



**pennsylvania**

DEPARTMENT OF DRUG AND  
ALCOHOL PROGRAMS

**Case Management  
and  
Clinical Services Manual**

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# CASE MANAGEMENT AND CLINICAL SERVICES MANUAL

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## **PART I: GENERAL INFORMATION**

### **1.00 Purpose and Use of the Manual**

The mission of the Department of Drug and Alcohol Programs (DDAP) is to engage, coordinate and lead the Commonwealth of Pennsylvania's effort to prevent and reduce substance use disorders (SUD) and to promote recovery, thereby reducing the human and economic impact of the disease. This work is carried out in conjunction with the Single County Authorities (SCAs), their contracted providers, and the community at large. The SCAs have flexibility to develop their service delivery system in response to community needs.

DDAP has developed the Case Management and Clinical Services Manual (CMCSM) to comply with and convey the requirements of the Substance Abuse Block Grant (SABG) and *4 Pa. Code* § 257.4. The CMCSM sets forth requirements for SCAs and their contracted providers in delivering services to individuals with SUD and their families.

The SCA Grant Agreement takes precedence over the Prevention, Case Management/Clinical Services, Fiscal and Operations Manuals issued by DDAP, unless otherwise specified by DDAP or the Commonwealth, such as in Policy Bulletins or Management Directives. In addition, it may be necessary to issue temporary instructions, which will take precedence over material in this Manual. Any temporary instructions will clearly state the exception and include an expiration date.

## **PART II: SCA NEEDS ASSESSMENT AND PLAN**

### **2.00 SCA Needs Assessment and Plan**

To adequately plan for services most needed, SCAs must complete a Needs Assessment in order to identify any demographic changes that must be considered, current service use, including capacity and access issues, and any other areas of concern, gaps or needs that should be addressed. The SCA Needs Assessment and subsequent Plan provide the opportunity for SCAs to present information to DDAP on how the SCA is providing services related to SUD in the most efficient and effective manner and at the most appropriate level of care to individuals in need of services. The information provided by the SCAs will significantly contribute to DDAP's ability to detect patterns of unmet need and provide a strategic insight to improve the service delivery system.

SCAs are different in their geography, economics, population demographics, and density. Substance use trends and vulnerable populations change over time and across communities. These changes impact prevalence, incidence, and treatment demand estimates, which SCAs can use to match available resources with projected demand and plan for the development of new resources based upon needs. The Needs Assessment is a process through which the SCA uses reliable data to estimate the prevalence of SUD for people in its area. The Needs Assessment further identifies emerging SUD trends that may impact demand for treatment and services, methods to address SUD, and potential barriers to providing effective treatment and services.

The SCA should apply the information gathered, compiled, and analyzed through the Needs Assessment process to the development of the SCA Plan for the Delivery of Treatment & Services (SCA Plan). The SCA Plan is designed to assist SCAs in defining needs and developing the resources necessary to meet those needs.

The SCA Plan must:

- A. Describe trends and issues that were identified through the needs assessment process and how they will be addressed;
- B. Address outcomes separately with a plan of action to meet each objective;
- C. Describe the steps used for developing the plan, including the process for stakeholder input;
- D. Describe the fiscal impact of each plan of action and how the SCA will allocate funding to meet the need;
- E. Describe the SCA's quality management initiatives; and
- F. Describe the manner through which individuals access services.

The SCA Needs Assessment and Plan must be completed and submitted according to the DDAP Report Schedule, and in accordance with the directions and any accompanying documents provided by DDAP.

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## **PART III: SPECIAL POPULATIONS**

### **3.00 Priority Populations**

- A. The SCA and its contracted providers who serve an injection substance use population and who receive SABG funds shall give preference to treatment as follows in the order outlined below.
  - 1) Pregnant women who inject drugs
  - 2) Pregnant women who use substances
  - 3) Persons who inject drugs
  - 4) Overdose survivors
  - 5) Veterans
- B. All individuals in these priority populations must have a level of care assessment (LOCA) and be offered admission into the recommended level of care. If the SCA or contracted provider cannot ensure admission to the recommended level of care immediately, the individual must be offered case management services as well as admission to another level of care. Any individuals in need of emergency care should be treated as outlined in Section 5.00.
- C. An SCA may not restrict access to admissions to treatment for priority populations even if it applies restriction to others.

### **3.01 Pregnant Women**

Both the SABG and CMCSM identify pregnant women who inject drugs and pregnant women who use substances as priority populations. The SCA and its contracted providers must adhere to the following steps:

- A. Screen the woman for emergent care needs.
  - 1) If emergent care needs are identified, make an immediate referral to the appropriate service.
- B. If no emergent care needs are identified and a LOCA is necessary, then conduct a LOCA to determine the need for treatment.
- C. If treatment is indicated, refer the woman to a treatment provider that has the capacity to provide treatment services to the woman immediately.

DDAP has provisions for narcotic treatment programs (NTP) that are at capacity but need to admit a pregnant woman for treatment of an opioid use disorder (OUD). DDAP's Division of Program Licensure will review exception requests to increase capacity for any NTP on a case-by-case basis. In the event this is necessary, contact DDAP's Division of Program Licensure at 717-783-8200.

- 1) If no treatment facility has the capacity to admit the woman immediately, then;
  - (a) Make support services such as case management or recovery support services available within 48 hours after the LOCA, and

- (b) Make interim services available to the woman within 48 hours after the LOCA.
  - 2) Interim Services are defined as services that are provided until an individual is admitted to a substance use treatment program. The purpose of interim services is to reduce adverse health effects of substance use, promote the health of the woman, and reduce the risk of transmission of a disease until the woman is admitted to a treatment program. Interim services for pregnant women must include:
    - (a) Counseling and education about Human Immunodeficiency Virus (HIV) and tuberculosis (TB);
    - (b) Counseling and education about the risks of needle sharing;
    - (c) Counseling and education about the risks of transmission to sexual partners and infants;
    - (d) Counseling and education about the steps that can be taken to ensure that HIV and TB transmission do not occur;
    - (e) Referral for HIV and TB treatment services, if necessary;
    - (f) Counseling on the effects of alcohol and drug use on the fetus; and
    - (g) Referral for prenatal care.
  - 3) The SCA must maintain a resource list that clearly identifies, by physical address, phone number, and if applicable, website link, providers for each interim service. The title of each type of interim service must appear on the resource list exactly as written in the above list.
  - 4) The SCA must have written procedures that include the mechanism to maintain contact with the pregnant woman until admission into treatment occurs. Tracking of the pregnant woman must occur by the SCA or its contracted provider regardless of whether the woman is receiving interim services.
- D. The SCA must publicize the availability of preferential treatment services to pregnant women. The SCA may use street outreach programs, ongoing public service announcements on radio or television, regular advertisements in local or regional print media, posters placed in targeted areas, and frequent notification to the local network of community-based organizations, health care providers, and social service agencies.

### **3.02 Persons Who Inject Drugs (PWID)**

The SCA must address the needs of PWID as follows:

- A. Screen all PWID for emergent care needs.
  - 1) If emergent care needs are identified, make an immediate referral to the appropriate service.
- B. If no emergent care needs are identified and a LOCA is necessary, conduct a LOCA to determine the need for treatment.

- C. If treatment is indicated, refer all PWID to a treatment provider that has the capacity to provide treatment services immediately.
- 1) If no treatment facility has the capacity to admit the individual, then;
    - (a) Make support services such as case management or recovery support services available within 48 hours after the LOCA, and
    - (b) Make interim services available to all PWID within 48 hours after the LOCA and arrange for admission to treatment no later than 120 days after assessment. During this waiting period for admission, a mechanism for maintaining contact with the individual must be in place.
  - 2) The definition for “Interim Services” is outlined in Section 3.01 of the CMCSM. At a minimum, interim services for PWID must include:
    - (a) Counseling and education about HIV and TB;
    - (b) Counseling and education about the risks of needle sharing;
    - (c) Counseling and education about the risks of transmission to sexual partners and infants;
    - (d) Counseling and education about the steps that can be taken to ensure that HIV and TB transmission do not occur; and
    - (e) Referral for HIV and TB treatment service, if necessary.
  - 3) The SCA must maintain a resource list that clearly identifies, by address, phone number, and if applicable, website, providers for each interim service. The title of each type of interim service must appear on the resource list exactly as written in the above list.
  - 4) The SCA must have written procedures that include the mechanism to maintain contact with the individual until admission into treatment occurs. Tracking of the individual must occur by the SCA or its contracted provider regardless of whether the individual is receiving interim services.
- D. Ensure outreach activities are carried out for PWID who have not yet entered treatment. These outreach activities must be identified as Activity 7200 – Intervention for contracting and expenditure reporting. All activities are further defined in DDAP’s Fiscal Manual.
- 1) The SCA must have written outreach procedures that identify the following:
    - (a) The specific staff responsible to oversee outreach activities and the oversight process.
    - (b) The SCA staff or contracted provider responsible to perform outreach;
    - (c) The training provided to outreach workers;
    - (d) The specific outreach activities;
    - (e) The process to contact and follow up with PWID;

- (f) The process to inform PWID of the relationship between injection drug use and communicable diseases like HIV;
  - (g) The process to inform PWID of methods to prevent the transmission of such diseases; and
  - (h) The process to encourage entry into treatment.
- E. Require contracted providers who treat PWID to notify the SCA within seven days upon reaching 90 percent of its capacity to admit individuals to the program.
- 1) The SCA must have a policy and procedure in place that includes:
    - (a) The process for treatment providers to notify the SCA;
    - (b) The individual responsible for notifying the SCA;
    - (c) A method for the SCA to track the information received from the provider; and
    - (d) The process for the SCA to inform other contracted providers.

### **3.03 Women with Children**

- A. The SCA shall ensure that contracted providers who deliver services to pregnant women, women with dependent children, and women who are seeking custody of their children treat the family as a unit, when appropriate, and provide or arrange for the provision of the following services:
- 1) Primary medical care for women, including a referral for prenatal care, as well as childcare while the women are receiving medical care;
  - 2) Primary pediatric care, including immunization, for their children;
  - 3) Gender-specific substance use treatment and other therapeutic interventions for women which may address issues of relationships, sexual and physical abuse, and parenting, as well as childcare while the women are receiving these services;
  - 4) Family therapy, nutrition education, and education to GED level;
  - 5) Therapeutic interventions for the children in the custody of the women receiving treatment services which may address, among other things, the children's developmental needs, issues of sexual and physical abuse, and neglect; and
  - 6) Case management and transportation to ensure those women and their children have access to the services provided in all items listed above.
- B. The SCA must maintain a current resource list that identifies, by address, phone number, and if applicable, website, a provider for each service listed above.

### **3.04 Overdose Survivors**

DDAP defines an overdose as a situation in which an individual is in a state requiring emergency medical intervention as a result of the use of drugs or alcohol.

DDAP is identifying individuals who have overdosed as an additional priority population to better facilitate access to care directly following an overdose event.

A. Admission to treatment for individuals who have overdosed must be considered in conjunction with the requirements delineated in Section III Special Populations in the CMCSM.

B. Warm Handoff Policy:

To ensure expedient, appropriate, and seamless care for all individuals who have overdosed from any substance of abuse, SCAs must develop, implement, and maintain a plan for screening, assessing, referring to treatment, and tracking all individuals who have survived a recent overdose. The SCA must coordinate with local hospitals to address the needs of individuals who have experienced an overdose to develop a policy and procedures, which must be approved by DDAP's Treatment Division and include the elements below:

- 1) Details or process by which an individual who experienced an overdose will be offered a 24/7 direct referral from the Emergency Department (ED) to treatment by one or any combination of models noted below;
- 2) The hospital(s), the SCA and provider(s), as applicable, must have on file any Memorandum of Understanding (MOU) or Letter of Agreement (LOA) that may apply;
- 3) Timelines for the referral processes;
- 4) A mechanism for tracking referrals or refusals for treatment; and
- 5) Completion of DDAP's warm handoff monthly report in accordance with DDAP's Report Schedule.

The warm handoff policy and procedures must include one or more of the following models:

- 6) **SCA Agency Model:** The SCA staff provides LOCA services for local healthcare facilities and EDs. The SCA must establish procedures for referral to treatment during evenings, weekends and holidays.
- 7) **Contracted Provider Model:** The SCA contracts with one or more providers such as case management units, treatment providers, or crisis intervention providers to perform the following services within area hospital EDs:
  - (a) screening
  - (b) LOCA
  - (c) referral to services
- 8) **Certified Recovery Specialist (CRS) Model:** CRSs provide screening and referral to a provider qualified to conduct the LOCA and referral to treatment. The CRS can be employed by the SCA or a contracted provider. The CRS cannot complete a LOCA.

9) **Treatment Provider Model:** The SCA contracts with a local treatment provider and monitors to ensure staff are performing the following services within hospital EDs:

- (a) screening
- (b) LOCA
- (c) referral to services

This may already be occurring as a courtesy or referral source by treatment providers to local healthcare facilities and EDs. In some instances, the treatment provider may be hospital owned/affiliated.

10) **Direct Referral to Treatment by Hospital Staff Model:** The hospital Social Worker, withdrawal management personnel, or other hospital staff assists a patient with referral directly to SUD treatment. This may occur through a special arrangement that the SCA has with the hospital or by the hospital staff, independent of the SCA. It is the expectation that the SCA would be engaged in some level of relationship/arrangement with the hospital or receiving treatment provider as it relates to warm handoff reporting and authorization of funding, when necessary.

11) **DDAP Approved Model:** The SCA can present another alternative not otherwise mentioned in this Section or a combination of any of the above for DDAP approval.

### **3.05 Veterans**

The SCA and contracted providers are required to address the needs of veterans as follows:

- A. Provide the full continuum of treatment services to veterans;
- B. Conduct screening and LOCA services;
- C. Use the ASAM Criteria, 2013 to determine the appropriate level of care;
- D. Make a referral to treatment; and
- E. Provide additional case management services as appropriate.
- F. If the facility operated by the U.S. Department of Veterans Affairs (VA) is determined to be the most appropriate facility to provide treatment for the veteran, the SCA or contracted provider must directly connect the individual to the admitting provider, and the SCA or contracted provider must confirm that the veteran was admitted as planned. The SCA must do more than provide contact information to a veteran. The SCA may continue to provide Case Management Services while the veteran is in the VA facility.
- G. The SCA cannot deny funding to a veteran based on eligibility for VA benefits. The SCA must offer the recommended level of care to the veteran regardless of the funding source.

**PART IV: SERVICE CONTINUUM**

**4.00 Continuum of Care**

- A. To ensure placement for all individuals in the proper level of care, the SCA and its contracted providers must use The ASAM Criteria, 2013 and offer the full range of SUD treatment and services described in the full continuum of care.
- B. The development of a provider network must include the full continuum of care as outlined below:
  - 1) Early Intervention (adult, adolescent);
  - 2) Outpatient (adult, adolescent);
  - 3) Intensive Outpatient (adult, adolescent);
  - 4) Partial Hospitalization (adult, adolescent);
  - 5) Clinically Managed Low-Intensity Residential Services (e.g. Halfway House) (adult, adolescent);
  - 6) Withdrawal Management (adult);
  - 7) Clinically Managed High-Intensity Residential Services (adult);
  - 8) Clinically Managed Medium-Intensity Residential Services (adolescent);
  - 9) Medically Monitored Intensive Inpatient Services (adult);
  - 10) Medically Monitored High-Intensity Inpatient Services (adolescent);
  - 11) Medically Managed Intensive Inpatient Services (adult, adolescent).

**4.01 Halfway House Services**

- A. A halfway house must provide a home-like atmosphere within the local community, be accessible to public transportation, and provide opportunities for independent growth and responsible community living. Mutual self-help, assistance in economic and social adjustment, integration of activities of daily living and development of a sound recovery program are requirements of halfway houses.
- B. The SCA may use DDAP funds only for a halfway house that:
  - 1) Has an inpatient non-hospital residential treatment license for the specific facility where the halfway house activity is provided;
  - 2) Is an independent physical structure containing no more than 30 beds;
  - 3) Provides no other licensed treatment activity within the same physical structure; and
  - 4) Has been approved as a halfway house by DDAP.
- C. The SCA responsible for drug and alcohol services in the county in which the facility is located must submit a request for approval to include:

- 1) A cover letter from the SCA stating that the SCA has conducted a review of the facility and material presented, and that the facility meets the requirements contained in the CMCSM;
- 2) Facility full name, facility number, address, telephone number, and director;
- 3) Halfway house capacity including total beds, male/female ratio, and focus on any special populations;
- 4) Length of program;
- 5) A copy of the DDAP License for inpatient non-hospital residential treatment;
- 6) A description of frequency and length of:
  - (a) Individual Therapy
  - (b) Group Therapy
  - (c) Peer Groups
  - (d) Community Meetings
  - (e) Educational Groups
- 7) A description of the following Support Services and how individuals will access them at the facility or in the community:
  - (a) Public transportation
  - (b) Transportation provided by the facility to employment and appointment
  - (c) Educational services
  - (d) Employment opportunities
  - (e) Job training
  - (f) Vocational services
  - (g) Healthcare
  - (h) Recreational activities
  - (i) Life skills
  - (j) Social services
  - (k) Mental health services
- 8) A copy of the floor plan and description of the physical structure to include the following:
  - (a) Independent physical structure
  - (b) Independent food preparation and dining area

- (c) A description of how the facility promotes self-sufficiency and independent living; and
  - (d) Job descriptions and proposed staff composition and qualifications.
- D. Address all applications for approval of halfway house activities as follows:
- Pennsylvania Department of Drug and Alcohol Programs  
Attention: Director, Treatment Division  
One Penn Center  
2601 North 3rd Street, Fifth Floor  
Harrisburg, PA 17110
- E. Staff from the Treatment Division will review the application and contact the SCA administrator if any additional information or clarification is necessary. Staff from the Treatment Division may conduct a site visit to determine if the facility meets all definitions, programmatic, and funding requirements.
  - F. If the location of a halfway house changes, the SCA must submit a new request for approval within 90 days of the location change.
  - G. DDAP will send a letter of notification approving or denying the application to the SCA and treatment facility. If the application is denied, the SCA may submit a written appeal to the Director, Bureau of Treatment, Prevention and Intervention within ten days of the denial.
  - H. The SCA may not establish a rate for a new halfway house or enter into a contract prior to receiving written approval by DDAP.

#### **4.02 Emergency Housing Services**

- A. The SCA may provide emergency shelter and housing services to homeless or near homeless individuals who agree to participate in SUD treatment, self-help groups, or other recovery support services.
- B. The SCA shall ensure that DDAP funds are used only when housing assistance from other agencies is not available.
- C. SCAs may authorize housing services for up to seven days prior to the LOCA being completed; however, the SCA may not make payment until the individual has had a LOCA by the SCA or one of its contracted providers.
- D. Use of DDAP funds is limited to 30 days per individual per state fiscal year. The SCA must give written notice of the time limit and obtain the individual's signature on the notice to verify receipt of the information.
- E. An individual who is determined to need SUD treatment, self-help groups, or other recovery supports must agree to participate in such services and follow all recommendations in order for the SCA to continue to pay for emergency housing services. The SCA must give notice of the requirement to participate in services to the individual. The individual's signature must be obtained to verify receipt of the information.

### 4.03 Recovery Housing

Act 59 of 2017 defines a drug and alcohol recovery house as housing for individuals recovering from drug or alcohol addiction, which provides those individuals with a safe and supportive drug and alcohol-free environment that may include peer support and other recovery support services.

- A. DDAP is in the process of developing regulations and implementing Act 59 of 2017. Once those regulations take effect, SCAs may contract with or make referrals only to licensed recovery houses. In addition, SCA-funded treatment facilities will be permitted to make referrals only to licensed recovery houses. In the interim, any recovery house contracted by an SCA must operate in accordance with the requirements set forth in this Section of the CMCSM.
- B. The SCA may contract with an agency or an individual who provides recovery housing.
- C. The SCA must develop a standardized approval process that addresses the requirements listed below. Prior to final approval, the SCA must conduct a site visit. The SCA must document the results of the site visit and provide them to DDAP upon request. Any individual receiving recovery house funding from the SCA must be screened and, if appropriate, receive a LOCA. The individual's referral to recovery housing must come from the SCA or one of its contracted providers in order to be eligible for SCA funding.
- D. The SCA may use DDAP funds only for recovery houses that:
  - 1) Have protocols in place regarding appropriate use and security of medication;
  - 2) Verify that residents are informed in writing of all house rules, residency requirements, and any lease agreements upon admission;
  - 3) Have a policy in place which promotes recovery by requiring resident participation in treatment, self-help groups, or other recovery supports;
  - 4) Have a policy requiring abstinence from alcohol and illicit drugs;
  - 5) Have procedures, including referral agreements, to handle an individual's return to use;
  - 6) Have safeguards in place to ensure the safety and protection of each resident, as well as the community; and
  - 7) Comply with all federal, state, and local laws and ordinances.

The requirements must apply to all residents of the recovery house, regardless of an individual's funding source.

### 4.04 Medication Assisted Treatment (MAT)

Medication Assisted Treatment (MAT) is the use of medications in combination with counseling and behavioral therapies for the treatment of substance use disorders. A combination of medication and behavioral therapies is effective in the treatment of SUD and can help some people to sustain recovery. *SAMHSA-HRSA Center for Integrated Health Solutions. (2020, January 14). MAT Overview. Retrieved from: <https://www.integration.samhsa.gov/clinical-practice/mat/mat-overview>*

- A. The coordination of care between therapeutic and pharmaceutical interventions is critical. Individuals with SUD who have a disorder for which there is an FDA-approved medication treatment must have access to those treatments based upon their individual needs and preferences. SCAs must:
- 1) ensure the availability of FDA-approved medication and assist with payment for medication;
  - 2) educate individuals about MAT options;
  - 3) ensure medication and clinical therapeutic interventions are available in all levels of care, even if the SUD treatment provider is not the prescriber of the medication;
  - 4) ensure that the individual's needs are met directly or through an appropriate referral to a prescriber;
  - 5) ensure that treatment and non-treatment providers do not exclude individuals on MAT from being admitted into services;
  - 6) ensure coordination of care, with proper consent occurs in situations where a prescriber and the SUD treatment provider are not the same;
  - 7) ensure contracted providers admit and provide services to individuals who use MAT for SUD;
  - 8) ensure provider capacity is sufficient to treat individuals who use MAT for SUD;
  - 9) provide information and referral regarding access to MAT to individuals who can obtain medications through other resources, such as medical assistance or third-party insurance.
- B. All treatment, including medication, must be individualized. SCAs may not place limits on a type of service or medication or restrict the length of service.
- C. DDAP will identify state or federal funds that are available only to providers that permit use of FDA-approved medications in the treatment of SUD. Contracted providers that restrict admission based upon medication use may not receive those funds to treat any individual or provide any type of prevention, intervention, treatment, or treatment-related service.
- D. An SCA may only use DDAP funds to pay for MAT, other than methadone, for individuals who have either:
- 1) Had a LOCA and are in the process of placement into licensed SUD treatment;
  - 2) Enrolled in licensed SUD treatment; or
  - 3) Successfully completed licensed SUD treatment.
- E. SCAs that pay for MAT, other than methadone, must have written procedures explaining the coordination and payment of such services.

- F. An SCA that is unable to provide the full array of MAT due to geographical limitations, lack of access to prescribing medical personnel, or lack of service provision may request a waiver of this Section through the SCA’s DDAP Project Officer.
- G. SCAs may use DDAP funds only to pay for MAT using FDA-approved medications. The Substance Abuse and Mental Health Services Administration’s (SAMHSA) website: <https://www.samhsa.gov/medication-assisted-treatment> contains a list of FDA-approved medications.

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## PART V: CASE MANAGEMENT

### 5.00 Case Management Overview

SAMHSA's Tip 27 describes case management as a coordinated approach to the delivery of health, substance use, mental health, and social services, and linking individuals with appropriate services to address specific needs and achieve stated goals. Case management offers the individual a single point of contact, is individual-driven and driven by individual need, community-based, pragmatic, anticipatory, culturally sensitive, involves advocacy, must be flexible, and requires particular knowledge, skills, and attitudes.<sup>1</sup>

According to The ASAM Criteria, 2013 case management is a collaborative process which assesses, plans, implements, coordinates, monitors, and evaluates the options and services to meet an individual's health needs, using communication and available resources to promote quality, cost-effective outcomes.<sup>2</sup>

- A. The SCAs and its contracted providers must offer case management as a separate and distinct service from treatment that addresses all relevant aspects of an individual's path to recovery. Case management includes screening, LOCA, assessment of treatment-related needs, coordination of services, continued stay reviews, and ongoing management of an individual's needs throughout treatment and recovery. If the SCA contracts with a treatment provider to perform case management, the two services must be conducted either by two separate staff members or at two separate times. The treatment provider may not perform both treatment and case management services during a therapy session.
- B. All individuals who present for SUD services must be screened and, if appropriate, referred for a LOCA.
- C. The SCA must offer ongoing case management services to all individuals with SUD and may choose to offer case management to families. The SCA must coordinate and track services it funds even for individuals who do not accept case management services.

### 5.01 Screening

Screening is the first activity provided to an individual who seeks to access services. Screening evaluates the need for emergent care services including withdrawal management, prenatal, and psychiatric services.

The purposes of screening include:

- 1) To obtain information to determine the need for emergent care in the following areas:
  - (a) Withdrawal Management

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<sup>1</sup> Levin, Saul M. M.D., M.P.A., Greene, Jeanie Ahearn, M.S.W. Case Management for Substance Abuse Treatment: A Guide for Administrators Desk Reference Based on Treatment Improvement protocol (TIP) 27. DHHS Publication No. (SMA)00-3396. Printed 2000

<sup>2</sup> The ASAM Criteria, 2013" used throughout this document is referencing the full ASAM text: Mee-Lee D, Shulman GD, Fishman MJ, Gastfriend DR, Miller MM, eds. *The ASAM Criteria: Treatment Criteria for Addictive, Substance-Related, and Co-Occurring Conditions*. 3<sup>rd</sup> ed. Carson City, NV: The Change Companies®, 2013.

- (b) Prenatal Care
  - (c) Psychiatric Care
  - 2) To motivate and refer, if necessary, for a LOCA or other services. After-hours screening does not require the ability to schedule a LOCA immediately;
  - 3) To identify individuals being referred by an emergency room or urgent care facility following an overdose.
- A. SCAs must make screening available 24 hours a day, seven days a week. Screening can be conducted by telephone or in-person. Initial referrals may come from many different entities including intake units, EDs, the criminal justice system, juvenile justice system, primary health care providers, individual practitioners, mental health agencies, child welfare system, family, employers, self-referrals, schools, treatment facilities, clergy, and other social service agencies.
- B. Whenever possible, screening must be done by speaking with the individual who may be in need of services.
- C. Screening must be completed using the Intake and Screening Tool in PA Web Infrastructure for Treatment Services (PA WITS).
- D. SCAs and contracted providers may conduct screening in the following three ways.
- 1) **Option 1:** Individuals conducting screening are skilled medical or human service professionals (e.g. ED triage nurse, crisis intervention caseworker, SCA case manager, counselor) proficient in identifying the need for a referral for emergent care services through a combination of education, training, and experience; or
  - 2) **Option 2:** Support staff conduct screening in conjunction with skilled medical or human service professionals. And if needed, transfer the individual to a skilled professional to determine emergent care services; or
  - 3) **Option 3:** Support staff conduct screening if the SCA is able to demonstrate, through documentation provided during the onsite monitoring visit or upon DDAF request, that the individual determining the need for a referral for emergent care services has a combination of education, training, and experience in the following areas:
    - (a) Psychiatric (identification of suicide and homicide risk factors);
    - (b) Prenatal (identification of alcohol and other substance use effects on the fetus); and
    - (c) Withdrawal Management (pharmacology, basic addiction, identification of drug interactions).
- E. The SCA must have written procedures for referrals to emergent care services during business hours and after-hours. The SCA must date and have all staff sign all updates.
- F. The SCA must meet emergent care needs at the time they are identified. If this timeframe cannot be met, the reason must be documented in the individual's file.

- G. Any time a screening is not completed for an individual, the SCA or the contracted provider must document the reason in the individual's file.

## **5.02 Assessment and Placement Determination**

DDAP defines an assessment in accordance with The ASAM Criteria, 2013 as an evaluation of an individual's strengths, resources, preferences, limitations, problems, and needs and determines priorities for an individual's treatment.

A LOCA is a face to face interview to ascertain the treatment and treatment-related needs of an individual based on the degree and severity of substance use and the treatment and treatment-related needs of the individual based on the six dimensions of The ASAM Criteria, 2013.

- A. Individuals shall be referred to the appropriate LOC indicated through the completion of a LOCA tool, ASAM Summary and Risk Rating.
- B. The SCA and its contracted providers must assess individuals and meet their individualized treatment and treatment-related needs through the SCA provider network.
- C. Contracted providers who complete LOCAs must maintain neutrality when referring individuals into a specific level of care, a specific facility, or provider.
- D. The SCAs and its contracted providers must use a tool that includes the following components:
- 1) **education:** literacy, degree to which substance use has interfered with education;
  - 2) **employment:** degree to which substance use interferes with employment; current employment, length and placement of employment, employment history;
  - 3) **military:** eligibility for VA benefits, combat experience/potential trauma issues, injuries related to military service;
  - 4) **physical health:** chronic and current acute medical conditions; past and present medications, are medications taken as prescribed, pregnancy, and TB questions;
  - 5) **substance use history:** type and frequency, date of first and last use, amount, and route of administration, length, patterns and progression of use, impact on behavior and relationships with others; treatment history;
  - 6) **abstinence and recovery periods:** recovery support systems, periods of abstinence; periods of active recovery;
  - 7) **behavioral health:** cognitive functioning; mental health symptoms, current and past treatment; hospitalizations, suicidal/homicidal ideations or attempts; psychotropic medications;
  - 8) **family/social/sexual:** child custody/visitation, childcare arrangements, risky behaviors; relationship status; family supports;
  - 9) **spiritual:** spiritual identity;

- 10) **living arrangements:** current living arrangements, supportive recovery environment;
  - 11) **abuse:** history of abuse, issues that might impact placement;
  - 12) **legal:** probation/parole status, conviction record to include disposition, current and pending charges;
  - 13) **gambling:** lack of control in frequency of betting, lack of control over amount bet, lying about how much is bet;
  - 14) **potential barriers to treatment:** other areas that may impact treatment (i.e. transportation, cultural/language, childcare needs);
  - 15) **assessment summary:** clinical impressions, strengths, needs, special considerations.
- E. In order to determine the appropriate level of care, the individual conducting the LOCA must apply The ASAM Criteria, 2013 to complete the ASAM Summary and Risk Rating. The ASAM Summary is a multidimensional assessment of the strengths and needs of the individual and the Risk Rating addresses the individual's severity and level of function. Risk Rating is not meant to indicate the level of services required for an individual. Additional information regarding risk can be found in the The ASAM Criteria, 2013 book and online training modules.
- F. The ASAM Summary and Risk Rating must be completed in PA WITS to record and exchange information necessary in making or validating placement determinations. The information documented on the ASAM Summary and Risk Rating must comply with state and federal confidentiality regulations.
- 1) The ASAM Summary and Risk Rating must reflect a multi-dimensional approach to determining the appropriate level of care an individual needs regardless of whether funding is available for a specific level.
  - 2) The ASAM Summary should not be solely based on the level of care requested by the individual or referral source.
  - 3) If the level of care received is different than the level recommended, the ASAM Summary as well as the case notes must document attempts to engage the individual into clinically appropriate services.
- G. The ASAM Criteria, 2013 requires consideration of the following areas prior to placement in order to maximize retention in the appropriate level of service:
- 1) Withdrawal Management for all levels of care, not only inpatient;
  - 2) Medication Assisted Treatment in any LOC;
  - 3) Occurring Disorders;
  - 4) Cultural/Ethnic/Language Considerations;
  - 5) Sexual Orientation and Gender Identity;

- 6) Women with Dependent Children;
  - 7) Women's Issues;
  - 8) Impairment (e.g. hearing, learning);
  - 9) Criminal Justice Involvement.
- H. A LOCA must be completed within seven calendar days from the date of initial contact with the individual. The LOCA must be completed in its entirety in one session prior to referring the individual to the appropriate level of care.
- 1) When the individual needs withdrawal management the LOCA does not need to be done prior to admission into withdrawal management but must occur before the individual is referred to the next level of care.
  - 2) If either the seven-day timeframe or the completion of the assessment in one session cannot be met, the case manager must document the reason in the individual's record.
- I. Once a LOCA is completed, it will be valid for a period of six months. This applies to individuals who have never engaged in treatment after being assessed or who have been discharged and are seeking to reinitiate services.
- 1) The six-month timeframe does not pertain to individuals actively engaged in treatment. An exception to this timeline may be made for individuals who were incarcerated during this six-month time period. Specifically, time prior to being in the controlled environment may be considered when determining the LOC.
  - 2) If an individual request to reinitiate services prior to the end of the six-month period, the case manager may complete a follow-up assessment in lieu of a new one; however, a new ASAM Summary and Risk Rating must be completed.
- J. DDAP will consider the SCA's use of telehealth assessments through the waiver submission process in Appendix D, XII of the Grant Agreement. Waiver requests must include the reason for the request and address security, confidentiality, appropriate business agreements, and releases of information.

### **5.03 Referral and Admission to Treatment**

- A. Priority Populations identified in Part 3.00 must be admitted to the appropriate level of care immediately. All other individuals must be referred and admitted to the appropriate level of care available within 14 days of the LOCA. Individuals in need of withdrawal management must be admitted to treatment within 24 hours. If these time frames cannot be met, the case manager must document the reason in the individual's file.
- B. The SCA must identify specialty funding sources such as State Opioid Response grants prior to the initiation of services in order to ensure compliance with the requirements of these sources [e.g. entering the Government Performance and Results Act (GPRA) into WITS].
- C. An individual is admitted to treatment at the first attended appointment with a provider after the LOCA has been completed. A treatment episode is a combined service

provided to an individual during a period of treatment and begins with the admission to treatment. The substance abuse treatment episode should be assumed to have ended if the individual has not received a treatment service in three days in the case of inpatient or residential treatment or 30 days in the case of outpatient treatment.

The levels of care are:

<b>Level 0.5</b>	Early Intervention
<b>Level 1</b>	Outpatient Services
<b>Level 2</b>	2.1 Intensive Outpatient Services 2.5 Partial Hospitalization Services
<b>Level 3</b>	3.1 Clinically Managed Low-Intensity Residential Services (e.g., Halfway House) (adult, adolescent) 3.5 Clinically Managed High-Intensity Residential Services (Adult) / Clinically Managed Medium-Intensity Residential Services (Adolescent) 3.7 Medically Monitored Intensive Inpatient Services (Adult) / Medically Monitored High-Intensity Inpatient Services (Adolescent)
<b>Level 4</b>	Medically Managed Intensive Inpatient Services

#### **5.04 Communicable Disease Screening and Referral Services**

##### **A. Tuberculosis (TB)**

DDAP collaborated with the Department of Health (DOH), Bureau of Communicable Diseases to develop questions that assess the need for referral to appropriate TB services.

- 1) The SCA must ensure that any entity providing a LOCA determines whether the individual is at high risk for TB. The following questions must be asked at the time of the LOCA, and the responses documented, prior to admission to treatment:
  - (a) Have you traveled extensively (more than 4 weeks) outside the U.S. in the last five years to high TB-incidence areas (Asia, Africa, South America, Central America)?
  - (b) Are you an immigrant from a high TB-risk foreign country (includes countries in Asia, Africa, South America, and Central America)?
  - (c) Have you resided in any of these facilities in the past year: jails, prisons, shelters, nursing homes and other long-term care facilities such as rehabilitation centers? (If an individual was a resident of any of these facilities and tested within the past three months, they do not need to be reassessed.)
  - (d) Have you had any close contact with someone diagnosed with TB?
  - (e) Have you been homeless within the past year?
  - (f) Have you ever injected drugs?

- (g) Do you or anyone in your household currently have the following symptoms, such as a sustained cough for two or more weeks, coughing up blood, fever/chills, loss of appetite, unexplained weight loss, fatigue, night sweats?
  - (h) Do you currently have or anticipate having any condition that would decrease your immune system? (Examples: HIV infection, organ transplant recipient, treatment with TNF-alpha antagonist (e.g. infliximab, etanercept, others), steroids (equivalent dose of Prednisone 15mg/day for one month or longer) or any other immunosuppressive medications)
- 2) Any individual that responds with a “yes” to any of these questions is considered high risk for TB.
- (a) Written procedures must be in place to address how individuals identified as high risk will be referred to the County or nearby Public Health TB Clinic and how the individual’s acceptance or rejection of the referral is documented.

**B. Hepatitis C**

- 1) The SCA and its contracted providers must follow current DOH guidelines for ensuring that appropriate individuals are tested for Hepatitis C. At a minimum, DOH indicates that individuals who should be tested include:
- (a) A person who was born between the years of 1945 and 1965;
  - (b) Persons who inject drugs;
  - (c) Persons who have previously injected drugs;
  - (d) Persons who received a clotting factor produced before 1987;
  - (e) Persons who have been on hemodialysis;
  - (f) Persons who have HIV; and
  - (g) Persons who have previously received a blood transfusion or organ transplant.
- 2) The SCA and its contracted providers that provide LOCAs must determine whether the individual is at high risk for Hepatitis C.
- 3) Individuals who have been identified as high risk must be referred to the county or nearby public health clinic for testing and treatment. The individual’s acceptance or rejection of the referral must be documented.

**C. Human Immunodeficiency Virus (HIV)**

- 1) The SCA and its contracted providers that provide LOCAs must determine whether the individual is at high risk for HIV. Persons who inject drugs are at high risk for HIV. Risk factors for contracting HIV include engaging in unprotected sexual activities and sharing needles.
- 2) Individuals who have been identified as high risk must be referred to the County’s DOH or a DOH partner agency for testing and treatment. The individual’s

acceptance or rejection of the referral must be documented by the Grantee and/or its contracted providers as applicable.

- 3) The Grantee and/or their contracted providers must follow DOH guidelines for ensuring that appropriate measures are taken when identifying and referring individuals with HIV.

### **5.05 Coordination of Services**

Coordination of Services is a function of case management through which the SCA establishes an organized approach to coordinating service delivery to ensure the most comprehensive process for meeting an individual's treatment and treatment-related needs throughout the recovery process. Through Coordination of Services, the SCA ensures that individuals with complex, multiple problems receive the individualized services they need in a timely and appropriate manner. The process of Coordination of Services is intended to promote self-sufficiency and empower the individual to assume responsibility for his or her recovery.

Coordination of Services is a collaborative process which includes engagement, evaluation of needs, establishing linkages, arranging access to services, ensuring enrollment in the appropriate healthcare coverage, advocacy, monitoring, and other activities to address the individual's treatment-related needs throughout their course of treatment. Coordination of Services includes communication, information sharing, and collaboration, and occurs regularly between the case manager, contracted provider and individual receiving services.

- A. In addition to providing services to meet the treatment-related needs of the individual, the SCA and contracted providers are required to complete continued stay reviews for the individual's treatment. The ASAM Criteria, 2013 must be applied throughout treatment to ensure individualized person-centered care is documented throughout the individual's treatment episode.
- B. The Case Management Service Plan, which is referred to as a recovery plan in PA WITS, is an assessment of treatment-related needs that must be addressed at the time of LOCA and updated no less than every 60 days throughout an individual's time in treatment. The SCA is responsible to ensure each individual has a Case Management Service Plan that has been reviewed and updated while the individual is in treatment.
- C. The SCA's Coordination of Services policy and procedures must include:
  - 1) A mechanism to coordinate and track all individuals whose treatment is paid for by the SCA;
  - 2) How the SCA or contracted providers will assist with arranging access to services and ensuring enrollment in the appropriate healthcare coverage, such as the Medical Assistance application process;
  - 3) How continued stay reviews are completed;
  - 4) How the Case Management Service Plan is documented;
  - 5) A mechanism to attempt to re-engage individuals who do not appear for treatment or leave treatment prior to discharge;

- 6) A mechanism to ensure direct contact is made from one level of care to another, including follow-up contact to ascertain whether the individual was admitted as planned; and
  - 7) Documentation of the time and reason when an individual is no longer receiving services from the SCA.
- D. The SCA is responsible to:
- 1) Ensure Coordination of Services is offered to every individual receiving services paid for by the SCA;
  - 2) Develop a policy which delineates the procedures used for the Coordination of Services;
  - 3) Distribute its policy and procedures to contracted providers of Coordination of Services.

### **5.06 WITS Case Management Requirements**

- A. The SCA and its contracted providers are required to complete the following components in PA WITS for every individual receiving case management services, including a LOCA:
- 1) Client Profile;
  - 2) Intake;
  - 3) Screening Tool;
  - 4) ASAM;
  - 5) Program Enrollment [for individuals receiving ongoing case management, other than screening & assessment, and also for State Opioid Response (SOR)-funded case management];
  - 6) An encounter note to explain the reason an individual is discharged from case management services; (The case in WITS must be closed via the “Save & Close the Case” portion of the Intake page.)
  - 7) Documentation of interim services using miscellaneous notes, if applicable;
  - 8) SOR GPRA for individuals with an OUD, receiving SOR funded treatment or treatment-related services;
  - 9) Case Management Notes, including admission and discharge notes, to be completed utilizing the encounter notes. Notes must adequately describe the nature and extent of each contact to include the following:
    - (a) Information gathered about the individual;
    - (b) Analysis of the information to identify the individual’s treatment and treatment-related needs;

- (c) Action to be taken to meet the individual's treatment and treatment-related needs; and
- (d) Case manager's signature or initials and date.

Items 1-7 must be entered into PA WITS within 7 days of the date the service was delivered. Timeframes for entry of the SOR GPRA are outlined in the SOR GPRA FAQ found on DDAP's website at:

<https://www.ddap.pa.gov/Documents/GPRA/GPRA%20FAQ.pdf>.

- B. In addition to the documentation required in PA WITS, the SCA and its contracted providers must include the following information as part of an individual's file:
  - 1) Signed consent to release information forms;
  - 2) LOCA;
  - 3) Acknowledgement of receipt of grievance and appeal policy;
  - 4) Liability forms;
  - 5) Case Management Service Plan.
- C. Files that are maintained electronically in a system other than PA WITS must contain all required components, and a hard copy must be available to DDAP staff upon request. Information maintained in a paper file, including signed consent to release information forms, and liability forms, must be made available to DDAP upon request.

### **5.07 Supervision**

Supervision of staff providing case management services should be designed to ensure the adequate provision of those services.

- A. The SCA must have policies regarding supervision.
- B. The supervision of new staff performing case management functions without having received required core trainings must include a combination of job shadowing and direct observation of LOCAs.
- C. The case management supervisor must document close supervision and review of written documentation, to include the LOCA and ASAM Summary Sheet, until the case manager has received all required trainings.

### **5.08 Staffing Qualifications**

- A. Staff delivering case management services must meet the minimum education and training (MET) requirements established by the State Civil Service Commission for one of the following classifications:
  - 1) D&A Case Management Specialist;
  - 2) D&A Case Management Specialist Trainee;
  - 3) D&A Treatment Specialist; or

- 4) D&A Treatment Specialist Trainee.
- B. Supervisors of staff delivering case management services must meet the MET requirements established by the State Civil Service Commission for the Case Management Supervisor or Treatment Specialist Supervisor.
- C. If case management services are being performed by a contracted and licensed drug and alcohol treatment facility, staff delivering services must meet either the MET requirements for the classifications referenced above or the staffing regulations for either a Counselor, 28 Pa. Code § 704.7 or Counselor Assistant, 28 Pa. Code § 704.8.
- D. An individual who meets the qualifications of a counselor or counselor assistant but is providing case management services, must deliver the services separately from treatment or therapy services.
- E. Supervisors of case management staff in a contracted and licensed facility must meet either the MET requirements for the supervisory classifications referenced above or the staffing regulations for Clinical Supervisor, 28 Pa. Code § 704.6, or Lead Counselor, 28 Pa. Code §§ 704.6(d), 704.11(f)(3).

#### **5.09 Core Training**

- A. The SCA is required to ensure that staff providing case management services and their supervisors complete all case management core trainings within 365 days of hire.
- B. The SCA and contracted provider must maintain certificates of completed trainings.
- C. The SCA Administrator may permit an exemption for Case Management Overview, Addictions 101, and Screening and Assessment to SCA and contracted provider staff who have already had comparable education and training. If the SCA Administrator chooses to exempt any staff from the above trainings, there must be written documentation to justify the exemption.
- D. An SCA Administrator who is a case management supervisor and wishes to be exempted from the above training requirements may submit a written request and supporting documentation to the SCA's Project Officer in DDAP's County Program Oversight (CPO) Section. SCA Administrators are not permitted to exempt themselves from any training requirements without first obtaining approval from DDAP.
- E. Staff who have already conducted screening and assessment and have completed the DDAP-required core trainings are not required to take Addictions 101, and Screening and Assessment trainings.
- F. Case Management staff and their supervisors are required to complete the following DDAP approved courses:
  - 1) Addictions 101;
  - 2) Confidentiality;
  - 3) Practical Application of Confidentiality Laws and Regulations;
    - (a) The Confidentiality Course is a pre-requisite for the Practical Application of Confidentiality Laws and Regulations Course. The Practical Application of

Confidentiality Laws and Regulations Course Certificate is not valid if it predates the Confidentiality Course Certificate.

- 4) Case Management Overview;
  - 5) Screening & Assessment; (Screening & Assessment is required only for case managers who perform screening and assessment.)
  - 6) Motivational Interviewing, Advancing the Practice; (Required for staff hired on or after July 1, 2020; however, it is recommended that all case managers complete training in Motivational Interviewing.)
  - 7) The ASAM Criteria, 2013.
- G. SCA Contracted Treatment Providers staff and their supervisor are required to complete the following DDAP approved courses:
- 1) Addictions 101;
  - 2) Confidentiality;
  - 3) Practical Application of Confidentiality Laws and Regulations;
    - (a) The Confidentiality Course is a pre-requisite for the Practical Application of Confidentiality Laws and Regulations Course. The Practical Application of Confidentiality Laws and Regulations Course Certificate is not valid if it predates the Confidentiality Course Certificate.
  - 4) The ASAM Criteria, 2013.
- H. The SCA must ensure through provider monitoring that contracted treatment providers meet the minimum training requirements.
- I. Upon successful completion of each training course, participants must complete a course evaluation. The evaluation form can be accessed through DDAP's Training Management System. Upon completion and submission of the course evaluation, participants will have access to their certificates of completion.
- J. WITS Treatment Data System Training

In addition to the required trainings noted above, the SCA and its contracted providers are strongly encouraged to complete the online training modules for DDAP's Data System, PA WITS. The trainings are available online at:

[https://www.ddap.pa.gov/Training/Pages/DataSystem\\_Training.aspx](https://www.ddap.pa.gov/Training/Pages/DataSystem_Training.aspx).

Training courses and descriptions are:

- 1) **Addictions 101** (requires DDAP certificate or exemption)

This course includes basic information about the disease concept, characteristics of common drugs of abuse, pharmacology, assessment, withdrawal management, treatment, and recovery.

- 2) **Confidentiality** (requires DDAP certificate)

This course provides participants with information needed to comply with applicable laws and regulations for the confidentiality of drug and alcohol treatment services in the Commonwealth of Pennsylvania.

- 3) **Practical Application of Confidentiality Laws and Regulations** (requires DDAP certificate)

Case examples allow participants to apply federal and state laws and regulations to field-relevant situations.

- 4) **Case Management Overview** (requires DDAP certificate or exemption)

This course includes the functions of case management in Pennsylvania. Areas of focus include strength-based approaches to engagement, service planning and coordination, referral, advocacy, ethics and boundary setting, motivational interviewing, and stages of change.

- 5) **Screening & Assessment** (requires DDAP certificate or exemption)

This course will provide an understanding on how to conduct an effective assessment and determine emergent care needs. The required components of screening and assessment tools, emergent care issues, screening options, interview techniques and a review of the DSM-5 Criteria for Substance Use Disorders and Addictive Disorders will be covered.

- 6) **Motivational Interviewing, Advancing the Practice** (requires DDAP certificate)

Motivational Interviewing (MI) is an evidence-based treatment that addresses ambivalence to change. MI is a conversational approach designed to help people identify their readiness, willingness, ability to change and make use of their own change-talk. Participants will learn the theory/concepts of MI and will practice MI in an experiential setting.

- 7) **American Society of Addiction Medicine, *The ASAM Criteria, 2013*** (requires Train for Change or The Change Companies certificate)

Approved courses include the two-day classroom skills course by Train for Change and/or ASAM Modules I and II by The Change Companies. These courses are designed to provide participants with the skills and understanding necessary for effective use and application of *The ASAM Criteria, 2013*.

Independent use and application of *The ASAM Criteria, 2013* is prohibited by SCAs and contracted providers unless DDAP approved core training requirements are successfully completed.

## **5.10 Grievance and Appeal Process**

The grievance and appeal process is a step-by-step effort at reconciliation between an aggrieved individual and the SCA. Contracted providers and other agencies may have their own grievance and appeal protocols for matters arising within their programs.

- A. The SCA must use its process in cases where the grievance concerns an administrative or financial decision made by, or on behalf of, the SCA. The SCA must have an expeditious, accessible, fair, and uniform grievance and appeal process.
- B. A grievance is a written complaint by an individual of the decision made by the SCA. An appeal is the process to resolve a grievance. Individuals must be able to file a grievance in at least the four areas listed below.
  - 1) Denial or termination of services;
  - 2) LOC determination;
  - 3) Length of stay in treatment; and
  - 4) Violation of the individual's human or civil rights.
- C. An SCA may choose to include additional categories that an individual can grieve. Those areas must be specific and clearly stated as part of the SCA's grievance and appeal process.
- D. In the event an individual grieves a treatment funding decision related to a reduction or termination of services or length of stay in treatment, the SCA is required to continue funding treatment services at the current level of engagement until the appeal is resolved. This applies to all treatment services, including the provision of Medication Assisted Treatment (MAT).
- E. The SCA appeal process must include a two-stage process in which:
  - 1) The first level of appeal is made to a panel consisting of SCA staff or a supervisory level staff person, none of whom is directly involved in the dispute. The SCA must issue a written decision within seven days upon receipt of the grievance.
    - (a) The SCA must inform both the individual and DDAP of the decision within seven days via the DDAP-approved Grievance and Appeal Reporting form (DDAP-EFM-1009) on DDAP's website ([www.ddap.pa.gov](http://www.ddap.pa.gov)) under the DDAP Document Library, Forms page. Identifying information may not be included or attached to this form.
  - 2) The second level of appeal is made to an independent review board or hearing panel that consists of an odd number (no less than three) of members who have no financial, occupational, or contractual agreements with the SCA. DDAP staff; Department of Human Services staff; and members of the SCA's governing body such as County Executives, County Commissioners, and SCA Board members may not serve as the independent review board or hearing panel.
    - (a) The panel must issue a written decision within seven days upon receipt of the grievance. Access to confidential records must be in accordance with state and federal confidentiality regulations. At the time of the appeal, the SCA must identify the composition and number of members designated as the independent review board or hearing panel. The SCA must inform both the individual and DDAP of the decision within seven days via the DDAP-approved Grievance and Appeal Reporting form (DDAP-EFM-1009). Identifying information may not be included or attached to this form.

- F. At the time of the LOCA, the individual must acknowledge in writing that he or she has been notified of:
- 1) The grievance and appeal policy that outlines all of the categories an individual can grieve with the SCA, both DDAP's required categories as well as those added by the SCA.;
  - 2) The need for a signed consent form from the individual so confidential information relating to the appeal can be provided to an independent review board for the purpose of rendering a decision on the appeal;
  - 3) The right to have access to all documentation pertaining to the resolution of the grievance within the confines of state and federal confidentiality regulations;
  - 4) The right to be involved in the process and have representation by means of an advocate, case manager, or any other individual chosen by the individual at each level of appeal; and
  - 5) The continuation of funding for service continues at the current level of engagement for appeals of termination of funding or reduction of treatment services, including MAT, until the appeal is resolved, unless the individual agrees otherwise.

### **5.11 Reporting**

- A. The SCA must notify the Treatment Division Director in writing within five days after the SCA discontinues or limits authorization of any services for lack of funding. The notification must explain how the SCA will meet the ongoing treatment needs of the individuals until additional funding is available.
- B. The SCA must notify the Treatment Division Director in writing within five days after the SCA removes limitations.
- C. The SCA may not apply funding limitations to any Priority Populations identified in Section 3.00.
- D. All reporting is due according to the DDAP Report Schedule that is provided at the beginning of each fiscal year.

### **5.12 Confidentiality of Information**

All persons currently or formerly screened, assessed, diagnosed, counseled, treated and rehabilitated for drug and alcohol abuse and dependence, shall be protected from disclosure of their names, identities, patient records and the information contained therein except as disclosure is permitted by state and federal statute and regulations. To assure confidentiality of an individual's substance use information, the SCA shall make adequate provisions for system security and protection of individual privacy. The SCA, treatment providers, contracted providers, and others are subject to the confidentiality requirements of the Pennsylvania Drug and Alcohol Abuse Control Act (*71 P.S. §§ 1690.101, et seq.*), the Public Health Service Act (*42 U.S.C §§ 290ee-3, 290dd-2*), and Federal Confidentiality Regulations (*42 CFR Part 2*). Drug and alcohol information is protected in many ways including, but not limited to, the following:

**71 P.S. § 1690.101, et seq.** - established the Pennsylvania Advisory Council on Drug and Alcohol Abuse, addresses confidentiality requirements at 71 P.S. §§ 1690.108, and consent of minors at 71 P.S. §§ 1690.12.

**28 Pa. Code § 709.28** - standards for licensing freestanding treatment facilities to include adherence to confidentiality requirements

**42 CFR Part 2, Subparts A-E** - federal regulation governing patient SUD records

**45 CFR Part 96** - federal regulation governing the privacy of health care information

**4 Pa. Code § 255.5 and § 257.4** - state regulations governing patient records

**42 Pa. C.S.A. § 6352.1** - state law clarifying what information may be released by SCAs and treatment providers to children and youth agencies and the juvenile justice system.

- A. Confidentiality is one of the cornerstones guiding the treatment of substance use disorders. Staff working with individuals who have an SUD must always be conscious of where and how an individual's identifying information is discussed.
- B. Valid consent forms must include all the components of federal and state confidentiality regulations and the information to be released must relate to the purpose of the consent.
- C. SCAs and contracted providers must have written procedures for compliance with all federal and state confidentiality regulations. The procedures must include:
  - 1) Release of client-identifying information;
  - 2) Storage and security of client records, to include computer security;
  - 3) Completion of required confidentiality training;
  - 4) Staff access to records;
  - 5) Disciplinary protocols for staff violating confidentiality regulations;
  - 6) Revocation of consent, to include how this is documented on the consent form; and,
  - 7) Notification that re-disclosure is prohibited without proper consent.
- D. All staff who perform or supervise treatment and treatment-related services must acknowledge in writing that they have read the procedures.
- E. Staff who do not directly perform or supervise services must sign a statement certifying that they will keep all information acquired through their employment duties confidential. The statement must specify that disciplinary action will be taken if confidentiality is breached.

**PART VI: RECOVERY SUPPORT SERVICES**

**6.00 Recovery Support Services**

Recovery Support Services (RSS) are treatment-related services provided to individuals and their families to assist with recovery from SUD. These services complement the focus of treatment, outreach, engagement and other strategies and interventions to assist people in recovery in gaining the skills and resources needed to initiate, maintain, and sustain long-term recovery. RSS are not a substitute for clinical services.

A. While DDAP understands that there are many RSS, the SCA may use DDAP funds for:

- 1) Mentoring Programs in which individuals newer to recovery are paired with Certified Recovery Specialists to obtain support and advice on an individual basis and to assist with issues potentially impacting recovery. (these mentors are not the same as 12-step sponsors);
- 2) Training and Education in a group setting using a structured curriculum relating to addiction and recovery, life skills, job skills, health and wellness;
- 3) Family Programs using a structured curriculum that provides resources and information needed to help families and significant others who are impacted by an individual's addiction;
- 4) Telephonic Recovery Support or Recovery Check-ups to individuals who can benefit from a weekly call to remain engaged in the recovery process and to help maintain their commitment to their recovery;
- 5) Recovery Planning to assist an individual in managing his or her recovery;
- 6) Support Groups for recovering individuals and their families that are population focused, such as HIV/AIDS, veterans, youth, bereavement, etc.;
- 7) Recovery Housing as described in Section 4.03; and
- 8) Recovery Centers where RSS are designed, tailored and delivered by individuals from local recovery communities.

**PART VII: CULTURALLY AND LINGUISTICALLY  
APPROPRIATE SERVICES**

**7.00 Culturally and Linguistically Appropriate Services (CLAS)**

Cultural competence is the ability to interact effectively with people of different cultures. Both individuals and organizations can be culturally competent. “Culture” is a term that goes beyond just race or ethnicity. It can also refer to such characteristics as age, gender, sexual orientation, disability, religion, income level, education, geographical location, or profession. Cultural competence means to be respectful and responsive to the health beliefs and practices—and cultural and linguistic needs—of diverse population groups.

Being respectful means:

- recognizing and valuing cultural differences, such as the health beliefs, practices, and linguistic needs of diverse populations.

Being responsive means:

- Knowing something about the culture of the group that programs/services focus on;
- Customizing prevention and promotion in a way that respects and fits within the group’s culture;
- Involving people from the targeted cultural group in assessing needs, developing resources, planning and implementing programs/services, and evaluating their effectiveness.

The National CLAS Standards are a set of 15 action steps intended to advance health equity, improve quality, and help eliminate health care disparities by providing a blueprint for individuals and organizations to implement culturally and linguistically appropriate services. For more information on CLAS standards, please go to:

<https://www.thinkculturalhealth.hhs.gov>.

SCAs and their contracted providers must provide services that are respectful of and responsive to cultural and linguistic needs, cultural health beliefs and practices, preferred languages, health literacy levels, and other communication needs.

**PART VIII: MISCELLANEOUS**

**8.00 Miscellaneous**

A. Additional Case Management Activities

If the SCA chooses to provide additional activities or services, such as Intensive Case Management (ICM) or Resource Coordination (RC), individuals cannot be required to participate in these or any other ancillary services to be eligible to receive a specific level of care or type of service (e.g., Methadone, Buprenorphine). Additionally, the SCA cannot require that a specific population (e.g., pregnant women, criminal justice, adolescents) participate in ICM or RC or other ancillary services in order to receive a specific level of care or type of service.

B. Policy and Procedure Updates

If procedures are updated at any time by the SCA, the most current dated version of the policy must be signed off by all staff.

C. TEDS Data

SCAs are required to monitor their contracted treatment providers to ensure TEDS Data is entered in PA WITS within seven days from the date of occurrence (admission, transfer to another level of care, discharge). SCAs are required to issue corrective action to any contracted provider who fails to enter TEDS data into PA WITS. In addition, the SCA must inform County Program Oversight of any contracted providers on corrective action.

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## PART IX: CONTINGENCY MANAGEMENT

### 9.00 Contingency Management

Contingency Management is an evidence-based intervention for the treatment of SUD. SCAs are permitted to use Contingency Management to support patients in meeting treatment goals.

- A. The SCA and contracted providers that utilize Contingency Management strategies are required to develop policies and procedures which include :
- 1) Target behavior;
  - 2) Choice in target population;
  - 3) Choice of reinforcer (reward-gift card);
  - 4) Incentive Magnitude (strength of the reward);
  - 5) Frequency of incentive distribution;
  - 6) Timing of incentive;
  - 7) Duration of the intervention;
- C. The SCA and contracted providers are required to follow SAMHSA requirements as applicable. SAMHSA has placed a cap on all Contingency Management programs. The value of each contingency may not exceed \$15 per reward and may not exceed \$75 per patient per calendar year.
- D. Each SCA and contracted provider utilizing Contingency Management must have procedures in place which outline the proper safeguarding of gift cards used for Contingency Management. The following internal controls must be in place and followed:
- 1) **Custody:** A single individual, preferably a fiscal or financial officer, must be the designated custodian of gift cards. This individual will be responsible for ensuring all purchasing, security, dispensing, tracking, and replenishing procedures are followed.
  - 2) **Numbering and Security:** All gift cards must be numbered and secured at all times (e.g. in a locked box inside a locked cabinet or drawer).
  - 3) **Disbursement Procedures and Audit Logs:** The custodian must keep an audit log of gift card purchases and disbursements for audit purposes.
  - 4) **Lost cards:** The value of receipts and gift cards must total the authorized amount purchased and approved by the custodian and finance office. Agency employees are held responsible for any gift cards in their possession which are lost or misplaced.
  - 5) **Reconciliation:** A reconciliation of the gift cards must be conducted every time gift cards are purchased or on at least a monthly basis.

- E. DDAP staff may review Contingency Management policies and procedures, as well as monitor audit logs, at any time.

**Appendix A: Acronyms**

**AIDS** - Acquired Immune Deficiency Syndrome  
**APSS** - Adolescent Placement Summary Sheet  
**ASAM** - American Society of Addiction Medicine  
**BHMCO** - Behavioral Health Managed Care Organization  
**CFR** - Code of Federal Regulations  
**CLAS** - Culturally and Linguistically Appropriate Services  
**CPO** - County Program Oversight  
**CRS** - Certified Recovery Specialist  
**CSR** - Continued Stay Review  
**D&A** - Drug and Alcohol  
**DDAP** - Department of Drug and Alcohol Programs  
**ED** - Emergency Department  
**EI** - Early Intervention  
**ESL** - English as a Second Language  
**HIPAA** - Health Insurance Portability and Accountability Act  
**HIV** - Human Immunodeficiency Virus  
**ICD** - International Classification of Disease  
**ICM** - Intensive Case Management  
**IDU** - Injection Drug User  
**LOA** - Letter of Agreement  
**LOCA** - Level of Care Assessment  
**MA** - Medical Assistance  
**MAT** - Medication Assisted Treatment  
**MET** - Minimum Education and Training  
**MOU** - Memorandum of Understanding  
**NTP** - Narcotic Treatment Programs  
**OVR** - Office of Vocational Rehabilitation  
**OTS** - Opioid Treatment Services  
**RC** - Resource Coordination  
**RSS** - Recovery Support Services  
**SCA** - Single County Authority  
**SUD** - Substance Use Disorder  
**TB** - Tuberculosis  
**VA** - Veterans Affairs  
**WITS** - Web Infrastructure for Treatment Services

## APPENDIX B: Glossary

**Advocacy:** The process of being a proponent for the client in helping to remove any obstacles that may prevent the client from obtaining necessary services.

**Appeal:** A request for reconsideration of an SCA's decision at progressive stages until a grievance is resolved.

**Assessment:** A face-to-face interview with an individual to determine an individual's strengths, resources, preferences, limitations, problems, and needs.

**Barrier:** An impediment to accessing treatment and/or support services.

**Case Management:** A collaborative process between the client and the case manager that facilitates the access to available resources and retention in treatment and support services, while simultaneously educating the client in the skills necessary to achieve and maintain self-sufficiency and recovery from substance abuse disorders.

**Case Manager:** An individual who performs screening, assessments, and/or Case Coordination, to include clinical staff at the provider level performing these functions.

**Clinically Managed Low-Intensity Residential Services (Halfway House):** Programs that offer a supportive living environment with 24-hour staff and integration with clinical services to include at least 5 hours per week of onsite SUD treatment. Treatment is characterized by services such as individual, group, and family therapy; medication management; and psychoeducation. These services facilitate the application of recovery skills, relapse prevention and emotional coping strategies. They promote personal responsibility and re-integration of the individual into the network systems of work, education, and family life. Services are characterized by a live-in, work out situation.

**Clinically Managed Medium-Intensity Residential Services (Adolescent):** Programs designed to serve individuals who, because of specific functional limitations, need safe and stable living environments in order to develop and/or demonstrate sufficient recovery skills so that they do not immediately relapse or continue to use in an imminently dangerous manner upon transfer to a less intensive level of care. These programs assist individuals whose SUD is currently so out of control that they need a 24-hour supportive treatment environment to initiate or continue a recovery process that has failed to progress. Adolescent residential services may specialize in the care of individuals who are involved in the juvenile justice system and whose problems include delinquency and juvenile justice involvement.

**Clinically Managed High-Intensity Residential Services (Adult):** Programs designed to serve individuals who, because of specific functional limitations, need safe and stable living environments in order to develop and/or demonstrate sufficient recovery skills so that they do not immediately relapse or continue to use in a less intensive level of care. This level assists individuals whose SUD is currently so out of control they need a 24-hour supportive treatment environment to initiate or continue a recovery process that has failed to progress.

**Continued Stay Review:** The process for reviewing the appropriateness of continued stay at a level of care and/or referral to a more appropriate level of care

**Early Intervention:** An organized screening and Psycho-educational service designed to help individuals identify and reduce risky substance use behaviors.

**Emergent Care:** Those conditions related to detoxification, psychiatric, and prenatal that require an immediate referral for services.

**Engagement:** The process through which the case manager establishes rapport with a client or potential client.

**Grievance:** A written complaint by an individual regarding a decision made by an SCA related to denial or termination of services, level of care determination, length of stay in treatment, length of stay in ICM, determination of financial liability, or violation of the individual's human or civil rights.

**Health Insurance Portability and Accountability Act (HIPAA):** Federal regulation addressing healthcare issues related to the standardization of electronic data, the development of unique health identifiers, and security standards protecting confidentiality and the integrity of health information.

**Intensive Outpatient:** An organized non-residential SUD treatment service provided according to a planned regime consisting of regularly scheduled treatment sessions at least 3 days per week with a minimum greater than 5 hours and a maximum of 10 hours per week. (Note: IOP is licensed as an outpatient activity).

**Level of Care:** Intensity and types of treatment services ranging from outpatient to medically-managed residential.

**Linking:** This is the process by which case managers should refer individuals to available resources that best meet individual needs and support the completion of goals specified in the service plan. It is important to maintain a balance between linking the individual to services and doing too much for the client.

**Medically Managed Intensive Inpatient Services:** An organized service delivered in an acute care inpatient setting. It is appropriate for patients whose acute biomedical, emotional, behavioral, and cognitive problems are so severe that they require primary medical and nursing care.

**Medically Monitored High-Intensity Services (Adolescent):** Programs that provide a planned and structured regime of 24-hour professionally directed evaluation and observation, medical monitoring, and addiction treatment in an inpatient setting. They are appropriate for patients whose sub-acute biomedical and emotional, behavioral, or cognitive problems are so severe they require inpatient treatment but who do not need the full resources of an acute care general hospital or a medically managed inpatient treatment program.

**Medically Monitored Intensive Inpatient Services (Adult):** Programs that provide a planned and structured regime of 24-hour professionally directed evaluation and observation, medical monitoring, and addiction treatment in an inpatient setting. They are appropriate for patients whose sub-acute biomedical and emotional, behavioral, or cognitive problems are so severe they require inpatient treatment but who do not need the full resources of an acute care general hospital or a medically managed inpatient treatment program.

**Medication Assisted Treatment (MAT):** FDA-approved medications, to be used in conjunction with substance abuse treatment, designed to assist in recovery.

**Minimum Education and Training Requirements (METs):** Employment standards established by the State Civil Service Commission.

**Opioid Treatment Services:** An umbrella term that encompasses a variety of pharmacological and non-pharmacological treatment modalities including Methadone, Buprenorphine, and Naltrexone.

**Outpatient:** An organized, non-residential AOD treatment service provided in regularly scheduled treatment sessions for a maximum of 5 contact hours per week.

**Overdose:** A situation in which an individual is in a state requiring emergency medical intervention as a result of the use of any mood-altering substances.

**Partial Hospitalization:** The provision of psychiatric, psychological, and other therapies on a planned and regularly scheduled basis. Partial hospitalization is designed for those individuals who would benefit from more intensive services than are offered in outpatient treatment programs, but who do not require 24-hour inpatient care. This environment provides multi-modal and multi-disciplinary programming. Services consist of regularly scheduled treatment sessions a minimum of 3 days per week with a minimum of 10 or more hours per week.

**Placement:** The process of matching the assessed service and treatment needs of an individual with the appropriate level of care and type of service.

**Prenatal:** The time frame ranging from conception to the twenty-eighth week of pregnancy.

**Recovery Support Services (RSS):** Recovery support services are non-clinical services that assist individuals and families to recover from alcohol and other drug problems. These services complement the focus of treatment, outreach, engagement and other strategies and interventions to assist people in recovery in gaining the skills and resources needed to initiate, maintain, and sustain long-term recovery

**Screening:** The first step in identifying the presence or absence of alcohol or other drug use whereby data is collected on an individual in order to determine if a referral for emergency services is warranted.

**Self-sufficiency:** The point at which the client is able to maintain recovery efforts and service needs without the help of the case manager or significant support from other social service agencies.

**Single County Authority (SCA):** Local entities responsible for program planning and the administration of federal and state-funded grants agreements and contracts.

**The ASAM Criteria, 2013:** Criteria used to determine the appropriate level of care and type of service.

**Treatment-Related Needs:** Needs that the individual may have in the following areas: education/vocation, employment, physical health, emotional/mental health, family/social, living arrangements/housing, legal status, basic needs (food, clothing, utilities), life skills, childcare, and transportation

**Withdrawal Management:** Services to assist a patient's withdrawal. Withdrawal syndrome is the onset of a predictable constellation of signs and symptoms following the abrupt discontinuation of, or rapid decrease in, dosage of a psychoactive substance.