

**North Carolina  
Division of Mental Health,  
Developmental Disabilities and Substance Use Services**

**State-Funded Enhanced Mental Health and Substance Use Services**

Date Amended: May 1, 2024



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Refer to <https://www.ncdhhs.gov/divisions/mhddsas/servicedefinitions> for the related coverage policies listed below:

State-Funded Assertive Community Treatment (ACT) Program  
State-Funded Diagnostic Assessment  
State-Funded Inpatient Behavioral Health Services  
State-Funded Opioid Treatment Service  
State-Funded Telehealth and Virtual Communications

Note: Information in **Sections 1.0** through **8.0** of this policy supersedes information found in the attachments.

## 1.0 Description of the Service

This document describes policies and procedures that state-funded providers shall follow to receive reimbursement for covered enhanced benefit behavioral health services provided to individuals who meet the eligibility criteria for a State-Funded Benefit Plan. It sets forth the basic requirements for qualified providers to bill state-funded mental health and substance use services through the Local Management Entity-Managed Care Organization (LME-MCO), including services for individuals with intellectual or developmental disabilities (I/DD), as appropriate.

The following resources, and the rules, manuals, and statutes referenced in them, give the Division of Mental Health, Developmental Disabilities and Substance Use Services (DMH/DD/SAS) the authority to set the requirements included in this policy:

- a. *Rules for Mental Health, Developmental Disabilities and Substance Use; Facilities and Services*, Administrative Publication System Manuals, APSM 30-1;
- b. *DMH/DD/SAS Records Management and Documentation Manual*, APSM 45-2;
- c. *DMH/DD/SAS Person-Centered Planning Instruction Manual*;
- d. *N.C. Mental Health, Developmental Disabilities, and Substance Abuse Laws, 2001* (G.S. 122-C); and
- e. *DMH/DD/SAS NC Tracks Benefit Plan (Client Eligibility Criteria)*

## 2.0 Eligibility Requirements

An eligible individual shall be enrolled with the LME-MCO on or prior to the date of service, meet the criteria for a state-funded Benefit Plan that covers this service and shall meet the criteria in Section 3.0 of this policy.

Individuals may be ineligible for a state-funded service due to coverage by other payors that would make them ineligible for the same or similar service funded by the state (e.g. individual is eligible for the same service covered by Medicaid, Health Choice or other third party payor).

## 3.0 When State-Funded Services Are Covered

### 3.1 General Criteria

State funds shall cover services related to this policy are covered when they are medically necessary and when:

- a. the service is individualized, specific, and consistent with symptoms or confirmed diagnosis of the illness or injury under treatment, and not in excess of the individual's needs;
- b. the service can be safely furnished, and no equally effective and more conservative or less costly treatment is available statewide; and
- c. the service is furnished in a manner not primarily intended for the convenience of the individual, the individual's caregiver, or the provider.

### **3.1.1 Telehealth Services**

As outlined in Attachments A and D, select services within this clinical coverage policy may be provided via telehealth and telephonically. Services delivered via telehealth and telephonically must follow the requirements and guidance set forth in the *State-Funded Telehealth, Virtual Patient Communications, and Remote Patient Monitoring* service definition policy.

## **3.2 Specific Criteria Covered By State Funds**

All state-funded services are based upon a finding of medical necessity, which is determined by generally accepted North Carolina community practice standards as verified by Local Management Entity-Managed Care Organization. There must be a current diagnosis reflecting the need for treatment. All covered services must be medically necessary for meeting specific preventive, diagnostic, therapeutic, and rehabilitative needs of the individual.

- a. **Preventive** means to anticipate the development of a disease or condition and preclude its occurrence.
- b. **Diagnostic** means to examine specific symptoms and facts to understand or explain a condition.
- c. **Therapeutic** means to treat and cure disease or disorders; it may also serve to preserve health.
- d. **Rehabilitative** means to restore that which one has lost, to a normal or optimum state of health.

Refer to **Attachment D, Service Definitions**, for service-specific medical necessity criteria. Service definitions are also located at:  
<http://www.ncdhhs.gov/mhddsas/providers/servicedefs/index.htm>.

## **4.0 When State-Funded Services Are Not Covered**

Services related to this policy are not covered when:

- a. the individual does not meet the requirements listed in the DMH/DD/SAS NC Tracks Benefit Plan client eligibility criteria;
- b. the individual does not meet the medical necessity criteria listed in **Section 3.0**;
- c. the service duplicates another provider's service; or
- d. the service is experimental, investigational, or part of a clinical trial.

## **5.0 Requirements for and Limitations on Coverage**

## 5.1 Prior Approval

Prior approval is required on or before the first day of service for all state-funded services, with the following exceptions as identified in the service definitions found in **Attachment D**.

- a. Mobile Crisis Management;
- c. Substance Abuse Intensive Outpatient Program (SAIOP); and
- d. Substance Abuse Comprehensive Outpatient Treatment (SACOT)

## 5.2 Prior Approval Requirements

### 5.2.1 General

The provider(s) shall submit to Local Management Entity-Managed Care Organization the following:

- a. the prior approval request; and
- b. all supporting documentation that demonstrates that the individual has met the specific criteria in **Subsection 3.2** of this policy, specific to the service being requested.

### 5.2.2 Specific

Utilization management of state-funded services is a part of the assurance of medical necessity for the service. Authorization, which is an aspect of utilization management, validates approval by the Local Management Entity-Managed Care Organization to provide a medically necessary service to eligible individuals.

## 5.3 Utilization Management and Authorization of Covered Services

Refer to **Attachment D** the specific service definition for utilization management and authorization requirements.

Utilization management must be performed by the Management Entity-Managed Care Organization (LME-MCO).

## 5.4 Service Orders

Service orders are a mechanism to demonstrate medical necessity for a service and are based upon an assessment of each individual's needs. For state-funded services, a service order is recommended unless otherwise indicated in the specific service definition policy in Attachment D. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

### 5.5 State-Funded Service Summary

State-Funded Service	Age	Must Be Ordered By
Day Treatment - Child and	Age 5 through 17	MD DO Licensed psychologist [that is, a Health Services Provider- Psychologist (HSP-P)] NP PA
Intensive In-home Services	Age 3 through 17	
Mobile Crisis Management	All ages	
Multisystemic Therapy	Ages 7 through 17	
Partial Hospitalization	All ages	
Professional Treatment Services in Facility-Based Crisis Programs	Age 18+	
Psychosocial Rehabilitation	Age 18+	
Substance Abuse Comprehensive Outpatient Treatment Program	Age 18+	
Substance Abuse Intensive Outpatient	All ages	
Substance Abuse Medically Monitored	Age 18+	
Substance Abuse Halfway House	Age 18+	
Substance Abuse Non-Medical Community Residential Treatment	Age 18+	
Medically Supervised or ADATC Detoxification Crisis	Age 18+	

### 5.6 Clinical or Professional Supervision

State-funded services are provided to individuals by agencies that are enrolled in a Local Management Entity-Managed Care Organization’s provider network and that employ Licensed Professionals (LPs), Qualified Professionals (QPs), Associate Professionals (APs), and Paraprofessionals. Clinical or professional supervision must be provided according to the supervision and staffing requirements outlined in each service definition. Medically necessary services delivered by APs are delivered under the supervision and direction of the LP or QP. Medically necessary services delivered by Paraprofessionals are delivered under the supervision and direction of the LP, QP or, when the service definition does not specify a more stringent supervision requirement, an AP. Supervision

shall be provided at the frequency and for the duration indicated in the individualized supervision plan created for each AP and Paraprofessional upon hire. Each supervision plan must be reviewed annually.

The Licensed Professional or Qualified Professional personally works with individual's families, and team members to develop an individualized PCP. The LP or QP meets with the individuals' receiving services throughout the course of treatment to monitor the services being delivered and to review the need for continued services. The supervising professional assumes professional responsibility for the services provided by staff who do not meet QP status and spends as much time as necessary directly supervising the staff member providing the service to ensure that the goals outlined on each PCP are being implemented and that individuals are receiving services in a safe and efficient manner in accordance with accepted standards of practice.

The terms of employment with the state-funded provider agency must specify that each supervising professional is to provide adequate supervision for the APs, Paraprofessionals, and other staff in the agency who are assigned to him or her. The provider agency shall ensure that supervisory ratios meet any requirements that are specified in the service definition, are reasonable and ethical, and provide adequate opportunity for the supervising professional to effectively supervise the staff member(s) assigned. Documentation must be kept on file to support the supervision provided to AP and Paraprofessional staff in the delivery of medically necessary services.

## 5.7 Person Centered Plans

Most state-funded services covered by this policy require a PCP. Refer to the service definitions in **Attachment D**, the DMH/DD/SAS *Person-Centered Planning Instruction Manual*, and the DMH/DD/SAS *Records Management and Documentation Manual* for specific information.

The primary reference document for person-centered planning and PCPs is the DMH/DD/SAS *Person-Centered Planning Instruction Manual*. The guidance offered throughout **Subsection 5.7** is derived from it.

### 5.7.1 Person-Centered Planning

Person-centered planning is a process of determining real-life outcomes with individuals and developing strategies to achieve those outcomes. The process supports strengths, rehabilitation, and recovery, and applies to everyone supported and served in the system. Person-centered planning provides for the individual with the disability to assume an informed and in-command role for life planning and for treatment, service, and support options. The individual with a disability, the legally responsible person, or both direct the process and share authority and responsibility with system professionals for decisions made.

For all individuals receiving services, it is important to include people who are important in the person's life, such as family members, the legally responsible person, professionals, friends and others identified by the



individual (for example, employers, teachers, and faith leaders). These individuals can be essential to the planning process and help drive its success. Person-centered planning uses a blend of paid, unpaid, natural and public specialty resources uniquely tailored to the individual or family needs and desires. It is important for the person-centered planning process to explore and use all these resources.

Before most services may be billed, a written PCP for the delivery of medically necessary services must be in place. The PCP must be completed at the time the individual is admitted to a service. Information gathered from discussions with the person or family receiving services and others identified by them, along with recommendations and other information obtained from the comprehensive clinical assessment, together provide the foundation for the development of the PCP. Refer to **Attachment B** for effective PCP goal writing guidelines.

If limited information is available at admission, staff should document on the PCP whatever is known and update it when additional information becomes available.

### 5.7.2 Person Centered Plan Reviews and Annual Rewriting

All PCPs must be updated as needed and must be rewritten at least annually.

At a minimum, the PCP must be reviewed by the responsible professional based upon the following:

- a. Target date or expiration of each goal
  - Each goal on the PCP must be reviewed separately, based on the target date associated with it. Short-range goals in the PCP may never exceed 12 months from the Date of Plan.
- b. Change in the individual's needs
- c. Change in service provider
- d. Addition of a new service.

Refer to the *Person-Centered Planning Instruction Manual* and the *Records Management and Documentation Manual* for more detailed information.

For individuals who receive psychosocial rehabilitation services, the PCP shall be reviewed every six months.

## 5.8 Documentation Requirements

The service record documents the nature and course of an individual's progress in treatment. To bill for state-funded services, providers shall ensure that their documentation is consistent with the requirements contained in this policy, including the service definitions in **Attachment D** and the *DMH/DD/SAS Records Management and Documentation Manual*.

### 5.8.1 Responsibility for Documentation

The staff member who provides the service is responsible for accurately documenting the services billed to and reimbursed by the Local Management Entity-Managed Care Organization:

- a. The staff person who provides the service must sign the written entry. The signature must include credentials (professionals) or a job title (paraprofessionals).
- b. A QP is not required to countersign service notes written by a staff person who does not have QP status.

### 5.8.2 Contents of a Service Note

Service notes unless otherwise noted in the service definition, must include the following. More than one intervention, activity, or goal may be reported in one service note, if applicable.

- a. **Date** of service provision
- b. **Name of service** provided (for example, Mobile Crisis Management)
- c. **Type of contact** (in person, telehealth, phone call, collateral)
- d. **Place of service**, when required by service definition
- e. **Purpose** of the contact as it relates to the goal(s) in the PCP
- f. **Description of the intervention** provided. Documentation of the intervention must accurately reflect treatment for the duration of time indicated. For case management-type services, a description of the case management activity fulfills this requirement.
- g. **Duration** of service: Amount of time spent performing the intervention
- h. **Assessment of the effectiveness** of the intervention and the individual's progress toward the individual's goal. For case management functions within an enhanced service in this policy, a description of the result or outcome of the case management activity fulfills this requirement.
- i. **Signature** and credentials or job title of the staff member who provided the service, as described in **Subsection 5.8.1**
- j. **Each service note page must** be identified with the individual's name, service record number, and record number.

### 5.8.3 Other Service Documentation Requirements

Frequency, format, and any other service-specific documentation requirements can be found in the service definitions in **Attachment D** or the DMH/DD/SAS *Records Management and Documentation Manual*. Services that are billed to the Local Management Entity-Managed Care Organization must comply with the documentation requirements outlined in the DMH/DD/SAS *Records Management and Documentation Manual*, state reimbursement guidelines, and all service-related documentation must relate to goals in the individual's PCP. Refer to **Attachment C** for additional documentation Best Practice guidelines.

## 6.0 Providers Eligible to Bill for State-Funded Services

To be eligible to bill for services under this policy, providers shall:

- a. meet Local Management Entity-Managed Care Organization requirements for participation;
- b. be currently enrolled in the LME-MCO's provider network; and
- c. bill only for services that are within the scope of their clinical practice, as defined by the appropriate licensing entity.

### 6.1 Provider Qualifications

Qualified provider agencies must be credentialed by the LME-MCOs and enrolled in an LME-MCO's provider network for each service they wish to provide. The credentialing process includes a service-specific checklist and adherence to the following:

- a. Rules for Mental Health, Developmental Disabilities, and Substance Use Facilities and Services
- b. Confidentiality Rules
- c. Client Rights Rules in Community MH/DD/SA Services
- d. *Records Management and Documentation Manual*
- e. DMH/DD/SUS Communication Bulletins
- f. Implementation Updates to rules, revisions, and policy guidance
- g. *Person-Centered Planning Instruction Manual*
- h. DMH/DD/SUS NC Tracks Benefit Plan Criteria

Except for Substance Abuse Halfway House services, providers shall be nationally accredited by one of the accrediting bodies approved by the N.C. Department of Health and Human Services (DHHS) within one year of enrollment in the LME-MCO provider network. Staff members providing services shall have all required training as specified in each service definition. Employees and contractors shall meet the requirements specified (10A NCAC 27G .0104) for QP, AP, or Paraprofessional status and shall have the knowledge, skills and abilities required by the population and age to be served.

Competencies are documented along with supervision requirements to maintain that competency. This applies to QPs and APs (10A NCAC 27G .0203) and to Paraprofessionals (10A NCAC 27G .0204).

Some services distinguish between the professionals and paraprofessionals who may provide a particular service. Refer to **Attachment D, Service Definitions**, for service-specific requirements.

## 6.2 Provider Certifications

None Apply.

## 6.3 Staff Definitions

### 6.3.1 North Carolina General Statutes Requirements

#### 6.3.1.1 Licensed/Certified Professionals Providing State-Funded Services Under This Policy

Staff members with the following classifications must be licensed or certified, as appropriate, in accordance with North Carolina General Statutes and shall practice within the scope of practice defined by the applicable practice board.

- a. Licensed Professional Counselor or Licensed Clinical Mental Health Counselor
- b. Licensed Professional Counselor Associate or Licensed Clinical Mental Health Counselor Associate
- c. Licensed Clinical Addiction Specialist
- d. Licensed Clinical Addiction Specialist Associate
- e. Certified Clinical Supervisor
- f. Licensed Marriage and Family Therapist
- g. Licensed Marriage and Family Therapist Associate
- h. Licensed Clinical Social Worker
- i. Licensed Clinical Social Worker Associate
- j. Doctor of Osteopathy
- k. Licensed Psychologist
- l. Licensed Psychological Associate
- m. Nurse Practitioner
- n. Licensed Physician
- o. Certified Clinical Nurse Specialist (only if certified as an advanced practice psychiatric clinical nurse specialist)
- p. Certified Substance Abuse Counselor or Certified Alcohol and Drug Counselor and
- q. Physician Assistant

**Note:** To comply with NC General Assembly Session Law 2019-240 Senate Bill 537, licensure name for Licensed Professional Counselor (LPC) is amended to Licensed Clinical Mental Health Counselor (LCMHC); and certification name for Certified Substance Abuse Counselor (CSAC) is amended to Certified Alcohol and Drug Counselor (CADC). Policy amendment(s) will be effective the date the related rule change for 10A NCAC 27G is finalized.

### **6.3.2 North Carolina Administrative Code Staff Requirements**

The following staff members may provide services according to 10A NCAC 27G .0104 - Staff Definitions:

- a. Qualified Professional (QP)
- b. Associate Professional (AP)
- c. Paraprofessional

## **7.0 Additional Requirements**

### **7.1 Compliance**

Provider(s) shall comply with the following in effect at the time the service is rendered:

- a. All applicable agreements, federal, state and local laws and regulations including the Health Insurance Portability and Accountability Act (HIPAA), 42 CFR Part 2 and record retention requirements; and
- b. All DMH/DD/SAS clinical service definition policies, guidelines, policies, provider manuals, implementation updates, and bulletins published by DHHS, its divisions or its fiscal agent.

### **7.2 Audits and Compliance Reviews**

Local Management Entities-Managed Care Organizations are responsible for the management and oversight of the public system of mental health, developmental disabilities, and substance use services at the community level. An LME-MCO shall plan, develop, implement, and monitor services within a specified geographic area to ensure expected outcomes for individuals eligible for state funded services within available resources, per NC GS § 122C-115.4(a).

The area authority or county program shall monitor the provision of mental health, developmental disabilities, or substance use services for compliance with law, which monitoring, and management shall not supersede or duplicate the regulatory authority or functions of agencies of the Department, per NC GS § 122C-111.

DMH/DD/SUS conducts annual monitoring of a sample of mental health and substance use disorder services funded with SUPTRS, CMHBG and state funds. The purpose of the monitoring is to ensure that these services are provided to individuals in accordance with federal & state regulations and requirements. The LME- MCO shall also conduct compliance reviews and monitor provider organizations under the authority of DMH/DD/SAS to ensure compliance with state funds and federal block grant regulations and requirements.

### **7.3 Authority**

The following resources, and the rules, manuals, and statutes referenced in them, give the Division of Mental Health, Developmental Disabilities and Substance Use Services (DMHDDSUS) the authority to set the requirements included in this policy:

- a. Rules for Mental Health, Developmental Disabilities and Substance Abuse Facilities and Services, Administrative Publication System Manuals (APSM)30-1

- b. DMHDDSUS Records Management and Documentation Manual, APSM 45-2
- c. DMHDDSUS Person-Centered Planning Instruction Manual
- d. N.C. Mental Health, Developmental Disabilities, and Substance Abuse Laws, 2001 (G.S. 122-C)

## 8.0 Policy Implementation

**Previous effective Date: August 1, 2014**

**Previous Effective Date: August 1, 2015**

**Section or Subsection Revised:** Removed ACT service definition and billing information. State-Funded ACT Program is now a standalone policy documenting current coverage of ACT services from the Department of Justice settlement, and for adherence to TMACT fidelity.

**New Effective Date: October 1, 2016**

**Section or Subsection Revised:** Attachment D: SAIOP and SACOT: Updated Utilization Management section to change rollover of unmanaged visits from calendar year to state fiscal year.

**New Effective Date: April 1, 2017**

**Section or Subsection Revised:** Attachment D- Intensive In-Home Services: Revised staffing ratio from 1 Team to 8 Families to 1 Team to 12 Families, in coordination with the DMA's revision as directed by 2014 Legislative action and approved by CMS January 5, 2017.

**Section or Subsection Revised:** Attachment D-SAIOP and SACOT: Updated the staffing section allowing supervision from both an LCAS or CCS and revising the supervision language so that SAIOP and SACOT were consistent.

**New Effective Date: November 1, 2019**

**Section or Subsection Revised:** Attachment D- Community Support Team was removed from this document. CST is now a standalone service definition.

<https://www.ncdhhs.gov/divisions/mhddsas/servicedefinitions>

**New Effective Date: December 15, 2019**

**Section or Subsection Revised: Attachment A-**

Added: Note: Providers using the Diagnostic Classification of Mental Health and Developmental Disorders of Infancy and Early Childhood (DC:0–5) manual shall submit claims using the ICD-10 diagnosis code that corresponds to the chosen DC:0-5 diagnosis.

Added Note: DMH/DD/SAS will not reimburse for conversion therapy.

Updated ICD-9 to ICD-10 in Subsection B.

**New Effective Date: April 1, 2022**

**Related Clinical Coverage Policies** Added State-Funded Telehealth and Virtual Communications Services

**Subsection 3.1.1** Added new subsection 3.1.1 Telehealth Services.

**Subsection 5.5.1** Updated State-Funded Service Summary chart.

**Subsection 5.8.2** Deleted “face-to-face” and replaced with “in-person”. Added “telehealth” to Type of Contact.

**Section 6.3.1.1** Added: “Licensed Clinical Mental Health Counselor (LCMHC)” and Licensed Clinical Mental Health Counselor Associate and “Certified Alcohol and Drug Counselor (CADC)” to comply with NC General Assembly Session Law 2019-240 Senate Bill 537. Policy amendment(s) will be effective the date the related rule change for 10A NCAC 27G is finalized. Added: Licensed Clinical Social Worker Associate and Licensed Marriage and Family Therapist Associate.

**Section 6.3.1.1** Added: “Note: To comply with NC General Assembly Session Law 2019-240 Senate Bill 537, licensure name for Licensed Professional Counselor (LPC) is amended to Licensed Clinical Mental Health Counselor (LCMHC); and certification name for Certified Substance Abuse Counselor (CSAC) is amended to Certified Alcohol and Drug Counselor (CADC). Policy amendment(s) will be effective the date the related rule change for 10A NCAC 27G is finalized.”

**Attachment A, Letter C** Added columns to service codes indicating if the services were eligible for telehealth eligible.

Deleted “30”, added “45”.

Added the following note: “Note: As specified within this policy, components of this service may be provided via telehealth by the psychiatrist. Due to this service containing other elements that are not permitted via telehealth, the GT modifier is not appended to the HCPCS code to indicate that a service component has been provided via telehealth.”

**Attachment A, Letter C:** Deleted: Diagnostic Assessment service code description as this is a standalone service definition policy, State-Funded Diagnostic Assessment.

**Attachment A, Letter D** Added the following language for telehealth services: Telehealth Claims: Modifier GT must be appended to the CPT or HCPCS code to indicate that a service has been provided via interactive audio-visual communication. This modifier is not appropriate for virtual communications.

**Attachment A, Letter F:** Added language indicating that “telehealth claims should be filed with the provider’s usual place of service code(s) and not place of service 02 (Telehealth).”

**Attachment D: Added:** “Certified Alcohol and Drug Counselor (CADC)” to comply with NC General Assembly Session Law 2019-240 Senate Bill 537. Policy amendment(s) will be effective the date the related rule change for 10A NCAC 27G is finalized.”

**Attachment D, Mobile Crisis Management** Added: telehealth. Deleted “face-to-face” and replaced with “in-person”. Added Community Support Team as an exclusion.

**Attachment D, Diagnostic Assessment** Deleted: Diagnostic Assessment service was removed from this policy. Diagnostic Assessment is now a standalone service definition policy.

<https://www.ncdhhs.gov/divisions/mhddsas/servicedefinitions>

**Attachment D, Intensive In-Home Services:** Deleted “face-to-face” and replaced with “in-person”. Under Service Definition and Components, deleted “face-to-face.”

**Attachment D, Multisystemic Therapy:** Reformatted service definition and required components, documentation, expected outcomes and service exclusions and limitations sections. Deleted “face-to-face” and replaced with “in-person”. Under Service Definition and Components, deleted “is” and replaced with “consists of”; deleted “face-to-face”; deleted “to” and replaced with “that”; and deleted “all areas of” and replaced with “the following.” Removed “a maximum of 32 units of MST services may be provided in a 24-hour period.”

**Attachment D, Child and Adolescent Day Treatment:** Deleted “face-to-face” and replaced with “in-person”.

**Attachment D, Partial Hospitalization:** Deleted “face-to-face” and replaced with “in-person”.

**Attachment D, Professional Treatment Services in Facility-Based Crisis Program:** Deleted “30” and replaced with “45” in Continuation or Utilization Review section.

**Attachment D:** Deleted Substance Abuse Cross Reference page

**Attachment D, Substance Abuse Non- Medical Community Residential Treatment** Deleted “30” and replaced with “45” in Service Exclusions and Limitations section

**Attachment D, Substance Abuse Medically Monitored Community Residential Treatment** Added: “to provide consultation. The physician’s assessment must be conducted within 24 hours of admission”. Deleted “30” and added “45” in Utilization Management section.

**Attachment D, Detoxification Services** Added: “to provide consultation. The physician’s assessment must be conducted within 24 hours of admission in-person or via telehealth.”

**Attachment D, Non-Hospital Medical Detoxification** Deleted “30” and replaced with “45” in exclusions section. Added “Physician assessments may be conducted in-person or via telehealth.”

**Attachment D, Outpatient Opioid Treatment** Deleted: One daily unit. Added: “One unit equals one on-site dose or one take-home dose. Take home doses may be provided in accordance with the requirements in 42 CFR 8.12(h)(4)(i). Note: No more take-home doses can be provided than is outlined in 10A NCAC 27G.3600.”

**New Effective Date: August 1, 2022**

**Section 8 Policy Implementation:** Deleted the following from Section 8: Attachment D, Medically Supervised or ADATC Detoxification Crisis Stabilization Deleted “30” and replaced with “45” in the Service Exclusions section.



**New Effective Date: March 1, 2023**

**Section 3.0 When the Service is Covered:**

Added “Telephonically” to Subsection 3.1.1.

**New Effective Date: September 15, 2023**

**Attachment D, Intensive-In-Home:** Staffing Requirements (a): Removed language requiring the 30-month timeline for an associate level professional team lead actively seeking licensure to begin at the effective date of policy.

**Attachment D, Psychosocial Rehabilitation:** Eligibility Criteria (b): Removed meeting level of care criteria.

**Attachment D, Child and Adolescent Day Treatment:** Staff Requirements (d): Removed the word “dedicated” for licensed professional. Removed language requiring 30-month timeline for an associate level professional team lead actively seeking licensure to begin at the effective date of policy.

**Attachment D, Partial Hospitalization:** Eligibility Criteria (a): Removed substance use disorder as an eligible diagnosis. Eligibility Criteria (b): Removed meeting Level of Care Criteria.

**New Effective Date: October 15, 2023**

**Attachment D and all other Sections, Outpatient Opioid Treatment:**

Deleted: Outpatient Opioid Treatment service was removed from this policy. Outpatient Opioid Treatment is now a standalone service definition policy.

**All Sections:** Replace abuse with use, where appropriate.

**New Effective Date: January 1, 2024**

**Attachment D, Professional Treatment Services in Facility-Based Crisis**

**Program:** Continuation or Utilization Review: Updated number of units to correspond with 7 days for utilization review and 8 days for initial authorization. Increased allowable billing units from 16 to 24 hours in a 24-hour period. Added language to clarify the psychiatric or physician extender may bill for additional psychiatric evaluations (excluding the initial evaluation) and other therapeutic services separately when providing evaluation and management services.

**New Effective Date: May 1, 2024**

**Attachment D and all other Sections, Ambulatory Detoxification:**

Deleted: Ambulatory Detoxification service was removed from this policy. Ambulatory Detoxification is now a standalone service definition policy and has been renamed Ambulatory Withdrawal Management (WM) without Extended On-Site Monitoring.

**Attachment D and all other Sections, Social Setting Detoxification:**

Deleted: Social Setting Detoxification service was removed from this policy. Social Setting Detoxification is now a standalone service definition policy and has been renamed Clinically Managed Residential Withdrawal Management Services.

**Attachment D and all other Sections, Non-Hospital Medical Detoxification:**

Deleted: Non-Hospital Medical Detoxification service was removed from this policy. Ambulatory Detoxification is now a standalone service definition policy and has been renamed Medically Monitored Inpatient Withdrawal Management Services.

## Attachment A: Claims-Related Information

guidelines, including obtaining appropriate referrals for individuals meeting NC Tracks Benefit Plan eligibility criteria.

**A. Claim Type**

Professional (837P transaction).

**B. International Classification of Diseases and Related Health Problems, Tenth Revisions, Clinical Modification (ICD-10-CM) and Procedural Coding System (PCS)**

Providers shall bill the ICD-10-CM diagnosis code(s) (or its successors) to the highest level of specificity that supports medical necessity. Provider(s) shall use the current ICD-10 edition and any subsequent editions in effect at the time of service. Provider(s) shall refer to the applicable edition for code description, as it is no longer documented in the policy.

A qualified provider who renders services to an individual eligible for state-funded services shall bill all other third-party payors, including Medicaid, NC Health Choice, and Medicare, before submitting a claim for state fund reimbursement.

Claims submitted to NC Tracks have coding requirements that are specific to DMH/DD/SUS billing policy. Specifically, diagnosis coding is required on all claims to NC Tracks. NC Tracks recognizes the International Classification of Diseases, 10th Revision, Clinical Modification (ICD-10-CM) codes or its successors, as directed by DMH/DD/SUS. NC Tracks does not recognize any diagnosis codes in any versions of the Diagnostic and Statistical Manual of Mental Disorders.

Note: Providers using the Diagnostic Classification of Mental Health and Developmental Disorders of Infancy and Early Childhood (DC:0–5) manual shall submit claims using the ICD-10 diagnosis code that corresponds to the chosen DC:0-5 diagnosis.

**C. Code(s)**

Provider(s) shall report the most specific billing code that accurately and completely describes the service provided. Provider(s) shall use the Current Procedural Terminology (CPT), Health Care Procedure Coding System (HCPCS), and UB-04 Data Specifications Manual (for a complete listing of valid revenue codes) and any subsequent editions in effect at the time of service. Provider(s) shall refer to the applicable edition for the code description, as it is no longer documented in the policy.

**Mobile Crisis Management**

HCPCS Code	Billing Unit	Telehealth Eligible	Use GT Modifier for Telehealth
H2011	1 unit =15 minutes	Yes	No

**Intensive In-Home Services**

HCPCS Code	Billing Unit	Telehealth Eligible
H2022	1 unit =1 day	No

**Multisystemic Therapy**

HCPCS Code	Billing Unit	Telehealth Eligible
H2033	1 unit =15 minutes	No

**Psychosocial Rehabilitation**

HCPCS Code	Billing Unit	Telehealth Eligible
H2017	1 unit =15 minutes	No

**Child and Adolescent Day Treatment**

HCPCS Code	Bill with Modifier	Billing Unit	Telehealth Eligible
H2012	HA	1 unit =1 hour	No

**Partial Hospitalization**

HCPCS Code	Billing Unit	Telehealth Eligible
H0035	1 unit =1 event	No

**Professional Treatment Services in Facility-Based Crisis Programs – Adult**

HCPCS Code	Billing Unit	Telehealth Eligible
S9484	1 unit = 1 hour	No

**Substance Abuse Intensive Outpatient Program**

HCPCS Code	Billing Unit	Telehealth Eligible
H0015	1 unit = 1 event per day (3 hours minimum)	No

**Substance Abuse Comprehensive Outpatient Treatment**

HCPCS Code	Billing Unit	Telehealth Eligible
H2035	1 unit =1 hour	No

**Substance Abuse Halfway House**

HCPCS Code	Billing Unit	Telehealth Eligible
H2034	1 unit =1 day	No

**Substance Abuse Non-Medical Community Residential Treatment—Adult**

HCPCS Code	Bill with Modifier	Billing Unit	Telehealth Eligible
H0012	HB	1 unit = 1 day not to exceed more than 45 days in a 12-month period	No

**Substance Abuse Medically Monitored Community Residential Treatment**

HCPCS Code	Billing Unit	Telehealth Eligible
H0013	1 unit = 1 day not to exceed more than 45 days in a 12-month period	No

Note: As specified within this policy, components of this service may be provided via telehealth by the physician. Due to this service containing other elements that are not permitted via telehealth, the GT modifier is not appended to the HCPCS code to indicate that a service component has been provided via telehealth.

**Medically Supervised Detoxification Crisis Stabilization**

HCPCS Code	Billing Unit	Telehealth Eligible
H2036	1 unit = 1 day not to exceed more than 30 days in a 12-month period	No

**Unlisted Procedure or Service**

**CPT:** The provider(s) shall refer to and comply with the Instructions for Use of the CPT Codebook, Unlisted Procedure or Service, and Special Report as documented in the current CPT in effect at the time of service.

**HCPCS:** The provider(s) shall refer to and comply with the Instructions for Use of HCPCS National Level II codes, Unlisted Procedure or Service and Special Report as documented in the current HCPCS edition in effect at the time of service.

**D. Modifiers**

Providers shall follow applicable modifier guidelines. Refer to **Section C** above.

Non-Telehealth Claims: Provider(s) shall follow applicable modifier guidelines.

Telehealth Claims: Modifier GT must be appended to the CPT or HCPCS code to indicate that a service has been provided via interactive audio-visual communication.

**E. Billing Units**

The provider shall report the appropriate procedure code(s) used which determines the billing unit(s).

**F. Place of Service**

Places of service will vary depending on the specific service rendered. They include the following: community settings such as home, school, shelters, work locations, and hospital emergency rooms; licensed substance use disorder services settings; and licensed crisis settings.

Telehealth claims should be filed with the provider's usual place of service code(s) and not place of service 02 (Telehealth).

**G. Reimbursement**

Providers shall bill their usual and customary charges based on DMH/DD/SUS reimbursement policy.

**Note:** The Division of MH/DD/SUS will not reimburse for conversion therapy.

## Attachment B: Goal Writing

**“A usefully stated objective [goal] is one that succeeds in communicating an intended result.”** [Mager, *Preparing Instructional Objectives*].

A strong, well-written goal will communicate three pieces of information: what the person will do (behavior); under what conditions the performance will occur (condition); and the acceptable level of performance (criteria).

**What the Person Will Do** refers to the **behavior, performance, or action** of the person for whom the goal is written. In services for people with disabilities, especially in the context of person-centered services, behavioral objectives or goals should be stated in positive, affirmative language.

**Under What Conditions the Performance Will Occur** is the part of the goal that describes the **action of the staff person or staff intervention**. Specifically address what assistance the staff person will provide, or what the staff person will do (if anything) to see that the behavior, performance, or action of the individual occurs. Here are some examples of conditions and interventions:

- With assistance from a staff person...
- When asked...
- With suggestions from a team member...
- With physical assistance...
- Given that Ellen has received instruction...
- Given that Jeremy has the phone book in front of him...
- Without any verbal suggestions...
- Given that a staff person has shown Jose where the detergent is...
- With no suggestions or demonstrations...

**Acceptable Level of Performance** refers to **criteria**. This means the goal must include a description of how “achievement” will be defined. In writing this part of the goal, always consider how the person or the people who know the person well define success. Performance may be overt, which can be observed directly, or it may be covert, which means it cannot be observed directly, but is mental, invisible, cognitive, or internal. [Mager, *Preparing Instructional Objectives*].

**Measurable Goals** are most easily written by using words that are open to *fewer interpretations*, rather than words that are open to *many interpretations*. Consider the following examples:

**a. Words open to many interpretations (TRY NOT TO USE THESE WORDS) are:**

- to know
- to understand
- to really understand
- to appreciate
- to fully appreciate
- to grasp the significance of
- to enjoy
- to believe
- to have faith in
- to internalize

**b. Words open to fewer interpretations (USE THESE TYPES OF WORDS) are:**

- to write
- to recite
- to identify
- to sort
- to solve
- to construct
- to build
- to compare
- to contrast
- to smile

**c. Here are some examples of goals that are written using positive language and that include the elements above:**

- With staff assistance **[condition]**, Marsha will choose her clothing, based on the weather **[performance]**, five out of seven days for the next three months **[criteria]**.
- Adam will identify places he can go in his free time **[performance]**, without any suggestions from staff **[condition]**, each Saturday morning for the next three months **[criteria]**.
- With gentle, verbal encouragement from staff **[condition]**, Charles will not scream while eating **[performance]**, two out of three meals, for five minutes each time, for the next two months **[criteria]**.
- Given that Rosa has received instructions **[condition]**, she will call her therapist to make her own appointments **[performance]**, as needed during the next four months **[criteria]**.
- With suggestions from a support team member **[condition]**, Henry will write a letter to his father **[performance]**, once a month for the next six months **[criteria]**.

## Attachment C: Documentation—Best Practice Guidelines

Services that are billed for state funds must comply with DMH/DD/SUS NC Tracks Benefit Plan reimbursement guidelines and relate to goals in the individual's PCP. All service-related documentation must meet the requirements outlined in the *Records Management and Documentation Manual* and the *Person-Centered Planning Instruction Manual*. To assist in assuring that these guidelines are met, documentation shall be:

- a. **Accurate** — describing the facts as observed or reported;
- b. **Timely** — recording significant information at the time of the event, to avoid inaccurate or incomplete information;
- c. **Objective** — recording facts and avoiding drawing conclusions. Professional opinion must be phrased to clearly indicate that it is the view of the recorder;
- d. **Specific, concise, and descriptive** — recording in detail rather than in general terms, being brief and meaningful without sacrificing essential facts, and thoroughly describing observation and other pertinent information;
- e. **Consistent** — explaining any contradictions and giving the reasons for the contradictions;
- f. **Comprehensive, logical, and reflective of thought processes** — recording significant information relative to an individual's condition and course of treatment or rehabilitation. Document pertinent findings, services rendered, changes in the individual's condition, and response to treatment or rehabilitation, as appropriate. Include justification for initial services as well as continued treatment or rehabilitation needs. Document reasons for any atypical treatment or rehabilitation utilized.
- g. **Clear** — recording meaningful information, particularly for other staff involved in the care or treatment of the individual. **Write in non-technical terms** to the extent possible.

## Attachment D: Service Definitions

### Mobile Crisis Management (State-Funded)

#### Service Definition and Required Components

Mobile Crisis Management (MCM) involves all support, services, and treatments necessary to provide integrated crisis response, crisis stabilization interventions, and crisis prevention activities. Mobile Crisis Management services are available at all times, 24 hours a day, seven days a week, 365 days a year. Crisis response provides an immediate evaluation, triage and access to acute mental health, developmental disabilities or substance use services, treatment, and supports to effect symptom reduction, harm reduction, or to safely transition persons in acute crises to appropriate crisis stabilization and detoxification supports or services. These services include immediate telephonic or telehealth response to assess the crisis and determine the risk, mental status, medical stability, and appropriate response.

Mobile Crisis Management also includes crisis prevention and supports that are designed to reduce the incidence of recurring crises. These supports and services should be specified in an individual's Crisis Plan, which is a component of all PCPs.

#### Provider Requirements

Mobile Crisis Management services shall be delivered by a team of practitioners employed by mental health, substance use disorder, or intellectual or developmental disability provider organizations that meet the requirements of 10A NCAC 27G and the provider qualification policies, procedures, and standards established by DMH/DD/SAS. These policies and procedures set forth the administrative, financial, clinical, quality improvement, and information services infrastructure necessary to provide services. Provider organizations shall demonstrate that they meet these standards by being credentialed by the LME-MCO. Within three years of enrollment as a provider, the organization shall have achieved national accreditation. The organization must be established as a legally recognized entity in the United States and qualified or registered to do business as a corporate entity in the State of North Carolina. The provider organization shall comply with all applicable federal and state requirements.

#### Staffing Requirements

Mobile Crisis Management services must be provided by a team of individuals that includes a QP according to 10A NCAC 27G .0104 and who shall either be a nurse, clinical social worker or psychologist as defined in this administrative code. One of the team members shall be an LCAS, CCS, Certified Substance Abuse Counselor (CSAC) or a Certified Alcohol and Drug Counselor (CADC). Each organization providing crisis management shall have 24 hours a day, seven days a week, 365 days a year, access to a board certified or eligible psychiatrist. The psychiatrist shall be available for in-person, telehealth, or telephonic consultation to crisis staff. A QP or AP with experience in developmental disabilities shall be available to the team as well. Paraprofessionals with competency in crisis management may also be members of the crisis management team when supervised by the QP. A supervising professional shall be available for consultation when a paraprofessional is providing services.

All staff providing crisis management services shall demonstrate competencies in crisis response and crisis prevention. At a minimum, these staff shall have:



- a. a minimum of one year's experience in providing crisis management services in the following settings: assertive outreach, assertive community treatment, emergency department or other service providing 24 hours a day, seven days a week, response in emergent or urgent situations;

**AND**

- b. 20 hours of training in appropriate crisis intervention strategies within the first 90 days of employment.

Professional staff shall have appropriate licenses, certification, training and experience and non-licensed staff shall have appropriate training and experience.

### **Service Type and Setting**

Mobile Crisis Management is a direct and periodic service that is available at all times, 24 hours a day, seven days a week, 365 days a year. It is a "second level" service, in that other services must be billed before Crisis Management, as appropriate and if there is a choice. For example, if the individual's outpatient clinician stabilized his or her crisis, the outpatient billing code should be used, not crisis management. If a Community Support Team worker responds and stabilizes his or her crisis, the Community Support Team billing code shall be used.

Units will be billed in 15-minute increments.

Mobile Crisis Management services are primarily delivered in-person with the individual and in locations outside the agency's facility. Annually, the aggregate services that have been delivered by the agency will be assessed for each provider agency, using the following quality assurance benchmarks:

- Teams providing this service shall provide at least 80% of their units in-person with individuals receiving this service.
- If an in-person assessment is required, this assessment must be delivered in the least restrictive environment and provided in or as close as possible to an individual's home, in the individual's natural setting, school, work, local emergency room, etc. This response must be mobile. The result of this assessment should identify the appropriate crisis stabilization intervention.

### **Program Requirements**

Mobile Crisis Management services should be delivered in the least restrictive environment and provided in or as close as possible to an individual's home.

Mobile Crisis Management services must be capable of addressing all psychiatric, substance use disorder, and intellectual or developmental disability crises for all ages to help restore (at a minimum) an individual to his or her previous level of functioning.

Mobile Crisis Management services may be delivered by one or more individual practitioners on the team.

For individuals new to the public system, Mobile Crisis Management must develop a Crisis Plan before discharge. This Crisis Plan should be provided to the individual, caregivers (if appropriate), and any agencies that may provide ongoing treatment and supports after the crisis has been stabilized. For individuals who are already receiving services, Mobile Crisis Management should recommend revisions to existing crisis plan components in PCPs, as

appropriate.

### **Utilization Management**

There is no prior authorization (PA) for Mobile Crisis. Concurrent review may occur after the first 32 units have been rendered to determine ongoing medical necessity. For individuals enrolled with the LME-MCO, the crisis management provider shall contact the LME-MCO to determine if the individual is enrolled with a provider that should and can provide or be involved with the response. Mobile Crisis Management shall be used to divert individuals from inpatient psychiatric services. These services are not used as “step down” services from inpatient hospitalization.

Utilization management shall be performed by the LME-MCO.

### **Eligibility Criteria**

The individual is eligible for this service when the following criteria are met:

- A. the individual or family is experiencing an acute, immediate crisis as determined by a crisis rating scale specified by DMH/DD/SAS;

**AND**

- B. the individual or family has insufficient or severely limited resources or skills necessary to cope with the immediate crisis.

**OR**

- C. The individual or family members evidence impairment of judgment, impulse control, cognitive or perceptual disabilities.

**OR**

- D. The individual is intoxicated or in withdrawal, in need of substance use disorder treatment and unable to access services without immediate assistance.

Priority should be given to individuals with a history of multiple crisis episodes or who are at substantial risk of future crises.

### **Continued Service Criteria**

The individual is eligible to continue this service if the crisis has not been resolved or their crisis situation has not been stabilized, which may include placement in a facility-based crisis unit or other appropriate residential placement.

### **Discharge Criteria**

The individual meets the criteria for discharge if any one of the following applies:

The individual's crisis has been stabilized and his or her need for ongoing treatment or supports has been assessed. If the individual has continuing treatment or support needs, a linkage to ongoing treatment or supports has been made.

### **Expected Outcomes**

This service includes a broad array of crisis prevention and intervention strategies which assist

the individual in managing, stabilizing or minimizing clinical crisis or situations. This service is designed to rapidly assess crisis situations and an individual's clinical condition, to triage the severity of the crisis, and to provide immediate, focused crisis intervention services which are mobilized based on the type and severity of crisis.

### **Documentation Requirements**

The minimum standard is a daily full service note that includes the:

- a. individual's name;
- b. service record number;
- c. date of service;
- d. purpose of contact;
- e. description of the provider's interventions;
- f. time spent performing the interventions;
- g. effectiveness of the intervention; and
- h. signature of the staff providing the service.

Treatment logs or preprinted check sheets are not sufficient to provide the necessary documentation. For an individual new to the public system, Mobile Crisis Management shall develop a crisis plan before discharge.

### **Service Exclusions**

Services that may not be concurrently provided with Mobile Crisis Management include the following except for the day of admission:

- a. Assertive Community Treatment Program;
- b. Community Support Team;
- c. Intensive In-Home Services;
- d. Multisystemic Therapy;
- e. Substance Abuse Medically Monitored Community Residential Treatment;
- f. Substance Abuse Non-Medical Community Residential Treatment;
- g. Detoxification Services;
- h. Inpatient Substance Abuse Treatment;
- i. Inpatient Psychiatric Treatment and Psychiatric Residential Treatment Facility except for the day of admission; and
- j. Mobile Crisis Management services may be provided to an individual who receives inpatient psychiatric services on the same day of service.

## **Intensive In-Home Services (State-Funded):**

### **Service Definition and Required Components**

The Intensive In-Home (IIH) service is a team approach designed to address the identified needs of children and adolescents who, due to serious and chronic symptoms of an emotional, behavioral, or substance use disorder, are unable to remain stable in the community without intensive interventions. This service may only be provided to individuals through age 17. This medically necessary service directly addresses the individual's mental health or substance use disorder diagnostic and clinical needs. The needs are evidenced by the presence of a diagnosable mental, behavioral, or emotional disturbance (as defined by DSM-5 or any subsequent editions of this reference material), with documentation of symptoms and effects reflected in the Comprehensive Clinical Assessment and the PCP. This team provides a variety of clinical rehabilitative interventions available 24 hours per day, 7 days per week, 365 days per year.

This is a time-limited, intensive child and family intervention based on the clinical needs of the individual. The service is intended to accomplish the following:

- reduce presenting psychiatric or substance use disorder symptoms,
- provide first responder intervention to diffuse current crisis,
- ensure linkage to community services and resources, and
- prevent out of home placement for the individual.

IIH services are authorized for one individual child in the family. The parent or caregiver must be an active participant in the treatment. The team provides individualized services that are developed in full partnership with the family. Effective engagement, including cultural sensitivity, is essential in providing services in the family's living environment. Services are generally more intensive at the beginning of treatment and decrease over time as the individual's skills develop.

This team service includes a variety of interventions that are available 24 hours per day, 7 days per week, 365 days per year. Services are delivered by the IIH staff who maintain contact and intervene as one organizational unit. IIH services are provided through a team approach; however, discrete interventions may be delivered by any one or more team members as clinically indicated. Not all team members are required to provide direct intervention to each individual on the caseload. The Team Leader must provide direct clinical interventions with each individual. The team approach involves structured, scheduled therapeutic interventions to provide support and guidance across multiple functional domains including emotional, medical and health. This service is not delivered in a group setting.

IIH services are delivered to children and adolescents, primarily in their living environments, with a family focus and IIH services include, but are not limited to, the following interventions as clinically indicated:

- a. individual and family therapy
- b. substance use disorder treatment interventions

- c. developing and implementing a home-based behavioral support plan with the individual and his or her caregivers
- d. psychoeducation imparts information about the individual's diagnosis, condition, and treatment to the individual, family, caregivers, or other persons involved with the individual's care
- e. intensive case management, which includes the following:
  - 1. assessment
  - 2. planning
  - 3. linkage and referral to paid and natural supports
  - 4. monitoring and follow up
- f. arrangements for psychological and psychiatric evaluations
- g. crisis management

The I/H Team shall provide "first responder" crisis response, as indicated in the PCP, 24 hours a day, 7 days a week, 365 days a year to individuals receiving this service.

In partnership with the individual, the individual's family, and the legally responsible person, as appropriate, the Licensed Professional or QP is responsible for convening the Child and Family Team, which is the vehicle for the person-centered planning process. The Licensed Professional or QP is responsible for monitoring and documenting the status of the individual's progress and the effectiveness of the strategies and interventions outlined in the PCP. The Licensed Professional or QP consults with identified medical (such as primary care and psychiatric) and non-medical providers (e.g., the county department of social services [DSS], school, the Department of Juvenile Justice and Delinquency Prevention [DJJDP]), engages community and natural supports, and includes their input in the person-centered planning process.

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

### **Provider Requirements**

I/H services shall be delivered by practitioners employed by mental health, substance use disorder, or intellectual or developmental disability provider organizations that:

- a. are currently certified as a Critical Access Behavioral Healthcare Agency (CABHA)
- b. meet the requirements of 10A NCAC 27G and the provider qualification policies, procedures, and standards established by DHM/DD/SUS;
- c. meet the provider qualification policies, procedures, and standards established by the Division of Mental Health, Developmental Disabilities and Substance Use Services (DMHDDSUS); and
- d. fulfill the requirements of 10A NCAC 27G.

These policies and procedures set forth the administrative, financial, clinical, quality improvement, and information services infrastructure necessary to provide services. Provider organizations shall demonstrate that they meet these standards by being credentialed by the LME-MCO. As part of the endorsement, the provider must notify the LME-MCO of the therapies, practices, or models that the provider has chosen to implement. Additionally, within one year of enrollment as a provider with the LME-MCO, the organization shall achieve national accreditation with at least one of the designated accrediting agencies. (Providers who were enrolled prior to July 1, 2008, shall have achieved national accreditation within three years of

their enrollment date.) The organization shall be established as a legally recognized entity in the United States and qualified or registered to do business as a corporate entity in the State of North Carolina, capable of meeting all of the requirements of the LME-MCO credentialing process, DMH/DD/SAS Communication Bulletins, the DMH/DD/SAS *Records Management and Documentation Manual*, and service implementation standards. The provider organization shall comply with all applicable federal and state requirements.

The organization is responsible for obtaining prior authorization from the LME-MCO for medically necessary services identified in the PCP.

### **Staffing Requirements**

All treatment shall be focused on, and for the benefit of, the eligible individual receiving IIH services. The service model requires that IIH staff provide 24-hour-a-day coverage, 7 days a week, 365 days a year. This service model is delivered by an IIH team comprised of one full-time equivalent (FTE) team leader and at least two additional full-time equivalent positions as follows:

- a. One FTE team leader who is a Licensed Professional who has the knowledge, skills, and abilities required by the population and age to be served (may be filled by no more than two individuals). An associate level professional actively seeking licensure may serve as the team leader conditional upon being fully licensed within 30 months from the date of hire.  
**AND**
- b. One FTE QP who has the knowledge, skills, and abilities required by the population and age to be served (may be filled by no more than two individuals).  
**AND**
- c. One FTE QP or AP who has the knowledge, skills, and abilities required by the population and age to be served (may be filled by no more than two individuals).

For IIH services focused on substance use disorder interventions, the team shall include at least one Certified Clinical Supervisor (CCS), Licensed or associate level Licensed Clinical Addiction Specialist (LCAS), Certified Substance Abuse Counselor (CSAC) or Certified Alcohol and Drug Counselor (CADC) as a member of the IIH team.

All staff providing Intensive In-Home services to children and families must have a minimum of one (1) year of documented experience with this population.

No IIH Team member who is actively fulfilling an IIH Team role may contribute to the staffing ratio required for another service during that time. When fulfilling the responsibilities of IIH services, the staff member shall be fully available to respond in the community.

The team-to-family ratio shall not exceed 1:12 for each IIH team.

The team leader is responsible for the following:

- a. providing individual and family therapy for each individual served by the team;
- b. designating the appropriate team staff such that specialized clinical expertise is applied as clinically indicated for each individual;
- c. providing and coordinating the assessment and reassessment of the individual's clinical needs;
- d. providing clinical expertise and guidance to the IIH team members in the team's interventions with the individual; and

- e. providing the clinical supervision of all members of the team for the provision of this service. An individual supervision plan is required for all IIH team members exclusive of the Team Leader.

The Licensed Professional or Qualified Professional has responsibility for the following:

- a. coordinating and overseeing the initial and ongoing assessment activities;
- b. convening the Child and Family Team for person-centered planning;
- c. completing the initial development and ongoing revision of the PCP and ensuring its implementation;
- d. consulting with identified medical (for example, primary care and psychiatric) and non-medical (for example, DSS, school, DJJDP) providers, engaging community and natural supports, and including their input in the person-centered planning process;
- e. ensuring linkage to the most clinically appropriate and effective services including arranging for psychological and psychiatric evaluations;
- f. providing and coordinating behavioral health services and other interventions for the individual or other family members with other licensed professionals and Child and Family Team members; and
- g. monitoring and documenting the status of the individual's progress and the effectiveness of the strategies and interventions outlined in the PCP.

All IIH staff have responsibility for the following under the direction of the team leader:

- a. Participating in the person-centered planning process;
- b. Assisting with implementing a home-based behavioral support plan with the individual and his or her caregivers as indicated in the PCP;
- c. Providing psychoeducation as indicated in the PCP;
- d. Assisting the team leader in monitoring and evaluating the effectiveness of interventions, as evidenced by symptom reduction and progress toward goals identified in the PCP
- e. Assisting with crisis interventions; and
- f. Assisting the team leader in consulting with identified providers, engaging community and natural supports, and including their input in the person-centered planning process.

All members of the IIH services team shall be supervised by the team leader. Persons who meet the requirements specified for QP or AP status according to 10A NCAC 27G .0104 and who have the knowledge, skills, and abilities required by the population and age to be served may deliver IIH services.

Family members or legally responsible persons of the individual receiving Intensive In-Home services may not provide these services for reimbursement.

**NOTE:** Supervision of IIH staff is covered as an indirect cost and therefore should not be billed as an IIH service.

### **Staff Training**

The following are the requirements for training staff in IIH.

**All IIH Team Staff**

- a. Within 30 days of hire to provide IIH services, all staff shall complete the following training requirements:
1. 3 hours of training in the IIH service definition required components;
  2. 3 hours of crisis response training; and
  3. 3 hours of PCP Instructional Elements (required for only IIH Team Leaders and IIH QP staff responsible for PCP) training;

**AND**

- b. Within 90 days of hire to provide this service, or by June 30, 2011 for staff who were currently working as an IIH Team member as of January 1, 2011, all IIH staff shall complete the following training requirements:

IIH staff must complete 24 hours\* of training (a minimum of 3 days) in one of the designated therapies, practices or models below specific to the population(s) to be served by each IIH Team. The designated therapies, practices or models are as follows:

1. Cognitive Behavior Therapy;
2. Trauma-Focused Therapy (For Example: Seeking Safety, Trauma Focused CBT, Real Life Heroes); or
3. Family Therapy (For Example: Brief Strategic Family Therapy, Multidimensional Family Therapy, Family Behavior Therapy, Child Parent Psychotherapy, or Family Centered Treatment).
  - A. Practices or models must be treatment focused, not prevention focused.
  - B. Each practice or model chosen must specifically address the treatment needs of the population to be served by each IIH.
  - C. Cognitive Behavior Therapy training must be delivered by a licensed professional.
  - D. Trauma-focused therapy and family therapy training must be delivered by a trainer who meets the qualifications of the developer of the specific therapy, practice or model and meets the training standard of the specific therapy, practice or model. If no specific trainer qualifications are specified by the model then the training must be delivered by a licensed professional.

\* Licensed Professionals (LP) who have documented evidence of post graduate training in the chosen qualifying practice (identified in the DMA Clinical Coverage Policy 8A March 20, 2006) dated no earlier than March 20, 2006, may count those training hours toward the 24-hour requirement. It is the responsibility of the LP to have clearly documented evidence of the hours and type of training received.

Licensed (or associate level Licensed Professionals, under supervision) staff shall be trained in and provide the aspects of these practice(s) or model(s) that require licensure,



such as individual therapy or other therapeutic interventions falling within the scope of practice of Licensed Professionals. It is expected that Licensed (or associate level Licensed Professionals, under supervision) staff will practice within their scope of practice.

Non-licensed staff [QPs and APs] shall be trained in and provide only the aspects of these practice(s) or model(s) that do not require licensure and are within the scope of their education, training, and expertise. Non-licensed staff will practice under supervision according to the service definition. It is the responsibility of the Licensed (or associate level Licensed Professional, under supervision) supervisor and the CABHA Clinical Director to ensure that the non-licensed staff practice within the scope of their education, training, and expertise and are not providing any services that require licensure.

All follow up training, clinical supervision, or ongoing continuing education requirements for fidelity of the clinical model or EBP(s) must be followed.

**AND**

- c. On an annual basis, follow up training and ongoing continuing education for fidelity to the chosen modality (Cognitive Behavioral Therapy, Trauma Focused Therapy, Family Therapy) is required. If no requirements have been designated by the developers of that modality, a minimum of 10 hours of continuing education in components of the selected modality must be completed annually.

**IIH Team Leaders**

- a. In addition to the training required for all IIH staff, IIH Team Leaders, within 90 days of hire to provide this service, or by March 31, 2011, for staff who were currently working as an IIH Team member as of January 1, 2011, shall complete the following training requirements:
  1. 13 hours of Introductory Motivational Interviewing (MI) training by a MINT Trainer\*\* (mandatory 2-day training).
  2. 11 hours of Introduction to System of Care Training
  3. 12 hours of Person-Centered Thinking (PCT) training from a Learning Community for Person Centered Practices certified PCT trainer.
    - A. All new hires to IIH must complete the full 12-hour training.
    - B. Staff who previously worked in IIH for another agency and had six (6) hours of PCT training under the old requirement will have to meet the 12-hour
    - C. requirement when moving to a new company.
    - D. The 12-hour PCT training will be portable if an employee change jobs any time after completing the 12-hour requirement, as long as there is documentation of such training in the new employer's personnel records.
    - E. Staff who previously worked in IIH within the same agency and had six (6) hours of PCT training under the old requirement may complete the additional six (6) hour PCT or Recovery training curriculum when available as an alternative to the full 12-hour training; if not, then the full 12 hour training must be completed.

**AND**

- b. Within 90 days of hire to provide this service, or by June 30, 2011, for staff who were currently working as an IIH Team member as of January 1, 2011, all IIH Team Leaders shall complete all supervisory level training required by the developer of the designated therapy,

practice or model. If no specific supervisory level training exists for the designated therapy, practice, or model, then all IIH Team Leaders must complete a minimum of 12 hours of clinical supervision training.

### **All Non-Supervisory IIH Staff (QPs and APs)**

In addition to the training required for all IIH staff, non-supervisory IIH staff, within 90 days of hire to provide this service, or by June 30, 2011, for staff who were currently working as an IIH team member as of January 1, 2011, shall complete the following training requirements:

- a. 13 hours of Introductory Motivational Interviewing (MI) training by a MINT Trainer\*\* (mandatory 2-day training);
- b. 11 hours of Introduction to System of Care Training; and
- c. 12 hours of Person-Centered Thinking training from a Learning Community for Person Centered Practices certified PCT trainer.
  1. All new hires to IIH must complete the full 12-hour training.
  2. Staff who previously worked in IIH for another agency and had six (6) hours of PCT training under the old requirement will have to meet the 12-hour requirement when moving to a new company.
  3. The 12-hour PCT training will be portable if an employee change jobs any time after completing the 12-hour requirement, as long as there is documentation of such training in the new employer's personnel records.
  4. Staff who previously worked in IIH within the same agency and had six (6) hours of PCT training under the old requirement may complete the additional six (6) hour PCT or Recovery training curriculum when available as an alternative to the full 12-hour training; if not, then the full 12-hour training must be completed.

\*\*NOTE: Motivational Interviewing training must be provided by a Motivational Interviewing Network of Trainers (MINT) trainer ([www.motivationalinterview.org](http://www.motivationalinterview.org)).

Motivational Interviewing and all selected therapies, practices and models must be designated in the provider's program description. All staff shall be trained in Motivational Interviewing as well as the other practice(s) or model(s) identified above and chosen by the provider. All training shall be specific to the role of each staff member and specific to the population served.

The following table summarizes the training requirements for the IIH service.

Time Frame	Training Required	Who	Total Minimum Hours Required
Within <b>30 days</b> of hire to provide service	<ul style="list-style-type: none"> <li>▪ 3 hours IIH service definition required components</li> <li>▪ 3 hours of crisis response</li> </ul>	<ul style="list-style-type: none"> <li>▪ All Staff</li> </ul>	6 hours
	<ul style="list-style-type: none"> <li>▪ 3 hours of PCP Instructional Elements</li> </ul>	<ul style="list-style-type: none"> <li>▪ IIH Team Leaders</li> <li>▪ QPs responsible for PCP</li> </ul>	3 hours
Within <b>90 days</b> of hire to provide this service, <b>or by March 31, 2011</b> for staff members of existing providers	<ul style="list-style-type: none"> <li>▪ 13 hours of Introductory Motivational Interviewing* (MI) (mandatory 2-day training)</li> <li>▪ 12 hours of Person Centered Thinking</li> <li>▪ 11 hours Introduction to SOC</li> </ul>	<ul style="list-style-type: none"> <li>▪ IIH Team Leaders</li> </ul>	36 hours
Within <b>90 days</b> of hire to provide this service, <b>or by June 30, 2011</b> for staff members of existing providers	<ul style="list-style-type: none"> <li>▪ 13 hours of Introductory Motivational Interviewing* (MI) (mandatory 2-day training)</li> <li>▪ 12 hours of Person Centered Thinking</li> <li>▪ 11 hours Introduction to SOC</li> </ul>	<ul style="list-style-type: none"> <li>▪ All Non-Supervisory IIH Team Staff</li> </ul>	36 hours
	<ul style="list-style-type: none"> <li>▪ To ensure the core fundamental elements of training specific to the modality** selected by the agency for the provision of services are implemented a minimum of 24 hours of the selected modality must be completed.</li> </ul>	<ul style="list-style-type: none"> <li>▪ All IIH Staff</li> </ul>	24 hours
	<ul style="list-style-type: none"> <li>▪ All supervisory level training required by the developer of the designated therapy, practice or model with a minimum of 12 hours must be completed.</li> </ul>	<ul style="list-style-type: none"> <li>▪ IIH Team Leaders</li> </ul>	12 hours
<b>Annually</b>	<ul style="list-style-type: none"> <li>▪ Follow up training and ongoing continuing education required for fidelity to chosen modality** (If no requirements are designated by developers of that modality, a minimum of 10 hours of continuing education in components of the selected modality must be completed.).</li> </ul>	<ul style="list-style-type: none"> <li>▪ All IIH Staff</li> </ul>	10 hours**

\* Motivational Interviewing training must be provided by a Motivational Interviewing Network of Trainers (MINT) trainer.

\*\*Modalities must be ONE of the following: Cognitive Behavioral Therapy, Trauma Focused Therapy, and Family Therapy.

**Total Hours of Training for the IIH Staff:**

- a. IIH Staff other than Team Leader and QPs responsible for PCPs – 42 hours plus the required hours of training for the selected model;
- b. QPs responsible for the PCP – 45 hours plus the required hours of training for the selected model;
- c. Team Leader – 45 hours plus the required hours of training for the selected model as well as the supervisory training requirement;

**AND**

- d. Annually, all IIH staff must have a minimum of 10 hours of training (more if fidelity to the model requires it).

**Service Type and Setting**

IIH is a direct and indirect, periodic, rehabilitative service in which the team members provide medically necessary services and interventions that address the diagnostic and clinical needs of the individual. Additionally, the team provides interventions with the family and caregivers on behalf of and directed for the benefit of the individual as well as plans, links, and monitors services on behalf of the individual. This service is provided in any location. IIH providers shall deliver services in various environments, such as homes, schools, court, homeless shelters, libraries, street locations, and other community settings.

The IIH Team shall provide “first responder” crisis response, as indicated in the PCP, 24 hours a day, 7 days a week, 365 days a year to individuals receiving this service.

IIH also includes telephone time with the individual and his or her family or caregivers, as well as collateral contact with persons who assist the individual in meeting his or her rehabilitation goals specified in the PCP. IIH includes participation and ongoing clinical involvement with the Child and Family Team and meetings for the planning, development, implementation, and revision of the PCP.

**Program Requirements**

All aspects of the delivery of this service occurring per date of service will equal one per diem event of a two-hour minimum. It is the expectation that service frequency will decrease over time: at least 12 in-person contacts per individual are required in the first month, and at least 6 face-to face contacts per individual per month are required in the second and third months of IIH services. The IIH service varies in intensity to meet the changing needs of individuals, families, and caregivers; to assist them in the home and community settings; and to provide a sufficient level of service as an alternative to the individual’s need for a higher level of care.

The IIH team works together as an organized, coordinated unit under the direct supervision of the Team Leader. The team meets at least weekly to ensure that the planned interventions are

implemented by the appropriate staff members and to discuss the individual's progress toward goals as identified in the PCP.

This service is billed per diem, with a 2-hour minimum. That is, when the total contact time per date of service meets or exceeds 2 hours, it is a billable event. Based on the percentages listed below, the 2 hours may include:

- a. direct clinical interventions as identified in the PCP; or
- b. case management interventions (in-person, telephone time, and collateral contacts).

Services are delivered in-person with the individual, family, and caregivers and in locations outside the agency's facility. Each provider agency will assess and document at least annually the aggregate services delivered at each site, using both of the following quality assurance benchmarks:

- a. at least 60% of the contacts shall occur in-person with the individual, family, and caregivers. The remaining units may be either telephone or collateral contacts; and
- b. at least 60% of staff time shall be spent working outside of the agency's facility, with or on behalf of the individual.

At any point while the individual is receiving IIH services, IIH staff shall link him or her to an alternative service when clinically indicated and functionally appropriate for the needs of the individual and family as determined by the Child and Family Team. A full service note is required to document the activities that led to the referral.

It is incumbent upon the IIH provider agency as a professional entity to research and implement evidence-based practices appropriate to this service definition.

### **Eligibility Criteria**

An individual is eligible for this service when all of the following criteria are met:

- a. there is a mental health and/or substance use disorder diagnosis (as defined by the DSM-5 or any subsequent editions of this reference material), other than a sole diagnosis of intellectual or developmental disability;
- b. based on the current comprehensive clinical assessment, this service was indicated and outpatient treatment services were considered or previously attempted, but were found to be inappropriate or not effective;
- c. the individual has current or past history of symptoms or behaviors indicating the need for a crisis intervention as evidenced by suicidal or homicidal ideation, physical aggression toward others, self-injurious behavior, serious risk taking behavior (running away, sexual aggression, sexually reactive behavior, or substance use);
- d. the individual's symptoms and behaviors are unmanageable at home, school, or in other community settings due to the deterioration of his or her mental health or substance use disorder condition, requiring intensive, coordinated clinical interventions;
- e. the individual is at imminent risk of out-of-home placement based on his or her current mental health or substance use disorder clinical symptomatology, or is currently in an out-of-home placement and a return home is imminent; and

- f. there is no evidence to support that alternative interventions would be equally or more effective, based on North Carolina community practice standards (Best Practice Guidelines of the American Academy of Child and Adolescent Psychiatry, American Psychiatric Association, American Society of Addiction Medicine).

### **Entrance Process**

The process for an individual to enter this service includes a comprehensive clinical assessment that demonstrates medical necessity shall be completed prior to provision of this service. If a substantially equivalent assessment is available, reflects the current level of functioning, and contains all the required elements as outlined in community practice standards as well as in all applicable federal and state requirements, it may be used as part of the current comprehensive clinical assessment. Relevant diagnostic information shall be obtained and included in the PCP.

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

Prior authorization is required on the first day of this service.

Prior authorization by the LME-MCO is required. To request the initial authorization, submit the PCP with signatures, the required authorization request form, and any additional documentation required to the LME-MCO. In addition, submit a completed LME-MCO Consumer Admission and Discharge Form to the LME-MCO.

The LME-MCO may cover up to 60 days for the initial authorization period, based on medical necessity.

After the initial authorization has been obtained, the team leader will convene the Child and Family Team, in partnership with the individual and his or her family, for the purpose of further developing the PCP.

### **Continued Service Criteria**

The individual is eligible to continue this service if the desired outcome or level of functioning has not been restored, improved, or sustained over the time frame outlined in the individual's PCP; or the individual continues to be at risk for out- of-home placement, based on current clinical assessment, history, and the tenuous nature of the functional gains.

### **AND**

One of the following applies:

- a. The individual has achieved current PCP goals, and additional goals are indicated as evidenced by documented symptoms;
- b. The individual is making satisfactory progress toward meeting goals and there is documentation that supports that continuation of this service will be effective in addressing the goals outlined in the PCP;

- c. The individual is making some progress, but the specific interventions in the PCP need to be modified so that greater gains, which are consistent with the individual's premorbid level of functioning, are possible; or
- d. The individual fails to make progress, or demonstrates regression, in meeting goals through the interventions outlined in the PCP. The individual's diagnosis should be reassessed to identify any unrecognized co-occurring disorders, and interventions or treatment recommendations should be revised based on the findings. This includes consideration of alternative or additional services.

### **Discharge Criteria**

The individual meets the criteria for discharge if any one of the following applies:

- a. The individual has achieved goals and is no longer in need of IIH services;
- b. The individual's level of functioning has improved with respect to the goals outlined in the PCP, inclusive of a transition plan to step down to a lower level of care;
- c. The individual is not making progress or is regressing, and all reasonable strategies and interventions have been exhausted, indicating a need for more intensive services;
- d. The individual or legally responsible person no longer wishes to receive IIH services;  
or
- e. The individual, based on presentation and failure to show improvement despite modifications in the PCP, requires a more appropriate best practice treatment modality based on North Carolina community practice standards (for example, National Institute of Drug Abuse, American Psychiatric Association).

In addition, a completed LME-MCO Consumer Admission and Discharge Form shall be submitted to the LME-MCO.

**NOTE:** Any denial, reduction, suspension, or termination of service requires notification to the individual, legally responsible person, or both about the individual's appeal rights pursuant to G.S. 143B-147(a)(9) and Rules 10A NCAC 271 .0601-.0609.

### **Expected Clinical Outcomes**

The expected clinical outcomes for this service are specific to recommendations resulting from clinical assessments and meeting the identified goals in the individual's PCP.

Expected clinical outcomes include, but are not limited to, the following:

- a. Decrease in the frequency or intensity of crisis episodes;
- b. Reduction in symptomatology;
- c. Engagement in the recovery process by the individual, and family or caregivers;
- d. Improved functioning in the home, school and community settings;
- e. Ability of the individual and family or caregiver to better identify and manage triggers, cues, and symptoms;
- f. Sustained improvement in developmentally appropriate functioning in specified life domains;
- g. Increased utilization of coping skills and social skills that mitigate life stresses resulting from the individual's diagnostic and clinical needs;

- h. Reduction of symptoms and behaviors that interfere with the individual's daily living, such as negative effects of the substance use disorder, psychiatric symptoms, or both;
- i. Decrease in delinquent behaviors when present; and
- j. Increased use of available natural and social supports by the individual and family or caregivers.

### **Documentation Requirements**

Refer to the DMH/DD/SAS *Records Management and Documentation Manual* for a complete listing of documentation requirements.

For this service, one of the documentation requirements is a full service note for each contact or intervention (such as family counseling, individual counseling, case management, crisis response) for each date of service, written and signed by the person(s) who provided the service, that includes the following:

- a. Individual's name;
- b. Service Record Number;
- c. Service provided (for example, IAH services);
- d. Date of service;
- e. Place of service
- f. Type of contact (in-person, telephone call, collateral);
- g. Purpose of the contact;
- h. Description of the provider's interventions;
- i. Amount of time spent performing the intervention;
- j. Description of the effectiveness of the interventions in meeting the individual's specified goals as outlined in the PCP; and
- k. Signature and credentials of the staff member(s) providing the service.

A documented discharge plan shall be discussed with the individual and included in the service record.

In addition, a completed LME-MCO Consumer Admission and Discharge Form shall be submitted to the LME-MCO.

### **Utilization Management**

Services are based upon a finding of medical necessity, shall be directly related to the individual's diagnostic and clinical needs, and are expected to achieve the specific rehabilitative goals specified in his or her PCP. Medical necessity is determined by North Carolina community practice standards as verified by the LME-MCO.

Medically necessary services are authorized in the most cost-efficient mode, as long as the treatment that is made available is similarly efficacious to services requested by the individual's physician, therapist, or other licensed practitioner. Typically, a medically necessary service shall be generally recognized as an accepted method of medical practice or treatment. Each



case is reviewed individually to determine if the requested service meets the criteria outlined in this policy.

No more than one individual in the home may receive IIH services during any active authorization period.

Prior authorization by the LME-MCO is required.

The LME-MCO will evaluate the request to determine if medical necessity supports more or less intensive services.

The LME-MCO may cover up to 60 days for the initial authorization period based on the medical necessity documented in the individual's PCP, the authorization request form, and supporting documentation. Submit the reauthorization request before the initial authorization expires. The LME-MCO may cover up to 60 days for reauthorization based on the medical necessity documented in the required PCP, the authorization request form, and supporting documentation. If continued IIH services are needed at the end of the initial authorization period, submit the PCP and a new request for authorization reflecting the appropriate level of care and service to the LME-MCO. This should occur before the authorization expires.

This service is billed per diem, with a 2-hour minimum. That is, when the total contact time per date meets or exceeds 2 hours, it is a billable event. The 2 hours may include both direct and indirect interventions (in-person, telephone time, and collateral contacts), based on the percentages listed in Program Requirements.

### **Service Exclusions and Limitations**

An individual may receive IIH services from only one IIH service provider organization during any active authorization period for this service.

The following are not billable under this service:

- a. Transportation time (this is factored in the rate);
- b. Any habilitation activities;
- c. Any social or recreational activities (or the supervision thereof); or
- d. Clinical and administrative supervision of staff, including team meetings (this is factored in the rate).

Service delivery to individuals other than the child or adolescent receiving the service may be covered only when the activity is directed exclusively toward the benefit of that child or adolescent.

IIH services may not be provided during the same authorization period as the following services:

- a. Multisystemic Therapy;
- b. Day Treatment;
- c. individual, group and family therapy;
- d. Substance Abuse Intensive Outpatient Program;
- e. child residential treatment services Level II Program Type through Level IV;
- f. Psychiatric Residential Treatment Facility (PRTF); or
- g. substance use disorder residential services.

## Multisystemic Therapy (MST) (State-Funded):

### Service Definition and Required Components

Multisystemic Therapy (MST) is a program designed for youth generally between the ages 7 through 17 who:

- a. have antisocial, aggressive or violent behaviors;
- b. are at risk of out-of-home placement due to delinquency;
- c. adjudicated youth returning from out-of-home placement;
- d. chronic or violent juvenile offenders; or
- e. youth with serious emotional disturbances or a substance use disorder and their families.

MST provides an intensive model of treatment based on empirical data and evidence-based interventions that target specific behaviors with individualized behavioral interventions. The purpose of this program is to keep youth in the home by delivering an intensive therapy to the family within the home. Services are provided through a team approach to beneficiaries and their families.

Services include:

- a. an initial assessment to identify the focus of the MST intervention;
- b. individual therapeutic interventions with the individual and family;
- c. peer intervention;
- d. case management; and
- e. crisis stabilization.

Specialized therapeutic and rehabilitative interventions are available to address special areas such as:

- a. a substance use disorder;
- b. sexual abuse;
- c. sex offending; and
- d. domestic violence.

Services are available in-home, at school, and in other community settings. The duration of MST intervention is 3 to 5 months. MST involves families and other systems such as the school, probation officers, extended families, and community connections.

MST services are delivered in a team approach designed to address the identified needs of children and adolescents with significant behavioral problems who are transitioning from out of home placements or are at risk of out-of-home placement and need intensive interventions to remain stable in the community. This population has access to a variety of interventions 24-hours-a-day, 7-days-a-week, by staff that will maintain contact and intervene as one organizational unit.

This team approach consists of is structured face-to-face therapeutic interventions to that provide support and guidance in all areas of the following functional domains:

- a. adaptive;
- b. communication;
- c. psychosocial;
- d. problem solving; and
- e. behavior management.

The service promotes the family's capacity to monitor and manage the individual's behavior.

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

### **Provider Requirements**

MST services shall be delivered by a team of practitioners employed by mental health, substance use disorder, or intellectual or developmental disability provider organizations that meet the requirements of 10A NCAC 27G and the provider qualification policies, procedures, and standards established by DMH/DD/SUS. These policies and procedures set forth the administrative, financial, clinical, quality improvement, and information services infrastructure necessary to provide services. Provider organizations shall demonstrate that they meet these standards by being credentialed by the LME-MCO. Additionally, the organization shall achieve national accreditation with at least one of the designated accrediting bodies within one year of enrollment as a provider with the LME-MCO. The organization shall be established as a legally recognized entity in the United States and qualified or registered to do business as a corporate entity in the State of North Carolina, capable of meeting all the requirements of the LME credentialing process, DMH/DD/SUS Communication Bulletins, the DMH/DD/SUS *Records Management and Documentation Manual*, and service implementation standards. The provider organization shall comply with all applicable federal and state requirements.

MST providers must have the ability to deliver services in various environments, such as homes, schools, homeless shelters, street locations, etc. Organizations that provide MST must provide "first responder" crisis response on 24 hours a day, 7 days a week, 365 days a year, basis to individuals who are receiving this service.

### **Staffing Requirements**

This service model includes at a minimum a master's level QP who is the team supervisor and three QP staff who provide available 24-hour coverage, 7 days a week. Staff is required to participate in MST introductory training and quarterly training on topics directly related to the needs of individuals receiving MST and their family on an ongoing basis. All staff on the MST team shall receive a minimum of 1 hour of group supervision and 1 hour of telephone consultation per week. MST team member-to-family ratio shall not exceed 1:5 for each member.

### **Service Type and Setting**

MST is a direct and indirect periodic service where the MST worker provides direct intervention and also arranges, coordinates, and monitors services on behalf of the individual. This service is provided in any location. MST services are provided in a range of community settings such as the individual's home, school, homeless shelters, libraries, etc. MST also includes telephone time with the individual and collateral contact with persons who assist him or her in meeting their goals specified in their PCP.

### **Clinical Requirements**

A minimum of 12 contacts must occur within the first month. For the second and third months of MST, an average of 6 contacts must occur each month. It is the expectation that service frequency will be titrated over the last 2 months.

Units are billed in 15-minute increments.

Program services are primarily delivered in-person with the individual and/or his or her family and in locations outside the agency's facility. The aggregate services that have been delivered by the agency will be assessed annually for each provider agency using the following quality assurance benchmarks:

- a. A minimum of 50% of the contacts occur in-person with the individual and/or family. The remaining units may either be phone or collateral contacts; and
- b. A minimum of 60% of staff time must be spent working outside of the agency's facility, with or on behalf of individuals receiving the service.

### **Utilization Management**

Authorization by the LME-MCO is required. The amount, duration, and frequency of the service must be included in an individual's PCP. The initial authorization for services may not exceed 30 days. Reauthorization for services may not exceed 120 days and is so documented in the PCP and service record.

Utilization management must be performed by the LME-MCO.

No more than 480 units of services may be provided to an individual in a 3-month period unless specific authorization for exceeding this limit is approved.

### **Eligibility Criteria**

The individual is eligible for this service when all of the following criteria are met:

- a. there is a mental health and/or substance use disorder diagnosis present, other than a sole diagnosis of an intellectual or developmental disability.
- b. the individual should be between the ages of 7 through 17.
- c. the individual displays willful behavioral misconduct (e.g., theft, property destruction, assault, truancy, or substance use or juvenile sex offense), when in conjunction with other adjudicated delinquent behaviors
- d. the individual is at imminent risk of out-of-home placement or is currently in out-of-home placement due to delinquency and reunification is imminent within 30 days of referral.
- e. the individual has a caregiver that is willing to assume long term parenting role and caregiver who is willing to participate with service providers for the duration of the treatment.

### **Continued Service Criteria**

The individual is eligible to continue this service if the desired outcome or level of functioning has not been restored, improved or sustained over the time frame outlined in the individual's PCP or the individual continues to be at risk for relapse based on history or the tenuous nature of the functional gains or any one of the following apply:

- a. The individual continues to exhibit willful behavioral misconduct.

#### **AND**

- b. There is a reasonable expectation that the individual will continue to make progress in reaching overarching goals identified in MST in the first 4 weeks.

#### **OR**

- c. The individual is not making progress; the PCP must be modified to identify more

effective interventions.

**OR**

- d. The individual is regressing; the PCP must be modified to identify more effective interventions.

### **Discharge Criteria**

The individual meets the criteria for discharge if any one of the following applies:

The individual's level of functioning has improved with respect to the goals outlined in the PCP, or no longer benefits from this service. The decision should be based on one of the following:

- a. The individual has achieved 75% of the PCP goals; discharge to a lower level of care is indicated.
- b. The individual is not making progress or is regressing, and all realistic treatment options within this modality have been exhausted.
- c. The individual or family requests discharge and is not imminently dangerous to self or others.
- d. The individual requires a higher level of care (i.e., inpatient hospitalization or PRTF).

**NOTE:** Any denial, reduction, suspension, or termination of service requires notification to the individual, legally responsible person, or both about the individual's appeal rights in accordance with the Department's individual notices procedure pursuant to G.S. 143B-147(a)(9) and Rules 10A NCAC 27I .0601-.0609.

### **Documentation Requirements**

The minimum standard is a daily full service note that includes:

- a. the individual's name;
- b. service record number;
- c. date of service;
- d. purpose of contact;
- e. describes the provider's intervention;
- f. time spent performing the intervention;
- g. effectiveness of interventions; and
- h. signature of the staff providing the service.

### **Expected Outcomes**

- a. The individual has improved in domains such as: adaptive, communication, psychosocial, problem solving and behavior.
- b. Willful behavioral misconduct has been reduced or eliminated (e.g. theft, property destruction, assault, truancy or substance use, or juvenile sex offense, when in conjunction with other delinquent behaviors).
- c. The family has increased capacity to monitor and manage the individual's behavior; need for out of home placement has been reduced or eliminated.

### **Service Exclusions and Limitations**

An individual may receive MST services from only one MST provider organization at a time.

MST services may not be billed for individuals who are receiving:

- a. Intensive In-Home Services;

- b. Day Treatment;
- c. Hourly Respite;
- d. individual, group or family therapy;
- e. SAIOP;
- f. child residential Level II–IV; or
- g. substance use disorder residential services.

## Psychosocial Rehabilitation (State-Funded):

### Service Definition and Required Components

A Psychosocial Rehabilitation (PSR) service is designed to help adults with psychiatric disabilities increase their functioning so that they can be successful and satisfied in the environments of their choice with the least amount of ongoing professional intervention. PSR focuses on skill and resource development related to life in the community and to increasing the participant's ability to live as independently as possible, to manage their illness and their lives with as little professional intervention as possible, and to participate in community opportunities related to functional, social, educational, and vocational goals.

The service is based on the principles of recovery, including equipping individuals with skills, emphasizing self-determination, using natural and community supports, providing individualized intervention, emphasizing employment, emphasizing the "here and now", providing early intervention, providing a caring environment, practicing dignity and respect, promoting individual choice and involvement in the process, emphasizing functioning and support in real world environments, and allowing time for interventions to have an effect over the long term.

There should be a supportive, therapeutic relationship between the providers, the individual receiving services, and family which addresses or implements interventions outlined in the PCP in ANY of the following skills development, educational, and pre-vocational activities:

- a. community living, such as housekeeping, shopping, cooking, use of transportation facilities, money management;
- b. personal care such as health care, medication self-management, grooming;
- c. social relationships;
- d. use of leisure time;
- e. educational activities which include assisting the individual in securing needed education services such as adult basic education and special interest courses; and
- f. prevocational activities which focus on the development of positive work habits and participation in activities that would increase the individual's self-worth, purpose, and confidence; these activities are not to be job specific training.

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

### Provider Requirements

Psychosocial Rehabilitation services shall be delivered by a team of practitioners employed by mental health, substance use disorder, or intellectual or developmental disability provider organizations that meet the requirements of 10A NCAC 27G and the provider qualification policies, procedures, and standards established by DMH/DD/SAS. These policies and

procedures set forth the administrative, financial, clinical, quality improvement, and information services infrastructure necessary to provide services. Provider organizations shall demonstrate that they meet these standards by being credentialed by the LME-MCO. Additionally, the organization shall achieve national accreditation with at least one of the designated accrediting bodies within one year of enrollment as a provider with the LME-MCO. The organization shall be established as a legally recognized entity in the United States and qualified or registered to do business as a corporate entity in the State of North Carolina, capable of meeting all of the requirements of the LME-MCO credentialing process, DMH/DD/SAS Communication Bulletins, the DMH/DD/SAS *Records Management and Documentation Manual*, and service implementation standards. The provider organization shall comply with all applicable federal and state requirements.

### **Staffing Requirements**

The program shall be under the direction of a person who meets the requirements specified for QP status according to 10A NCAC 27G .0104. The QP is responsible for supervision of other program staff, which may include APs and Paraprofessionals who meet the requirements according to 10A NCAC 27G .0104 and who have the knowledge, skills, and abilities required by the population and age to be served.

### **Service Type and Setting**

Psychosocial Rehabilitation is a service that shall be available five hours a day minimally and the setting shall meet the licensure requirements of 10A NCAC 27G .1200.

### **Program Requirements**

This service is to be available for a period of five or more hours per day, at least five days per week, and it may be provided on weekends or in the evening. The number of hours that an individual receives PSR services must be specified in his or her PCP.

If the PSR provider organization also provides Supported Employment or Transitional Employment, these services are to be reported separately including reporting of separate costs.

Only the time during which the individual receives PSR services may be billed to the LME-MCO.

### **Utilization Management**

Authorization by the LME-MCO is required. The amount, duration, and frequency of services must be included in an individual's PCP, and authorized on or before the day services are to be provided. Initial authorization for services should not exceed 90 days. Reauthorization should not exceed 180 days and shall be so documented in the service record.

Utilization management must be performed by the LME-MCO.

### **Eligibility Criteria**

The individual is eligible for this service when all of the following criteria are met:



- a. There is a mental health diagnosis present;
- b. The individual has impaired role functioning that adversely affects at least two of the following:
  1. employment;
  2. management of financial affairs;
  3. ability to procure needed public support services;
  4. appropriateness of social behavior; or
  5. activities of daily living.
- c. The individual's level of functioning may indicate a need for psychosocial rehabilitation if the individual has unmet needs related to recovery and regaining the skills and experience needed to maintain personal care, meal preparation, housing, or to access social, vocational and recreational opportunities in the community.

### **Continued Service Criteria**

The individual is eligible to continue this service if the desired outcome or level of functioning has not been restored, improved, or sustained over the time frame outlined in the individual's Person-Centered Plan or the individual continues to be at risk for relapse based on history or the tenuous nature of the functional gains or any one of the following apply:

- a. the individual has achieved initial rehabilitation goals in the PCP goals and continued services are needed in order to achieve additional goals;
- b. the individual is making satisfactory progress toward meeting rehabilitation goals;
- c. the individual is making some progress, but the specific interventions need to be modified so that greater gains, which are consistent with the individual's rehabilitation goals are possible or can be achieved;
- d. the individual is not making progress; the rehabilitation goals must be modified to identify more effective interventions; or
- e. the individual is regressing; the PCP must be modified to identify more effective interventions.

### **Discharge Criteria**

The individual meets the criteria for discharge if any one of the following applies:

The individual's level of functioning has improved with respect to the rehabilitation goals outlined in the Person Centered Plan, inclusive of a transition plan to step down, or no longer benefits, or has the ability to function at this level of care and ANY of the following applies:

- a. The individual has achieved rehabilitation goals, discharge to a lower level of care is indicated.
- b. The individual is not making progress, or is regressing and all realistic treatment options with this modality have been exhausted.
- c. The individual requires a more intensive level of care or service.

**NOTE:** Any denial, reduction, suspension, or termination of service requires notification to the individual, legally responsible person, or both about the individual's appeal rights pursuant to G.S. 143B-147(a)(9) and Rules 10A NCAC 27I .0601-.0609.

**Expected Outcomes**

This service includes interventions that address the functional problems associated with complex or complicated conditions related to mental illness. These interventions are strength-based and focused on promoting recovery, symptom stability, increased coping skills and achievement of the highest level of functioning in the community. The focus of interventions is the individualized goals related to addressing the individual's daily living, financial management and personal development; developing strategies and supportive interventions that will maintain stability; assisting the individual to increase social support skills that ameliorate life stresses resulting from his or her mental illness.

**Documentation Requirements**

Minimum standard is a full weekly service note.

**Service Exclusions**

PSR may not be provided during the same authorization period with the following services: Partial hospitalization and ACTT.

## **Child and Adolescent Day Treatment (State-Funded):**

### **Service Definition and Required Components**

Day Treatment is a structured treatment service in a licensed facility for children or adolescents and their families that builds on strengths and addresses identified needs. This medically necessary service directly addresses the individual's diagnostic and clinical needs, which are evidenced by the presence of a diagnosable mental, behavioral, or emotional disturbance (as defined by the DSM-5 or any subsequent editions of this reference material), with symptoms and effects documented in a comprehensive clinical assessment and the PCP.

This service is designed to serve children who, as a result of their mental health or substance use disorder treatment needs, are unable to benefit from participation in academic or vocational services at a developmentally appropriate level in a traditional school or work setting. The provider implements therapeutic interventions that are coordinated with the individual's academic or vocational services available through enrollment in an educational setting. A Memorandum of Agreement (MOA) between the Day Treatment provider, the Local Management Entity-Managed Care Organization (LME-MCO), the Local Education Agency (LEA) (or private or charter school) is highly encouraged. The purpose of an MOA is to ensure that all relevant parties (LEA, LME-MCO, provider) understand and support the primary purpose of the day treatment service definition which is to serve children who, as a result of their mental health or substance use disorder treatment needs, are unable to benefit from participation in academic or vocational services at a developmentally appropriate level in a traditional school or work setting.

These interventions are designed to reduce symptoms, improve behavioral functioning, increase the individual's ability to cope with and relate to others, promote recovery, and enhance the individual's capacity to function in an educational setting, or to be maintained in community-based services. It is available for children 5 through 17 years of age. Day Treatment must address the age, behavior, and developmental functioning of each individual to ensure safety, health, and appropriate treatment interventions within the program milieu.

Day Treatment provides mental health or substance use disorder interventions in the context of a therapeutic treatment milieu. This service is focused on providing clinical interventions and service to support the individual in achieving functional gains that support the individual's integration in educational or vocational settings, is developmentally appropriate, is culturally relevant and sensitive, and is child and family centered. Each Child and Adolescent Day Treatment provider must follow a clearly identified clinical model(s) or evidence-based treatment(s) consistent with best practice. The selected model(s) must be specified and described in the provider's program description. The clinical model(s) or Evidence-Based Practices (EBPs) should be expected to produce positive outcomes for this population.

The selected clinical model(s) or EBP(s) must address the clinical needs of each individual, and those needs shall be identified in the comprehensive clinical assessment and documented

in the PCP. All criteria (program, staffing, clinical and other) for the Day Treatment service definition and all criteria for the chosen clinical model(s) or EBP(s) must be followed. Where there is any incongruence between the service definition and the clinical model(s) or EBP(s), the more stringent requirements must be met.

Providers of Day Treatment must have completed the required certification or licensure of the selected model(s) (as required by the developer of the clinical model or EBP) and must document ongoing supervision and compliance within the terms of the clinical model(s) or EBP(s) to assure model fidelity.

All staff participating in the delivery of the clinical model(s) or EBP(s) shall complete the training requirements of that practice within the first 30 days of each staff member's date of employment to provide this service. This is in addition to the 20 hours of staff training that are minimally required for the delivery of the Day Treatment. All follow up training or ongoing continuing education requirements for fidelity of the clinical model(s) or EBP(s) must be followed.

Intensive services are designed to reduce symptoms and improve level of social, emotional, or behavioral functioning including but not limited to:

- a. Functioning in an appropriate educational setting;
- b. Maintaining residence with a family or community based non-institutional setting (foster home, Therapeutic Family Services); and
- c. Maintaining appropriate role functioning in community settings.

Day Treatment implements developmentally appropriate direct preventive and therapeutic interventions to accomplish the goals of the PCP, as related to the mental health or substance use disorder diagnosis. These interventions include, but are not limited to, the following:

- a. development of skills and replacement behaviors which can be practiced, applied, and continually addressed with treatment staff in a therapeutic and educational environment;
- b. monitoring of psychiatric symptoms in coordination with the appropriate medical care provider;
- c. identification and self-management of symptoms or behaviors;
- d. development or improvement of social and relational skills;
- e. enhancement of communication and problem-solving skills;
- f. relapse prevention and disease management strategies;
- g. individual, group and family counseling;
- h. provision of strengths-based positive behavior supports; and
- i. psycho-education, and training of family, unpaid caregivers, or others who have a legitimate role in addressing the needs identified in the PCP.

**NOTE:** Psycho-education services and training furnished to family members or caregivers must be provided to, or directed exclusively toward the treatment of, the eligible individual. Psycho-education imparts information to children, families, caregivers, or other individuals involved with the individual's care. Psychoeducation helps, explain the individual's diagnosis, condition, and treatment for the express purpose of fostering developmentally appropriate coping skills. These skills will support recovery and encourage problem-solving strategies for managing issues posed by the individual's condition. Psycho-educational activities are performed to benefit

and help the individual develop increasingly developmentally appropriate coping skills for handling problems resulting from their condition. The goal of psychoeducation is to reduce symptoms, improve functioning, and meet the goals outlined in the PCP.

In partnership with the individual, the individual's family, the legally responsible person (as applicable), and other service providers, a Child and Adolescent Day Treatment QP is responsible for convening the Child and Family Team, which is the vehicle for the person-centered planning process. The Child and Family Team comprises those persons relevant to the individual's successful achievement of service goals including, but not limited to, family members, mentors, school personnel, primary medical care provider, and members of the community who may provide support, structure, and services for the individual. The Day Treatment provider works with other behavioral health service providers, as well as with identified medical (including primary care and psychiatric) and non-medical providers (for example, the county department of social services, school, the Department of Juvenile Justice and Delinquency Prevention), engages community and natural supports, and includes their input in the person-centered planning process. A Day Treatment QP is responsible for developing, implementing, and monitoring the PCP, which shall include a crisis plan. The Day Treatment provider is also responsible for documenting the status of the individual's progress and the effectiveness of the strategies and interventions outlined in the PCP.

As part of the crisis plan of the PCP, the Day Treatment provider shall coordinate with the Local Management Entity-Managed Care Organization and the individual receiving the service to assign and ensure "first responder" coverage and crisis response, as indicated in the PCP, 24 hours a day, 7 days a week, 365 days a year.

Day Treatment provides case management services including, but not limited to, the following:

- a. Assessing the individual's needs for comprehensive services;
- b. Convening Child and Family Team meetings to coordinate the provision of multiple services and the development of and revisions to the PCP;
- c. Developing and implementing the PCP;
- d. Linking the individual or family to needed services and supports (such as medical or psychiatric consultations);
- e. Monitoring the provision of services and supports;
- f. Assessing the outcomes of services and supports; and
- g. Collaborating with other medical and treatment providers.

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

### **Provider Requirements**

Day Treatment services shall be delivered by practitioners employed by mental health, substance use disorder, or intellectual or developmental disability provider organizations that:

- a. meet the provider qualification policies, procedures, and standards established by the Division of MHDDSUS;
- b. meet the provider qualification policies, procedures, and standards established by the Division of MH/DD/SUS;
- c. fulfill the requirements of 10A NCAC 27G; and
- d. are currently certified as a Critical Access Behavioral Healthcare Agency (CABHA)

according to 10A NCAC 22P.

These policies and procedures set forth the administrative, financial, clinical, quality improvement, and information services infrastructure necessary to provide services. Provider organizations shall demonstrate that they meet these standards by being credentialed by the LME-MCO. Additionally, within one year of enrollment as a provider with the LME-MCO, the organization shall achieve national accreditation with at least one of the designated accrediting agencies. (Providers who were enrolled prior to July 1, 2008, shall have achieved national accreditation within three years of their enrollment date.) The organization shall be established as a legally recognized entity in the United States and qualified or registered to do business as a corporate entity in the State of North Carolina, capable of meeting all of the requirements of the LME-MCO credentialing process, DMH/DD/SUS Communication Bulletins, the DMH/DD/SUS *Records Management and Documentation Manual*, and service implementation standards. The provider organization shall comply with all applicable federal and state requirements.

The organization is responsible for obtaining authorization from the LME-MCO for medically necessary services identified in the PCP.

A facility providing Day Treatment services shall be licensed under 10A NCAC 27G .1400 or 10A NCAC 27G .3700.

### **Staffing Requirements**

All staff working in a Day Treatment Program must have the knowledge, skills and abilities required by the population and age to be served.

This service is delivered by the following staff:

- a. One (1) full time program director who meets the requirements specified for a QP (preferably master's level or a Licensed Professional), has a minimum of two years of experience in child and adolescent mental health or substance use disorder treatment services and who must be actively involved in program development, implementation, and service delivery. This individual may serve as one of the QPs in the Day Treatment Program staffing ratio.
- b. A minimum of one (1) FTE QP, per six children, who has the knowledge, skills, and abilities required by the population and age to be served, who must be actively involved in service delivery (for example, a program with four individuals needs one FTE QP, a program with seven individuals needs two FTE QPs), and a program with 19 individuals needs 4 FTE QPs).
- c. A minimum of one (1) additional FTE (QP, AP, or Paraprofessional) for every 18 enrolled individuals beginning with the 18<sup>th</sup> enrolled individual (for example, a program with 17 individuals does not need the additional FTE; a program with 21 individuals needs one additional FTE; and a program with 36 individuals needs two additional FTEs).
- d. A minimum of a .5 of a full time Licensed Professional for every 18 enrolled individuals. This individual must be actively involved in service delivery. An associate level licensed professional who fills this position must be fully licensed within 30 months from the date of hire. For substance use disorder focused programs, the Licensed Professional must be an LCAS (For example, a program with 10 individuals needs one .5 LP; a program with 19 individuals needs one full time LP).

Although the Licensed Professional is in addition to the program's QP to individual ratio, he or she may serve, as needed, as one of the two staff when children are present.

A minimum ratio of one QP to every six children is required to be present, with a minimum of two staff present with children at all times. The exception is when only one individual who is receiving the service is in the program, in which case only one staff member is required to be present. The staffing configuration must be adequate to anticipate and meet the needs of the individuals receiving this service.

If, for additional staffing purposes, the program includes persons who meet the requirements specified for AP or Paraprofessional status according to 10A NCAC 27G .0104, supervision must be provided according to supervision requirements specified in 10A NCAC 27G .0204 and according to licensure requirements of the appropriate discipline.

### **Staff Training**

Within 30 calendar days of hire to provide Day Treatment service all staff shall complete the following training requirements:

- a. 3 hours of training in the Day Treatment service definition required components
- b. 3 hours of crisis response training
- c. 11 hours Introduction to System of Care (SOC) training
- d. Required training specific to the selected clinical model(s) or evidence-based treatment(s)
- e. 3 hours of PCP Instructional Elements (required for only Day Treatment QP staff responsible for the PCP) training

Within **90 calendar days** of hire to provide this service, all Day Treatment staff shall complete the following training requirements:

- a. 12 hours of Person-Centered Thinking [PCT] training from a Learning Community for Person Centered Practices certified PCT trainer.
  1. All new hires to Day Treatment must complete the full 12-hour training
  2. Staff who previously worked in Day Treatment for another agency and had six (6) hours of PCT training under the old requirement will have to meet the 12-hour requirement when moving to a new company.
  3. The 12-hour PCT training will be portable if an employee changes jobs any time after completing the 12-hour requirement, as long as there is documentation of such training in the new employer's personnel records.
  4. Staff who previously worked in Day Treatment within the same agency and had six (6) hours of PCT training under the old requirement may complete the additional six (6) hour PCT or Recovery training curriculum if not, then the full 12 hour training must be completed.

Time Frame	Training Required	Who	Total Minimum Hours Required
<b>Effective April 1, 2010:</b>			
Within <b>30 days</b> of hire to provide service	<ul style="list-style-type: none"> <li>▪ 3 hours Day Treatment service definition required components</li> <li>▪ 3 hours of crisis response</li> <li>▪ 11 hours Introduction to SOC*</li> <li>▪ 6 hours of Person Centered Thinking</li> </ul>	<ul style="list-style-type: none"> <li>▪ All Day Treatment Staff</li> </ul>	23 hours
	<ul style="list-style-type: none"> <li>▪ Required training specific to the selected clinical model(s) or evidence-based treatment(s)**</li> </ul>	<ul style="list-style-type: none"> <li>▪ All Day Treatment Staff</li> </ul>	To be determined by model selected**
	<ul style="list-style-type: none"> <li>▪ 3 hours of PCP Instructional Elements</li> </ul>	<ul style="list-style-type: none"> <li>▪ Day Treatment QP staff responsible for PCP</li> </ul>	3 hours
<b>***Effective January 1, 2011:</b>			
Within <b>90 days</b> of hire to provide this service, <b>or by June 30, 2011</b> for staff members of existing providers	<ul style="list-style-type: none"> <li>▪ 12 hours of Person Centered Thinking</li> </ul>	<ul style="list-style-type: none"> <li>▪ All Day Treatment Staff</li> </ul>	12 hours

\* Day Treatment staff who have documentation of having received the required number of Introduction to SOC training hours within the past three years dating back to January 1, 2007, will be deemed to have met this requirement.

\*\* The training hours for the selected clinical model(s) or evidence-based treatment(s) must be based on the requirements of the selected clinical model(s) or evidence-based treatment(s).

\*\*\*All staff will be required to complete the new 12 hours of Person-Centered Thinking training addressed in Implementation Update # 73.

**Total Hours of Training for the Day Treatment Staff (as of 4/1/10):**

- Day Treatment staff other than the QPs responsible for PCPs – **23 hours plus the additional training hours on the selected clinical model(s) or evidence-based treatment(s)**
- QPs responsible for the PCP – **26 hours plus the additional training hours on the selected clinical model(s) or evidence-based treatment(s)**



### **Service Type and Setting**

A facility providing Day Treatment services shall be licensed under 10A NCAC 27G .1400 or 10A NCAC 27G .3700.

This is a day or night service that shall be available year-round for a minimum of three hours a day during all days of operation. During the school year, the Day Treatment Program must operate each day that the schools in the local education agency, private or charter school, are in operation, and the Day Treatment operating hours shall cover at least the range of hours that the LEAs, private or charter schools operate. Day treatment programs may **not** operate as simply after-school programs.

Day Treatment may include time spent off site in places that are related to achieving service goals such as normalizing community activities that facilitate transition or integration with their school setting, visiting a local place of business to file an application for part time employment.

As part of the crisis plan of the PCP, the Day Treatment provider shall coordinate with the Local Management Entity-Managed Care Organization and the individual to assign and ensure “first responder” coverage and crisis response, as indicated in the PCP, 24 hours a day, 7 days a week, 365 days a year to individuals receiving this service.

Day Treatment shall be provided in a licensed facility separate from the individual’s residence.

This is a facility-based service and is provided in a licensed and structured program setting appropriate for the developmental age of children and adolescents. No more than 25% of treatment services for an individual per agency work week may take place outside of the licensed facility. This shall be documented and tracked by the provider for each individual receiving this service.

### **Program Requirements**

Each Child and Adolescent Day Treatment provider must follow a clearly identified clinical model consistent with best practice. This model must be specified and described in the provider’s program description. This clinical model should be expected to produce positive outcomes for this population.

The Day Treatment Program staff collaborates with the school and other service providers prior to admission and throughout service duration. The roles of Day Treatment staff and educational or academic staff are established through the MOA (if applicable) among the Day Treatment provider, the Local Management Entity-Managed Care Organization, and the Local Education Agency (or private or charter school as applicable). If no MOA exists, providers must establish written policy which defines these roles. Designation of educational instruction and treatment interventions is determined based on staff function, credentials of staff, the individual’s PCP, and the IEP or 504 plan. Educational instruction is not billable as Day Treatment. The therapeutic milieu should reflect integrated rehabilitative treatment and educational instruction.

Day Treatment is time limited, and services are titrated based on the transition plan in the PCP. Transition and discharge planning begins at admission and must be documented in the PCP.

While Day Treatment addresses the mental health or substance use disorder symptoms related to functioning in an educational setting, family involvement and partnership is a critical component of treatment as clinically indicated.

### **Eligibility Criteria**

Children 5 through 17 are eligible for this service when all of the following criteria are met:

- a. there is a mental health and/or substance use disorder diagnosis (as defined by the DSM-5 or any subsequent editions of this reference material), other than a sole diagnosis of an intellectual or developmental disability;
- b. for children with a substance use disorder diagnosis, the ASAM Criteria (American Society of Addiction Medicine) are met for Level 2.1;.
- c. both of the following shall apply:
  1. evidence that less restrictive mental health and/or substance use disorder rehabilitative services in the educational setting have been unsuccessful as evidenced by documentation from the school (e.g., Functional Behavioral Assessment, Functional Behavioral Plan, Individual Education Plan, 504 Plan, behavior plans); and
  2. the individual exhibits behavior resulting in significant school disruption or significant social withdrawal.
- d. the individual is experiencing mental health or substance use disorder symptoms (not solely those related to his or her diagnosis of an intellectual or developmental disability) related to his or her diagnosis that severely impair functional ability in an educational setting which may include vocational education; and
- e. there is no evidence to support that alternative interventions would be equally or more effective, based on North Carolina community practice standards (Best Practice Guidelines of the American Academy of Child and Adolescent Psychiatry, American Psychiatric Association, American Society of Addiction Medicine).

### **Entrance Process**

A comprehensive clinical assessment that demonstrates medical necessity shall be completed prior to provision of this service. If a substantially equivalent assessment is available, reflects the current level of functioning, and contains all the required elements as outlined in community practice standards as well as in all applicable federal and state requirements, it may be used as part of the current comprehensive clinical assessment. Relevant diagnostic information shall be obtained and included in the PCP.

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

Prior authorization is required prior to or on the first date of this service.

Prior authorization by the LME-MCO is required. To request the initial authorization, the Day

Treatment provider must submit the PCP with signatures and the required authorization request form to the LME-MCO.

State funds may cover up to 60 days for the initial authorization period, based on medical necessity documented in the individual's PCP, the authorization request form, and supporting documentation. Requests for reauthorization may be submitted by the Day Treatment Program provider.

In partnership with the individual, the individual's family, the legally responsible person (as applicable), and other service providers, a Child and Adolescent Day Treatment QP is responsible for convening the Child and Family Team monthly.

### **Continued Service Criteria**

The individual is eligible to continue this service if the desired outcome or level of functioning has not been restored, improved, or sustained over the time frame outlined in the individual's PCP; or the individual continues to be unable to function in an appropriate educational setting, based on ongoing assessments, history, and the tenuous nature of the functional gains.

### **AND**

One of the following applies. The individual:

- a. has achieved current PCP goals, and additional goals are indicated as evidenced by documented symptoms;
- b. is making satisfactory progress toward meeting goals, and there is documentation that supports that continuation of this service will be effective in addressing the goals outlined in the PCP;
- c. is making some progress, but the specific interventions in the PCP need to be modified so that greater gains, which are consistent with his or her pre-morbid level of functioning, are possible;
- d. fails to make progress, or demonstrates regression, in meeting goals through the interventions outlined in the PCP. The individual's diagnosis should be reassessed to identify any unrecognized co-occurring disorders, and interventions or treatment recommendations should be revised based on the findings. This includes consideration of alternative or additional services.

### **Discharge Criteria**

The individual meets the criteria for discharge if any one of the following applies:

- a. the individual has achieved goals and is no longer in need of Day Treatment services;
- b. the individual's level of functioning has improved with respect to the goals outlined in the PCP, inclusive of a plan to transition to a lower level of care or appropriate educational setting;
- c. the individual is not making progress or is regressing, and all reasonable strategies and interventions have been exhausted, indicating a need for more intensive services;
- d. the individual or legally responsible person no longer wishes to receive Day Treatment services; or

- e. the individual, based on presentation and failure to show improvement despite modifications in the PCP, requires a more appropriate best practice treatment modality based on North Carolina community practice standards (for example, National Institute of Drug Abuse, American Psychiatric Association).

In addition, a completed LME-MCO Consumer Admission and Discharge Form must be submitted to the LME-MCO.

**NOTE:** Any denial, reduction, suspension, or termination of service requires notification to the individual, legally responsible person, or both about the individual's appeal rights pursuant to G.S. 143B-147(a)(9) and Rules 10A NCAC 27I .0601-.0609.

### **Expected Clinical Outcomes**

The expected clinical outcomes for this service are specific to recommendations resulting from clinical assessments and meeting the identified goals in the individual's PCP. Expected clinical outcomes may include, but are not limited to, the following:

- a. improved social, emotional, or behavioral functioning in an appropriate educational setting;
- b. integration or reintegration into an appropriate educational or vocational setting;
- c. reduced mental health and/or substance use disorder symptomatology;
- d. Improvement of behavior, anger management, or developmentally appropriate coping skills;
- e. development or improvement of social and relational skills;
- f. enhancement of communication and problem-solving skills;
- g. increased identification and self-management of triggers, cues, and symptoms and decreased frequency or intensity of crisis episodes;
- h. engagement in the recovery process, for children with substance use disorders,
- i. reduction of negative effects of substance use disorder or psychiatric symptoms that interfere with the individual's daily living;
- j. maintaining residence with a family or community based non-institutional setting (foster home, therapeutic family services); or
- k. reduction in behaviors that require juvenile justice involvement;
- l. increased use of available natural and social supports.

### **Documentation Requirements**

Refer to DMH/DD/SAS *Records Management and Documentation Manual* for a complete listing of documentation requirements.

For this service, the minimum documentation requirement is a full service note for each date of service, written and signed by at least one of the persons who provided the service. That note shall include the following:

- a. individual's name
- b. service record number

- c. service provided (for example, Day Treatment services)
- d. date of service
- e. place of service
- f. other staff involved in the provision of the service
- g. type of contact (in-person, telephone call, collateral)
- h. purpose of the contact
- i. description of the provider's interventions
- j. amount of time spent performing the interventions
- k. description of the effectiveness of the interventions in meeting the individual's specified goals as outlined in the PCP
- l. signature and credentials of the staff member(s) providing the service (for paraprofessionals, position is required in lieu of credentials with staff signature).

A documented discharge plan shall be developed with the individual receiving services, family or caregiver, and Child and Family Team and included in the service record.

In addition, a completed LME-MCO Consumer Admission and Discharge Form must be submitted to the LME-MCO.

### **Utilization Management**

Services are based upon a finding of medical necessity, must be directly related to the individual's diagnostic and clinical needs, and are expected to achieve the specific rehabilitative goals specified in his or her PCP. Medical necessity is determined by the LME-MCO.

Medically necessary services are authorized in the most cost-efficient mode, as long as the treatment that is made available is similarly efficacious to services requested by the individual's physician, therapist, or other licensed practitioner. Typically, a medically necessary service must be generally recognized as an accepted method of medical practice or treatment. Each case is reviewed individually to determine if the requested service meets the criteria outlined under this policy.

Prior authorization by the LME-MCO is required. The LME-MCO will evaluate the request to determine if medical necessity supports more or less intensive services.

State funds may cover up to 60 days for the initial authorization period based on the medical necessity documented in the individual's PCP, the authorization request form, and supporting documentation. Submit the reauthorization request before the initial authorization expires. State-funded services cover up to 60 days for reauthorization based on the medical necessity documented in the required PCP, the authorization request form, and supporting documentation.

If continued Day Treatment services are needed at the end of the initial authorization period, the Day Treatment provider must submit the PCP and a new request for authorization reflecting the appropriate level of care and service to the LME-MCO. This should occur before the authorization expires.

Services are billed in one-hour increments.

**Service Exclusions and Limitations**

The individual may receive Day Treatment services from only one Day Treatment provider organization during any active authorization period for this service.

The following are not billable under this service:

- a. transportation time (this is factored in the rate);
- b. any habilitation activities;
- c. child care;
- d. any social or recreational activities (or the supervision thereof);
- e. clinical and administrative supervision of staff (this is factored in the rate); or
- f. educational instruction.

Service delivery to individuals other than the individual may be covered only when the activity is directed exclusively toward the benefit of that individual.

Day Treatment services may not be provided during the same authorization period as the following services:

- a. Intensive In-Home Services;
- b. Multisystemic Therapy;
- c. Individual, group, and family therapy;
- d. Substance Abuse Intensive Outpatient Program;
- e. Child Residential Treatment services—Levels II (Program Type) through IV;
- f. Psychiatric Residential Treatment Facility (PRTF);
- g. Substance use disorder residential services; or
- h. Inpatient hospitalization.

Day Treatment shall be provided in a licensed facility separate from the individual's residence.

## **Partial Hospitalization (State-Funded):**

### **Service Definition and Required Components**

Partial Hospitalization is a short-term service for acutely mentally ill children or adults, which provides a broad range of intensive therapeutic approaches which may include: group activities or therapy, individual therapy, recreational therapy, community living skills or training, increases the individual's ability to relate to others and to function appropriately, coping skills, medical services. This service is designed to prevent hospitalization or to serve as an interim step for those leaving an inpatient facility. A physician shall participate in diagnosis, treatment planning, and admission or discharge decisions. Physician involvement shall be one factor that distinguishes Partial Hospitalization from Day Treatment services.

### **Therapeutic Relationship and Interventions**

This service is designed to offer in-person therapeutic interventions to provide support and guidance in preventing, overcoming, or managing identified needs on the service plan to aid with improving the individual's level of functioning in all domains, increasing coping abilities or skills, or sustaining the achieved level of functioning.

### **Structure of Daily Living**

This service offers a variety of structured therapeutic activities including medication monitoring designed to support an individual remaining in the community and that are provided under the direction of a physician, although the program does not have to be hospital based. Other identified providers shall carry out the identified individual or group interventions (under the direction of the physician). This service offers support and structure to assist the individual with coping and functioning on a day-to-day basis to prevent hospitalization or to step down into a lower level of care from inpatient setting.

### **Cognitive and Behavioral Skill Acquisition**

This service includes interventions that address functional deficits associated with affective or cognitive problems or the individual's diagnostic conditions. This may include training in community living, and specific coping skills, and medication management. This assistance allows individuals to develop their strengths and establish peer and community relationships.

### **Service Type**

This is day or night service that shall be provided a minimum of four hours per day, five days per week, and 12 months a year (exclusive of transportation time), excluding legal or governing body designated holidays. Service standards and licensure requirements are outlined in 10A NCAC 27G .5000. Utilization management must be performed by the LME-MCO.

### **Resiliency or Environmental Intervention**

This service assists the individual in transitioning from one service to another (an inpatient setting to a community-based service) or preventing hospitalization. This service provides a broad array of intensive approaches, which may include group and individual activities.

### **Service Delivery Setting**

This service is provided in a licensed facility that offers a structured, therapeutic program under the direction of a physician that may or may not be hospital based.

### **Utilization Management**

Prior authorization by the LME-MCO is required. The amount, duration, and frequency of the service must be included in an individual's Person-Centered Plan. Initial authorization shall not exceed seven calendar days. Reauthorization shall not exceed seven calendar days. All utilization review activity shall be documented in the Provider's Service Plan.

Utilization management must be performed by the LME-MCO.

### **Eligibility Criteria**

The individual is eligible for this service when all of the following criteria are met:

- a. The individual must have a mental health diagnosis and
- b. The individual is experiencing difficulties in at least one of the following areas:
  1. Functional impairment, crisis intervention, diversion, or aftercare needs; or is at risk for placement outside the natural home setting;

**AND**

  2. The individual's level of functioning has not been restored or improved and may indicate a need for clinical interventions in a natural setting if any one of the following apply:
    - A. being unable to remain in family or community setting due to symptoms associated with diagnosis, therefore being at risk for out of home placement, hospitalizations, or institutionalization.
    - B. presenting with intensive, verbal and limited physical aggression due to symptoms associated with diagnosis, which are sufficient to create functional problems in a community setting.
    - C. being at risk of exclusion from services, placement, or significant community support system as a result of functional behavioral problems associated with the individual's diagnosis.
    - D. requires a structured setting to monitor mental stability and symptomology and foster successful integration into the community through individualized interventions and activities.
    - E. service is a part of an aftercare planning process (time limited or transitioning) and is required to avoid returning to a higher, or more restrictive level of service.



### **Service Orders**

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

### **Continuation or Utilization Review Criteria**

The desired outcome or level of functioning has not been restored, improved, or sustained over the time frame outlined in the individual's service plan, or the individual continues to be at risk for relapse based on history or the tenuous nature of the functional gains, or ANY of the following applies:

- a. The individual has achieved initial service plan goals and additional goals are indicated,
- b. The individual is making satisfactory progress toward meeting goals.
- c. The individual is making some progress, but the service plan (specific interventions) need to be modified so that greater gains which are consistent with the individual's premorbid level of functioning is possible or can be achieved.
- d. The individual is not making progress; the service plan must be modified to identify more effective interventions.
- e. The individual is regressing; the service plan must be modified to identify more effective interventions.

### **Discharge Criteria**

The individual meets the criteria for discharge if any one of the following applies:

The individual's level of functioning has improved with respect to the goals outlined in the service plan, inclusive of a transition plan to step down, or no longer benefits, or has the ability to function at this level of care, and any of the following applies:

- a. The individual has achieved goals; discharge to a lower level of care is indicated.
- b. The individual is not making progress or is regressing and all realistic treatment options with this modality have been exhausted.

**NOTE:** Any denial, reduction, suspension, or termination of service requires notification to the individual, legally responsible person, or both about the individual's appeal rights pursuant to G.S. 143B-147(a)(9) and Rules 10A NCAC 27I .0601-.0609.

### **Service Maintenance Criteria**

If the individual is functioning effectively with this service and discharge would otherwise be indicated, PH should be maintained when it can be reasonably anticipated that regression is likely to occur if the service is withdrawn. The decision should be based on ANY of the following:

- a. Past history of regression in the absence of PH is documented in the individual's record, or

- b. The presence of a diagnosis from DSM-5 or any subsequent editions of this reference material that would necessitate a disability management approach.

In the event, there are epidemiological sound expectations that symptoms will persist and that ongoing treatment interventions are needed to sustain functional gains.

**NOTE:** Any denial, reduction, suspension, or termination of service requires notification to the individual, legally responsible person, or both about the individual's appeal rights pursuant to G.S. 143B-147(a)(9) and Rules 10A NCAC 27I .0601-.0609.

### **Provider Requirement and Supervision**

All services in the partial hospital are provided by a team, which may have the following configuration: social workers, psychologists, therapists, case managers, or other MH/SA paraprofessional staff. The partial hospital milieu is directed under the supervision of a physician. Staffing requirements are outlined in 10A NCAC 27G .1102.

### **Documentation Requirements**

Minimum documentation is a weekly service note that includes the purpose of contact, describes the provider's interventions, and the effectiveness of the interventions.

## **Professional Treatment Services in Facility-Based Crisis Program (State-Funded):**

### **Service Definition and Required Components**

This service provides an alternative to hospitalization for adults who have a mental illness or substance use disorder. This is a 24-hour residential facility with 16 beds or less that provides support and crisis services in a community setting. This can be provided in a non-hospital setting for individuals in crisis who need short-term intensive evaluation, treatment intervention or behavioral management to stabilize acute or crisis situations.

### **Therapeutic Relationship and Interventions**

This service offers therapeutic interventions designed to support an individual remaining in the community and alleviate acute or crisis situations that are provided under the direction of a physician, although the program does not have to be hospital based. Interventions are implemented by other staff under the direction of the physician. These supportive interventions assist the individual with coping and functioning on a day-to-day basis to prevent hospitalization.

### **Structure of Daily Living**

This service is an intensified short-term, medically supervised service that is provided in certain 24-hour service sites. The objectives of the service include assessment and evaluation of the condition(s) that have resulted in acute psychiatric symptoms, disruptive or dangerous behaviors, or intoxication from alcohol or drugs; to implement intensive treatment, behavioral management interventions, or detoxification protocols; to stabilize the immediate problems that have resulted in the need for crisis intervention or detoxification; to ensure the safety of the individual receiving the service by closely monitoring his or her medical condition and response to the treatment protocol; and to arrange for linkage to services that will provide further treatment or rehabilitation upon discharge from the Facility Based Crisis service.

### **Cognitive and Behavioral Skill Acquisition**

This service is designed to provide support and treatment in preventing, overcoming, or managing the identified crisis or acute situations on the service plan to assist with improving the individual's level of functioning in all documented domains, increasing coping abilities or skills, or sustaining the achieved level of functioning.

### **Service Type**

This is a 24-hour service that is offered seven days a week.

### **Resiliency or Environmental Intervention**

This service assists the individual with remaining in the community and receiving treatment interventions at an intensive level without the structure of an inpatient setting. This structured program assesses, monitors, and stabilizes acute symptoms 24 hours a day.

### **Service Delivery Setting**

This service is provided in a licensed facility that meets 10A NCAC 27G .5000 licensure standards.

### **Eligibility Criteria**

The individual is eligible for this service when all of the following are met:

- a. There is a mental health or substance use disorder diagnosis present or the individual has a condition that may be defined as an intellectual or developmental disability as defined in GS 122C-3 (12a)
- b. Level of Care Criteria, Level D NC-SNAP (NC Supports or Needs Assessment Profile) or The ASAM Criteria (American Society of Addiction Medicine)
- c. The individual is experiencing difficulties in at least one of the following areas:
  1. functional impairment,
  2. crisis intervention, diversion, or after-care needs, or
  3. is at risk for placement outside of the natural home setting; and
- d. The individual's level of functioning has not been restored or improved and may indicate a need for clinical interventions in a natural setting if any one of the following applies:
  1. unable to remain in family or community setting due to symptoms associated with diagnosis, therefore being at risk for out of home placement, hospitalization, or institutionalization;
  2. intensive, verbal and limited physical aggression due to symptoms associated with diagnosis, which are sufficient to create functional problems in a community setting; or
  3. at risk of exclusion from services, placement, or significant community support systems as a result of functional behavioral problems associated with diagnosis.

### **Service Orders**

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

### **Continuation or Utilization Review**

The desired outcome or level of functioning has not been restored, improved or sustained over the time frame outlined in the individual's service plan or the individual continues to be at risk for relapse based on history or the tenuous nature of the functional gains or any one of the following applies:

- a. the individual has achieved initial service plan goals and additional goals are indicated;
- b. the individual is making satisfactory progress toward meeting goals;
- c. the individual is making some progress, but the service plan (specific interventions) need to be modified so that greater gains, which are consistent with his or her premorbid level of functioning, are possible or can be achieved;
- d. the individual is not making progress; the service plan must be modified to identify more effective interventions; or
- e. the individual is regressing; the service plan must be modified to identify more effective interventions.

**AND**

Utilization review by the LME-MCO must be conducted after the first 7 days (168 units). Initial authorization shall not exceed 8 days (192 units). All utilization review activity shall be documented in the service plan.

Units are billed in 1-hour increments up to 24 hours in a 24-hour period. This is a short-term service that may not be provided for more than 45 days in a 12-month period.

When providing evaluation and management services to individuals, the psychiatrist and physician extender may bill additional psychiatric evaluations (excluding the initial evaluation) and other therapeutic services separately.

### **Discharge Criteria**

The individual meets the criteria for discharge if any one of the following applies:

The individual's level of functioning has improved with respect to the goals outlined in the service plan, inclusive of a transition plan to step-down or no longer benefits or has the ability to function at this level of care and ANY of the following applies:

- a. the individual has achieved goals, discharge to a lower level of care is indicated.
- b. the individual is not making progress or is regressing and all realistic treatment options with this modality have been exhausted.

**NOTE:** Any denial, reduction, suspension, or termination of service requires notification to the individual, legally responsible person, or both about the individual's appeal rights pursuant to G.S. 143B-147(a)(9) and Rules 10A NCAC 27I .0601-.0609.

### **Service Maintenance Criteria**

If the individual is functioning effectively with this service and discharge would otherwise be indicated, Facility-Based Crisis services should be maintained when it can be reasonably anticipated that regression is likely to occur if the service is withdrawn. The decision should be based on ANY of the following:

- a. Past history of regression in the absence of facility-based crisis service is documented in the service record; or
- b. In the event there are epidemiologically sound expectations that symptoms will persist and that ongoing treatment interventions are needed to sustain functional gains, the nature of the individual's DSM-5 (or any subsequent editions of this reference material) diagnosis necessitates a disability management approach.

**NOTE:** Any denial, reduction, suspension, or termination of service requires notification to the individual, legally responsible person, or both about the individual's appeal rights pursuant to G.S. 143B-147(a)(9) and Rules 10A NCAC 27I .0601-.0609.

### **Provider Requirement and Supervision**

This is a 24-hour service that is offered seven days a week, with a staff to individual ratio that ensures the health and safety of individuals served in the community and compliance with 10A NCAC 27E - Seclusion, Restraint and Isolation Time Out. At no time will staff to individual ratio be less than 1:6 for adults with a mental health disorder and 1:9 for adults with a substance use disorder.

### **Documentation Requirements**

Minimum documentation is a daily service note per shift.

## Substance Abuse Intensive Outpatient Program (State-Funded):

### Level 2.1 Intensive Outpatient Services ASAM Criteria

#### Service Definition and Required Components

Substance Abuse Intensive Outpatient Program (SAIOP) means structured individual and group addiction activities and services that are provided at an outpatient program designed to assist adults and adolescents to begin recovery and learn skills for recovery maintenance. The program is offered at least 3 hours a day, at least 3 days a week, with no more than 2 consecutive days between offered services and distinguishes between those individuals needing no more than 19 hours of structured services per week (ASAM Level 2.1). The individual must be in attendance for a minimum of 3 hours a day in order to bill this service. SAIOP services shall include a structured program consisting of, but not limited to, the following services:

- a. Individual counseling and support;
- b. Group counseling and support;
- c. Family counseling, training or support;
- d. Biochemical assays to identify recent drug use (e.g. urine drug screens);
- e. Strategies for relapse prevention to include community and social support systems in treatment;
- f. Life skills;
- g. Crisis contingency planning;
- h. Disease Management; and
- i. Treatment support activities that have been adapted or specifically designed for individuals with physical disabilities; or individuals with co-occurring disorders of mental illness and substance use; or an intellectual and developmental disability and substance use disorder.

SAIOP can be designed for homogenous groups of individuals e.g., pregnant women, and women and their children; individuals with co-occurring mental health and substance use disorders; individuals with human immunodeficiency virus (HIV); or individuals with similar cognitive levels of functioning. Group counseling shall be provided each day SAIOP services are offered.

SAIOP includes:

- a. case management to arrange, link or integrate multiple services; and
- b. assessment and reassessment of the individual's need for services.

SAIOP services also:

- a. inform the individual about benefits, community resources, and services;
- b. assist the individual in accessing benefits and services;
- c. arrange for the individual to receive benefits and services; and
- d. monitor the provision of services.

Individuals may be residents of their own home, a substitute home, or a group care setting; however, the SAIOP must be provided in a setting separate from the individual's residence. The program is provided over a period of several weeks or months.

A service order for SAIOP must be completed by a physician, licensed psychologist, physician assistant or nurse practitioner according to their scope of practice prior to or on the day that the services are to be provided.

#### Provider Requirements

SAIOP must be delivered by practitioners employed by substance use disorder provider organizations that meet the requirements of 10A NCAC 27G and the provider qualification policies, procedures, and standards established by DMH/DD/SAS. These policies and procedures set forth the administrative, financial, clinical, quality improvement, and information

services infrastructure necessary to provide services. Provider organizations shall demonstrate that they meet these standards by being credentialed by the LME-MCO. Additionally, the organization shall achieve national accreditation with at least one of the designated accrediting bodies within one year of enrollment as a provider with the LME-MCO. The organization shall be established as a legally recognized entity in the United States and qualified or registered to do business as

a corporate entity in the State of North Carolina, capable of meeting all of the requirements of the LME-MCO credentialing process, DMH/DD/SAS Communication Bulletins, the DMH/DD/SAS *Records Management and Documentation Manual*, and service implementation standards. The provider organization shall comply with all applicable federal and state requirements.

Organizations that provide SAIOP must provide “first responder” crisis response on a 24-hours a day seven days a week 365 days a year basis to individuals who are receiving this service.

### **Staffing Requirements**

Persons who meet the requirements specified for CCS, LCAS, LCAS-A, CSAC or CADC under Article 5C may deliver SAIOP. The program must be under the clinical supervision of a CCS or a LCAS who is on site a minimum of 50% of the hours the service is in operation. Services may also be provided by staff who meet the requirements specified for QP or AP status for Substance Abuse according to 10A NCAC 27G .0104, under the supervision of a CCS or LCAS. The maximum face-to-face staff-to-individual ratio is not more than 12 adult beneficiaries to 1 QP based on an average daily attendance. The ratio for adolescents shall be 1:6. Paraprofessional level providers who meet the requirements for Paraprofessional status according to 10A NCAC 27G .0104 and who have the knowledge, skills, and abilities required for the population and age to be services may deliver SAIOP, under the supervision of a CCS or LCAS. Paraprofessional level providers may not provide services in lieu of on-site service provision by a CCS, LCAS, LCAS-A, CSAC, CADC or QP.

### **Service Type and Setting**

Facility is licensed under 10A NCAC 27G .4400.

### **Program Requirements**

See Service Definition and Required Components.

### **Utilization Management**

The initial 30 calendar days of treatment do not require a prior authorization. Services provided after this initial 30 day “pass-through” period require authorization from the LME-MCO. This pass-through is available only once per treatment episode and only once per state fiscal year. The amount, duration, and frequency of SAIOP service must be included in an individual’s authorized PCP. Services may not be delivered less frequently than the structured program set forth in the service description above.

Reauthorization shall not exceed 60 calendar days. Under exceptional circumstances, one additional reauthorization up to 2 weeks can be approved. This service is billed with a minimum of three hours per day as an event. All utilization review activity shall be documented in the service record.

This service is billed with a minimum of three hours per day as an event.



### Eligibility Criteria

The individual is eligible for this service when ALL of the following criteria are met:

- a. There is a substance use disorder diagnosis present; and
- b. The individual meets ASAM Level 2.1 criteria.

### Continued Service Criteria

The individual is eligible to continue this service if the desired outcome or level of functioning has not been restored, improved, or sustained over the time frame outlined in the individual's PCP or the individual continues to be at risk for relapse based on history or the tenuous nature of the functional gains or any one of the following applies:

- a. The individual has achieved positive life outcomes that support stable and ongoing recovery, and additional goals are indicated;
- b. The individual is making satisfactory progress toward meeting goals;
- c. The individual is making some progress, but the PCP (specific interventions) needs to be modified so that greater gains, which are consistent with the individual's premorbid level of functioning, are possible or can be achieved;
- d. The individual is not making progress; the PCP must be modified to identify more effective interventions; or
- e. The individual is regressing; the PCP must be modified to identify more effective interventions.

### Expected Outcomes

The expected outcome of SAIOP is abstinence. Secondary outcomes include:

- a. sustained improvement in health and psychosocial functioning;
- b. reduction in any psychiatric symptoms (if present);
- c. reduction in public health or safety concerns; and
- d. a reduction in the risk of relapse as evidenced by improvement in empirically supported modifiable relapse risk factors.

### Documentation Requirements

The minimum standard is a daily full service note for each day of SAIOP that includes:

- a. the individual's name;
- b. service record number;
- c. date of service;
- d. purpose of contact;
- e. describes the provider's interventions, the time spent performing the intervention, the effectiveness of interventions; and
- f. the signature and credentials of the staff providing the service. A documented discharge plan shall be discussed with the individual and included in the record.

### Discharge Criteria

The individual meets the criteria for discharge if any one of the following applies:

Individual's level of functioning has improved with respect to the goals outlined in the PCP, inclusive of a transition plan to step down, or no longer benefits, or has the ability to function at

this level of care and any of the following applies:

- a. The individual has achieved positive life outcomes that support stable and ongoing recovery.
- b. The individual is not making progress or is regressing, and all realistic treatment options have been exhausted indicating a need for more intensive services.
- c. The individual no longer wishes to receive SAIOP services.

**Service Exclusions and Limitations**

SAIOP may not be billed during the same authorization as SA Comprehensive Outpatient Treatment, all detoxification services levels, Non-Medical Community Residential Treatment or Medically Monitored Community Residential Treatment.

## Substance Abuse Comprehensive Outpatient Treatment Program (State Funded)

### Level 2.5 Partial Hospitalization ASAM Criteria

#### Service Definition and Required Components

Substance Abuse Comprehensive Outpatient Treatment (SACOT) program means a periodic service that is a time-limited, multi-faceted approach treatment service for adults who require structure and support to achieve and sustain recovery.

SACOT Program is a service emphasizing:

- a. reduction in use of substances or continued abstinence;
- b. the negative consequences of substance use;
- c. development of social support network and necessary lifestyle changes;
- d. educational skills;
- e. vocational skills leading to work activity by reducing substance use as a barrier to employment;
- f. social and interpersonal skills;
- g. improved family functioning;
- h. the understanding of addictive disease; and
- i. the continued commitment to a recovery and maintenance program.

These services are provided during day and evening hours to enable individuals to maintain residence in their community, continue to work or go to school, and to be a part of their family life. The following types of services are included in the SACOT Program:

- a. individual counseling and support;
- b. group counseling and support;
- c. family counseling, training or support;
- d. biochemical assays to identify recent drug use (e.g., urine drug screens);
- e. strategies for relapse prevention to include community and social support systems in treatment;
- f. life skills;
- g. crisis contingency planning;
- h. disease management; and
- i. treatment support activities that have been adapted or specifically designed for individuals with physical disabilities; or individuals with co-occurring disorders of mental illness and substance use; or an intellectual and developmental disability and substance use disorder.

SACOT programs can be designed for homogenous groups of individuals, including:

- a. individuals being detoxed on an outpatient basis;
- b. individuals with chronic relapse issues;
- c. pregnant women, and women and their children;
- d. individuals with co-occurring mental health and substance use disorders;
- e. individuals with HIV; or
- f. individuals with similar cognitive levels of functioning.

SACOT includes case management to arrange, link or integrate multiple services as well as assessment and reassessment of the individual's need for services. SACOT services also:

- a. inform the individual about benefits, community resources, and services;
- b. assist the individual in accessing benefits and services;
- c. arrange for the individual to receive benefits and services; and
- d. monitor the provision of services.

Individuals receiving SACOT may be residents of their own home, a substitute home, or a group care setting; however, the SACOT Program must be provided in a setting separate from the individual's residence.

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

This service must operate at least 20 hours per week and offer a minimum of 4 hours of scheduled services per day, with availability at least 5 days per week with no more than 2 consecutive days without services available. The individual must be in attendance for a minimum of 4 hours a day in order to this for this service. Group counseling services must be offered each day the program operates. Services must be available during both day and evening hours.

A SACOT Program may have variable lengths of stay and reduce each individual's frequency of attendance as recovery becomes established and the individual can resume more and more usual life obligations. The program conducts random drug screening and uses the results of these tests as part of a comprehensive assessment of participants' progress toward goals and for Person Centered Planning.

### **Provider Requirements**

SACOT Programs shall be delivered by a team of practitioners employed by substance use disorder provider organizations that meet the requirements of 10A NCAC 27G and the provider qualification policies, procedures, and standards established by DMH/DD/SAS. These policies and procedures set forth the administrative, financial, clinical, quality improvement, and information services infrastructure necessary to provide services. Provider organizations shall demonstrate that they meet these standards by being credentialed by the LME-MCO. Additionally, the organization shall achieve national accreditation with at least one of the designated accrediting bodies within one year of enrollment as a provider with the LME-MCO. The organization shall be established as a legally recognized entity in the United States and qualified or registered to do business as a corporate entity in the State of North Carolina, capable of meeting all of the requirements of the LME-MCO credentialing process, DMH/DD/SAS Communication Bulletins, the DMH/DD/SAS *Records Management and Documentation Manual*, and service implementation standards. The provider organization shall comply with all applicable federal and state requirements.

Organizations that provide SACOT must provide "first responder" crisis response on a 24-hours-a-day, 7-days-a-week, 365-days-a-year basis, to individuals who are receiving this service.

### **Staffing Requirements**

Persons who meet the requirements specified for CCS, LCAS, LCAS-A, and CSAC or CADC under Article 5C may deliver SACOT Program. The program must be under the clinical supervision of a CCS or LCAS who is on site a minimum of 90% of the hours the service is in operation. Clinical services may also be provided by staff who meet the requirements specified for QP or AP status for Substance Abuse according to 10A NCAC 27G .0104, under the supervision of a CCS or LCAS. The maximum face-to-face staff-to-individual ratio is not more than 10 adult beneficiaries to one QP based on an average daily attendance. Paraprofessional level providers who meet the requirements for paraprofessional status according to 10A NCAC 27G .0104 and who have the knowledge, skills, and abilities required by the population and age to be served may deliver SACOT Program, under the supervision of a CCS or LCAS. Paraprofessional level providers may not provide services in lieu of on-site service provision to beneficiaries by a qualified CCS, LCAS, LCAS-A, CSAC, CADC, or QP.

### **Consultation Services**

Individuals receiving the service must have ready access to psychiatric assessment and treatment services when warranted by the presence of symptoms indicating co-occurring substance use and mental health disorders (e.g. major depression, schizophrenia, borderline personality disorder). These services shall be delivered by a psychiatrist who meet requirements as specified in NCAC 27G .0104. The providers shall be familiar with the SACOT Program treatment plan for each individual seen in consultation, shall have access to SACOT Program treatment records for the individual, and shall be able to consult by phone or in person with the CCS, LCAS, CSAC or CADC providing SACOT Program services.

### **Service Type and Setting**

Facility licensed in accordance with **10A NCAC 27G .4500**.

### **Program Requirements**

See Service Definition and Required Components.

### **Utilization Management**

The initial 60 calendar days of treatment do not require a prior authorization. Services provided after this initial 60 day “pass-through” period require authorization from the LME-MCO. This pass-through is available only once per treatment episode and only once per state fiscal year. The amount, duration, and frequency of SACOT service must be included in the individual’s authorized PCP. Services may not be delivered less frequently than the structured program set forth in the service description above.

Reauthorization shall not exceed 60 calendar days. This service is billed with a minimum of four hours per day billed in hourly increments. Utilization management must be performed by the LME-MCO. All utilization review activity shall be documented in the service record.

This service is billed with a minimum of four hours per day billed in hourly increments.

### **Eligibility Criteria**

The individual is eligible for this service when the following criteria are met:

- a. There is a substance use disorder diagnosis present.

**AND**

- b. The individual meets ASAM Level 2.5 criteria.

### **Continued Service Criteria**

The individual is eligible to continue this service if the desired outcome or level of functioning has not been restored, improved, or sustained over the time frame outlined in the individual's PCP or the individual continues to be at risk for relapse based on history or the tenuous nature of the functional gains or any one of the following applies:

- a. The individual has achieved initial PCP goals and continued service at this level is needed to meet additional goals.
- b. The individual is making satisfactory progress toward meeting goals.
- c. The individual is making some progress, but the PCP (specific interventions) needs to be modified so that greater gains, which are consistent with the individual's premorbid level
- d. of functioning, are possible or can be achieved.
- e. The individual is not making progress; the PCP must be modified to identify more effective interventions.
- f. Individual is regressing; the PCP must be modified to identify more effective interventions.

**AND**

Utilization review must be conducted every 30 days and is so documented in the PCP and the service record.

### **Discharge Criteria**

The individual meets the criteria for discharge if any one of the following applies:

The individual's level of functioning has improved with respect to the goals outlined in the PCP, inclusive of a transition plan to step down, or no longer benefits, or has the ability to function at this level of care and any of the following applies:

- a. The individual has achieved positive life outcomes that support stable and ongoing recovery.
- b. The individual is not making progress or is regressing and all realistic treatment options have been exhausted indicating a need for more intensive services.
- c. The individual or family no longer wishes to receive SACOT services.

### **Expected Outcomes**

The expected outcome is abstinence.

Secondary outcomes include:

- a. sustained improvement in health and psychosocial functioning,
- b. reduction in any psychiatric symptoms (if present),
- c. reduction in public health or safety concerns, and
- d. a reduction in the risk of relapse as evidenced by improvement in empirically supported modifiable relapse risk factors.

For individuals with co-occurring mental health and substance use disorders, improved functioning is the expected outcome.

### **Documentation Requirements**

The minimum standard is a daily full service note for each day of SACOT that includes:

- a. individual's name;
- b. service record number;
- c. date of service;
- d. purpose of contact;
- e. description of the provider's interventions, the time spent performing the intervention, the effectiveness of interventions; and
- f. signature and credentials of the staff providing the service.

A documented discharge plan shall be discussed with the individual and included in the record

### **Service Exclusions and Limitations**

SACOT may not be billed during the same authorization as SA Intensive Outpatient Program, all detoxification services levels (with the exception of Ambulatory Detoxification) or Non-Medical Community Residential Treatment or Medically Monitored Community Residential Treatment.

## Substance Abuse Non-Medical Community Residential Treatment (State Funded)

(When Furnished in a Facility That Does Not Exceed 16 Beds and Is Not an Institution for Mental Diseases for Adults) (Room and Board Are Not Included)

### Level 3.5 Clinically Managed High-Intensity Residential Services

#### Service Definition and Required Components

Non-medical Community Residential Treatment (NMCRT) is a 24-hour residential recovery program professionally supervised residential facility that provides trained staff who:

- a. work intensively with adults with substance use disorders; and
- b. provide or have the potential to provide primary care for their minor children.

This is a rehabilitation facility, without 24 hour per day medical nursing or monitoring, where a planned program of professionally directed evaluation, care and treatment for the restoration of functioning for individuals with an addiction disorder.

These programs shall include:

- a. assessment;
- b. referral;
- c. individual and group therapy;
- d. family therapy;
- e. recovery skills training;
- f. disease management;
- g. symptom monitoring;
- h. monitoring medications and self-management of symptoms;
- i. aftercare; and
- j. follow-up and access to preventive and primary health care including psychiatric care.

The facility may utilize services from another facility providing psychiatric or medical services.

Services shall;

- a. promote development of a social network supportive of recovery;
- b. enhance the understanding of addiction;
- c. promote successful involvement in regular productive activity (such as school or work);
- d. enhance personal responsibility; and
- e. promote successful reintegration into community living.

Services shall be designed to provide a safe and healthy environment for parents and their children.

Program staff shall;

- a. arrange, link or integrate multiple services as well as assessment and reassessment of the individual's need for services;
- b. inform the individual about benefits, community resources, and services;



- c. assist the individual in accessing benefits and services;
- d. arrange for the individual to receive benefits and services; and
- e. monitor the provision of services.

**For programs providing services to individuals with their children in residence or pregnant women:** Each adult shall also receive in accordance with their PCP:

- a. training in therapeutic parenting skills;
- b. basic independent living skills;
- c. child supervision;
- d. one-on-one interventions with the community to develop interpersonal and community coping skills, including adaptation to school and work environments; and
- e. therapeutic mentoring.

In addition, their children shall receive services in accordance with **10A NCAC 27G .4100**.

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

### **Provider Requirements**

SANMCRT shall be delivered by a team of practitioners employed by substance use disorder provider organizations that meet the requirements of 10A NCAC 27G and the provider qualification policies, procedures, and standards established by DMH/DD/SAS. These policies and procedures set forth the administrative, financial, clinical, quality improvement, and information services infrastructure necessary to provide services. Provider organizations shall demonstrate that they meet these standards by being credentialed by the LME-MCO. Additionally, the organization shall achieve national accreditation with at least one of the designated accrediting bodies within one year of enrollment as a provider with the LME-MCO. The organization shall be established as a legally recognized entity in the United States and qualified or registered to do business as a corporate entity in the State of North Carolina, capable of meeting all of the requirements of the LME-MCO credentialing process, DMH/DD/SAS Communication Bulletins, the DMH/DD/SAS *Records Management and Documentation Manual*, and service implementation standards. The provider organization shall comply with all applicable federal and state requirements.

Organizations that provide SANMCRT must provide "first responder" crisis response on a 24 hours a day, seven days a week, 365 days a year basis to individuals receiving this service.

### **Staffing Requirements**

Persons who meet the requirements specified for CCS, LCAS, LCAS-A level, and CSAC or CADC under Article 5C may deliver SANMCRT. Programs providing services to adolescents must have experience working with the population. The program must be under the clinical supervision of a LCAS or CCS who is on site a minimum of 8 hours per day when the service is in operation and available by phone 24 hours a day. Services may also be provided by staff who meet the requirements specified for QP or AP status for Substance Abuse according to 10A NCAC 27G .0104, under the supervision of a LCAS or CCS. Paraprofessional level

providers who meet the requirements for Paraprofessional status according to 10A NCAC 27G .0104 and who have the knowledge, skills, and abilities required by the population and age to be served may deliver SANMCRT, under the supervision of a LCAS or CCS. Paraprofessional level providers may not provide services in lieu of on-site service provision by a QP, CCS, LCAS, LCAS-A level, CSAC or CADC.

### **Service Type and Setting**

Programs for pregnant women or individuals with children in residence shall be licensed under 10A NCAC 27G .4100 for residential recovery programs.

### **Program Requirements**

See Service Definition and Required Components and 10A NCAC 27G .4100 for residential recovery programs.

### **Utilization Management**

Authorization by the LME-MCO is required. Service must be included in the individual's PCP. Initial authorization shall not exceed 10 days. Reauthorization shall not exceed 10 days. All utilization review activity shall be documented in the Provider's Service Plan.

Utilization management must be performed the LME-MCO.

### **Eligibility Criteria**

The individual is eligible for this service when ALL of the following criteria are met:

- a. There is a substance use disorder diagnosis present
- b. The individual meets ASAM Level 3.5 criteria.

### **Continued Service Criteria**

The individual is eligible to continue this service if the desired outcome or level of functioning has not been restored, improved, or sustained over the time frame outlined in the individual's PCP or the individual continues to be at risk for relapse based on history or the tenuous nature of the functional gains or ANY one of the following applies:

- a. The individual has achieved initial PCP goals and requires this service in order to meet additional goals.
- b. The individual is making satisfactory progress toward meeting goals.
- c. The individual is making some progress, but the PCP (specific interventions) needs to be modified so that greater gains, which are consistent with the individual's pre-morbid level of functioning, are possible or can be achieved.
- d. The individual is not making progress; the PCP must be modified to identify more effective interventions.
- e. The individual is regressing; the PCP must be modified to identify more effective interventions.

### **AND**

Utilization review must be conducted every 90 calendar days (after the initial 30 calendar-day UR) for the parents with children's programs and is so documented in the PCP and the service record.

### **Discharge Criteria**

The individual meets the criteria for discharge if any one of the following applies:

The individual's level of functioning has improved with respect to the goals outlined in the PCP, inclusive of a transition plan to step down, or no longer benefits, or has the ability to function at this level of care and any of the following applies:

- a. The individual has achieved positive life outcomes that support stable and ongoing recovery (and parenting skills, if applicable).
- b. The individual is not making progress, or is regressing and all realistic treatment options have been exhausted indicating a need for more intensive services.
- c. The individual or family no longer wishes to receive SANMCRT services.

### **Expected Outcomes**

The expected outcome is abstinence.

Secondary outcomes include:

- a. sustained improvement in health and psychosocial functioning,
- b. reduction in any psychiatric symptoms (if present),
- c. reduction in public health or safety concerns,
- d. a reduction in the risk of relapse as evidenced by improvement in empirically-supported modifiable relapse risk factors, and
- e. additionally, for Residential Recovery Programs, improved parenting is an expected outcome.

### **Documentation Requirements**

The minimum standard is a full daily note that includes:

- a. individual's name;
- b. service record number;
- c. date of service;
- d. purpose of contact;
- e. a description of the provider's interventions;
- f. the time spent performing the intervention;
- g. the effectiveness of interventions; and
- h. signature and credentials of the staff providing the service.

Residential Recovery Programs for women and children shall also provide documentation of all services provided to the children in the program. Goals for parent-child interaction shall be established and progress towards meeting these goals shall be documented in the parent's service record. A documented discharge plan discussed with the individual is included in the record.

### **Service Exclusions and Limitations**

Substance Abuse Non-Medical Community Residential Treatment may not be billed the same day as any other mental health or substance use disorder services except group living moderate. This is a short-term service that may only be billed for 45 days in a 12-month period.

## Substance Abuse Medically Monitored Community Residential Treatment (State-Funded):

(When Furnished in a Facility that Does Not Exceed 16 Beds and is Not an Institution for Mental Diseases [IMD])(Room and Board Are Not Included)

### Level 3.7 Medically Monitored Intensive Inpatient Services

#### Service Definition and Required Components

Substance Abuse Medically Monitored Community Residential Treatment (SAMMCR) is a non-hospital rehabilitation facility for adults, with twenty-four hour a day medical or nursing monitoring, where a planned program of professionally directed evaluation, care and treatment for the restoration of functioning for individuals with alcohol and other drug problems or addiction occurs.

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

#### Provider Requirements

SAMMCR shall be delivered by a team of practitioners employed by substance use disorder provider organizations that meet the requirements of 10A NCAC 27G and the provider qualification policies, procedures, and standards established by DMH/DD/SAS. These policies and procedures set forth the administrative, financial, clinical, quality improvement, and information services infrastructure necessary to provide services. Provider organizations shall demonstrate that they meet these standards by being credentialed by the LME-MCO. Additionally, the organization shall achieve national accreditation with at least one of the designated accrediting bodies within one year of enrollment as a provider with the LME-MCO. The organization shall be established as a legally recognized entity in the United States and qualified or registered to do business as a corporate entity in the State of North Carolina, capable of meeting all of the requirements of the LME-MCO credentialing process, DMH/DD/SAS Communication Bulletins, the DMH/DD/SAS *Records Management and Documentation Manual*, and service implementation standards. The provider organization shall comply with all applicable federal and state requirements.

Organizations that provide SAMMCR must provide "first responder" crisis response on 24 hours a day, seven days a week, 365 days a year basis to the individuals who are receiving this service.

### **Staffing Requirements**

Substance Abuse Medically Monitored Community Residential Treatment is staffed by physicians who are available 24 hours a day by telephone to provide consultation. The physician's assessment must be conducted within 24 hours of admission. A registered nurse is available to conduct a nursing assessment on admission and oversee the monitoring of an individual's progress and medication administration on an hourly basis. Persons who meet the requirements specified for CCS, LCAS, LCAS-A level, and CSAC or CADC under Article 5C may deliver SAMMCRT. The program must be under the clinical supervision of an LCAS or CCS who is on site a minimum of 8 hours per day when the service is in operation and available by phone 24 hours a day. Services may also be provided by staff who meet the requirements specified for QP or AP status in Substance Abuse according to 10A NCAC 27G .0104, under the supervision of an LCAS or CCS. Paraprofessional level providers who meet the requirements for Paraprofessional status according to 10A NCAC 27G .0104 and who have the knowledge, skills, and abilities required by the population and age to be served may deliver SAMMCRT, under the supervision of a LCAS or CCS. Paraprofessional level providers may not provide services in lieu of on-site service provision to individuals receiving this service by a QP, CCS, LCAS, LCAS-A, CSAC or CADC.

### **Service Type and Setting**

Facility is licensed under **10A NCAC 27G .3400**.

### **Program Requirements**

See Service Definition and Required Components.

### **Utilization Management**

Authorization by the LME-MCO is required. The amount and duration of the service must be included in the individual's authorized PCP. Initial authorization shall not exceed 10 days. Reauthorization shall not exceed 10 days. All utilization review activity shall be documented in the Provider's Service Plan. This is a short-term service that may not exceed more than 45 days in a 12-month period.

### **Eligibility Criteria**

The individual is eligible for this service when ALL of the following criteria are met:

- a. There is a substance use disorder diagnosis present.
- b. The individual meets ASAM Level 3.7 criteria.

### **Continued Service Criteria**

The individual is eligible to continue this service if the desired outcome or level of functioning has not been restored, improved, or sustained over the time frame outlined in the individual's PCP or the individual continues to be at risk for

relapse based on history or the tenuous nature of the functional gains or ANY of the following applies:

- a. The individual has achieved positive life outcomes that support stable and ongoing recovery and services need to be continued to meet additional goals.

- b. The individual is making satisfactory progress toward meeting treatment goals.
- c. The individual is making some progress, but the PCP (specific interventions) needs to be modified so that greater gains, which are consistent with the individual's premorbid level of functioning, are possible or can be achieved.
- d. The individual is not making progress; the PCP must be modified to identify more effective interventions.
- e. The individual is regressing; the PCP must be modified to identify more effective interventions.

### **Discharge Criteria**

The individual meets the criteria for discharge if any one of the following applies:

The individual's level of functioning has improved with respect to the goals outlined in the PCP, inclusive of a transition plan to step down, or no longer benefits, or has the ability to function at this level of care and ANY of the following apply:

- a. individual has achieved positive life outcomes that support stable and ongoing recovery;
- b. individual is not making progress, or is regressing and all realistic treatment options have been exhausted indicating a need for more intensive services; or
- c. individual no longer wishes to receive MMCRT services. (Note that although a individual may no longer wish to receive MMCRT services, the individual must still be provided with discharge recommendations that are intended to help the individual meet expected outcomes).

### **Expected Outcomes**

The expected outcome is abstinence.

Secondary outcomes include:

- a. sustained improvement in health and psychosocial functioning;
- b. reduction in any psychiatric symptoms (if present); reduction in public health or safety concerns; and
- c. a reduction in the risk of relapse as evidenced by improvement in empirically supported modifiable relapse risk factors.

Upon successful completion of the treatment plan there will be successful linkage to the community of the individual's choice for ongoing step down or support services.

### **Documentation Requirements**

The minimum standard is a daily full service note that includes:

- a. individual's name;
- b. service record number;
- c. date of service;
- d. purpose of contact;
- e. description of the provider's intervention(s);
- f. time spent performing the intervention(s);
- g. effectiveness of intervention(s), and
- h. signature and credentials of the staff providing the service.

A discharge plan shall be discussed with the individual and included in the record.

**Service Exclusions and Limitations**

This service may not be billed the same day as any other mental health or substance use disorder service except CST or ACT.

## Substance Abuse Halfway House (State-Funded):

### Level 3.1 Clinically Managed Low-Intensity Residential Services

#### Service Definition and Required Components

Clinically managed low intensity residential services are provided in a 24-hour facility where the primary purpose of these services is the rehabilitation of individuals who have a substance use disorder and who require supervision when in the residence. Individuals receiving this service attend work, school, and substance use treatment services. 10A NCAC 27G .5600 sets forth required service components.

Rehabilitative services components offered within this level of care must include ALL of the following:

1. Disease management
2. Vocational, educational, or employment training.
3. Support services for early recovery and relapse prevention
4. Linkage with the self-help and other community resources for support (e.g. 12-step meetings, faith-based programs, etc.)

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

#### Provider Requirements

Substance Abuse Halfway House shall be delivered by a team of practitioners employed by substance use disorder provider organizations that meet the requirements of 10A NCAC 27G and the provider qualification policies, procedures, and standards established by DMH/DD/SAS. These policies and procedures set forth the administrative, financial, clinical, quality improvement, and information services infrastructure necessary to provide services. Provider organizations shall demonstrate that they meet these standards by being credentialed by the LME-MCO. The organization shall be established as a legally recognized entity in the United States and qualified or registered to do business as a corporate entity in the State of North Carolina, capable of meeting all of the requirements of the LME-MCO credentialing process, DMH/DD/SAS Communication Bulletins, the DMH/DD/SAS *Records Management and Documentation Manual*, and service implementation standards. The provider organization shall comply with all applicable federal and state requirements.

#### Staffing Requirements

Staff requirements are specified in licensure rule **10A NCAC 27G .5600**.



### **Service Type and Setting**

Facility is licensed under **10A NCAC 27G .5600**.

### **Program Requirements**

See Service Definition and Required Components and licensure requirements.

### **Utilization Management**

Authorization by the LME-MCO is required. The amount and duration of this service must be included in an authorized individual's PCP. Initial authorization for services will not exceed 180 days.

### **Eligibility Criteria**

The individual is eligible for this service when ALL of the following criteria are met:

- a. There is a substance use disorder diagnosis present.
- b. The individual meets ASAM Level 3.1 criteria.

### **Continued Service Criteria**

The individual is eligible to continue this service if the desired outcome or level of functioning has not been restored, improved, or sustained over the time frame outlined in the individual's PCP or the individual continues to be at risk for relapse based on history or the tenuous nature of the functional gains or ANY ONE of the following apply:

- a. The individual has achieved initial PCP goals and additional goals are indicated.
- b. The individual is making satisfactory progress toward meeting goals.
- c. The individual is making some progress, but the PCP (specific interventions) needs to be modified so that greater gains, which are consistent with the individual's premorbid level of functioning, are possible or can be achieved.
- d. The individual is not making progress; the Person-Centered Plan must be modified to identify more effective interventions.
- e. The individual is regressing; the PCP must be modified to identify more effective interventions.

### **AND**

Utilization review must be conducted every 90 days and is so documented in the PCP and the service record.

### **Discharge Criteria**

The individual meets the criteria for discharge if any one of the following applies:

The individual's level of functioning has improved with respect to the goals outlined in the PCP, inclusive of a transition plan to step down, or no longer benefits, or has the ability to function at this level of care and ANY of the following applies:

1. The individual has achieved positive life outcomes that support stable and ongoing recovery.
2. The individual is not making progress, or is regressing and all realistic treatment

- options have been exhausted indicating a need for more intensive services.
3. The individual or family no longer wishes to receive Halfway House services.

### **Expected Outcomes**

The expected outcome of Halfway House is abstinence. Secondary outcomes include: sustained improvement in health and psychosocial functioning, reduction in any psychiatric symptoms (if present), reduction in public health or safety concerns, and a reduction in the risk of relapse as evidenced by improvement in empirically-supported modifiable relapse risk factors.

### **Documentation Requirements**

The minimum standard is a daily full service note that includes:

- a. individual's name;
- b. service record number;
- c. date of service;
- d. purpose of contact;
- e. description of the provider's intervention(s);
- f. time spent performing the intervention(s);
- g. effectiveness of intervention(s), and
- h. signature and credentials of the staff providing the service.

A discharge plan shall be discussed with the individual and included in the record.

### **Service Exclusions and Limitations**

Substance Abuse Halfway House may not be billed the same day as any other Residential Treatment or Inpatient Hospital service.

## Medically Supervised or ADATC Detoxification Crisis Stabilization (State Funded)

(When Furnished to Adults in Facilities with Fewer than 16 Beds)

### Level 3.9-WM: Medically Supervised Detoxification Crisis Stabilization (NC)

#### Service Definition and Required Components

Medically Supervised or ADATC Detoxification Crisis Stabilization is an organized service delivered by medical and nursing professionals that provides for 24-hour medically supervised evaluation and withdrawal management in a permanent facility with inpatient beds. Services are delivered under a defined set of physician-approved policies and physician-monitored procedures and clinical protocols. Individuals are often in crisis due to co-occurring severe mental disorders (e.g. acutely suicidal or severe mental health problems and co-occurring substance use disorder) and are in need of short term intensive evaluation, treatment intervention or behavioral management to stabilize the acute or crisis situation. The service has restraint and seclusion capabilities. Established clinical protocols are followed by staff to identify individuals with severe biomedical conditions who are in need of medical services beyond the capacity of the facility and to transfer such individuals to the appropriate level of care.

A comprehensive clinical assessment is one mechanism to demonstrate medical necessity for a service and to assess and identify an individual's needs. For state-funded services, a service order is recommended. Providers shall coordinate with the LME-MCO regarding their requirements for service orders.

#### Provider Requirements

Medically Supervised or ADATC Detoxification Crisis Stabilization shall be delivered by practitioners employed by substance use disorder provider organizations that meet the requirements of 10A NCAC 27G and the provider qualification policies, procedures, and standards established by DMH/DD/SAS. These policies and procedures set forth the administrative, financial, clinical, quality improvement, and information services infrastructure necessary to provide services. Provider organizations shall demonstrate that they meet these standards by being credentialed by the LME-MCO. Additionally, the organization shall achieve national accreditation with at least one of the designated accrediting bodies within one year of enrollment as a provider with the LME-MCO. The organization shall be established as a legally recognized entity in the United States and qualified or registered to do business as a corporate entity in the State of North Carolina, capable of meeting all of the requirements of the LME-MCO credentialing process, DMH/DD/SAS Communication Bulletins, the DMH/DD/SAS *Records Management and Documentation Manual*, and service implementation standards. The provider organization shall comply with all applicable federal and state requirements.

### **Staffing Requirements**

Medically Supervised or ADATC Detoxification Crisis Stabilization services are staffed by physicians and psychiatrists, who are available 24 hours a day by telephone and who conduct assessments within 24 hours of admission. A registered nurse is available to conduct a nursing assessment on admission and oversee the monitoring of an individual's progress and medication administration on an hourly basis. Appropriately licensed and credentialed staff are available to administer medications in accordance with physician orders. Persons who meet the requirements specified for CCS, LCAS, LCAS-A, and CSAC or CADC under Article 5C may deliver a planned regimen of 24-hour evaluation, care and treatment services for individuals engaged in Medically Supervised or ADATC Detoxification Crisis Stabilization. The planned regimen of 24-hour evaluation, care and treatment services must be under the clinical supervision of a CCS or LCAS who is who is available by phone 24 hours a day. The planned regimen of 24-hour evaluation, care and treatment services for individuals engaged in Medically Supervised or ADATC Detoxification Crisis Stabilization must be provided by staff who meet the requirements specified for QP or AP status for Substance Abuse according to 10A NCAC 27G.0104, under the supervision of an LCAS or CCS. Paraprofessional level providers who meet the requirements for Paraprofessional status according to 10A NCAC 27G .0104 and who have the knowledge, skills, and abilities required by the population and age to be served may deliver the planned regimen of 24-hour evaluation, care and treatment services for individuals engaged in ADATC Detoxification Crisis Stabilization, under the supervision of an LCAS or CCS.

### **Service Type and Setting**

(Licensure TBD)

### **Eligibility Criteria**

The individual is eligible for this service when all of the following criteria are met:

- a. There is a substance use disorder diagnosis present.
- b. The individual meets ASAM Level 3.9-WM criteria (NC).

### **Utilization Management**

Authorization by the LME-MCO is required after the first eight hours of admission. This service must be included in an individual's PCP. Initial authorization is limited to five days.

Utilization management must be performed by the LME-MCO.

### **Continued Service and Discharge Criteria**

The individual continues in Medically Supervised or ADATC Detoxification Crisis Stabilization until ANY of the following criteria is met:

- a. Withdrawal signs and symptoms are sufficiently resolved that he or she can be safely managed at a less intensive level of care;

- b. The signs or symptoms of withdrawal have failed to respond to treatment and have intensified such that transfer to a more intensive level of detoxification service is indicated;
- c. The addition of other clinical services is indicated.

### **Expected Outcomes**

The expected outcome of this service is abstinence and reduction in any psychiatric symptoms (if present).

### **Documentation Requirements**

The minimum standard is a daily full service note for each day of Medically Supervised or ADATC Detoxification Crisis Stabilization services that includes:

- a. individual's name;
- b. service record number;
- c. date of service;
- d. purpose of contact;
- e. a description of the provider's interventions;
- f. time spent performing the intervention;
- g. effectiveness of interventions; and
- h. signatures and credentials of staff providing the service.

In addition, detoxification rating scale tables [e.g., Clinical Institute Withdrawal Assessment-Alcohol, Revised (CIWA-AR)] and flow sheets (which include tabulation of vital signs) are used as needed. A discharge plan, which has been discussed with the individual, is also documented prior to discharge.

### **Service Exclusions**

This service may not be billed the same day as any other mental health or substance use disorder service except CST and ACTT. This is a short-term service that may not be billed for more than 30 days in a 12-month period.