

## **Table of Contents**

**State/Territory Name: Alabama**

**State Plan Amendment (SPA) #: 19-0017**

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  
601 E. 12th St., Room 355  
Kansas City, Missouri 64106



Medicaid and CHIP Operations Group

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January 26, 2020

Stephanie McGee Azar  
Commissioner  
Alabama Medicaid Agency  
501 Dexter Avenue  
Montgomery, AL 36103-5624

Re: Title XIX State Plan Amendment (SPA), AL #19-0017

Dear Ms. Azar:

We have reviewed the proposed amendment to the Alabama State Plan, submitted under transmittal number AL-19-0017. This SPA allows Targeted Case Management (TCM) providers in targeted groups 2, 3, and 10 who are Regional Boards to provide services directly or through a contract.

Based on the information provided, this amendment was approved on January 23, 2020. The effective date is January 1, 2020. We are enclosing the approved CMS Form 179 and plan pages.

If you have any questions, please contact Alice Hogan at 404-562-7432 or [Alice.Hogan@cms.hhs.gov](mailto:Alice.Hogan@cms.hhs.gov).

Sincerely,

/s/

James G. Scott, Director  
Division of Program Operations

Enclosures

|   |  |  |                     |
|---|--|--|---------------------|
| <b>TRANSMITTAL AND NOTICE OF APPROVAL OF<br/>STATE PLAN MATERIAL</b>  |  | 1. TRANSMITTAL NUMBER:<br>AL-19-0017   | 2. STATE<br>Alabama |
| <b>FOR: HEALTH CARE FINANCING ADMINISTRATION</b>  |  | 3. PROGRAM IDENTIFICATION: TITLE XIX OF THE<br>SOCIAL SECURITY ACT (MEDICAID)  |                     |
| TO: REGIONAL ADMINISTRATOR<br>HEALTH CARE FINANCING ADMINISTRATION<br>DEPARTMENT OF HEALTH AND HUMAN SERVICES   |  | 4. PROPOSED EFFECTIVE DATE<br>January 1, 2020  |                     |
| 5. TYPE OF PLAN MATERIAL ( <i>Check One</i> ):  |  |  |                     |
| <input type="checkbox"/> NEW STATE PLAN <input type="checkbox"/> AMENDMENT TO BE CONSIDERED AS NEW PLAN <input checked="" type="checkbox"/> AMENDMENT   |  |  |                     |
| COMPLETE BLOCKS 6 THRU 10 IF THIS IS AN AMENDMENT ( <i>Separate Transmittal for each amendment</i> )  |  |  |                     |
| 6. FEDERAL STATUTE/REGULATION CITATION:<br>42 CFR 441.18(a)(8)(v) and 42 CFR 441.18(b)  |  | 7. FEDERAL BUDGET IMPACT:<br>a. FFY 2020 0<br>b. FFY 2021 0  |                     |
| 8. PAGE NUMBER OF THE PLAN SECTION OR ATTACHMENT:<br><br>Supplement 1 to Attachment 3.1-A Pages 8, 17, and 53   |  | 9. PAGE NUMBER OF THE SUPERSEDED PLAN SECTION<br>OR ATTACHMENT ( <i>If Applicable</i> ):<br><br>Supplement 1 to Attachment 3.1-A Pages 8, 17, and 53             |                     |
| 10. SUBJECT OF AMENDMENT:<br>The primary purpose for this amendment is to allow Targeted Case Management (TCM) providers in targeted groups 2, 3, and 10 who are Regional Boards to provide services directly or through a contract. In order to provide services to Seriously Emotionally Disturbed and Seriously Mentally Ill subgroups in target groups 3 and 10, providers must be Regional 310 Boards. |  |  |                     |
| 11. GOVERNOR'S REVIEW ( <i>Check One</i> ):   |  |  |                     |
| <input type="checkbox"/> GOVERNOR'S OFFICE REPORTED NO COMMENT<br><input type="checkbox"/> COMMENTS OF GOVERNOR'S OFFICE ENCLOSED<br><input type="checkbox"/> NO REPLY RECEIVED WITHIN 45 DAYS OF SUBMITTAL   |  | <input checked="" type="checkbox"/> OTHER, AS SPECIFIED:<br>Governor's designee on file<br>via letter with CMS   |                     |
| 12. SIGNATURE OF STATE AGENCY OFFICIAL:   |  | 16. RETURN TO:<br>Stephanie McGee Azar<br>Commissioner<br>Alabama Medicaid Agency<br>501 Dexter Avenue<br>Post Office Box 5624<br>Montgomery, Alabama 36103-5624 |                     |
| 13. TYPED NAME:<br>Stephanie McGee Azar   |  |  |                     |
| 14. TITLE:<br>Commissioner  |  |  |                     |
| 15. DATE SUBMITTED:   |  |  |                     |
| <b>FOR REGIONAL OFFICE USE ONLY</b>   |  |  |                     |
| 17. DATE RECEIVED: 12/23/20   |  | 18. DATE APPROVED: 01/23/20  |                     |
| PLAN APPROVED – ONE COPY ATTACHED   |  |  |                     |
| 19. EFFECTIVE DATE OF APPROVED MATERIAL:<br>01/01/20  |  | 20. SIGNATURE OF REGIONAL OFFICIAL:<br>/s/   |                     |
| 21. TYPED NAME: James G. Scott  |  | 22. TITLE: Director<br>Division of Program Operation   |                     |
| 23. REMARKS:  |  |  |                     |

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

**TARGETED CASE MANAGEMENT SERVICES  
Targeted Group 2 Intellectually Disabled Adults**

and conducted as frequently as necessary, and including at least one annual monitoring, to determine whether the following conditions are met:

- o services are being furnished in accordance with the individual's care plan;
- o services in the care plan are adequate; and
- o changes in the needs or status of the individual are reflected in the care plan. Monitoring and follow-up activities include making necessary adjustments in the care 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 client. 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 2: Intellectually Disabled Adults

The Alabama Department of Mental Health (ADMH) case management provider will be Regional Boards incorporated under Act 310 of the 1967 Alabama Acts who have demonstrated ability to provide targeted case management services directly, by ADMH employees, or other contractors of ADMH. 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, mental retardation, and substance abuse populations.

Individual case managers must meet the following qualifications:

- (A) At a minimum, a Bachelor of Arts or a Bachelor of Science degree, 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.

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TN# AL-19-0017

Supersedes

TN# AL-11-012

Approval Date: 01/23/20

Effective Date: 01/01/20

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

**TARGETED CASE MANAGEMENT SERVICES**  
**Targeted Group 3 Disabled Children**

- (B) Demonstrated case management experience in coordinating and linking such community resources as required by the target population.
- (C) Demonstrated experience with the target population.
- (D) An administrative capacity to insure quality of services in accordance with state and federal requirements.
- (E) A 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), 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 a Bachelor of Science degree, or
- (B) A registered nurse, and
- (C) Training in a case management curriculum approved by the Alabama Medicaid Agency.

The Alabama Department of Mental Health (ADMH) case management provider for Disabled Children (Target 3, Subgroup B -SED) must be Regional Boards incorporated under Act 310 of Comprehensive Community Health Centers who have demonstrated the ability to provide targeted case management directly, or the ADMH. TCM providers for Disabled Children through ADMH must be certified and provide services through a contract with "ADMH". Act 310 provides for the formation of public corporation to contract with ADMH 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.

The ADMH case management provider for Disabled Children (Target Group 3, Subgroup A- Intellectually Disabled and Target 3, Subgroup D14- Children with Autism Spectrum Disorder) must be Regional Boards incorporated under Act 310 of the 1967 Alabama Act who have demonstrated ability provide targeted case management services directly, be ADMH employees, or other contractors of ADMH. Act 310 provides for the formation of public corporation to contract with ADMH 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.

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)):

\_\_\_\_ Target group consists of eligible individuals with developmental disabilities or with chronic mental illness. Providers are limited to qualified Medicaid providers of case management services capable of ensuring that individuals with developmental disabilities or with chronic mental illness 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.

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TN No. AL-19-0017

Supersedes

Approval Date: 01/23/20

Effective Date: 01/01/20

TN No. AL-18-0005

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

**TARGETED CASE MANAGEMENT SERVICES**  
**Targeted Group 10 Disabled Children and Severely Mentally Ill Adults High Intensity Care Coordination**

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 care plan; and

- ❖ Monitoring and follow-up activities:
  - activities and contacts that are necessary to ensure the care 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 care plan;
    - services in the care plan are adequate; and
    - changes in the needs or status of the individual are reflected in the care plan. Monitoring and follow-up activities include making necessary adjustments in the care 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 client. Adjustments in the plan of care may be required as a result of monitoring.

X 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 10: Autism Spectrum Disorder (ASD) Children, Serious Emotional Disturbance (SED) Children, and Severely Mentally Ill (SMI) Adults.

Case management providers must be certified as a Medicaid provider meeting the following criteria:

- (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) Demonstrated experience with the target population.
- (D) An administrative capacity to insure quality of services in accordance with state and federal requirements.
- (E) A 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), 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 a Bachelor of Science degree, or
- (B) A registered nurse, and
- (C) Training in a case management curriculum approved by the Alabama Medicaid Agency.

The Alabama Department of Mental Health (ADMH) case management provider (for Target 10, ASD) must be Regional Boards incorporated under Act 310 of the 1967 Alabama Act who have demonstrated ability to provide targeted case management services directly, be ADMH employees, or other contractors of ADMH. Providers must be certified by the Alabama Department of Mental Health and provide services through a contract with ADMH. 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.

The ADMH case management provider (for Target 10, SED and SMI) must be either Regional Boards incorporated under Act 310 of the 1967 Alabama Act who have demonstrated ability to provide targeted case management services directly, or the Alabama Department of Mental Health. Providers must be certified by the Alabama Department of Mental Health and provide services through a contract with ADMH. 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.

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TN No. AL-19-0017

Supersedes

Approval Date: 01/23/20

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