements integral to the delivery of this service.

Federal Financial Participation is not claimed for incentive payments, subsidies, or unrelated vocational training expenses such as the following:

- Incentive payments made to an employer to encourage or subsidize the employer's participation in IESS.
- Payments that are passed through to beneficiaries using IESS.

IESS does not include facility-based or other similar types of vocational services furnished in specialized facilities that are not a part of the general workplace.

IESS does not include payment for supervision, training, support, and adaptations typically available to other non-disabled workers filling similar positions in the business.

IESS provided by an ACT/ICM team is billed only when Supported Employment goals and activities are specifically outlined on the beneficiary's Recovery Plan. The team may bill up to one extra BA unit for the team vocational specialist per month when vocational activities were conducted with the team consistent with the TMACT fidelity model. Documentation must be maintained regarding the vocational activities performed and the goals/activities completed for each individual in the beneficiary's medical record.

The Care Manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.

Provider Specifications

Provider Category(s) <i>(check one or both):</i>	<input checked="" type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/>	Agency. List the types of agencies:
	Individual Employment Support Services Provider		Individual Employment Support Services Provider Agency	
Specify whether the service may be provided by <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/>	Relative/Legal Guardian

Provider Qualifications *(provide the following information for each type of provider):*

Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>
Individual Employment Support Services Provider Agency		<p>Current State motor vehicle registration is required for all vehicles owned, leased, and/or hired and used as a component of the Individual Employment Support Services service</p> <p>Certified by DSAMH as a team in fidelity with the EBP for Employment Supports</p>	<ul style="list-style-type: none"> Comply with applicable Delaware regulations and have a waiver provider agreement Comply with department standards, including regulations, policies, and procedures relating to provider qualifications Have or ensure automobile insurance for any automobiles owned, leased, and/or hired when used as a component of the service Have Worker's Compensation insurance in accordance with State statute and in accordance with department policies Have Commercial General Liability insurance Ensure that employees (direct, contracted, or in a consulting capacity) have been trained to meet the unique needs of the beneficiary; for example, communication, mobility, and behavioral needs <p>Individuals working for or contracted with agencies must meet the following standards:</p> <ul style="list-style-type: none"> Be at least 18 years of age, and Bachelor's degree, and Have a minimum of 1 year of experience living or working with an individual with a disability or support needs commensurate with the beneficiaries served in the waiver or related educational experience Comply with all department standards including regulations,

			<p>policies, and procedures related to provider qualifications</p> <ul style="list-style-type: none"> • Complete department required training for the EBP, including training on the beneficiary’s Recovery Plan and the beneficiary’s unique needs, which may include, but is not limited to, communication, mobility, and behavioral needs • Have criminal clearances • Have a valid driver’s license if the operation of a vehicle is necessary to provide the service • Supervised by a team lead who has received specific EBP training.
Assertive Community Treatment (ACT teams including specialized SUD ACT teams and ACT reintegration teams)		Certification by DSAMH as an ACT team in fidelity with TMACT	<p>In compliance with TMACT fidelity (scoring at least a 3.0) or have provisional certification, ACT teams may provide any component of the services listed and must employ and utilize the qualified State Plan providers (i.e., physicians, licensed practitioners) and HCBS providers necessary to maintain fidelity including Employment specialists.</p> <p>Employment Specialists on an ACT team: Must be at least 18 years old, and meet the regulatory requirements for associate clinicians such as a person with a bachelor’s degree in a human service field.</p> <p>Certification in the State of Delaware to provide the service, which includes criminal, professional background checks, and completion of a state approved standardized basic training program.</p> <ul style="list-style-type: none"> • Anyone providing SUD services must be certified by DHSS, in addition to any required scope of practice license required for the facility or agency to practice in the State of Delaware.
Intensive Care Management teams (ICM teams)		Certification by DSAMH in fidelity with State ICM standards	<p>In compliance with state mandates under the settlement, ICM teams may provide any component of the services listed and must employ and utilize the qualified State Plan providers (i.e., physicians, licensed practitioners) and HCBS providers necessary to maintain fidelity including Employment specialists. ACT teams not meeting provisional certification or having fidelity below 3.0 are ICM teams.</p> <p>Employment Specialists on ICM teams: Must be at least 18 years old, and meet the regulatory requirements for associate clinicians such as a person with a bachelor’s degree in a human service field.</p> <p>Certification in the State of Delaware to provide the service, which includes criminal, professional background checks, and completion of a state approved standardized basic training program.</p> <ul style="list-style-type: none"> • Anyone providing SUD services must be certified by DHSS, in addition to any required scope of practice license required for the facility or agency to practice in the State of Delaware.

Verification of Provider Qualifications				
Provider Type:	Entity Responsible for Verification:	Frequency of Verification:		
Individual Employment Support Services Provider Agency	department or designee	At least every 2 years and more frequently when deemed necessary by the department		
Individual Employment Support Services Provider	department or designee	At least every 2 years and more frequently when deemed necessary by the department		
Service Delivery Method				
Service Delivery Method (check each that applies):	<input checked="" type="checkbox"/>	Beneficiary-directed	<input checked="" type="checkbox"/>	Provider managed
Billing Method.				
Bill Code.	H2023 SE Supported employment, per 15 minutes. SE = State and/or federally-funded programs/services.	Bill rate and Unit.	<ul style="list-style-type: none"> • Year 1: \$18.51. • Year 2: \$18.30. • Per 15 minutes. 	

ACT Rate Summary (Established Teams)

Staff	Unit	Small Team	Large Team	Procedure Code
Bachelors Therapist	Per Diem	\$145.18	\$136.46	H0040 HN

ICM Rate Summary (Established Teams) – Per diem rate

Staff	Unit	Small Team	Large Team	Procedure Code
Bachelors Therapist	Per Diem	\$100.89	\$73.84	H0037HN

Service Specification

Service Title: **Short Term Small Group Supported Employment**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (Scope):

Short Term Small Group Supported Employment services provide support to beneficiaries to gain skills to enable transition to integrated, competitive employment. This service is provided, instead of Individual Employment Support Services (IESS) only when the person specifically chooses this service over IESS, based on a desire to work in a group context, or to earn income more quickly than might be possible with an individualized rapid job search through IESS. Short Term Small Group Supported Employment Supports are services and training activities provided in regular business, industry, and community settings for groups of two (2) to four (4) workers with disabilities. Examples include mobile crews and other employment work groups. Small Group Employment Support must be provided in a manner that promotes integration into the workplace and interaction between beneficiaries and people without disabilities in those workplaces. The outcome of this service is sustained paid employment and work experience leading to further career development and beneficiary integrated community-based employment. Within this service, the beneficiary is compensated at or above minimum wage, but not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities.

Short Term Small Group Supported Employment Supports may be a combination of the following services: on the job supports, initial and ongoing employment planning and advancement, employment assessment not otherwise covered in the annual career planning, job placement, job development, negotiation with prospective employers, job analysis, training and systematic instruction, job coaching, benefits supports training and planning transportation. If the beneficiary has received a career assessment that has determined that the beneficiary is in need of acquiring particular skills in order to enhance their employability, those identified skill development areas must be addressed within the beneficiary's Recovery Plan and by the Short Term Small Group Supported Employment Support. Beneficiaries receiving this service must have an employment outcome goal included in their Recovery Plan.

On-the-job support includes: onsite job training, assisting the beneficiary to develop natural supports in the workplace, coordinating with employers and coworkers, as necessary, to assist the beneficiary in meeting employment expectations and addressing issues as they arise. Other workplace support services may include services not specifically related to job skill training that enable the waiver beneficiary to be successful in integrating in to the job setting.

Short Term Small Group Supported Employment Supports includes person-centered, comprehensive employment planning and support service that provides assistance for waiver program beneficiaries to obtain, maintain, or advance in competitive employment or self-employment. This employment planning includes engaging a beneficiary in identifying a career direction and developing a plan for achieving competitive, integrated employment at or above the state's minimum wage. The outcome of this activity is documentation of the beneficiary's stated career objective and a career plan used to guide beneficiary employment support.

Short Term Small Group Supported Employment Supports emphasize the importance of rapid job search for a competitive job and provide work experiences where the beneficiary can develop strengths and skills that contribute to employability in individualized paid employment in integrated community settings. Short Term Small Group Supported Employment Supports include the provision of scheduled activities outside of a beneficiary's home that support acquisition, retention, or improvement in self-care, sensory-motor development, socialization, daily living skills, communication, community living, and social skills. Short Term Small Group Supported Employment Supports include supervision, monitoring, training, education, demonstration, or support to assist with the acquisition and retention of skills and training and education in self-determination. Skills development as a part of placement and training may occur as a one-to-one training experience in accordance with department requirements. Short Term Small Group Supported Employment Supports will be utilized for a beneficiary to gain work related experience considered crucial for job placement (e.g., unpaid internship). Provide and support the acquisition of skills necessary to enable the

beneficiary to obtain competitive, integrated work where the compensation for the beneficiary is at or above the minimum wage, but not less than the customary wage and level of benefits paid by the employer for the same or similar work performed by individuals without disabilities, which is considered to be the optimal outcome of Short Term Small Group Supported Employment Supports.

Services must be delivered in a manner that supports the beneficiary's communication needs including, but not limited to, age appropriate communication, translation services for beneficiaries that are of limited-English proficiency or who have other communication needs requiring translation, assistance with the provider's understanding, and use of communication devices used by the beneficiary.

This service may be delivered in Delaware and in states contiguous to Delaware.

The Short Term Small Group Supported Employment Supports service provider must maintain documentation in accordance with department requirements. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. The care manager will monitor on a quarterly basis to see if the objectives and outcomes are being met. Competitive and integrated employment, including self-employment, shall be considered the first option when serving persons with disabilities who are of working age.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

Short Term Small Group Supported Employment Supports may not be rendered to a beneficiary eligible for such services under a program funded by either the Rehabilitation Act of 1973 as amended or the Individuals with Disabilities Education Act (IDEA) or any other small business development resource available to the beneficiary. Documentation in accordance with department requirements must be maintained in the file by the care manager and updated with each reauthorization to satisfy the State assurance that the service is not otherwise available to the beneficiary under other federal programs.

Prior authorization for Short-Term Supported Employment Small Group Supports is required. Documentation must be provided that Short-Term Supported Employment Small Group Supports is the beneficiary's preference among employment options and/or that it enabled the person to achieve a stated goal of quickly obtaining income from employment. Continuation of Short Term Small Group Supported Employment Supports requires a review and reauthorization every 6 months in accordance with department requirements, and shall not exceed 12 continuous months without obtaining information from an employment assessment and/or exploration of alternative services. The review and reauthorization should verify that there have been appropriate attempts to prepare the beneficiary for a transition to IESS and that the beneficiary continues to prefer Short-Term Supported Employment Small Group Supports, despite these attempts.

Except as permitted in accordance with requirements contained in department guidance, policy, and regulations, this service may not be provided on the same day and at the same time as services that contain elements integral to the delivery of this service.

This service must occur in integrated settings and may not occur in non-integrated settings.

Short Term Small Group Supported Employment Supports services do not include volunteer work and may not be for job placements paying below minimum wage.

Federal Financial Participation is not claimed for incentive payments, subsidies, or unrelated vocational training expenses such as the following:

- Incentive payments made to an employer to encourage or subsidize the employer's participation in Short Term Small Group Supported Employment Supports services.
- Payments that are passed through to users of Short Term Small Group Supported Employment Supports beneficiaries.

Short Term Small Group Supported Employment Supports services do not include payment for supervision, training, support, and adaptations typically available to other workers filling similar positions in the business.

Short Term Small Group Supported Employment Supports does not include facility-based or other, similar types of vocational services furnished in specialized facilities that are not a part of the general workplace.

Short Term Small Group Supported Employment Supports is not a pre-requisite for individualized, integrated supported employment under Supported Employment-Individual.

The Care Manager must ensure that the provider maintains documentation and that the care manager monitors the services on an on-going basis to ensure that the health and welfare of the beneficiary is met and the Recovery Plan goals are achieved. The documentation must be available to the care manager for monitoring at all times on an ongoing basis. Documentation in accordance with department requirements must be maintained in the beneficiary's file by the care manager and updated with each reauthorization, as applicable.

Provider Specifications			
Provider Category(s) <i>(check one or both):</i>	<input type="checkbox"/>	Individual. List types:	<input checked="" type="checkbox"/> Agency. List the types of agencies: Short Term Small Group Supported Employment Agency
Specify whether the service may be provided by <i>(check each that applies):</i>	<input type="checkbox"/>	Legally Responsible Person	<input type="checkbox"/> Relative/Legal Guardian
Provider Qualifications <i>(provide the following information for each type of provider):</i>			
Provider Type:	License <i>(specify)</i>	Certificate <i>(specify)</i>	Other Standard <i>(specify)</i>
Supported Employment agency	State Business License or 501 (c)(3) status	PROMISE Certified Provider (utilizing DDDS Waiver Criteria); and, DVR Vendor for Job Development, Placement and Retention Services	<p>Comply with Department standards, including regulations, contract requirements, policies, and procedures relating to provider qualifications.</p> <p>Meet minimum standards as set forth by Division of Vocational Rehabilitation or Division for the Visually Impaired as applicable for comparable services.</p> <p>Ensure employees complete Department-required training, including training on the participant's service plan and the participant's unique and/or disability-specific needs, which may include, but is not limited to, communication, mobility, and behavioral needs.</p> <p>Individuals employed by providers must:</p> <ul style="list-style-type: none"> • Have criminal background investigations in accordance with state requirements. • Have a screening against the child abuse and adult abuse registry checks and obtain service letters in accordance with 19 Del Code Section 708 and 11 Del Code Sections 8563 and 8564 and not have an adverse registry findings in the performance of the service. • Be state licensed (as applicable), or registered in their profession as required by state law. • In the case of direct care personnel, possess certification through successful completion of training program as required by the Department.
Verification of Provider Qualifications			
Provider Type:	Entity Responsible for Verification:		Frequency of Verification:
Supported Employment Agency	Department or Designee		Initially and annually (or more frequent based on service monitoring concerns)

Service Delivery Method			
Service Delivery Method <i>(check each that applies):</i>	<input type="checkbox"/>	Beneficiary-directed	<input checked="" type="checkbox"/> Provider managed
Billing Method.			
Bill code.	<p>T2019 UN Habilitation, supported employment, waiver, per 15 minutes. UN = 2 patients served.</p> <p>T2019 UP Habilitation, supported employment, waiver, per 15 minutes. UP = 3 patients served.</p> <p>T2019 UQ Habilitation, supported employment, waiver, per 15 minutes. UQ = 4 patients served.</p>	Bill rate and Unit.	<ul style="list-style-type: none"> • \$6.81 (1:2) • \$4.71 (1:3) • \$3.67(1:4) • Per 15 minutes.

Service Specification

Service Title: **Community Transition Services**

Complete this part for a renewal application or a new waiver that replaces an existing waiver. Select one:

- Service is included in approved waiver. There is no change in service specifications.
- Service is included in approved waiver. The service specifications have been modified.
- Service is not included in the approved waiver.

Service Definition (Scope):

Community Transitions Services are non-recurring set-up expenses for individuals who are transitioning from an institutional or another provider-operated living arrangement to a living arrangement where the person has a lease (e.g., apartment) or is in a private residence. The individual is directly responsible for his or her own living expenses. Allowable expenses are those necessary to enable a person to establish a basic household that do not constitute room and board and may include: (a) security deposits that are required to obtain a lease on an apartment or home; (b) essential household furnishings and moving expense required to occupy and use a community domicile, including furniture, window coverings, food preparation items, and bed/bath linens; (c) set-up fees or deposits for utility or service access, including telephone, electricity, heating and water; (d) services necessary for the individual's health and safety such as pest eradication and one-time cleaning prior to occupancy; (e) moving expenses; (f) necessary home accessibility adaptations; and, (g) activities to assess need, arrange for and procure need resources. Community Transition Services are furnished only to the extent that they are reasonable and necessary as determined through the service plan development process clearly identified in the service plan and the person is unable to meet such expense or when the services cannot be obtained from other sources. Community Transition Services do not include monthly rental or mortgage expense; food, regular utility charges; and/or household appliances or items that are intended for purely diversional/recreational purposes. Community Transition Services may not include payment for room and board. The payment of a security deposit is not considered rent. When Community Transition Services are furnished to individuals returning to the community from a Medicaid institutional setting through entrance to the waiver, the costs of such services are considered to be incurred and billable when the person leaves the institutional setting and enters PROMISE. The individual must be reasonably expected to be eligible for and to enroll in the waiver. If for any unseen reason, the individual does not enroll in the waiver (e.g., due to death or a significant change in condition), transitional services may be billed to Medicaid as an administrative cost. Community Transition Services may be furnished as a PROMISE service to individuals who transition from provider-operated settings other than Medicaid reimbursable institutions to their own private residence in the community. Community Transition Services may not be used to pay for furnishing living arrangements that are owned or leased by a PROMISE provider where the provision of these items and services are inherent to the service they are already providing. Community Transition Services are limited to \$1,800 per person but may be exceeded on a case-by-case basis with prior authorization based on medical necessity.

Specify applicable (if any) limits on the amount, frequency, or duration of this service:

- To be authorized as a PROMISE service on a Recovery Plan, the following authorization criteria must be met at a minimum:
- The service is recommended by the care manager and the beneficiary in collaboration, and the service is included in the beneficiary's Recovery Plan; AND
 - Requests for home accessibility adaptations align with the unique needs of the beneficiary (e.g., beneficiary with hearing impairment needs additional alerting systems for doorbells and smoke alarms; beneficiary with a wheelchair needs a ramp leading to the front door)
 - The service is directly related to a goal on the beneficiary's Recovery Plan related to transitioning from an institutional or other provider-operated living arrangement to a living arrangement where the beneficiary has a lease (e.g., apartment) or is in a private residence; AND
 - The beneficiary is unable to meet such expense or obtain needed support from other sources (i.e., other sources have been exhausted first); AND
 - The service will not be used for monthly rental or mortgage expenses; room and board; food; regular utility

charges; and/or household appliances or items that are intended for purely diversional/recreational purposes; AND			
<ul style="list-style-type: none"> The beneficiary has not received this service previously for transition to this setting. 			
Provider Specifications			
Provider Category(s) (check one or both):	<input type="checkbox"/>	Individual. List types:	<input type="checkbox"/> Agency. List the types of agencies:
Specify whether the service may be provided by (check each that applies):		<input type="checkbox"/> Legally Responsible Person	<input type="checkbox"/> Relative/Legal Guardian
Provider Qualifications (provide the following information for each type of provider):			
Provider Type:	License (specify)	Certificate (specify)	Other Standard (specify)
Verification of Provider Qualifications			
Provider Type:	Entity Responsible for Verification:	Frequency of Verification:	
Independent vendor		<ul style="list-style-type: none"> Comply with state regulations and have a provider agreement Comply with Department standards, including regulations, policies and procedures relating to provider qualifications Have Worker's Compensation insurance in accordance with State statute and in accordance with Department policies Have Commercial General Liability insurance Ensure that employees (direct, contracted or in a consulting capacity) have been trained to meet the unique needs of the participant; for example, communication, mobility and behavioral needs Meet all local and State requirements for the service. All items and services shall be provided according to applicable State and local standards of manufacture, design and installation <p>Individuals working for or contracted with agencies must meet the following standards:</p> <ul style="list-style-type: none"> Be at least 18 years of age. Comply with all Department standards including regulations, policies and procedures related to provider qualifications. Complete Department required training, including training on the participant's service plan and the participant's unique needs, which may include, but is not limited to, communication, mobility and behavioral needs. Have a valid driver's license from Delaware or a contiguous state if the operation of a vehicle is necessary to provide the service. 	
Service Delivery Method			
Service Delivery Method (check each that applies):	<input type="checkbox"/>	Beneficiary-directed	<input type="checkbox"/> Provider managed
Procedure Code		Description	Rate
T2028		Specialized supply, not otherwise specified, waiver.	Market rate
T2035		Utility services to support	Market rate

		medical equipment and assistive technology/devices, waiver.		
T2038		Community transition, waiver, per service.		Market rate

Certification Detail for Evidence-Based Practices under PROMISE

Appendix 1: Delaware State Standards for Assertive Community Treatment (ACT) Services

Please refer to DSAMH's website for the most updated version: <http://dhss.delaware.gov/dsamh/>

OVERVIEW

This section of the manual contains the standards by which the Division of Substance Abuse and Mental Health (DSAMH) certifies Assertive Community Treatment (ACT) for persons with psychiatric disabilities. Certification is required for provider enrollment with the Delaware Department of Health and Social Services (DHSS), Division of Medicaid and Medical Assistance (DMMA) Program for Medicaid reimbursement through the rehabilitative services option of Title XIX of the Social Security Amendments.

Through an Inter-Divisional Agreement DSAMH has been delegated authority for administration of certain provisions of the Medicaid program pertaining to behavioral health services covered under the rehabilitative services option. These provisions include the following: 1) certification of programs for provider enrollment, 2) rate setting, and 3) performance improvement. Delegated performance improvement functions include program monitoring, utilization control, training and technical assistance.

DMMA requires providers of behavioral health rehabilitative services to be certified by DSAMH as a condition of enrollment before they may provide services to eligible Medicaid recipients. Behavioral Health rehabilitative services are medically related treatment, rehabilitative and support services for persons with disabilities caused by mental illness, and substance use disorders. The Assertive Community Treatment (ACT), Psychosocial Rehabilitation Center (PRC) and Residential Rehabilitation Facility (RRF) are categories of community support programs that the Division certifies as one of the criteria for Medicaid provider enrollment. Services are provided for as long as is medically necessary to assist service recipients to manage the symptoms of their illnesses, minimize the effects of their disabilities on their capacity for independent living and prevent or eliminate periods of inpatient treatment.

1 CERTIFICATION FOR PROVIDER PARTICIPATION

1.1 *Authority*– Through an Inter-Divisional Agreement, the Division of Health and Social Services (DHSS) Delaware Medical Assistance Program (DMAP) has delegated the function of certifying organizations for enrollment as providers of optional behavioral health community support services to the Division of Substance Abuse and Mental Health (Division or DSAMH).

1.2 *Certification Criteria*– Eligibility for certification to provide community support services is determined according to the following criteria:

- 1.2.1 Organizations eligible to apply for provider certification and enrollment with DHSS for Medicaid reimbursement of Community Support Services include:
 - 1.2.1.1 Private non-profit human service corporations;
 - 1.2.1.2 Private for-profit human service corporations;
- 1.2.2 The Division bases its certification of programs and enrollment recommendations to DHSS upon the organization's compliance with state-level organizational, administrative and program standards that are consistent with federal Medicaid requirements related to Rehabilitative Services.
- 1.2.3 The Division establishes and applies minimum compliance guidelines to be used in making certification determinations.
- 1.2.4 The Division uses a certification survey to measure compliance with organizational, administrative and program standards. The determination with regard to a program's certification is based on:
 - 1.2.4.1 Statements made and certified by authorized representatives of the organization;
 - 1.2.4.2 Documents provided to the Division by the organization;
 - 1.2.4.3 Documented compliance with organizational, program and administrative standards;
 - 1.2.4.4 On-site observations by surveyor.

2 Definitions

ACT (Assertive Community Treatment) Team is a group of ten (10) ACT staff members who together have a range of clinical and rehabilitation skills and expertise. The ACT team members are assigned by the team leader and the psychiatric prescriber to work collaboratively with an individual and his/her family and/or natural supports in the community by the time of the first individual assessment and subsequent person directed recovery planning meeting. The ACT team serves up to 100 individuals and thus has a maximum staff to client ratio of 1:10.

The core members of the team are the primary care manager, the psychiatric prescriber, at least one nurse, and at least one clinical or rehabilitation staff person who shares case coordination and service provision tasks for each individual. The team has continuous responsibility to be knowledgeable about the individual's life, circumstances, goals and desires; to collaborate with

the individual to develop and write the recovery plan; to offer options and choices in the recovery plan; to ensure that immediate changes are made as an individual's needs change; and to advocate for the individual's wishes, rights, and preferences. The ACT team is responsible for providing much of the individual's treatment, rehabilitation, and support services. Team members are assigned to take separate service roles with the individual as specified by the individual and the person directed recovery plan.

Assistance with self-administered medications (AWSAM) means a situation where a designated care provider who has taken a Board approved medication training program, or a designated care provider who is otherwise exempt from the requirement of having to take the Board approved self-administration of medication training program, assists the patient in self-administration of medication other than by injection, provided that the medication is in the original container with a proper label and directions. In cases where medication planners are used, the individual to whom the medication is prescribed must fill the planner. The designated care provider may hold the container or planner for the patient, assist with the opening of the container, and assist the patient in taking the medication.

AWSAM is conducted with the individual present. When delivering medications to the individual in the community, medications must be in their original containers or a labeled container with the name of the medication, dosage, dosing directions and name of the psychiatric prescriber prescribing the medication. (*Delaware Nurse Practice Act*, Title 24 Del. Code Ch. 19, 1902)

Adverse Events are confirmed incidents of abuse, neglect, mistreatment, financial exploitation, and/or significant injuries which require reporting and investigative processes in accordance to DSAMH policies.

Atypical Antipsychotic Medications (also known as “second generation antipsychotics”) are those medications used in the treatment of individuals diagnosed with schizophrenia and bipolar conditions.

BioPsychoSocial (BPS) is an assessment positing that biological, psychological, and social factors are together related as significant factors in human functioning in the context of disease or illness.

Clinical Supervision is a systematic process to review each individual's clinical status and to ensure that the individualized services and interventions that the team members provide (including the peer specialist) are planned with, purposeful for, effective, and satisfactory to the individual. The team leader and the psychiatric prescriber have the responsibility for providing clinical supervision that occurs during daily organizational staff meetings, recovery planning meetings, and in individual meetings with team members. Clinical supervision also includes review of written documentation (e.g., assessments, recovery plans, progress notes, correspondence) in conjunction with each recovery plan review and update, upon an individual

re-entering ACT or ICM services after a hospitalization of 30 days or more or any time there has been a change to the course of service provision as outlined in the most current recovery plan.

Comprehensive Assessment is the organized process of gathering and analyzing current and past information with each individual and the family and/or support system and other significant people to evaluate: 1) mental and functional status; 2) effectiveness of past treatment; 3) current treatment, rehabilitation and support needs to achieve individual goals and support recovery; and, 4) the range of individual strengths (e.g., knowledge gained from dealing with adversity, personal/professional roles, talents, personal traits) that can act as resources to the individual and his/her recovery planning team in pursuing goals. The results of the information gathering and analysis are used to: 1) establish immediate and longer-term service needs with each individual; 2) set goals and develop the first person directed recovery plan with each individual; and, 3) optimize benefits that can be derived from existing strengths and resources of the individual and his/her family and/or natural support network in the community.

Co-Occurring Disorders (COD) Services include integrated assessment and treatment for individuals who have co-occurring mental health and substance use condition.

Crisis Assessment and Intervention includes services offered twenty-four (24) hours per day, seven days per week for individuals when they are experiencing an event that requires immediate response from a team member or other mental health professional. This includes a presence at local emergency departments and state crisis response settings (e.g. CAPES, CAPAC).

Daily Log is a written document maintained by the ACT team on a daily basis to provide: 1) a current roster of individuals served by the team; and, 2) for each individual, a brief description of any treatment or service contacts which have occurred during the day and a concise behavioral description of the individual's clinical status and any additional needs.

Daily Organizational Staff Meeting is a daily ACT team meeting held at regularly scheduled times under the direction of the team leader (or designee) to: 1) briefly review the service contacts which occurred the previous day and the status of all program individuals; 2) review the service contacts which are scheduled to be completed during the current day and revise as needed; 3) assign staff to carry out the day's service activities; and 4) revise recovery plans and plan for emergency and crisis situations as needed. The daily log and the daily staff assignment schedule are used during the meeting to facilitate completion of these tasks.

Daily Staff Assignment Schedule is a written, daily timetable summarizing all individual treatment and service contacts to be divided and shared by staff working on that day. The daily staff assignment schedule will be developed from a central file of all weekly individual schedules.

DHSS refers to the Delaware Department of Health and Social Services.

DMMA refers to the Delaware Division of Medicaid and Medical Assistance, providing health care coverage to individuals with low incomes and to those with disabilities, ensuring access to high quality, cost effective and appropriate medical care and supportive services.

DSAMH refers to the Delaware Division of Substance Abuse and Mental Health within the Department of Health and Social Services.

Family and Natural Supports' Psycho-education and Support is an approach to working in partnership with families and natural supports to provide current information about mental illness and to help them develop coping skills for handling problems posed by mental illness as experienced by a significant other in their lives.

Health Homes were established within the Affordable Care Act to coordinate care for people with Medicaid who have chronic conditions, operating under a "whole-person" philosophy, integrating and coordinating all primary, acute, behavioral health, and long-term services and supports to treat the whole person.

Individual is an adult, age eighteen (18) and older who is receiving person-centered treatment, rehabilitation, and support services from the ACT team.

Individual Therapy includes therapeutic interventions that help people make changes in their feelings, thoughts, and behavior in order to clarify goals and address stigma as they move toward recovery. Empirically-supported psychotherapy such as cognitive-behavioral therapy and supportive therapies also help individuals understand and identify symptoms in order to find strategies to lessen distress and symptomatology, improve role functioning, and evaluate the personal effectiveness and appropriateness of treatment and rehabilitative services available to them.

Informed Consent means that the consumer has an understanding of the purposes, risks and benefits of each medication or treatment prescribed, as well as his/her rights to refuse medication or treatment.

Initial Assessment and Person directed recovery plan is the initial evaluation of: 1) the individual's mental and functional status; 2) the effectiveness of past treatment; 3) the current treatment, rehabilitation and support service needs, and 4) the range of individual strengths that can act as resources to the person and his/her team in pursuing goals. The results of the information gathering and analysis are used to establish the initial recovery plan to achieve individual goals and support recovery. Completed the day of admission, the individual's initial assessment and recovery plan guides team services until the comprehensive assessment and full person directed recovery plan is completed.

Illness/Symptom Management is an approach directed to help each individual identify and target the undesirable symptoms and disruptive manifestations of his or her mental illness and develop methods to help reduce recurrence and impact of those symptoms. Methods include identifying triggers and warning signs associated with specific symptoms, and learning ways to prevent and cope with symptoms.

Instrumental Activities of Daily Living (IADL) include approaches to support individuals and build skills in a range of activities of daily living, including but not limited to finding housing, performing household activities, increased independence in carrying out personal hygiene and grooming tasks, money management, accessing and using transportation resources, and accessing services from a physician and dentist.

Interdisciplinary Approach is the service model whereby team members from multiple disciplines analyze and synthesize shared roles and systematically collaborate and train each other in the methods associated with their expertise across assessment and service activities to reap the benefits of each member's unique point of view. The purpose of this approach is to share responsibility for services to consumers and to pool and integrate the expertise of team members so that consumers receive the specific evidence-based and client-centered services they need to achieve their goals. The communication expectation in this type of team involves continuous collaboration among all members (inclusive of the individual and, if desired, his/her family/other natural supports) on a regular, planned basis.

Medication Administration is the physical act of giving medication to individuals in an ACT program by the prescribed route that is consistent with state law and the licenses of the professionals privileged to prescribe and/or administer medication (e.g., psychiatric prescribers, nurse practitioners, registered nurses, and pharmacists).

Medication Adherence Education involves the sharing of information from the ACT team members to the individual or the individual's natural supports about pros and cons of taking medication for mental health conditions. Peers may *not* assist with medication adherence education.

Medication Assistance is the oversight of medication adherence where a member of the ACT team observes or provides training in self-administration of medication. With the exception of a registered nurse or psychiatric prescriber, all team members must receive Assistance With Self-Administered Medication (AWSAM) training at the beginning of employment and annually thereafter. Team members required to participate in AWSAM training may not observe medication assistance prior to completing initial AWSAM training during orientation and annual training thereafter. *Peers may assist in medication assistance only when the team has determined that only the Peer will have the most success in helping the individual adhere to a prescribed medication regimen; this allowance must be time limited along with a plan to disengage the peer from providing this service in addition to pre-approval by DSAMH.*

Medication Error is any error in prescribing, administering or delivering a specific medication, including errors in writing or transcribing the prescription, in obtaining and administering the correct medication, in the correct dosage, in the correct form, and at the correct time.

Medication Management is a collaborative effort between the individual and the psychiatric prescriber with the participation of the team to provide training in medication adherence and to carefully evaluate the individual's previous experience with psychotropic medications and side-effects; to identify and discuss the benefits and risks of psychotropic and other medication; to choose a medication treatment; and to establish a method to prescribe and evaluate medication response according to evidence-based practice standards.

Nurse Licensure Compact is a nurse who is licensed in one of the participating Compact (Multi-State) Licensure states. A compact license allows a licensed Registered Nurse (RN) or Licensed Practical Nurse (LPN) to work in another state without having to obtain licensure in that state. The state where the nurse is licensed and the state where the nurse works **both** must be parties to the compact agreement.

Peer Support and Wellness Recovery Services are services provided by team members who have experience as recipients of mental health services. The role of the peer support includes providing services that serve to validate individuals' experiences, provide guidance and encouragement to individuals to take responsibility for and actively participate in their own recovery, and help individuals identify, understand, and combat stigma and discrimination against mental illness and develop strategies to reduce individuals' self-imposed stigma. The DSAMH Scope of Practice for peers shall be the guide for utilizing this resource.

Person-Directed Recovery plan (PDRP) is the product of a continuing process involving each individual, his/her family and/or natural supports in the community, and the ACT team, which tailors service activity and intensity to meet the individual's specific treatment, rehabilitation, and support needs. The written recovery plan documents the individual's strengths, resources, self-determined goals, and the services necessary to help the individual achieve them. The plan also delineates the roles and responsibilities of the team members who work collaboratively with each individual in carrying out the services.

Primary care manager under the supervision of the Team Leader, the primary care manager leads and coordinates the activities of the individual treatment team (and is the team member who has primary responsibility for establishing and maintaining a therapeutic relationship with an individual on a continuing basis, whether the individual is in the hospital, in the community, or involved with other agencies. In addition, he or she is the responsible team member to be knowledgeable about the individual's life, circumstances, and goals and desires.

The primary care manager develops and collaborates with the individual to write the person directed recovery plan, offers options and choices in the recovery plan, ensures that immediate changes are made as the individual's needs change, and advocates for the individual's wishes, rights, and preferences. The primary care manager also works with other community resources, including individual-run services, to coordinate activities and integrate other agency or service activities into the overall service plan with the individual. The primary care manager provides individual supportive therapy and provides primary support and education to the family and/or support system and other significant people. In most cases the primary practitioner is the first team member available to the individual in crisis. The primary care manager shares these service activities with other members of the team who are responsible to perform them when the primary care manager is not working.

Program refers to the ACT services team that provides service in accordance with these standards.

Psychiatric Prescriber means a physician or psychiatric nurse practitioner, licensed by the State of Delaware who has specific clinical experience in the treatment of mental health disorders. Psychiatric Prescribers must have specific training in pharmacology and in applicability of psychotropic medications used with individuals who have a mental health diagnosis and have full privileges to diagnosis mental health disorders and prescribe psychotropic medications by virtue of their professional license.

Psychotropic Medication is any drug used to treat, manage, or control psychiatric symptoms or behavior, including but not limited to antipsychotic, antidepressant, mood-stabilizing or anti-anxiety agents.

Recovery Plan Review is a thorough, written summary describing the individual's and the *interdisciplinary* team's evaluation of the individual's progress/goal attainment, the effectiveness of the interventions, and satisfaction with services since the last person directed recovery plan. The Recovery Plan Review provides a basis for making needed refinements in the individual's service plan and includes active participation by the individual served.

Recovery Planning Meeting is a regularly scheduled meeting conducted under the supervision of the team leader and the psychiatric prescriber. The purpose of the meeting is for the staff, and the individual and his/her family/natural supports (all working as a team) to thoroughly prepare for their work together. The group meets together to present and integrate the information collected through assessment to learn as much as possible about the individual's life, his/her experience with mental illness, and the type and effectiveness of the past treatment they have received. The presentations and discussions at these meetings make it possible for all staff to be familiar with each individual and his/her goals and aspirations and for each individual to become familiar with each team member; to participate in the ongoing assessment and reformulation of strengths, resources, and service needs/issues; to problem-solve treatment strategies and

rehabilitation options; and to fully understand the recovery plan rationale in order to carry out the plan for each goal.

Service Coordination is a process of organization and coordination within the interdisciplinary ACT or ICM team to carry out the range of treatment, rehabilitation, and support services each individual expects to receive in accordance with his or her written person directed recovery plan and that are respectful of the individual's wishes. Service coordination also includes coordination with community resources, including individual self-help and advocacy organizations that promote recovery.

Serious and Persistent Mental Illness (SPMI) is an adult with a serious and persistent mental illness, "1" below must be met, in addition to either "2", "3", or "4":

1. Designated Mental Illness

The individual is 18 years of age or older and currently meets the criteria for a DSM-5 psychiatric diagnosis other than alcohol or drug disorders, organic brain syndromes, developmental disabilities or social conditions. ICD-Coding Manual psychiatric categories and codes that do not have an equivalent in DSM-5 are also included mental illness diagnoses.

And

2. SSI or SSDI due to Mental Illness

The individual is currently enrolled in SSI/SSDI due to a designated mental illness.

Or

3. Extended Impairment in Functioning due to Mental Illness

a. Documentation that the individual has experienced two of the following four functional limitations due to a designated mental illness over the past 12 months on a continuous or intermittent basis:

- i. Marked difficulties in self-care (personal hygiene, diet, clothing, avoiding injuries, securing health care or complying with medical advice).
- ii. Marked restriction of activities of daily living (maintaining a residence, using transportation, day to day money management, accessing community services).
- iii. Marked difficulties in maintaining social functioning (establishing and maintaining social relationships, interpersonal interactions with primary partner, children or other family members, friends, neighbors, social skills, compliance with social norms, appropriate use of leisure time).

- iv. Frequent deficiencies of concentration, persistence or pace resulting in failure to complete tasks in a timely manner (ability to complete tasks commonly found in work settings or in structured activities that take place in home or school settings, individuals may exhibit limitations in these areas when they repeatedly are unable to complete simple tasks within an established time period, make frequent errors in tasks, or require assistance in the completion of tasks).

Or

4. Reliance on Psychiatric Treatment, Rehabilitation and Supports

A documented history shows that the individual at some prior time met the threshold for 3 (above), but the symptoms and/or functioning problems are currently attenuated by medication or psychiatric rehabilitation and supports. Medication refers to psychotropic medications which may control certain primary manifestations of mental disorder; e.g. hallucinations, but may or may not affect functional limitations imposed by the mental disorder. Psychiatric rehabilitation and supports refer to highly structured and supportive settings which may greatly reduce the demands placed on the individual and thereby, minimize overt symptoms and signs of the underlying mental disorder.

Social and Community Integration Skills Training provides support to individuals in managing social and interpersonal relationships and leisure time activities, with an emphasis on skills acquisition and generalization in integrated community-based settings.

Supported Education is a service providing opportunities, resources, and supports to individuals with mental illness so that they may gain admission to and succeed in the pursuit of education including completing high school, (or obtaining a GED), post-secondary education and vocational school.

Supported Employment is a service providing on-going individualized support to learn a new job or maintain a job in competitive or customized integrated work setting that meets job and career goals, including self-employment, and are compensated at or above the minimum wage, in line with compensation to employees with the same or similar work by individuals without disabilities.

Trauma-Informed organizations, programs, and services are based on an understanding of the vulnerabilities of triggers of trauma survivors that traditional services delivery approaches may exacerbate, so that these services and programs can be more supportive and avoid re-traumatization. Trauma-informed organizations take the steps necessary to make certain that, every part of its organization, management, and service delivery system is assessed and potentially modified to include a basic understanding of how trauma affects the life of an individual seeking services.

Vocational Services include work-related services to help individuals value, find, and maintain meaningful employment in community-based settings.

Wellness Management and Recovery Services are a combination of psychosocial approaches to working in partnership with the individual to build and apply skills related to his or her recovery, including development of recovery strategies, building social support, reducing relapses, using medication effectively, coping with stress, coping with problems and symptoms, attending to physical needs and getting needs met within the mental health system, medical system and community.

3 Admission and Discharge Criteria

3.1 Admission Criteria Eligible recipients are certified by the psychiatric prescriber as being in medical need of program services in accordance with an assessment procedure approved by the Division for use in determining that individuals are diagnosed with mental health conditions according to criteria for severity of disability associated with mental illness.

3.1.1 The assessment must provide supporting evidence of the meeting criteria A, B, and C:

3.1.1.1 Criterion A

3.1.1.1.1 The individual must meet all three (3) diagnostic criteria:

3.1.1.1.1.1 Serious and persistent mental illness (SPMI) that seriously impairs an individual's functioning in community living with a diagnosis on Axis I of 295.1,2,3,6,7,9 or 296.3,4,5,6,7 because these illnesses more often cause long-term psychiatric disability. Individuals must have a primary mental health diagnosis or co-occurring serious mental illness and substance use condition. Individuals with a sole diagnosis of a substance use disorder, mental retardation, brain injury or personality disorders are not the intended individuals for ACT services. Individuals with SMI may have a history of repeated hospitalizations and/or may be individuals who have not been able to remain abstinent from drugs or alcohol. Diagnoses that would otherwise be excluded from ACT services may be considered for an ACT team if an assessment by the team

supports ACT services as the best course of service.

3.1.2.1.1.1 Significant impairments as demonstrated by at least two of the following conditions:

3.1.2.1.1.1.1 Significant difficulty consistently performing the range of practical daily living tasks required for basic adult functioning in the community (e.g., caring for personal business affairs; obtaining or maintaining medical, legal, and housing services; recognizing and avoiding common dangers or hazards to self and possessions; meeting nutritional needs; maintaining personal hygiene) or persistent or recurrent difficulty performing daily living tasks except with significant support or assistance from others such as friends, family, relatives or the ACT team.

~~3.1.2.1.1.1.2~~ Interpersonal functioning

~~3.1.2.1.1.1.3~~ Concentration, persistence, and pace

~~3.1.2.1.1.1.4~~ Adaptation to change

3.1.3.1 Co-occurring substance use and SPMI or SMI of significant duration, e.g., greater than twelve (12) months.

3.1.2 Criterion B

3.1.2.1 The individual must be at least 18 years of age or older

3.1.3 Criterion C

3.1.3.1 The individual must meet at least one (1) of the following:

3.1.2.1.2 Psychiatric or Substance Abuse Hospitalizations/Juvenile Placement within the past twelve (12) months:

- 3.1.2.1.2.1 Two or more psychiatric hospitalizations or substance abuse–related hospitalizations
- 3.1.2.1.2.2 One psychiatric or substance abuse–related hospitalization in excess of 10 days
- 3.1.2.1.2.3 Two or more juvenile placements in a secure facility
- 3.1.2.1.2.4 One juvenile placement in a secure facility in excess of 90 days
- ~~3.1.2.1.3~~ Emergency Room Visits:
 - ~~3.1.2.1.3.1~~ Three or more psychiatric or substance abuse related emergency room visits in the past 12 months.
- 3.1.2.1.4 High risk or recent history of criminal justice involvement, e.g., arrest and incarceration.
 - 3.1.2.1.4.1 More than 1 arrest or frequent contacts with law enforcement (including active probation or parole)
 - 3.1.2.1.4.2 Ten or more days of incarceration
- ~~3.1.2.1.5~~ Individual is either currently in 1 of the following 4 housing risk categories OR has had 2 such episodes in the past 12 months:
 - ~~3.1.2.1.5.1~~ Street–dwelling homeless
 - ~~3.1.2.1.5.2~~ Living in homeless shelter
 - ~~3.1.2.1.5.3~~ Residing in substandard housing (no operable heat, electric, and/or plumbing or deemed uninhabitable)
 - ~~3.1.2.1.5.4~~ At imminent risk of becoming homeless due to an eviction notice or otherwise “kicked out” of someone else’s residence in a specified period of time
- 3.1.2.1.6 Hospitalizations:
 - 3.1.2.1.6.1 Has resided in an in–patient setting in excess of 30 days in the past 12 months and is clinically assessed to be able to live in a more independent living situation

3.1.3 Documentation of admission shall include:

- 3.1.3.1 Evidence that one of the criteria in §3.1.1, §3.1.2, and §3.1.3 are met;

3.1.3.2 The reasons for admission as stated by both the individual and the team.

3.1.3.3 The signature of the psychiatric prescriber.

3.1.4 Engagement by the ACT team will begin within five (5) days of referral

3.1.5 Admission into the ACT team shall be completed within 30 days from date of referral;

3.1.5.1 Any exceptions to engagement or enrollment must be reported to the EEU; all documented engagement attempts shall be provided to DSAMH/EEU upon request.

3.1.6 DMMA and DSAMH shall require a full review of medical necessity in the event that a determination of medical necessity by the program physician does not appear to be supported by the assessment materials.

3.2 Requests for Discharge from services shall occur when an individual:

3.2.1 Has successfully reached individually-established goals (i.e. Demonstrates an ability to function in all major role areas such as work, social, self-care) for discharge and when the individual and program staff mutually agrees to the transition to less intensive services;

3.2.2 Moves outside the geographic area of ACT responsibility. In such cases, the ACT team shall arrange for transfer of mental health service responsibility to an ACT program or another provider wherever the individual is moving. The ACT team shall maintain contact with the individual until this service transfer is complete;

~~3.2.3~~ 3.2.3 Has received a score equal to or greater than 50, or a Mean Score equal to or greater than 2.8, from the Assertive Community Treatment Transition Readiness Scale which indicates, and when the individual and program staff mutually agrees to the transition from ACT to less intensive services;

3.2.4 Declines or refuses services and requests discharge, despite the team's documented best efforts to utilize appropriate engagement techniques to develop a mutually acceptable person directed recovery plan with the individual;

3.2.4.1 Prior to discharge from ACT services, the EEU shall approve and/or request further information to review the circumstances, the clinical situation, the risk factors, and attempted strategies to engage the individual prior to the discharge of an individual from ACT services.

3.2.5 In addition to the discharge criteria listed above based on mutual agreement between the individual, ACT staff, an individual discharge may also be facilitated due to any one of the following circumstances:

- 3.2.5.1 Death.
 - 3.2.5.2 Inability to locate the individual despite documented active outreach efforts by the team for a period of ninety (90) continuous days.
 - 3.2.5.3 Incarceration of ninety (90) days or more.
 - 3.2.5.4 Hospitalization or nursing facility care where it has been determined, based on mutual agreement by the hospital or nursing facility treatment team and the ACT team with approval of plan by EEU that the individual will not be appropriate for discharge from the hospital or nursing facility for a prolonged period of time
- 3.2.6 If the individual is accessible at the time of discharge, the team shall ensure individual participation in all discharge activities, or document all attempts to obtain signature.
- 3.2.7 The discharge summary shall include:
- 3.2.7.1 Date of discharge;
 - 3.2.7.2 Reason for discharge;
 - 3.2.7.3 Individual's status upon discharge based on the most recent assessment;
 - 3.2.7.3.1 DSM diagnosis;
 - 3.2.7.3.2 Summary of progress toward meeting goals as set forth in the individual's person directed recovery plan;
 - 3.2.7.3.3 Documentation of the teams efforts to engage the individual in services, when relevant to the reason for discharge;
 - 3.2.7.3.4 Aftercare/follow-up plan completed in conjunction with the individual;
 - 3.2.7.3.5 The individual's contact information (i.e., forwarding address and/or phone number, email address).
 - 3.2.7.4 The discharge summary shall be:
 - 3.2.7.4.1 Completed within five (5) business days of discharge from the ACT team.
 - 3.2.7.4.2 Signed and dated by:
 - 3.2.7.4.2.1 The individual when the discharged is planned;
 - 3.2.7.4.2.2 The primary care manager;
 - 3.2.7.4.2.3 The physician;
 - 3.2.7.4.2.4 The Team Leader.
- 3.2.8 The ACT Team shall develop and implement client discharge plans,

including referral/transfer to appropriate post-discharge services.

4 Service Intensity and Capacity

4.1 Staff-to-Individual Ratio:

4.1.1 Each ACT team shall have the organizational capacity to provide a staff-to-individual ratio of one (1) full-time equivalent (FTE) staff person for every ten (10) individuals served by the team

4.1.1.1 Distinct ACT teams are required.

4.1.2 The maximum number of individuals being served by any one ACT team is one hundred (100).

4.2 Staff Coverage

4.2.1 Each ACT team shall have sufficient numbers of staff to provide treatment, rehabilitation, crisis intervention and support services including twenty-four (24) hour/seven (7) days-a-week coverage.

4.3 Frequency of Individual Contact

4.3.1 The ACT team shall provide services based upon medical necessity. This system shall develop a frequency of face-to-face contact schedule that is in line with services that are medically necessary and is ideally mutually agreed upon between the consumer and the provider.

4.3.1.1 Frequency may be an average of three (3) face-to-face contacts per week at an average of one (1) hour per week.

4.3.2 The ACT team shall have the capacity to provide contacts per week that avail sufficient support with individuals experiencing severe symptoms, trying a new medication, experiencing a health problem or serious life event, trying to go back to school or starting a new job, making changes in living situation or employment, or having significant ongoing problems in daily living. These multiple contacts may be as frequent as three to four times per day, seven days per week. All team members shall share responsibility for addressing the needs of all individuals requiring frequent contact as appropriate.

4.3.3 The following services as deemed necessary by assessment using assessment tools acceptable to DSAMH and prescribed by the individual recovery plan will be provided:

4.3.3.1 Psychiatric and substance abuse treatment;

4.3.3.1.1 Psychiatric prescriber: Face-to-face evaluation, minimally at fourteen (14) day intervals for the first sixty (60) days after admission, and then every thirty (30) days thereafter.

4.3.3.1.2 Chemical Dependency Specialist: Face-to-face evaluation minimally every fourteen (14) days for the first sixty (60) days after admission, and then as prescribed in the Individualized Treatment Plan that details on-going SUD evaluation schedule that is appropriate to the substance abuse.

4.3.3.2 Medication monitoring as follows:

4.3.3.2.1 The psychiatric prescriber will explain to the individual in language understandable to the consumer the various options for medication that can be used as part of treatment, their risks and benefits, common side effects, and the rationale for each medication proposed to be prescribed.

4.3.3.2.2 Informed consent shall be updated, at a minimum, annually.

4.3.3.2.3 Rationale for all changes in medication orders shall be documented in the physician's note.

4.3.3.2.4 All medication orders in the individual's case record shall specify:

4.3.3.2.4.1 Name of the medication (including brand and generic, if specified);

4.3.3.2.4.2 Dosage;

4.3.3.2.4.3 Route of administration;

4.3.3.2.4.4 Frequency of administration;

4.3.3.2.4.5 Signature of the physician prescribing the medication;

4.3.3.2.4.6 All known drug allergies.

4.3.3.2.5 Administration of medication by any method and/or the supervision of individuals in the self-administration of medication must be conducted and documented in conformance with the program's written policies and procedures for medication management.

4.3.3.2.5.1 Programs shall utilize a DSAMH approved Medication Administration Records (MAR) shall contain the following:

4.3.3.2.5.1.1 Name of all known (Somatic or Psychotropic) prescribed medications (including brand or generic, if specified);

4.3.3.2.5.1.2 Printed Name and Signature of Psychiatric Prescriber

4.3.3.2.5.1.3 Dosage;

4.3.3.2.5.1.4 Route of administration;

4.3.3.2.5.1.5 Frequency of administration;

4.3.3.2.5.1.6 All known drug allergies;

- 4.3.3.2.5.1.7 Name of the person administering or assisting with the administration of medication.
- 4.3.3.2.5.1.8 Signature of the person administering or assisting with the administration of medication.
- 4.3.3.2.5.2 Staff shall monitor and document individual adherence to following the prescribed medication treatment and the medication side effects to include the following:
 - 4.3.3.2.5.2.1 Laboratory studies for all medications which require laboratory monitoring as recommended in the current Physician's Desk Reference;
 - 4.3.3.2.5.2.1.1 Laboratory reports shall:
 - 4.3.3.2.5.2.1.1.1 be reviewed and signed by the psychiatric prescriber within two (2) days of receipt.
 - 4.3.3.2.5.2.2 Results of all laboratory studies shall be documented in the individual's chart within 30 days.
 - 4.3.3.2.5.2.3 For persons receiving anti-psychotic medication:
 - 4.3.3.2.5.2.3.1 , the AIMS (Abnormal Involuntary Movement Scale) shall be performed no less than annually to assess individuals at risk for developing Tardive Dyskinesia.
 - 4.3.3.2.5.2.3.2 Annual screening for metabolic disorders in individuals prescribed atypical antipsychotic medications.
 - 4.3.3.2.5.2.4 Education of individuals regarding side effects of prescribed psychotropic medications and strategies for assuming responsibility for self-medication.
 - 4.3.3.2.6 Monitoring of vital signs to include temperature, blood pressure, pulse, respiration, and weight at a minimum of once (1 time) per month.
 - 4.3.3.2.6.1 BMI at a minimal frequency of every six (6) months, per American Psychiatric Association guidelines.
 - 4.3.3.2.7 Metabolic assessment every (90) days for individuals taking atypical antipsychotic medications (including but limited to assessment for diabetes mellitus and hypertension.)
 - 4.3.3.2.8 The program will use an evidence-based, trauma-informed assessment tool approved by DSAMH to assess the need for a trauma-informed treatment approach, and when appropriate, the need for trauma-specific interventions.

5 Staff Requirements

5.1 Qualifications

5.1.1 Each ACT team shall have among its staff persons with sufficient individual competence, professional qualifications and experience to provide:

- 5.1.1.1 service coordination;
- 5.1.1.2 medical nursing assessment;
- 5.1.1.3 trauma informed interventions;
- 5.1.1.4 crisis assessment and intervention;
- 5.1.1.5 recovery and symptom management;
- 5.1.1.6 individual counseling and psychotherapy;
- 5.1.1.7 medication prescription, administration, monitoring and documentation;
- 5.1.1.8 substance abuse counseling and co-occurring counseling;
- 5.1.1.9 Supported housing assistance;
- 5.1.1.10 work-related and education-related services;
- 5.1.1.11 IADLs;
- 5.1.1.12 social, interpersonal relationship and leisure-time activity services;
- 5.1.1.13 support services or direct assistance to ensure that individuals obtain the basic necessities of daily life;
- 5.1.1.14 education, support, and consultation to individuals' families and other major supports; and
- 5.1.1.15 services that meet the requirements of the ADA/Olmstead and their implications for practice.

5.1.2 The staff should have sufficient representation of, and cultural competence in the local cultural population that the team serves.

6 ACT Team Size and Composition

6.1 The program shall employ ten (10) FTE interdisciplinary clinical staff persons, including one (1) FTE team leader and one (1) FTE peer specialist on the team.

6.2 Mental Health Professionals on Staff

6.2.1 Of the ten (10) FTE interdisciplinary clinical staff positions on an ACT team, there is a minimum of five (5) FTE mental health professionals (including one FTE team leader and excluding the psychiatric prescriber).

6.2.1.1 Mental health professionals are individuals with:

6.2.1.1.1 professional degrees (Masters level and above), licenses and/or certifications in one of the core mental health disciplines including but not limited to:

6.2.1.1.1.1 Psychiatric medicine;

6.2.1.1.1.2 Nursing;

6.2.1.1.1.3 Social work

6.2.1.1.1.4 Rehabilitation counseling;

6.2.1.1.1.5 Psychology;

6.2.1.1.1.6 Mental health counseling.

6.2.1.1.2 clinical training including internships and other supervised practical experiences in a clinical or rehabilitation setting;

6.2.1.1.3 clinical work experience with persons with SMI and/or SPMI and working toward certification or state issued licensure in a mental health discipline as defined in §6.2.1.1.1 of these standards.

6.2.2 Mental health professionals shall operate under the code of ethics and professional guidelines of their respective professions.

6.2.3 Required among the mental health professionals are:

6.2.3.1 Two (2) to three (3) FTE registered nurses (a team leader with a nursing degree may represent one (1) of these FTE nurses).

6.2.3.2 A minimum of two (2) FTE Master's level or above mental health professionals (including the team leader) and a minimum of two (2) FTE Bachelor's level mental health professionals.

6.2.3.3

7 ACT Required Staff

7.1 The chart below shows the required staff:

Position	Requirements
Team leader	1 FTE (Master's level)
Psychiatric prescriber	1/FTE for 80-100 Individuals
Registered Nurse	2 FTE
Peer Specialist	1 FTE
Master's level	2 FTE
Bachelor's Level	3 FTE Including Housing Specialist (one can also be

	Registered Nurse)
Program/Administrative Assistant	1FTE

OR

Position	Requirements
Team leader	1 FTE (Master's level)
Psychiatric prescriber	1 /FTE for 80-100 Individuals
Registered Nurse	3 FTE (A minimum of one RN must be at the Bachelor's level)
Peer Specialist	1 FTE
Master's level	2 FTE)
Bachelor's Level	2 FTE Including Housing Specialist
Program/Administrative Assistant	1FTE

7.2 Chemical Dependency Specialists may be either the Master's level or Bachelor's level.

7.3 The following provides a description of and qualifications for required staff on an ACT team:

7.3.1 **Team Leader:** A full-time team leader/supervisor who is the clinical and administrative supervisor of the team and who also functions as a practicing clinician on the ACT team. The team leader has at least a Master's degree in nursing, social work, psychiatric rehabilitation or psychology, or is a psychiatric prescriber. The team leader provides direct service to individuals at least six (6) hours per week.

7.3.2 **Psychiatric Prescriber :**

7.3.2.1 The psychiatric prescriber may include:

7.3.2.1.1 A person with a Medical Degree or Doctor of Osteopathy degree, licensed to practice medicine in Delaware and who has completed (or is enrolled in) an accredited residency training program in psychiatry, internal medicine or family practice.

7.3.2.1.2 A licensed nurse practitioner who is licensed in the state of Delaware to diagnosis mental health disorders and prescribe psychotropic medications for such disorders and practices under the supervision of a psychiatrist.

7.3.2.2 The psychiatric prescriber works on a full-time basis in teams of one hundred (100) individuals on an ACT team. The psychiatric prescriber

provides clinical support to all ACT individuals; works with the team leader to monitor each individual's clinical status and response to treatment; supervises staff delivery of services; and directs psychopharmacologic and medical services.

7.3.2.2.1 The psychiatric prescriber shall be physically located at the home clinic of the ACT team in order to provide office-based services and services in the community when indicated.

7.3.2.2.2 With the prior approval of DSAMH, psychiatric prescribers may be accessed via videoconferencing/tele-psychiatry for a period of up to six months. At DSAMH's discretion, DSAMH may extend this authorization for an additional six months.¹

7.3.3 **Registered Nurses:** All registered nurses shall be licensed in the State of Delaware or participating in the Nurse Licensure Compact (NLC). A minimum of two (2) FTE and maximum of three (3) nurses are required. At least one (1) FTE nurse shall be at the bachelor's level or above.

7.3.4 **Master's Level Mental Health Professionals:** A minimum of two (2) FTE Master's level or above mental health professionals is required on each ACT team including the team leader.

7.3.5 **Chemical Dependency Specialist:** One (1) or more team members must be a Chemical Dependency Specialist with:

7.3.5.1 Certification by the State of Delaware as a Certified Alcohol and Drug Counselor (CADC) or Certified Co-occurring Disorder Professional (CCDP); or

7.3.5.2 at least three (3) years of supervised work experience in the substance abuse treatment field and;

¹ Consultations, office visits, individual psychotherapy, and pharmacological management services under ACT physician- as outlined above for the time granted by the waiver only may be reimbursed when provided via Health Insurance Portability & Accountability Act compliant telecommunication technology. The consulting or expert physician must bill the ACT procedure code (CPT codes) using the GT modifier and will be reimbursed at the same rate as a face-to-face service for ACT physician. The originating site, with the consumer present, may bill code Q3014 (telemedicine originating site facility fee). Providers must follow all applicable federal and State security and procedure guidelines for telemedicine. Face-to-face ACT includes a therapist in a different room/location from the client/family, but in the same building, with real-time visual and audio transmission from the therapy room and two-way audio transmission between client and/or family member and therapist. The practice must be in accord with documented evidence-based practices of ACT as approved by DSAMH. If not in the same building, then telemedicine requirements and reimbursement would apply. **Telemedicine services must comply with Delaware's telemedicine requirements including, but not limited to:**

- Obtaining member's written consent;
- Licensure and enrollment requirements;
- Written contingency planning;
- Implementation of confidentiality protocols; and
- Billing practices and requirements.

7.3.5.2.1 Forty (40) hours of training specific to substance abuse assessment and treatment.

7.3.6 **Peer Specialist:** A minimum of one (1) FTE peer specialist is required on an ACT team. Because of his/her life experience with mental illness and mental health services, the peer specialist provides expertise that professional training cannot replicate. Peer specialists are fully integrated team members, operating within their DSAMH approved scope of practice, who provide highly individualized services in the community and promote individual self-determination and decision-making. Peer specialists also provide essential expertise and consultation to the entire team to promote a culture in which each individual's point of view and preferences are recognized, understood, respected and integrated into treatment, rehabilitation, and community self-help activities.

7.3.7 **Remaining Clinical Staff:** The remaining clinical staff will include two (2) FTE Bachelor's level and paraprofessional mental health workers who carry out rehabilitation and support functions, including one (1) FTE housing specialist with a minimum of one (1) year experience in interviewing housing applicants and determining if they're eligible for low-income housing, maintaining and updating tenant information, reviewing and analyzing financial information and computing housing assistant payments.

7.3.7.1 A Bachelor's level mental health worker has a Bachelor's degree in social work or a behavioral science, and work experience with adults with SMI and SPMI.

7.3.7.2 A paraprofessional mental health worker may have:

7.3.7.2.1 a Bachelor's degree in a field other than behavioral sciences; or

7.3.7.2.2 have a high school diploma and work experience with adults with severe and persistent mental illness or with individuals with similar human-service's needs. Paraprofessionals may have related training (e.g., certified occupational therapy assistant, home health care aide) or work experience (e.g., teaching) and life experience.

7.3.8 **Vocational Specialist:** Each team will make available one vocational specialist with training and experience in vocational services. The vocational specialist will be available for face-to-face meetings with the individual served.

9 **Policy and Procedure Requirements:**

- 9.1 The ACT program shall maintain a written Procedure Manual for its staff. A mechanism shall be in place to ensure that the procedures manual is updated periodically as needed but not less frequently than every (2) two years, and that the staff of the program is notified promptly of changes. The manual shall include:
 - 9.1.1 A statement of the program's values and mission including the relationship of these factors to achieving the goals of the ADA and other essential rights of people with psychiatric disabilities, included shall be:
 - 9.1.1.1 Policies and procedures that continually assess the program to assure:
 - 9.1.1.2 A trauma informed and responsive environment;
 - 9.1.1.3 An environment that is culturally sensitive to the populations that the programs services including ethnic/cultural/religious minorities and LGBTQ individuals;
 - 9.1.2 Referral policies and procedures that facilitate individual referral;
 - 9.1.3 Detailed procedures for assessment, recovery planning and documentation;
 - 9.1.4 Policies and procedures for medication management in compliance with all applicable rules, regulations and requirements of the Delaware Board of Medical Practice, the Delaware Board of Nursing and the Delaware Board of Pharmacy (if applicable) to include policies and procedures for:
 - 9.1.4.1 Prescribing medication;
 - 9.1.4.2 Storage of medication;
 - 9.1.4.3 Handling of medication;
 - 9.1.4.4 Distribution of medication;
 - 9.1.4.5 Disposing of medication;
 - 9.1.4.6 Recording of medication used by individuals
 - 9.1.4.7 Assistance with medication in accordance with AWSAMH.
 - 9.1.5 Policies and procedures for handling on-call responsibilities and individual emergencies to include:
 - 9.1.5.1 specific program standards for intervention to avert hospitalization, criminal justice system involvement, or other harmful outcomes;
 - 9.1.6 Policies and procedures for accessing and documenting the need for outside consultation to further the service goals or clinical needs of consumers;
 - 9.1.7 Detailed instructions for application to and communication with entitlement authorities including but not limited to:
 - 9.1.7.1 The Social Security Administration;
 - 9.1.7.2 Social Services (SNAP, WIC, general relief, energy assistance, etc.)

- 9.1.7.2.1 State Rental Assistance Program (SRAP), HUD/Section 8
 - 9.1.7.3 Medicaid;
 - 9.1.7.4 Medicare;
 - 9.1.7.4.1 Low Income Subsidy (LIS)
 - 9.1.7.4.2 Part D Medicare
 - 9.1.7.5 Prescription Assistance Program (PAP)
 - 9.1.7.6 Rep Payee (when applicable)
- 9.1.8 Policies and procedures for obtaining releases to share Protected Health Information about individuals with family members or others;
- 9.1.9 Policies and procedures regarding communicating and handling financial resources of the program;
- 9.1.10 Policies and procedures regarding the coordination of financial activities with the individual's representative payee for payment from the Social Security Administration;
- 9.1.11 Policies and procedures for the receipt, consideration and resolution of individual complaints and/or grievances regarding treatment decisions and practices or other program activities.
- 9.1.12 Policies and procedures for reporting instances of death, possible abuse or neglect, and adverse events to DHSS/DSAMH, law enforcement, and other entities in accordance with state and federal regulations and laws;
- 9.1.13 Policies and procedures for assisting consumers in securing legal counsel or other special professional expertise when needed;
- 9.1.14 Policies and procedures for ensuring that consumers are not subject to unwarranted coercion, including legal coercion (outpatient commitment, guardianship);
- 9.1.15 Policies and procedures to ensure that consumers are afforded an opportunity to execute Advance Directives or medical or legal documents to ensure that their preferences are considered in the event of a crisis or temporary inability to make informed decisions;
- 9.1.16 References to other policies, procedures, laws or regulations as may be promulgated or required by the federal government, the State of Delaware, the Department of Health and Social Services and its Divisions.

10 Personnel Management

10.1 The ACT program shall maintain an up-to-date Personnel Policies and Procedures Manual and make it readily available for reference by the program staff. The Manual will include:

10.1.1 Policies and procedures regarding equal employment opportunity and affirmative action to include compliance with:

10.1.1.1 The *Americans with Disabilities Act* including Olmstead (28 C.F.R. § 35.130) and the *Vocational Rehabilitation Act of 1973*, Sections 503 and 504 prohibiting discrimination against the handicapped; Title VII of the *Civil Rights Act of 1964* prohibiting discrimination in employment on the basis of race, color, creed, sex or national origin;

10.1.1.2 Title XIX of Del section 711 prohibiting discrimination on the basis of race, color, creed, sex, sexual orientation and national origin;

10.1.1.3 Age discrimination Act of 1975 prohibiting discrimination based on age;

10.1.1.4 Section 402 of the *Vietnam Era Veterans Readjustment Assistance Act* of 1974 prohibiting discrimination against disabled Vietnam Era veterans.

10.1.2 Policies and procedures for interviews and selection of candidates including:

10.1.2.1 Verification of credentials and references;

10.1.2.2 Criminal background checks including;

10.1.2.2.1 Registration on Adult Abuse and Child Abuse registries;

10.1.2.3 Policies and procedures for employee performance appraisal including;

10.1.2.4 A code of ethics;

10.1.2.5 Conditions and procedures for employee discipline including, termination of employment;

10.1.2.6 Conditions and procedures for employee grievances and appeals;

10.1.2.7 An annual staff development plan which shall include:

10.1.2.7.1 Provisions for orientation of paid staff, student interns and volunteers. Orientation shall include:

10.1.2.7.1.1 Review of these standards;

10.1.2.7.1.2 Review of the program's Procedures and Personnel manuals;

10.1.2.7.1.3 Assistance with Self Administration of Medication

(AWSAM) in accordance with *Delaware Nurse Practice Act*, Title 24 Del. Code Ch. 19, 1902 and applicable rules and regulations.

10.1.2.7.1.4 Review of DHSS Policy Memorandum #46;

10.1.2.7.1.5 Review of section 5161 of Title 16 of the Delaware Code;

10.1.2.7.1.6 Review of the *Health Insurance Portability and Accountability Act* of 1996, 45 C.F.R. Parts 160 and 164;

10.1.2.7.1.7 Review of the Substance Abuse Confidentiality regulations codified at 42 C.F.R. Part 2.

10.1.2.7.1.8 Provisions for continuing education of staff;

10.1.2.7.1.9 Provisions for regularly scheduled clinical supervision which teach and enhance the clinical-skills of staff including:

10.1.2.7.1.9.1 Weekly team meetings led by the team leader during which assessments, recovery plans and progress toward treatment goals are reviewed and staff receives direction regarding clinical management of treatment issues.

10.1.2.7.1.10 Individual face-to-face sessions between the team leader and staff to review cases, assess performance and give feedback;

10.1.2.8 Maintenance and access to personnel files which shall contain employees' applications, credential (e.g. copy of a current license(s) and/or certification(s)), job descriptions, and performance appraisals, job titles, training, orientation, salary, staff statement of confidentiality.

10.1.2.9 Annual validation of credentials;

10.1.2.10 Notification by personnel to the program when made aware of any complaints filed against them with the licensing board or other credentialing organization; or upon conviction of any crime above a misdemeanor.

10.1.2.11 Work hours including hours of program operation, shifts and overtime compensation.

10.1.2.12 Agency policies regarding compensation including:

10.1.2.12.1 Salary ranges, salary increases, and payroll procedures;

10.1.2.12.2 Use of personal automobile for program activities;

10.1.2.12.3 Reimbursement for work related expenses;

10.1.2.12.4 Description of employee benefits.

11 Hours of Operation and Staff Coverage

11.1 The ACT team shall be available to provide treatment, rehabilitation, crisis intervention, and support activities with 24 hours per day, seven days per week availability. This means:

11.1.1 Every team should have posted standard business hours of operation, to include:

11.1.2 Regularly operating and scheduling a minimum of one (1) ACT staff to work each weekend day and every holiday, to meet the individual needs of consumers' served.

11.1.3 Regularly scheduling ACT staff on-call duty to provide crisis services outside of regularly scheduled service provision operation which shall include responding in-person to a crisis or emergency situation.

11.1.4 Mental Health Professionals on the ACT staff who are experienced in the program and skilled in crisis-intervention procedures shall be on call to provide back-up to on-call staff and be available to respond to individuals by phone or by in person visit to individuals who need face-to-face contact.

11.1.5 Regularly arranging for and providing psychiatric backup during all hours the psychiatric prescriber is not regularly scheduled to work. If availability of the ACT psychiatric prescriber during all hours is not feasible, alternative psychiatric backup that meets the psychiatric prescriber criteria must be arranged.

11.1.6 Through the use of the *Daily Organizational Staff Meeting* and the *Daily Staff Assignment Schedule* (ACT), adjusting schedules and providing staff to carry out the needed service activities in the evenings or on weekend days for individuals for whom this is necessary;

11.1.7 The ACT teams shall provide individuals served and, as applicable and with consent of the individual, and significant others with information about how to access staff in the event of an emergency including:

11.1.7.1 Rotating coverage 24/7, to be available for face-to-face contacts, and shall arrange with the crisis intervention service that the on-call team member should be notified when a face-to-face contact may be needed.

12 Place of Treatment

- 12.1 Seventy-Five (75%) percent of ACT service contacts shall be provided in non-office based or non-facility-based settings. The program will collect data regarding the percentage of individual contacts in the community as part of its Quality Improvement (QI) Plan and report this data during fidelity reviews.

13 Staff Communication and Planning

- 13.1 **The ACT team** shall conduct *daily organizational staff meetings* at regularly scheduled times per a schedule established by the team leader. These meetings may be conducted in accordance with the following procedures:

- 13.1.1 The ACT team shall maintain a written or computerized *daily log*. The daily log provides:

- 13.1.1.1 A roster of the individuals served in the program, and for each individual:

- 13.1.1.1.1 a brief description of any treatment or service contacts that have occurred during the last twenty-four (24) hours
- 13.1.1.1.2 a concise, behavioral description of the individual's status that day.

- 13.1.2 The *daily organizational staff meeting* shall commence with a review of the *daily log* to update staff on the treatment contacts that occurred the day before and to provide a systematic means for the team to assess the day-to-day progress and status of all individuals.

- 13.1.3 The ACT team, under the direction of the team leader, shall maintain a weekly individual contact schedule for each individual. The weekly individual contact schedule is a written schedule of all treatment and service contacts both face-to-face and by telephone that staff must carry out to fulfill the goals and objectives in the individual's person directed recovery plan.

- 13.1.3.1 The team will maintain a central file of all weekly individual schedules.

- 13.1.3.2 All weekly individual schedules shall be made available to DSAMH upon request.

13.1.4 The ACT team, under the direction of the team leader, shall develop a written or computerized *daily staff assignment schedule* from the central file of all weekly individual schedules. The daily staff assignment schedule is a written timetable for all the individual treatment and service contacts and all indirect individual work (e.g., medical record review, meeting with collaterals, in-patient hospital attendance, job development, recovery planning, and documentation) to be done on a given day, to be divided and shared by the staff working on that day.

13.1.4.1 The daily staff assignment schedule shall be made available to DSAMH upon request.

13.1.5 The daily organizational staff meeting will include a review by the Team Leader of all the work to be done that day as recorded on the daily staff assignment schedule. During the meeting, the Team Leader will assign and supervise staff to carry out the treatment and service activities scheduled to occur that day, will prepare for in-patient treatment coordination, review previous treatment team attendance record, and the Team Leader will be responsible for assuring that all tasks are completed.

13.1.6 During the daily organizational staff meeting, the ACT team shall also work with the individual to revise person directed recovery plans as needed, anticipate emergency and crisis situations, and adjust service contacts on the daily staff assignment schedule per the revised recovery plans.

13.2 **The ACT team** shall conduct person directed recovery planning meetings under the supervision of the team leader and the psychiatric prescriber. These recovery planning meetings shall:

13.2.1 Convene at regularly scheduled times per a written or computerized schedule maintained by the team leader.

13.2.2 Occur and be scheduled when the individual and the majority of the team members can attend, including the psychiatric prescriber, team leader, and available members of the team. These meetings may also include the individual's family and/or natural supports, other professional supports, if available and at the request of the individual and require individual staff members to be present and systematically review and integrate individual information into a holistic analysis and work with the individual and team to establish priorities for services.

13.2.3 Occur with sufficient frequency and duration to make it possible for all staff to be familiar with each individual, his/her goals and aspirations and for each individual to become familiar with all team staff;

13.2.3.1 to participate in the ongoing assessment and reformulation of strengths, resources, and service needs/issues;

13.2.3.2 to problem-solve treatment strategies and rehabilitation options;

13.2.3.3 to participate with the individual and the team in the development and the revision of the strengths based, person directed recovery plan;

13.2.3.4 to fully understand the recovery plan rationale in order to carry out the plan with each individual; and

13.2.3.4.1 updated, when significant clinical changes occur, and/or at the request of the individual, and/or significant change in mental status, and/or at the achievement of all goals found in the recovery plan, and at a minimum of every one-hundred-eighty (180) days.

13.2.3.4.2 Signed and dated by the individual, psychiatric prescriber, team leader, primary care manager(s), and other natural, peer, or professional supports when necessary.

13.2.3.5 to establish outcome oriented goals in order to achieve a recovery-based discharge from the program.

14 Staff Supervision

14.1 Each ACT team shall develop a written policy for clinical supervision of all staff providing treatment, rehabilitation, and support services. The team leader and psychiatric prescriber shall assume responsibility for supervising and directing all staff activities. This supervision and direction shall consist of:

14.1.1 Participation with team members in daily organizational staff meetings and regularly scheduled recovery planning meetings to provide staff direction regarding individual cases;

14.1.2 Monthly, formal supervisory meetings with individual staff members to review their work with individuals, assess clinical performance, and give feedback;

14.1.3 Regular reviews, critiques, and feedback of staff documentation (i.e., progress notes, assessments, recovery plans, recovery plan reviews); and

14.1.4 Written documentation of all clinical supervision provided to team staff shall be completed and maintained by the Team Leader.

14.1.4.1 Written documentation shall be signed and dated by the team leader at the time of the supervision session.

15 Evaluation & Assessment

15.1 **Initial Psychiatric Evaluation:** Admission to the program shall commence with the initial psychiatric evaluation completed by the psychiatric prescriber, followed by an initial crisis plan and initial recovery plan within twenty-four (24) hours of the individual's admission to ACT by the team leader or by designated team members.

15.2 **Comprehensive Assessment:** A complete bio-psycho-social (BPS) assessment shall be completed by a Mental Health Professional. A team member with training in specific areas on the BPS may complete the section of the BPS that is their area of expertise. A comprehensive assessment shall be initiated and completed in collaboration with the individual within thirty (30) days after an individual's admission according to the following requirements and findings presented at the first recovery planning meeting:

15.2.1 *Psychiatric History, Mental Status, and Diagnosis:* The psychiatric prescriber is responsible for completing the psychiatric history, mental status, and diagnosis assessment (which includes the most up-to-date DSM V diagnosis).

15.2.2 *Education and Employment:* Included in this area is the assessment of community inclusion and integration as it relates to education and employment.

15.2.2.1 Vocational and educational functioning

15.2.3 *Social Development and Functioning:* Included in this area is the assessment of the individual's social and interpersonal inclusion and integration within the community.

15.2.3.1 Current social functioning;

15.2.3.2 Legal history to include legal issues.

15.2.4 *Instrumental Activities of Daily Living (IADL):* Included in this area is an assessment of the individual's abilities and barriers in meeting day to day activities for independence. This assessment includes but is not limited to:

15.2.4.1.1 Budgeting and money management

15.2.4.1.1.1 Financial status, including eligibility/access to entitlements;

15.2.4.1.2 Shopping for groceries and other personal needs

- 15.2.4.1.3 Housekeeping
- 15.2.4.1.4 Conditions of Living
 - 15.2.4.1.4.1 Adequate housing with housing assessment made available to DSAMH upon request
- 15.2.4.1.5 Personal care (bathing, grooming etc...)
- 15.2.4.1.6 Laundry
- 15.2.4.1.7 Other activities required for independent living.

15.2.5 *Family Structure and Relationships:* Included in this area of the assessment is the extent to which family, friends and other supports are currently involved in the individual's care, and plans to include the family, friends and other supports in treatment moving forward, including:

15.2.6 *Strengths and Resources:* Members of the individual's ACT or ICM team are responsible for engaging the individual in his or her own recovery planning in order to identify individual strengths and resources as well as those within the individual's family, natural support network, service system, and community at large. These may include:

- 15.2.6.1 Personal skills, and talents;
- 15.2.6.2 personal virtues and traits;
- 15.2.6.3 interpersonal skills;
- 15.2.6.4 interpersonal and environmental resources;
- 15.2.6.5 cultural knowledge;
- 15.2.6.6 knowledge gained from struggling with adversity;
- 15.2.6.7 knowledge gained from occupational and parental roles;
- 15.2.6.8 spirituality and faith;
- 15.2.6.9 hopes, and dreams; and
- 15.2.6.10 goals, and aspirations.

15.2.7 While the assessment process shall involve the input of most, if not all, team members, the individual's psychiatric prescriber and/or team leader will assure completion of the written narrative.

15.2.8 The Comprehensive Assessment shall be signed, and dated by:

- 15.2.8.1 the primary care manager completing the evaluation;
- 15.2.8.2 the psychiatric prescriber; and
- 15.2.8.3 the team leader.

15.3 An up-dated, annual assessment shall be completed on each annual certification date for each individual. In addition to the assessment requirements in §15.0 of these standards, the annual assessment shall:

15.3.1 Assess the individuals readiness for transition with guidance provided by the approved DSAMH ACT Transition Readiness Assessment and the ACT team to less intensive services;

15.3.2 Review the progress achieved in accordance to the outcome-oriented recovery plan and reviewing what is required in order to continue in a recovery-based trajectory to a less intensive level of care;

15.3.3 Ensure a gradual, individualized process which ensures continuity of care and preservation of consumer preferences when transitioning to less intensive services;

16 Physical Examination and Follow Up Medical Care

16.1 Individuals who have not had a physical examination within one year (365 days) prior to admission shall have a physical examination within sixty (60) days following admission to the program.

16.1.1 Results of the current physical examination shall be documented in the individual record.

16.1.2 The current physical examination shall be reviewed, signed, and dated by the physician or other qualified medical personnel whose license allows them conduct and/or review physical examinations without oversight from a physician.

16.1.3 Areas for wellness improvement identified as a result of exam, including any recommendations for follow-up primary or specialty medical care will be shared with the individual for possible inclusion in the individuals person directed recovery plan (PDRP) and will be documented in the individual record.

16.1.4 The primary prescriber shall act as attending of record, holistically acknowledging all aspects of individuals health and wellness to provide care guidance to the team.

16.2 The ACT teams will assist individuals in maintaining optimal physical health to act or demonstrate efforts to function as a Health Home to individuals by assisting with:

- 16.2.1 Scheduling annual physicals including lab work and testing as determined necessary by the physician;
- 16.2.2 Making and keeping medical appointments;
- 16.2.3 Transportation to medical appoints when:
 - 16.2.3.1 The individual is unable to independently attend appointments;
 - 16.2.3.2 Is unable to understand the advice of their medical doctor and is need of an advocate for medical care;
- 16.2.4 Development of goals and objectives to address medical care in the individuals Person directed recovery plan.

17 Person-Directed Recovery Planning

17.1 Person directed recovery plans will be developed through the following recovery planning process:

17.1.1 The PDRP shall be developed in collaboration with the primary care manager, Peer and individual and:

- 17.1.1.1 his/her preferred natural supporters;
- 17.1.1.2 and/or guardian, if any, when feasible and appropriate;
- 17.1.1.3 treatment objectives provided by PROMISE care manager **

17.2 The individual's participation in the development of the PDRP shall be documented; and ACT team shall evaluate together with each individual their:

- 17.2.1 strengths,
- 17.2.2 needs,
- 17.2.3 abilities, and
- 17.2.4 preferences.

17.3 The PDRP shall:

- 17.3.1 identify individual strengths and capacities;
- 17.3.2 identify individual service needs;
- 17.3.3 for each service need, set specific and measurable:
 - 17.3.3.1 long- and short-term goals;
- 17.3.4 establish the specific approaches and interventions necessary for the individual to meet his/her goals,
- 17.3.5 improve his/her capacity to function as independently as possible in the community, and
- 17.3.6 seek to achieve the maximum level of recovery possible as defined by the individual (i.e., a meaningful, satisfying, and productive life) and

- 17.3.7 Identify interventions that have been helpful or that pose particular risks to the individual.
- 17.4 ACT team staff shall meet at regularly scheduled times for recovery planning meetings. The Team Leader shall conduct the recovery planning meetings.
- 17.5 ACT staff shall make every effort to ensure that the individual and his/her family and/or natural supports (if desired by the individual) are in attendance at the recovery planning meeting.
- 17.6 ACT staff shall invite other natural, peer, and/or professional supports (if desired by the individual) to attend in the recovery planning process (i.e. DSAAPD, methadone or other SUD treatment program(s), probation and parole, housing support programs, etc.).
- 17.7 ACT staff shall invite the PROMISE care manager to attend in recovery plan meeting. **
- 17.8 Teams are responsible to provide the necessary support to ensure the individual is actively involved in the development of:
 - 17.8.1 Recovery and service goals; and
 - 17.8.2 Participation in the recovery plan meetings. This may include:
 - 17.8.2.1 offering of peer-based coaching and/or
 - 17.8.2.2 Skills training around his/her role in developing his/her own person directed recovery plan.
 - 17.8.3 With the permission of the individual, ACT team staff shall also involve pertinent agencies and members of the individual's social network in the formulation of recovery plans.
 - 17.8.4 Each individual's PDRP shall identify:
 - 17.8.4.1 service needs,
 - 17.8.4.2 strengths/barriers to success, and
 - 17.8.4.3 goals that are:
 - 17.8.4.3.1 specific and
 - 17.8.4.3.2 measurable.
 - 17.8.5 The PDRP must clearly specify:
 - 17.8.5.1 The approaches and interventions necessary for the individual to achieve the individual goals;
 - 17.8.5.2 The approaches and interventions that are contraindicated;
 - 17.8.5.3 identify who will carry out the approaches and interventions

17.8.6 The following key areas should be addressed in every individual's PDRP unless they are explored and designated as deferred or referred, with signature by the individual:

- 17.8.6.1 psychiatric illness management;
- 17.8.6.2 symptom management;
- 17.8.6.3 housing;
- 17.8.6.4 IADL;
- 17.8.6.5 daily structure and employment;
- 17.8.6.6 family and social relationships;
- 17.8.6.7 physical health; and
- 17.8.6.8 other life areas, goals and aspirations as identified by the individual (e.g., community activities, empowerment, decision-making, educational goals and aspirations, economic improvements etc.)

17.8.7 The individual's own words are reflected in the recovery plan; which may at times include an attached copy of goals written by the consumer.

17.8.8 Measurable goals with current status.

17.9 The primary care manager and the team will be responsible for conducting a recovery plan review with the individual and their PROMISE care manager**, during which the recovery goals and PDRP are rewritten or otherwise adjusted when there is a major decision point in the individual's course of treatment (e.g., significant change in individual's circumstances), and

17.9.1 At a minimum of every one hundred and eighty (180) days.

17.10 The Team Leader shall prepare a summary in conjunction with every recovery plan review (recovery plan summary) which documents the individual's and the team's:

- 17.10.1 Reasons for the review (regular review date or described change in circumstance);
- 17.10.2 evaluation of his/her progress/goal attainment,
- 17.10.3 evaluation of effectiveness of the interventions,
- 17.10.4 satisfaction with services since the last recovery plan.

17.11 The revised recovery plan and recovery review summary will be signed by:

- 17.11.1 the individual,
- 17.11.2 the primary care manager,
- 17.11.3 the team leader, and
- 17.11.4 the psychiatric prescriber

17.12 A copy of the signed person directed recovery plan is made available to the individual.

18 Core ACT Services

18.1 Operating as a continuous treatment service, the ACT team shall have the capability to provide comprehensive treatment, rehabilitation, and support services as a self-contained service unit.

18.2 Services shall minimally include the following:

18.2.1 *Service Coordination* Each individual will be assigned a primary care manager who coordinates and monitors the activities of the individual's team and the greater ACT team. The responsibilities of the primary care manager are:

18.2.1.1 to work with the individual to write the person-directed recovery plan,

18.2.1.2 to provide individual supportive counseling,

18.2.1.3 to offer options and choices in the recovery plan,

18.2.1.4 to ensure that immediate changes are made as the individual's needs change, and

18.2.1.5 to advocate for the individual's wishes, rights, and preferences.

18.2.1.6 to act as principle contact and educator.

18.2.1.6.1 Members of the team share these tasks with the primary care manager and are responsible to perform the tasks when the primary care manager is not working.

18.2.1.7 to provide community liaison (Service coordination also includes coordination with community resources, including individual self-help and advocacy organizations that promote recovery.)

18.2.1.8 to incorporate and demonstrate basic recovery values in the coordination of services.

18.2.1.9 to help ensure the individual will have ownership of his or her own treatment and will be expected to:

18.2.1.9.1 take the primary role in person-directed recovery plan development;

18.2.1.9.2 play an active role in treatment decision making,

18.2.1.9.3 be allowed to take risks;

18.2.1.9.4 make mistakes and

18.2.1.9.5 learn from those mistakes.

18.3 Crisis Assessment and Intervention

- 18.3.1 Crisis assessment and intervention shall be provided 24 hours per day, seven days per week.
- 18.3.2 These services will include telephone and face-to-face contact.
- 18.3.3 Crisis Intervention, CAPAC, and CAPES programs as appropriate may provide adjunctive crisis intervention.
- 18.3.4 A representative from the ACT team will be directly available to support the ACT individual when external crisis responders are involved with the individual.
- 18.3.5 Each ACT individual will have an individualized, strengths based crisis plan that shall be updated annually.
- 18.3.6 The individual will take the lead role in developing the crisis plan.

18.4 *Symptom Management and Psychotherapy*: Symptom Management and Psychotherapy shall include but not be limited to the following:

- 18.4.1 Psycho-education regarding:
 - 18.4.1.1 substance use and co-occurring disorders, when appropriate;
 - 18.4.1.2 mental illness;
 - 18.4.1.3 the effects of personal trauma history on mental health and recovery; and
 - 18.4.1.4 the effects and side effects of prescribed medications, when appropriate.
- 18.4.2 Symptom management efforts directed to help each individual identify/target the symptoms and occurrence patterns of his or her mental illness and
- 18.4.3 Development of methods (internal, behavioral, or adaptive) to help lessen the effects.
- 18.4.4 Psychotherapy, including:
 - 18.4.4.1 individual supportive therapy and empirically supported psychotherapy interventions that address specific symptoms and behaviors;

18.4.4.2 and family therapy when indicated by the BPS or PDRC, and informal support system.

18.4.5 Psychological support to individuals, both on a planned and as-needed basis, to help them accomplish their personal goals, to cope with the stressors of day-to-day living, and to recover.

18.5 *Wellness Management and Recovery Services*: Wellness Management and Recovery Services shall include but not be limited to the following:

18.5.1 Defining and identifying the individual's recovery goals within the individual's frame of reference.

18.5.2 Developing strategies for implementing and maintaining the identified recovery goals as informed by the individual's strengths.

18.5.3 Psychoeducation and providing the individual with practical information about mental illness and the individual's diagnoses and experiences with mental illness.

18.5.4 Training in individual's legal rights, civil and human rights including rights under the ADA and Olmstead and how to access assistance in achieving these rights.

18.5.5 Skills training and practice:

18.5.5.1 developing social supports;

18.5.5.2 understanding and implementing individual coping skills to decrease stress;

18.5.5.3 effectively using medication;

18.5.5.4 developing a personal definition of relapse;

18.5.5.5 identifying triggers for relapse and

18.5.5.5.1 creating strategies for reducing relapse frequency and severity;

18.5.5.6 identifying personal stressors and coping positively with those stressors.

18.5.5.7 identifying and coping with symptoms.

18.5.5.8 getting individual needs met within the mental health system, including empowerment and self-advocacy.

18.5.5.9 learning and practicing new skills as they are developed with direct assistance.

19 Medication Prescription, Administration, Monitoring and Documentation

19.1 The ACT team's psychiatric prescriber shall:

- 19.1.1 Establish a direct and personal clinical relationship with each individual.
- 19.1.2 Assess each individual's mental illness symptoms and provide verbal and written information about mental illness.
- 19.1.3 Review clinical information with the individual, and as appropriate, with the individual's family members or significant others;
- 19.1.4 Make an accurate diagnosis based on direct observation, available collateral information from the family and significant others and a current comprehensive assessment.
- 19.1.5 Provide a diagnostic work-up that will dictate an evidence-based medication pathway that the psychiatric prescriber will follow.
- 19.1.6 Provide to the individual, and as appropriate, the individual's family and/or significant others, practical education about medication, including:
 - 19.1.6.1 Benefits and
 - 19.1.6.2 Risks of various medication strategies.
- 19.1.7 Consider the preferences of the consumer with regard to medications that are incorporated in the individual's service plan;
- 19.1.8 Devise a medication regimen that will help promote the consumer's engagement and ability to self-manage medications;
- 19.1.9 Obtain informed consent from the individual for all medications prescribed.
- 19.1.10 In collaboration with the individual, assess, discuss and document the individual's mental illness symptoms and behavior in response to medication and shall monitor and document medication side effects.
- 19.1.11 Provide care in a professionally responsible manner, adhering to the practice guidelines of the American Psychiatric Association, the American Medical Association, and the American Osteopathic Association.

19.2 All ACT team members shall assess and document the individual's behavior and response to medication and shall monitor for medication side effects.

- 19.2.1 Observations will be reviewed with the individual.

19.3 The ACT team program shall establish medication policies and procedures which identify processes to:

- 19.3.1 Record physician orders;
- 19.3.2 Order medication;

- 19.3.3 Arrange for all individual medications to be organized by the team and integrated into individuals' weekly schedules and daily staff assignment schedules.
- 19.3.4 Provide security for medications (e.g., long-term injectable, daily, and longer term);
- 19.3.5 Set aside a private designated area for set up of medications by the team's nursing staff.
- 19.3.6 Administer medications per Delaware Board of Nursing AWSAM protocols.
- 19.3.7 Apply for Patient Assistance Plan (PAP) for all individuals eligible for assistance.

20 Co-Occurring Disorders Services

20.1 ACT individuals with a positive screen for co-occurring substance use disorder shall receive an integrated mental health/substance use assessment during the first thirty (30) days of treatment. The assessment will include:

- 20.1.1 Substance use history;
- 20.1.2 Trauma history;
- 20.1.3 Parental and familial substance use summary;
- 20.1.4 Effects/impact of substance use;
- 20.1.5 Functional assessment: role played by substances in the individual's life;
- 20.1.6 Factors that have contributed to past successes and relapses;
- 20.1.7 Individual strengths;
- 20.1.8 Social support network (including both individuals who use substances and people who support recovery);
- 20.1.9 Individual's self-identified goals and aspirations;
- 20.1.10 ACT individuals will receive integrated treatment that is:
 - 20.1.10.1 non-confrontational,
 - 20.1.10.2 considers interactions of mental illness and substance abuse; and
 - 20.1.10.3 results in a person directed recovery plan that incorporates goals determined by the individual.

20.2 Treatment will follow a harm reduction model. This may include:

- 20.2.1 individual and/or group interventions in:
 - 20.2.1.1 developing motivation for decreasing use;
 - 20.2.1.2 developing skills to minimize use;
 - 20.2.1.3 recognition of negative consequences of use; and
 - 20.2.1.4 adoption of an abstinence goal for treatment.

- 20.2.2 Engagement (e.g., empathy, reflective listening).
- 20.2.3 Ongoing assessment (e.g., stage of readiness to change, individual-determined problem identification).
- 20.2.4 Motivational enhancement (e.g., developing discrepancies, psycho-education).
- 20.2.5 Active treatment (e.g., cognitive skills training, community reinforcement).
- 20.2.6 Continuous relapse prevention (e.g., trigger identification, building relapse prevention action plans).

21 Education Services:

21.1 *Supported Education*: Supported education related services are for ACT individuals whose high school, college or vocational education could not start or was interrupted and who wish to include educational goals in their recovery plan. Services provide support:

- 21.1.1 Enrolling and participating in educational activities;
- 21.1.2 Strengths-based assessment of educational interests, abilities and history;
- 21.1.3 Pre-admission counseling to determine which school and/or type of educational opportunities may be available;
- 21.1.4 If, indicated referral to GED classes and testing;
- 21.1.5 Assistance with completion of applications and financial aid forms;
- 21.1.6 Help with registration;
- 21.1.7 Orientation to campus buildings and school services;
- 21.1.8 Early identification and intervention with academic difficulties;
- 21.1.9 Linking with academic supports such as tutoring and learning resources;
- 21.1.10 Assistance with time management and schoolwork deadlines;
- 21.1.11 Supportive counseling;
- 21.1.12 Information regarding disclosing mental illness;
- 21.1.13 Advocating with faculty for reasonable accommodations.

22 Vocational Services:

22.1 *Vocational Services* shall be provided or coordinated to include work-related services to help individuals value, find, and maintain meaningful employment in ordinary community-based job sites as well as job development and coordination with

employers. When the individual chooses to participate, services include but are not limited to:

- 22.1.1 Assessment of job-related interests and abilities through a complete education and work history assessment as well as on-the-job assessments in community-based jobs.
- 22.1.2 Assessment of the effect of the individual's mental illness on employability with identification of specific behaviors that:
 - 22.1.2.1 help and hinder the individual's work performance; and
 - 22.1.2.2 development of interventions to reduce or eliminate any hindering behaviors and find effective job accommodations.
- 22.1.3 Job development activities.
- 22.1.4 Development of an ongoing employment rehabilitation plan to help each individual establish the skills necessary to find and maintain a job;
- 22.1.5 Provision of on-the-job or work-related crisis intervention services.
- 22.1.6 Other work-related supportive services, such as Supported Employment activities which may include: assistance with resume development, job application preparation, interview support, helping individuals with job related stress, managing symptoms while at work, grooming and personal hygiene, securing of appropriate clothing, wake-up calls, and transportation.

23 Instrumental Activities of Daily Living Services (IADLs)

23.1 These include services to support activities of daily living in community-based settings include:

- 23.1.1 individualized assessment,
- 23.1.2 problem solving,
- 23.1.3 skills training/practice,
- 23.1.4 sufficient side-by-side assistance and support,
- 23.1.5 modeling,
- 23.1.6 ongoing supervision (e.g. prompts, assignments, monitoring, encouragement),
- 23.1.7 environmental adaptations to assist individuals to gain or use the skills required to:

- 23.1.7.1 Find housing (e.g., apartment hunting; finding a roommate; landlord negotiations; cleaning, furnishing, and decorating;) which is:
 - 23.1.7.1.1 safe,
 - 23.1.7.1.2 good quality,
 - 23.1.7.1.3 comfortable to the client,
 - 23.1.7.1.4 affordable, and
 - 23.1.7.1.5 in compliance with the *Americans with Disabilities Act* including the Olmstead Decision (28 C.F.R. § 35.130).
- 23.1.7.2 and procure necessities (such as telephones, furnishings, linens);
- 23.1.7.3 Perform household activities, including:
 - 23.1.7.3.1 house cleaning;
 - 23.1.7.3.2 Cooking;
 - 23.1.7.3.3 grocery shopping; and
 - 23.1.7.3.4 laundry.
- 23.1.7.4 Carry out personal hygiene and grooming tasks, as needed
- 23.1.7.5 Develop or improve money-management skills with the goal of attaining independence in management of one's finances
- 23.1.7.6 Use available transportation
- 23.1.7.7 Have and effectively use a personal physician and dentist.
- 23.1.7.8

24 Social and Community Integration Skills Training

- 24.1 Social and community integration skills training serve to support social/interpersonal relationships and leisure-time skills training and include:
 - 24.1.1 supportive individual therapy (e.g., problem solving, role-playing, modeling, and support);
 - 24.1.2 social-skill teaching and assertiveness training;
 - 24.1.3 planning, structuring, and prompting of social and leisure-time activities;
 - 24.1.4 side-by-side support and coaching;
 - 24.1.5 organizing individual and group social and recreational activities to structure individuals' time, increase their social experiences, and provide them with opportunities to practice social skills and receive feedback and support required to:
 - 24.1.5.1 Improve communication skills,
 - 24.1.5.2 develop assertiveness, and increase self-esteem, as necessary
 - 24.1.5.3 increase social experiences,
 - 24.1.5.4 encourage development of meaningful personal relationships
 - 24.1.5.5 Plan productive use of leisure time
 - 24.1.5.6 Relate to landlords, neighbors, and others effectively
 - 24.1.5.7 Familiarize themselves with available social and recreational opportunities

- 24.1.5.8 Enhance relationships with natural support systems
- 24.2 Housing Services – the team shall provide housing services, utilizing the supportive housing model. In addition to the housing-related IADL services outlined above, services include the following:
 - 24.2.1 Directly assisting individuals in locating housing of their choice, using a variety of housing options, including integrated, community-based, independent housing;
 - 24.2.2 Assistance in finding affordable, safe, and decent housing, which affords the individual rights of tenancy, whenever possible

25 Peer Support Services

- 25.1 These include services to validate individuals' experiences and to guide and encourage individuals to take responsibility for, and actively participate in their own recovery, as well as services to help individuals identify, understand, and combat stigma and discrimination against mental illness and develop strategies to reduce individuals' self-imposed stigma. Peer Support and Wellness Recovery Services include:
 - 25.1.1 Coaching in the development of Wellness Recovery Action Plan, and provision of other empirically supported peer-based, recovery approaches, such as Whole Health Action Management (WHAM) and Health and Recovery Peer Program (HARP)
 - 25.1.2 Peer counseling and support services, including those which:
 - 25.1.2.1 Promote self-determination and
 - 25.1.2.2 Encourage and reinforce choice and decision making.
 - 25.1.3 Introduction and referral to individual self-help programs and advocacy organizations that promote recovery.
 - 25.1.4 Assist individuals in self-advocacy and self-directed treatment planning.
- 25.2 The Peer Specialist will serve as a full team member to support a culture of recovery in which each individual's point of view and preferences are recognized, understood, respected and integrated into treatment, rehabilitation, support, and community activities.
- 25.3 Peer staff shall not provide medication education, assistance with medication or be relegated to a position as a primary provider of transportation.
 - 25.3.1 When it is determined that Peers are the best choice of staff on the ACT team to assist with medication adherence, the team must document the intervention in the person centered recovery plan and obtain permission from DSAMH prior to putting this practice in place;

25.3.1.1.1 The request from DSAMH shall contain information related to all other interventions attempted, the duration of how long the Peer shall provide the medication intervention, and other intervention strategies that will be attempted to remove the peer from this role.

26 Psycho–education and Support of the Family and Supporters

26.1 Services provided or coordinated under this category to individuals' families and other major supports with individual agreement or consent, include:

- 26.1.1 Individualized psycho–education about the individual's illness and the role of the family in the therapeutic process;
- 26.1.2 Individualized psycho–education about the individual's illness and the role of other significant people in the therapeutic process;
- 26.1.3 Family intervention to restore contact, resolve conflict, and maintain relationships with family and or other significant people;
- 26.1.4 Ongoing communication and collaboration, face–to–face and by telephone, between the ACT team and the family;
- 26.1.5 Introduction and referral to family self–help programs and advocacy organizations that promote recovery;
- 26.1.6 Assistance to individuals with their children, including individual supportive counseling, parenting training, and service coordination but not limited to:
 - 26.1.6.1 Services to help individuals throughout pregnancy and the birth of a child;
 - 26.1.6.2 Services to fulfill parenting responsibilities and coordinating services for the child;
 - 26.1.6.3 Services to restore relationships with children who are not in the individual's custody.

27 Documentation of Services

27.1 The ACT team will document all services provided to individual and family in the individual file.

27.1.1 In addition to documentation of each contact, a narrative summary of the services provided to the individual shall be entered into the individual chart monthly shall be in accordance to best practice and include:

27.1.1.1 A minimum of sixty (60) minutes of service/week with a minimum of three (3) contacts/week based on the PDRP that reflects medical necessity. If a less intense level of service is provided to an individual over the course of a six-month period, due to the persons' recovery progress, the ACT team will document that it is implementing a timely process of assisting the individual in making the transition to a lower level of care;

27.1.1.2 services provided and the individual's response to those services provided;

27.1.1.3 Progress in meeting recovery plan goals;

27.1.1.4 Coordination and Communication related to consumers care;

27.1.1.5 Changes in recovery plan goals;

27.1.1.6 Plans for continuation of care during the coming month;

27.1.1.7 Is signed and dated by the person entering the note into the individual chart.

27.1.1.8

28 FACILITY STANDARDS

28.1 The facility(ies) within which the ACT team(s) operate shall meet the following criteria:

28.1.1 They shall post a Certificate of Occupancy;

28.1.2 They shall meet all applicable fire and life safety codes;

28.1.3 They shall be maintained in a clean and safe condition;

28.1.4 They shall provide rest rooms maintained in a clean and safe condition available to individuals, visitors and staff;

28.1.5 They shall be accessible to the individual served;

28.1.6 They shall provide a smoke free environment.

29 Individual Rights and Grievance Procedures

29.1 ACT teams shall be knowledgeable about and familiar with individual rights including the clients' rights to:

29.1.1 Confidentiality

29.1.2 Informed consent to medication and treatment

29.1.3 Treatment with respect and dignity

29.1.4 Prompt, adequate, and appropriate treatment

29.1.5 Treatment which is under the least restrictive conditions and which promotes individuals' meaningful community integration and opportunities to live like ordinary Delawareans;

29.1.6 Nondiscrimination;

29.1.7 Control of own money;

29.1.8 Voice or file grievances or complaints.

29.2 ACT teams shall be knowledgeable about and familiar with the mechanisms to implement and enforce individual rights. These include:

29.2.1 Grievance or complaint procedures under:

29.2.1.1 Medicaid;

29.2.1.2 DSAMH;

29.2.1.3 *Americans with Disabilities Act*.

29.2.1.4 Delaware Human Rights Commission and U.S. Department of Justice (Human Rights).

29.2.1.5 U.S. Department of Housing and Urban Development (HUD–housing discrimination.)

29.2.1.6 PROMISE Care Manager** (see Manual)

29.3 ACT teams shall be prepared to assist individuals in filing grievances with the appropriate organizations and shall:

29.3.1 Have a grievance policy and procedure posted in a conspicuous and prominent area that includes:

29.3.1.1 the names and phone numbers of individuals who can receive grievances both at the agency and with other organizations in §30.2 of these standards;

29.3.1.2 A standardized process for accepting and investigating grievances;

29.3.2 Maintain documentation of the investigation and resolution of all grievances and;

29.3.2.1 Provide for its availability to DSAMH upon request.

29.4 ACT teams should ensure that individuals receive from all staff members' effective, understandable and respectful care that is provided in a manner compatible with their cultural identity, gender, gender expression, sexual orientation, age, faith beliefs, health beliefs and practices.

29.5 ACT teams will also ensure that individuals receive services in their chosen language when their primary language is not English. Teams will make arrangements for interpreter services as required by federal law.

30 ADMINISTRATIVE STANDARDS

30.1 Individual Records

30.1.1 There shall be a treatment record for each individual that includes sufficient documentation of assessments, recovery plans and treatment to justify Medicaid participation and to permit a clinician not familiar with the individual to evaluate the course of treatment.

30.2 There shall be a designated individual records manager who shall be responsible for the maintenance and security of individual records.

30.3 The record-keeping format and system for purging shall provide for consistency, and facilitate information retrieval.

30.4 Individual treatment records shall be kept confidential and safe-guarded in a manner consistent with the requirements of *the Health Insurance Portability and Accountability Act* of 1996, 45 C.F.R. Parts 160 and 164, and 42 C.F.R Part 2 governing the confidentiality of alcohol and drug patient records (if applicable).

30.5 The individual treatment record shall be maintained by the organization a minimum of seven (7) years after the discharge of the individual.

30.6 The active individual record shall contain the following:

30.6.1 A minimum of the program's last twelve (12) months treatment records for the individual; (Note: when individual records are kept in multiple charts, twelve (12) months of records shall be readily available on site.)

30.6.2 An up-to-date face sheet:

- 30.6.2.1 Date of Admission
- 30.6.2.2 Guardian and Contact Information
- 30.6.2.3 Emergency Contacts and Information
- 30.6.2.4 Allergies
- 30.6.2.5 Diagnoses
- 30.6.2.6 Family/Natural Supports
 - 30.6.2.6.1 Contact Information
- 30.6.2.7 Treating Psychiatrist and Contact Information
- 30.6.2.8 Primary Care Physician and Contact Information
- 30.6.2.9 Existence of Advanced Directive and/or Psychiatric Advanced Directive
- 30.6.2.10 Individual's Address and Phone Number
- 30.6.2.11 Photo of the Individual
- 30.6.2.12 Date of Birth
- 30.6.2.13 MCI Number
- 30.6.2.14 Insurance
- 30.6.2.15 Race, Ethnicity, Gender
- 30.6.3 Consent to treatment signed by the individual;
- 30.6.4 Consent to any occasion of release of information;
- 30.6.5 Documentation that the individual has been informed of his/her rights and the consumer's level of understanding of these rights;
- 30.6.6 Documentation that the individual has been provided with information regarding the process by which grievances can be addressed;
- 30.6.7 Reports from all examinations, tests and clinical consults;
- 30.6.8 Hospital discharge summaries;
- 30.6.9 Comprehensive medical psychosocial evaluation;
- 30.6.10 Comprehensive recovery plan development, review of recovery plan, and updates to recovery plan;
- 30.6.11 Crisis intervention plan and updates;
- 30.6.12 The consumer's Advance Directive or other documentation of measures to be taken in the event of incapacity
- 30.6.13 Summary of monthly individual activity;
- 30.6.14 Progress notes;
- 30.6.15 Documentation of case review with clinical supervisor;
- 30.6.16 Medication records;
- 30.6.17 Discharge documentation.

31 Performance Improvement Program

31.1 The ACT programs shall prepare an annual performance improvement plan, which shall be subject to approval by the Division. A clinician employed by the program or parent organization shall be designated performance improvement coordinator. The provider shall establish the performance improvement mechanisms below which shall be carried out in accordance with the performance improvement plan:

- 31.1.1 A statement of the program's objectives. The objectives shall relate directly to the program's individuals or target population.
- 31.1.2 Measurable criteria shall be applied in determining whether or not the stated objectives are achieved.
- 31.1.3 Methods for documenting achievements related to the program's stated objectives.
- 31.1.4 Methods for assessing the effective use of staff and resources toward the attainment of the objectives.
- 31.1.5 In addition to the performance improvement and program evaluation plan, the ACT team shall have a system for regular review that is designed to evaluate the appropriateness of admissions to the program, treatment or service plans, discharge practices, and other factors that may contribute to the effective use of the program's resources.
- 31.1.6 The ACT team shall maintain performance improvement and program evaluation policies and procedures that include:
 - 31.1.6.1 a concurrent utilization review process;
 - 31.1.6.2 a retrospective performance improvement review process;
 - 31.1.6.3 a process for clinical care evaluation studies; and
 - 31.1.6.4 a process for self-survey for compliance with the certification standards and fidelity standards as prescribed by the Division.

31.2 The ACT team(s) shall ensure that data on the individual's race, ethnicity, spoken and written language, sexual orientation, and gender expression are collected in health records, integrated into the organization's management information systems, and are periodically updated.

31.3 The ACT team(s) shall use the data outlined in §32.2 of these standards to develop participatory, collaborative partnerships with communities and utilize a variety of formal and informal mechanisms to facilitate community and individual involvement in designing and implementing culturally aware activities and services that reflect the population that the program serves.

31.4 Certified and/or Certified and Contracted Providers will undergo, in most cases, a simultaneous contract review and certification by the DSAMH Monitoring (QA) team.

31.4.1 More than three (3) deficiencies from Certification Review, may not receive a full year Certification with determination rendered by QA Supervisor and DSAMH Administration;

31.4.2 Providers with several deficiencies from Contract Review, this may affect the length of the Certification. Providers are expected to follow the specific scopes as deemed in the Contract.

Appendix 2: Delaware State Standards for Intensive Care Management (ICM) Services

Please refer to DSAMH's website for the most updated version: <http://dhss.delaware.gov/dsamh/>

OVERVIEW

This manual section contains the standards by which the Division of Substance Abuse and Mental Health (DSAMH) certifies Intensive Care Management (ICM) programs for persons with psychiatric disabilities. Certification is required for provider enrollment with the Division of Social Services, Delaware Division of Medicaid and Medical Assistance (DMMA) Program for Medicaid reimbursement through the rehabilitative services option of Title XIX of the Social Security Amendments.

Through an Inter-Divisional Agreement the Division of Substance Abuse and Mental Health has been delegated authority for administration of certain provisions of the Medicaid program pertaining to behavioral health services covered under the rehabilitative services option. These provisions include the following: 1) certification of programs for provider enrollment, 2) rate setting, and 3) performance improvement. Delegated performance improvement functions include program monitoring, utilization control, training and technical assistance.

The Delaware Medicaid and Medical Assistance Program requires providers of behavioral health rehabilitative services to be certified by DSAMH as a condition of enrollment before they may provide services to eligible Medicaid recipients. Behavioral Health rehabilitative services are medically related treatment, rehabilitative and support services for persons with disabilities caused by mental illness, and substance use disorders. The Assertive Community Treatment (ACT), Intensive Care Management (ICM), Psychosocial Rehabilitation Center (PRC) and Residential Rehabilitation Facility (RRF) are categories of community support programs that the Division certifies as one of the criteria for Medicaid provider enrollment. Services are provided for as long as is medically necessary to assist service recipients to manage the symptoms of their illnesses, minimize the effects of their disabilities on their capacity for independent living and prevent or eliminate periods of inpatient treatment.

1 CERTIFICATION FOR PROVIDER PARTICIPATION

- 3.2 *Authority*- Through an Inter-Divisional Agreement, the Division of Health and Social Services (DHSS) Delaware Medical Assistance Program (DMAP) has delegated the function of certifying organizations for enrollment as providers of optional behavioral health community support services to the Division of Substance Abuse and Mental Health (Division or DSAMH).

3.3 *Certification Criteria*– Eligibility for certification to provide community support services is determined according to the following criteria:

3.3.1 Organizations eligible to apply for provider certification and enrollment with DHSS for Medicaid reimbursement of Community Support Services include:

1.2.1.1 Private non-profit human service corporations;

1.2.1.2 Private for-profit human service corporations;

3.3.2 The Division bases its certification of programs and enrollment recommendations to DHSS upon the organization's compliance with state-level organizational, administrative and program standards that are consistent with federal Medicaid requirements related to Rehabilitative Services.

3.3.3 The Division establishes and applies minimum compliance guidelines to be used in making certification determinations.

3.3.4 The Division uses a certification survey to measure compliance with organizational, administrative and program standards. The determination with regard to a program's certification is based on:

3.3.4.1 Statements made and certified by authorized representatives of the organization;

3.3.4.2 Documents provided to the Division by the organization;

3.3.4.3 Documented compliance with organizational, program and administrative standards;

3.3.4.4 On-site observations by surveyor.

4 Definitions

Assistance with self-administered medications (AWSAM) means a situation where a designated care provider who has taken a Board approved medication training program, or a designated care provider who is otherwise exempt from the requirement of having to take the Board approved self-administration of medication training program, assists the patient in self-administration of medication other than by injection, provided that the medication is in the original container with a proper label and directions. In cases where medication planners are used, the individual to whom the medication is prescribed must fill the planner. The designated care provider may hold the container or planner for the patient, assist with the opening of the container, and assist the patient in taking the medication.

AWSAM is conducted with the individual present. When delivering medications to the individual in the community, medications must be in their original containers or a labeled container with the name of the medication, dosage, dosing directions and name of the psychiatric prescriber prescribing the medication. (*Delaware Nurse Practice Act*, Title 24 Del. Code Ch. 19, 1902)

Adverse Events are confirmed incidents of abuse, neglect, mistreatment, financial exploitation, and/or significant injuries which require reporting and investigative processes in accordance to DSAMH policies.

Atypical Antipsychotic Medications (also known as “second generation medications”) are those medications used in the treatment of individuals diagnosed with schizophrenia and bipolar conditions.

BioPsychoSocial (BPS) is an assessment positing that biological, psychological, and social factors are together related as significant factors in human functioning in the context of disease or illness.

Clinical Supervision is a systematic process to review each individual's clinical status and to ensure that the individualized services and interventions that the team members provide (including the peer specialist) are planned with, purposeful for, effective, and satisfactory to the individual. The team leader and the psychiatric prescriber have the responsibility for providing clinical supervision that occurs during daily organizational staff meetings, recovery planning meetings, and in individual meetings with team members. Clinical supervision also includes review of written documentation (e.g., assessments, recovery plans, progress notes, correspondence) in conjunction with each recovery plan review and update, upon an individual re-entering ACT or ICM services after a hospitalization of 30 days or more or any time there has been a change to the course of service provision as outlined in the most current recovery plan.

Comprehensive Assessment is the organized process of gathering and analyzing current and past information with each individual and the family and/or support system and other significant people to evaluate: 1) mental and functional status; 2) effectiveness of past treatment; 3) current treatment, rehabilitation and support needs to achieve individual goals and support recovery; and, 4) the range of individual strengths (e.g., knowledge gained from dealing with adversity, personal/professional roles, talents, personal traits) that can act as resources to the individual and his/her recovery planning team in pursuing goals. The results of the information gathering and analysis are used to: 1) establish immediate and longer-term service needs with each individual; 2) set goals and develop the first person directed recovery plan with each individual; and, 3) optimize benefits that can be derived from existing strengths and resources of the individual and his/her family and/or natural support network in the community.

Co-Occurring Disorders (COD) Services include integrated assessment and treatment for individuals who have co-occurring mental health and substance use condition.

Crisis Assessment and Intervention includes services offered twenty-four (24) hours per day, seven days per week for individuals when they are experiencing an event that requires immediate response from a team member or other mental health professional. This includes a presence at local emergency departments and state crisis response settings (e.g. CAPES, CAPAC).

Daily Staff Assignment Schedule is a written, daily timetable summarizing all individual treatment and service contacts to be divided and shared by staff working on that day. The daily staff assignment schedule will be developed from a central file of all weekly individual schedules.

DHSS refers to the Delaware Department of Health and Social Services.

DMMA refers to the Delaware Division of Medicaid and Medical Assistance, providing health care coverage to individuals with low incomes and to those with disabilities, ensuring access to high quality, cost effective and appropriate medical care and supportive services.

DSAMH refers to the Delaware Division of Substance Abuse and Mental Health within the Department of Health and Social Services.

Family and Natural Supports' Psycho-education and Support is an approach to working in partnership with families and natural supports to provide current information about mental illness and to help them develop coping skills for handling problems posed by mental illness as experienced by a significant other in their lives.

Health Homes were established within the Affordable Care Act to coordinate care for people with Medicaid who have chronic conditions, operating under a "whole-person" philosophy, integrating and coordinating all primary, acute, behavioral health, and long-term services and supports to treat the whole person.

ICM (Intensive Care Management) Team is a group of ten (10) ICM staff members who together have a range of clinical and rehabilitation skills and expertise. The ICM team members are assigned by the team leader and the psychiatric prescriber to work collaboratively with an individual and his/her family and/or natural supports in the community by the time of the first individual assessment and subsequent person directed recovery planning meeting. The ICM team serves up to 200 individuals and thus has a maximum staff to client ration of 1:20. The ICM team serves individuals referred from office-based out-patient care, requiring a higher level of support; as well as individuals referred from ACT services that are successful with increased independence.

The core members of the team are the primary care manager, the psychiatric prescriber, and at least one clinical or rehabilitation staff person who shares case coordination and service provision tasks for each individual. The team has continuous responsibility to be knowledgeable about the individual's life, circumstances, goals and desires; to collaborate with the individual to develop

and write the recovery plan; to offer options and choices in the recovery plan; to ensure that immediate changes are made as an individual's needs change; and to advocate for the individual's wishes, rights, and preferences. Frequency of contacts should be no less than every 14 days, 2.5 hours of contact per month. The ICM team is responsible for providing much of the individual's treatment, rehabilitation, and support services. Team members are assigned to take separate service roles with the individual as specified by the individual and the person-directed recovery plan.

Illness/Symptom Management is an approach directed to help each individual identify and target the undesirable symptoms and disruptive manifestations of his or her mental illness and develop methods to help reduce recurrence and impact of those symptoms. Methods include identifying triggers and warning signs associated with specific symptoms, and learning ways to prevent and cope with symptoms.

Individual is an adult, age eighteen (18) and older who is receiving person-centered treatment, rehabilitation, and support services from the ICM team.

Individual Therapy includes therapeutic interventions that help people make changes in their feelings, thoughts, and behavior in order to clarify goals and address stigma as they move toward recovery. Empirically-supported psychotherapy such as cognitive-behavioral therapy and supportive therapies also help individuals understand and identify symptoms in order to find strategies to lessen distress and symptomatology, improve role functioning, and evaluate the personal effectiveness and appropriateness of treatment and rehabilitative services available to them.

Informed Consent means that the consumer has an understanding of the purposes, risks and benefits of each medication or treatment prescribed, as well as his/her rights to refuse medication or treatment.

Initial Assessment and Person directed recovery plan is the initial evaluation of: 1) the individual's mental and functional status; 2) the effectiveness of past treatment; 3) the current treatment, rehabilitation and support service needs, and 4) the range of individual strengths that can act as resources to the person and his/her team in pursuing goals. The results of the information gathering and analysis are used to establish the initial recovery plan to achieve individual goals and support recovery. Completed the day of admission, the individual's initial assessment and recovery plan guides team services until the comprehensive assessment and full person directed recovery plan is completed.

Instrumental Activities of Daily Living (IADL) include approaches to support individuals and build skills in a range of activities of daily living, including but not limited to finding housing, performing household activities, increased independence in carrying out personal hygiene and

grooming tasks, money management, accessing and using transportation resources, and accessing services from a physician and dentist.

Interdisciplinary Approach is the service model whereby team members from multiple disciplines analyze and synthesize shared roles and systematically collaborate and train each other in the methods associated with their expertise across assessment and service activities to reap the benefits of each member's unique point of view. The purpose of this approach is to share responsibility for services to consumers and to pool and integrate the expertise of team members so that consumers receive the specific evidence-based and client-centered services they need to achieve their goals. The communication expectation in this type of team involves continuous collaboration among all members (inclusive of the individual and, if desired, his/her family/other natural supports) on a regular, planned basis.

Medication Administration is the physical act of giving medication to individuals in an ICM program by the prescribed route that is consistent with state law and the licenses of the professionals privileged to prescribe and/or administer medication (e.g., psychiatric prescribers, nurse practitioners, registered nurses, and pharmacists).

Medication Adherence Education involves the sharing of information from the ICM team members to the individual or the individual's natural supports about pros and cons of taking medication for mental health conditions. Peers may *not* assist with medication adherence education.

Medication Assistance is the oversight of medication adherence where a member of the ICM team observes or provides training in self-administration of medication. With the exception of a registered nurse or psychiatric prescriber, all team members must receive Assistance With Self-Administered Medication (AWSAM) training at the beginning of employment and annually thereafter. Team members required to participate in AWSAM training may not observe medication assistance prior to completing initial AWSAM training during orientation and annual training thereafter. Peers may assist in medication assistance only when the team has determined that only the Peer will have the most success in helping the individual adhere to a prescribed medication regimen; this allowance must be time limited along with a plan to disengage the peer from providing this service in addition to pre-approval by DSAMH.

Medication Error is any error in prescribing, administering or delivering a specific medication, including errors in writing or transcribing the prescription, in obtaining and administering the correct medication, in the correct dosage, in the correct form, and at the correct time.

Medication Management is a collaborative effort between the individual and the psychiatric prescriber with the participation of the team to provide training in medication adherence and to carefully evaluate the individual's previous experience with psychotropic medications and side-effects; to identify and discuss the benefits and risks of psychotropic and other medication; to

choose a medication treatment; and to establish a method to prescribe and evaluate medication response according to evidence-based practice standards.

Nurse Licensure Compact is a nurse who is licensed in one of the participating Compact (Multi-State) Licensure states. A compact license allows a licensed Registered Nurse (RN) or Licensed Practical Nurse (LPN) to work in another state without having to obtain licensure in that state. The state where the nurse is licensed and the state where the nurse works ***both*** must be parties to the compact agreement.

Peer Support and Wellness Recovery Services are services provided by team members who have experience as recipients of mental health services. The role of the peer support includes providing services that serve to validate individuals' experiences, provide guidance and encouragement to individuals to take responsibility for and actively participate in their own recovery, and help individuals identify, understand, and combat stigma and discrimination against mental illness and develop strategies to reduce individuals' self-imposed stigma. The DSAMH Scope of Practice for peers shall be the guide for utilizing this resource.

Person-Directed Recovery plan (PDRP) is the product of a continuing process involving each individual, his/her family and/or natural supports in the community, and the ICM team, which tailors service activity and intensity to meet the individual's specific treatment, rehabilitation, and support needs. The written recovery plan documents the individual's strengths, resources, self-determined goals, and the services necessary to help the individual achieve them. The plan also delineates the roles and responsibilities of the team members who work collaboratively with each individual in carrying out the services.

Primary care manager under the supervision of the Team Leader, the primary care manager leads and coordinates the activities of the individual treatment team (and is the team member who has primary responsibility for establishing and maintaining a therapeutic relationship with an individual on a continuing basis, whether the individual is in the hospital, in the community, or involved with other agencies. In addition, he or she is the responsible team member to be knowledgeable about the individual's life, circumstances, and goals and desires.

The primary care manager develops and collaborates with the individual to write the person directed recovery plan, offers options and choices in the recovery plan, ensures that immediate changes are made as the individual's needs change, and advocates for the individual's wishes, rights, and preferences. The primary care manager also works with other community resources, including individual-run services, to coordinate activities and integrate other agency or service activities into the overall service plan with the individual. The primary care manager provides individual supportive therapy and provides primary support and education to the family and/or support system and other significant people. In most cases the primary practitioner is the first team member available to the individual in crisis. The primary care manager shares these service activities with other members of the team who are responsible to perform them when the primary care manager is not working.

Program refers to the ICM services team that provides service in accordance with these standards.

Psychiatric Prescriber means a physician or psychiatric nurse practitioner, licensed by the State of Delaware who has specific clinical experience in the treatment of mental health disorders. Psychiatric Prescribers must have specific training in pharmacology and in applicability of psychotropic medications used with individuals who have a mental health diagnosis and have full privileges to diagnosis mental health disorders and prescribe psychotropic medications by virtue of their professional license.

Psychotropic Medication is any drug used to treat, manage, or control psychiatric symptoms or behavior, including but not limited to antipsychotic, antidepressant, mood-stabilizing or anti-anxiety agents.

Recovery Plan Review is a thorough, written summary describing the individual's and the interdisciplinary team's evaluation of the individual's progress/goal attainment, the effectiveness of the interventions, and satisfaction with services since the last person directed recovery plan. The Recovery Plan Review provides a basis for making needed refinements in the individual's service plan and includes active participation by the individual served.

Recovery Planning Meeting is a regularly scheduled meeting conducted under the supervision of the team leader and the psychiatric prescriber. The purpose of the meeting is for the staff, and the individual and his/her family/natural supports (all working as a team) to thoroughly prepare for their work together. The group meets together to present and integrate the information collected through assessment to learn as much as possible about the individual's life, his/her experience with mental illness, and the type and effectiveness of the past treatment they have received. The presentations and discussions at these meetings make it possible for all staff to be familiar with each individual and his/her goals and aspirations and for each individual to become familiar with each team member; to participate in the ongoing assessment and reformulation of strengths, resources, and service needs/issues; to problem-solve treatment strategies and rehabilitation options; and to fully understand the recovery plan rationale in order to carry out the plan for each goal.

Service Coordination is a process of organization and coordination within the interdisciplinary team to carry out the range of treatment, rehabilitation, and support services each individual expects to receive in accordance with his or her written person directed recovery plan and that are respectful of the individual's wishes. Service coordination also includes coordination with community resources, including individual self-help and advocacy organizations that promote recovery.

Serious and Persistent Mental Illness (SPMI) is an adult with a serious and persistent mental illness, "1" below must be met, in addition to either "2", "3", or "4":

5. Designated Mental Illness

The individual is 18 years of age or older and currently meets the criteria for a DSM-5 psychiatric diagnosis other than alcohol or drug disorders, organic brain syndromes, developmental disabilities or social conditions. ICD-Coding Manual psychiatric categories and codes that do not have an equivalent in DSM-5 are also included mental illness diagnoses.

And

6. SSI or SSDI due to Mental Illness

The individual is currently enrolled in SSI/SSDI due to a designated mental illness.

Or

7. Extended Impairment in Functioning due to Mental Illness

- a. Documentation that the individual has experienced two of the following four functional limitations due to a designated mental illness over the past 12 months on a continuous or intermittent basis:
 - i. Marked difficulties in self-care (personal hygiene, diet, clothing, avoiding injuries, securing health care or complying with medical advice).
 - ii. Marked restriction of activities of daily living (maintaining a residence, using transportation, day to day money management, accessing community services).
 - iii. Marked difficulties in maintaining social functioning (establishing and maintaining social relationships, interpersonal interactions with primary partner, children or other family members, friends, neighbors, social skills, compliance with social norms, appropriate use of leisure time).
 - iv. Frequent deficiencies of concentration, persistence or pace resulting in failure to complete tasks in a timely manner (ability to complete tasks commonly found in work settings or in structured activities that take place in home or school settings, individuals may exhibit limitations in these areas when they repeatedly are unable to complete simple tasks within an

established time period, make frequent errors in tasks, or require assistance in the completion of tasks).

Or

8. Reliance on Psychiatric Treatment, Rehabilitation and Supports

A documented history shows that the individual at some prior time met the threshold for 3 (above), but the symptoms and/or functioning problems are currently attenuated by medication or psychiatric rehabilitation and supports. Medication refers to psychotropic medications which may control certain primary manifestations of mental disorder; e.g. hallucinations, but may or may not affect functional limitations imposed by the mental disorder. Psychiatric rehabilitation and supports refer to highly structured and supportive settings which may greatly reduce the demands placed on the individual and thereby, minimize overt symptoms and signs of the underlying mental disorder.

Social and Community Integration Skills Training provides support to individuals in managing social and interpersonal relationships and leisure time activities, with an emphasis on skills acquisition and generalization in integrated community-based settings.

Supported Education provides the opportunities, resources, and supports to individuals with mental illness so that they may gain admission to and succeed in the pursuit of education including completing high school, (or obtaining a GED), post-secondary education and vocational school.

Supported Employment is a service providing on-going individualized support to learn a new job or maintain a job in competitive or customized integrated work setting that meets job and career goals, including self-employment, and are compensated at or above the minimum wage, in line with compensation to employees with the same or similar work by individuals without disabilities.

Trauma-Informed organizations, programs, and services are based on an understanding of the vulnerabilities of triggers of trauma survivors that traditional services delivery approaches may exacerbate, so that these services and programs can be more supportive and avoid re-traumatization. Trauma-informed organizations take the steps necessary to make certain that, every part of its organization, management, and service delivery system is assessed and potentially modified to include a basic understanding of how trauma affects the life of an individual seeking services.

Vocational Services include work-related services to help individuals value, find, and maintain meaningful employment in community-based settings.

Weekly Individual Contact Schedule is a written schedule of the specific interventions or service contacts (i.e., by whom, when, for what duration, and where) that the ICM Team uses to help

guide the goals and objectives in an individual's person directed recovery plan. The team shall maintain an up-to-date weekly individual contact schedule for each individual in accordance with the person directed recovery plan.

Wellness Management and Recovery Services are a combination of psychosocial approaches to working in partnership with the individual to build and apply skills related to his or her recovery, including development of recovery strategies, building social support, reducing relapses, using medication effectively, coping with stress, coping with problems and symptoms, attending to physical needs and getting needs met within the mental health system, medical system and community.

3 Admission and Discharge Criteria

3.1 Admission Criteria Eligible recipients are certified by the psychiatric prescriber as being in medical need of program services in accordance with an assessment procedure approved by the Division for use in determining that individuals are diagnosed with mental health conditions according to criteria for severity of disability associated with mental illness. The assessment must provide supporting evidence of the following criteria:

3.1.1 Severe and persistent mental illness (SPMI) that seriously impairs an individual's functioning in community living. Priority is given to people with schizophrenia, other psychotic disorders (e.g., schizoaffective disorder), and bipolar disorder because these illnesses more often cause long-term psychiatric disability. Individuals must have a primary mental health diagnosis or co-occurring serious mental illness and substance use condition. Individuals with a sole diagnosis of a substance use disorder, mental retardation, brain injury or personality disorders are not the intended individuals for ICM services. Individuals with SMI may have a history of repeated hospitalizations and/or may be individuals who have not been able to remain abstinent from drugs or alcohol. Diagnoses that would otherwise be excluded from ICM services may be considered for an-ICM team if an assessment by the team supports ICM services as the best course of service.

3.2.2 Significant impairments as demonstrated by at least one of the following conditions:

3.2.2.1 Significant difficulty consistently performing the range of practical daily living tasks required for basic adult functioning in the community (e.g., caring for personal business affairs; obtaining medical, legal, and housing services; recognizing and avoiding

common dangers or hazards to self and possessions; meeting nutritional needs; maintaining personal hygiene) or persistent or recurrent difficulty performing daily living tasks except with significant support or assistance from others such as friends, family, relatives or the ICM team.

3.2.2.2 Significant difficulty maintaining consistent employment at a self-sustaining level or significant difficulty consistently carrying out the homemaker role, e.g., household meal preparation, washing clothes, budgeting, or child-care tasks and responsibilities.

3.2.2.3 Significant difficulty maintaining a safe living situation (e.g., repeated evictions or loss of housing).

3.2.2.4 Continuous high-service needs as demonstrated by at least one of the following:

3.2.2.4.1 Co-occurring substance use and SPMI or SMI of significant duration, e.g., greater than six months.

3.2.2.4.2 High risk or recent history of criminal justice involvement, e.g., arrest and incarceration.

3.2.2.4.3 Difficulty effectively utilizing traditional office-based outpatient services or other less-intensive community-based programs, e.g., individual fails to progress, drops out of service.

3.2.3 Documentation of admission shall include:

3.2.3.1 Evidence that one of the criteria in §3.1.2.4 is met;

3.2.3.2 The reasons for admission as stated by both the individual and the team.

3.2.3.3 The signature of the psychiatric prescriber.

3.2.4 Engagement and enrollment into the ICM team will begin within five (5) days of referral.

3.2.5 Admission into the ICM team shall be completed within 30 days from date of referral;

3.2.5.1 Any exceptions to engagement or enrollment must be reported to the EEU; all documented engagement attempts shall be provided to DSAMH/EEU upon request.

- 3.2.6 DMMA and DSAMH may require a full review of medical necessity in the event that a determination of medical necessity by the program physician does not appear to be supported by the assessment materials.

3.3 Requests for Discharge from services shall occur when an individual:

- 3.2.9 Has successfully reached individually-established goals (*i.e. Demonstrates an ability to function in all major role areas such as work, social, self-care*) for discharge and when the individual and program staff mutually agrees to the transition to less intensive services;
- 3.2.10 Moves outside the geographic area of ICM responsibility. In such cases, the ICM team shall arrange for transfer of mental health service responsibility to an ACT or ICM program or another provider wherever the individual is moving. The ICM team shall maintain contact with the individual until this service transfer is complete;
- 3.2.11 Declines or refuses services and requests discharge, despite the team's documented best efforts to utilize appropriate engagement techniques to develop a mutually acceptable person directed recovery plan with the individual;
 - 3.2.11.1 Prior to discharge from ICM services, the EEU shall approve and/or request further information to review the circumstances, the clinical situation, the risk factors, and attempted strategies to engage the individual prior to the discharge of an individual from ICM services.
- 3.2.12 In addition to the discharge criteria listed above based on mutual agreement between the individual, ICM staff, an individual discharge may also be facilitated due to any one of the following circumstances:
 - 3.2.12.1 Death.
 - 3.2.12.2 Inability to locate the individual despite documented active outreach efforts by the team for a period of ninety (90) continuous days.
 - 3.2.12.3 Incarceration of ninety (90) days or more.
 - 3.2.12.4 Hospitalization or nursing facility care where it has been determined, based on mutual agreement by the hospital or nursing facility treatment team and the ICM team with approval of plan by EEU that the individual will not be appropriate for discharge from the hospital or nursing facility for a prolonged period of time
- 3.2.13 If the individual is accessible at the time of discharge, the team shall ensure individual participation in all discharge activities, or document all attempts to obtain signature.

3.2.14 The discharge summary shall include:

3.2.14.1 Date of discharge;

3.2.14.2 Reason for discharge;

3.2.14.3 Individual's status upon discharge based on the most recent assessment;

3.2.14.3.1 DSM diagnosis;

3.2.14.3.2 Summary of progress toward meeting goals as set forth in the individual's person directed recovery plan;

3.2.14.3.3 Documentation of the teams efforts to engage the individual in services, when relevant to the reason for discharge;

3.2.14.3.4 Aftercare/follow-up plan completed in conjunction with the individual;

3.2.14.3.5 The individual's contact information (i.e., forwarding address and/or phone number, email address).

3.2.14.4 The discharge summary shall be:

3.2.14.4.1 Completed within five (5) business days of discharge from the ICM team.

3.2.14.4.2 Signed and dated by:

3.2.14.4.2.1 The individual when the discharged is planned;

3.2.14.4.2.2 The primary care manager;

3.2.14.4.2.3 The physician;

3.2.14.4.2.4 The Team Leader.

3.2.15 The ICM Team shall develop and implement client discharge plans, including referral/transfer to appropriate post-discharge services.

7 Service Intensity and Capacity

7.1 Staff-to-Individual Ratio ICM:

7.1.1 Each ICM team shall have the organizational capacity to provide a staff- to- individual ratio of (1) full-time equivalent (FTE) staff person for every twenty (20) individuals served by the team.

7.1.1.1 Distinct ICM teams are required.

7.1.2 The maximum number of individuals being served by any one ICM team is two hundred (200).

7.2 Staff Coverage

7.2.1 Each ICM team shall have sufficient numbers of staff to provide treatment, rehabilitation, crisis intervention and support services including twenty-four (24) hour/seven (7) days-a-week coverage.

7.3 Frequency of Individual Contact

7.3.1 The ICM team shall provide services based upon medical necessity. This system shall develop a frequency of face-to-face contact schedule that is in line with services that are medically necessary and is ideally mutually agreed upon between the consumer and the provider.

~~7.3.1.1~~ The ICM team shall have the capacity to provide multiple contacts per month but no less frequent than once every fourteen (14) days.

7.3.2 The following services as deemed necessary by assessment using assessment tools acceptable to DSAMH and prescribed by the individual recovery plan will be provided:

7.3.2.1 Psychiatric and substance abuse treatment;

7.3.2.1.1 Psychiatric prescriber: Face-to-face evaluation, minimally at fourteen (14) day intervals for the first sixty (60) days after admission, and then every thirty (30) days thereafter.

7.3.2.1.2 Chemical Dependency Specialist: Face-to-face evaluation minimally every fourteen (14) days for the first sixty (60) days after admission, and then as prescribed in the Individualized Treatment Plan that details on-going SUD

evaluation schedule that is appropriate to substance abuse.

7.3.2.2 Medication monitoring as follows:

7.3.2.2.1 The psychiatric prescriber will explain to the individual in language understandable to the consumer the various options for medication that can be used as part of treatment, their risks and benefits, common side effects, and the rationale for each medication proposed to be prescribed.

7.3.2.2.2 Informed consent shall be updated, at a minimum, annually.

7.3.2.2.3 Rationale for all changes in medication orders shall be documented in the physician's note.

7.3.2.2.4 All medication orders in the individual's case record shall specify:

7.3.2.2.4.1 Name of the medication (including brand and generic, if specified);

7.3.2.2.4.2 Dosage;

7.3.2.2.4.3 Route of administration;

7.3.2.2.4.4 Frequency of administration;

7.3.2.2.4.5 Signature of the physician prescribing the medication;

7.3.2.2.4.6 All known drug allergies.

7.3.2.2.5 Administration of medication by any method and/or the supervision of individuals in the self-administration of medication must be conducted and documented in conformance with the program's written policies and procedures for medication management.

7.3.2.2.5.1 Programs shall utilize a DSAMH approved Medication Administration Records (MAR) shall contain the following:

7.3.2.2.5.1.1 Name of all known (Somatic or Psychotropic) prescribed medications (including brand or generic, if specified);

7.3.2.2.5.1.2 Printed Name and Signature of Psychiatric Prescriber

7.3.2.2.5.1.3 Dosage;

7.3.2.2.5.1.4 Route of administration;

7.3.2.2.5.1.5 Frequency of administration;

7.3.2.2.5.1.6 All known drug allergies;

7.3.2.2.5.1.7 Name of the person administering or assisting with the administration of medication.

7.3.2.2.5.1.8 Signature of the person administering or assisting with the administration of medication.

7.3.2.2.5.2 Staff shall monitor and document individual adherence to following the prescribed medication treatment and the medication side effects to include the following:

7.3.2.2.5.2.1 Laboratory studies for all medications which require laboratory

monitoring as recommended in the current Physician's Desk Reference;

7.3.2.2.5.2.1.1 Laboratory reports shall:

7.3.2.2.5.2.1.1.1 be reviewed and signed by the psychiatric prescriber or Registered Nurse within two (2) days of receipt.

7.3.2.2.5.2.2 Results of all laboratory studies shall be documented in the individual's chart within 30 days.

7.3.2.2.5.2.3 For persons receiving anti-psychotic medication:

7.3.2.2.5.2.3.1 , the AIMS (Abnormal Involuntary Movement Scale) shall be performed no less than annually to assess individuals at risk for developing Tardive Dyskinesia.

7.3.2.2.5.2.3.2 Annual screening for metabolic disorders in individuals prescribed atypical antipsychotic medications.

7.3.2.2.5.2.4 Education of individuals regarding side effects of prescribed psychotropic medications and strategies for assuming responsibility for self-medication.

7.3.2.2.6 Monitoring of vital signs to include temperature, blood pressure, pulse, respiration, and weight at a minimum of once (1 time) per month.

7.3.2.2.6.1 BMI at a minimal frequency of every six (6) months, per American Psychiatric Association guidelines.

7.3.2.2.7 Metabolic assessment every (90) days for individuals taking atypical antipsychotic medications (including but limited to assessment for diabetes mellitus and hypertension.)

7.3.2.2.8 The program will use an evidence-based, trauma-informed assessment tool approved by DSAMH to assess the need for a trauma-informed treatment approach, and when appropriate, the need for trauma-specific interventions.

8 Staff Requirements

8.1 Qualifications

8.1.1 Each ICM team shall have among its staff persons with sufficient individual competence, professional qualifications and experience to provide:

- 8.1.1.1 service coordination;
- 8.1.1.2 medical nursing assessment;
- 8.1.1.3 trauma informed interventions;
- 8.1.1.4 crisis assessment and intervention;
- 8.1.1.5 recovery and symptom management;

- 8.1.1.6 individual counseling and psychotherapy;
- 8.1.1.7 medication prescription, administration, monitoring and documentation;
- 8.1.1.8 substance abuse counseling and co-occurring counseling;
- 8.1.1.9 Supported housing assistance;
- 8.1.1.10 work-related and education-related services;
- 8.1.1.11 IADLs;
- 8.1.1.12 social, interpersonal relationship and leisure-time activity services;
- 8.1.1.13 support services or direct assistance to ensure that individuals obtain the basic necessities of daily life;
- 8.1.1.14 education, support, and consultation to individuals' families and other major supports; and
- 8.1.1.15 services that meet the requirements of the ADA/Olmstead and their implications for practice.

8.1.2 The staff should have sufficient representation of, and cultural competence in the local cultural population that the team serves.

8 ICM Required Staff

8.1 The chart below shows the required staff:

Position	Requirements
Team leader	.5-1 FTE (1FTE when the Psychiatric Prescriber is less than a .5 FTE)
Psychiatric Prescriber	.5 FTE (When the Team Leader is 1 FTE, the Psychiatric Prescriber is less than .5)
Registered Nurse	1-1.5 FTE(s)
Peer Specialist	(.5) FTE
Master's level*	1 FTE
Bachelor's Level*	1 FTE Including .5/FTE Housing Specialist
Program/Administrative Assistant	1FTE
* Chemical Dependency Specialist (CADC or national equivalent)	.5 FTE (may be a Master's or Bachelor's level)

8.2 Chemical Dependency Specialist may be included within either the "Master's level" or "Bachelor's Level" staffing categories above.

8.3 The following provides a description of and qualifications for required staff on all ICM teams:

- 8.3.1 **Team Leader:** A half-time (.5) (when there is a full time FTE psychiatric prescriber) or one (1) FTE team leader/supervisor (when the psychiatric prescriber is half-time (.5) who is the clinical and administrative supervisor of the team and who also functions as a practicing clinician on the ICM team. The team leader has a Master's degree in nursing, social work, psychiatric rehabilitation or psychology, or is a psychiatric prescriber.
- 8.3.2 **Psychiatric Prescriber** :may include:
- 8.3.2.1 Psychiatric Prescriber may include:
 - 8.3.2.1.1 A person with a Medical Degree or Doctor of Osteopathy degree, licensed to practice medicine in Delaware and who has completed (or is enrolled in) an accredited residency training program in psychiatry, internal medicine or family practice.
 - 8.3.2.1.2 A licensed nurse practitioner who is licensed in the State of Delaware to diagnosis mental health disorders and to prescribe psychotropic medications for such disorders.
 - 8.3.2.2 The psychiatric prescriber provides clinical services to all ICM individuals; works with the team leader to monitor each individual's clinical status and response to treatment; supervises staff delivery of services; and directs psychopharmacologic and medical services. The psychiatric prescriber will be a half-time (.5) FTE when the Team Leader is full time or one (1) FTE when the Team Leader is half-time (.5).
 - 8.3.2.2.1 The psychiatric prescriber shall be physically located at the home clinic of the ICM team in order to provide office-based services and services in the community when indicated.
 - 8.3.2.2.2 With the prior approval of DSAMH, psychiatric prescribers may be accessed via videoconferencing/tele-psychiatry for a period of up to six months. At DSAMH's discretion, DSAMH may extend this authorization for an additional six months.
- 8.3.3 **Registered Nurses:** All registered nurses shall be licensed in the State of Delaware or participating in the Nurse Licensure Compact (NLC). A minimum of one (1) FTE and a maximum of one and one-half (1.5) FTE registered nurses are required.
- 8.3.4 **Master's Level Mental Health Professionals:** A minimum of two (2) FTE Master's level or above mental health professionals (including the team leader) is required on the ICM team.
- 8.3.5 **Chemical Dependency Specialist:** One (1) or more team members must be Chemical Dependency Specialist with:

- 8.3.5.1 Certification in the state of Delaware as a Certified Alcohol and Drug Counselor (CADC) or Certified Co-occurring Disorder Counselor (CCDC); OR
 - 8.3.5.2 at least three (3) years of supervised work experience in the substance abuse treatment field and
 - 8.3.5.3 Forty (40) hours of training specific to substance abuse assessment and treatment.
- 8.3.6 ***Vocational Specialist:*** One or more team members with training and experience in vocational services shall be designated the role of vocational specialist.
- 8.3.7 ***Peer Specialist:*** A minimum of one (1) half-time (.5) peer specialist is required on an ICM team. Because of his/her life experience with mental illness and mental health services, the peer specialist provides expertise that professional training cannot replicate. Peer specialists are fully integrated team members who provide highly individualized services in the community and promote individual self-determination and decision-making. Peer specialists also provide essential expertise and consultation to the entire team to promote a culture in which each individual's point of view and preferences are recognized, understood, respected and integrated into treatment, rehabilitation, and community self-help activities.
- 8.3.8 ***Remaining Clinical Staff:*** The remaining clinical staff will include two (2) FTE Bachelor's level and paraprofessional mental health workers who carry out rehabilitation and support functions including one (1) FTE housing specialist with a minimum of one (1) year experience in interviewing housing applicants and determining if their eligibility for low-income housing, maintaining and updating tenant information, reviewing and analyzing financial information and computing housing assistant payments.
- 8.3.8.1 A Bachelor's level mental health worker has a Bachelor's degree in social work or a behavioral science, and work experience with adults with severe and persistent mental illness.
 - 8.3.8.2 A paraprofessional mental health worker may have:
 - 8.3.8.2.1 a Bachelor's degree in a field other than behavioral sciences; or
 - 8.3.8.2.2 have a high school degree and work experience with adults with severe and persistent mental illness or with individuals with similar human-service's needs. Those paraprofessionals may have related training (e.g., certified occupational therapy assistant, home health care aide) or work experience (e.g., teaching) and life experience.

32 *Policy and Procedure Requirements:*

32.1 The ICM program shall maintain a written Procedure Manual for its staff. A mechanism shall be in place to ensure that the procedures manual is updated periodically as needed but not less frequently than every (2) two years, and that the staff of the program is notified promptly of changes. The manual shall include:

32.1.1 A statement of the program's values and mission including the relationship of these factors to achieving the goals of the ADA and other essential rights of people with psychiatric disabilities, included shall be:

32.1.1.1 Policies and procedures that continually assess the program to assure:

32.1.1.2 A trauma informed and responsive environment;

32.1.1.3 An environment that is culturally sensitive to the populations that the programs services including ethnic/cultural/religious minorities and LGBTQ individuals;

32.1.2 Referral policies and procedures that facilitate individual referral;

32.1.3 Detailed procedures for assessment, recovery planning and documentation;

32.1.4 Policies and procedures for medication management in compliance with all applicable rules, regulations and requirements of the Delaware Board of Medical Practice, the Delaware Board of Nursing and the Delaware Board of Pharmacy (if applicable) to include policies and procedures for:

32.1.4.1 Prescribing medication;

32.1.4.2 Storage of medication;

32.1.4.3 Handling of medication;

32.1.4.4 Distribution of medication;

32.1.4.5 Disposing of medication;

32.1.4.6 Recording of medication used by individuals

32.1.4.7 Assistance with medication in accordance with AWSAMH.

32.1.5 Policies and procedures for handling on-call responsibilities and individual emergencies to include:

32.1.5.1 specific program standards for intervention to avert hospitalization, criminal justice system involvement, or other harmful outcomes;

32.1.6 Policies and procedures for accessing and documenting the need for outside consultation to further the service goals or clinical needs of consumers;

32.1.7 Detailed instructions for application to and communication with entitlement

authorities including but not limited to:

32.1.7.1 The Social Security Administration;

32.1.7.2 Social Services (SNAP, WIC, general relief, energy assistance, etc.)

32.1.7.2.1 State Rental Assistance Program (SRAP), HUD/Section
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32.1.7.3 Medicaid;

32.1.7.4 Medicare;

32.1.7.4.1 Low Income Subsidy (LIS)

32.1.7.4.2 Part D Medicare

32.1.7.5 Prescription Assistance Program (PAP)

32.1.7.6 Rep Payee (when applicable)

32.1.8 Policies and procedures for obtaining releases to share Protected Health Information about individuals with family members or others;

32.1.9 Policies and procedures regarding communicating and handling financial resources of the program;

32.1.10 Policies and procedures regarding the coordination of financial activities with the individual's representative payee for payment from the Social Security Administration;

32.1.11 Policies and procedures for the receipt, consideration and resolution of individual complaints and/or grievances regarding treatment decisions and practices or other program activities.

32.1.12 Policies and procedures for reporting instances of death, possible abuse or neglect, and adverse events to DHSS/DSAMH, law enforcement, and other entities in accordance with state and federal regulations and laws;

32.1.13 Policies and procedures for assisting consumers in securing legal counsel or other special professional expertise when needed;

32.1.14 Policies and procedures for ensuring that consumers are not subject to unwarranted coercion, including legal coercion (outpatient commitment, guardianship);

32.1.15 Policies and procedures to ensure that consumers are afforded an opportunity to execute Advance Directives or medical or legal documents to ensure that their preferences are considered in the event of a crisis or temporary inability to make informed decisions;

- 32.1.16 References to other policies, procedures, laws or regulations as may be promulgated or required by the federal government, the State of Delaware, the Department of Health and Social Services and its Divisions.

33 Personnel Management

- 33.1 The ICM or program shall maintain an up-to-date Personnel Policies and Procedures Manual and make it readily available for reference by the program staff. The Manual will include:

- 33.1.1 Policies and procedures regarding equal employment opportunity and affirmative action to include compliance with:

- 33.1.1.1 The *Americans with Disabilities Act* including Olmstead (28 C.F.R. § 35.130) and the *Vocational Rehabilitation Act of 1973*, Sections 503 and 504 prohibiting discrimination against the handicapped; Title VII of the *Civil Rights Act of 1964* prohibiting discrimination in employment on the basis of race, color, creed, sex or national origin;
- 33.1.1.2 Title XIX of Del section 711 prohibiting discrimination on the basis of race, color, creed, sex, sexual orientation and national origin;
- 33.1.1.3 Age discrimination Act of 1975 prohibiting discrimination based on age;
- 33.1.1.4 Section 402 of the *Vietnam Era Veterans Readjustment Assistance Act* of 1974 prohibiting discrimination against disabled Vietnam Era veterans.

- 33.1.2 Policies and procedures for interviews and selection of candidates including:

- 33.1.2.1 Verification of credentials and references;
- 33.1.2.2 Criminal background checks including:
 - 33.1.2.2.1 Registration on Adult Abuse and Child Abuse registries;
- 33.1.2.3 Policies and procedures for employee performance appraisal including;
- 33.1.2.4 A code of ethics;
- 33.1.2.5 Conditions and procedures for employee discipline including, termination of employment;
- 33.1.2.6 Conditions and procedures for employee grievances and appeals;
- 33.1.2.7 An annual staff development plan which shall include:

33.1.2.7.1 Provisions for orientation of paid staff, student interns and volunteers. Orientation shall include:

33.1.2.7.1.1 Review of these standards;

33.1.2.7.1.2 Review of the program's Procedures and Personnel manuals;

33.1.2.7.1.3 Assistance with Self Administration of Medication (AWSAM) in accordance with *Delaware Nurse Practice Act*, Title 24 Del. Code Ch. 19, 1902 and applicable rules and regulations.

33.1.2.7.1.4 Review of DHSS Policy Memorandum #46;

33.1.2.7.1.5 Review of section 5161 of Title 16 of the Delaware Code;

33.1.2.7.1.6 Review of the *Health Insurance Portability and Accountability Act* of 1996, 45 C.F.R. Parts 160 and 164;

33.1.2.7.1.7 Review of the Substance Abuse Confidentiality regulations codified at 42 C.F.R. Part 2.

33.1.2.7.1.8 Provisions for continuing education of staff;

33.1.2.7.1.9 Provisions for regularly scheduled clinical supervision which teach and enhance the clinical-skills of staff including:

33.1.2.7.1.9.1 Weekly team meetings led by the team leader during which assessments, recovery plans and progress toward treatment goals are reviewed and staff receives direction regarding clinical management of treatment issues.

33.1.2.7.1.10 Individual face-to-face sessions between the team leader and staff to review cases, assess performance and give feedback;

33.1.2.8 Maintenance and access to personnel files which shall contain employees' applications, credential (e.g. copy of a current license(s) and/or certification(s)), job descriptions, and performance appraisals, job titles, training, orientation, salary, staff statement of confidentiality.

33.1.2.9 Annual validation of credentials;

33.1.2.10 Notification by personnel to the program when made aware of any complaints filed against them with the licensing board or other credentialing organization; or upon conviction of any crime above a misdemeanor.

33.1.2.11 Work hours including hours of program operation, shifts and overtime compensation.

33.1.2.12 Agency policies regarding compensation including:

33.1.2.12.1 Salary ranges, salary increases, and payroll procedures;

33.1.2.12.2 Use of personal automobile for program activities;

33.1.2.12.3 Reimbursement for work related expenses;

33.1.2.12.4 Description of employee benefits.

34 Hours of Operation and Staff Coverage

34.1 The ICM team shall be available to provide treatment, rehabilitation, crisis intervention, and support activities with 24 hours per day, seven days per week availability. This means:

34.1.1 Every team should have posted standard business hours of operation, to include:

34.1.2 Regularly operating and scheduling a minimum of one (1) ICM staff to work each weekend day and every holiday, to meet the individual needs of consumers' served.

34.1.3 Regularly scheduling ICM staff on-call duty to provide crisis services outside of regularly scheduled service provision operation.

34.1.4 Mental Health Professionals on the ICM staff who are experienced in the program and skilled in crisis-intervention procedures shall be on call to provide back-up to on-call staff and be available to respond to individuals by phone or by in person visit to individuals who need face-to-face contact.

34.1.5 Regularly arranging for and providing psychiatric backup during all hours the psychiatric prescriber is not regularly scheduled to work. If availability of the ICM psychiatric prescriber during all hours is not feasible, alternative psychiatric backup that meets the psychiatric prescriber criteria must be arranged (e.g., community or crisis intervention, mental health center, emergency room psychiatric prescriber).

34.1.6 Adjusting schedules and providing staff to carry out the needed service activities in the evenings or on weekend days for individuals for whom this is necessary;

34.1.7 The ICM teams shall provide individuals served and, as applicable and with consent of the individual, and significant others with information about how to access staff in the event of an emergency including:

34.1.7.1 Rotating cell phone coverage 24/7, to be available for face-to-face contacts, and shall arrange with the crisis intervention service that the on-call team member should be notified when a face-to-face contact may be needed.

35 Place of Treatment

35.1 Forty (40%) percent of ICM service contacts shall be provided in non-office based or non-facility-based settings. The program will collect data regarding the percentage of individual contacts in the community as part of its Quality Improvement (QI) Plan and report this data during fidelity reviews.

36 Staff Communication and Planning

36.1 **The ICM team** shall conduct, at a minimum, weekly organizational staff meetings at regularly scheduled times per a schedule established by the team leader. These meetings will be conducted in accordance with the following procedures:

36.1.1 The ICM team shall maintain a written or computerized log. The log provides:

36.1.1.1 A roster of the individuals served in the program, and for each individual:

36.1.1.1.1 a brief documentation of any treatment or service contacts that have occurred during the last seven (7) days;

36.1.1.1.2 A concise, behavioral description of the individual's status that week.

36.1.2 The ICM weekly organizational staff meeting shall commence with a review of the log to update staff on the treatment contacts that occurred during the

preceding seven (7) days and to provide a systematic means for the team to assess the week-to-week progress and status of all individuals;

36.1.2.1 This will include review and/or preparation for in-patient and out-patient treatment coordination and all treatment team attendance.

36.1.3 The ICM team, under the direction of the team leader, shall maintain a written or computerized *weekly individual contact schedule* for each individual served and from the weekly individual contact schedule, prepare:

36.1.3.1 A central file of all individual schedules organized by month.

36.1.3.2 All monthly schedules shall be made available to DSAMH upon request.

36.1.4 The ICM team, under the direction of the team leader, shall develop a written or computerized *monthly staff assignment schedule* from the central file of all monthly individual schedules. The staff assignment schedule is a written timetable for all the individual treatment and service contacts and all indirect individual work (e.g., medical record review, meeting with collaterals, in-patient hospital attendance, job development, recovery planning, and documentation) to be done on a given day, to be divided and shared by the staff working on that month. The schedule shall be broken into fourteen (14) day rosters and clearly identify the services to be provided by each team member for each day of the week.

36.1.4.1 The monthly staff assignment schedule shall be made available to DSAMH upon request.

36.1.5 The monthly organizational staff meeting will include a review by the team leader of all the work to be done that month as recorded on the fourteen (14) day assignment schedule. During the meeting, the team leader will assign and supervise staff to carry out the treatment and service activities scheduled to occur that month, and the team leader will be responsible for assuring that all tasks are completed.

36.1.6 During the monthly organizational staff meeting the team and individual served will review the current needs and preferences of the individual served. The ICM team shall revise person directed recovery plans based on the current needs and preferences of the individual served (as needed), anticipate emergency and crisis situations, and add service contacts to the daily staff assignment schedule per the revised recovery plans.

36.2 **The ICM team** shall conduct person directed recovery planning meetings under the supervision of the team leader and the psychiatric prescriber. These recovery planning meetings shall:

36.2.1 Convene at regularly scheduled times per a written or computerized schedule maintained by the team leader.

36.2.2 Occur and be scheduled when the individual and the majority of the team members can attend, including the psychiatric prescriber, team leader, and available members of the team. These meetings may also include the individual's family and/or natural supports, other professional supports, if available and at the request of the individual and require individual staff members to be present and systematically review and integrate individual information into a holistic analysis and work with the individual and team to establish priorities for services.

36.2.3 Occur with sufficient frequency and duration to make it possible for all staff to be familiar with each individual, his/her goals and aspirations and for each individual to become familiar with all team staff;

36.2.3.1 to participate in the ongoing assessment and reformulation of strengths, resources, and service needs/issues;

36.2.3.2 to problem-solve treatment strategies and rehabilitation options;

36.2.3.3 to participate with the individual and the team in the development and the revision of the strengths based, person directed recovery plan;

36.2.3.4 to fully understand the recovery plan rationale in order to carry out the plan with each individual; and

36.2.3.4.1 updated, when significant clinical changes occur, and/or at the request of the individual, and/or significant change in mental status, and/or at the achievement of all goals found in the recovery plan, and at a minimum of every one-hundred-eighty (180) days.

36.2.3.4.2 Signed and dated by the individual, psychiatric prescriber, team leader, primary care manager(s), and other natural, peer, or professional supports when necessary.

36.2.3.5 to establish outcome oriented goals in order to achieve a recovery-based discharge from the program

37 Staff Supervision

37.1 Each ICM team shall develop a written policy for clinical supervision of all staff providing treatment, rehabilitation, and support services. The team leader and psychiatric prescriber shall assume responsibility for supervising and directing all staff activities. This supervision and direction shall consist of:

- 37.1.1 Participation with team members weekly (for ICM) organizational staff meetings and regularly scheduled recovery planning meetings to provide staff direction regarding individual cases;
- 37.1.2 Monthly, formal supervisory meetings with individual staff members to review their work with individuals, assess clinical performance, and give feedback;
- 37.1.3 Regular reviews, critiques, and feedback of staff documentation (i.e., progress notes, assessments, recovery plans, recovery plan reviews); and
- 37.1.4 Written documentation of all clinical supervision provided to team staff shall be completed and maintained by the Team Leader.
 - 37.1.4.1 Written documentation shall be signed and dated by the team leader at the time of the supervision session.

38 Evaluation & Assessment

38.1 **Initial Psychiatric Evaluation:** Admission to the program shall commence with the initial psychiatric evaluation completed by the psychiatric prescriber, followed by an initial crisis plan and initial recovery plan within twenty-four (24) hours of the individual's admission to ICM by the team leader or by designated team members.

38.2 **Comprehensive Assessment:** A complete bio-psycho-social (BPS) assessment shall be completed by a Mental Health Professional. A team member with training in specific areas on the BPS may complete the section of the BPS that is their area of expertise. A comprehensive assessment shall be initiated and completed in collaboration with the individual within thirty (30) days after an individual's admission according to the following requirements and findings presented at the first recovery planning meeting:

- 38.2.1 *Psychiatric History, Mental Status, and Diagnosis:* The psychiatric prescriber is responsible for completing the psychiatric history, mental status, and diagnosis assessment (which includes the most up-to-date DSM V diagnosis).

38.2.2 *Education and Employment:* Included in this area is the assessment of community inclusion and integration as it relates to education and employment.

38.2.2.1 Vocational and educational functioning

38.2.3 *Social Development and Functioning:* Included in this area is the assessment of the individual's social and interpersonal inclusion and integration within the community.

38.2.3.1 Current social functioning;

38.2.3.2 Legal history to include legal issues.

38.2.4 *Instrumental Activities of Daily Living (IADL):* Included in this area is an assessment of the individual's abilities and barriers in meeting day to day activities for independence. This assessment includes but is not limited to:

38.2.4.1.1 Budgeting and money management

38.2.4.1.2 Financial status, including eligibility/access to entitlements;

38.2.4.1.3 Shopping for groceries and other personal needs

38.2.4.1.4 Housekeeping

38.2.4.1.5 Conditions of Living

38.2.4.1.5.1 Adequate housing with housing assessment made available to DSAMH upon request

38.2.4.1.6 Personal care (bathing, grooming etc...)

38.2.4.1.7 Laundry

38.2.4.1.8 Other activities required for independent living.

38.2.5 *Family Structure and Relationships:* Included in this area of the assessment is the extent to which family, friends and other supports are currently involved in the individual's care, and plans to include the family, friends and other supports in treatment moving forward, including:

38.2.6 *Strengths and Resources:* Members of the individual's ICM team are responsible for engaging the individual in his or her own recovery planning in order to identify individual strengths and resources as well as those within the individual's family, natural support network, service system, and community at large. These may include:

38.2.6.1 Personal skills, and talents;

38.2.6.2 personal virtues and traits;

38.2.6.3 interpersonal skills;

38.2.6.4 interpersonal and environmental resources;

- 38.2.6.5 cultural knowledge;
- 38.2.6.6 knowledge gained from struggling with adversity;
- 38.2.6.7 knowledge gained from occupational and parental roles;
- 38.2.6.8 spirituality and faith;
- 38.2.6.9 hopes, and dreams; and
- 38.2.6.10 goals, and aspirations.

38.2.7 While the assessment process shall involve the input of most, if not all, team members, the individual's psychiatric prescriber and/or team leader will assure completion of the written narrative.

38.2.8 The Comprehensive Assessment shall be signed, and dated by:

- 38.2.8.1 the primary care manager completing the evaluation;
- 38.2.8.2 the psychiatric prescriber; and
- 38.2.8.3 the team leader.

38.3 An up-dated, annual assessment shall be completed on each annual certification date for each individual. In addition to the assessment requirements in §15.0 of these standards, the annual assessment shall:

- 38.3.1 Assess the individuals readiness for transition to less intensive services;
- 38.3.2 Review the progress achieved in accordance to the outcome-oriented recovery plan and reviewing what is required in order to continue in a recovery-based trajectory to a less intensive level of care;
- 38.3.3 Ensure a gradual, individualized process which ensures continuity of care and preservation of consumer preferences when transitioning to less intensive services;

39 Physical Examination and Follow Up Medical Care

39.1 Individuals who have not had a physical examination within one year (365 days) prior to admission shall have a physical examination within sixty (60) days following admission to the program.

39.1.1 Results of the current physical examination shall be documented in the individual record.

39.1.2 The current physical examination shall be reviewed, signed, and dated by the physician or other qualified medical personnel whose license allows them conduct and/or review physical examinations without oversight from a physician.

39.1.3 Areas for wellness improvement identified as a result of exam, including any recommendations for follow-up primary or specialty medical care will be shared with the individual for possible inclusion in the individual's person directed recovery plan (PDRP) and will be documented in the individual record.

39.1.4 The primary prescriber shall act as attending of record, holistically acknowledge all aspects of individual's health and wellness to provide care guidance to the team.

39.2 The ICM teams will assist individuals in maintaining optimal physical health by assisting with:

39.2.1 Scheduling annual physicals including lab work and testing as determined necessary by the physician;

39.2.2 Making and keeping medical appointments;

39.2.3 Transportation to medical appointments when:

39.2.3.1 The individual is unable to independently attend appointments;

39.2.3.2 Is unable to understand the advice of their medical doctor and is in need of an advocate for medical care;

39.2.3.3 Development of goals and objectives to address medical care in the individual's Person directed recovery plan.

40 Person-Directed Recovery Planning

40.1 Person directed recovery plans will be developed through the following recovery planning process:

40.1.1 The PDRP shall be developed in collaboration with the primary care manager, Peer and individual and:

40.1.1.1 his/her preferred natural supporters;

40.1.1.2 and/or guardian, if any, when feasible and appropriate;

40.1.1.3 treatment objectives provided by PROMISE care manager **

40.2 The individual's participation in the development of the PDRP shall be documented; and ACT and ICM team shall evaluate together with each individual their:

40.2.1 strengths,

40.2.2 needs,

- 40.2.3 abilities, and
- 40.2.4 preferences.

40.3 The PDRP shall:

- 40.3.1 identify individual strengths and capacities;
- 40.3.2 identify individual service needs;
- 40.3.3 for each service need, set specific and measurable:
 - 40.3.3.1 long- and short-term goals;
- 40.3.4 establish the specific approaches and interventions necessary for the individual to meet his/her goals,
- 40.3.5 improve his/her capacity to function as independently as possible in the community, and
- 40.3.6 seek to achieve the maximum level of recovery possible as defined by the individual (i.e., a meaningful, satisfying, and productive life) and
- 40.3.7 Identify interventions that have been helpful or that pose particular risks to the individual.

40.4 ICM team staff shall meet at regularly scheduled times for recovery planning meetings. The Team Leader shall conduct the recovery planning meetings.

40.5 ICM staff shall make every effort to ensure that the individual and his/her family and/or natural supports (if desired by the individual) are in attendance at the recovery planning meeting.

40.6 ICM staff shall invite other natural, peer, and/or professional supports (if desired by the individual) to attend in the recovery planning process (i.e. DSAAPD, methadone or other SUD treatment program(s), probation and parole, housing support programs, etc.).

40.7 ICM staff shall invite the PROMISE care manager to attend in recovery plan meeting. **

40.8 Teams are responsible to provide the necessary support to ensure the individual is actively involved in the development of:

- 40.8.1 Recovery and service goals; and
- 40.8.2 Participation in the recovery plan meetings. This may include:
 - 40.8.2.1 offering of peer-based coaching and/or
 - 40.8.2.2 Skills training around his/her role in developing his/her own person directed recovery plan.

40.8.3 With the permission of the individual, ACT and ICM team staff shall also involve pertinent agencies and members of the individual's social network in the formulation of recovery plans.

40.8.4 Each individual's PDRP shall identify:

40.8.4.1 service needs,

40.8.4.2 strengths/barriers to success, and

40.8.4.3 goals that are:

40.8.4.3.1 specific, and

40.8.4.3.2 measurable

40.8.5 The PDRP must clearly specify:

40.8.5.1 The approaches and interventions necessary for the individual to achieve the individual goals (i.e., recovery)

40.8.5.2 The approaches and interventions that are contraindicated;

40.8.5.3 identify who will carry out the approaches and interventions.

40.8.6 The following key areas should be addressed in every individual's PDRP unless they are explored and designated as deferred or referred, with signature by the individual:

40.8.6.1 psychiatric illness management;

40.8.6.2 symptom management;

40.8.6.3 housing;

40.8.6.4 IADL;

40.8.6.5 daily structure and employment;

40.8.6.6 family and social relationships;

40.8.6.7 physical health; and

40.8.6.8 other life areas, goals and aspirations as identified by the individual (e.g., community activities, empowerment, decision-making, educational goals and aspirations, economic improvements etc.)

40.8.7 The individual's own words are reflected in the recovery plan; which may at times include an attached copy of goals written by the consumer.

40.8.8 Measurable goals with current status.

40.9 The primary care manager and the team, together with the individual, will be responsible for conducting a recovery plan review during which the existing recovery plan is reviewed and the recovery goals and PDRP are rewritten or otherwise adjusted when there is a major decision point in the individual's course of treatment (e.g., significant change in individual's circumstances), and

40.9.1 At a minimum of every one hundred and eighty (180) days.

40.10 The Team Leader shall prepare a summary in conjunction with every recovery plan review (recovery plan summary) which documents the individual's and the team's:

40.10.1 Reasons for the review (regular review date or described change in circumstance);

40.10.2 evaluation of his/her progress/goal attainment,

40.10.3 evaluation of effectiveness of the interventions,

40.10.4 satisfaction with services since the last recovery plan.

40.11 The revised recovery plan and recovery review summary will be signed by:

40.11.1 the individual,

40.11.2 the primary care manager,

40.11.3 the team leader, and

40.11.4 the psychiatric prescriber

40.12 A copy of the signed person directed recovery plan is made available to the individual.

41 Core ICM Services

41.1 Operating as a continuous treatment service, the ICM team shall have the capability to provide comprehensive treatment, rehabilitation, and support services as a self-contained service unit.

41.2 Services shall minimally include the following:

41.2.1 *Service Coordination* Each individual will be assigned a primary care manager who coordinates and monitors the activities of the individual's team and the greater ICM team. The responsibilities of the primary care manager are:

41.2.1.1 to work with the individual to write the person-directed recovery plan,

41.2.1.2 to provide individual supportive counseling,

41.2.1.3 to offer options and choices in the recovery plan,

41.2.1.4 to ensure that immediate changes are made as the individual's needs change, and

41.2.1.5 to advocate for the individual's wishes, rights, and preferences.

41.2.1.6 to act as principle contact and educator.

- 41.2.1.6.1 Members of the team share these tasks with the primary care manager and are responsible to perform the tasks when the primary care manager is not working.
- 41.2.1.7 to provide community liaison (Service coordination also includes coordination with community resources, including individual self-help and advocacy organizations that promote recovery.)
- 41.2.1.8 to incorporate and demonstrate basic recovery values in the coordination of services.
- 41.2.1.9 to help ensure the individual will have ownership of his or her own treatment and will be expected to:
 - 41.2.1.9.1 take the primary role in person-directed recovery plan development;
 - 41.2.1.9.2 play an active role in treatment decision making,
 - 41.2.1.9.3 be allowed to take risks;
 - 41.2.1.9.4 make mistakes and
 - 41.2.1.9.5 learn from those mistakes.

41.3 Crisis Assessment and Intervention

- 41.3.1 Crisis assessment and intervention shall be provided 24 hours per day, seven days per week.
- 41.3.2 These services will include telephone and face-to-face contact.
- 41.3.3 Crisis Intervention, CAPAC, and CAPES programs as appropriate may provide adjunctive crisis intervention.
- 41.3.4 A representative from the ICM team will be directly available to support the ICM individual when external crisis responders are involved with the individual.
- 41.3.5 Each ICM individual will have an individualized, strengths based crisis plan that shall be updated annually.
- 41.3.6 The individual will take the lead role in developing the crisis plan.

41.4 *Symptom Management and Psychotherapy*: Symptom Management and Psychotherapy shall include but not be limited to the following:

- 41.4.1 Psycho-education regarding:

- 41.4.1.1 substance use and co-occurring disorders, when appropriate;
- 41.4.1.2 mental illness;
- 41.4.1.3 the effects of personal trauma history on mental health and recovery;
and
- 41.4.1.4 the effects and side effects of prescribed medications, when appropriate.

41.4.2 Symptom management efforts directed to help each individual identify/target the symptoms and occurrence patterns of his or her mental illness and

41.4.3 Development of methods (internal, behavioral, or adaptive) to help lessen the effects.

41.4.4 Psychotherapy, including:

- 41.4.4.1 individual supportive therapy and empirically supported psychotherapy interventions that address specific symptoms and behaviors;

- 41.4.4.2 and family therapy when indicated by the BPS or PDRC, and informal support system.

41.4.5 Psychological support to individuals, both on a planned and as-needed basis, to help them accomplish their personal goals, to cope with the stressors of day-to-day living, and to recover.

41.5 *Wellness Management and Recovery Services*: Wellness Management and Recovery Services shall include but not be limited to the following:

- 41.5.1 Defining and identifying the individual's recovery goals within the individual's frame of reference.

- 41.5.2 Developing strategies for implementing and maintaining the identified recovery goals as informed by the individual's strengths.

- 41.5.3 Psycho-education and providing the individual with practical information about mental illness and the individual's diagnoses and experiences with mental illness.

- 41.5.4 Training in individual's legal rights, civil and human rights including rights under the ADA and Olmstead and how to access assistance in achieving these rights.

- 41.5.5 Skills training and practice:

- 41.5.5.1 developing social supports;
- 41.5.5.2 understanding and implementing individual coping skills to decrease stress;
- 41.5.5.3 effectively using medication;
- 41.5.5.4 developing a personal definition of relapse;
- 41.5.5.5 identifying triggers for relapse and
 - 41.5.5.5.1 creating strategies for reducing relapse frequency and severity;
- 41.5.5.6 identifying personal stressors and coping positively with those stressors.
- 41.5.5.7 identifying and coping with symptoms.
- 41.5.5.8 getting individual needs met within the mental health system, including empowerment and self-advocacy.
- 41.5.5.9 learning and practicing new skills as they are developed with direct assistance.

42 Medication Prescription, Administration, Monitoring and Documentation

42.1 The ICM team's psychiatric prescriber shall:

- 42.1.1 Establish a direct and personal clinical relationship with each individual
- 42.1.2 Assess each individual's mental illness symptoms and provide verbal and written information about mental illness.
- 42.1.3 Review clinical information with the individual, and as appropriate, with the individual's family members or significant others;
- 42.1.4 Make an accurate diagnosis based on direct observation, available collateral information from the family and significant others and a current comprehensive assessment.
- 42.1.5 Provide a diagnostic work-up that will dictate an evidence-based medication pathway that the psychiatric prescriber will follow.
- 42.1.6 provide to the individual, and as appropriate, the individual's family and/or significant others, practical education about medication, including:
 - 42.1.6.1 benefits and
 - 42.1.6.2 risks of various medication strategies.
- 42.1.7 consider the preferences of the consumer with regard to medications that are incorporated in the individual's service plan;
- 42.1.8 devise a medication regimen that will help promote the consumer's engagement and ability to self-manage medications;

- 42.1.9 obtain informed consent from the individual for all medications prescribed.
 - 42.1.10 In collaboration with the individual, assess, discuss and document the individual's mental illness symptoms and behavior in response to medication and shall monitor and document medication side effects.
 - 42.1.11 Prescribers should provide care in a professionally responsible manner, adhering to the practice guidelines of the American Psychiatric Association, the American Medical Association, and the American Osteopathic Association.
- 42.2 All ICM team members shall assess and document the individual's behavior and response to medication and shall monitor for medication side effects.
- 42.2.1 Observations will be reviewed with the individual.
- 42.3 The ICM team program shall establish medication policies and procedures which identify processes to:
- 42.3.1 Record physician orders;
 - 42.3.2 Order medication;
 - 42.3.3 Arrange for all individual medications to be organized by the team and integrated into individuals' weekly schedules and daily staff assignment schedules.
 - 42.3.4 Provide security for medications (e.g., long-term injectable, daily, and longer term);
 - 42.3.5 Set aside a private designated area for set up of medications by the team's nursing staff.
 - 42.3.6 Administer medications per Delaware Board of Nursing AWSAM protocols.
 - 42.3.7 Apply for Patient Assistance Plan (PAP) for all individuals eligible for assistance.

43 Co-Occurring Disorders Services

- 43.1 ICM individuals with a positive screen for co-occurring substance use disorder shall receive an integrated mental health/substance use assessment during the first thirty (30) days of treatment. The assessment will include:
- 43.1.1 Substance use history;
 - 43.1.2 Trauma history;
 - 43.1.3 Parental and familial substance use summary;
 - 43.1.4 Effects/impact of substance use;
 - 43.1.5 Functional assessment: role played by substances in the individual's life;

- 43.1.6 Factors that have contributed to past successes and relapses;
- 43.1.7 Individual strengths;
- 43.1.8 Social support network (including both individuals who use substances and people who support recovery);
- 43.1.9 Individual's self-identified goals and aspirations;
- 43.1.10 ICM individuals will receive integrated treatment that is:
 - 43.1.10.1 non-confrontational,
 - 43.1.10.2 considers interactions of mental illness and substance abuse; and
 - 43.1.10.3 results in a person directed recovery plan that incorporates goals determined by the individual.

43.2 Treatment will follow a harm reduction model. This may include:

- 43.2.1 individual and/or group interventions in:
 - 43.2.1.1 developing motivation for decreasing use;
 - 43.2.1.2 developing skills to minimize use;
 - 43.2.1.3 recognition of negative consequences of use; and
 - 43.2.1.4 adoption of an abstinence goal for treatment.
- 43.2.2 Engagement (e.g., empathy, reflective listening).
- 43.2.3 Ongoing assessment (e.g., stage of readiness to change, individual-determined problem identification).
- 43.2.4 Motivational enhancement (e.g., developing discrepancies, psycho-education).
- 43.2.5 Active treatment (e.g., cognitive skills training, community reinforcement).
- 43.2.6 Continuous relapse prevention (e.g., trigger identification, building relapse prevention action plans).

44 Education Services:

- 44.1 *Supported Education:* Supported education related services are for ICM individuals whose high school, college or vocational education could not start or was interrupted and who wish to include educational goals in their recovery plan. Services provide support:

- 44.1.1 Enrolling and participating in educational activities;
- 44.1.2 Strengths-based assessment of educational interests, abilities and history;
- 44.1.3 Pre-admission counseling to determine which school and/or type of educational opportunities may be available;
- 44.1.4 If, indicated referral to GED classes and testing;
- 44.1.5 Assistance with completion of applications and financial aid forms;
- 44.1.6 Help with registration;
- 44.1.7 Orientation to campus buildings and school services;
- 44.1.8 Early identification and intervention with academic difficulties;
- 44.1.9 Linking with academic supports such as tutoring and learning resources;
- 44.1.10 Assistance with time management and schoolwork deadlines;
- 44.1.11 Supportive counseling;
- 44.1.12 Information regarding disclosing mental illness;
- 44.1.13 Advocating with faculty for reasonable accommodations.

45 Vocational Services:

45.1 *Vocational Services* shall be provided or coordinated to include work-related services to help individuals value, find, and maintain meaningful employment in ordinary community-based job sites as well as job development and coordination with employers. When the individual chooses to participate, services include but are not limited to:

- 45.1.1 Assessment of job-related interests and abilities through a complete education and work history assessment as well as on-the-job assessments in community-based jobs.
- 45.1.2 Assessment of the effect of the individual's mental illness on employability with identification of specific behaviors that:
 - 45.1.2.1 help and hinder the individual's work performance; and
 - 45.1.2.2 development of interventions to reduce or eliminate any hindering behaviors and find effective job accommodations.
- 45.1.3 Job development activities.
- 45.1.4 Development of an ongoing employment rehabilitation plan to help each individual establish the skills necessary to find and maintain a job;
- 45.1.5 Provision of on-the-job or work-related crisis intervention services.
- 45.1.6 Other work-related supportive services, such as Supported Employment activities which may include: assistance with resume development, job application preparation, interview support, helping individuals with job related stress, managing symptoms while at work, grooming and personal

hygiene, securing of appropriate clothing, wake-up calls, and transportation.

46 Instrumental Activities of Daily Living Services

46.1 These include services to support activities of daily living in community-based settings include:

- 46.1.1 individualized assessment,
- 46.1.2 problem solving,
- 46.1.3 skills training/practice,
- 46.1.4 sufficient side-by-side assistance and support,
- 46.1.5 modeling,
- 46.1.6 ongoing supervision (e.g. prompts, assignments, monitoring, encouragement),
- 46.1.7 environmental adaptations to assist individuals to gain or use the skills required to:

46.1.7.1 Find housing (e.g., apartment hunting; finding a roommate; landlord negotiations; cleaning, furnishing, and decorating;) which is:

- 46.1.7.1.1 safe,
- 46.1.7.1.2 good quality,
- 46.1.7.1.3 comfortable to the client,
- 46.1.7.1.4 affordable, and
- 46.1.7.1.5 in compliance with the *Americans with Disabilities Act* including the Olmstead Decision (28 C.F.R. § 35.130).

46.1.7.2 and procure necessities (such as telephones, furnishings, linens);

46.1.7.3 Perform household activities, including:

- 46.1.7.3.1 house cleaning;
- 46.1.7.3.2 Cooking;
- 46.1.7.3.3 grocery shopping; and
- 46.1.7.3.4 laundry.

46.1.7.4 Carry out personal hygiene and grooming tasks, as needed

46.1.7.5 Develop or improve money-management skills with the goal of attaining independence in management of one's finances

46.1.7.6 Use available transportation

46.1.7.7 Have and effectively use a personal physician and dentist.

47 Social and Community Integration Skills Training

- 47.1 Social and community integration skills training serve to support social/interpersonal relationships and leisure-time skills training and include:
- 47.1.1 supportive individual therapy (e.g., problem solving, role-playing, modeling, and support);
 - 47.1.2 social-skill teaching and assertiveness training;
 - 47.1.3 planning, structuring, and prompting of social and leisure-time activities;
 - 47.1.4 side-by-side support and coaching;
 - 47.1.5 organizing individual and group social and recreational activities to structure individuals' time, increase their social experiences, and provide them with opportunities to practice social skills and receive feedback and support required to:
 - 47.1.5.1 Improve communication skills,
 - 47.1.5.2 develop assertiveness, and increase self-esteem, as necessary
 - 47.1.5.3 increase social experiences,
 - 47.1.5.4 encourage development of meaningful personal relationships
 - 47.1.5.5 Plan productive use of leisure time
 - 47.1.5.6 Relate to landlords, neighbors, and others effectively
 - 47.1.5.7 Familiarize themselves with available social and recreational opportunities
 - 47.1.5.8 Enhance relationships with natural support systems
- 47.2 Housing Services – the team shall provide housing services, utilizing the supportive housing model. In addition to the housing-related IADL services outlined above, services include the following:
- 47.2.1 Directly assisting individuals in locating housing of their choice, using a variety of housing options, including integrated, community-based, independent housing;
 - 47.2.2 Assistance in finding affordable, safe, and decent housing, which affords the individual rights of tenancy, whenever possible

48 Peer Support Services

48.1 These include services to validate individuals' experiences and to guide and encourage individuals to take responsibility for, and actively participate in their own recovery, as well as services to help individuals identify, understand, and combat stigma and discrimination against mental illness and develop strategies to reduce individuals' self-imposed stigma. Peer Support and Wellness Recovery Services include:

48.1.1 Coaching in the development of Wellness Recovery Action Plan, and provision of other empirically supported peer-based, recovery approaches, such as Whole Health Action Management (WHAM) and Health and Recovery Peer Program (HARP)

48.1.2 Peer counseling and support services, including those which:

48.1.2.1 Promote self-determination and

48.1.2.2 Encourage and reinforce choice and decision making.

48.1.3 Introduction and referral to individual self-help programs and advocacy organizations that promote recovery.

48.1.4 Assist individuals in self-advocacy and self-directed treatment planning.

48.2 The Peer Specialist will serve as a full team member to support a culture of recovery in which each individual's point of view and preferences are recognized, understood, respected and integrated into treatment, rehabilitation, support, and community activities.

48.3 Peer staff shall not provide medication education, assistance with medication or be relegated to a position as a primary provider of transportation.

48.3.1 When it is determined that Peers are the best choice of staff on the ICM team to assist with medication adherence, the team must document the intervention in the person centered recovery plan and obtain permission from DSAMH prior to putting this practice in place;

48.3.1.1.1 The request from DSAMH shall contain information related to all other interventions attempted, the duration of how long the Peer shall provide the medication intervention, and other intervention strategies that will be attempted to remove the peer from this role.

49 Psycho–education and Support of the Family and Supporters

49.1 Services provided or coordinated under this category to individuals' families and other major supports with individual agreement or consent, include:

- 49.1.1 Individualized psycho–education about the individual's illness and the role of the family in the therapeutic process;
- 49.1.2 Individualized psycho–education about the individual's illness and the role of other significant people in the therapeutic process;
- 49.1.3 Family intervention to restore contact, resolve conflict, and maintain relationships with family and or other significant people;
- 49.1.4 Ongoing communication and collaboration, face–to–face and by telephone, between the ICM team and the family;
- 49.1.5 Introduction and referral to family self–help programs and advocacy organizations that promote recovery;
- 49.1.6 Assistance to individuals with their children, including individual supportive counseling, parenting training, and service coordination but not limited to:
 - 49.1.6.1 Services to help individuals throughout pregnancy and the birth of a child;
 - 49.1.6.2 Services to fulfill parenting responsibilities and coordinating services for the child;
 - 49.1.6.3 Services to restore relationships with children who are not in the individual's custody.

50 Documentation of Services

50.1 The ICM team will document all services provided to individual and family in the individual file.

50.1.1 In addition to documentation of each contact, a narrative summary of the services provided to the individual shall be entered into the individual chart monthly shall be in accordance to best practice and include:

- 50.1.1.1 A minimum of 2.5 hours of services provided per month for ICM individuals;
- 50.1.1.2 services provided and the individual's response to those services provided;
- 50.1.1.3 Progress in meeting recovery plan goals;
- 50.1.1.4 Coordination and Communication related to consumers care;
- 50.1.1.5 Changes in recovery plan goals;
- 50.1.1.6 Plans for continuation of care during the coming month;
- 50.1.1.7 Is signed and dated by the person entering the note into the individual chart.

51 FACILITY STANDARDS

51.1 The facility(ies) within which the ICM team(s) operate shall meet the following criteria:

- 51.1.1 They shall post a Certificate of Occupancy;
- 51.1.2 They shall meet all applicable fire and life safety codes;
- 51.1.3 They shall be maintained in a clean and safe condition;
- 51.1.4 They shall provide rest rooms maintained in a clean and safe condition available to individuals, visitors and staff;
- 51.1.5 They shall be accessible to the individual served;
- 51.1.6 They shall provide a smoke free environment.

52 Individual Rights and Grievance Procedures

52.1 ICM teams shall be knowledgeable about and familiar with individual rights including the clients' rights to:

- 52.1.1 Confidentiality
- 52.1.2 Informed consent to medication and treatment
- 52.1.3 Treatment with respect and dignity
- 52.1.4 Prompt, adequate, and appropriate treatment
- 52.1.5 Treatment which is under the least restrictive conditions and which promotes individuals' meaningful community integration and opportunities to live like ordinary Delawareans;
- 52.1.6 Nondiscrimination;
- 52.1.7 Control of own money;
- 52.1.8 Voice or file grievances or complaints.

52.2 ICM teams shall be knowledgeable about and familiar with the mechanisms to implement and enforce individual rights. These include:

- 52.2.1 Grievance or complaint procedures under:
 - 52.2.1.1 Medicaid;
 - 52.2.1.2 DSAMH;
 - 52.2.1.3 *Americans with Disabilities Act*.
 - 52.2.1.4 Delaware Human Rights Commission and U.S. Department of Justice (Human Rights).
 - 52.2.1.5 U.S. Department of Housing and Urban Development (HUD–housing discrimination.)
 - 52.2.1.6 PROMISE Care Manager** (see Manual)

- 52.3 ICM teams shall be prepared to assist individuals in filing grievances with the appropriate organizations and shall:
- 52.3.1 Have a grievance policy and procedure posted in a conspicuous and prominent area that includes:
 - 52.3.1.1 the names and phone numbers of individuals who can receive grievances both at the agency and with other organizations in §30.2 of these standards;
 - 52.3.1.2 A standardized process for accepting and investigating grievances;
 - 52.3.2 Maintain documentation of the investigation and resolution of all grievances and;
 - 52.3.2.1 Provide for its availability to DSAMH upon request.
- 52.4 ICM teams should ensure that individuals receive from all staff members' effective, understandable and respectful care that is provided in a manner compatible with their cultural identity, gender, gender expression, sexual orientation, age, faith beliefs, health beliefs and practices.
- 52.5 ICM teams will also ensure that individuals receive services in their chosen language when their primary language is not English. Teams will make arrangements for interpreter services as required by federal law.

53 ADMINISTRATIVE STANDARDS

- 53.1 Individual Records
- 53.1.1 There shall be a treatment record for each individual that includes sufficient documentation of assessments, recovery plans and treatment to justify Medicaid participation and to permit a clinician not familiar with the individual to evaluate the course of treatment.
- 53.2 There shall be a designated individual records manager who shall be responsible for the maintenance and security of individual records.
- 53.3 The record-keeping format and system for purging shall provide for consistency, and facilitate information retrieval.
- 53.4 Individual treatment records shall be kept confidential and safe-guarded in a manner consistent with the requirements of *the Health Insurance Portability and Accountability*

Act of 1996, 45 C.F.R. Parts 160 and 164, and 42 C.F.R Part 2 governing the confidentiality of alcohol and drug patient records (if applicable).

53.5 The individual treatment record shall be maintained by the organization a minimum of seven (7) years after the discharge of the individual.

53.6 The active individual record shall contain the following:

53.6.1 A minimum of the program's last twelve (12) months treatment records for the individual; (Note: when individual records are kept in multiple charts, twelve (12) months of records shall be readily available on site.)

53.6.2 An up-to-date face sheet:

53.6.2.1 Date of Admission

53.6.2.2 Guardian and Contact Information

53.6.2.3 Emergency Contacts and Information

53.6.2.4 Allergies

53.6.2.5 Diagnoses

53.6.2.6 Family/Natural Supports

53.6.2.6.1 Contact Information

53.6.2.7 Treating Psychiatrist and Contact Information

53.6.2.8 Primary Care Physician and Contact Information

53.6.2.9 Existence of Advanced Directive and/or Psychiatric Advanced Directive

53.6.2.10 Individual's Address and Phone Number

53.6.2.11 Photo of the Individual

53.6.2.12 Date of Birth

53.6.2.13 MCI Number

53.6.2.14 Insurance

53.6.2.15 Race, Ethnicity, Gender

53.6.3 Consent to treatment signed by the individual;

53.6.4 Consent to any occasion of release of information;

53.6.5 Documentation that the individual has been informed of his/her rights and the consumer's level of understanding of these rights;

53.6.6 Documentation that the individual has been provided with information regarding the process by which grievances can be addressed;

53.6.7 Reports from all examinations, tests and clinical consults;

53.6.8 Hospital discharge summaries;

53.6.9 Comprehensive medical psychosocial evaluation;

53.6.10 Comprehensive recovery plan development, review of recovery plan, and updates to recovery plan;

53.6.11 Crisis intervention plan and updates;

53.6.12 The consumer's Advance Directive or other documentation of measures to be taken in the event of incapacity

- 53.6.13 Summary of monthly individual activity;
- 53.6.14 Progress notes;
- 53.6.15 Documentation of case review with clinical supervisor;
- 53.6.16 Medication records;
- 53.6.17 Discharge documentation.

54 Performance Improvement Program

54.1 The ICM programs shall prepare an annual performance improvement plan, which shall be subject to approval by the Division. A clinician employed by the program or parent organization shall be designated performance improvement coordinator. The provider shall establish the performance improvement mechanisms below which shall be carried out in accordance with the performance improvement plan:

- 54.1.1 A statement of the program's objectives. The objectives shall relate directly to the program's individuals or target population.
- 54.1.2 Measurable criteria shall be applied in determining whether or not the stated objectives are achieved.
- 54.1.3 Methods for documenting achievements related to the program's stated objectives.
- 54.1.4 Methods for assessing the effective use of staff and resources toward the attainment of the objectives.
- 54.1.5 In addition to the performance improvement and program evaluation plan, the ICM team shall have a system for regular review that is designed to evaluate the appropriateness of admissions to the program, treatment or service plans, discharge practices, and other factors that may contribute to the effective use of the program's resources.
- 54.1.6 The ICM team shall maintain performance improvement and program evaluation policies and procedures that include:
 - 54.1.6.1 a concurrent utilization review process;
 - 54.1.6.2 a retrospective performance improvement review process;
 - 54.1.6.3 a process for clinical care evaluation studies; and
 - 54.1.6.4 process for self-survey for compliance with the certification standards and fidelity standards as prescribed by the Division.

54.2 The ICM team(s) shall ensure that data on the individual individual's race, ethnicity, spoken and written language, sexual orientation, and gender expression are collected in health records, integrated into the organization's management information systems, and are periodically updated.

- 54.3 The ICM team(s) shall use the data outlined in §32.2 of these standards to develop participatory, collaborative partnerships with communities and utilize a variety of formal and informal mechanisms to facilitate community and individual involvement in designing and implementing culturally aware activities and services that reflect the population that the program serves.
- 54.4 Certified and/or Certified and Contracted Providers will undergo, in most cases, a simultaneous contract review and certification by the DSAMH Monitoring (QA) team.
- 54.4.1 More than three (3) deficiencies from Certification Review, may not receive a full year Certification with determination rendered by QA Supervisor and DSAMH Administration;
 - 54.4.2 Providers with several deficiencies from Contract Review, this may affect the length of the Certification. Providers are expected to follow the specific scopes as deemed in the Contract.

Appendix 3: Certification Detail for Supported Employment Evidence-Based Practice Certification

Admission Criteria

Individuals who are eligible for Supported Employment (*for Individual Employment Support Services and for Short Term Small Group Supported Employment*), are beneficiaries eligible for PROMISE, and who have indicated that employment-related goals are important to their recovery from mental illness.

Beneficiaries in the PROMISE program are not required to achieve an additional level of symptom relief or functioning improvement in order to be eligible for Supported Employment services. The only eligibility criteria are those defined above.

Supported Employment Service Definitions

Within the PROMISE program, Supported Employment services are provided through two distinct services:

1. Individual Employment Support Services; and
2. Short Term Small Group Employment.

Both have multiple types of service activities that constitute the service. **See the referenced service definitions for Supported Employment activities that are eligible for reimbursement (pages 78 -- 86).**

Recommended Authorizations for Individual Employment Support Services

- Intensive Individual Employment Support Services (IIESS). Authorization is for one year, with a recommended six-month review by the PROMISE Care Manager. After two years of service, the provider must supply a rationale as to why the person cannot receive Extended Follow Along (see below), and the PROMISE Care Manager must concur.
- Extended Follow Along (EFA). Authorization is for one year, with a recommended six-month review by the PROMISE Care Manager.

Fidelity to the Supported Employment Model

The Individual Placement and Support (IPS) model of Supported Employment is the vocational program for people with serious mental illnesses that has the best evidence base. A set of scales for measuring and rating programs in relationship to the evidence-based model has been developed and these scales are provided below. Programs should, at a minimum, adhere to the following critical ingredients of the IPS model:

- Conduct rapid job searches with participants (as “readiness” programs are not found to be helpful);
- Help participants obtain competitive, integrated jobs (versus “set-aside” employment for people with disabilities);
- Provide job coaching and intensive ongoing support to people at every stage of job placement;
- Individualize services, based on the person’s vocational goals and preferences, as well as on his or her relative strengths and limitations in finding, obtaining, and maintaining employment;
- Actively develop jobs by establishing collaborative relationships with a wide variety of potential employers; and
- Ensure integration of Supported Employment services with clinical services, through the Employment Specialist’s active participation and collaboration with each person’s clinical team.

The fidelity scales following this section constitute an important approach to assessing Supported Employment programs and services.

Short Term Small Group Employment

There is no specific fidelity tool available for this service. However, the PROMISE HCBS Service Manual describes core elements of this model, and the State should use its Quality Assurance function to assess the extent to which programs are following the core elements that are outlined in the Service Manual.

Supported Employment Staffing and Qualifications

Staffing and Qualifications for Individual Employment Support Services

The IPS model dictates that a small group of between two and 10 Employment Specialists work with caseloads of 20 people each. Caseloads will include a mix of people who have been authorized for IIESS and EFA.

Employment Specialists are supervised by a Team Leader, who also serves as an Employment Specialist, but for a smaller number of people (approximately eight at any one time).

Employment Specialists serving on Assertive Community Treatment (ACT) teams also should follow the core fidelity elements of the IPS model.

For the PROMISE program, we recommend the following typical staffing for IPS Supported Employment teams, allowing for variation within the bounds of currently recognized fidelity (two to 10 Employment Specialists):

Staff	FTE	Caseload	Total Served
Team Lead	1	8	8
Employment Specialists	5	20	100
Total	6	N/A	108

Employment Specialist Qualifications. Experts agree that the amount of past vocational training is less important than being willing to embrace the IPS model. Employment Specialists with much past training in opposing models can sometimes actually be less effective than those with less general vocational training who receive IPS training for their work as Employment Specialists.

An Employment Specialist should have a bachelor's degree, should meet the regulatory requirements for associate clinicians, and once employed, should complete the requisite training in the IPS model of Supported Employment described below. They should also have had a minimum of one year experience living or working with an individual with a disability or related support needs, similar to those of the beneficiaries served in the waiver (or related educational experience).

However, note that the Tool for the Measurement of Assertive Community Treatment (TMACT), the latest and best approach to assessing the fidelity of ACT teams, does recommend that Employment Specialists either have a degree in the vocational rehabilitation field or one year of full-time experience providing employment services to people with serious mental illnesses. The more stringent requirements from TMACT are important in the ACT team context because Employment Specialists on ACT teams must often

function independently (that is, without the benefit of having an IPS/Supported Employment-specific Team Leader).

Team Leader Qualifications. Supported Employment Team Leaders should either be associate clinicians, who have bachelor's degrees and at least five years of experience working as an Employment Specialist, or they should be Qualified State Plan Providers who hold at least a master's degree and who have at least one year experience working as an Employment Specialist.

Required Training for PROMISE Providers

All providers of both Individual Employment Support Services and Short Term Small Group Supported Employment (STSGSE) should receive training in the IPS model of Supported Employment from a recognized expert in the model.² For providers who have not yet received training in the model, training should include a two-day event during which trainees are presented with each key aspect of the IPS model (thereby covering all fidelity items). All providers of this EBP should receive at least one day of continuing education/training in the IPS model each year thereafter. Clinical/program leads from provider agencies also should participate in the training, if they have not already received IPS training.

In addition to participating in the two-day IPS model training, team leaders should receive a one-day training on the role of the team leader in the IPS model. In subsequent years, they should also receive at least one day of continuing education/training in the model, along with Employment Specialists.

Next Steps — Including Development of an EBP Certification Model

- For program certification:
 - Identify required fidelity levels for the IPS model, overall, as well as for what are considered critical fidelity elements of IPS.
 - Specify the reimbursement implications of meeting or not meeting those requirements.

²STSGSE providers should also receive training due to the fact that the PROMISE Program is going to rely on them to appropriately prepare people for and transfer them to the more recovery-oriented IESS services. STSGESE providers need to appropriate as many of the core elements of the IPS model as they can in the STSGSE context.

3. Vocational generalists: Each employment specialist carries out all phases of employment service, including intake, engagement, assessment, job placement, job coaching, and follow-along supports before step down to less intensive employment support from another MH practitioner. (Note: It is not expected that each employment specialist will provide benefits counseling to their clients. Referrals to a highly trained benefits counselor are in keeping with high fidelity, see Item # 1 in "Services".)

MIS, DOC,
INT, OBS

- 1= Employment specialist only provides vocational referral service to vendors and other programs.
- 2= Employment specialist maintains caseload but refers clients to other programs for vocational services.
- 3= Employment specialist provides one to four phases of the employment service (e.g. intake, engagement, assessment, job placement, job coaching, and follow along supports).
- 4= Employment specialist provides five phases of employment service but not the entire service.
- 5= Employment specialist carries out all six phases of employment service (e.g. program intake, engagement, assessment, job development/job placement, job coaching, and follow-along supports).

ORGANIZATION

1. Integration of rehabilitation with mental health treatment thru team assignment: Employment specialists are part of up to 2 mental health treatment teams from which at least 90% of the employment specialist's caseload is comprised.

MIS, DOC,
INT, OBS

- 1= Employment specialists are part of a vocational program that functions separately from the mental health treatment.
- 2= Employment specialists are attached to three or more mental health treatment teams. OR Clients are served by individual mental health practitioners who are not organized into teams. OR Employment specialists are attached to one or two teams from which less than 50% of the employment specialist's caseload is comprised.
- 3= Employment specialists are attached to one or two mental health treatment teams, from which at least 50 - 74% of the employment specialist's caseload is comprised.
- 4= Employment specialists are attached to one or two mental health treatment teams, from which at least 75 - 89% of the employment specialist's caseload is comprised.
- 5= Employment specialists are attached to one or two mental health treatment teams, from which 90 - 100% of the employment specialist's caseload is comprised.

2. Integration of rehabilitation with mental health treatment thru frequent team member contact: Employment specialists actively participate in weekly mental health treatment team meetings (not replaced by administrative meetings) that discuss individual clients and their employment goals with shared decision-making. Employment specialist's office is in close proximity to (or shared with) their mental health treatment team members. Documentation of mental health treatment and employment services is integrated in a single client chart. Employment specialists help the team think about employment for people who haven't yet been referred to supported employment services.

MIS, DOC
INT, OBS

- 1= One or none is present.
 - 2= Two are present
 - 3= Three are present.
 - 4= Four are present.
 - 5= Five are present.
- All five key components are present.
- Employment specialist attends weekly mental health treatment team meetings.
 - Employment specialist participates actively in treatment team meetings with shared decision-making.
 - Employment services documentation (i.e., vocational assessment/profile, employment plan, progress notes) is integrated into client's mental health treatment record.
 - Employment specialist's office is in close proximity to (or shared with) their mental health treatment team members.
 - Employment specialist helps the team think about employment for people who haven't yet been referred to supported employment services.

3. Collaboration between employment specialists and Vocational Rehabilitation counselors: The employment specialists and VR counselors have frequent contact for the purpose of discussing shared clients and identifying potential referrals.

DOC, INT
OBS, ISP

- 1= Employment specialists and VR counselors have client-related contacts (phone, e-mail, in person) less than quarterly to discuss shared clients and referrals. OR Employment specialists and VR counselors do not communicate.
- 2= Employment specialists and VR counselors have client-related contacts (phone, e-mail, in person) at least quarterly to discuss shared clients and referrals.
- 3= Employment specialists and VR counselors have client-related contacts (phone, e-mail, in-person) monthly to discuss shared clients and referrals.
- 4= Employment specialists and VR counselors have scheduled, face-to-face

meetings at least quarterly, OR have client-related contacts (phone, e-mail, in person) weekly to discuss shared clients and referrals.

5= Employment specialists and VR counselors have scheduled, face-to-face meetings at least monthly and have client-related contacts (phone, e-mail, in person) weekly to discuss shared clients and referrals.

4. Vocational unit: At least 2 full-time employment specialists and a team leader comprise the employment unit. They have weekly client-based group supervision following the supported employment model in which strategies are identified and job leads are shared. They provide coverage for each other's caseload when needed.

MIS, INT,
OBS

1= Employment specialists are not part of a vocational unit.

2= Employment specialists have the same supervisor but do not meet as a group. They do not provide back-up services for each other's caseload.

3= Employment specialists have the same supervisor and discuss clients between each other on a weekly basis. They provide back-up services for each other's caseloads as needed. OR, If a program is in a rural area where employment specialists are geographically separate with one employment specialist at each site, the employment specialists meet 2-3 times monthly with their supervisor by teleconference.

4= At least 2 employment specialists and a team leader form an employment unit with 2-3 regularly scheduled meetings per month for client-based group supervision in which strategies are identified and job leads are shared and discuss clients between each other. They provide coverage for each other's caseloads when needed. OR, If a program is in a rural area where employment specialists are geographically separate with one employment specialist at each site, the employment specialists meet 2-3 times per month with their supervisor in person or by teleconference and mental health practitioners are available to help the employment specialist with activities such as taking someone to work or picking up job applications.

5= At least 2 full-time employment specialists and a team leader form an employment unit with weekly client-based group supervision based on the supported employment model in which strategies are identified and job leads are shared. They provide coverage for each other's caseloads when needed.

5. Role of employment supervisor: Supported employment unit is led by a supported employment team leader. Employment specialists' skills are developed and improved through outcome-based supervision. All five key roles of the employment supervisor are present.

MIS, INT,
DOC, OBS

1= One or none is present.

2= Two are present.

3= Three are present.

4= Four are present.

5= Five are present.

Five key roles of the employment supervisor:

- One full-time equivalent (FTE) supervisor is responsible for no more than 10 employment specialists. The supervisor does not have other supervisory responsibilities. (Program leaders supervising fewer than ten employment specialists may spend a percentage of time on other supervisory activities on a prorated basis. For example, an employment supervisor responsible for 4 employment specialists may be devoted to SE supervision half time.)

- Supervisor conducts weekly supported employment supervision designed to review client situations and identify new strategies and ideas to help clients in their work lives.

- Supervisor communicates with mental health treatment team leaders to ensure that services are integrated, to problem solve programmatic issues (such as referral process, or transfer of follow-along to mental health workers) and to be a champion for the value of work. Attends a meeting for each mental health treatment team on a quarterly basis.

- Supervisor accompanies employment specialists, who are new or having difficulty with job development, in the field monthly to improve skills by observing, modeling, and giving feedback on skills, e.g., meeting employers for job development.

- Supervisor reviews current client outcomes with employment specialists and sets goals to improve program performance at least quarterly.

5. Role of employment supervisor: Supported employment unit is led by a supported employment team leader. Employment specialists' skills are developed and improved through outcome-based supervision. All five key roles of the employment supervisor are present.

MIS, INT,
DOC, OBS

1= One or none is present.

2= Two are present.

3= Three are present.

4= Four are present.

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Five key roles of the employment supervisor:

- One full-time equivalent (FTE) supervisor is responsible for no more than 10 employment specialists. The supervisor does not have other supervisory responsibilities. (Program leaders supervising fewer than ten employment specialists may spend a percentage of time on other supervisory activities on a prorated basis. For example, an employment supervisor responsible for 4 employment specialists may be devoted to SE supervision half time.)
- Supervisor conducts weekly supported employment supervision designed to review client situations and identify new strategies and ideas to help clients in their work lives.
- Supervisor communicates with mental health treatment team leaders to ensure that services are integrated, to problem solve programmatic issues (such as referral process, or transfer of follow-along to mental health workers) and to be a champion for the value of work. Attends a meeting for each mental health treatment team on a quarterly basis.
- Supervisor accompanies employment specialists, who are new or having difficulty with job development, in the field monthly to improve skills by observing, modeling, and giving feedback on skills, e.g., meeting employers for job development.
- Supervisor reviews current client outcomes with employment specialists and sets goals to improve program performance at least quarterly.

6. Zero exclusion criteria: All clients interested in working have access to supported employment services regardless of job readiness factors, substance abuse, symptoms, history of violent behavior, cognition impairments, treatment non-adherence, and personal presentation. These apply during supported employment services too. Employment specialists offer to help with another job when one has ended, regardless of the reason that the job ended or number of jobs held. If VR has screening criteria, the mental health agency does not use them to exclude anybody. Clients are not screened out formally or informally.

DOC, INT
OBS

- 1= There is a formal policy to exclude clients due to lack of job readiness (e.g., substance abuse, history of violence, low level of functioning, etc.) by employment staff, case managers, or other practitioners.
- 2= Most clients are unable to access supported employment services due to perceived lack of job readiness (e.g., substance abuse, history of violence, low level of functioning, etc.).
- 3= Some clients are unable to access supported employment services due to perceived lack of job readiness (e.g., substance abuse, history of violence, low level of functioning, etc.).
- 4= No evidence of exclusion, formal or informal. Referrals are not solicited by a wide variety of sources. Employment specialists offer to help with another job when one has ended, regardless of the reason that the job ended or number of jobs held.
- 5= All clients interested in working have access to supported employment services. Mental health practitioners encourage clients to consider employment, and referrals for supported employment are solicited by many sources. Employment specialists offer to help with another job when one has ended, regardless of the reason that the job ended or number of jobs held.

7. Agency focus on competitive employment: Agency promotes competitive work through multiple strategies. Agency intake includes questions about interest in employment. Agency displays written postings (e.g., brochures, bulletin boards, posters) about employment and supported employment services. The focus should be with the agency programs that provide services to adults with severe mental illness. Agency supports ways for clients to share work stories with other clients and staff. Agency measures rate of competitive employment and shares this information with agency leadership and staff.

DOC, INT,
OBS

- 1= One or none is present.
 - 2= Two are present.
 - 3= Three are present.
 - 4= Four are present.
 - 5= Five are present.
- Agency promotes competitive work through multiple strategies:
- Agency intake includes questions about interest in employment.
 - Agency includes questions about interest in employment on all annual (or semi-annual) assessment or treatment plan reviews.

- Agency displays written postings (e.g., brochures, bulletin boards, posters) about working and supported employment services, in lobby and other waiting areas.
- Agency supports ways for clients to share work stories with other clients and staff (e.g., agency-wide employment recognition events, in-service training, peer support groups, agency newsletter articles, invited speakers at client treatment groups, etc.) at least twice a year.
- Agency measures rate of competitive employment on at least a quarterly basis and shares outcomes with agency leadership and staff.

8. Executive team support for SE: Agency executive team members (e.g., CEO/Executive Director, Chief Operating Officer, QA Director, Chief Financial Officer, Clinical Director, Medical Director, Human Resource Director) assist with supported employment implementation and sustainability. All five key components of executive team support are present.

- 1= One is present.
 2= Two are present.
 3= Three are present.
 4= Four are present.
 5= Five are present.

- Executive Director and Clinical Director demonstrate knowledge regarding the principles of evidence-based supported employment.
- Agency QA process includes an explicit review of the SE program, or components of the program, at least every 6 months through the use of the Supported Employment Fidelity Scale or until achieving high fidelity, and at least yearly thereafter. Agency QA process uses the results of the fidelity assessment to improve SE implementation and sustainability.
- At least one member of the executive team actively participates at SE leadership team meetings (steering committee meetings) that occur at least every six months for high fidelity programs and at least quarterly for programs that have not yet achieved high fidelity. Steering committee is defined as a diverse group of stakeholders charged with reviewing fidelity, program implementation, and the service delivery system. Committee develops written action plans aimed at developing or sustaining high fidelity services.
- The agency CEO/Executive Director communicates how SE services support the mission of the agency and articulates clear and specific goals for SE and/or competitive employment to all agency staff during the first six months and at least annually (i.e., SE kickoff, all-agency meetings, agency newsletters, etc.). This item is not delegated to another administrator.
- SE program leader shares information about EBP barriers and facilitators with the executive team (including the CEO) at least twice each year. The executive team helps the program leader identify and implement solutions to barriers.

SERVICES

1. Work incentives planning: All clients are offered assistance in obtaining comprehensive, individualized work incentives planning before starting a new job and assistance accessing work incentives planning thereafter when making decisions about changes in work hours and pay. Work incentives planning includes SSA benefits, medical benefits, medication subsidies, housing subsidies, food stamps, spouse and dependent children benefits, past job retirement benefits and any other source of income. Clients are provided information and assistance about reporting earnings to SSA, housing programs, VA programs, etc., depending on the person's benefits.

- DOC, INT, OBS, ISP
- 1= Work incentives planning is not readily available or easily accessible to most clients served by the agency.
- 2= Employment specialist gives client contact information about where to access information about work incentives planning.
- 3= Employment specialist discusses with each client changes in benefits based on work status.
- 4= Employment specialist or other MH practitioner offer clients assistance in obtaining comprehensive, individualized work incentives planning by a person trained in work incentives planning prior to client starting a job.
- 5= Employment specialist or other MH practitioner offer clients assistance in obtaining comprehensive, individualized work incentives planning by a specially trained work incentives planner prior to starting a job. They also facilitate access to work incentives planning when clients need to make decisions about changes in work hours and pay. Clients are provided information and assistance about reporting earnings to SSA, housing programs, etc., depending on the person's benefits.

2. Disclosure: Employment specialists provide clients with accurate information and assist with evaluating their choices to make an informed decision regarding what is revealed to the employer about having a disability.

DOC, INT
OBS

- 1= None is present.
 - 2= One is present.
 - 3= Two are present.
 - 4= Three are present.
 - 5= Four are present.
- Employment specialists do not require all clients to disclose their psychiatric disability at the work site in order to receive services.
 - Employment specialists offer to discuss with clients the possible costs and benefits (pros and cons) of disclosure at the work site in advance of clients disclosing at the work site. Employment specialists describe how disclosure relates to requesting accommodations and the employment specialist's role communicating with the employer.
 - Employment specialists discuss specific information to be disclosed (e.g., disclose receiving mental health treatment, or presence of a psychiatric disability, or difficulty with anxiety, or unemployed for a period of time, etc.) and offers examples of what could be said to employers.
 - Employment specialists discuss disclosure on more than one occasion (e.g., if clients have not found employment after two months or if clients report difficulties on the job.)

3. Ongoing, work-based vocational assessment: Initial vocational assessment occurs over 2-3 sessions and is updated with information from work experiences in competitive jobs. A vocational profile form that includes information about preferences, experiences, skills, current adjustment, strengths, personal contacts, etc. is updated with each new job experience. Aims at problem solving using environmental assessments and consideration of reasonable accommodations. Sources of information include the client, treatment team, clinical records, and with the client's permission, from family members and previous employers.

DOC, INT,
OBS, ISP

- 1= Vocational evaluation is conducted prior to job placement with emphasis on office-based assessments, standardized tests, intelligence tests, work samples.
- 2= Vocational assessment may occur through a stepwise approach that includes: prevocational work experiences (e.g., work units in a day program), volunteer jobs, or set aside jobs (e.g., NISH jobs agency-run businesses, sheltered workshop jobs, affirmative businesses, enclaves).
- 3= Employment specialists assist clients in finding competitive jobs directly without systematically reviewing interests, experiences, strengths, etc. and do not routinely analyze job loss (or job problems) for lessons learned.
- 4= Initial vocational assessment occurs over 2-3 sessions in which interests and strengths are explored. Employment specialists help clients learn from each job experience and also work with the treatment team to analyze job loss, job problems and job successes. They do not document these lessons learned in the vocational profile. OR The vocational profile is not updated on a regular basis.
- 5= Initial vocational assessment occurs over 2-3 sessions and information is documented on a vocational profile form that includes preferences, experiences, skills, current adjustment, strengths, personal contacts, etc. The vocational profile form is used to identify job types and work environments. It is updated with each new job experience. Aims at problem solving using environmental assessments and consideration of reasonable accommodations. Sources of information include the client, treatment team, clinical records, and with the client's permission, from family members and previous employers. Employment specialists help clients learn from each job experience and also work with the treatment team to analyze job loss, job problems and job successes.

4. Rapid job search for competitive job: Initial employment assessment and first face-to-face employer contact by the client or the employment specialist about a competitive job occurs within 30 days (one month) after program entry.

DOC, INT,
OBS, ISP

- 1= First face-to-face contact with an employer by the client or the employment specialist about a competitive job is on average 271 days or more (> 9 mos.) after program entry.
- 2= First face-to-face contact with an employer by the client or the employment specialist about a competitive job is on average between 151 and 270 days (5-9 mos.) after program entry.
- 3= First face-to-face contact with an employer by the client or the employment specialist about a competitive job is on average between 61 and 150 days (2-5 mos.) after program entry.
- 4= First face-to-face contact with an employer by the client or the employment specialist about a competitive job is on average between 31 and 60 days (1-2 mos.) after program entry.
- 5= The program tracks employer contacts and the first face-to-face contact with an employer by the client or the employment specialist about a competitive job is on average within 30 days (one month) after program entry.

<p>5. <u>Individualized job search</u>: Employment specialists make employer contacts aimed at making a good job match based on clients' preferences (relating to what each person enjoys and their personal goals) and needs (including experience, ability, symptomatology, health, etc.) rather than the job market (i.e., those jobs that are readily available). An individualized job search plan is developed and updated with information from the vocational assessment/profile form and new job/educational experiences.</p>	<p>DOC, INT OBS, ISP</p>	<p>1= Less than 25% of employer contacts by the employment specialist are based on job choices which reflect client's preferences, strengths, symptoms, etc. rather than the job market.</p> <p>2= 25-49% of employer contacts by the employment specialist are based on job choices which reflect client's preferences, strengths, symptoms, etc., rather than the job market.</p> <p>3= 50-74% of employer contacts by the employment specialist are based on job choices which reflect client's preferences, strengths, symptoms, etc., rather than the job market.</p> <p>4= 75-89% of employer contacts by the employment specialist are based on job choices which reflect client's preferences, strengths, symptoms, etc., rather than the job market and are consistent with the current employment plan.</p> <p>5= Employment specialist makes employer contacts based on job choices which reflect client's preferences, strengths, symptoms, lessons learned from previous jobs etc., 90-100% of the time rather than the job market and are consistent with the current employment/job search plan. When clients have limited work experience, employment specialists provide information about a range of job options in the community.</p>
<p>6. <u>Job development - Frequent employer contact</u>: Each employment specialist makes at least 6 face-to-face employer contacts per week on behalf of clients looking for work. (Rate for each then calculate average and use the closest scale point.) An employer contact is counted even when an employment specialist meets the same employer more than one time in a week, and when the client is present or not present. Client-specific and generic contacts are included. Employment specialists use a weekly tracking form to document employer contacts.</p>	<p>DOC, INT</p>	<p>1= Employment specialist makes less than 2 face-to-face employer contacts that are client-specific per week.</p> <p>2= Employment specialist makes 2 face-to-face employer contacts per week that are client-specific. <u>OR</u> Does not have a process for tracking.</p> <p>3= Employment specialist makes 4 face-to-face employer contacts per week that are client-specific, and uses a tracking form that is reviewed by the SE supervisor on a monthly basis.</p> <p>4= Employment specialist makes 5 face-to-face employer contacts per week that are client-specific, and uses a tracking form that is reviewed by the SE supervisor on a weekly basis.</p> <p>5= Employment specialist makes 6 or more face-to-face employer contacts per week that are client specific, or 2 employer contacts times the number of people looking for work when there are less than 3 people looking for work on their caseload (e.g., new program). In addition, employment specialist uses a tracking form that is reviewed by the SE supervisor on a weekly basis.</p>
<p>7. <u>Job development - Quality of employer contact</u>: Employment specialists build relationships with employers through multiple visits in person that are planned to learn the needs of the employer, convey what the SE program offers to the employer, describe client strengths that are a good match for the employer. (Rate for each employment specialist, then calculate average and use the closest scale point.)</p>	<p>DOC, INT, OBS</p>	<p>1= Employment specialist meets employer when helping client to turn in job applications, <u>OR</u> Employment specialist rarely makes employer contacts.</p> <p>2= Employment specialist contacts employers to ask about job openings and then shares these "leads" with clients.</p> <p>3= Employment specialist follows up on advertised job openings by introducing self, describing program, and asking employer to interview client.</p> <p>4= Employment specialist meets with employers in person whether or not there is a job opening, advocates for clients by describing strengths and asks employers to interview clients.</p> <p>5= Employment specialist builds relationships with employers through multiple visits in person that are planned to learn the needs of the employer, convey what the SE program offers to the employer, describe client strengths that are a good match for the employer.</p>
<p>8. <u>Diversity of job types</u>: Employment specialists assist clients in obtaining different types of jobs.</p>	<p>DOC, INT, OBS, ISP</p>	<p>1= Employment specialists assist clients obtain different types of jobs less than 50% of the time.</p> <p>2= Employment specialists assist clients obtain different types of jobs 50-59% of the time.</p> <p>3= Employment specialists assist clients obtain different types of jobs 60-69% of the time.</p> <p>4= Employment specialists assist clients obtain different types of jobs 70-84% of the time.</p>

9. Diversity of employers: Employment specialists assist clients in obtaining jobs with different employers.

DOC, INT,
OBS, ISP

- 5= Employment specialists assist clients obtain different types of jobs 85-100% of the time.
- 1= Employment specialists assist clients obtain jobs with the different employers less than 50% of the time.
- 2= Employment specialists assist clients obtain jobs with the same employers 50-59% of the time.
- 3= Employment specialists assist clients obtain jobs with different employers 60-69% of the time.
- 4= Employment specialists assist clients obtain jobs with different employers 70-84% of the time.
- 5= Employment specialists assist clients obtain jobs with different employers 85-100% of the time.

10. Competitive jobs: Employment specialists provide competitive job options that have permanent status rather than temporary or time-limited status, e.g., TE (transitional employment positions). Competitive jobs pay at least minimum wage, are jobs that anyone can apply for and are not set aside for people with disabilities. (Seasonal jobs and jobs from temporary agencies that other community members use are counted as competitive jobs.)

DOC, INT,
OBS, ISP

- 1= Employment specialists provide options for permanent, competitive jobs less than 64% of the time, OR There are fewer than 10 current jobs.
- 2= Employment specialists provide options for permanent, competitive jobs about 65- 74% of the time.
- 3= Employment specialists provide options for permanent competitive jobs about 75-84% of the time.
- 4= Employment specialists provide options for permanent competitive jobs about 85-94% of the time.
- 5= 95% or more competitive jobs held by clients are permanent.

11. Individualized follow-along supports: Clients receive different types of support for working a job that are based on the job, client preferences, work history, needs, etc. Supports are provided by a variety of people, including treatment team members (e.g., medication changes, social skills training, encouragement), family, friends, co-workers (i.e., natural supports), and employment specialist. Employment specialist also provides employer support (e.g., educational information, job accommodations) at client's request. Employment specialist offers help with career development, i.e., assistance with education, a more desirable job, or more preferred job duties.

DOC, INT,
OBS, ISP

- 1= Most clients do not receive supports after starting a job.
- 2= About half of the working clients receive a narrow range of supports provided primarily by the employment specialist.
- 3= Most working clients receive a narrow range of supports that are provided primarily by the employment specialist.
- 4= Clients receive different types of support for working a job that are based on the job, client preferences, work history, needs, etc. Employment specialists provide employer supports at the client's request.
- 5= Clients receive different types of support for working a job that are based on the job, client preferences, work history, needs, etc. Employment specialist also provides employer support (e.g., educational information, job accommodations) at client's request. The employment specialist helps people move onto more preferable jobs and also helps people with school or certified training programs. The site provides examples of different types of support including enhanced supports by treatment team members.

12. Time-unlimited follow-along supports: Employment specialists have face-to-face contact within 1 week before starting a job, within 3 days after starting a job, weekly for the first month, and at least monthly for a year or more, on average, after working steadily, and desired by clients. Clients are transitioned to step down job supports from a mental health worker following steady employment. Employment specialists contact clients within 3 days of learning about the job loss.

DOC, INT,
OBS, ISP

- 1= Employment specialist does not meet face-to-face with the client after the first month of starting a job.
- 2= Employment specialist has face-to-face contact with less than half of the working clients for at least 4 months after starting a job.
- 3= Employment specialist has face-to-face contact with at least half of the working clients for at least 4 months after starting a job.
- 4= Employment specialist has face-to-face contact with working clients weekly for the first month after starting a job, and at least monthly for a year or more, on average, after working steadily, and desired by clients.
- 5= Employment specialist has face-to-face contact within 1 week before starting a job, within 3 days after starting a job, weekly for the first month, and at least monthly for a year or more, on average, after working steadily and desired by clients. Clients are transitioned to step down job supports, from a mental health worker following steady employment clients. Clients are transitioned to step down job supports from a mental health worker following steady employment.

Employment specialist contacts clients within 3 days of hearing about the job loss.

13. Community-based services: Employment services such as engagement, job finding and follow-along supports are provided in natural community settings by all employment specialists. (Rate each employment specialist based upon their total weekly scheduled work hours, then calculate the average and use the closest scale point.)

DOC, INT
OBS

- 1= Employment specialist spends 30% time or less in the scheduled work hours in the community.
- 2= Employment specialist spends 30 - 39% time of total scheduled work hours in the community.
- 3= Employment specialist spends 40 -49% of total scheduled work hours in the community.
- 4= Employment specialist spends 50 - 64% of total scheduled work hours in the community.
- 5= Employment specialist spends 65% or more of total scheduled work hours in the community.

14. Assertive engagement and outreach by integrated treatment team: Service termination is not based on missed appointments or fixed time limits. Systematic documentation of outreach attempts. Engagement and outreach attempts made by integrated team members. Multiple home/community visits. Coordinated visits by employment specialist with integrated team member. Connect with family, when applicable. Once it is clear that the client no longer wants to work or continue SE services, the team stops outreach.

MIS, DOC,
INT, OBS

- 1= Evidence that 2 or less strategies for engagement and outreach are used.
- 2= Evidence that 3 strategies for engagement and outreach are used.
- 3= Evidence that 4 strategies for engagement and outreach are used.
- 4= Evidence that 5 strategies for engagement and outreach are used.
- 5= Evidence that all 6 strategies for engagement and outreach are used: i) Service termination is not based on missed appointments or fixed time limits. ii) Systematic documentation of outreach attempts. iii) Engagement and outreach attempts made by integrated team members. iv) Multiple home/community visits. v) Coordinated visits by employment specialist with integrated team member. vi) Connect with family, when applicable.

*Data sources:

MIS Management Information System
DOC Document review: clinical records, agency policy and procedures
INT Interviews with clients, employment specialists, mental health staff, VR counselors, families, employers
OBS Observation (e.g., team meeting, shadowing employment specialists)
ISP Individualized Service Plan

2/14/96
6/20/01, Updated
1/7/08, Revised

Supported Employment Fidelity Scale Score Sheet

Staffing		
1.	Caseload size	Score:
2.	Employment services staff	Score:
3.	Vocational generalists	Score:
Organization		
1.	Integration of rehabilitation with mental health thru team assignment	Score:
2.	Integration of rehabilitation with mental health thru frequent team member contact	Score:
3.	Collaboration between employment specialists and Vocational Rehabilitation counselors	Score:
4.	Vocational unit	Score:
5.	Role of employment supervisor	Score:
6.	Zero exclusion criteria	Score:
7.	Agency focus on competitive employment	Score:
8.	Executive team support for SE	Score:
Services		
1.	Work incentives planning	Score:
2.	Disclosure	Score:
3.	Ongoing, work-based vocational assessment	Score:
4.	Rapid search for competitive job	Score:
5.	Individualized job search	Score:
6.	Job development—Frequent employer contact	Score:
7.	Job development—Quality of employer contact	Score:
8.	Diversity of job types	Score:
9.	Diversity of employers	Score:
10.	Competitive jobs	Score:
11.	Individualized follow-along supports	Score:
12.	Time-unlimited follow-along supports	Score:
13.	Community-based services	Score:
14.	Assertive engagement and outreach by integrated treatment team	Score:
Total:		

115 – 125	= Exemplary Fidelity
100 - 114	= Good Fidelity
74 – 99	= Fair Fidelity
73 and below	= Not Supported Employment

Appendix 4: DRAFT- Subject to Comment and Review 12/23/2014

Delaware State Assertive Community Treatment (ACT) Services for Clients with Primary Substance Use Disorders (SUD)

OVERVIEW

This section of the manual contains the standards by which the Division of Substance Abuse and Mental Health (DSAMH) certifies Assertive Community Treatment (ACT) for persons with primary Substance Use Disorders (SUD). Certification is required for provider enrollment with the Delaware Department of Health and Social Services (DHSS), Division of Medicaid and Medical Assistance (DMMA) Program for Medicaid reimbursement through the rehabilitative services option of Title XIX of the Social Security Amendments.

Through an Inter-Divisional Agreement DSAMH has been delegated authority for administration of certain provisions of the Medicaid program pertaining to behavioral health services covered under the rehabilitative services option. These provisions include the following: 1) certification of programs for provider enrollment, 2) rate setting, and 3) performance improvement. Delegated performance improvement functions include program monitoring, utilization control, training and technical assistance.

DMMA requires providers of behavioral health rehabilitative services to be certified by DSAMH as a condition of enrollment before they may provide services to eligible Medicaid recipients. Behavioral Health rehabilitative services are medically related treatment, rehabilitative and support services for persons with disabilities caused by mental illness, and substance use disorders. Assertive Community Treatment (ACT) for persons with primary Substance Use Disorder (SUD) (“ACT SUD”) is a category of community support programs that the Division certifies as one of the criteria for Medicaid provider enrollment. Services are provided for as long as is medically necessary to assist service recipients to manage the symptoms of their substance use disorder, minimize the effects of their disability on their capacity for independent living and prevent or eliminate periods of inpatient or detoxification treatment, and minimize the need for using emergency services.

1 CERTIFICATION FOR PROVIDER PARTICIPATION

- 4.1 *Authority*– Through an Inter-Divisional Agreement, the Division of Health and Social Services (DHSS) Delaware Medical Assistance Program (DMAP) has delegated the function of certifying organizations for enrollment as providers of optional behavioral

health community support services to the Division of Substance Abuse and Mental Health (Division or DSAMH).

4.2 *Certification Criteria*– Eligibility for certification to provide community support services for ACT SUD is determined according to the following criteria:

4.2.1 Organizations eligible to apply for provider certification and enrollment with DHSS for Medicaid reimbursement of Community Support Services include:

1.2.1.1 Private non-profit human service corporations;

1.2.1.2 Private for-profit human service corporations;

4.2.2 The Division bases its certification of programs and enrollment recommendations to DHSS upon the organization's compliance with state-level organizational, administrative and program standards that are consistent with federal Medicaid requirements related to Rehabilitative Services.

4.2.3 The Division establishes and applies minimum compliance guidelines to be used in making certification determinations.

4.2.4 The Division uses a certification survey to measure compliance with organizational, administrative and program standards. The determination with regard to a program's certification is based on:

4.2.4.1 Statements made and certified by authorized representatives of the organization;

4.2.4.2 Documents provided to the Division by the organization;

4.2.4.3 Documented compliance with organizational, program and administrative standards;

4.2.4.4 On-site observations by surveyor.

5 Definitions for ACT for Persons with Primary SUD

ACT SUD Team (Assertive Community Treatment for Persons with Primary Substance Use Disorders Team) is a group of ten (10) ACT staff members who together have a range of SUD and mental health clinical and rehabilitation skills and expertise. SUD related experience is primary and mental health experience is secondary. Not all members of the team would need to have mental health experience. The ACT SUD team members are assigned by the team leader and the physician/psychiatric prescriber to work collaboratively with an individual and his/her family

and/or natural supports in the community by the time of the first individual assessment and subsequent person directed recovery planning meeting. The ACT SUD team serves up to 100 individuals and thus has a maximum staff to client ratio of 1:10.

The core members of the team are the Masters level team leader, the physician or psychiatric prescriber with extensive SUD treatment experience, one registered nurse and a licensed practical nurse (LPN) , two substance abuse counselors/chemical dependency specialists (with at least one at a masters level), two peer recovery specialists (Recovery Coaches), one housing specialist, one employment specialist, and a program/administrative assistant. Each of the team members will also share case coordination/service provision tasks and benefits counseling for each client. The team has continuous responsibility to be knowledgeable about the individual's life, circumstances, goals and desires; to collaborate with the individual to develop and write the recovery plan; to offer options and choices in the recovery plan; to ensure that immediate changes are made as an individual's needs change; and to advocate for the individual's wishes, rights, and preferences. The ACT SUD team is responsible for providing much of the individual's treatment, rehabilitation, and support services. Team members are assigned to take separate service roles with the individual as specified by the individual and the person directed recovery plan.

Assistance with self-administered medications (AWSAM) means a situation where a designated care provider who has taken a Board approved medication training program, or a designated care provider who is otherwise exempt from the requirement of having to take the Board approved self-administration of medication training program, assists the patient in self-administration of medication other than by injection, provided that the medication is in the original container with a proper label and directions. In cases where medication planners are used, the individual to whom the medication is prescribed must fill the planner. The designated care provider may hold the container or planner for the patient, assist with the opening of the container, and assist the patient in taking the medication.

AWSAM is conducted with the individual present. When delivering medications to the individual in the community, medications must be in their original containers or a labeled container with the name of the medication, dosage, dosing directions and name of the psychiatric prescriber prescribing the medication. (*Delaware Nurse Practice Act, Title 24 Del. Code Ch. 19, 1902*)

Adverse Events are confirmed incidents of abuse, neglect, mistreatment, financial exploitation, and/or significant injuries, which require reporting and investigative processes in accordance to DSAMH policies.

Atypical Antipsychotic Medications (also known as “second generation antipsychotics”) are a group of medications that are typically used to treat mental health disorders such as Schizophrenia or Bipolar disorder; however they may also be used to treat other disorders such as severe depression.

BioPsychoSocial (BPS) is an assessment positing that biological, psychological, and social factors are together related as significant factors in human functioning in the context of disease or illness.

Clinical Supervision is a systematic process to review each individual's clinical status and to ensure that the individualized services and interventions that the team members provide (including the peer specialist) are planned with, purposeful for, effective, and satisfactory to the individual. The team leader and the psychiatric prescriber have the responsibility for providing clinical supervision that occurs during daily organizational staff meetings, recovery planning meetings, and in individual meetings with team members. Clinical supervision also includes review of written documentation (e.g., assessments, recovery plans, progress notes, correspondence) in conjunction with each recovery plan review and update, upon an individual re-entering ACT SUD services after a hospitalization of 30 days or more or any time there has been a change to the course of service provision as outlined in the most current recovery plan.

Comprehensive Assessment is the organized process of gathering and analyzing current and past information with each individual and the family and/or support system and other significant people to evaluate: 1) mental and functional status; 2) effectiveness of past SUD treatment; 3) current SUD treatment, rehabilitation and support needs to achieve individual goals and support recovery; and, 4) the range of individual strengths (e.g., knowledge gained from dealing with adversity, personal/professional roles, talents, personal traits) that can act as resources to the individual and his/her recovery planning team in pursuing goals. The results of the information gathering and analysis are used to: 1) establish immediate and longer-term service needs with each individual; 2) set goals and develop the first person directed recovery plan with each individual; and, 3) optimize benefits that can be derived from existing strengths and resources of the individual and his/her family and/or natural support network in the community.

Co-Occurring Disorders (COD) Services include integrated assessment and treatment for individuals who have co-occurring SUD and mental health conditions. **(Individuals with serious and persistent mental illness (SPMI) and concurrent substance use needs must be followed in traditional ACT. The ACT SUD team services people with primary SUDs that are severe. Many clients served by the ACT SUD team will have mental health needs as a result of their history of SUD.)**

Crisis Assessment and Intervention includes substance use services offered twenty-four (24) hours per day, seven days per week for individuals when they are experiencing a substance use event that requires immediate response from a substance use specialist or other professional. This includes a presence at local emergency departments and state crisis response settings (e.g. CAPES, CAPAC).

Daily Log is a written document maintained by the ACT SUD team on a daily basis to provide: 1) a current roster of individuals served by the team; and, 2) for each individual, a brief description of

any treatment or service contacts which have occurred during the day and a concise behavioral description of the individual's substance use status and any additional needs.

Daily Organizational Staff Meeting is a daily ACT SUD team meeting held at regularly scheduled times under the direction of the team leader (or designee) to: 1) briefly review the service contacts which occurred the previous day and the status of all program individuals; 2) review the service contacts which are scheduled to be completed during the current day and revise as needed; 3) assign staff to carry out the day's service activities; and 4) revise recovery plans and plan for emergency and crisis situations as needed. The daily log and the daily staff assignment schedule are used during the meeting to facilitate completion of these tasks.

Daily Staff Assignment Schedule is a written, daily timetable summarizing all individual treatment and service contacts to be divided and shared by staff working on that day. The daily staff assignment schedule will be developed from a central file of all weekly individual schedules.

DHSS refers to the Delaware Department of Health and Social Services.

DMMA refers to the Delaware Division of Medicaid and Medical Assistance, providing health care coverage to individuals with low incomes and to those with disabilities, ensuring access to high quality, cost effective and appropriate medical care and supportive services.

DSAMH refers to the Delaware Division of Substance Abuse and Mental Health within the Department of Health and Social Services.

Family and Natural Supports' Psycho-education and Support is an approach to working in partnership with families and natural supports to provide current information about substance use conditions and to help them develop coping skills for handling problems posed by substance use conditions as experienced by significant others in their lives (e.g. the "client").

Health Homes were established within the Affordable Care Act to coordinate care for people with Medicaid who have chronic conditions, operating under a "whole-person" philosophy, integrating and coordinating all primary, acute, behavioral health, and long-term services and supports to treat the whole person.

Individual is an adult, age eighteen (18) and older who is receiving person-centered treatment, rehabilitation, and support services from the ACT SUD team.

Individual Therapy includes therapeutic interventions focused on helping individuals recognize, avoid and cope with situations in which they are most likely to abuse substances. Therapy should be individually tailored to the person's needs and predicated on best practices/empirically supported interventions, such as cognitive-behavioral therapy and motivational interviewing.

Informed Consent means that the consumer has an understanding of the purposes, risks and benefits of each medication or treatment prescribed, as well as his/her rights to refuse medication or treatment.

Initial Assessment and Person directed recovery plan is the initial evaluation of: 1) the individual's mental and functional status; 2) the effectiveness of past SUD treatment; 3) the current treatment, rehabilitation and support service needs for the individual's pattern of substance use (this should be predicated on the individual's stage of change), and 4) the range of individual strengths that can act as resources to the person and his/her team in pursuing goals. The results of the information gathering and analysis are used to establish the initial recovery plan to achieve individual goals and support recovery. Completed the day of admission, the individual's initial assessment and recovery plan guides team services until the comprehensive assessment and full person directed recovery plan is completed.

Illness/Symptom Management is an approach directed to help each individual identify and target the undesirable symptoms and disruptive manifestations of their substance use condition and develop methods to help reduce recurrence and impact of those symptoms. Methods include identifying triggers and warning signs associated with specific symptoms, and learning ways to prevent and cope with symptoms of relapse.

Instrumental Activities of Daily Living (IADL) include approaches to support individuals and build skills in a range of activities of daily living, including but not limited to finding housing, performing household activities, increased independence in carrying out personal hygiene and grooming tasks, money management, accessing and using transportation resources, and accessing services from a physician and dentist.

Interdisciplinary Approach is the service model whereby team members from multiple disciplines analyze and synthesize shared roles and systematically collaborate and train each other in the methods associated with their expertise across assessment and service activities to reap the benefits of each member's unique point of view. The purpose of this approach is to share responsibility for services to consumers and to pool and integrate the expertise of team members so that consumers receive the specific evidence-based and client-centered services they need to achieve their goals. The communication expectation in this type of team involves continuous collaboration among all members (inclusive of the individual and, if desired, his/her family/other natural supports) on a regular, planned basis.

Medication Administration is the physical act of giving medication to individuals in an ACT SUD program by the prescribed route that is consistent with state law and the licenses of the professionals privileged to prescribe and/or administer medication (e.g., physicians, psychiatric prescribers, nurse practitioners, registered nurses, and pharmacists).

Medication Adherence Education involves the sharing of information from the ACT SUD team members to the individual or the individual's natural supports about pros and cons of taking medication for substance use conditions. Peers may *not* assist with medication adherence education.

Medication Adherence Assistance is the oversight of medication adherence where a member of the ACT SUD team observes or provides training in self-administration of medication. With the exception of a registered nurse or psychiatric prescriber, all team members must receive Assistance With Self-Administered Medication (AWSAM) training at the beginning of employment and annually thereafter. Team members required to participate in AWSAM training may not observe medication assistance prior to completing initial AWSAM training during orientation and annual training thereafter. *Peers may assist in medication assistance only when the team has determined that only the Peer will have the most success in helping the individual adhere to a prescribed medication regimen; this allowance must be time limited along with a plan to disengage the peer from providing this service in addition to pre-approval by DSAMH.*

Medication Error is any error in prescribing, administering or delivering a specific medication, including errors in writing or transcribing the prescription, in obtaining and administering the correct medication, in the correct dosage, in the correct form, and at the correct time.

Medication Assisted Treatment (MAT) is the use of pharmacological medications, along with counseling and cognitive-behavioral therapies, to provide a more complete and holistic approach to SUD treatment. This is a research-based approach, with evidence that a combination of medication and behavioral therapies can help people recovery from SUDs, and sustain that recovery over time.

Medication Management is a collaborative effort between the individual and the psychiatric prescriber with the participation of the team to provide training in medication adherence and to carefully evaluate the individual's previous experience with psychotropic medications and side-effects; to identify and discuss the benefits and risks of psychotropic and other medication; to choose a medication treatment; and to establish a method to prescribe and evaluate medication response according to evidence-based practice standards.

Nurse Licensure Compact is a nurse who is licensed in one of the participating Compact (Multi-State) Licensure states. A compact license allows a licensed Registered Nurse (RN) or Licensed Practical Nurse (LPN) to work in another state without having to obtain licensure in that state. The state where the nurse is licensed and the state where the nurse works **both** must be parties to the compact agreement.

Person-Directed Recovery plan (PDRP) is the product of a continuing process involving each individual, his/her family and/or natural supports in the community, and the ACT SUD team, which tailors service activity and intensity to meet the individual's specific treatment,

rehabilitation, and support needs. The written recovery plan documents the individual's strengths, resources, self-determined goals, and the services necessary to help the individual achieve them. For most individuals with primary SUDs, this should include 12 step meetings (for example, Alcoholics Anonymous or Narcotics Anonymous), Dual Recovery Anonymous (DRA), and other established self-help and mutual help supports. The plan also delineates the roles and responsibilities of the team members who work collaboratively with each individual in carrying out the services.

Primary care manager, under the supervision of the Team Leader, leads and coordinates the activities of the individual treatment team and is the team member who has primary responsibility for establishing and maintaining a therapeutic relationship with an individual on a continuing basis, whether the individual is in the hospital, in the community, or involved with other agencies. In addition, he or she is the responsible team member to be knowledgeable about the individual's life, circumstances, and goals and desires. The primary care manager role for a given consumer can be filled by any of the SUD ACT Team staff positions listed above, except the prescriber.

The primary care manager develops and collaborates with the individual to write the person directed recovery plan, offers options and choices in the recovery plan, ensures that immediate changes are made as the individual's needs change, and advocates for the individual's wishes, rights, and preferences. The primary care manager also works with other community resources, including individual-run services, to coordinate activities and integrate other agency or service activities into the overall service plan with the individual. The primary care manager will provide individual evidence-based therapy to the client and primary support and education to the family and/or support system and other significant people. In most cases this is the first team member available to the individual in crisis. The primary care manager shares these service activities with other members of the team who are responsible to perform them when the primary care manager is not working.

Program refers to the ACT SUD services team that provides service in accordance with these standards.

Physician/Psychiatric Prescriber for ACT SUD means a Board-eligible or Board certified Doctor of Medicine or Doctor of Osteopathy with prescribing privileges in the state of Delaware. This individual must be (a) certified by ASAM or the American Board of Addiction Medicine (ABAM); (b) a physician with an Addiction Psychiatry certification bestowed by the American Board of Psychiatry and Neurology (ABPN) and/or (c) a physician that is knowledgeable about addiction treatment as demonstrated by completion of at least 10 hours of CME/CEU credits each calendar year that focuses on treatment of SUDs, including medication assisted therapy.

Psychotropic Medication is any drug used to treat, manage, or control psychiatric/substance use symptoms or behavior, including but not limited to medications for alcohol dependence,

medications for opioid dependence, as well as antipsychotic, antidepressant, mood-stabilizing or anti-anxiety agents.

Recovery Coach Peer Support and Wellness Recovery Services are services provided by team members who have experience as recipients of SUD services. The role of the peer support includes providing services that serve to validate individuals' experiences, provide guidance and encouragement to individuals to take responsibility for and actively participate in their own recovery, help individuals identify, understand, and avoid situations and contexts in which they are more likely to use substances, help them become involved in self-help groups, help them combat stigma and discrimination against people with histories of SUD and develop strategies to reduce individuals' self-imposed stigma. The DSAMH Scope of Practice for peers shall be the guide for utilizing this resource.

Recovery Plan Review is a thorough, written summary describing the individual's and the *interdisciplinary* team's evaluation of the individual's progress/goal attainment, the effectiveness of the interventions, and satisfaction with services since the last person directed recovery plan. The Recovery Plan Review provides a basis for making needed refinements in the individual's service plan and includes active participation by the individual served.

Recovery Planning Meeting is a regularly scheduled meeting conducted under the supervision of the team leader and the psychiatric prescriber. The purpose of the meeting is for the staff, and the individual and his/her family/natural supports (all working as a team) to thoroughly prepare for their work together. The group meets together to present and integrate the information collected through assessment to learn as much as possible about the individual's life, his/her experience with substance use and the type and effectiveness of the past treatment they have received. The presentations and discussions at these meetings make it possible for all staff to be familiar with each individual and his/her goals and aspirations and for each individual to become familiar with each team member; to participate in the ongoing assessment and reformulation of strengths, resources, and service needs/issues; to problem-solve treatment strategies and rehabilitation options; and to fully understand the recovery plan rationale in order to carry out the plan for each goal.

Service Coordination is a process of organization and coordination within the interdisciplinary ACT SUD team to carry out the range of treatment, rehabilitation, and support services each individual expects to receive in accordance with his or her written person directed recovery plan and that are respectful of the individual's wishes. Service coordination also includes coordination with community resources, including individual self-help and advocacy organizations that promote recovery.

Serious and Persistent Mental Illness (SPMI) is an adult with a serious and persistent mental illness, "1" below must be met, in addition to either "2", "3", or "4":

9. Designated Mental Illness

The individual is 18 years of age or older and currently meets the criteria for a DSM-5 psychiatric diagnosis other than alcohol or drug disorders, organic brain syndromes, developmental disabilities or social conditions. ICD-Coding Manual psychiatric categories and codes that do not have an equivalent in DSM-5 are also included mental illness diagnoses.

And

10. SSI or SSDI due to Mental Illness

The individual is currently enrolled in SSI/SSDI due to a designated mental illness.

Or

11. Extended Impairment in Functioning due to Mental Illness

- a. Documentation that the individual has experienced two of the following four functional limitations due to a designated mental illness over the past 12 months on a continuous or intermittent basis:
 - i. Marked difficulties in self-care (personal hygiene, diet, clothing, avoiding injuries, securing health care or complying with medical advice).
 - ii. Marked restriction of activities of daily living (maintaining a residence, using transportation, day to day money management, accessing community services).
 - iii. Marked difficulties in maintaining social functioning (establishing and maintaining social relationships, interpersonal interactions with primary partner, children or other family members, friends, neighbors, social skills, compliance with social norms, appropriate use of leisure time).
 - iv. Frequent deficiencies of concentration, persistence or pace resulting in failure to complete tasks in a timely manner (ability to complete tasks commonly found in work settings or in structured activities that take place in home or school settings, individuals may exhibit limitations in these areas when they repeatedly are unable to complete simple tasks within an established time period, make frequent errors in tasks, or require assistance in the completion of tasks).

Or

12. Reliance on Psychiatric Treatment, Rehabilitation and Supports

A documented history shows that the individual at some prior time met the threshold for 3 (above), but the symptoms and/or functioning problems are currently attenuated by

medication or psychiatric rehabilitation and supports. Medication refers to psychotropic medications, which may control certain primary manifestations of mental disorder; e.g. hallucinations, but may or may not affect functional limitations imposed by the mental disorder. Psychiatric rehabilitation and supports refer to highly structured and supportive settings, which may greatly reduce the demands placed on the individual and thereby minimize overt symptoms and signs of the underlying mental disorder.

Any individual who meets criteria for SPMI MUST be referred to traditional ACT services.

Social and Community Integration Skills Training provides support to individuals in managing social and interpersonal relationships and leisure time activities, with an emphasis on skills acquisition and generalization in integrated community-based settings. For individuals with SUD, skills training can be focused on attending 12 step meetings, obtaining a sponsor, and other similar steps in the recovery process that are widely accepted within the recovery community.

Substance Use Disorder (SUD): A maladaptive pattern of substance use leading to clinically significant impairment or distress, manifested by 2 (or more) of the following, occurring within a 12-month period:

1. Recurrent substance use resulting in a failure to fulfill major role obligations at work, school, or home (e.g. repeated absences or poor work performance related to substance use; substance-related absences, suspensions, or expulsions from school; neglect of children or household).
2. Recurrent substance use in situations in which it is physically hazardous (e.g. driving an automobile or operating a machine when impaired by substance use).
3. Continued substance use despite having persistent or recurrent social or interpersonal problems caused or exacerbated by the effects of the substance (e.g. arguments with spouse about consequences of intoxication, physical fights)
4. Tolerance, as defined by either of the following:
 - a. A need for markedly increased amounts of the substance to achieve intoxication or desired effect.
 - b. Markedly diminished effect with continued use of the same amount of the substance (Note: Tolerance is not counted for those taking medications under medical supervision such as analgesics, antidepressants, anti-anxiety medications or beta-blockers).
5. Withdrawal, as manifested by either of the following:
 - a. the characteristic withdrawal syndrome for the substance (refer to Criteria A and B of the criteria sets for Withdrawal from the specific substances)
 - b. the same (or a closely related substance is taken to relieve or avoid withdrawal symptoms (Note: Withdrawal is not counted for those taking medications under medical supervision, such as analgesics, antidepressants, anti-anxiety medications or beta-blockers).
6. The substance is often taken in larger amounts or over a longer period than was intended.
7. There is a persistent desire or unsuccessful efforts to cut down or control substance use.

8. A great deal of time is spent in activities necessary to obtain the substance, use the substance, or recover from its effects.
9. Important social, occupational, or recreational activities are given up or reduced because of substance use.
10. The substance use is continued despite knowledge of having a persistent or recurrent physical or psychological problem that is likely to have been caused or exacerbated by the substance.
11. Craving or a strong desire or urge to use a specific substance.

Substance Use Disorder – Severe is present when a person has at least six of the above symptoms or problems.

Supported Education is a service providing opportunities, resources, and supports to individuals with SUDs so that they may gain admission to and succeed in the pursuit of education including completing high school, (or obtaining a GED), post-secondary education and vocational school.

Supported Employment is a vocational service providing on-going individualized support to learn a new job or maintain a job in competitive or customized integrated work setting that meets job and career goals, including self-employment, and are compensated at or above the minimum wage, in line with compensation to employees with the same or similar work by individuals without disabilities. Having an SUD does not preclude a client from engaging in SE services and obtaining a competitive work placement.

Trauma-Informed organizations, programs, and services are based on an understanding of the vulnerabilities of triggers of trauma survivors that traditional services delivery approaches may exacerbate, so that these services and programs can be more supportive and avoid re-traumatization. Trauma-informed organizations take the steps necessary to make certain that, every part of its organization, management, and service delivery system is assessed and potentially modified to include a basic understanding of how trauma affects the life of an individual seeking services.

Wellness Management and Recovery Services are a combination of psychosocial approaches to working in partnership with the individual to build and apply skills related to his or her recovery from SUD, including development of recovery strategies, building social support, reducing relapses, using medication effectively, coping with stress, coping with problems and symptoms, attending to physical needs and getting needs met within the SUD treatment system, the medical system and community.

6 Admission and Discharge Criteria

6.1 Admission Criteria Eligible recipients are certified by the physician/psychiatric prescriber as being in medical need of program services in accordance with an assessment procedure approved by the Division for use in determining that individuals are diagnosed with a severe SUD according to criteria for severity of disability associated with substance use.

6.1.1 The assessment must provide supporting evidence of meeting criteria A, B, C, and D:

6.1.1.1 Criterion A

6.1.1.1.1 The individual meets diagnostic criteria for a severe SUD consistent with DSM-V (and definition of SUD-Severe in Section 2 above). While the individual may have a co-occurring mental health disorder, it must not currently meet criteria of SPMI.

6.1.1.1.2 The individual has a SUD which seriously impairs an individual's functioning in community living. Individuals with a sole diagnosis of cognitive disability, brain injury or personality disorder are not the intended recipients for ACT SUD services. Individuals with Primary SUD may have a history of repeated hospitalizations for substance use and/or detoxifications and/or may be individuals who have been unable to remain abstinent from drugs or alcohol. Diagnoses that would otherwise be excluded from ACT SUD services may be considered for an ACT team if an assessment by the team supports ACT services as the best course of service.

6.1.1.1.3 Due to a SUD, the individual has significant impairments or difficulty in at least two of the following areas:

6.1.1.1.3.1 Consistently performing the range of practical daily living tasks required for basic adult functioning in the community (e.g., caring for personal business affairs; obtaining or maintaining medical, legal, and housing services; recognizing and avoiding common dangers or hazards to self and possessions; meeting nutritional needs; maintaining personal hygiene; maintaining employment) or persistent or recurrent difficulty performing daily living tasks except with significant support or assistance from others

such as friends, family, relatives or the ACT team.

6.1.1.1.3.2 Interpersonal functioning.

6.1.1.1.3.3 Concentration, persistence, and pace.

6.1.1.1.3.4 Adaptation to change.

6.1.2 Criterion B

6.1.2.1 The individual must be at least 18 years of age or older

6.1.3 Criterion C

6.1.3.1 The individual must meet at least one (1) of the following:

6.1.3.1.1 Substance Abuse Hospitalization within the past twelve (12) months:

6.1.3.1.1.1 Two or more substance use–related hospitalizations (including detox), or

6.1.3.1.1.2 One substance use–related hospitalization in excess of 10 days, or

6.1.3.1.1.3 Two or more juvenile placements in a secure facility that were caused, at least in part, by current or past substance use, or

6.1.3.1.1.4 One juvenile placement in a secure facility in excess of 90 days that was caused, at least in part, by current or past substance use

6.1.3.1.2 Emergency Room Visits:

6.1.3.1.2.1 Three or more substance abuse related emergency room visits in the past 12 months (including intoxication and/or overdose).

6.1.3.1.3 High risk or recent history of criminal justice involvement, e.g., arrest and incarceration in the Department of Corrections due to substance use.

6.1.3.1.3.1 More than 1 arrest or frequent contacts with law enforcement (including active probation or parole) due to substance use, or

6.1.3.1.3.2 Ten or more days of incarceration due to/in the context of substance use.

6.1.3.1.4 Individual is either currently in 1 of the following 4 housing risk categories OR has had 2 such episodes in the past 12 months all due to substance use:

6.1.3.1.4.1 Street–dwelling homeless

6.1.3.1.4.2 Living in homeless shelter
6.1.3.1.4.3 Residing in substandard housing (no operable heat, electric, and/or plumbing or deemed uninhabitable)

6.1.3.1.4.4 At imminent risk of becoming homeless due to an eviction notice or otherwise “kicked out” of someone else’s residence in a specified period of time

6.1.3.1.5 Hospitalizations:

6.1.3.1.5.1 Has resided in an in-patient setting in excess of 30 days in the past 12 months and is clinically assessed to be able to live in a more independent living situation.

6.2 Documentation of admission shall include:

- 6.2.1 Evidence that admission criteria are met.
- 6.2.2 The reasons for admission as stated by both the individual and the team.
- 6.2.3 The signature of the physician/psychiatric prescriber.

6.3 Engagement by the ACT SUD team will begin within two (2) days of referral.

6.4 Admission into the ACT SUD team shall be completed within 30 days from date of referral.

6.5 Any exceptions to engagement or enrollment must be reported to the EEU; all documented engagement attempts shall be provided to DSAMH/EEU upon request.

6.6 DMMA and DSAMH shall require a full review of medical necessity in the event that a determination of medical necessity by the program physician does not appear to be supported by the assessment materials.

6.7 Requests for Discharge from ACT SUD services shall occur when an individual:

- 3.2.16 Has successfully reached individually-established goals (i.e. Abstinence or markedly decreased substance use, progression to Action or Maintenance stages of change, and demonstrates an ability to function in major role areas such as work, social, self-care) for discharge and when the individual and program staff mutually agree to the transition to less intensive services;

3.2.17 Moves outside the geographic area of ACT SUD responsibility. In such cases, the ACT SUD team shall arrange for transfer of substance use service responsibility to an ACT SUD program or another provider wherever the individual is moving. The ACT SUD team shall maintain contact with the individual until this service transfer is complete;

3.2.18 Has received a score equal to or greater than 50, or a Mean Score equal to or greater than 2.8, from the Assertive Community Treatment Transition Readiness Scale which indicates, and when the individual and program staff mutually agrees to the transition from ACT to less intensive services;

3.2.19 Declines or refuses services and requests discharge, despite the team's documented best efforts to utilize appropriate engagement techniques to develop a mutually acceptable person directed recovery plan with the individual;

3.2.19.1 Prior to discharge from ACT SUD services, the EEU shall approve and/or request further information to review the circumstances, the clinical situation, the risk factors, and attempted strategies to engage the individual prior to the discharge of an individual from ACT SUD services.

3.2.20 In addition to the discharge criteria listed above based on mutual agreement between the individual, ACT SUD staff, an individual discharge may also be facilitated due to any one of the following circumstances:

3.2.20.1 Death.

3.2.20.2 Inability to locate the individual despite documented active outreach efforts by the team for a period of ninety (90) continuous days.

3.2.20.3 Incarceration of ninety (90) days or more.

3.2.20.4 Hospitalization or nursing facility care where it has been determined, based on mutual agreement by the hospital or nursing facility treatment team and the ACT SUD team with approval of plan by EEU that the individual will not be appropriate for discharge from the hospital or nursing facility for a prolonged period of time

3.2.21 If the individual is accessible at the time of discharge, the team shall ensure individual participation in all discharge activities, or document all attempts to obtain signature.

3.2.22 The discharge summary shall include:

3.2.22.1 Date of discharge;

Reason for discharge;

Individual's status upon discharge based on the most recent assessment;

- 3.2.22.1.1 DSM V diagnosis;
 - 3.2.22.1.2 Summary of progress toward meeting goals as set forth in the individual's person directed recovery plan, including stage of change for each substance being used;
 - 3.2.22.1.3 Documentation of the team's efforts to engage the individual in services, when relevant to the reason for discharge;
 - 3.2.22.1.4 Aftercare/follow-up plan completed in conjunction with the individual (should include self-help groups, 12-step meetings, and natural supports);
 - 3.2.22.1.5 The individual's contact information (i.e., forwarding address and/or phone number, email address).
- 3.2.22.2 The discharge summary shall be:
- 3.2.22.2.1 Completed within five (5) business days of discharge from the ACT SUD team.
 - 3.2.22.2.2 Signed and dated by:
 - 3.2.22.2.2.1 The individual when the discharged is planned;
 - 3.2.22.2.2.2 The primary care manager;
 - 3.2.22.2.2.3 The physician;
 - 3.2.22.2.2.4 The Team Leader.
- 3.2.23 The ACT SUD Team shall develop and implement client discharge plans, including referral/transfer to appropriate post-discharge services.

9 Service Intensity and Capacity

9.1 Staff-to-Individual Ratio:

9.1.1 Each ACT SUD team shall have the organizational capacity to provide a staff-to-individual ratio of one (1) full-time equivalent (FTE) clinical staff person for every ten (10) individuals served by the team

9.1.1.1 Distinct ACT SUD teams are required.

9.1.2 The maximum number of individuals being served by any one ACT SUD team is one hundred (100).

9.2 Staff Coverage

9.2.1 Each ACT SUD team shall have sufficient numbers of staff to provide treatment, rehabilitation, crisis intervention (focused on substance use) and support services including twenty-four (24) hour/seven (7) days-a-week coverage.

9.3 Frequency of Individual Contact

9.3.1 The ACT SUD team shall provide services based upon medical necessity. This system shall develop a frequency of face-to-face contact schedule that is in line with services that are medically necessary and is ideally mutually agreed upon between the consumer and the provider.

9.3.2 The ACT SUD team shall have the capacity to provide contacts per week that avail sufficient support with individuals: (a) experiencing regular substance use relapse, (b) who have co-occurring, mild/moderate mental health symptoms (with regular evaluation to determine if ACT SUD continues to be an appropriate placement), (c) trying a new medication, (d) experiencing a health problem or serious life event, (e) trying to go back to school or starting a new job, (f) making changes in living situation or employment, and/or (g) having significant ongoing problems in daily living. For people with the most severe needs, these multiple contacts may be as frequent as three to four times per day, seven days per week. All team members shall share responsibility for addressing the needs of all individuals requiring frequent contact as appropriate.

9.3.3 Services provided as part of the person centered individualized treatment plan must be consistent with individual's stage of change.

9.3.4 The following services as deemed necessary by assessment using assessment tools acceptable to DSAMH and prescribed by the individual recovery plan will be provided for ACT SUD:

9.3.4.1 SUD treatment with mental health services as secondary.

9.3.4.1.1 Physician/Psychiatric prescriber: Face-to-face evaluation, minimally at fourteen (14) day intervals for the first sixty (60) days after admission, and then every thirty (30) days thereafter.

9.3.4.1.2 Chemical Dependency Specialist: Face-to-face evaluation minimally every three (3) days for the first thirty (30) days after admission, and then every five days (5) for the next thirty days. If there is medical necessity to continue seeing the client every three days, the provider must do so. At all times after the initial 60 days, the individual must be seen at least once every 7 days.

9.3.4.2 Medication monitoring as follows:

- 9.3.4.2.1 The physician/psychiatric prescriber will explain to the individual in language understandable to the consumer the various options for medication that can be used as part of treatment, their risks (including the danger of combining medication and substances) and benefits, common side effects, and the rationale for each medication proposed to be prescribed.
- 9.3.4.2.2 Informed consent shall be updated, at a minimum, annually.
- 9.3.4.2.3 Rationale for all changes in medication orders shall be documented in the physician's note.
- 9.3.4.2.4 All medication orders in the individual's case record shall specify:
 - 9.3.4.2.4.1 Name of the medication (including brand and generic, if specified);
 - 9.3.4.2.4.2 Dosage;
 - 9.3.4.2.4.3 Route of administration;
 - 9.3.4.2.4.4 Frequency of administration;
 - 9.3.4.2.4.5 Signature of the physician prescribing the medication;
 - 9.3.4.2.4.6 All known drug allergies.
- 9.3.4.2.5 Administration of medication by any method and/or the supervision of individuals in the self-administration of medication must be conducted and documented in conformance with the program's written policies and procedures for medication management.
 - 9.3.4.2.5.1 Programs shall utilize a DSAMH approved Medication Administration Records (MAR) containing the following:
 - 9.3.4.2.5.1.1 Name of all known (Somatic or Psychotropic) prescribed medications (including brand or generic, if specified);
 - 9.3.4.2.5.1.2 Printed Name and Signature of Psychiatric Prescriber
 - 9.3.4.2.5.1.3 Dosage;
 - 9.3.4.2.5.1.4 Route of administration;
 - 9.3.4.2.5.1.5 Frequency of administration;
 - 9.3.4.2.5.1.6 All known drug allergies;
 - 9.3.4.2.5.1.7 Name of the person administering or assisting with the administration of medication.
 - 9.3.4.2.5.1.8 Signature of the person administering or assisting with the administration of medication.
 - 9.3.4.2.5.2 Staff shall monitor and document individual adherence to following the prescribed medication treatment and the medication side effects to include the following:
 - 9.3.4.2.5.2.1 Laboratory studies for all medications which require laboratory monitoring as recommended in the current Physician's Desk Reference;

- 9.3.4.2.5.2.1.1 Laboratory reports shall:
 - 9.3.4.2.5.2.1.1.1 be reviewed and signed by the psychiatric prescriber within two (2) days of receipt.
- 9.3.4.2.5.2.2 Results of all laboratory studies shall be documented in the individual's chart within 30 days.
- 9.3.4.2.5.2.3 For persons receiving anti-psychotic medication:
 - 9.3.4.2.5.2.3.1 , the AIMS (Abnormal Involuntary Movement Scale) shall be performed no less than annually to assess individuals at risk for developing Tardive Dyskinesia.
 - 9.3.4.2.5.2.3.2 Annual screening for metabolic disorders in individuals prescribed atypical antipsychotic medications.
- 9.3.4.2.5.2.4 Education of individuals regarding side effects of prescribed psychotropic medications and strategies for assuming responsibility for self-medication.
- 9.3.4.2.6 Monitoring of vital signs to include temperature, blood pressure, pulse, respiration, and weight at a minimum of once (1 time) per month.
 - 9.3.4.2.6.1 BMI at a minimal frequency of every six (6) months, per American Psychiatric Association guidelines.
- 9.3.4.2.7 Metabolic assessment every (90) days for individuals taking atypical antipsychotic medications (including but limited to assessment for diabetes mellitus and hypertension.)
- 9.3.4.2.8 The program will use an evidence-based, trauma-informed assessment tool approved by DSAMH to assess the need for a trauma-informed treatment approach, and when appropriate, the need for trauma-specific interventions. This shall include an emphasis on trauma within continuing education for staff to build staff competencies in this area.

10 Staff Requirements

10.1 Qualifications

- 10.1.1 Each ACT SUD team shall have among its staff persons with sufficient individual competence, professional qualifications and experience to provide:
 - 10.1.1.1 service coordination;
 - 10.1.1.2 medical nursing assessment;
 - 10.1.1.3 trauma informed interventions;
 - 10.1.1.4 crisis assessment and intervention;
 - 10.1.1.5 recovery and symptom management;
 - 10.1.1.6 individual counseling and psychotherapy;
 - 10.1.1.7 medication prescription, administration, monitoring and documentation;
 - 10.1.1.8 substance abuse counseling and co-occurring counseling;

- 10.1.1.9 Supported housing assistance;
- 10.1.1.10 work-related and education-related services; including benefits counseling
- 10.1.1.11 IADLs;
- 10.1.1.12 social, interpersonal relationship and leisure-time activity services;
- 10.1.1.13 support services or direct assistance to ensure that individuals obtain the basic necessities of daily life;
- 10.1.1.14 education, support, and consultation to individuals' families and other major supports; and
- 10.1.1.15 services that meet the requirements of the ADA/Olmstead and their implications for practice.

10.1.2 The staff should have sufficient representation of, and cultural competence in the local cultural population that the team serves.

11 ACT SUD Team Size and Composition

11.1 The program shall employ eleven (11) FTE interdisciplinary staff persons including administrative positions..

11.2 Behavioral Health Professionals on Staff

11.2.1 Of the ten (10) FTE interdisciplinary clinical staff positions on an ACT team, there must be four (4) FTE behavioral health professionals.

11.2.1.1 Behavioral health professionals are individuals with:

11.2.1.1.1 professional degrees (Masters level and above and/or RN license), in one of the core behavioral health disciplines including but not limited to:

- 11.2.1.1.1.1 Psychiatric medicine;
- 11.2.1.1.1.2 Nursing;
- 11.2.1.1.1.3 Social work
- 11.2.1.1.1.4 Rehabilitation counseling;
- 11.2.1.1.1.5 Psychology;
- 11.2.1.1.1.6 Mental health counseling.
- 11.2.1.1.1.7 Chemical Dependency/Substance Abuse

11.2.1.1.2 clinical training including internships and other supervised practical experiences in a clinical or rehabilitation setting where individuals with SUDs are served;

11.2.1.1.3 clinical work experience with persons with severe SUDs and working toward certification or state issued licensure in a behavioral health discipline as defined in §6.2.1.1.1 of these standards.

11.2.2 Mental health/substance use professionals shall operate under the code of ethics and professional guidelines of their respective professions.

11.2.3 Required among the behavioral health professionals are:

11.2.3.1 One Team Leader

11.2.3.2 One Physician/Psychiatrist

11.2.3.3 One Substance Abuse Counselor/Chemical Dependency Specialist

11.2.3.4 One Registered Nurse

11.2.4 Of the remaining seven FTE, the SUD ACT team must include: (a) a nurse, which can be an LPN; (b) two Peer Recovery Specialists (Recovery Coaches); (c) one Substance Abuse Counselor (with or without a Masters degree); (d) one housing specialist; (e) one employment specialist; and (f) one administrative assistant.

ACT Required Staff

8.4 The chart below shows the required staff:

Position	Requirements
Team leader	1 FTE (Masters degree or higher and Independently Licensed, with two years experience serving people with SUDs)
Physician/Psychiatrist	1 /FTE for 80–100 Individuals
Registered Nurse and second nurse (can be at LPN level)	2 FTE
Peer Recovery Specialists (Recovery Coaches)	2 FTE
Substance Abuse Counselors (at least one with a Masters degree)	2 FTE
Bachelor’s Level	2 FTE Including one Housing Specialist and one Employment Specialist
Program/Administrative Assistant	1FTE

8.5 The following provides a description of and qualifications for required staff on an ACT team:

8.5.1 **Team Leader:** A full-time Masters prepared, CADC licensed team leader who is the clinical and administrative supervisor of the team and who also functions as a practicing clinician on the ACT SUD team. The Team Leader must have two years prior experience serving people with SUDs. The team Leader's behavioral health degree is in nursing, social work, psychiatric rehabilitation, psychology, or related fields. The Team Leader provides direct service to individuals at least six (6) hours per week. This individual must have at least two years of ACT team experience and at least one year post-licensure experience working with SUDs, preferably including those of high severity.

8.5.2 **Physician/Psychiatric Prescriber.**

8.5.2.1 The physician/psychiatric prescriber must be a Board-eligible or Board certified Doctor of Medicine or Doctor of Osteopathy with prescribing privileges in the state of Delaware. This individual must be (a) certified by ASAM or the American Board of Addiction Medicine (ABAM); (b) a physician with an Addiction Psychiatry certification bestowed by the American Board of Psychiatry and Neurology (ABPN) and/or (c) a physician that is knowledgeable about addiction treatment as demonstrated by completion of at least 10 hours of CME/CEU credits each calendar year that focuses on treatment of SUDs, including medication assisted therapy.

8.5.2.1.1

8.5.2.2 The physician/psychiatric prescriber must be allocated at least .50 FTE to the team (there may not be more than two physicians/psychiatric prescribers comprising the 1FTE). The physician/psychiatric prescribers provide clinical/medical support to all ACT SUD individuals; works with the team leader to monitor each individual's clinical status and response to treatment; supervises staff delivery of services; and directs psychopharmacologic and medical services.

8.5.2.2.1 The physician/psychiatric prescriber(s) shall be physically located at the home clinic of the ACT team in order to provide office-based services and services in the community when indicated. It is expected that the physician/psychiatric prescriber(s) will meet clients in the community who are either unable and/or unwilling to come in the office.

8.5.2.2.2 With the prior approval of DSAMH, physician/psychiatric prescribers may be accessed via videoconferencing/tele-psychiatry for a period of up to six months. At DSAMH's

discretion, DSAMH may extend this authorization for an additional six months.

- 8.5.3 **Registered Nurses (RN)/Licensed Practical Nurse (LPN):** All registered/licensed practical nurses shall be licensed in the State of Delaware or participating in the Nurse Licensure Compact (NLC). Two (2) FTE are required at least one of the nurses being an RN. The RN (1) FTE nurse shall be at the bachelor's level or above and have at least one year post-licensure experience working with SUDs.
- 8.5.4 **Substance Abuse Specialists:** Two team members must be substance abuse/chemical dependency specialists with at least one holding a Masters degree (the Team Leader may have a substance abuse certification, however, there must still be two additional designated substance abuse/chemical dependency specialists on the team):
- 8.5.4.1 At least one holding a Masters degree. Independent licensure in the state of Delaware is preferred.
 - 8.5.4.2 Both must have certification by the State of Delaware as either a Certified Alcohol and Drug Counselor (CADC) or Certified Co-occurring Disorder Professional (CCDP);
 - 8.5.4.3 at least three (3) years of supervised work experience in the substance abuse treatment field.
- 8.5.5 **Peer Recovery Specialist (Recovery Coach):** A minimum of two (2) FTE peer specialists are required on an ACT SUD team. Because of his/her life experience with substance abuse services, the peer specialist provides expertise that professional training cannot replicate. Peer specialists are fully integrated team members, operating within their DSAMH approved scope of practice, who provide highly individualized services in the community and promote individual self-determination and decision-making. Peer specialists also provide essential expertise and consultation to the entire team to promote a culture in which each individual's point of view and preferences are recognized, understood, respected and integrated into treatment, rehabilitation, and community self-help activities.
- 8.5.6 **Bachelor's Prepared Staff:** The remaining staff include two (2) FTE Bachelor's level individuals, one who will be an employment specialist specifically trained in the Supported Employment model and the other a housing specialist with a minimum of one (1) year experience in interviewing housing applicants and determining if they're eligible for low-income housing, maintaining and updating tenant information, reviewing and analyzing financial information and computing housing assistant payments.

8.5.6.1 A Bachelor's level staff has a Bachelor's degree in social work or a behavioral science, and work experience with adults with SUDs.

55 Policy and Procedure Requirements:

55.1 The ACT SUD program shall maintain a written Procedure Manual for its staff. A mechanism shall be in place to ensure that the procedures manual is updated periodically as needed but not less frequently than every (2) two years, and that the staff of the program is notified promptly of changes. The manual shall include:

55.1.1 A statement of the program's values and mission (should reference SUD and Co-Occurring Disorders) including the relationship of these factors to achieving the goals of the ADA and other essential rights of people with behavioral health disabilities, included shall be:

55.1.1.1 Policies and procedures that continually assess the program to assure:

55.1.1.2 A trauma informed and responsive environment;

55.1.1.3 An environment that is culturally sensitive to the populations that the programs services including ethnic/cultural/religious minorities and LGBTQ individuals;

55.1.2 Referral policies and procedures that facilitate individual referral;

55.1.3 Detailed procedures for assessment, recovery planning and documentation;

55.1.4 Policies and procedures for medication management in compliance with all applicable rules, regulations and requirements of the Delaware Board of Medical Practice, the Delaware Board of Nursing and the Delaware Board of Pharmacy (if applicable) to include policies and procedures for:

55.1.4.1 Prescribing medication;

55.1.4.2 Storage of medication;

55.1.4.3 Handling of medication;

55.1.4.4 Distribution of medication;

55.1.4.5 Disposing of medication;

55.1.4.6 Recording of medication used by individuals

55.1.4.7 Assistance with medication in accordance with AWSAMH.

55.1.5 Policies and procedures for handling on-call responsibilities and individual emergencies (including those individuals who call at risk for substance

relapse) to include:

- 55.1.5.1 specific program standards for intervention to avert hospitalization, criminal justice system involvement, or other harmful outcomes;
- 55.1.6 Policies and procedures for accessing and documenting the need for outside consultation to further the service goals or clinical needs of consumers;
- 55.1.7 Detailed instructions for application to and communication with entitlement authorities including but not limited to:
 - 55.1.7.1 The Social Security Administration;
 - 55.1.7.2 Social Services (SNAP, WIC, general relief, energy assistance, etc.)
 - 55.1.7.2.1 State Rental Assistance Program (SRAP), HUD/Section 8
 - 55.1.7.3 Medicaid;
 - 55.1.7.4 Medicare;
 - 55.1.7.4.1 Low Income Subsidy (LIS)
 - 55.1.7.4.2 Part D Medicare
 - 55.1.7.5 Prescription Assistance Program (PAP)
 - 55.1.7.6 Rep Payee (when applicable)
- 55.1.8 Policies and procedures for obtaining releases to share Protected Health Information and/or Substance Use information (both consistent with state and federal laws) about individuals with family members or others;
- 55.1.9 Policies and procedures regarding communicating and handling financial resources of the program;
- 55.1.10 Policies and procedures regarding the coordination of financial activities with the individual's representative payee for payment from the Social Security Administration;
- 55.1.11 Policies and procedures for the receipt, consideration and resolution of individual complaints and/or grievances regarding treatment decisions and practices or other program activities.
- 55.1.12 Policies and procedures for reporting instances of death, possible abuse or neglect, and adverse events to DHSS/DSAMH, law enforcement, and other entities in accordance with state and federal regulations and laws;
- 55.1.13 Policies and procedures for assisting consumers in securing legal counsel or other special professional expertise when needed;

55.1.14 Policies and procedures for ensuring that consumers are not subject to unwarranted coercion, including legal coercion (outpatient commitment, guardianship);

55.1.15 Policies and procedures to ensure that consumers are afforded an opportunity to execute Advance Directives or medical or legal documents to ensure that their preferences and considered in the event of a crisis or temporary inability to make informed decisions;

55.1.16 References to other policies, procedures, laws or regulations as may be promulgated or required by the federal government, the State of Delaware, the Department of Health and Social Services and its Divisions.

56 Personnel Management

56.1 The ACT SUD program shall maintain an up-to-date Personnel Policies and Procedures Manual and make it readily available for reference by the program staff. The Manual will include:

56.1.1 Policies and procedures regarding equal employment opportunity and affirmative action to include compliance with:

56.1.1.1 The *Americans with Disabilities Act* including Olmstead (28 C.F.R. § 35.130) and the *Vocational Rehabilitation Act of 1973*, Sections 503 and 504 prohibiting discrimination against the handicapped; Title VII of the *Civil Rights Act of 1964* prohibiting discrimination in employment on the basis of race, color, creed, sex or national origin;

56.1.1.2 Title XIX of Del section 711 prohibiting discrimination on the basis of race, color, creed, sex, sexual orientation and national origin;

56.1.1.3 Age discrimination Act of 1975 prohibiting discrimination based on age;

56.1.1.4 Section 402 of the *Vietnam Era Veterans Readjustment Assistance Act* of 1974 prohibiting discrimination against disabled Vietnam Era veterans.

56.1.2 Policies and procedures for interviews and selection of candidates including:

56.1.2.1 Verification of credentials and references;

56.1.2.2 Criminal background checks including;

56.1.2.2.1 Registration on Adult Abuse and Child Abuse registries;

56.1.2.3 Policies and procedures for employee performance appraisal including;

56.1.2.4 A code of ethics;

56.1.2.5 Conditions and procedures for employee discipline including, termination of employment;

56.1.2.6 Conditions and procedures for employee grievances and appeals;

56.1.2.7 An annual staff development plan which shall include:

56.1.2.7.1 Provisions for orientation of paid staff, student interns and volunteers. Orientation shall include:

56.1.2.7.1.1 Review of these standards;

56.1.2.7.1.2 Review of the program's Procedures and Personnel manuals;

56.1.2.7.1.3 Assistance with Self Administration of Medication (AWSAM) in accordance with *Delaware Nurse Practice Act*, Title 24 Del. Code Ch. 19, 1902 and applicable rules and regulations.

56.1.2.7.1.4 Review of DHSS Policy Memorandum #46;

56.1.2.7.1.5 Review of section 5161 of Title 16 of the Delaware Code;

56.1.2.7.1.6 Review of the *Health Insurance Portability and Accountability Act* of 1996, 45 C.F.R. Parts 160 and 164;

56.1.2.7.1.7 Review of the Substance Abuse Confidentiality regulations codified at 42 C.F.R. Part 2.

56.1.2.7.1.8 Provisions for continuing education of staff;

56.1.2.7.1.9 Provisions for regularly scheduled clinical supervision which teach and enhance the clinical-skills/substance abuse counseling skills of staff including:

56.1.2.7.1.9.1 Weekly team meetings led by the team leader during which assessments, recovery plans and progress toward treatment goals are reviewed and staff receives direction regarding management of SUD treatment issues.

56.1.2.7.1.10 Individual face-to-face sessions between the team leader and staff to review cases, assess performance and give feedback regarding appropriate assessment of client substance use concerns and associated treatment interventions;

56.1.2.8 Maintenance and access to personnel files which shall contain employees' applications, credential (e.g. copy of a current license(s) and/or certification(s)), job descriptions, and performance appraisals, job titles, training, orientation, salary, staff statement of confidentiality.

56.1.2.9 Annual validation of credentials;

56.1.2.10 Notification by personnel to the program when made aware of any

complaints filed against them with the licensing board or other credentialing organization; or upon conviction of any crime above a misdemeanor.

56.1.2.11 Work hours including hours of program operation, shifts and overtime compensation.

56.1.2.12 Agency policies regarding compensation including:

56.1.2.12.1 Salary ranges, salary increases, and payroll procedures;

56.1.2.12.2 Use of personal automobile for program activities;

56.1.2.12.3 Reimbursement for work related expenses;

56.1.2.12.4 Description of employee benefits.

57 Hours of Operation and Staff Coverage

57.1 The ACT SUD team shall be available to provide treatment, rehabilitation, crisis intervention, and support activities with 24 hours per day, seven days per week availability. This means:

57.1.1 Every team should have posted standard business hours of operation, to include:

57.1.2 Regularly operating and scheduling a minimum of one (1) ACT SUD staff to work each weekend day and every holiday, to meet the individual needs of consumers' served.

57.1.3 Regularly scheduling ACT SUD staff on-call duty to provide crisis services outside of regularly scheduled service provision operation which shall include responding in-person to a crisis or emergency situation, with special attention to individuals at risk or in substance use relapse.

57.1.4 Substance Abuse Counselors/Peer Recovery Specialists (Recovery Coaches) who are experienced in the program and skilled in crisis-intervention procedures shall be on call to provide back-up to on-call staff and be available to respond to individuals by phone or by in person visit to individuals who need face-to-face contact.

57.1.5 Regularly arranging for and providing physician/psychiatric prescriber backup during all hours the prescriber is not regularly scheduled to work. If availability of the ACT SUD physician/psychiatric prescriber during all hours is not feasible, alternative backup that meets the physician/psychiatric prescriber criteria must be arranged.

57.1.6 Through the use of the *Daily Organizational Staff Meeting* and the *Daily Staff Assignment Schedule*, adjusting schedules and providing staff to carry out the needed service activities in the evenings or on weekend days for individuals for whom this is necessary;

57.1.7 The ACT SUD teams shall provide individuals served and, as applicable and with consent of the individual, and significant others with information about how to access staff in the event of an emergency including:

57.1.7.1 Rotating coverage 24/7, to be available for face-to-face contacts, and shall arrange with the crisis intervention service that the on-call team

member should be notified when a face-to-face contact may be needed.

58 Place of Treatment

58.1 Seventy-Five (75%) percent of ACT SUD service contacts shall be provided in non-office based or non-facility-based settings. The program will collect data regarding the percentage of individual contacts in the community as part of its Quality Improvement (QI) Plan and report this data during fidelity reviews.

59 Staff Communication and Planning

59.1 **The ACT SUD team** shall conduct *daily organizational staff meetings* at regularly scheduled times per a schedule established by the team leader. These meetings may be conducted in accordance with the following procedures:

59.1.1 The ACT SUD team shall maintain a written or computerized *daily log*. The daily log provides:

59.1.1.1 A roster of the individuals served in the program, and for each individual:

59.1.1.1.1 a brief description of any treatment or service contacts that have occurred during the last twenty-four (24) hours

59.1.1.1.2 a concise, behavioral description of the individual's status that day, including specific reference to abstinence and/or harm reduction status and/or amount of substance(s) ingested that day. Team should also have regular discussions with physician/ psychiatric prescriber around detox/hospitalization needs for clients based on these discussions.

59.1.2 The *daily organizational staff meeting* shall commence with a review of the *daily log* to update staff on the treatment contacts that occurred the day before and to provide a systematic means for the team to assess the day-to-day progress and status of all individuals.

59.1.3 The ACT SUD team, under the direction of the team leader, shall maintain a weekly individual contact schedule for each individual. The weekly individual contact schedule is a written schedule of all treatment and service contacts

both face-to-face and by telephone that staff must carry out to fulfill the goals and objectives in the individual's person directed recovery plan.

59.1.3.1 The team will maintain a central file of all weekly individual schedules.

59.1.3.2 All weekly individual schedules shall be made available to DSAMH upon request.

59.1.4 The ACT SUD team, under the direction of the team leader, shall develop a written or computerized *daily staff assignment schedule* from the central file of all weekly individual schedules. The daily staff assignment schedule is a written timetable for all the individual treatment and service contacts and all indirect individual work (e.g., medical record review, meeting with collaterals, in-patient hospital attendance, job development, recovery planning, and documentation) to be done on a given day, to be divided and shared by the staff working on that day.

59.1.4.1 The daily staff assignment schedule shall be made available to DSAMH upon request.

59.1.5 The daily organizational staff meeting will include a review by the Team Leader of all the work to be done that day as recorded on the daily staff assignment schedule. During the meeting, the Team Leader will assign and supervise staff to carry out the treatment and service activities scheduled to occur that day, will prepare for in-patient treatment coordination, review previous treatment team attendance record, and the Team Leader will be responsible for assuring that all tasks are completed.

59.1.6 During the daily organizational staff meeting, the ACT SUD team shall also work with the individual to revise person directed recovery plans as needed, anticipate emergency and crisis situations, and adjust service contacts on the daily staff assignment schedule per the revised recovery plans.

59.2 **The ACT SUD team** shall conduct person directed recovery planning meetings under the supervision of the team leader and the psychiatric prescriber. These recovery planning meetings shall:

59.2.1 Convene at regularly scheduled times per a written or computerized schedule maintained by the team leader.

59.2.2 Occur and be scheduled when the individual and the majority of the team members can attend, including the physician/psychiatric prescriber, team leader, substance abuse/chemical dependency specialist and available

members of the team. These meetings may also include the individual's family and/or natural supports, other professional supports, if available and at the request of the individual and require individual staff members to be present and systematically review and integrate individual information into a holistic analysis and work with the individual and team to establish priorities for services.

59.2.3 Occur with sufficient frequency and duration to make it possible for all staff to be familiar with each individual, his/her goals and aspirations and for each individual to become familiar with all team staff;

59.2.3.1 to participate in the ongoing assessment and reformulation of strengths, resources, and service needs/issues;

59.2.3.2 to problem-solve treatment strategies and rehabilitation options related to SUDs;

59.2.3.3 to participate with the individual and the team in the development and the revision of the strengths based, person directed recovery plan;

59.2.3.4 to fully understand the recovery plan rationale in order to carry out the plan with each individual; and

59.2.3.5 updated, when significant clinical changes occur, and/or at the request of the individual, and/or significant change in substance use or mental status, and/or at the achievement of all goals found in the recovery plan, and at a minimum of every one-hundred-eighty (180) days.

59.2.3.5.1 Signed and dated by the individual, psychiatric prescriber, team leader, primary care manager(s), substance abuse/chemical dependency specialist and other natural, peer, or professional supports when necessary.

59.2.3.6 to establish outcome oriented goals in order to achieve a recovery-based discharge from the program.

60 Staff Supervision

60.1 Each ACT SUD team shall develop a written policy for clinical supervision of all staff providing SUD treatment, rehabilitation, and support services. The team leader and psychiatric prescriber shall assume responsibility for supervising and directing all staff activities. This supervision and direction shall consist of:

- 60.1.1 Participation with team members in daily organizational staff meetings and regularly scheduled recovery planning meetings to provide staff direction regarding individual cases;
- 60.1.2 Monthly, formal supervisory meetings with individual staff members to review their work with individuals, assess clinical performance, and give feedback. This will include building staff competencies in SUD assessment and treatment, stages of change assessment and intervention tailoring, trauma informed care and other areas deemed important by the supervisor.
- 60.1.3 Regular reviews, critiques, and feedback of staff documentation (i.e., progress notes, assessments, recovery plans, recovery plan reviews); and
- 60.1.4 Written documentation of all clinical supervision provided to team staff shall be completed and maintained by the Team Leader.
 - 60.1.4.1 Written documentation shall be signed and dated by the team leader at the time of the supervision session.

61 Evaluation & Assessment

- 61.1 **Initial Psychiatric Evaluation:** Admission to the program shall commence with the initial psychiatric evaluation completed by the psychiatric prescriber, followed by an initial crisis plan and initial recovery plan within twenty-four (24) hours of the individual's admission to ACT SUD by the team leader or by designated team members.
- 61.2 **Comprehensive Assessment:** A complete Comprehensive Assessment shall be completed by one of the team's behavioral health professionals. The behavioral health professionals will consult with other team members in their area of expertise, whenever necessary. This assessment shall be initiated and completed in collaboration with the individual within thirty (30) days after an individual's admission according to the following requirements and findings presented at the first recovery planning meeting:
 - 61.2.1 *Psychiatric History, Mental Status, and Diagnosis:* The physician/psychiatric prescriber is responsible for completing the psychiatric history, mental status, and diagnostic assessment (which includes the most up-to-date DSM V diagnosis) for substance use and mental health (as applicable).
 - 61.2.2 *Substance Use History:* Included in this area is a comprehensive assessment of substance use, including substance type, amount, tolerance, and withdrawal/detox history. This section shall also include (1) the person's stage of readiness for change; (2) any barriers that may discourage the client from engaging in treatment; (3) a matching of clients to the least intensive and restrictive treatment setting; and (4) a highlighting of individualized interventions that meet the client's treatment needs.

61.2.3 *Education and Employment:* Included in this area is the assessment of community inclusion and integration as it relates to education and employment.

61.2.3.1 Vocational and educational functioning

61.2.4 *Social Development and Functioning:* Included in this area is the assessment of the individual's social and interpersonal inclusion and integration within the community.

61.2.4.1 Current social functioning;

61.2.4.2 Legal history to include legal issues.

61.2.5 *Instrumental Activities of Daily Living (IADL):* Included in this area is an assessment of the individual's abilities and barriers in meeting day to day activities for independence. This assessment includes but is not limited to:

61.2.5.1.1 Budgeting and money management

61.2.5.1.1.1 Financial status, including eligibility/access to entitlements;

61.2.5.1.2 Shopping for groceries and other personal needs

61.2.5.1.3 Housekeeping

61.2.5.1.4 Conditions of Living

61.2.5.1.4.1 Adequate housing with housing assessment made available to DSAMH upon request

61.2.5.1.5 Personal care (bathing, grooming etc...)

61.2.5.1.6 Laundry

61.2.5.1.7 Other activities required for independent living.

61.2.6 *Family Structure and Relationships:* Included in this area of the assessment is the extent to which family, friends and other supports are currently involved in the individual's care, and plans to include the family, friends and other supports in treatment moving forward, including:

61.2.7 *Strengths and Resources:* Members of the individual's ACT SUD team are responsible for engaging the individual in his or her own recovery planning in order to identify individual strengths and resources as well as those within the individual's family, natural support network, service system, and community at large. These may include:

61.2.7.1 Personal skills, and talents;

61.2.7.2 personal virtues and traits;

- 61.2.7.3 interpersonal skills;
- 61.2.7.4 interpersonal and environmental resources;
- 61.2.7.5 cultural knowledge;
- 61.2.7.6 knowledge gained from struggling with adversity;
- 61.2.7.7 knowledge gained from occupational and parental roles;
- 61.2.7.8 spirituality and faith;
- 61.2.7.9 hopes, and dreams; and
- 61.2.7.10 goals, and aspirations.
- 61.2.7.11 Support groups, including 12-step meetings, sponsorship, etc.

61.2.8 While the assessment process shall involve the input of most, if not all, team members, the individual's psychiatric prescriber and/or team leader will assure completion of the written narrative.

61.2.9 The Comprehensive Assessment shall be signed, and dated by:

- 61.2.9.1 the primary care manager completing the evaluation;
- 61.2.9.2 the psychiatric prescriber; and
- 61.2.9.3 the team leader.

61.3 An up-dated, annual assessment shall be completed on each annual certification date for each individual. In addition to the assessment requirements in §15.0 of these standards, the annual assessment shall:

61.3.1 Assess the individuals readiness for transition with guidance provided by the approved DSAMH ACT Transition Readiness Assessment and the ACT team to less intensive services;

61.3.2 Provide a thorough documentation of the person's progress across the stages of recovery from SUDs.

61.3.3 Review the progress achieved in accordance to the outcome-oriented recovery plan and reviewing what is required in order to continue in a recovery-based trajectory to a less intensive level of care; Ensure a gradual, individualized process which ensures continuity of care and preservation of consumer preferences when transitioning to less intensive services;

DRAFT 1 (December 23, 2014) – Subject to review

Appendix 5: Community Re-Integration Support Program (CRISP) Certification

Please refer to DSAMH's website for the most updated version: <http://dhss.delaware.gov/dsamh/>

Overview

This section of the manual contains the standards by which the Division of Substance Abuse and Mental Health (DSAMH) certifies Community Re-Integration Support Program (CRISP) providers. Certification is required for provider enrollment with the Delaware Department of Health and Social Services (DHSS), Division of Medicaid and Medical Assistance (DMMA) Program for Medicaid reimbursement through the rehabilitative services option of Title XIX of the Social Security Amendments.

Through an Inter-Divisional Agreement DSAMH has been delegated authority for administration of certain provisions of the Medicaid program pertaining to behavioral health services covered under the rehabilitative services option. These provisions include the following: 1) certification of programs for provider enrollment, 2) rate setting, and 3) performance improvement. Delegated performance improvement functions include program monitoring, utilization control, training and technical assistance.

DMMA requires providers of behavioral health rehabilitative services to be certified by DSAMH as a condition of enrollment before they may provide services to eligible Medicaid recipients. Behavioral Health rehabilitative services are medically related treatment, rehabilitative and support services for persons with disabilities caused by mental illness and substance use disorders. CRISP is a category of community support programs that the Division certifies as one of the criteria for Medicaid provider enrollment. Services are provided for as long as is medically necessary to assist service recipients to manage the symptoms of their behavioral health disorder, minimize the effects of their disability on their capacity for independent living and prevent or eliminate periods of inpatient treatment, and minimize the need for using emergency services.

Introduction to CRISP

Based upon a successful Baltimore, Maryland program from the 1990s, the Community Re-Integration Support Program (CRISP) is a program that directly implements aspects of the Department of Justice Settlement Agreement. Using a case rate financing model, CRISP contractors are required to directly provide or arrange for all services needed by the enrolled individual. These services are fully recovery-oriented and based on the unique and individualized needs of each person enrolled. In addition, the case-rate contract and funding supports supplemental services such that the provider will have flexibility to implement a specialized plan for each client to meet their individual needs over time. The CRISP model is designed to achieve an outcome-oriented, effective, community-based system of care for adults with serious mental illness. Under CRISP, providers will have significant authority and flexibility for designing client services.

The CRISP model is based on a risk-based capitated model that put the rewards and risks to outcomes solely on the CRISP team. As such, the funding for the team must be completely separate from the finances of other parts of the provider's organization. The financial risks of the model are to be borne by the team and the incentives earned are to accrue to the team for team use only. As such, it is also expected that the management of the team and the clinical and financial decisions of the team be the responsibility of the team itself, separate and distinct from other parts of the provider's organization.

At its inception, there were approximately 100 individuals residing at the Delaware Psychiatric Center and identified by DSAMH as requiring a non-institutional level of care. Additionally, these individuals wanted to transition out of the DPC. To support this transition to the community, they were enrolled in CRISP. With the

implementation of the DSAMH PROMISE program on January 1, 2015, these individuals have been determined to meet the PROMISE eligibility criteria. These individuals will be enrolled in the PROMISE program and will receive all services necessary for community living from the PROMISE program through CRISP. CRISP providers are required to adhere to the standards established for the PROMISE program. Additionally, in 2015, certified CRISP providers will be required to enroll as PROMISE program providers and employ/subcontract with practitioners or subcontractors who meet PROMISE practitioner requirements.

Upon the initiation of CRISP, approximately half of the enrolled individuals were eligible for Medicaid; the other half was uninsured. Up until the initiation of the PROMISE program, Medicaid did not provide any reimbursement for the Medicaid-eligible CRISP individuals. Beginning on January 1, 2015, for those CRISP members that are Medicaid-eligible, *the CRISP program PMPM will no longer fund any services covered under the acute care MCO benefit.* Medicaid will reimburse CRISP providers for services delivered to Medicaid beneficiaries that are Medicaid-reimbursable. The PROMISE program will ensure that Medicaid payments are backed out of any state-only capitated payments made for the CRISP program, thus ensuring no duplicate payment between CRISP/PROMISE. Service components that are not provided to, or directed exclusively toward the treatment of the Medicaid beneficiary are not eligible for Medicaid reimbursement.

Certification for CRISP Provider Participation

1. Authority- Through an Inter-Divisional Agreement, the Division of Health and Social Services (DHSS) Delaware Medical Assistance Program (DMAP) has delegated the function of certifying organizations for enrollment as providers of optional behavioral health community support services to the Division of Substance Abuse and Mental Health (Division or DSAMH).
2. Certification Criteria- Eligibility for certification as a CRISP provider is determined according to the following criteria:
 - 2.1. Organizations eligible to apply for provider certification and enrollment with DHSS for Medicaid reimbursement of Community Support Services include:
 - 2.1.1. Private non-profit human service corporations;
 - 2.1.2. Private for-profit human service corporations;
 - 2.2. The Division bases its certification of programs and enrollment recommendations to DHSS upon the organization's compliance with state-level organizational, administrative and program standards that are consistent with federal Medicaid requirements related to Rehabilitative Services.
 - 2.3. The Division establishes and applies minimum compliance guidelines to be used in making certification determinations.
 - 2.4. The Division uses a certification survey to measure compliance with organizational, administrative and program standards. The determination with regard to a program's certification is based on:
 - 2.4.1. Statements made and certified by authorized representatives of the organization;
 - 2.4.2. Documents provided to the Division by the organization;
 - 2.4.3. Documented compliance with organizational, program and administrative standards;
 - 2.4.4. On-site observations by surveyor.

Definitions

See ACT/ICM certification sections above

CRISP Case Rate and Scope of Services

1. The CRISP provider shall directly offer or contract for the provision of all services listed below, whether "covered" or "uncovered" which might be required to meet the needs of CRISP beneficiaries at any time.
2. Services listed as "covered" or "included within case rate" must be paid for out of the case rate or billed to Medicaid as listed below.

3. **Covered Services** included in DSAMH Case Rate for uninsured clients or billed to Medicaid for Medicaid clients and deducted from the DSAMH Case Rate include:
 - 3.1. Mental health outpatient treatment, including other licensed practitioners³
 - 3.2. Substance use disorder treatment⁴
 - 3.3. Crisis beds⁵
 - 3.4. Hospitalizations and emergency room visits⁶
 - 3.5. 24 hour accessibility and response, including the following PROMISE services:⁷
 - 3.5.1. Benefits counseling
 - 3.5.2. Community psychiatric support and treatment
 - 3.5.3. Community transition services
 - 3.5.4. Financial coaching Plus
 - 3.5.5. Independent activities of daily living/chore
 - 3.5.6. Nursing
 - 3.5.7. Peer supports
 - 3.5.8. Personal care
 - 3.5.9. Psychosocial rehabilitation
 - 3.5.10. Respite
 - 3.6. Non-Medical and Medical Transportation⁸
 - 3.7. Supported employment, including the following PROMISE services:⁹
 - 3.7.1. Individual employment support services
 - 3.7.2. Short term small group supported employment
 - 3.8. Rent¹⁰
 - 3.9. Community-based residential alternatives in a supported apartment¹¹
 - 3.9.1. The CRISP program must provide any and all services and supports necessary for an individual to live in safe, affordable, and integrated housing. Group home living is not consistent with this definition.
 - 3.9.2. Integrated housing, in all forms, must meet the following criteria (from the Bazelon Center for Mental Health Law):
 - 3.9.2.1. Housing units are scattered-site or scattered in a single building with no more than 20% of the total building population having mental health or substance use (co-occurring conditions) as best as can be determined.
 - 3.9.2.2. A wide array of flexible, individualized services and supports is available to ensure successful tenancy and support participants' recovery and engagement in community life.
 - 3.9.2.3. Services are delinked from housing. Participants are not required to use services or supports to receive or keep their housing.
 - 3.9.2.4. Participants have direct input in choosing their housing unit, any roommates (if they choose not to live alone) and which services and supports (if any) they want to use.
 - 3.9.2.5. Participants have the same rights and responsibilities as all other tenants. They should have their own personally signed lease agreement. They should be given any accommodations necessary to help ensure successful tenancy.

³If Medicaid client, billed to Medicaid via HP as a State Plan service; see State Plan Certification and Rate Manual

⁴If Medicaid client, billed to Medicaid via HP as a State Plan service; see State Plan Certification and Rate Manual

⁵If Medicaid client, rent is paid out of the case rate and community based residential alternatives are billed to Medicaid via HP as a PROMISE service

⁶If Medicaid client, the MCO will directly reimburse the hospital and the amount will be deducted from State-only case rates

⁷If Medicaid client, billed to Medicaid via HP as a PROMISE service

⁸If Medicaid client, billed to Logisticare

⁹If Medicaid client, billed to Medicaid via HP as a PROMISE service

¹⁰If Medicaid client, rent is paid out of the DSAMH case rate

¹¹If Medicaid client, billed to Medicaid via HP as a PROMISE service

4. Services not included in Case Rate (**Uncovered**), but CRISP referral is required:
 - 4.1. Linkage to somatic care: annual physical and specialized follow-up, including, but not limited to:
 - 4.1.1. Physical rehabilitation
 - 4.1.2. Dental care
 - 4.1.3. Vision care
 - 4.1.4. Long term care in a general hospital for serious medical needs such as surgery for cancer or organ transplant or for other life-threatening, physical problems.
 - 4.2. For those services that are listed as “uncovered” or “outside of case rate”, the Medicaid MCO will reimburse for these services for any Medicaid client up to the limits specified by Medicaid.
 - 4.3. For uninsured clients, the CRISP provider is allowed to work with the client to obtain these services through a separate reimbursement mechanism or out of client funds.
 - 4.3.1. If other funds are used, there will be no deduction adjustment from the case rate.
 - 4.3.2. Additionally, the Provider is allowed to pay for any services, including the uncovered services, approved by the provider’s treatment team for the purpose of facilitating recovery in the community.
5. Psychotropic medication
 - 5.1. All psychotropic medications for Medicaid clients will be provided by the MCO.
 - 5.2. For uninsured clients, the medications will be provided by the DSAMH pharmacy.
 - 5.2.1. The costs associated with these will be paid for by DSAMH and are not included in the Case Rate.
 - 5.2.2. However, the provider is expected, and will be monitored by DSAMH, to take full advantage of available mechanisms for defraying these costs (e.g. Prescription Assistance Plans, appropriate use and management of Medicare Part D plans, collection of prescription co-pays, sample medications, use of generics when clinically appropriate, etc.) as well as all DSAMH pharmacy reporting requirements.
 - 5.2.3. The DSAMH pharmacy will not provide non-psychiatric “somatic” medications.

CRISP Admission and Discharge Criteria

1. Admission
 - 1.1. Individuals who either resided at the DPC or previously resided at DPC and were identified by DSAMH as requiring a non-institutional level of care were assigned to CRISP at inception of the program.
 - 1.2. Additional assignments to CRISP are the sole responsibility of the DSAMH Eligibility and Enrollment Unit (EEU).
2. Discharge
 - 2.1. DSAMH Care Managers shall work with each CRISP provider to provide for successful transition of individuals out of CRISP to a less restrictive level of care when appropriate.
 - 2.2. Requests for Discharge from CRISP shall occur when an individual:
 - 2.2.1. Has successfully reached individually-established goals and demonstrates an ability to function in major role areas such as work, social, self-care) for discharge and when the individual and program staff mutually agree to the transition to less intensive services;
 - 2.2.2. Moves outside the geographic area of CRISP responsibility. In such cases, the CRISP provider shall arrange for transfer of responsibility to another CRISP provider or to another provider where the individual is moving. The CRISP provider shall maintain contact with the individual until this service transfer is complete;
 - 2.2.3. Has received a score equal to or greater than 50, or a Mean Score equal to or greater than 2.8, from the Assertive Community Treatment Transition Readiness Scale, and the individual and program staff mutually agrees to the transition from CRISP to less intensive services;

- 2.2.4. Declines or refuses services and requests discharge, despite the team's documented best efforts to utilize appropriate engagement techniques to develop a mutually acceptable person directed recovery plan with the individual;
- 2.3. Prior to discharge from CRISP, the Care Manager shall request further information to review the circumstances, the clinical situation, the risk factors, and attempted strategies to engage the individual prior to the discharge of an individual from CRISP.
- 2.4. In addition to the discharge criteria listed above based on mutual agreement between the individual and the CRISP provider, the Care manager may also be facilitate an individual discharge due to any one of the following circumstances:
 - 2.4.1. Death.
 - 2.4.2. Inability to locate the individual despite documented active outreach efforts by the team for a period of ninety (90) continuous days.
 - 2.4.3. Incarceration of ninety (90) days or more.
 - 2.4.4. Hospitalization or nursing facility care where it has been determined, based on mutual agreement by the hospital or nursing facility treatment team and the CRISP provider with approval of plan by Care Manager/EEU that the individual will not be appropriate for discharge from the hospital or nursing facility for a prolonged period of time
- 2.5. If the individual is accessible at the time of discharge from CRISP, the team shall ensure individual participation in all discharge activities, or document all attempts to obtain signature.
- 2.6. The discharge summary shall include:
 - 2.6.1. Date of discharge;
 - 2.6.2. Reason for discharge;
 - 2.6.3. Individual's status upon discharge based on the most recent assessment;
 - 2.6.4. DSM V diagnosis;
 - 2.6.5. Summary of progress toward meeting goals as set forth in the individual's person directed recovery plan, including stage of change for each substance being used;
 - 2.6.6. Documentation of the team's efforts to engage the individual in services, when relevant to the reason for discharge;
 - 2.6.7. Aftercare/follow-up plan completed in conjunction with the individual (should include self-help groups, 12-step meetings, and natural supports) and PROMISE Care Manager;
 - 2.6.8. The individual's contact information (i.e., forwarding address and/or phone number, email address).
 - 2.6.9. The discharge summary shall be:
 - 2.6.9.1. Completed within five (5) business days of discharge from the CRISP program.
 - 2.6.9.2. Signed and dated by:
 - 2.6.9.2.1. The individual when the discharged is planned; and
 - 2.6.9.2.2. The CRISP provider.
 - 2.6.10. The CRISP provider shall develop and implement client discharge plans, including referral/transfer to appropriate post-discharge services in conjunction with the PROMISE Care Manager.

PROMISE Care Manager Interaction with CRISP

1. Annually, the individual's PROMISE Care Manager will assess each CRISP client and work with the CRISP client to develop a PROMISE person-centered Recovery Plan.
 - 1.1. All services that meet assessed needs and can be anticipated (e.g., not emergency room visit or unplanned hospitalizations) must be outlined in the PROMISE Recovery Plan.
 - 1.2. The person-centered planning process is intended to identify the strengths, capacities, and preferences of the enrollee as well as to identify an enrollee's long term care needs and the resources available to meet these needs, and to provide access to additional care options as specified by the contract.
 - 1.3. The person-centered plan is developed by the participant with the assistance of the team and those individuals, such as family, friends and professionals the participant chooses to include.
 - 1.4. The individual will have informed choices about treatment and service decisions.
 - 1.5. The plan includes the services and supports that the participant needs to live in the community.
2. Person-centered planning includes aggressive outreach for a PROMISE member who is agreeing to some services but not all services the team thinks the member needs. For example, the member is active in PROMISE and engaged in treatment but continues to have noted risks that suggest other services may also be needed. This is a situation in which the PROMISE Care Manager/CRISP provider can outreach with the member, engage in motivational interviewing, etc. to try to get the member to agree to the additional services.
3. If there is imminent, significant danger to health, safety, or welfare, a risk assessment must be completed, including a review of less restrictive alternatives tried and found not to be successful.
 - 3.1. After the risk assessment, the team must look at the need to provide positive behavioral supports.
 - 3.2. If those supports are not adequate to address the risk, then limiting choice may be considered and addressed in the Recovery Plan.
 - 3.3. If choices are limited or restricted, the CRISP provider and PROMISE care manager must have the positive behavior support plan reviewed and approved by EEU, and obtain the informed consent from the beneficiary or their legal representative or guardian.
 - 3.4. Risk Assessments are required whenever the Care Manager, Caregivers or CRISP providers believe that the health and welfare of an individual is in jeopardy. The risk assessment does not allow the State to substitute for outpatient commitment or legal action. The beneficiary or guardian must approve.

Service Capacity

1. Each Crisp provider will have a census cap of 50 individuals, including individuals discharged from the DPC and community clients assigned to the program by the EEU.
2. Any change to this cap must be mutually negotiated by both DSAMH and the individual CRISP provider.

Staff Requirements, Hours of Operation, and Staff Schedules

1. Each CRISP program shall be supervised by a licensed practitioner of the healing arts who is acting within the scope of his/her professional licensed and applicable state law.
 - 1.1. A licensed practitioner of the healing arts who is acting within the scope of his/her professional license and applicable state law (e.g., an LBHP, physician, NP or APN) shall be available for consultation and able to recommend treatment twenty-four (24) hours per day, seven days a week to the CRISP program.
2. The CRISP provider staffing requirements must meet, at a minimum the requirements for the PROMISE services under the PROMISE certification standards in this manual, including the ability to provide:
 - 2.1. Service coordination;
 - 2.2. Medical nursing assessment;
 - 2.3. Trauma informed interventions;
 - 2.4. Crisis assessment and intervention;
 - 2.5. Recovery and symptom management;
 - 2.6. Individual counseling and psychotherapy;
 - 2.7. Medication prescription, administration, monitoring and documentation;

- 2.8. Substance abuse counseling and co-occurring counseling;
 - 2.9. Supported housing assistance;
 - 2.10. Work-related and education-related services;
 - 2.11. IADLs;
 - 2.12. Social, interpersonal relationship and leisure-time activity services;
 - 2.13. Support services or direct assistance to ensure that individuals obtain the basic necessities of daily life;
 - 2.14. Education, support, and consultation to individuals' families and other major supports; and
 - 2.15. Services that meet the requirements of the ADA/Olmstead and their implications for practice.
3. All employed and subcontracted CRISP providers must meet the DHHS/Medicaid qualifications for the provided service as described in this manual or in other relevant Medicaid provider manuals (e.g., Medicaid qualified hospital or outpatient mental health or SUD provider). In no circumstances, may the CRISP provider utilize a practitioner not meeting basic minimum DHHS/Medicaid standards to provide a service.
 4. With the exception of hospitals, CRISP providers must employ or directly contract with practitioners able to provide the covered service included in DSAMH Case Rate, including:
 - 4.1. Mental health outpatient treatment, including other licensed practitioners
 - 4.2. Substance use disorder treatment
 - 4.3. Crisis beds
 - 4.4. 24 hour accessibility and response
 - 4.5. Non-Medical and Medical Transportation
 - 4.6. Supported employment
 - 4.7. Community-based residential alternatives in a supported apartment
 3. When the MCO is reimbursing the CRISP provider or subcontractor, the CRISP provider must either be a subcontractor within the MCO's network, or utilize a subcontractor within the MCO's network.
 4. Each CRISP provider shall have sufficient numbers of staff to provide treatment, rehabilitation, crisis intervention and support services, including twenty-four (24) hour/seven (7) days-a-week coverage.
 - 4.1. CRISP Providers must be capable of receiving crisis calls from enrolled clients 24/7.
 - 4.2. CRISP programs shall have adequate qualified staff to respond within 1 hour of referral.
 5. The CRISP provider shall provide services based upon medical necessity and shall develop a frequency of face-to-face contact schedule that is individualized, in line with services that are medically necessary, and is ideally mutually agreed upon between the consumer and the provider.
 - 5.1. The CRISP provider shall have the capacity to provide contacts per week that avail sufficient support with individuals experiencing severe symptoms, trying a new medication, experiencing a health problem or serious life event, trying to go back to school or starting a new job, making changes in living situation or employment, or having significant ongoing problems in daily living. These multiple contacts may be as frequent as three to four times per day, seven days per week. All team members shall share responsibility for addressing the needs of all individuals requiring frequent contact as appropriate.
 6. The following services, as deemed necessary by assessment using assessment tools acceptable to DSAMH and prescribed by the individual recovery plan, will be provided:
 - 6.1. Psychiatric and substance abuse treatment;
 - 6.1.1. Psychiatric prescriber: Face-to-face evaluation, minimally at fourteen (14) day intervals for the first sixty (60) days after admission to CRISP, and then every thirty (30) days thereafter.
 - 6.1.2. Chemical Dependency Specialist: Face-to-face evaluation minimally every fourteen (14) days for the first sixty (60) days after admission to CRISP, and then as prescribed in the Individualized Treatment Plan that details on-going SUD evaluation schedule that is appropriate to the substance abuse.
 - 6.2. Medication monitoring as follows:

- 6.2.1. The psychiatric prescriber will explain to the individual in language understandable to the consumer the various options for medication that can be used as part of treatment, their risks and benefits, common side effects, and the rationale for each medication proposed to be prescribed.
- 6.2.2. Informed consent shall be updated, at a minimum, annually.
- 6.2.3. Rationale for all changes in medication orders shall be documented in the physician's note.
- 6.2.4. All medication orders in the individual's case record shall specify:
 - 6.2.4.1. Name of the medication (including brand and generic, if specified);
 - 6.2.4.2. Dosage;
 - 6.2.4.3. Route of administration;
 - 6.2.4.4. Frequency of administration;
 - 6.2.4.5. Signature of the physician prescribing the medication;
 - 6.2.4.6. All known drug allergies.
- 6.2.5. Administration of medication by any method and/or the supervision of individuals in the self-administration of medication must be conducted and documented in conformance with the program's written policies and procedures for medication management.
- 6.2.6. Programs shall utilize a DSAMH approved Medication Administration Records (MAR) shall contain the following:
 - 6.2.6.1. Name of all known (Somatic or Psychotropic) prescribed medications (including brand or generic, if specified);
 - 6.2.6.2. Printed Name and Signature of Psychiatric Prescriber
 - 6.2.6.3. Dosage;
 - 6.2.6.4. Route of administration;
 - 6.2.6.5. Frequency of administration;
 - 6.2.6.6. All known drug allergies;
 - 6.2.6.7. Name of the person administering or assisting with the administration of medication.
 - 6.2.6.8. Signature of the person administering or assisting with the administration of medication.
- 6.2.7. Staff shall monitor and document individual adherence to following the prescribed medication treatment and the medication side effects to include the following:
 - 6.2.7.1. Laboratory studies for all medications which require laboratory monitoring as recommended in the current Physician's Desk Reference;
 - 6.2.7.1.1. Laboratory reports shall be reviewed and signed by the psychiatric prescriber within two (2) days of receipt.
 - 6.2.7.1.2. Results of all laboratory studies shall be documented in the individual's chart within 30 days.
 - 6.2.7.2. For persons receiving anti-psychotic medication:
 - 6.2.7.2.1. The AIMS (Abnormal Involuntary Movement Scale) shall be performed no less than annually to assess individuals at risk for developing Tardive Dyskinesia.
 - 6.2.7.2.2. Annual screening for metabolic disorders in individuals prescribed atypical antipsychotic medications.
 - 6.2.7.3. Education of individuals regarding side effects of prescribed psychotropic medications and strategies for assuming responsibility for self-medication.
 - 6.2.7.4. Monitoring of vital signs to include temperature, blood pressure, pulse, respiration, and weight at a minimum of once (1 time) per month.
 - 6.2.7.5. BMI at a minimal frequency of every six (6) months, per American Psychiatric Association guidelines.
 - 6.2.7.6. Metabolic assessment every (90) days for individuals taking atypical antipsychotic medications (including but limited to assessment for diabetes mellitus and hypertension.)

- 6.3. The program will use an evidence-based, trauma-informed assessment tool approved by DSAMH to assess the need for a trauma-informed treatment approach, and when appropriate, the need for trauma-specific interventions.

Staff Supervision and Training

1. Supervision
 - 1.1. Each CRISP provider shall develop a written policy for clinical supervision of all staff providing treatment, rehabilitation, and support services. The team leader and psychiatric prescriber shall assume responsibility for supervising and directing all staff activities. This supervision and direction shall consist of:
 - 1.1.1. Participation with team members in daily organizational staff meetings and regularly scheduled recovery planning meetings to provide staff direction regarding individual cases;
 - 1.1.2. Monthly, formal supervisory meetings with individual staff members to review their work with individuals, assess clinical performance, and give feedback;
 - 1.1.3. Regular reviews, critiques, and feedback of staff documentation (i.e., progress notes, assessments, recovery plans, recovery plan reviews); and
 - 1.1.4. Written documentation of all clinical supervision provided to team staff shall be completed and maintained by the Team Leader.
 - 1.1.4.1. Written documentation shall be signed and dated by the team leader at the time of the supervision session.
 - 1.2. All unlicensed staff must receive regularly scheduled clinical supervision from a person meeting the qualifications of a LBHP, APN, NP, or physician with experience regarding this specialized mental health service.
2. Orientation and Training
 - 2.1. CRISP providers are required to send all required staff to DSAMH-sponsored trainings on understanding and implementing the CRISP model.
 - 2.2. CRISP providers shall have an orientation curriculum to ensure all staff is familiar with program policies and procedures. Orientation shall include, at a minimum:
 - 2.2.1. Review of these standards;
 - 2.2.2. Review of the program's Procedures and Personnel manuals;
 - 2.2.3. Assistance with Self Administration of Medication (AWSAM) in accordance with *Delaware Nurse Practice Act*, Title 24 Del. Code Ch. 19, 1902 and applicable rules and regulations;
 - 2.2.4. Review of DHSS Policy Memorandum #46;
 - 2.2.5. Review of section 5161 of Title 16 of the Delaware Code;
 - 2.2.6. Review of the *Health Insurance Portability and Accountability Act* of 1996, 45 C.F.R. Parts 160 and 164;
 - 2.2.7. Review of the Substance Abuse Confidentiality regulations codified at 42 C.F.R. Part 2.
 - 2.2.8. Provisions for continuing education of staff;
 - 2.2.9. Provisions for regularly scheduled clinical supervision which teach and enhance the clinical-skills of staff
 - 2.2.10. The health and safety of staff;
 - 2.2.11. The reporting of suspected child abuse or neglect in compliance with 16 Del.C. §§902 through 904, 910, 1132, 2224, 5194 and 42 CFR § 2.12(c)(6), including non-retaliation policies when personnel report abuse and neglect;
 - 2.2.12. Client's rights;
 - 2.2.13. Culturally competent practices; and
 - 2.2.14. The obligation to report violations of law and applicable codes of ethics to the appropriate certification and/or licensure boards.
 - 2.3. CRISP providers shall have an on-going training curriculum.
 - 2.3.1. Clinical supervisors and all staff providing counseling services to clients shall complete at least twenty (20) hours of continuing education training annually.

CRISP Personnel Management

1. The CRISP provider shall maintain an up-to-date Personnel Policies and Procedures Manual and make it readily available for reference by the provider's staff. The Manual will include:

- 1.1. Policies and procedures regarding equal employment opportunity and affirmative action to include compliance with:
 - 1.1.1. The *Americans with Disabilities Act* including Olmstead (28 C.F.R. § 35.130) and the *Vocational Rehabilitation Act of 1973*, Sections 503 and 504 prohibiting discrimination against the handicapped; Title VII of the *Civil Rights Act of 1964* prohibiting discrimination in employment on the basis of race, color, creed, sex or national origin;
 - 1.1.2. Title XIX of Del section 711 prohibiting discrimination on the basis of race, color, creed, sex, sexual orientation and national origin;
 - 1.1.3. Age discrimination Act of 1975 prohibiting discrimination based on age;
 - 1.1.4. Section 402 of the *Vietnam Era Veterans Readjustment Assistance Act* of 1974 prohibiting discrimination against disabled Vietnam Era veterans.
- 1.2. Policies and procedures for interviews and selection of candidates including:
 - 1.2.1. Verification of credentials and references;
 - 1.2.2. Criminal background checks including:
 - 1.2.2.1. Registration on Adult Abuse and Child Abuse registries;
- 1.3. Policies and procedures for employee performance appraisal including:
 - 1.3.1. A code of ethics;
 - 1.3.2. Conditions and procedures for employee discipline including, termination of employment;
 - 1.3.3. Conditions and procedures for employee grievances and appeals;
 - 1.3.4. An annual staff development plan
 - 1.3.5. Maintenance and access to personnel files which shall contain employees' applications, credential (e.g. copy of a current license(s) and/or certification(s)), job descriptions, and performance appraisals, job titles, training, orientation, salary, staff statement of confidentiality.
 - 1.3.6. Annual validation of credentials;
 - 1.3.7. Notification by personnel to the program when made aware of any complaints filed against them with the licensing board or other credentialing organization; or upon conviction of any crime above a misdemeanor.
 - 1.3.8. Work hours including hours of program operation, shifts and overtime compensation.
 - 1.3.9. Agency policies regarding compensation including:
 - 1.3.9.1. Salary ranges, salary increases, and payroll procedures;
 - 1.3.9.2. Use of personal automobile for program activities;
 - 1.3.9.3. Reimbursement for work related expenses;
 - 1.3.9.4. Description of employee benefits.

Policy and Procedure Requirements

1. The CRISP provider shall maintain a written Policy and Procedure Manual for its staff consistent with the requirements in these standards to address operations and services. A mechanism shall be in place to ensure that the manual is updated periodically as needed but not less frequently than every (2) two years, and that staff is notified promptly of changes. The manual shall include:
 - 1.1. A statement of the program's values and mission, including the relationship of these factors to achieving the goals of the ADA and other essential rights of people with behavioral health disabilities. Included shall be policies and procedures that continually assess the program to assure:
 - 1.1.1. A trauma informed and responsive environment;
 - 1.1.2. An environment that is culturally sensitive to the populations that the programs services including ethnic/cultural/religious minorities and LGBTQ individuals;
 - 1.1.3. Geographic area to be served;
 - 1.1.4. Types of services offered;
 - 1.1.5. Referral policies and procedures that facilitate individual referral;
 - 1.1.6. Detailed procedures for assessment, recovery planning and documentation;
 - 1.1.7. Completion and utilization of all forms used by the program;
 - 1.1.8. Policies and procedures for medication management in compliance with all applicable rules, regulations and requirements of the Delaware Board of Medical Practice, the Delaware Board of Nursing and the Delaware Board of Pharmacy (if applicable) to include policies and procedures for:
 - 1.1.8.1. Prescribing medication;
 - 1.1.8.2. Storage of medication;
 - 1.1.8.3. Handling of medication;
 - 1.1.8.4. Distribution of medication;
 - 1.1.8.5. Disposing of medication;
 - 1.1.8.6. Recording of medication used by individuals; and
 - 1.1.8.7. Assistance with medication in accordance with self-administration of medications.
 - 1.2. Policies and procedures for handling on-call responsibilities and individual emergencies to include:
 - 1.2.1. Specific program standards for intervention to avert hospitalization, criminal justice system involvement, or other harmful outcomes;
 - 1.3. Policies and procedures for accessing and documenting the need for outside consultation to further the service goals or clinical needs of consumers;
 - 1.4. Detailed instructions for application to and communication with entitlement authorities including but not limited to:
 - 1.4.1. The Social Security Administration;
 - 1.4.2. Social Services (SNAP, WIC, general relief, energy assistance, etc.)
 - 1.4.3. State Rental Assistance Program (SRAP), HUD/Section 8;
 - 1.4.4. Medicaid;
 - 1.4.5. Medicare;
 - 1.4.5.1. Low Income Subsidy (LIS)
 - 1.4.5.2. Part D Medicare
 - 1.4.6. Prescription Assistance Program (PAP)
 - 1.4.7. Rep Payee (when applicable)
 - 1.5. Policies and procedures for obtaining releases to share Protected Health Information and/or Substance Use information (both consistent with state and federal laws) about individuals with family members or others;
 - 1.6. Policies and procedures regarding communicating and handling financial resources of the program;
 - 1.7. Policies and procedures regarding the coordination of financial activities with the individual's representative payee for payment from the Social Security Administration;
 - 1.8. Policies and procedures for the receipt, consideration and resolution of individual complaints and/or grievances regarding treatment decisions and practices or other program activities;
 - 1.9. Policies and procedures for reporting instances of death, possible abuse or neglect, and adverse events to DHSS/DSAMH, law enforcement, and other entities in accordance with state and federal regulations and laws;

- 1.10. Policies and procedures for assisting consumers in securing legal counsel or other special professional expertise when needed;
- 1.11. Policies and procedures for ensuring that consumers are not subject to unwarranted coercion, including legal coercion (outpatient commitment, guardianship);
- 1.12. Policies and procedures to ensure that consumers are afforded an opportunity to execute Advance Directives or medical or legal documents to ensure that their preferences and considered in the event of a crisis or temporary inability to make informed decisions; and
- 1.13. References to other policies, procedures, laws or regulations as may be promulgated or required by the federal government, the State of Delaware, the Department of Health and Social Services and its Divisions.

Client Rights and Grievance Procedures

- 1. CRISP providers shall be knowledgeable about and familiar with individual rights including the clients' rights to:
 - 1.1. Confidentiality
 - 1.2. Informed consent to medication and treatment
 - 1.3. Treatment with respect and dignity
 - 1.4. Prompt, adequate, and appropriate treatment
 - 1.5. Treatment which is under the least restrictive conditions and which promotes individuals' meaningful community integration and opportunities to live like ordinary Delawareans;
 - 1.6. Nondiscrimination;
 - 1.7. Control of own money;
 - 1.8. Voice or file grievances or complaints.
- 2. CRISP providers shall be knowledgeable about and familiar with the mechanisms to implement and enforce individual rights. These include:
 - 2.1. Grievance or complaint procedures under:
 - 2.1.1. Medicaid;
 - 2.1.2. DSAMH;
 - 2.1.3. *Americans with Disabilities Act*.
 - 2.1.4. Delaware Human Rights Commission and U.S. Department of Justice (Human Rights).
 - 2.1.5. U.S. Department of Housing and Urban Development (HUD-housing discrimination.)
 - 2.1.6. PROMISE Care Manager** (see Manual)
- 3. CRISP providers shall be prepared to assist individuals in filing grievances with the appropriate organizations and shall:
 - 3.1. Have a grievance policy and procedure posted in a conspicuous and prominent area that includes:
 - 3.1.1. the names and phone numbers of individuals who can receive grievances both at the agency and with other organizations in §30.2 of these standards;
 - 3.1.2. A standardized process for accepting and investigating grievances;
 - 3.2. Maintain documentation of the investigation and resolution of all grievances and;
 - 3.3. Provide for its availability to DSAMH upon request.
- 4. CRISP providers should ensure that individuals receive from all staff members' effective, understandable and respectful care that is provided in a manner compatible with their cultural identity, gender, gender expression, sexual orientation, age, faith beliefs, health beliefs and practices.
- 5. CRISP providers will also ensure that individuals receive services in their chosen language when their primary language is not English. Teams will make arrangements for interpreter services as required by federal law.

CRISP Quality Assurance

- 1. CRISP providers shall have a written quality assurance plan.
 - 1.1. The plan shall be reviewed and revised annually.
 - 1.2. The quality assurance plan shall provide for the review of:
 - 1.2.1. Clinical services to include:
 - 1.2.1.1. The provision of culturally competent services including:
 - 1.2.1.1.1. An annual self-assessment that focuses on the needs of enrolled

- members;
 - 1.2.1.1.2. Professional services;
 - 1.2.1.1.3. Administrative services;
 - 1.2.1.1.4. Infection Control; and
 - 1.2.1.1.5. Environment of Care.
- 1.3. The results of the quality assurance review shall document:
- 1.3.1. The problem(s) identified;
 - 1.3.2. The recommendations made;
 - 1.3.3. The action(s) taken;
 - 1.3.4. The individual(s) responsible for implementation of actions; and
 - 1.3.5. Any follow-up.
- 1.4. CRISP providers shall develop and implement performance indicators and assess outcome measures.
- 1.4.1. CRISP providers shall provide a mechanism to collect opinions from clients, personnel and other stakeholders regarding the quality of service provided. Information shall be submitted to the appropriate committee for quality assurance review.
 - 1.4.2. CRISP providers shall promote positive outcomes that reflect the promotion of individual dignity, hope and recovery. CRISP providers shall demonstrate an increase in the following positive outcomes:
 - 1.4.2.1. Housing acquisition and retention;
 - 1.4.2.2. Participation in work-related skill training or educational programs;
 - 1.4.2.3. Employment or participation in volunteer work;
 - 1.4.2.4. Stable primary care including:
 - 1.4.2.4.1. Linkages to stable primary care provider of somatic care, dental care, and vision care;
 - 1.4.2.4.2. Consistency in care (e.g., annual or more frequent check-ups, when indicated);
 - 1.4.2.5. Meeting the individual's needs as defined in the Recovery Plan.
 - 1.4.3. CRISP providers shall demonstrate a decrease in the following negative outcomes that reflect poor community integration, a lack of appropriate supports and services and a set of circumstances that undermine recovery:
 - 1.4.3.1. Non-Somatic Emergency Department Visits;
 - 1.4.3.2. Psychiatric Inpatient Stays;
 - 1.4.3.3. Homelessness;
 - 1.4.3.4. Arrest and Incarceration.
 - 1.4.4. Outcomes will be measured through quarterly submission of the Consumer Reporting Form (CRF), monthly reports of the key indicators listed below, random file reviews, and client interviews based upon positive and negative outcomes.
 - 1.4.4.1. Monthly reports will be submitted to the DSAMH MIS Unit by the 10th of every month.
 - 1.4.4.2. Monthly report measures include:
 - 1.4.4.2.1. Total active caseload
 - 1.4.4.2.2. Consumers hospitalized in psychiatric hospitals and length of stay by client and in aggregate
 - 1.4.4.2.3. Consumers who have visited a hospital emergency department by client and in aggregate
 - 1.4.4.2.4. Consumers arrested, by client and in aggregate
 - 1.4.4.2.5. Consumers put on probation or sent to prison, by client and in aggregate
 - 1.4.4.2.6. Consumers who had any days of homelessness by client and in aggregate
 - 1.4.4.2.7. The number of assigned individuals who have left the DPC and the number of days elapsed from assignment to date of discharge.

Clinical Records

1. Individual Records

- 1.1. There shall be a treatment record for each individual that includes sufficient documentation of assessments, recovery plans and treatment to justify Medicaid participation and to permit a clinician not familiar with the individual to evaluate the course of treatment.

2. There shall be a designated individual records manager who shall be responsible for the maintenance and security of individual records.
3. The record-keeping format and system for purging shall provide for consistency, and facilitate information retrieval.
4. Individual treatment records shall be kept confidential and safe-guarded in a manner consistent with the requirements of *the Health Insurance Portability and Accountability Act* of 1996, 45 C.F.R. Parts 160 and 164, and 42 C.F.R Part 2 governing the confidentiality of alcohol and drug patient records (if applicable).
5. The individual treatment record shall be maintained by the organization a minimum of seven (7) years after the discharge of the individual.
6. The active individual record shall contain the following:
 - 6.1. A minimum of the program's last twelve (12) months treatment records for the individual; (Note: when individual records are kept in multiple charts, twelve (12) months of records shall be readily available on site.)
 - 6.2. An up-to-date face sheet:
 - 6.2.1. Date of Admission to CRISP
 - 6.2.2. Guardian and Contact Information
 - 6.2.3. Emergency Contacts and Information
 - 6.2.4. Allergies
 - 6.2.5. Diagnoses
 - 6.2.6. Family/Natural Supports
 - 6.2.6.1. Contact Information
 - 6.2.7. Treating Psychiatrist and Contact Information
 - 6.2.8. Primary Care Physician and Contact Information
 - 6.2.9. Existence of Advanced Directive and/or Psychiatric Advanced Directive
 - 6.2.10. Individual's Address and Phone Number
 - 6.2.11. Photo of the Individual
 - 6.2.12. Date of Birth
 - 6.2.13. MCI Number
 - 6.2.14. Insurance
 - 6.2.15. Race, Ethnicity, Gender
 - 6.3. Consent to treatment signed by the individual;
 - 6.4. Consent to any occasion of release of information;
 - 6.5. Documentation that the individual has been informed of his/her rights and the consumer's level of understanding of these rights;
 - 6.6. Documentation that the individual has been provided with information regarding the process by which grievances can be addressed;
 - 6.7. Reports from all examinations, tests and clinical consults;
 - 6.8. Hospital discharge summaries;
 - 6.9. Comprehensive medical psychosocial evaluation;
 - 6.10. Comprehensive recovery plan development, review of recovery plan, and updates to recovery plan;
 - 6.11. Crisis intervention plan and updates;
 - 6.12. The consumer's Advance Directive or other documentation of measures to be taken in the event of incapacity
 - 6.13. Summary of monthly individual activity;
 - 6.14. Progress notes;
 - 6.15. Documentation of case review with clinical supervisor;
 - 6.16. Medication records;
 - 6.17. Discharge documentation.

Appendix 5: PROMISE Services Rate Development

This section describes the methodology and assumptions used in developing the fee for service rates for PROMISE services. The State contracted with Mercer Government Human Services Consulting (Mercer), part of Mercer Health & Benefits LLC, to establish fees for these services.

Methodology

The fee schedule methodology consisted of a multi-pronged approach. The first step involved a check to determine if fee schedule rates existed in a current State Medicaid program for services that were comparable to the PROMISE services. If this was the case, then the existing Medicaid fee schedule rate for that comparable service was used. This held true for the following services:

- Nursing services (RN and LPN) — Fee schedule rates existed on the Division of Medicaid and Medical Assistance (DMMA) fee schedule for comparable Private Duty Nursing (PDN) Registered Nurse (RN) and Licensed Practical Nurse (LPN) services.
- Peer Supports — Fee schedule rate existed for the comparable Substance Use Disorder (SUD) Peer service.
- Personal Care, Instrumental Activities of Daily Living (IADL)/Chore, and Respite In-home — Fee schedule rate existed for the comparable Personal Care service under the PATHWAYS program; final rate was converted to a 15-minute unit instead of hourly basis.
- Benefits Counseling, Financial Coaching, and Small-group Supported Employment — Fee schedule rates existed under the PATHWAYS program for the comparable Benefits Counseling, Financial Coaching, and Small-group Supported Employment services, respectively.
- Non-Medical Transportation – see fee-for-service fee schedule from Logisticare.

Where State Medicaid fee schedule rates for comparable services were not already in existence, the fees were developed using a market-based pricing methodology. This approach was used for Psychosocial Rehabilitation, Community Psychiatric Support and Treatment, Individual Employment Support Services (IESS), Residential, and Care Management services. Under this approach, assumptions were established for key cost components based on the service description to calculate the modeled fee ranges. The key steps in the process are highlighted below:

1. Review the service definition and identify key cost components.
2. Gather Delaware wage data to inform salary assumptions.
3. Conduct additional research to inform key assumptions.
4. Work with the State to finalize cost component assumptions.

Each of the steps is described in more detail in the subsequent paragraphs.

Step 1 — Review the Service Definition and Identify Key Cost Components

To develop the modeled fee ranges, the service definitions were reviewed for each service to understand the key requirements of the services, including provider qualifications, licensing requirements, staffing requirements, and other general information related to delivery of each service.

Based on this review, the key cost components were identified to account for costs that were reasonable, necessary, and related to the delivery of the service.

The major cost components considered for each service were:

- Direct Care Costs: Salary expenses for the required staffing (i.e., the different positions and time requirements) at prevailing Delaware wages, adjusted to include consideration for Employee-Related Expenses (ERE) and productivity.
- Indirect Costs: Supervisory expenses and other program-related costs.
- Administrative costs.

Step 2 — Gather Delaware Wage Data to Inform Salary Assumptions

Based on the service definitions and State clinical practice reviews, appropriate staffing levels and positions for each service were determined. Compensation data was compiled from the Bureau of Labor Statistics for Psychosocial Rehabilitation, Community Psychiatric Support and Treatment, IESS, and Residential services. Since Care Management is currently provided by State Employees, wages for this service were compiled from the State’s Human Resources Management website. The data was representative of wages paid in the State of Delaware and was used to develop an annual wage range for each staffing position, as outlined below.

PROMISE Service	Staff Position	Annual Salary Range FY 2014/2015
Psychosocial Rehabilitation	Direct Care Worker	\$35,000–\$49,000
	Supervisor	\$65,000–\$77,000
Community Psychiatric Support and Treatment	Direct Care Worker	\$48,000–\$66,000
	Supervisor	\$65,000–\$77,000
Individual Employment Support Services	Direct Care Worker	\$35,000–\$49,000
	Supervisor	\$65,000–\$77,000
Residential — Group Homes	Certified Nursing Assistant	\$25,000–\$32,000
	Associate Clinician	\$35,000–\$49,000
	Nurse	\$64,000–\$84,000
	Psychiatrist	\$168,000–\$247,000
	Residence Manager	\$48,000–\$66,000
Residential — Supervised Apartments	Direct Care Worker	\$24,000–\$35,000
	Residence Manager	\$48,000–\$66,000
Care Management	Direct Care Worker	\$38,000–\$47,000
	Supervisor	\$54,000–\$68,000

Step 3 — Conduct Additional Research to Inform Key Assumptions

This section discusses the research findings and assumptions for ERE and program-related cost components.

Employee Related Expenditures (ERE)

In addition to wages, the following ERE components were considered for both the direct care and indirect care staff:

- Health Insurance (medical, dental, and vision).
- Unemployment Taxes (Federal and State).
- Worker’s Compensation.

- Federal Insurance Contribution Act Tax (FICA).
- Contributions for Other Benefits (e.g., short-term disability, long-term disability, retirement).

The amounts included in the fees represent the employer's share of the costs for these items. For Psychosocial Rehabilitation, Community Psychiatric Support and Treatment, and IESS, approximately 20%–30% of the total wage amount was built in for the ERE cost component. This assumption was based on market data benchmarks. For Residential services, approximately 25%–35% of the total wage amount was built in for the ERE cost component. This was based on a review of market data, as well as historical residential provider invoices. Since Care Management is currently provided by State Employees, ERE expenses for this service were compiled from the State's Human Resources Management website. Approximately 50%–60% of the total wage amount was built into the Care Management fee for the ERE cost component.

Other Program-related Costs

In addition to ERE, other program-related costs were considered including costs for training, accreditation, staff travel, supplies, occupancy, and administrative expenses. Based on the nature of the services, considerations differed for Residential services, so they are described separately in subsequent paragraphs.

Psychosocial Rehabilitation, Community Psychiatric Support and Treatment, Care Management, and IESS

Training Costs

Consideration was made for expenses related to standard training requirements outlined in the service descriptions. This was done consistently for Psychosocial Rehabilitation, Community Psychiatric Support and Treatment, Care Management, and IESS. Since IESS providers must meet certain fidelity requirements set forth by the Individual Placement and Support (IPS) model in order to render this service, additional costs were reflected in the IESS fees to account for the costs that would be incurred to obtain this accreditation.

Staff Travel

Consideration was included for staff travel expenses. The annual mileage for each service was estimated by taking an assumed number of miles traveled per day (based on discussions with the State) and multiplying by the total billable days worked each year. The resulting annual mileage was assumed to be paid at the Internal Revenue Service standard mileage rate.

Service-related Supplies

Consideration was included for the cost of service-related materials or equipment that the provider would be required to have in order to deliver the service.

Occupancy

Costs associated with general occupancy expenses, such as office space used for the delivery of the service, were also considered in the fees. An occupancy cost was included for all services that are rendered in an office setting and not directly provided in the community.

Administration

Costs associated with general administrative expenses such as management, equipment and supplies, recruitment, information technology, human resources, billing, finance and accounting, legal, and other indirect costs necessary for program operations were also considered. The

assumption was based on discussions with the State and the Center for Medicare and Medicaid Services (CMS) expectations regarding acceptable levels for this cost component.

Residential Services (Group Home and Supervised Apartments)

Training, Staff Travel, and Supplies

Consideration was made for expenses related to standard training requirements outlined in the service descriptions. The fees also included consideration for staff travel expenses and service-related materials or equipment that the provider would be required to have in order to deliver the service. Historical residential provider invoices were reviewed to understand the amount that providers historically spent on these items, and these values were compared to market benchmarks for reasonability. Note that expenditures related to room and board were not included in the fee development process.

Administration

Costs associated with general administrative expenses such as management, equipment and supplies, recruitment, information technology, human resources, billing, finance and accounting, legal, and other indirect costs necessary for program operations were also considered. The assumption was based on a review of historical residential provider invoices and discussions with the State.

Step 4 — Work with the State to Finalize Key Cost Component Assumptions *Psychosocial Rehabilitation, Community Psychiatric Support and Treatment, Care Management, and IESS*

Non-billable Time

For Psychosocial Rehabilitation, Community Psychiatric Support and Treatment, Care Management, and IESS, adjustments to account for non-billable staff time were also considered. Non-billable staff time includes time for training, paid time off (PTO), and a portion of each workday that is spent on usual and required non-billable activities. Consideration for this non-billable time was included in the fee through a productivity adjustment. The staffing cost (i.e., cost for direct care and indirect care staff) was adjusted by a factor that accounted for the total billable time relative to the total staff time.

Absentee Factor

An absentee factor was used to include consideration for the percentage of time that appointments are missed. Although missed appointments reduce the units of service that are delivered, the provider still needs to pay their direct care staff for their hours on the job. Please note that an absentee factor was not included for Care Management services.

Residential Services (Group Home and Supervised Apartments)

Vacancy Factor

To include consideration for days when the individual is temporarily not in the residence (e.g., due to medical or therapeutic leave), a vacancy factor was included. This assumption was based on historical residential group home and supervised apartment vacancy rates and discussions with the State.

Fee Schedule Summary

Please see the service description section for the final fees selected by the State.

Limitations and Caveats

In preparing the fee ranges, Mercer considered publicly available market information, provider invoice data, and guidance from the State. We reviewed the data and information for internal consistency and reasonableness, but have not audited them. If the data or information is incomplete or inaccurate, the values may need to be revised accordingly. The following limitations apply to the development of the fee ranges:

- Fee schedule assumptions were based upon the PROMISE service descriptions that were approved effective December 19, 2014. When the service descriptions were not specific regarding a particular cost component, the applicable assumptions were developed in conjunction with the State.
- To the extent changes or clarifications are made to the service descriptions, fees may be impacted and need to be updated accordingly.
- Fee schedule assumptions were developed based upon information available as of December 2014. Should additional information become available regarding the cost of providing these services, the fees may need to be updated accordingly.

Fees developed by Mercer are projections of future contingent events. Actual provider costs may differ from these projections. Mercer has developed these fees on behalf of the State to support the delivery of PROMISE services. Use of these fees for any purpose beyond that stated may not be appropriate.

Potential PROMISE fee schedule service providers are advised that the use of these fees may not be appropriate for their particular circumstance, and Mercer disclaims any responsibility for the use of these fees by providers for any purpose. Mercer recommends that any organization considering contracting with the State should analyze its own projected expenses and revenue needs for comparison to the fees offered by the State before deciding whether to contract with the State.

This methodology document assumes the reader is familiar with the PROMISE program and projection techniques. It is intended for the State and should not be relied upon by third parties. Other readers should seek advice of qualified professionals to understand the technical nature of these results. This document should only be reviewed in its entirety.

DELAWARE INTENSIVE CASE MANAGEMENT (ICM) AND ASSERTIVE COMMUNITY TREATMENT (ACT) BILLING GUIDANCE AND RATE DEVELOPMENT

ICM Billing Guidance

ICM per diems may only be billed on days when the ICM team has performed a face-to-face service with the client or a family member. Only one per diem per category of practitioner type on each team may be billed per client per day. All other contacts, meetings, travel time, etc., are considered indirect costs and are accounted for in the build-up of the per diem rate. ICM 15 minute units may only be billed when the ICM practitioner has performed a medically necessary face-to-face service with the client or a family member for that time. Small ICM teams serve, on average, 100 or fewer clients. Large ICM teams serve, on average, 101–200 clients.

- For an ICM team per diem to be generated, a 15 minute or longer face-to-face contact that meets all requirements outlined below must occur. A 15 minute contact is defined as lasting at least 8 minutes. Group contacts alone are not permitted as a face-to-face contact for generating an ICM per diem rate.
- ICM practitioners using a 15 minute unit rate may only bill for a 15 minute unit if at least eight minutes of service is provided.
- Group ICM contacts are not reimbursable.
- Practitioners may not bill for services included in the ICM per diem or 15 minute units and also bill for that service outside of the per diem/15 minute rate for consumers enrolled in ICM.
- All services require prior authorizations.
- ICM Rate Level: A team that does not have an ACT provisional, basic, moderately-high, or high level fidelity rating (see definitions below) can only bill at the ICM rate. ICM teams will bill using the 15 minute rates. The ICM per diem rate is reserved for ACT teams not meeting fidelity standards.

ICM Rate Summary (Established Teams) — 15 Minute Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$25.66	\$25.37	H0036 HO
Bachelors Therapist	15 minute	\$21.12	\$20.84	H0036 HN
Peer/High School	15 minute	\$21.69	\$21.40	H0036 HM
Doctor/Psychiatrist	15 minute	\$48.73	\$48.57	H0036 AM
Advanced Practice Registered Nurse (APRN)	15 minute	\$25.73	\$25.57	H0036 HP
Nurse	15 minute	\$15.18	\$15.01	H0036 TD

ICM Rate Summary (New Teams — First Year Rate) — 15 Minute Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$29.84	\$29.56	H0036 HO
Bachelors Therapist	15 minute	\$24.44	\$24.16	H0036 HN
Peer/High School	15 minute	\$25.12	\$24.85	H0036 HM
Doctor/Psychiatrist	15 minute	\$59.41	\$59.26	H0036 AM
APRN	15 minute	\$31.27	\$31.12	H0036 HP
Nurse	15 minute	\$18.35	\$18.18	H0036 TD

If billing using per diems, practitioners on the ICM teams are subject to the following billing limits per category per month per individual, not to exceed a total of six per diems per individual in total from any combination of practitioners. *Note: Medically necessary care under this model should be delivered even if beyond the minimum number of units permitted to be billed under this model:*

- Category 1: Physicians and APRNs may not bill more than one per diem in total for an individual in a monthly total.
- Category 2: Any combination of psychologist, team leader, licensed clinical social worker (LCSW), licensed professional counselor (LPC), licensed marriage and family therapist (LMFT), licensed associated counselor (LAC), behavioral health other, registered nurse (RN), master's level, and licensed practical nurse (LPN) may not bill more than one per diem for an individual in a monthly total.

- Category 3: All other practitioners on the ICM teams may bill up to five per diems for an individual in a monthly total, and no more than three in a clinic setting.

Note: Category 1, 2, and 3 practitioners may each bill on the same day, but no more than one Category 3 practitioner type may bill a per diem on the same day. IESS provided by an ICM team requires prior authorization and is billed only when Supported Employment goals and activities are specifically outlined on the beneficiary's Recovery Plan. The team may bill up to one extra BA unit (7th per diem) for the team vocational specialist per month when vocational activities were conducted with the team consistent with the TMACT fidelity model. Documentation must be maintained regarding the vocational activities performed and the goals/activities completed for each individual in the beneficiary's medical record.

ICM Rate Summary (Established Teams) — Per Diem Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$122.56	\$89.89	H0037 HO
Bachelors Therapist	Per Diem	\$100.89	\$73.84	H0037 HN
Peer/High School	Per Diem	\$103.59	\$75.85	H0037 HM
Doctor/Psychiatrist	Per Diem	\$232.74	\$172.10	H0037 AM
APRN	Per Diem	\$122.91	\$90.61	H0037 HP
Nurse	Per Diem	\$72.51	\$53.18	H0037 TD

ICM Rate Summary (New Teams — First Year Rate) — Per Diem Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$134.77	\$98.97	H0037 HO
Bachelors Therapist	Per Diem	\$110.35	\$80.89	H0037 HN
Peer/High School	Per Diem	\$113.46	\$83.18	H0037 HM
Doctor/Psychiatrist	Per Diem	\$268.32	\$198.39	H0037 AM
Advanced Practice Registered Nurse (APRN)	Per Diem	\$141.24	\$104.18	H0037 HP
Nurse	Per Diem	\$82.87	\$60.87	H0037 TD

Licensed direct care staff must provide services within the scope of practice for their license under state law.

The following activities may not be billed or considered the activity for which the ICM per diem or 15 minute unit is billed and will be recouped if found in an audit:

- Contacts that are not medically necessary.
- Time spent doing, attending, or participating in recreational activities.
- Services provided to teach academic subjects or as a substitute for educational personnel such as, but not limited to, a teacher, teacher's aide, or an academic tutor.
- Habilitative services for the adult to acquire, retain, and improve the self-help, socialization, and adaptive skills necessary to reside successfully in community settings.
- Child Care services or services provided as a substitute for the parent or other individuals responsible for providing care and supervision.
- Respite care.

- Transportation for the individual or family. Services provided in the car are considered Transportation.
- Services provided to individuals under age 18.
- Covered services that have not been rendered.
- Services provided before the department or its designee (including the prepaid inpatient health plan) has approved authorization.
- Services rendered that are not in accordance with an approved authorization.
- Services not identified on the adult's authorized treatment plan.
- Services provided without prior authorization by the department or its designee.
- Services not in compliance with the contract or the ICM provider certification service manual.
- Services provided to children, spouse, parents, or siblings of the eligible adult under treatment or others in the eligible adult's life to address problems not directly related to the eligible adult's issues and not listed on the eligible adult's treatment plan.
- Services provided that are not within the provider's scope of practice.
- Any art, movement, dance, or drama therapies.
- Anything not included in the approved ICM service description.
- Changes made to ICM that do not follow the requirements outlined in the provider contract and provider certification service manual.
- Vocational training, employment of an individual, employment assessments, and ongoing support to maintain employment. ICM may pay for the medical services that enable an individual to function in the workplace, including ICM services such as a Psychiatrist's or Psychologist's treatment, Rehabilitation planning, Therapy, and Counseling that enables an individual to function in the workplace. Note: once the PROMISE program is implemented, qualified Bachelors-level practitioners enrolled as Employment Specialists under PROMISE may bill for one Bachelor's level per diem rate per month of Supported Employment, if Supported Employment is separately listed on the individuals Recovery Plan as a covered PROMISE service.

ACT Billing Guidance

ACT per diems may only be billed on days when the ACT team has performed a face-to-face service with the client or a family member. Only one per diem per category of practitioner type on each team may be billed per client per day. All other contacts, meetings, travel time, etc., are considered indirect costs and are accounted for in the build-up of the per diem rate. Small ACT teams serve, on average, 70 or fewer clients. Large ACT teams serve, on average, 71–100 clients.

- For an ACT team per diem to be generated, a 15 minute or longer face-to-face contact that meets all requirements outlined below must occur. A 15 minute contact is defined as lasting at least 8 minutes. Group contacts alone are not permitted as a face-to-face contact for generating an ACT per diem rate.
- ACT practitioners using a 15 minute unit rate, may only bill for a 15 minute unit if at least eight minutes of service is provided.
- Group ACT contacts are not reimbursable.
- Practitioners may not bill for services included in the ACT per diem or 15 minute units and also bill for that service outside of the per diem/15 minute rate for enrolled consumers.
- All services require prior authorizations.
- The psychiatric prescriber shall be physically located at the home clinic of the ACT team in order to provide office-based services and services in the community when indicated.
- With the prior approval of DSAMH, psychiatric prescribers may be accessed via videoconferencing/tele-psychiatry consistent with State tele-medicine requirements for a period of up to six months. At DSAMH's discretion, DSAMH may extend this authorization for an additional six months.¹²

ICM Rate Level

A team that does not have an ACT provisional, basic, moderately-high, or high level fidelity rating (see definitions below) can only bill at the ICM rate.

Provisional Fidelity Level

A new ACT team can be certified at a provisional fidelity level for six months if it has submitted the required documentation to the Division of Substance Abuse and Mental Health (DSAMH) Quality Assurance Unit. At that time, the ACT team must undergo a mock fidelity review by DSAMH and achieve an average Tools for Measurement of Assertive Community Treatment (TMACT) fidelity

¹² Consultations, office visits, individual psychotherapy, and pharmacological management services under ACT physician- as outlined above for the time granted by the waiver only may be reimbursed when provided via Health Insurance Portability & Accountability Act compliant telecommunication technology. The consulting or expert physician must bill the ACT procedure code (CPT codes) using the GT modifier and will be reimbursed at the same rate as a face-to-face service for ACT physician. The originating site, with the consumer present, may bill code Q3014 (telemedicine originating site facility fee). Providers must follow all applicable federal and State security and procedure guidelines for telemedicine. Face-to-face ACT includes a therapist in a different room/location from the client/family, but in the same building, with real-time visual and audio transmission from the therapy room and two-way audio transmission between client and/or family member and therapist. The practice must be in accord with documented evidence-based practices of ACT as approved by DSAMH. If not in the same building, then telemedicine requirements and reimbursement would apply. Telemedicine services must comply with Delaware's telemedicine requirements including, but not limited to:

- Obtaining member's written consent;
- Licensure and enrollment requirements;
- Written contingency planning;
- Implementation of confidentiality protocols; and
- Billing practices and requirements.

score of 2.0 or greater. In order to achieve a provisional fidelity level, the team must also achieve minimum fidelity rating scores on certain aspects of TMACT fidelity:

- A minimum average rating of 3.0 across the following items from the operations and structure (OS) subscale must be achieved:
 - OS1 — Low ratio of consumers to staff.
 - OS5 — Program size.
 - OS6 — Priority service population.
 - OS10 — Retention rate.
- A minimum average rating of 3.0 on the entire core team (CT) subscale must be received.
- A minimum rating of 3.0 on core practices (CP) subscale CP1 — community-based services item must be received.

A team meeting provisional fidelity will be able to be reimbursed at the basic fidelity level for up to one year from the date of its initial provisional fidelity level certification. During the year following the provisional fidelity level certification, the team must comply with DSAMH requirements to carry out a full fidelity assessment and achieve a fidelity rating of at least basic level fidelity. After 12 months from the provisional fidelity level certification date, if the team has failed to meet at least basic level fidelity, it will revert to the ICM billing rate. At any time during the 12-month period of provisional fidelity level certification, DSAMH can request additional information to assess any questions that may arise regarding any TMACT fidelity metric. At the time of request, all subsequent billing will be pended subject to verification of the identified TMACT fidelity metric. If the additional review reveals that the fidelity score for any identified metric falls below a 1.0, the team will have 90 days to demonstrate capacity at a level above 1.0 for each identified metric. If such capacity is not demonstrated to the satisfaction of DSAMH, billing will revert to the ICM level for all pended and future services until at least basic fidelity level is achieved on those identified metrics.

Once the year of provisional fidelity is completed, DSAMH may place any ACT team not reaching Basic Fidelity on a corrective action plan not to exceed 90 days. During that time, the team may bill ACT rates. If the team is not at Basic Fidelity at that time, the team must bill ICM rates until Basic Fidelity is achieved.

Basic Fidelity Level

ACT teams scoring an overall TMACT fidelity score of at least 3.0 may bill for up to 4 per diems per month per individual when all other requirements for a visit are met (i.e., a face-to-face service with the client or family member). *Medically necessary care consistent with the fidelity model should be delivered even if beyond the minimum number of units permitted to be billed under this reimbursement strategy.* The team must also achieve the following minimum fidelity rating scores on certain aspects of TMACT fidelity:

- A minimum average rate of 3.0 across the following items from the OS subscale must be achieved:
 - OS1 — Low ratio of consumers to staff.
 - OS5 — Program size.
 - OS6 — Priority service population.
 - OS10 — Retention rate.
- A minimum average rating of 3.0 on the CT subscale must be received.

- A minimum rating of 3.0 on CP subscale CP1 — community-based services item must be received.
- At any time during the 12-month period of Basic fidelity level certification, DSAMH can request additional information to assess any questions that may arise regarding any TMACT fidelity metric. At the time of request, all subsequent billing will be pended subject to verification of the identified TMACT fidelity metric. If the additional review reveals that the fidelity score for any identified metric falls below the standards for OS, CT, and CP1 listed above, the team will have 90 days to demonstrate capacity at a level above the required minimums for each identified metric. If such capacity is not demonstrated to the satisfaction of DSAMH, billing will revert to the ICM level for all pended and future services until at least basic fidelity level is achieved on those identified metrics.

Practitioners on the ACT teams are subject to the following billing limits per category per month per individual not to exceed a total of 4 per diems (as defined above) per individual in total from any combination of practitioners (Note: the billing must be based on actual services provided to the client and *medically necessary care consistent with the fidelity model should be delivered even if beyond the minimum number of units permitted to be billed under this reimbursement strategy.*):

- Category 1: Physicians and APRNs may not bill more than one per diem for an individual per month in total.
- Category 2: Any combination of psychologist, master's level, team leader, LCSW, LPC, LMFT, LAC, behavioral health other, RN, and LPN may not bill more than one per diem for an individual in a monthly total. Ideally, this visit will not be in a clinic setting.
- Category 3: All other practitioners on the ACT teams may bill up to two per diems for an individual in a monthly total. Ideally, these visits will not be in a clinic setting.

Note: Category 1, 2, and 3 practitioners may each bill on the same day, but no more than one practitioner type in each category may bill on the same day (e.g., only one Category 1 practitioner type may bill a per diem on a given day). IESS provided by an ACT team requires prior authorization and is billed only when Supported Employment goals and activities are specifically outlined on the beneficiary's Recovery Plan. The team may bill up to one extra BA unit (i.e., 5th per diem) for the team vocational specialist per month when vocational activities were conducted with the team consistent with the TMACT fidelity model. Documentation must be maintained regarding the vocational activities performed and the goals/activities completed for each individual in the beneficiary's medical record.

Moderately High Fidelity Level

ACT teams scoring an overall TMACT fidelity score of at least 3.5 when all other requirements are met (i.e., a face-to-face service with the client or family member) are considered moderately high fidelity. In addition to the average score, teams must meet the following specific TMACT requirements:

- A minimum average rate of 3.5 across the following items from the OS subscale must be achieved:
 - OS5 — Program size.
 - OS6 — Priority service population (which must be at least 4).
 - OS9 — Transition to less intensive services.

- OS10 — Retention rate.
- A minimum average rating of 4 on the CT subscale must be received.
- A minimum rating of 4 on CP subscale CP1 — community-based services item must be received.
- A minimum average rating of 3 on the person-based planning (PP) subscale must be received.
- At any time during the 12-month period of Moderately High fidelity level certification, DSAMH can request additional information to assess any questions that may arise regarding any TMACT fidelity metric. At the time of request, all subsequent billing will be pended subject to verification of the identified TMACT fidelity metric. If the additional review reveals that the fidelity score for any identified metric falls below the standards for OS, CT, CP1, and PP listed above, the team will have 90 days to demonstrate capacity at a level above the required minimums for each identified metric. If a team meets moderately high fidelity, DSAMH may consider permitting additional per diems via prior authorization as necessary to meet moderately high fidelity standards. However, if such capacity is not demonstrated to the satisfaction of DSAMH, billing will revert to the Basic level for all pended and future services until at least Moderately High fidelity level is achieved on those identified metrics.

High Fidelity Level

ACT teams scoring a TMACT fidelity score of at least 4.2 when all other requirements are met (i.e., a face-to-face service with the client or family member) is considered high fidelity. In addition, teams must meet the following specific TMACT requirements (similar to Level 2 teams):

- A minimum average rate of 4 across the following items from the OS subscale must be achieved:
 - OS5 — Program size.
 - OS6 — Priority service population (this item must score a 5).
 - OS9 — Transition to less intensive services.
 - OS10 — Retention rate.
- A minimum average rating of 4 on the CT subscale must be received.
- A minimum rating of 4 on CP1 – community-based services item must be received.
- A minimum average rating of 3.7 on the following subscales:
 - PP subscale.
 - Specialist team subscale.
 - Evidence-based practices subscale.
- At any time during the 12-month period of High fidelity level certification, DSAMH can request additional information to assess any questions that may arise regarding any TMACT fidelity metric. At the time of request, all subsequent billing will be pended subject to verification of the identified TMACT fidelity metric. If the additional review reveals that the fidelity score for any identified metric falls below the standards for OS, CT, CP1, PP, specialist, and evidence-based practices listed above, the team will have 90 days to demonstrate capacity at a level above the required minimums for each identified metric. If a team meets high fidelity, DSAMH may consider permitting additional per diems via prior authorization as necessary to meet high fidelity standards. However, if such capacity is not demonstrated to the satisfaction of DSAMH, billing will revert to the Basic level for all pended and future services until at least Moderately High or High fidelity level is achieved on those identified metrics.

ACT Rate Summary (New Teams — First Year Rate with Provisional Certification)

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$223.78	\$222.69	H0040 HO
Bachelors Therapist	Per Diem	\$183.48	\$181.57	H0040 HN
Peer/High School	Per Diem	\$188.18	\$186.43	H0040 HM
Doctor/Psychiatrist	Per Diem	\$553.63	\$563.65	H0040 AM
APRN	Per Diem	\$301.55	\$304.68	H0040 HP
Nurse	Per Diem	\$172.63	\$172.23	H0040 TD

ACT Rate Summary (Established Teams)

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$174.33	\$164.88	H0040 HO
Bachelors Therapist	Per Diem	\$145.18	\$136.46	H0040 HN
Peer/High School	Per Diem	\$143.95	\$135.26	H0040 HM
Doctor/Psychiatrist	Per Diem	\$648.54	\$628.90	H0040 AM
APRN	Per Diem	\$354.88	\$341.52	H0040 HP
Nurse	Per Diem	\$204.65	\$194.51	H0040 TD

ACT Rate Summary (Established Teams) — Billing Using 15 Minute Units

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$24.81	\$23.98	H0039 HO
Bachelors Therapist	15 minute	\$20.66	\$19.85	H0039 HN
Peer/High School	15 minute	\$20.49	\$19.67	H0039 HM
Doctor/Psychiatrist	15 minute	\$92.30	\$91.46	H0039 AM
APRN	15 minute	\$50.50	\$49.67	H0039 HP
Nurse	15 minute	\$29.12	\$28.29	H0039 TD

ACT Rate Summary (New Teams — First Year) — Billing Using 15 Minute Units

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$45.91	\$44.47	H0039 HO
Bachelors Therapist	15 minute	\$37.64	\$36.26	H0039 HN
Peer/High School	15 minute	\$38.60	\$37.23	H0039 HM
Doctor/Psychiatrist	15 minute	\$113.57	\$112.55	H0039 AM
APRN	15 minute	\$61.86	\$60.84	H0039 HP
Nurse	15 minute	\$35.41	\$34.39	H0039 TD

ICM Rate Summary (Established Teams) — Per Diem Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$122.56	\$89.89	H0037 HO
Bachelors Therapist	Per Diem	\$100.89	\$73.84	H0037 HN
Peer/High School	Per Diem	\$103.59	\$75.85	H0037 HM
Doctor/Psychiatrist	Per Diem	\$232.74	\$172.10	H0037 AM

Staff	Unit	Small Team	Large Team	Procedure Code
APRN	Per Diem	\$122.91	\$90.61	H0037 HP
Nurse	Per Diem	\$72.51	\$53.18	H0037 TD

ICM Rate Summary (New Teams — First Year Rate) — Per Diem Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	Per Diem	\$134.77	\$98.97	H0037 HO
Bachelors Therapist	Per Diem	\$110.35	\$80.89	H0037 HN
Peer/High School	Per Diem	\$113.46	\$83.18	H0037 HM
Doctor/Psychiatrist	Per Diem	\$268.32	\$198.39	H0037 AM
APRN	Per Diem	\$141.24	\$104.18	H0037 HP
Nurse	Per Diem	\$82.87	\$60.87	H0037 TD

ICM Rate Summary (Established Teams) — 15 Minute Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$25.66	\$25.37	H0036 HO
Bachelors Therapist	15 minute	\$21.12	\$20.84	H0036 HN
Peer/High School	15 minute	\$21.69	\$21.40	H0036 HM
Doctor/Psychiatrist	15 minute	\$48.73	\$48.57	H0036 AM
APRN	15 minute	\$25.73	\$25.57	H0036 HP
Nurse	15 minute	\$15.18	\$15.01	H0036 TD

ICM Rate Summary (New Teams — First Year) — 15 Minute Rate

Staff	Unit	Small Team	Large Team	Procedure Code
Team Lead and Masters Therapist	15 minute	\$29.84	\$29.56	H0036 HO
Bachelors Therapist	15 minute	\$24.44	\$24.16	H0036 HN
Peer/High School	15 minute	\$25.12	\$24.85	H0036 HM
Doctor/Psychiatrist	15 minute	\$59.41	\$59.26	H0036 AM
Nurse Practitioner	15 minute	\$31.27	\$31.12	H0036 HP
Nurse	15 minute	\$18.35	\$18.18	H0036 TD

Licensed direct care staff must provide services within the scope of practice for their license under state law.

The following activities may not be billed or considered the activity for which the ACT per diem/15 minute unit is billed and recouped if found in an audit:

- Contacts that are not medically necessary.
- Time spent doing, attending, or participating in recreational activities.
- Services provided to teach academic subjects or as a substitute for educational personnel such as, but not limited to, a teacher, teacher's aide, or an academic tutor.
- Habilitative services for the adult to acquire, retain, and improve the self-help, socialization, and adaptive skills necessary to reside successfully in community settings.

- Child Care services or services provided as a substitute for the parent or other individuals responsible for providing care and supervision.
- Respite care.
- Transportation for the individual or family. Services provided in the car are considered Transportation.
- Services provided to individuals under age 18.
- Covered services that have not been rendered.
- Services provided before the department or its designee (including the prepaid inpatient health plan) has approved authorization.
- Services rendered that are not in accordance with an approved authorization.
- Services not identified on the adult's authorized treatment plan.
- Services provided without prior authorization by the department or its designee.
- Services not in compliance with the contract or the ACT service manual and not in compliance with fidelity standards.
- Services provided to children, spouse, parents, or siblings of the eligible adult under treatment or others in the eligible adult's life to address problems not directly related to the eligible adult's issues and not listed on the eligible adult's treatment plan.
- Services provided that are not within the provider's scope of practice.
- Any art, movement, dance, or drama therapies.
- Anything not included in the approved ACT service description.
- Changes made to ACT that do not follow the requirements outlined in the provider contract, service manual, or ACT fidelity standards.
- Vocational training, employment of an individual, employment assessments, and ongoing support to maintain employment. ACT may pay for the medical services that enable an individual to function in the workplace, including ACT services such as a psychiatrist's or psychologist's treatment, rehabilitation planning, therapy, and counseling that enable an individual to function in the workplace. Note: once the PROMISE program is implemented, qualified Bachelors-level practitioners enrolled as Employment Specialists under PROMISE may bill for one Bachelor's level per diem rate per month of Supported Employment, if Supported Employment is separately listed on the individuals Recovery Plan as a covered PROMISE service.

ACT Rate Development

This document describes the methodology and assumptions used in developing the rates for ACT. The proposed rates establish separate rates for practitioners with similar licensure/educational requirements. The State of Delaware (State) contracted with Mercer Government Human Services Consulting (Mercer), part of Mercer Health & Benefits LLC, to establish rates for these services.

Methodology

Rates were developed using a market-based pricing methodology for each service. Under this approach, assumptions were established for key cost components based on the service description to calculate the modeled rate. The key steps in the process are highlighted below:

5. Review the service definitions and identify key cost components.
6. Evaluate budget data submitted by ACT providers.
7. Conduct additional research to inform key assumptions.
8. Work with the State to finalize key pricing assumptions.

Step 1 — Review the Service Definitions and Identify Key Cost Components

To develop the modeled rates, we first established an understanding of the staffing requirements for each service. From the service definition and a review of clinical practices, we determined the appropriate staff positions:

- Team Lead: Licensed Mental Health Professional, Master’s Degree.
- Therapists: Bachelors or Masters level staff.
- Peer/High School Level: High School level degree or GRE.
- Doctor/Psychiatrist: Licensed Board Certified Psychiatrist.
- Advanced Practice Registered Nurse (APRN): Licensed Nurse Practitioner.
- Nurse: Licensed Registered Nurse.

The average numbers of full-time employees (FTEs) for each level of staff reflected in the ACT rates are below in Table 1. Note that separate staffing levels were used for large and small team rates. Small ACT teams may serve no more than 70 clients. Large ACT teams may serve no more than 100 clients.

Table 1: Staffing Summary¹³

Staff	Small Team	Large Team
Team Lead	1 FTE	1 FTE
Masters Therapist	2 FTEs	2 FTEs
Bachelors Therapist	1.3 FTEs	2 FTEs
Peer/High School	1 FTE	1 FTE
Doctor/Psychiatrist or APRN	0.5 FTE	1 FTE
Nurse	1.5 FTEs	3 FTEs (one FTE must be a bachelor’s)

NOTE: Providers may choose to have 3 Registered Nurse FTE’s and 2 Bachelors FTE’s with one of the RN’s having a Bachelor’s Degree or 2 Registered Nurse FTE’s and 3 Bachelors FTEs (one could also be a Registered Nurse).

Cost Components

The modeled rates considered the following key cost components:

- Salary expenses for the required staffing (i.e., the different positions and time requirements) at prevailing Delaware wages, adjusted to include consideration for Employee Related Expenses (ERE) and productivity.
- Indirect non-salary, program-related costs.
- Administrative costs.

Step 2 — Gather Wage Data for Delaware

To estimate the cost of the staffing requirements identified above, Mercer gathered compensation data from proposed budgets for ACT providers. The data should be representative of wages paid in Delaware and was used to develop a wage for each staffing position.

¹³ TMACT also assumes a Program Assistant working with the ACT team. It is covered under administrative expenses below though not explicitly since it is grouped together with all other administrative costs.

However, in the case of the Nurse Practitioner position, we did not receive compensation data from the proposed budgets and thus used a wage study from the American Academy of Nurses. We proposed using the average base salary for a Nurse Practitioner in the Psych/Mental Health field. However, since this was a national average, Mercer applied a regional analysis factor to adjust this wage upward.

Mercer performed reasonability checks of the wages by comparing these to compensation studies of similar positions in nearby states. Also, trend was considered to adjust the wage to the current time period.

The wage assumptions for the different levels of staff are summarized in Table 2.

Table 2: Hourly Wage Summary

Staff	Wage
Team Lead	\$24.14
Masters Therapist	\$17.56
Bachelors Therapist	\$14.45
Peer/High School	\$14.25
Doctor/Psychiatrist	\$93.50
APRN	\$42.67
Nurse	\$23.94

Step 3 — Conduct Additional Research to Inform Key Assumptions

This section discusses the research findings and assumptions for ERE and program-related cost components.

Employee-related Expenses

In addition to wages, the following ERE components were considered for both the direct care and indirect care staff:

- Health Insurance.
- Unemployment Taxes (Federal (FUTA) and State (SUTA)).
- Worker’s Compensation Insurance.
- Federal Insurance Contribution Act Tax (FICA).
- Other Benefits (short-term disability (STD), long-term disability (LTD), and retirement).

The amounts included in the rates represent the employer’s share of the costs for these items. The ERE cost component was approximately 20% to 35% of the total wages amount, depending on staff position.

Other Program-related Costs

In addition to ERE, other program-related costs were considered including costs for training, fidelity, consultation, staff travel, and administrative expenses.

Training, Fidelity, and Consultation

Consideration was made for standard expenses (including registration, material, and travel) for ongoing and initial training, fidelity, and consultation.

Staff Travel

The ACT rates include consideration for staff travel expenses. The annual mileage for this service was estimated by taking an assumed number of miles traveled per day (based on discussions with the State) and multiplying by the total billable days worked each year. The resulting annual mileage was assumed to be paid at the Internal Revenue Service standard mileage rate.

Administration Expenses

Costs associated with general administrative expenses such as management, equipment and supplies, recruitment, information technology, human resources, billing, finance, and accounting, legal and other indirect costs necessary for program operations were also considered. The assumption was based on discussions with the State.

Step 4 — Work with the State to Finalize Key Pricing Assumptions

This section discusses the key consideration reflected in the assumptions for the remaining cost components.

Productivity Adjustments

For ACT, adjustments to account for non-billable staff time were also considered. Non-billable staff time includes time for training, paid time off (PTO), and a portion of each workday that is spent on usual and required non-billable activities. Consideration for this non-billable time was included in the rate through a productivity adjustment. The staffing cost (i.e., cost for direct care and indirect care staff) was adjusted by a factor that accounted for the total billable time relative to the total staff time.

Rate Development Summary

The final average modeled rates are summarized in Tables 3– 6. This includes rates for both large and small teams and is presented as both per diem rates and 15 minute increment unit rates.

Table 3: New Team ACT Rate Summary (Year 1) With Provisional Certification

Staff	Unit	Small Team	Large Team
Team Lead and Masters Therapist	Per Diem	\$223.78	\$222.69
Bachelors Therapist	Per Diem	\$183.48	\$181.57
Peer/High School	Per Diem	\$188.18	\$186.43
Doctor/Psychiatrist	Per Diem	\$553.63	\$563.65
APRN	Per Diem	\$301.55	\$304.68
Nurse	Per Diem	\$172.63	\$172.23

Table 4: ACT Rate Summary (Established Teams)

Staff	Unit	Small Team	Large Team
Team Lead and Masters Therapist	Per Diem	\$174.33	\$164.88
Bachelors Therapist	Per Diem	\$145.18	\$136.46
Peer/High School	Per Diem	\$143.95	\$135.26
Doctor/Psychiatrist	Per Diem	\$648.54	\$628.90
APRN	Per Diem	\$354.88	\$341.52

Staff	Unit	Small Team	Large Team
Nurse	Per Diem	\$204.65	\$194.51

Table 5: ACT Rate Summary (Established Teams) — Billing Using 15 Minute Units

Staff	Unit	Small Team	Large Team
Team Lead and Masters Therapist	15 minute	\$24.81	\$23.98
Bachelors Therapist	15 minute	\$20.66	\$19.85
Peer/High School	15 minute	\$20.49	\$19.67
Doctor/Psychiatrist	15 minute	\$92.30	\$91.46
APRN	15 minute	\$50.50	\$49.67
Nurse	15 minute	\$29.12	\$28.29

Table 6: ACT Rate Summary (New Teams — First Year) — Billing Using 15 Minute Units

Staff	Unit	Small Team	Large Team
Team Lead and Masters Therapist	15 minute	\$45.91	\$44.47
Bachelors Therapist	15 minute	\$37.64	\$36.26
Peer/High School	15 minute	\$38.60	\$37.23
Doctor/Psychiatrist	15 minute	\$113.57	\$112.55
APRN	15 minute	\$61.86	\$60.84
Nurse	15 minute	\$35.41	\$34.39