

**CABINET FOR HEALTH AND FAMILY SERVICES**

**Department for Medicaid Services**

**Division of Policy and Operations**

**(Amended at ARRS Committee)**

**907 KAR 1:082. Coverage provisions and requirements regarding rural health clinic services.**

RELATES TO: KRS 205.510, 205.520, 205.622, 205.8451, 309.080, 309.0831, 309.130, 311.840, 314.011, 319.010, 319.050, 319.053, 319C.010, 335.080, 335.100, 335.300, 335.500, 369.101 – 369.120, 42 C.F.R. 400.203, 405.2401(b), 405.2412-405.2417, 405.2450, 405.2452, 405.2468, 431.17, 438.2, 440.20, 491.1 - 491.11, 45 C.F.R. Part 164, 20 U.S.C. 1400, 21 U.S.C. 823, 29 U.S.C. 701, 42 U.S.C. 1395x(aa) and (hh)

STATUTORY AUTHORITY: KRS 194A.030(2), 194A.050(1), 205.520(3)

NECESSITY, FUNCTION, AND CONFORMITY: The Cabinet for Health and Family Services, Department for Medicaid Services has responsibility to administer the Medicaid program. KRS 205.520(3) authorizes the cabinet, by administrative regulation, to comply with any requirement that may be imposed or opportunity presented by federal law to qualify for federal Medicaid funds. This administrative regulation establishes the Medicaid program coverage provisions and requirements relating to rural health clinic services.

**Section 1. Definitions.**

(1) "Adult peer support specialist" means an individual who meets the requirements for an adult peer support specialist established in 908 KAR 2:220.

(2) "Advanced practice registered nurse" is defined by KRS 314.011(7).

(3) "Approved behavioral health practitioner" means an independently licensed practitioner who is:

- (a) A physician;
- (b) A psychiatrist;
- (c) An advanced practice registered nurse;
- (d) A physician assistant;
- (e) A licensed psychologist;
- (f) A licensed psychological practitioner;
- (g) A certified psychologist with autonomous functioning;
- (h) A licensed clinical social worker;
- (i) A licensed professional clinical counselor;
- (j) A licensed marriage and family therapist;
- (k) A licensed professional art therapist;
- (l) A licensed clinical alcohol and drug counselor; or
- (m) A licensed behavior analyst.

(4) "Approved behavioral health practitioner under supervision" means an individual under billing supervision of an approved behavioral health practitioner who is:

- (a)
  1. A licensed psychological associate working under the supervision of a board-approved licensed psychologist;
  2. A certified psychologist working under the supervision of a board-approved licensed psychologist;
  3. A marriage and family therapy associate;
  4. A certified social worker;
  5. A licensed professional counselor associate;
  6. A licensed professional art therapist associate;
  7. A licensed clinical alcohol and drug counselor associate;

8. A certified alcohol and drug counselor;
  9. A behavioral health associate, as permissible pursuant to 907 KAR Chapter 15; or
  10. A licensed assistant behavior analyst; and
- (b) Employed by or under contract with the same billing provider as the billing supervisor.
- (5) "ASAM Criteria" means the most recent edition of "The ASAM Criteria, Treatment Criteria for Addictive, Substance-Related, and Co-occurring Conditions" published by the American Society of Addiction Medicine.
- (6) "Certified alcohol and drug counselor" is defined by KRS 309.080(4).
- (7) "Certified social worker" means an individual who meets the requirements established in KRS 335.080.
- (8) "Community support associate" means a paraprofessional who meets the community support associate requirements established in 908 KAR 2:250.
- (9) "Co-occurring disorder" means a mental health and substance use disorder.
- (10) "Department" means the Department for Medicaid Services or its designee.
- (11) "Enrollee" means a recipient who is enrolled with a managed care organization.
- (12) "Family peer support specialist" means an individual who meets the requirements for a Kentucky family peer support specialist established in 908 KAR 2:230.
- (13) "Federal financial participation" is defined by 42 C.F.R. 400.203.
- (14) "Homebound recipient" is defined by 42 C.F.R. 440.20(b)(4)(iv).
- (15) "In-person" means a healthcare encounter occurring:
- (a) Via direct consultation and interaction between the individual and healthcare provider;
  - (b) At the same location; and
  - (c) Not via telehealth.
- (16) "Intermittent nursing care" is defined by 42 C.F.R. 405.2401(b).
- (17) "Licensed assistant behavior analyst" is defined by KRS 319C.010(7).
- (18) "Licensed behavior analyst" is defined by KRS 319C.010(6).
- (19) "Licensed clinical alcohol and drug counselor" is defined by KRS 309.080(7).
- (20) "Licensed clinical alcohol and drug counselor associate" is defined by KRS 309.080(9).
- (21) "Licensed clinical social worker" means an individual who meets the licensed clinical social worker requirements established in KRS 335.100.
- (22) "Licensed marriage and family therapist" is defined by KRS 335.300(2).
- (23) "Licensed professional art therapist" is defined by KRS 309.130(2).
- (24) "Licensed professional art therapist associate" is defined by KRS 309.130(3).
- (25) "Licensed professional clinical counselor" is defined by KRS 335.500(3).
- (26) "Licensed professional counselor associate" is defined by KRS 335.500(4).
- (27) "Licensed psychological associate" means:
- (a) An individual who:
    1. Currently possesses a licensed psychological associate license in accordance with KRS 319.010(6); and
    2. Meets the licensed psychological associate requirements established in 201 KAR Chapter 26; or
  - (b) A certified psychologist.
- (28) "Licensed psychological practitioner" means:
- (a) An individual who meets the requirements established in KRS 319.053; or
  - (b) A certified psychologist with autonomous functioning.
- (29) "Licensed psychologist" means an individual who:
- (a) Currently possesses a licensed psychologist license in accordance with KRS 319.010(6); and
  - (b) Meets the licensed psychologist requirements established in 201 KAR Chapter 26.

(30) "Managed care organization" means an entity for which the Department for Medicaid Services has contracted to serve as a managed care organization as defined by 42 C.F.R. 438.2.

(31) "Marriage and family therapy associate" is defined by KRS 335.300(3).

(32) "Medically necessary" means that a covered benefit or service is necessary in accordance with 907 KAR 3:130.

(33) "Medication assisted treatment" means the treatment of a substance use disorder with approved medications in combination with counseling, behavior therapies, and other supports.

(34) "Other ambulatory services" is defined by 42 C.F.R. 440.20(c).

(35) "Part-time nursing care" is defined by 42 C.F.R. 405.2401(b).

(36) "Physician" is defined by KRS 205.510(12).

(37) "Physician assistant" is defined by KRS 311.840(3) and 42 C.F.R. 405.2401(b).

(38) "Recipient" is defined by KRS 205.8451(9).

(39) "Registered alcohol and drug peer support specialist" is defined by KRS 309.080(12).

(40) "Registered behavior technician" means an individual who meets the following requirements by the Behavior Analyst Certification Board:

(a) Be at least eighteen (18) years of age;

(b) Have a high school diploma or its equivalent; and

(c) Within six (6) months of hire for a new employee or within six (6) months of January 1, 2023 for an existing employee:

1. Complete a training program that is:

a. Approved by the Behavior Analyst Certification Board;

b. Based on the current edition of the RBT Task List endorsed by the Behavior Analyst Certification Board; and

c. Conducted by Behavior Analyst Certification Board certificants;

2. Pass the Registered Behavior Technician Competency Assessment administered by a Behavior Analyst Certification Board certificant; and

3. Pass the Registered Behavior Technician exam provided by an assistant assessor supervised by a Behavior Analyst Certification Board certificant.

(41) "Rural health clinic" or "RHC" is defined by 42 C.F.R. 405.2401(b).

(42) "State plan" is defined by 42 C.F.R. 400.203.

(43) "Visiting nurse services" is defined by 42 C.F.R. 405.2401(b).

(44) "Withdrawal management" means a set of interventions aimed at managing acute intoxication and withdrawal based on the severity of the illness and co-occurring conditions identified through a comprehensive biopsychosocial assessment with linkage to addiction management services, and incorporated into a recipient's care as needed throughout the appropriate levels of care.

(45) "Youth peer support specialist" means an individual who meets the requirements established for a Kentucky youth peer support specialist established in 908 KAR 2:240.

Section 2. Covered Services Other Than Behavioral Health Services. The department shall cover the following medically necessary rural health clinic services provided by a RHC that has been certified in accordance with 42 C.F.R. 491.1 through 491.11:

(1) Services pursuant to 42 U.S.C. 1395x(aa);

(2) Services provided by a physician if the physician:

(a) Complies with the physician responsibility requirements established by 42 C.F.R. 491.8(b); and

(b)

1. Performs the services in a RHC; or

2. Is compensated under an agreement with a RHC for providing services provided to a Medicaid eligible RHC patient in a location other than the RHC;
- (3) Services provided by a physician assistant or advanced practice registered nurse who is employed by or receives compensation from the RHC if the services:
  - (a) Are provided by a member of the RHC's staff who complies with the responsibility requirements established by 42 C.F.R. 491.8(c);
  - (b) Are provided under the medical supervision of a physician, except for services provided by an APRN as these services shall not be required to be provided under the medical supervision of a physician;
  - (c) Are provided in accordance with a medical order for the care and treatment of a patient as prepared by a physician or an advanced practice registered nurse;
  - (d) Are within the provider's legally-authorized scope of practice; and
  - (e) Would be covered if provided by a physician;
- (4) Services or supplies provided as incidental to services provided by a physician, physician assistant, or advanced practice registered nurse if the service or supply meets the criteria established in 42 C.F.R. 405.2413 or 42 C.F.R. 405.2415;
- (5) Part-time or intermittent visiting nurse care and related supplies, except for drugs or biologicals, if:
  - (a) The RHC is located in an area where a determination has been made that there is a shortage of home health agencies pursuant to 42 C.F.R. 405.2417;
  - (b) The services are provided by a registered nurse or licensed practical nurse who is employed by or compensated for the services by the RHC; and
  - (c) The services are provided to a homebound recipient under a written plan of treatment that is:
    1. Established and reviewed at least every sixty (60) days by a supervising physician of the RHC; or
    2. Established by a physician, physician assistant, or advanced practice registered nurse and reviewed and approved at least every sixty (60) days by a supervising physician of the RHC; or
- (6) Other ambulatory services as established in the state plan.

### Section 3. Behavioral Health Services.

- (1) Except as established in the requirements stated for a given service, the services covered may be provided for:
  - (a) A mental health disorder;
  - (b) A substance use disorder; or
  - (c) Co-occurring mental health and substance use disorders.
- (2) The department shall cover, and a rural health clinic may provide, the following services:
  - (a) Behavioral health services provided by a licensed psychologist, licensed clinical social worker, or advanced practice registered nurse within the provider's legally authorized scope of service; or
  - (b) Services or supplies incidental to a licensed psychologist's or licensed clinical social worker's behavioral health services if the service or supply meets the criteria established in 42 C.F.R. 405.2452.
- (3) In addition to the services referenced in subsection (2) of this section, the following behavioral health services provided by a rural health clinic shall be covered under this administrative regulation in accordance with the corresponding following requirements:
  - (a) A screening shall:
    1. Determine the likelihood that an individual has a mental health disorder, a substance use disorder, or co-occurring disorders;
    2. Not establish the presence or specific type of disorder;

3. Establish the need for an in-depth assessment:
  4. Be provided by:
    - a. An approved behavioral health practitioner; or
    - b. An approved behavioral health practitioner under supervision;
- (b) An assessment shall:
1. Include gathering information and engaging in a process with the individual that enables the provider to:
    - a. Establish the presence or absence of a mental health disorder, substance use disorder, or co-occurring disorders;
    - b. Determine the individual's readiness for change;
    - c. Identify the individual's strengths or problem areas that could affect the treatment and recovery processes; and
    - d. Engage the individual in developing an appropriate treatment relationship;
  2. Establish or rule out the existence of a clinical disorder or service need;
  3. Include working with the individual to develop a treatment and service plan;
  4. Not include a psychological or psychiatric evaluation or assessment;
  5. If being made for the treatment of a substance use disorder, utilize a multidimensional assessment that complies with the most current edition of the ASAM Criteria to determine the most appropriate level of care; and
  6. Be provided by:
    - a. An approved behavioral health practitioner; or
    - b. An approved behavioral health practitioner under supervision;
- (c) Psychological testing shall:
1. Include a psychodiagnostic assessment of personality, psychopathology, emotionality, or intellectual disabilities;
  2. Include an interpretation and a written report of testing results;
  3. Be provided by a licensed:
    - a. Psychologist;
    - b. Psychological practitioner; or
    - c. Psychological associate working under the supervision of a licensed psychologist; and
  4. Be in-person or via telehealth as appropriate pursuant to 907 KAR 3:170;
- (d) Crisis intervention:
1. Shall be a therapeutic intervention for the purpose of immediately reducing or eliminating the risk of physical or emotional harm to:
    - a. The recipient; or
    - b. Another individual;
  2. Shall consist of clinical intervention and support services necessary to provide integrated crisis response, crisis stabilization interventions, or crisis prevention activities for an individual with a behavioral health disorder;
  3. Shall be provided:
    - a. On-site at a rural health clinic;
    - b. As an immediate relief to the presenting problem or threat; and
    - c. In a one-on-one encounter between the provider and the recipient, which shall be delivered either in-person or via telehealth if appropriate pursuant to 907 KAR 3:170;
  4. May include:
    - a. Verbal de-escalation, risk assessment, or cognitive therapy; or
    - b. Further service planning including:
      - (i) Lethal means reduction for suicide; or
      - (ii) Substance use disorder or relapse prevention;
  5. Shall be followed by a referral to non-crisis services if applicable; and

6. Shall be provided by:
    - a. An approved behavioral health practitioner; or
    - b. An approved behavioral health practitioner under supervision;
- (e)
1. Service planning shall:
    - a. Be provided in-person or via telehealth as appropriate pursuant to the most current version of The ASAM Criteria and 907 KAR 3:170;
    - b. Involve assisting a recipient in creating an individualized plan for services needed for maximum reduction of an intellectual disability and to restore the individual to his or her best possible functional level;
    - c. Involve restoring a recipient's functional level to the recipient's best possible functional level; and
    - d. Be performed using a person-centered planning process;
  2. A service plan:
    - a. Shall be directed and signed by the recipient;
    - b. Shall include practitioners of the recipient's choosing; and
    - c. May include:
      - (i) A mental health advance directive being filed with a local hospital;
      - (ii) A crisis plan; or
      - (iii) A relapse prevention strategy or plan;
- (f) Individual outpatient therapy shall:
1. Be provided to promote the:
    - a. Health and wellbeing of the individual; and
    - b. Restoration of a recipient to the recipient's best possible functional level from a substance use disorder or a co-occurring disorder;
  2. Consist of:
    - a. An in-person or via telehealth as appropriate pursuant to 907 KAR 3:170, one-on-one encounter between the provider and recipient; and
    - b. A behavioral health therapeutic intervention provided in accordance with the recipient's identified treatment plan;
  3. Be aimed at:
    - a. Reducing adverse symptoms;
    - b. Reducing or eliminating the presenting problem of the recipient; and
    - c. Improving functionality;
  4. Not exceed three (3) hours per day; and
  5. Be provided by:
    - a. An approved behavioral health practitioner; or
    - b. An approved behavioral health practitioner under supervision.
- (g)
1. Family outpatient therapy shall consist of an in-person, or via telehealth as appropriate pursuant to 907 KAR 3:170, behavioral health therapeutic intervention provided:
    - a. Through scheduled therapeutic visits between the therapist and the recipient and at least one (1) member of the recipient's family; and
    - b. To address issues interfering with the relational functioning of the family and to improve interpersonal relationships within the recipient's home environment.
  2. A family outpatient therapy session shall be billed as one (1) service regardless of the number of individuals, including multiple members from one (1) family, who participate in the session.
  3. Family outpatient therapy shall:
    - a. Be provided to promote the:
      - (i) Health and wellbeing of the individual; or

- (ii) Restoration of a recipient to their best possible functional level from a substance use disorder or co-occurring disorders; and
    - b. Not exceed three (3) hours per day alone or in combination with any other outpatient therapy per recipient unless additional time is medically necessary.
  - 4. Family outpatient therapy shall be provided by:
    - a. An approved behavioral health practitioner; or
    - b. An approved behavioral health practitioner under supervision;
- (h)
  - 1. Group outpatient therapy shall:
    - a. Be a behavioral health therapeutic intervention provided in accordance with a recipient's identified plan of care;
    - b. Be provided to promote the:
      - (i) Health and wellbeing of the individual; and
      - (ii) Restoration of a recipient to their best possible functional level from a substance use disorder or co-occurring disorder;
    - c. Consist of an in-person, or via telehealth as appropriate pursuant to 907 KAR 3:170, behavioral health therapeutic intervention provided in accordance with the recipient's identified treatment plan;
    - d. Be provided to a recipient in a group setting:
      - (i) Of nonrelated individuals; and
      - (ii) Not to exceed twelve (12) individuals in size;
    - e. Focus on the psychological needs of the recipients as evidenced in each recipient's plan of care;
    - f. Center on goals including building and maintaining healthy relationships, personal goals setting, and the exercise of personal judgment;
    - g. Not include physical exercise, a recreational activity, an educational activity, or a social activity; and
    - h. Not exceed three (3) hours per day alone or in combination with any other outpatient therapy per recipient unless additional time is medically necessary.
  - 2. A family outpatient therapy group shall have a:
    - a. Deliberate focus; and
    - b. Defined course of treatment.
  - 3. The subject of a group receiving group outpatient therapy shall be related to each recipient participating in the group.
  - 4. The provider shall keep individual notes regarding each recipient within the group and within each recipient's health record.
  - 5. Family outpatient therapy shall be provided by:
    - a. An approved behavioral health practitioner; or
    - b. An approved behavioral health practitioner under supervision;
- (i)
  - 1. Collateral outpatient therapy shall:
    - a. Consist of an in-person or appropriate telehealth, provided pursuant to 907 KAR 3:170, behavioral health consultation:
      - (i) With a parent or caregiver of a recipient, household member of a recipient, legal representative of a recipient, school personnel, treating professional, or other person with custodial control or supervision of the recipient; and
      - (ii) That is provided in accordance with the recipient's treatment plan;
    - b. Not be reimbursable if the therapy is for a recipient who is at least twenty-one (21) years of age; and
    - c. Not exceed three (3) hours per day alone or in combination with any other outpatient therapy per recipient unless additional time is medically necessary.

2. Written consent by a parent or custodial guardian to discuss a recipient's treatment with any person other than a parent or legal guardian shall be signed and filed in the recipient's health record.

3. Collateral outpatient therapy shall be provided by:

- a. An approved behavioral health practitioner; or
- b. An approved behavioral health practitioner under supervision;

(j)

1. Screening, brief intervention, and referral to treatment for a substance use disorder shall:

a. Be an evidence-based early intervention approach for an individual with non-dependent substance use to provide an effective strategy for intervention prior to the need for more extensive or specialized treatment;

b. Consist of:

- (i) Using a standardized screening tool to assess an individual for risky substance use behavior;
- (ii) Engaging a recipient who demonstrates risky substance use behavior in a short conversation and providing feedback and advice; and
- (iii) Referring a recipient to additional substance use disorder or co-occurring disorder services if the recipient is determined to need additional services to address substance use if the recipient is determined to need other additional services;

c. Be provided in-person or via telehealth as appropriate according to 907 KAR 3:170;

d. Be provided by:

- (i) An approved behavioral health practitioner; or
- (ii) An approved behavioral health practitioner under supervision.

2. A screening and brief intervention that does not meet criteria for referral to treatment may be subject to coverage by the department.

(k)

1. Day treatment shall be a nonresidential, intensive treatment program designed for a child under the age of twenty-one (21) years who has:

- a. An emotional disability, neurobiological disorder, or substance use disorder; and
- b. A high risk of out-of-home placement due to a behavioral health issue.

2. Day treatment services shall:

a. Consist of an organized, behavioral health program of treatment and rehabilitative services (substance use disorder, mental health disorder, or co-occurring disorders);

b. Have unified policies and procedures that:

- (i) Address the program philosophy, admission and discharge criteria, admission and discharge process, staff training, and integrated case planning; and
- (ii) Have been approved by the recipient's local education authority and the day treatment provider;

c. Include:

- (i) Individual outpatient therapy, family outpatient therapy, or group outpatient therapy;
- (ii) Behavior management and social skill training;
- (iii) Independent living skills that correlate to the age and development stage of the recipient; or
- (iv) Services designed to explore and link with community resources before discharge and to assist the recipient and family with transition to community

services after discharge; and

d. Be provided:

(i) In collaboration with the education services of the local education authority including those provided through 20 U.S.C. 1400 et seq. (Individuals with Disabilities Education Act) or 29 U.S.C. 701 et seq. (Section 504 of the Rehabilitation Act);

(ii) On school days and during scheduled breaks;

(iii) In coordination with the recipient's individualized education program if the recipient has an individualized education program;

(iv) Under the supervision of a licensed or certified behavioral health practitioner or a behavioral health practitioner working under billing supervision; and

(v) With a linkage agreement with the local education authority that specifies the responsibilities of the local education authority and the day treatment provider.

3. To provide day treatment services, a RHC shall have:

a. The capacity to employ staff authorized to provide day treatment services in accordance with subparagraph 2. of this paragraph and to coordinate the provision of services among team members;

b. The capacity to provide the full range of services as stated in subparagraphs 1 and 2 of this paragraph;

c. Demonstrated experience in serving individuals with behavioral health disorders, mental health disorders, and co-occurring disorders;

d. The administrative capacity to ensure quality of services;

e. A financial management system that provides documentation of services and costs;

f. The capacity to document and maintain individual case records; and

g. Knowledge of substance use disorders.

4. Day treatment shall not include a therapeutic clinical service that is included in a child's individualized education program.

(1)

1. Comprehensive community support services shall:

a. Be activities necessary to allow an individual to live with maximum independence in community-integrated housing;

b. Be intended to ensure successful community living through the utilization of skills training, cueing, or supervision as identified in the recipient's treatment plan;

c. Include:

(i) Reminding a recipient to take medications and monitoring symptoms and side effects of medications; or

(ii) Teaching parenting skills, teaching community resource access and utilization, teaching emotional regulation skills, teaching crisis coping skills, teaching how to shop, teaching about transportation, teaching financial management, or developing and enhancing interpersonal skills; and

d. Meet the requirements for comprehensive community support services established in 908 KAR 2:250.

2. To provide comprehensive community support services, a RHC shall have:

a. The capacity to employ staff authorized to provide comprehensive community support services in accordance with subsection (3)(1) of this section and to coordinate the provision of services among team members;

b. The capacity to provide the full range of comprehensive community support services as stated in subparagraph 1 of this paragraph;

- c. Demonstrated experience in serving individuals with behavioral health disorders;
  - d. The administrative capacity to ensure quality of services;
  - e. A financial management system that provides documentation of services and costs; and
  - f. The capacity to document and maintain individual case records.
3. Comprehensive community support services shall be provided by:
    - a. An approved behavioral health practitioner, except for a licensed clinical alcohol and drug counselor; or
    - b. An approved behavioral health practitioner under supervision, except for a:
      - (i) Certified alcohol and drug counselor; or
      - (ii) Licensed clinical alcohol and drug counselor associate.
  4. Support services for comprehensive community support services conducted by a rural health clinic by an individual working under the supervision of an approved behavioral health practitioner shall be provided by a:
    - a. Community support associate; or
    - b. Registered behavioral technician under the supervision of a licensed behavioral analyst.
- (m)
1. Intensive outpatient program services shall:
    - a. Be an alternative to or transition from inpatient hospitalization or partial hospitalization for a mental health disorder, substance use disorder, or co-occurring disorders;
    - b. Offer a multi-modal, multi-disciplinary structured outpatient treatment program that is significantly more intensive than individual outpatient therapy, group outpatient therapy, or family outpatient therapy;
    - c. If provided for a substance use disorder, meet the service criteria, including the components for support systems, staffing, and therapies outlined in the most current version of the ASAM Criteria for intensive outpatient level of care services;
    - d. Be provided at least three (3) hours per day at least three (3) days per week;
    - e. Be provided at least six (6) hours per week for adolescents; and
    - f. Include:
      - (i) Individual outpatient therapy, group outpatient therapy, or family outpatient therapy unless contraindicated;
      - (ii) Crisis intervention; or
      - (iii) Psycho-education related to identified goals in the recipient's treatment plan.
  2. During psycho-education, the recipient or family member shall be:
    - a. Provided with knowledge regarding the recipient's diagnosis, the causes of the condition, and the reasons why a particular treatment might be effective for reducing symptoms; and
    - b. Taught how to cope with the recipient's diagnosis or condition in a successful manner.
  3. An intensive outpatient program treatment plan shall:
    - a. Be individualized; and
    - b. Focus on stabilization and transition to a lesser level of care.
  4. To provide intensive outpatient program services, a RHC shall have:
    - a. Access to a board-certified or board-eligible psychiatrist for consultation;
    - b. Access to a psychiatrist, other physician, physician's assistant, or advanced practiced registered nurse for medication prescribing and monitoring;

- c. Adequate staffing to ensure a minimum recipient-to-staff ratio of ten (10) to one (1);
  - d. The capacity to provide services utilizing a recognized intervention protocol based on nationally accepted treatment principles;
  - e. The capacity to employ staff authorized to provide intensive outpatient program services in accordance with subparagraph 4. of this paragraph and to coordinate the provision of services among team members;
  - f. The capacity to provide the full range of intensive outpatient program services as stated in this paragraph;
  - g. Demonstrated experience in serving individuals with behavioral health disorders;
  - h. The administrative capacity to ensure quality of services;
  - i. A financial management system that provides documentation of services and costs; and
  - j. The capacity to document and maintain individual case records.
5. Intensive outpatient program services shall be provided by:
- a. An approved behavioral health practitioner; or
  - b. An approved behavioral health practitioner under supervision.
- (n)
- 1. Therapeutic rehabilitation program services shall:
    - a. Occur at the provider's site or in the community;
    - b. Be provided to an adult with a severe and persistent mental illness or to a child (under the age of twenty-one (21) years) who has a serious emotional disability;
    - c. Be designed to maximize the reduction of an intellectual disability and the restoration of the individual's functional level to the individual's best possible functional level; and
    - d. Not be a residential program.
  - 2. A recipient in a therapeutic rehabilitation program shall establish the recipient's own rehabilitation goals within the person-centered service plan.
  - 3. A therapeutic rehabilitation program shall:
    - a. Be delivered using a variety of psychiatric rehabilitation techniques;
    - b. Focus on:
      - (i) Improving daily living skills;
      - (ii) Self-monitoring of symptoms and side effects;
      - (iii) Emotional regulation skills;
      - (iv) Crisis coping skill; and
      - (v) Interpersonal skills;
    - c. Be delivered individually or in a group; and
    - d. Include:
      - (i) An individualized plan of care identifying measurable goals and objectives including discharge and relapse prevention planning;
      - (ii) Coordination of services the individual receives; and
      - (iii) Referral to other necessary service supports as needed.
  - 4. To provide therapeutic rehabilitation program services, a RHC shall:
    - a. Have the capacity to employ staff authorized to provide therapeutic rehabilitation program services in accordance with paragraph (n) of this subsection and to coordinate the provision of services among team members;
    - b. Have the capacity to provide the full range of therapeutic rehabilitation program services as stated in this paragraph;
    - c. Have demonstrated experience in serving individuals with mental health disorders;
    - d. Have the administrative capacity to ensure quality of services;

- e. Have a financial management system that provides documentation of services and costs; and
  - f. Have the capacity to document and maintain individual case records.
5. Program staffing for a therapeutic rehabilitation program shall include:
- a. Licensed clinical supervision, consultation, and support to direct care staff; and
  - b. Direct care staff to provide scheduled therapeutic activities, training, and support.
6. Therapeutic rehabilitation services shall be provided by:
- a. An approved behavioral health practitioner, except for a licensed clinical alcohol and drug counselor; or
  - b. An approved behavioral health practitioner under supervision, except for a:
    - (i) Certified alcohol and drug counselor; or
    - (ii) Licensed clinical alcohol and drug counselor associate.
7. If not provided by an allowed practitioner pursuant to clause 6. of this subparagraph, support services for therapeutic rehabilitation services shall be conducted by a provider:
- a. Working under the supervision of an approved behavioral health practitioner; and
  - b. Who is:
    - (i) An adult peer support specialist;
    - (ii) A family peer support specialist; or
    - (iii) A youth peer support specialist.
- (o)
1. Peer support services shall:
- a. Be emotional support that is provided by:
    - (i) An individual who has been trained and certified in accordance with 908 KAR 2:220 and who is experiencing or has experienced a substance use disorder to a recipient by sharing a similar substance use disorder in order to bring about a desired social or personal change;
    - (ii) A parent or other family member, who has been trained and certified in accordance with 908 KAR 2:230, of a child having or who has had a substance use disorder to a parent or family member of a child sharing a similar substance use disorder in order to bring about a desired social or personal change;
    - (iii) An individual who has been trained and certified in accordance with 908 KAR 2:240 and identified as experiencing a substance use disorder; or
    - (iv) A registered alcohol and drug peer support specialist who has been trained and certified in accordance with KRS 309.0831 and is a self-identified consumer of substance use disorder services who provides emotional support to others with substance use disorder to achieve a desired social or personal change;
  - b. Be an evidence-based practice;
  - c. Be structured and scheduled non-clinical therapeutic activities with an individual recipient or a group of recipients;
  - d. Promote socialization, recovery, self-advocacy, preservation, and enhancement of community living skills for the recipient;
  - e. Except for the engagement into substance use disorder treatment through an emergency department bridge clinic, be coordinated within the context of a comprehensive, individualized plan of care developed through a person-centered planning process;
  - f. Be identified in each recipient's plan of care; and
  - g. Be designed to contribute directly to the recipient's individualized goals as established in the recipient's plan of care.

2. To provide peer support services, a chemical dependency treatment center shall:
    - a. Have demonstrated:
      - (i) The capacity to provide peer support services for the behavioral health population being served including the age range of the population being served; and
      - (ii) Experience in serving individuals with behavioral health disorders;
    - b. Employ peer support specialists who are qualified to provide peer support services in accordance with 908 KAR 2:220, 908 KAR 2:230, 908 KAR 2:240, or KRS 309.0831;
    - c. Use an approved behavioral health practitioner to supervise peer support specialists;
    - d. Have the capacity to coordinate the provision of services among team members;
    - e. Have the capacity to provide ongoing continuing education and technical assistance to peer support specialists;
    - f. Require individuals providing peer support services to recipients to provide no more than thirty (30) hours per week of direct recipient contact; and
    - g. Require peer support services provided to recipients in a group setting to not exceed eight (8) individuals within any group at one (1) time.
- (p)
1. Partial hospitalization services shall be:
    - a. Short-term with an average of four (4) to six (6) weeks,
    - b. Less than twenty-four (24) hours each day;
    - c. An intensive treatment program for an individual who is experiencing significant impairment to daily functioning; and
    - d. Provided in-person or via telehealth as appropriate pursuant to the most recent version of The ASAM Criteria and 907 KAR 3:170.
  2. Partial hospitalization may be provided to an adult or a minor.
  3. Admission criteria for partial hospitalization shall be based on an inability of community-based therapies or intensive outpatient services to adequately treat the recipient.
  4. A partial hospitalization program shall meet the service criteria, including the components for support systems, staffing, and therapies outlined in the most current version of The ASAM Criteria for partial hospitalization level of care services.
  5. A partial hospitalization program shall consist of:
    - a. Individual outpatient therapy;
    - b. Group outpatient therapy;
    - c. Family outpatient therapy;
    - d. Medication management;
    - e. Psychoeducation; or
    - f. Peer support services.
  6. The department shall not reimburse for educational, vocational, or job training services provided as part of partial hospitalization.
  7.
    - a. A rural health clinic's partial hospitalization program shall have an agreement with the local educational authority to come into the program to provide all educational components and instruction that are not Medicaid billable or reimbursable.
    - b. Services in a Medicaid eligible child's individualized education program shall be coverable under Medicaid.
  8. Partial hospitalization shall be:
    - a. Provided for at least four (4) hours per day; and

- b. Focused on one (1) primary presenting problem.
- 9. A partial hospitalization program operated by a rural health clinic shall:
  - a. Include the following personnel for the purpose of providing medical care:
    - (i) An advanced practice registered nurse, a physician assistant, or a physician available on site; and
    - (ii) A board-certified or board-eligible psychiatrist available for consultation; and
  - b. Have the capacity to:
    - (i) Provide services utilizing a recognized intervention protocol based on nationally accepted treatment principles;
    - (ii) Employ required practitioners and coordinate service provision among rendering practitioners; and
    - (iii) Provide the full range of services included in the scope of partial hospitalization established in this paragraph.

(q)

- 1. Withdrawal management services provided by a rural health clinic shall:
  - a. Be provided in-person or via telehealth as consistent with 907 KAR 3:170 for recipients with a substance use disorder or co-occurring disorder and incorporated into a recipient's care along the continuum of care as needed;
  - b. Meet service criteria in accordance with the most current version of the ASAM Criteria for withdrawal management levels in an outpatient setting; and
  - c. If provided in an outpatient setting, comply with 908 KAR 1:374, Section 2.
- 2. A recipient who is receiving withdrawal management services shall meet the most current edition of diagnostic criteria for substance withdrawal management as established by the most recent version of the Diagnostic and Statistical Manual of Mental Disorders.
- 3. Withdrawal management services in an outpatient setting shall be provided by:
  - a. A physician;
  - b. A psychiatrist;
  - c. A physician assistant;
  - d. An advanced practice registered nurse; or
  - e. An approved behavioral health practitioner or behavioral health practitioner under supervision with oversight by a physician, advanced practice registered nurse, or physician assistant.

(r)

- 1. Medication assisted treatment services shall be provided by an authorized prescribing provider who:
  - a. Is:
    - (i) A physician;
    - (ii) An advanced practice registered nurse;
    - (iii) A physician assistant; or
    - (iv) A psychiatrist;
  - b. Meets standards established pursuant to 201 KAR 9:270 or 201 KAR 20:065;
  - c. Maintains a current waiver under 21 U.S.C. 823(g)(2) to prescribe buprenorphine products including any waiving or expansion of buprenorphine prescribing authority by the federal government; and
  - d. Has experience and knowledge in addiction medicine.
- 2. Medication assisted treatment supporting behavioral health services shall Be co-located within the same practicing site as the practitioner who maintains a current waiver, as necessary, under 21 U.S.C. 823(g)(2) to prescribe buprenorphine products or via telehealth as appropriate pursuant to 907 KAR 3:170; or
- 3. A medication assisted treatment program shall:

- a. Assess the need for treatment including:
    - (i) A full patient history to determine the severity of the patient's substance use disorder; and
    - (ii) Identifying and addressing any underlying or co-occurring diseases or conditions, as necessary;
  - b. Educate the patient about how the medication works, including:
    - (i) The associated risks and benefits; and
    - (ii) Overdose prevention;
  - c. Evaluate the need for medically managed withdrawal from substances;
  - d. Refer patients for higher levels of care if necessary; and
  - e. Obtain informed consent prior to integrating pharmacologic or nonpharmacologic therapies.
- (s)
1. Applied behavior analysis services shall produce socially significant improvement in human behavior via the:
    - a. Design, implementation, and evaluation of environmental modifications;
    - b. Use of behavioral stimuli and consequences; or
    - c. Use of direct observation, measurement, and functional analysis of the relationship between environment and behavior.
  2. Applied behavior analysis shall be based on scientific research and the direct observation and measurement of behavior and environment, which utilize contextual factors, establishing operations, antecedent stimuli, positive reinforcement, and other consequences to assist recipients in:
    - a. Developing new behaviors;
    - b. Increasing or decreasing existing behaviors; and
    - c. Eliciting behaviors under specific environmental conditions.
  3. Applied behavior analysis services may include principles, methods, and procedures of the experimental analysis of behavior and applied behavior analysis, including applications of those principles, methods, and procedures to:
    - a. Design, implement, evaluate, and modify treatment programs to change the behavior of individuals;
    - b. Design, implement, evaluate, and modify treatment programs to change the behavior of individuals that interact with a recipient;
    - c. Design, implement, evaluate, and modify treatment programs to change the behavior of a group or groups that interact with a recipient; or
    - d. Consult with individuals and organizations.
  4.
    - a. Applied behavior analysis services shall be provided by:
      - (i) A licensed behavior analyst;
      - (ii) A licensed assistant behavior analyst;
      - (iii) An approved behavioral health practitioner with documented training in applied behavior analysis; or
      - (iv) An approved behavioral health practitioner under supervision with documented training in applied behavior analysis.
    - b. A registered behavior technician under the supervision of an appropriate practitioner pursuant to clause a. of this subparagraph may provide support services, which shall be performed as established in this paragraph.
- (4)
- (a) Laboratory services shall be reimbursable in accordance with 907 KAR 1:028 if provided by a RHC if:
    1. The RHC has the appropriate Clinical Laboratory Improvement Amendments (CLIA) certificate to perform laboratory testing pursuant to 907 KAR 1:028; and

2. The services are prescribed by a physician, advanced practice registered nurse, or physician assistant who is employed by or has a contractual relationship with the RHC.
- (b) Laboratory services may be administered, as appropriate, by:
  1. An approved behavioral health practitioner; or
  2. An approved behavioral health practitioner under supervision.
- (5)
  - (a) The requirements established in 908 KAR 1:370 shall apply to any provider of a service to a recipient for a substance use disorder or co-occurring mental health and substance use disorders.
  - (b) The withdrawal management requirements established in 908 KAR 1:370 shall apply to a provider of a withdrawal management service.
- (6) The extent and type of assessment performed shall depend upon the problem of the individual seeking or being referred for services.
- (7) A diagnosis or clinical impression shall be made using terminology established in the most current edition of the American Psychiatric Association Diagnostic and Statistical Manual of Mental Disorders.
- (8)
  - (a) Direct consultation between a provider or practitioner and a recipient shall be required for each service, except for a collateral service for a child under the age of twenty-one (21) years if the collateral service is in the child's plan of care.
  - (b) A service that does not meet the requirement in paragraph (a) of this subsection shall not be covered.
- (9) A billable unit of service shall be actual time spent delivering a service in an encounter.
- (10) A service shall be:
  - (a) Stated in the recipient's treatment plan;
  - (b) Provided in accordance with the recipient's treatment plan;
  - (c) Provided on a regularly scheduled basis, except for a screening or assessment; and
  - (d) Made available on a nonscheduled basis if necessary during a crisis or time of increased stress for the recipient.
- (11) The following services or activities shall not be covered under this administrative regulation:
  - (a) A behavioral health service provided to:
    1. A resident of:
      - a. A nursing facility; or
      - b. An intermediate care facility for individuals with an intellectual disability;
    2. An inmate of a federal, local, or state:
      - a. Jail;
      - b. Detention center; or
      - c. Prison; or
    3. An individual with an intellectual disability without documentation of an additional psychiatric diagnosis;
  - (b) Psychiatric or psychological testing for another agency, including a court or school, that does not result in the individual receiving psychiatric intervention or behavioral health therapy from the independent provider;
  - (c) A consultation or educational service provided to a recipient or to others;
  - (d) Collateral outpatient therapy for an individual aged twenty-one (21) years or older;
  - (e) A telephone call, an email, a text message, or other electronic contact that does not meet the requirements stated in the definition for telehealth established pursuant to KRS 205.510(16) and implemented pursuant to 907 KAR 3:170;
  - (f) Travel time;

- (g) A field trip;
- (h) A recreational activity;
- (i) A social activity; or
- (j) A physical exercise activity group.

(12) A third party contract shall not be covered under this administrative regulation.

Section 4. Provision of Services. A RHC shall comply with the service provision requirements established by 42 C.F.R. 491.9.

Section 5. Immunizations. A RHC shall provide, upon request from a recipient, the following covered immunizations:

- (1) Diphtheria and tetanus toxoids and pertussis vaccine (DPT);
- (2) Measles, mumps, and rubella virus vaccine live (MMR);
- (3) Poliovirus vaccine, live, oral (any type(s)) (OPV);
- (4) Hemophilus B conjugate vaccine (HBCV);
- (5) Hepatitis A;
- (6) Meningococcal vaccines;
- (7) Meningococcal ACWY vaccine (MenACWY); or
- (8) Any other vaccine that is recommended by the Advisory Committee on Immunization Practice (ACIP) vaccines.

Section 6. Medical Necessity Requirement. To be covered pursuant to this administrative regulation, a service shall be:

- (1) Medically necessary for the recipient; and
- (2) Provided to a recipient.

Section 7. Noncovered Services.

- (1) The following services shall not be covered as rural health clinic services:
  - (a) Services provided in a hospital as defined by 42 U.S.C. 1395x(e);
  - (b) Institutional services;
  - (c) Housekeeping, babysitting, or other similar homemaker services; and
  - (d) Services that are not provided in accordance with restrictions imposed by law or administrative regulation.
- (2) A third party contract shall not be covered under this administrative regulation.

Section 8. No Duplication of Service.

- (1) The department shall not reimburse for a service provided to a recipient by more than one (1) provider of any program in which the service is covered during the same time period.
- (2) For example, if a recipient is receiving a service from an independent behavioral health service provider, the department shall not reimburse for the same service provided to the same recipient during the same time period by a rural health clinic.

Section 9. Protection, Security, and Records Maintenance Requirements for All Services.

- (1)
  - (a) A provider shall maintain a current health record for each recipient.
  - (b)
    - 1. A health record shall document each service provided to the recipient including the date of service and signature of the individual who provided the service.
    - 2. The individual who provided the service shall date and sign the health record within seventy-two (72) hours of the date that the individual provided the service.
- (2)
  - (a) Except as established in paragraph (b) of this subsection, a provider shall maintain a health record regarding a recipient for at least five (5) years from the date of the service or until any audit dispute or issue is resolved beyond five (5) years.

(b) If the secretary of the United States Department of Health and Human Services requires a longer document retention period than the period referenced in paragraph (a) of this subsection, pursuant to 42 C.F.R. 431.17, the period established by the secretary shall be the required period.

(3)

(a) A provider shall comply with 45 C.F.R. Part 164.

(b) All information contained in a health record shall:

1. Be treated as confidential;
2. Not be disclosed to an unauthorized individual; and
3. If requested, be disclosed to an authorized representative of:
  - a. The department; or
  - b. Federal government.

(c)

1. Upon request, a provider shall provide to an authorized representative of the department or federal government information requested to substantiate:
  - a. Staff notes detailing a service that was rendered;
  - b. The professional who rendered a service; and
  - c. The type of service rendered and any other requested information necessary to determine, on an individual basis, if the service is reimbursable by the department.
2. Failure to provide information established in subparagraph 1. of this paragraph shall result in denial of payment for any service associated with the requested information.

#### Section 10. Documentation and Records Maintenance Requirements for Behavioral Health Services.

(1) The requirements in this section shall apply to health records associated with behavioral health services.

(2) A health record shall:

(a) Include:

1. An identification and intake record including:
  - a. Name;
  - b. Social Security number;
  - c. Date of intake;
  - d. Home (legal) address;
  - e. Health insurance or Medicaid information;
  - f. Referral source and address of referral source;
  - g. Primary care physician and address;
  - h. The reason the individual is seeking help including the presenting problem and diagnosis;
  - i. Any physical health diagnosis, if a physical health diagnosis exists for the individual, and information regarding:
    - (i) Where the individual is receiving treatment for the physical health diagnosis; and
    - (ii) The physical health provider; and
  - j. The name of the informant and any other information deemed necessary by the independent provider to comply with the requirements of:
    - (i) This administrative regulation;
    - (ii) The provider's licensure board;
    - (iii) State law; or
    - (iv) Federal law;
2. Documentation of the:

- a. Screening;
  - b. Assessment;
  - c. Disposition; and
  - d. Six (6) month review of a recipient's treatment plan each time a six (6) month review occurs;
3. A complete history including mental status and previous treatment;
  4. An identification sheet;
  5. A consent for treatment sheet that is accurately signed and dated; and
  6. The individual's stated purpose for seeking services; and
- (b) Be:
1. Maintained in an organized central file;
  2. Provided to the Cabinet for Health and Family Services upon request;
  3. Made available for inspection and copying by Cabinet for Health and Family Services' personnel;
  4. Readily accessible; and
  5. Adequate for the purpose of establishing the current treatment modality and progress of the recipient.
- (3) Documentation of a screening shall include:
- (a) Information relative to the individual's stated request for services; and
  - (b) Other stated personal or health concerns if other concerns are stated.
- (4)
- (a) A provider's notes regarding a recipient shall:
    1. Be made within seventy-two (72) hours of the reconciliation of the record of each service visit; and
    2. Describe the:
      - a. Recipient's symptoms or behavior, reaction to treatment, and attitude;
      - b. Therapist's intervention;
      - c. Changes in the treatment plan if changes are made; and
      - d. Need for continued treatment if continued treatment is needed.
  - (b)
    1. Any edit to notes shall:
      - a. Clearly display the changes; and
      - b. Be initialed and dated.
    2. Notes shall not be erased or illegibly marked out.
  - (c)
    1. Notes recorded by a practitioner working under supervision shall be co-signed and dated by the supervising professional providing the service.
    2. If services are provided by a practitioner working under supervision, there shall be a monthly supervisory note recorded by the supervising professional reflecting consultations with the practitioner working under supervision concerning the:
      - a. Case; and
      - b. Supervising professional's evaluation of the services being provided to the recipient.
- (5) Immediately following a screening of a recipient, the provider shall perform a disposition related to:
- (a) An appropriate diagnosis;
  - (b) A referral for further consultation and disposition, if applicable; and
  - (c)
    1. Termination of services and referral to an outside source for further services; or
    2. Termination of services without a referral to further services.
- (6)
- (a) A recipient's treatment plan shall be reviewed at least once every six (6) months.

(b) Any change to a recipient's treatment plan shall be documented, signed, and dated by the rendering provider.

(7)

(a) Notes regarding services to a recipient shall:

1. Be organized in chronological order;
2. Be dated;
3. Be titled to indicate the service rendered;
4. State a starting and ending time for the service; and
5. Be recorded and signed by the rendering provider and include the professional title (for example, licensed clinical social worker) of the provider.

(b) Initials, typed signatures, or stamped signatures shall not be accepted.

(c) Telephone contacts, family collateral contacts not covered under this administrative regulation, or other nonreimbursable contacts shall:

1. Be recorded in the notes; and
2. Not be reimbursable.

(8)

(a) A termination summary shall:

1. Be required, upon termination of services, for each recipient who received at least three (3) service visits; and
2. Contain a summary of the significant findings and events during the course of treatment including the:
  - a. Final assessment regarding the progress of the individual toward reaching goals and objectives established in the individual's treatment plan;
  - b. Final diagnosis of clinical impression; and
  - c. Individual's condition upon termination and disposition.

(b) A health record relating to an individual who terminated from receiving services shall be fully completed within ten (10) days following termination.

(9) If an individual's case is reopened within ninety (90) days of terminating services for the same or related issue, a reference to the prior case history with a note regarding the interval period shall be acceptable.

(10) If a recipient is transferred or referred to a health care facility or other provider for care or treatment, the transferring provider shall, if the recipient gives the provider written consent to do so, forward a copy or summary of the recipient's health record to the health care facility or other provider who is receiving the recipient.

(11)

(a) If a provider's Medicaid program participation status changes as a result of voluntarily terminating from the Medicaid program, involuntarily terminating from the Medicaid program, a licensure suspension, or death of the provider, the health records of the provider shall:

1. Remain the property of the provider; and
2. Comply with the retention requirements established in Section 9(2) of this administrative regulation.

(b) A provider shall have a written plan addressing how to maintain health records in the event of the provider's death.

## Section 11. Medicaid Program Participation Requirements.

(1)

(a) A participating RHC shall be currently:

1. Enrolled in the Kentucky Medicaid program in accordance with 907 KAR 1:672; and
2. Except as established in paragraph (b) of this subsection, participating in the Kentucky Medicaid program in accordance with 907 KAR 1:671.

(b) In accordance with 907 KAR 17:015, Section 3(3), a provider of a service to an enrollee shall not be required to be currently participating in the fee-for-service Medicaid program.

(2)

(a) To be initially enrolled with the department, a RHC shall:

1. Enroll in accordance with 907 KAR 1:672; and
2. Submit proof of its certification by the United States Department of Health and Human Services, Health Resources and Services Administration as a RHC.

(b) To remain enrolled and participating in the Kentucky Medicaid program, a RHC shall:

1. Comply with the enrollment requirements established in 907 KAR 1:672;
2. Comply with the participation requirements established in 907 KAR 1:671; and
3. Annually submit proof of its certification by the United States Department of Health and Human Services, Health Resources and Services Administration as a RHC to the department.

(3) A RHC that has been terminated from federal participation shall be terminated from Kentucky Medicaid program participation.

(4) A participating RHC and its staff shall comply with all applicable federal laws and regulations, state laws and administrative regulations, and local laws and regulations regarding the administration and operation of a RHC.

(5)

(a) If a RHC receives any duplicate payment or overpayment from the department, regardless of reason, the provider shall return the payment to the department.

(b) Failure to return a payment to the department in accordance with paragraph (a) of this subsection may be:

1. Interpreted to be fraud or abuse; and
2. Prosecuted in accordance with applicable federal or state law.

Section 12. Third Party Liability. A provider shall comply with KRS 205.622.

Section 13. Use of Electronic Signatures.

(1) The creation, transmission, storage, and other use of electronic signatures and documents shall comply with the requirements established in KRS 369.101 through 369.120.

(2) A provider that chooses to use electronic signatures shall:

(a) Develop and implement a written security policy that shall:

1. Be adhered to by each of the provider's employees, officers, agents, or contractors;
2. Identify each electronic signature for which an individual has access; and
3. Ensure that each electronic signature is created, transmitted, and stored in a secure fashion;

(b) Develop a consent form that shall:

1. Be completed and executed by each individual using an electronic signature;
2. Attest to the signature's authenticity; and
3. Include a statement indicating that the individual has been notified of his or her responsibility in allowing the use of the electronic signature; and

(c) Provide the department, immediately upon request, with:

1. A copy of the provider's electronic signature policy;
2. The signed consent form; and
3. The original filed signature.

Section 14. Auditing Authority. The department shall have the authority to audit any claim, medical record, or documentation associated with any claim or medical record.

Section 15. Federal Approval and Federal Financial Participation. The department's coverage of services pursuant to this administrative regulation shall be contingent upon:

- (1) Receipt of federal financial participation for the coverage; and
- (2) Centers for Medicare and Medicaid Services' approval for the coverage.

Section 16. Appeals.

(1) An appeal of an adverse action by the department regarding a service and a recipient who is not enrolled with a managed care organization shall be in accordance with 907 KAR 1:563.

(2) An appeal of an adverse action by a managed care organization regarding a service and an enrollee shall be in accordance with 907 KAR 17:010.

(8 Ky.R. 257; eff. 11-5-1981; 1187; eff. 6-2-1982; Recodified from 904 KAR 1:082, 5-2-1986; 15 Ky.R. 1329; eff. 12-13-1988; 34 Ky.R. 1831; 2116; eff. 4-4-2008; 39 Ky.R. 1977; 2510; 2736; eff. 7-7-2014; Cert eff. 12-6-2019; TAm eff. 3-20-2020; 48 Ky.R. 3092; 49 Ky.R. 838, 2113; eff. 6-21-2023.)

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