

Table of Contents

State/Territory Name: Alabama

State Plan Amendment (SPA) #: 18-0002

This file contains the following documents in the order listed:

- 1) Approval Letter
- 2) CMS 179 Form
- 3) Approved SPA Pages

DEPARTMENT OF HEALTH & HUMAN SERVICES
Centers for Medicare & Medicaid Services
Atlanta Regional Office
61 Forsyth Street, Suite 4T20
Atlanta, Georgia 30303



DIVISION OF MEDICAID & CHILDREN'S HEALTH OPERATIONS

May 29, 2018

Ms. Stephanie Azar, Commissioner
Alabama Medicaid Agency
501 Dexter Avenue
Post Office Box 5624
Montgomery, Alabama 36103-5624

Re: Title XIX State Plan Amendment, AL #18-0002

Dear Ms. Azar:

We have reviewed the proposed amendment to the Alabama State Plan, submitted under transmittal number AL-18-0002. This amendment adds TCM services for Medicaid-eligible individuals who have a diagnosed substance use disorder or substance-induced disorder, and revises outdated language for Target Group 1, Mentally Ill Adults, and Target Group 3, Disabled Children.

Based on the information provided, this amendment was approved on May 29, 2018. The effective date is May 1, 2018. We are enclosing the approved form 179 and plan pages.

If you have any questions, please contact Alice Hogan at 404-562-7432 or Alice.Hogan@cms.hhs.gov.

Sincerely,

//s//

David Kimble
Acting Associate Regional Administrator
Division of Medicaid & Children's Health Operations

Enclosures

State Plan under Title XIX of the Social Security Act
State/Territory: Alabama

TARGETED CASE MANAGEMENT SERVICES
Targeted Group 1 Mentally Ill Adults

Target Group (42 Code of Federal Regulations 441.18(8)(i) and 441.18(9)):

Mentally Ill Adults

The population to be served consists of functionally limited individuals 18 years of age or older with multiple needs who have been assessed by a qualified professional and have been found to require mental health case management. Such persons have a diagnosis included in the ICD-10 as appropriate to date of service (other than intellectual disabilities or substance abuse), impaired role functioning, and a documented lack of capacity for independently accessing, and sustaining involvement with needed services.

A person in this target group may reside in his/her own home, the household of another, or a supervised residential setting and in total care environments, such as nursing facilities and hospitals.

Medicaid recipients may receive TCM services in more than one target group, or case management services from another program if the Agency determines this would not present a duplication of services.

X Target group includes individuals transitioning to a community setting. Case-management services will be made available for up to 180 consecutive days of a covered stay in a medical institution. The target group does not include individuals between ages 22 and 64 who are served in Institutions for Mental Disease or individuals who are inmates of public institutions. (State Medicaid Directors Letter (SMDL), July 25, 2000)

Areas of State in which services will be provided (§1915(g)(1) of the Act):

- X Entire State
 Only in the following geographic areas:

Comparability of services (§§1902(a)(10)(B) and 1915(g)(1))

- Services are provided in accordance with §1902(a)(10)(B) of the Act.
X Services are not comparable in amount duration and scope (§1915(g)(1)).

Definition of services (42 CFR 440.169): Targeted case management services are defined as services furnished to assist individuals, eligible under the State Plan, in gaining access to needed medical, social, educational and other services. Targeted Case Management includes the following assistance:

- Comprehensive assessment and periodic reassessment of individual needs, to determine the need for any medical, educational, social or other services. These assessment activities include:
 - taking the individual's history;

State Plan under Title XIX of the Social Security Act
State/Territory: Alabama

TARGETED CASE MANAGEMENT SERVICES
Targeted Group 1 Mentally Ill Adults

- changes in the needs or status of the individual are reflected in the case plan. Monitoring and follow-up activities include making necessary adjustments in the case plan and service arrangements with providers.

Monitoring - The case manager will ascertain on an ongoing basis what services have been delivered and whether they are adequate to meet the needs of the individual. Adjustments in the plan of care may be required as a result of monitoring.

Case management includes contacts with non-eligible individuals that are directly related to identifying the eligible individual's needs and care, for the purposes of helping the eligible individual access services; identifying needs and supports to assist the eligible individual in obtaining services; providing case managers with useful feedback, and alerting case managers to changes in the eligible individual's needs.
(42 CFR 440.169(e))

Qualifications of providers (42 CFR 441.18(a)(8)(v) and 42 CFR 441.18(b)):

1. Target Group 1: Mentally Ill Adults

The case management provider will be either Regional Boards incorporated under Act 310 of the 1967 Alabama Act and Comprehensive Community Mental Health Centers who have demonstrated ability to provide targeted case management services directly, or the Department of Mental Health. Providers must be certified by and under contract with the Alabama Department of Mental Health. Act 310 provides for the formation of public corporation to contract with the Alabama Department of Mental Health in constructing facilities and operating programs for mental health services. A 310 Board has the authority to directly provide: planning, studies and services for mental illness
Individual case managers must meet the following qualifications:

- (A) At a minimum, a Bachelor of Arts or a Bachelor of Science degree preferably in a human services related field, or
- (B) A registered nurse, and
- (C) Training in a case management curriculum provided or approved by the Department of Mental Health and the Alabama Medicaid Agency.

Freedom of choice (42 CFR 441.18(a)(1)):

The State assures that the provision of case management services will not restrict an individual's free choice of providers in violation of section 1902(a)(23) of the Act.

- 1. Eligible individuals will have free choice of any qualified Medicaid provider within the specified geographic area identified in this plan.

State Plan under Title XIX of the Social Security Act
State/Territory: Alabama

TARGETED CASE MANAGEMENT SERVICES
Targeted Group 3 Disabled Children

- (10) Orthopedic problems, (such as clubfoot, scoliosis fractures, poliomyelitis);
 - (11) Metabolic disorders, (such as panhypopituitarism);
 - (12) Neoplasms, (such as leukemia, retinoblastoma); and
 - (13) Multisystem genetic disorders, (such as tuberous sclerosis, neurofibromatosis).
- (E) Developmentally delayed -
- (1) A child age birth to three years who is experiencing developmental delays equal to or greater than 25 percent as measured by appropriate diagnostic instruments and procedures in one or more of the following areas:
 - (a) Cognitive development;
 - (b) Physical development (including vision and hearing);
 - (c) Language and speech development;
 - (d) Psychosocial development; and
 - (e) Self-help skills.
 - (2) One who has a diagnosed physical or mental condition which has a high probability of resulting in a developmental delay.
- (F) Multi-need - An individual who has a combination of two or more disabling conditions. Each condition, if considered separately, might not be severe enough to warrant case management, but a combination of the conditions would be of such severity to adversely affect development.

A person in this target group may reside in his/her own home, the household of another, or a supervised residential setting and in total care environments, such as nursing facilities and, hospitals. Targeted case management services will not be provided to clients receiving case management through a waiver.

X Target group includes individuals transitioning to a community setting. Case-management services will be made available for up to 180 consecutive days of a covered stay in a medical institution. The target group does not include individuals between ages 22 and 64 who are served in Institutions for Mental Disease or individuals who are inmates of public institutions). (State Medicaid Directors Letter (SMDL), July 25, 2000). Also excluded are individuals receiving services in an Institution for Mental Disease (IMD).

Areas of State in which services will be provided (§1915(g)(1) of the Act):

- X Entire State
- ___ Only in the following geographic areas:

State Plan under Title XIX of the Social Security Act
State/Territory: Alabama

TARGETED CASE MANAGEMENT SERVICES
Targeted Group 9 Individuals who meet the eligibility criteria for
Substance Use Disorders

Target Group (42 Code of Federal Regulations 441.18(8)(i) and 441.18(9)):

The target group to be served consists of Medicaid-eligible individuals who have a diagnosed substance use disorder or substance induced disorder, in accordance with criteria set forth by the most recent edition of the Diagnostic and Statistical Manual of Mental Disorders (DSM) published by the American Psychiatric Association, and who meet the following additional criteria.

- (1) Individuals who:
 - (a) Have been unable to independently maintain a sustained period of recovery after repeated treatment episodes; or
 - (b) Have little or no access to community resources necessary to support sustained recovery efforts; or
 - (c) Have co-morbid conditions, as mental illness, emotional disorders, intellectual disabilities, medical conditions, sensory impairments, or mobility impairments; or
 - (d) Have significant responsibility for the care of dependents, as well as themselves.

- (2) Target group includes individuals transitioning to a community setting. Case-management services will be made available for up to 180 consecutive days of a covered stay in a medical institution. The target group does not include individuals between ages 22 and 64 who are served in Institutions for Mental Disease or individuals who are inmates of public institutions. (State Medicaid Directors Letter (SMDL), July 25, 2000)

The target group does not include individuals who are inmates of public institutions. Also excluded are individuals receiving services in an Institution for Mental Disease (IMD), except for individuals over age sixty-four (64), and individuals under the age of twenty-two (22).

Targeted case management services will not be provided to individuals receiving case management through a waiver

Areas of State in which services will be provided (§1915(g)(1) of the Act):

- Entire State
 Only in the following geographic areas

State Plan under Title XIX of the Social Security Act

State/Territory: Alabama**TARGETED CASE MANAGEMENT SERVICES****Targeted Group 9 Individuals who meet the eligibility criteria for
Substance Use Disorders**Comparability of services (§§1902(a)(10)(B) and 1915(g)(1))

- Services are provided in accordance with §1902(a)(10)(B) of the Act.
X Services are not comparable in amount duration and scope (§1915(g)(1)).

Definition of services (42 CFR 440.169): Targeted case management services are defined as services furnished to assist individuals, eligible under the State Plan, in gaining access to needed medical, social, educational and other services. Targeted Case Management includes the following assistance:

- Comprehensive assessment and periodic reassessment of individual needs, to determine the need for any medical, educational, social or other services. These assessment activities include
 - taking individuals history;
 - identifying the individual's needs and completing related documentation; and
 - gathering information from other sources such as family members, medical providers, social workers, and educators (if necessary), to form a complete assessment of the eligible individual;
- Reassessment/follow-up – The case manager shall evaluate through interviews and observations the progress of the individuals toward accomplishing the goals listed in the case plan at intervals of six months or less. In addition, the persons and/or agencies providing services to the individuals will be contacted and the results of these contacts, together with the changes in need shown in the reassessments, will be utilized to accomplish any needed revisions to the case plan.
- ❖ Development (and periodic revision) of a specific case plan that is based on the information collected through the assessment that
 - specifies the goals and actions to address the medical, social, educational, and other services needed by the individual;

**State Plan under Title XIX of the Social Security Act
State/Territory: Alabama**

**TARGETED CASE MANAGEMENT SERVICES
Targeted Group 9 Individuals who meet the eligibility criteria for
Substance Use Disorders**

- includes activities such as ensuring the active participation of the eligible individual, and working with the individual (or the individual's authorized health care decision maker) and others to develop those goals; and
- identifies a course of action to respond to the assessed needs of the eligible individual;
- ❖ Referral and related activities (such as scheduling appointments for the individual) to help the eligible individual obtain needed services including
 - activities that help link the individual with medical, social, educational providers, or other programs and services that are capable of providing needed services to address identified needs and achieve goals specified in the case plan; and
- ❖ Monitoring and follow-up activities:
 - Ongoing activities and contacts that are necessary to ensure the case plan is implemented and adequately addresses the eligible individual's needs, and which may be with the individual, family members, service providers, or other entities or individuals and conducted as frequently as necessary, and including at least one annual monitoring, to determine whether the following conditions are met:
 - services are being furnished in accordance with the individual's case plan;
 - services in the case plan are adequate; and
 - changes in the needs or status of the individual are reflected in the case plan.Monitoring and follow-up activities include making necessary adjustments in the case plan and service arrangements with providers.

Case management includes contacts with non-eligible individuals that are directly related to identifying the eligible individual's needs and care, for the purposes of helping the eligible individual access services; identifying needs and supports to assist the eligible individual in obtaining services; providing case managers with useful feedback, and alerting case managers to changes in the eligible individual's needs.

(42 CFR 440.169(e))

Qualifications of providers (42 CFR 441.18(a)(8)(v) and 42 CFR 441.18(b)):

Target Group 9: Individuals who meet the eligibility criteria for Substance Use Disorders.

Case management providers for the target group must be certified by and provide services through a contract with the Alabama Department of Mental Health and have the following qualifications:

**State Plan under Title XIX of the Social Security Act
State/Territory: Alabama**

**TARGETED CASE MANAGEMENT SERVICES
Targeted Group 9 Individuals who meet the eligibility criteria for
Substance Use Disorders**

- (A) Demonstrated capacity to provide all core elements of case management:
 - (1) assessment,
 - (2) care/services plan development,
 - (3) linking/coordination of services, and
 - (4) reassessment/follow-up.
- (B) Demonstrated case management experience in coordinating and linking such community resources as required by the target population.
- (C) Documented work experience with the target population.
- (D) An administrative capacity to insure quality of services in accordance with state and federal requirements.
- (E) A functional financial management system that provides documentation of services and costs.
- (F) Capacity to document and maintain individual case records in accordance with state and federal requirements.
- (G) Demonstrated ability to assure a referral process consistent with Section 1902a(23) of the Social Security Act, freedom of choice of provider.
- (H) Demonstrated capacity to meet the case management service needs of the target population.

Individual case managers must meet the following minimum qualifications:

- (A) A Bachelor of Arts or Bachelor of Science, or
- (B) A Registered Nurse, and
- (C) Training in a case management curriculum approved by the Alabama Medicaid Agency and the Alabama Department of Mental Health.

**State Plan under Title XIX of the Social Security Act
State/Territory: Alabama**

**TARGETED CASE MANAGEMENT SERVICES
Targeted Group 9 Individuals who meet the eligibility criteria for
Substance Use Disorders**

Freedom of Choice (42 CFR 441.18(a)(1)):

The State assures that the provision of case management services will not restrict an individual's free choice of providers in violation of section 1902(a)(23) of the Act.

1. Eligible individuals will have free choice of any qualified Medicaid provider within the specified geographic area identified in this plan.
2. Eligible individuals will have free choice of any qualified Medicaid providers of other medical care under the plan.

Freedom of Choice Exception (§1915(g)(1) and 42 CFR 441.18(b)):

X Target group consists of eligible individuals with substance use disorders. Providers are limited to qualified Medicaid providers of case management services capable of ensuring that individuals with substance use disorders receive needed services:

Access to Services (42 CFR 441.18(a)(2), 42 CFR 441.18(a)(3), 42 CFR 441.18(a)(6)):

The State assures the following:

- Case management (including targeted case management) services will not be used to restrict an individual's access to other services under the plan.
- Individuals will not be compelled to receive case management services, condition receipt of case management (or targeted case management) services on the receipt of other Medicaid services, or condition receipt of other Medicaid services on receipt of case management (or targeted case management) services; and
- Providers of case management services do not exercise the agency's authority to authorize or deny the provision of other services under the plan.

Payment (42 CFR 441.18(a)(4)):

Payment for case management or targeted case management services under the plan does not duplicate payments made to public agencies or private entities under other program authorities for this same purpose.

Case Records (42 CFR 441.18(a)(7)):

Providers maintain case records that document for all individuals receiving case management as follows: (i) The name of the individual; (ii) The dates of the case management services; (iii) The name of the provider agency (if relevant) and the person providing the case management service; (iv) The nature, content, units of the case management services received and whether goals specified in the case plan have been achieved; (v) Whether the individual has declined services in the case plan; (vi) The need for, and occurrences of, coordination with other case managers; (vii) A timeline for obtaining needed services; (viii) A timeline for reevaluation of the plan.

TN No. AL-18-0002

Supersedes

TN No. NEW

Approval Date: 05/29/18

Effective Date: 05/01/18

**State Plan under Title XIX of the Social Security Act
State/Territory: Alabama**

**TARGETED CASE MANAGEMENT SERVICES
Targeted Group 9 Individuals who meet the eligibility criteria for
Substance Use Disorders**

Limitations:

Case management does not include, and Federal Financial Participation (FFP) is not available in expenditures for, services defined in §441.169 when the case management activities are an integral and inseparable component of another covered Medicaid service (State Medicaid Manual (SMM) 4302.F).

Case management does not include, and Federal Financial Participation (FFP) is not available in expenditures for, services defined in §441.169 when the case management activities constitute the direct delivery of underlying medical, educational, social, or other services to which an eligible individual has been referred, including for foster care programs, services such as, but not limited to, the following: research gathering and completion of documentation required by the foster care program; assessing adoption placements; recruiting or interviewing potential foster care parents; serving legal papers; home investigations; providing transportation; administering foster care subsidies; making placement arrangements. (42 CFR 441.18(c))

FFP only is available for case management services or targeted case management services if there are no other third parties liable to pay for such services, including as reimbursement under a medical, social, educational, or other program except for case management that is included in an individualized education program or individualized family service plan consistent with §1903(c) of the Act. (§§1902(a)(25) and 1905(c))