

# Office of Aging and Disability Services (OADS)



## Community Case Management (CCM) Closing Case Management Service Protocols

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## Definitions

**Adult Developmental Services (DS) Community Case Management (CCM)** services are Targeted Case Management Services described in the [MaineCare Benefits Manual, Chapter II, Section 13.03-4A](#) delivered by Community Case Management Agencies.

**Community Case Management (CCM) Agencies** are providers who have been determined to meet the requirements for certification to deliver Case Management Services to adults with intellectual disabilities and autism per [14-197 CMR Chapter 10](#).

**Case Management Services** are Targeted Case Management Services provided by a social services or health professional, or other qualified staff, to identify the medical, social, educational and other needs (including housing and transportation) of the eligible member, identify the services necessary to meet those needs, and facilitate access to those services. Case management consists of intake/assessment, plan of care development, coordination/advocacy, monitoring, and evaluation.

**Enterprise Information System (EIS)** is a secure, HIPAA compliant web-based application geared toward data collection for OADS Developmental Services clients.

**Individual-** is an individual who is age eighteen (18) or older and meets the eligibility requirements of [14-197 Chapter 3](#), which defines developmental disability, or [Title 34B M.R.S.A. §6002](#), which defines autism.

**Guardian** is an individual, organization or State agency appointed by the Probate Court to make decisions on behalf of a person that the Probate Court has found to be incapacitated.

**Informed Choice (or informed consent)** is a decision made with all relevant information about the issue, with an understanding of the consequences of a decision, and in the absence of duress.

### **Important: PLEASE NOTE**

The Community Case Management (CCM) agency should **not** do any of the following in the Enterprise Information System (EIS):

- “End date” the Case Manager relationship.
- Re-version the Person-Centered Plan (PCP) for closing.
- Re-version the Services and Supports Assessment (V7) to indicate closing of CCM services.

**These items are the responsibility of the OADS Community Case Management (CCM) Liaison.**

## A. Closing Case Management Services: Individual/Guardian Choice-No Waiver Services

When an individual/guardian (if applicable) has requested to close adult Developmental Services (DS) Community Case Management (CCM) services (e.g. moving out of state), the Case Manager shall:

1. Verify the individual/guardian “Legal and Mailing Address” and “Phone Number” identified in the Enterprise Information System (EIS) is updated/current.
2. Use a “General Note” in EIS to enter a Discharge Summary describing the reason for closing services. The Discharge Summary should document that the Case Manager and individual/guardian had a discussion around the risks/benefits of closing CCM services which would include a discussion about the option of transferring to another CCM agency. The Discharge Summary shall document the following:
  - a. The individual/guardian has made an informed choice to close CCM services.
  - b. The reason for the decision to terminate CCM services with this agency.
  - c. The date that CCM services are closing.
  - d. That the individual/guardian is aware they can re-engage in CCM services at any time and has been provided information on how to contact OADS or an agency of their choice if they wish to receive services in the future.
  - e. If unable to have the above conversations, see: [Closing of Case Management Services: No Contact](#).
  - f. Summarize the course and effectiveness of services as outlined in the PCP goals, and make recommendations for further services if needed or desired by the person receiving services ([14-197 CMR Chapter 10 IV.E.2.i](#)). Include:
    - i. Dates of all upcoming meetings/appointments.
    - ii. All pending referrals e.g. funding requests, guardianship applications, rep payee applications., etc.
3. Use the [NASW Code of Ethics](#) as a guide in the Case Manager’s work to support each individual during their closing of CCM services:
  - 1.17 Termination of Services
    - (b) Social workers should take reasonable steps to avoid abandoning Individuals who are still in need of services. Social workers should withdraw services precipitously only under unusual circumstances, considering all factors in the situation and taking care to minimize possible adverse effects. Social workers should assist in making appropriate arrangements for continuation of services when necessary.
    - (e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer, referral, or continuation of services in relation to the clients' needs and preferences.
4. Ensure all work in EIS is complete, including:
  - a. Updated Psycho-Social Assessment (within the past year).

- b. Updated Service and Support Assessment V7 (revised and updated with current information e.g. medical/dental dates).
5. Notify the Community Case Management (CCM) Liaison by email that CCM services are closing. Include the closing date.

***\*\*When the CCM Liaison end dates the Case Manager “Relationship” in EIS, the Case Manager will no longer have access to the member’s record in EIS.***

## **B. Closing Case Management Services: Death**

Per [14-197 CMR Chapter 12 Reportable Events System](#), once a Case Manager has ensured that a Reportable Event was submitted within one (1) business day of learning of an individual’s death, the Case manager shall:

1. [Attach a Death Report and Mortality Review Assessment in EIS](#) to the Reportable Event regarding the death no later than ten (10) business days from the date of the Reportable Event.
2. Enter the “Date of Death” on the EIS demographic page.
3. Attach a “General Note” to the Reportable Event in EIS regarding the death.
4. As appropriate, contact the next of kin or the person responsible for making final arrangements and proceed accordingly and notify any other individuals, as necessary.
5. Notify the assigned OADS Resource Coordinator and courtesy copy the [Waiver Manager](#) to ensure that the consumer’s Section 21/29 services are terminated OR removed from the Section 21/29 waiting list.
6. Ensure all work in EIS is complete.
7. Notify the CCM Liaison by email that CCM services are closing. Include the date of death.
  - If the Case Manager submitted the Reportable Event, the Case Manager shall submit a Follow Up Report on the Reportable Event no later than thirty (30) calendar days from the date of the Reportable Event documenting any unexpected or preventable causes of the death. After completion of the 30 day Follow Up Report, the CCM shall notify the CCM Liaison by email that CCM services are closing.

***\*\*When the CCM Liaison end dates the Case Manager “Relationship” in EIS, the Case Manager will no longer have access to the member’s record in EIS.***

Should the Case Manager suspect the death is related to abuse, neglect, or exploitation, as a Mandated Reporter, the Case Manager shall contact APS Intake at 1-888-624-8404.

## C. Closing of Case Management Services: No Contact

If an individual is not responding to repeated attempts by the Case Manager to make contact, and the Case Manager is not able to provide Covered Services as outlined under MaineCare Benefits Manual (10-144 CMR 101), Chapter II, [Section 13.02, Targeted Case Management or maintain monthly contact standards as outlined in §5201-B](#), the Case Manager shall:

1. Document in EIS “General Notes” all attempts to contact the individual/guardian (if applicable).
2. Discuss the individual’s needs with the Case Manager’s Supervisor and assess if they should proceed with closing adult Developmental Services (DS) Community Case Management (CCM) services.
3. Send a certified letter to the individual/guardian’s last known mailing address indicating the Case Manager will terminate services in thirty (30) days if the individual/guardian does not respond to the letter. Include all the following:
  - a. How to contact the Case Manager/Agency if the individual/guardian wishes to continue with CCM services.
  - b. Contact information for OADS and the link to the OADS [CCM Provider Directory](#) on the OADS website should the individual/ guardian wish to receive CCM services again in the future.
  - c. The risks/benefits of closing CCM services while maintaining Section 21/29 waiver funding or remaining on the waitlist, including the responsibilities of a Case Manager as outlined under MaineCare Benefits Manual (10-144 CMR 101), Chapter II [Section 21](#) and [Section 29](#). The information shall indicate:
    - i. If an annual Section 21/29 waitlist verification is required, the individual/guardian will be responsible to respond as directed.
    - ii. If a Section 21/29 funded offer is received, the individual/guardian will be responsible to respond as directed.
    - iii. Failure of the individual/guardian to respond as directed will risk loss of the Section 21/29 funded offer or removal from the Section 21/29 waitlist.
  - d. Education that:
    - i. If the individual is on the Section 21/29 waitlist, the [Waiver Manager](#) shall remain a contact to the individual/guardian.
    - ii. If the individual is receiving Section 21/29 services, the assigned Resource Coordinator shall remain a contact to the individual/guardian.
4. Use the [NASW Code of Ethics](#) as a guide in the Case Manager’s work to support each individual during their closing of CCM Services:
  - 1.17 Termination of Services
    - (b) Social workers should take reasonable steps to avoid abandoning Individuals who are still in need of services. Social workers should withdraw services precipitously only under unusual circumstances, considering all factors in the situation and taking care to minimize

possible adverse effects. Social workers should assist in making appropriate arrangements for continuation of services when necessary.

(e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer, referral, or continuation of services in relation to the clients' needs and preferences.

- After 30 days, if no response to the letter is received, use a “General Note” in EIS to document a Discharge Summary. Summarize the course and effectiveness of services as outlined in the PCP goals, and make recommendations for further services if needed or desired by the person receiving services ([14-197 CMR Chapter 10](#) IV.E.2.i).
- 5. Notify the CCM Liaison by e-mail that CCM services are closing. Include the closing date.
  - ***If receiving Section 21/29 waiver services***, courtesy copy (cc) the Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov) and the Resource Coordinator.
  - ***If on the Section 21 wait list***, courtesy copy (cc) the Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov).

***\*\*When the CCM Liaison end dates the Case Manager “Relationship” in EIS, the Case Manager will no longer have access to the member’s record in EIS.***

## **D. Closing Case Management Services: Voluntary Termination of Section 21/29 Waiver Services**

When an individual/guardian (if applicable) has requested to close adult Developmental Services (DS) Community Case Management (CCM) services (e.g. moving out of state), the Case Manager shall:

1. Verify the individual/guardian “Legal and Mailing Address” and “Phone Number” identified in the Enterprise Information System (EIS) is updated/current.
2. Use a “General Note” in EIS to enter a Discharge Summary describing the reason for closing CCM services. The Discharge Summary should document that the Case Manager and individual/guardian had a discussion around the risks/benefits of closing CCM services which would include a discussion about the option of transferring to another CCM agency. The Discharge Summary shall document the following:
  - a. The individual/guardian has made an informed choice to close CCM services.
  - b. The reason for the decision to terminate CCM services with this agency.
  - c. The date that CCM services are closing.
  - d. That the individual/guardian is aware they can re-engage in CCM services at any time and has been provided information on how to contact OADS or an agency of their choice if they wish to receive services in the future.
  - e. The reasons behind why the individual/guardian wants to end Section 21/29 funding and services.

- f. The individual/guardian understand that they would need to re-apply to the Section 21/29 if they change their minds.
  - g. Summarize the course and effectiveness of services as outlined in the PCP goals, and make recommendations for further services if needed or desired by the person receiving services ([14-197 CMR Chapter 10](#) IV.E.2.i). Include:
    - i. Dates of all upcoming meetings/appointments.
    - ii. All pending referrals e.g. funding requests, guardianship applications, rep payee applications., etc.
3. If unable to have the above conversations, see: [Closing of Case Management Services: No Contact](#).
  4. Use the [NASW Code of Ethics](#) as a guide in the Case Manager’s work to support each individual during their closing of CCM services:
    - 1.17 Termination of Services
      - (b) Social workers should take reasonable steps to avoid abandoning Individuals who are still in need of services. Social workers should withdraw services precipitously only under unusual circumstances, considering all factors in the situation and taking care to minimize possible adverse effects. Social workers should assist in making appropriate arrangements for continuation of services when necessary.
      - (e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer, referral, or continuation of services in relation to the clients' needs and preferences.
  5. Use a “General Note” in EIS to document in EIS the reasons for the decision of the individual/ guardian to Voluntary Terminate Waiver Services. In the subject line of the “General Note” indicate: Voluntary Termination of Waiver Services.
  6. Complete a copy of the “[Decline-Voluntary Termination of Waiver Services](#)” form signed by the individual/ guardian (if applicable).
    - If unable to obtain a signed copy of the “[Decline-Voluntary Termination of Waiver Services](#)”, the Case Manager shall enter a “General Note” in EIS documenting the contact or attempted contact with the individual/guardian.
  7. E-mail the “[Decline-Voluntary Termination of Waiver Services](#)” form as an attachment to the OADS Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov) and the assigned agency Resource Coordinator.
  8. Document in an EIS “General Note” that you have contacted the OADS Waiver Manager and Resource Coordinator.
  9. Ensure all work in EIS is complete, including:
    - a. Updated Psycho-Social Assessment (within the past year).
    - b. Updated Service and Support Assessment V7 (revised and updated with current information e.g. medical/dental dates).
  10. Notify the CCM Liaison by email that CCM services are closing. Include the closing date.
- \*\*When the CCM Liaison end dates the Case Manager “Relationship” in EIS, the Case Manager will no longer have access to the member’s record in EIS.**

## E. Closing of Case Management Services: Incarceration

When a Case Manager learns that an individual served has become incarcerated, the Case Manager shall:

1. Complete a Case Coordination Unit (CCU) [Referral Form](#) and e-mail to [CaseCoordinationUnit.DHHS@maine.gov](mailto:CaseCoordinationUnit.DHHS@maine.gov).
  - Courtesy Copy (cc): [OADSLegal.DHHS@maine.gov](mailto:OADSLegal.DHHS@maine.gov).
2. Verify a Reportable Event has been submitted in EIS to report the incarceration.
  - If no Reportable Event has been submitted, submit a [Reportable Event](#) under the category “Law Enforcement Intervention” within one (1) business day.
3. Update the EIS “Address” type indicating where the individual is incarcerated. Utilize “Temporary” as the Address type.

Federal requirements [42 CFR 441.18](#) restrict CCM agencies from billing for Case Management services while an individual is incarcerated. The target group does not include, “individuals between ages 22 and 64 who are served in Institutions for Mental Disease (IMD’s) or individuals **who are inmates of public institutions.**”

If the CCM agency is unable to keep an individual open for Case Management services due to the inability to bill, the Case Manager shall:

1. Use a “General Note” in the Enterprise Information System (EIS) to enter a Discharge Summary describing the reason for the closing of services and the anticipated length of incarceration (if known). The Discharge Summary shall document:
  - a. The Case Manager and individual/guardian (if applicable) had a discussion around closing CCM services, and the option of transferring Case Management services temporarily to DHHS OADS while incarcerated.
    - If the individual/guardian does not wish to receive temporary services through DHHS OADS, the Case Manager provides education regarding the risks of this decision.
  - b. The individual/guardian is aware that, upon release from jail/prison, CCM services may be re-engaged. The individual/guardian has choice of which CCM agency to receive services from.
  - c. The course and efficacy of services/treatment provided as outlined in the plan of care goals, and recommendations for further services if needed or desired by the person receiving services ([14-197 Chapter 10 IV.E.2.i](#)).
  - d. If the individual is receiving Section 21/29 services and will be incarcerated for more than one (1) month, the Case Manager shall document (Ch. II – Section 29: 29.08-4):
    - i. The reason a waiver service was not provided,
    - ii. Whether the member continues to need services provided in the waiver.

2. Use the [NASW Code of Ethics](#) as a guide in the Case Manager’s work to support each individual during their closing of Case Management Services:
  - 1.17 Termination of Services
    - (b) Social workers should take reasonable steps to avoid abandoning clients who are still in need of services. Social workers should withdraw services precipitously only under unusual circumstances, giving careful consideration to all factors in the situation and taking care to minimize possible adverse effects. Social workers should assist in making appropriate arrangements for continuation of services when necessary.
    - (e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer, referral, or continuation of services in relation to the clients' needs and preferences.
3. Ensure all work in EIS is complete., including:
  - a. Updated Psycho-Social Assessment (within the past year).
  - b. Updated Service and Support Assessment V7 (revised and updated with current information e.g. medical/dental dates).
4. Do not enter an “End Date” under the EIS Case Manager “Relationship”. \*\*
5. Notify the CCM Liaison by e-mail that CCM services are closing. Include the closing date, the anticipated length of incarceration (if known), and identify if the individual is temporarily transferring Case Management services to DHHS OADS.
  - ***If receiving Section 21/29 waiver services***, courtesy copy (cc) the Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov) and the Resource Coordinator.
  - ***If on the Section 21 wait list***, courtesy copy (cc) the Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov)

***\*\*When the CCM Liaison end dates the Case Manager “Relationship” in EIS, the Case Manager will no longer have access to the member’s record in EIS.***

## F. Closing CCM Services to Transfer to OADS CM

Once an adult DS Community Case Manager (CCM) and their supervisor becomes aware that they are no longer able to bill for covered services as outlined in MaineCare Benefits Manual (10-144 CMR 101), Chapter II [Section 13.02](#) (e.g. loss of MaineCare), the Case Manager shall:

1. Verify the individual/guardian “Legal and Mailing Address” and “Phone Number” identified in EIS is updated/current.
2. Use a “General Note” in EIS to enter a Discharge Summary describing the reason for the change (e.g. loss of MaineCare). The Discharge Summary shall document:
  - a. The Case Manager and individual/guardian had a discussion around the reason for transferring adult DS CCM services (Section 13) and that Case Management services will now be provided by an OADS Case Manager.
  - b. Correspondence with the OADS Resource Coordinator about the status of Section 21/29 services (if applicable). If the individual will be incarcerated for

more than one (1) month, the case manager shall document (Ch. II – Section 29: 29.08):

- i. The reason a waiver service was not provided,
    - ii. Whether the member continues to need services provided in the waiver.
  - c. Summarize the course of service/treatment and address efficacy of service/treatment provided as outlined in the plan of care goals, and make recommendations for further services if needed or desired by the person receiving services ([14-197 Chapter CMR 10 IV.E.2.i](#)). Include:
    - i. Dates of all upcoming meetings/appointments.
    - ii. Any pending referrals e.g. funding requests, referrals, guardianship applications, rep payee applications, etc.
4. Use the [NASW Code of Ethics](#) as a guide in the Case Manager’s work to support each individual during their closing of CCM services:
  - 1.17 Termination of Services
    - (b) Social workers should take reasonable steps to avoid abandoning clients who are still in need of services. Social workers should withdraw services precipitously only under unusual circumstances, considering all factors in the situation and taking care to minimize possible adverse effects. Social workers should assist in making appropriate arrangements for continuation of services when necessary.
    - (e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer, referral, or continuation of services in relation to the clients' needs and preferences.
5. Ensure all work in EIS is complete, including:
  - a. Psycho-social summary updated (within the past year).
  - b. Services and Support Assessment V7 (revised and updated with current information e.g. medical/dental dates).
- 6.. Notify the CCM liaison by email that CCM services are closing and need to be transferred to an OADS ISC because the agency is no longer able to serve the client. Include the reason and date CCM services are ending and being transferred to an OADS ISC.
  - ***If receiving Section 21/29 waiver services***, courtesy copy (cc) the Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov) and the Resource Coordinator.
  - ***If on the Section 21 wait list***, courtesy copy (cc) the Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov)

***\*\*When the CCM Liaison end dates the Case Manager “Relationship” in EIS, the Case Manager will no longer have access to the member’s record in EIS.***

## H. Closing Adult DS Case Management Services: Duplication of Services (e.g. Concurrent Section 19 or 92 Services)

Care Coordination and Case Management services as defined in the MaineCare Benefits Manual are duplicative and may not be provided concurrently. A decision regarding which duplicative service to continue must occur. Once an adult DS Community Case Manager (CCM) becomes aware of a suspected duplication of services, the Case Manager shall:

1. Contact the [Office of MaineCare Services Provider Relations](#) Division to verify duplicative services exist.
2. Inform the individual/guardian (if applicable) that adult DS CCM services (Section 13 TCM) and the duplicative service (e.g. Section 19 or 92) cannot be provided at the same time, as both have Case Management/Care Coordination components that cannot be billed for simultaneously.
3. Facilitate a discussion around risks/ benefits of both options. Individual/guardian choice of which service to maintain should be based on individual need.
4. If the individual/guardian choice is to close adult DS CCM (Section 13 TCM) services, the Case Manager shall:
  - a. Verify the individual/guardian “Legal and Mailing Address” and “Phone Number” identified in EIS is updated/current.
  - b. Use a “General Note” in EIS to enter a Discharge Summary describing the reason for the change (e.g. duplication of services).
  - c. The Discharge Summary shall document:
    - i. The Case Manager and individual/guardian had a discussion around the risks/benefits of ending adult DS CCM services (Section 13 TCM).
    - ii. The individual/guardian has made an informed choice to close adult DS CCM services (Section 13 TCM). Case Management services will now be provided by the Case Manager/Care Coordinator of the selected agency (e.g. Section 19 or 92).
    - iii. That the individual/guardian is aware they can re-engage in adult DS CCM (Section 13) services if they choose to discontinue the duplicative service and has been provided information on how to contact OADS or an agency of their choice if they wish to receive services in the future.
    - iv. A discussion regarding Section 21/29 services. Does the individual/guardian wish to end Section 21/29 services or be removed from the Section 21/29 wait list?  
If yes, the Case Manager shall:
      - Complete a copy of the “[Decline-Voluntary Termination of Waiver Services](#)” form signed by the individual/ guardian (if applicable).
      - E-mail the “[Decline-Voluntary Termination of Waiver Services](#)” form as an attachment (if applicable) to the OADS Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov) and the agency Resource Coordinator.

- If unable to obtain a signed copy of the “[Decline-Voluntary Termination of Waiver Services](#)”, the CCM shall enter a note in EIS documenting:
  - a. Case Manager’s contact or attempted contact with the individual/guardian regarding accessing waiver services in the future, and
  - b. Ensure that they are no longer interested in Section 21/29 services and understand that reapplying will be necessary if they wish to receive Section 21/29 services in the future.
- If no, the Case Manager shall document:
  - The reasons for this decision.
  - The Case Manager has educated the individual/guardian regarding the risks/benefits of closing adult DS CCM (Section 13 TCM) services while maintaining Section 21/29 Waiver Funding or remaining on the waitlist, including the responsibilities of a Case Manager as outlined under MaineCare Benefits Manual (10-144 CMR 101), Chapter II [Section 21](#) and [Section 29](#).
  - The individual/guardian has been informed that if a Section 21/29 waiver offer is received, or an annual waitlist verification is required, the individual/guardian will be responsible to respond, or they will risk losing the offer or be removed from the waitlist for Section 21.
- v. If unable to have the above conversations, see: [Closing of Case Management Services: No Contact](#).
- vi. Summarize the course of service/treatment and address efficacy of service/ treatment provided as outlined in the plan of care goals, and make recommendations for further services if needed or desired by the person receiving services ([14-197 Chapter CMR 10 IV.E.2.i](#)). Include:
  - Dates of all upcoming meetings/appointments.
  - Any pending referrals e.g. funding requests, referrals, guardianship applications, rep payee applications, etc.
- d. Use the [NASW Code of Ethics](#) as a guide in the Case Manager’s work to support each individual during their closing of CCM services:
  - 1.17 Termination of Services
    - (b) Social workers should take reasonable steps to avoid abandoning clients who are still in need of services. Social workers should withdraw services precipitously only under unusual circumstances, considering all factors in the situation and taking care to minimize possible adverse effects. Social workers should assist in making appropriate arrangements for continuation of services when necessary.
    - (e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer,

referral, or continuation of services in relation to the clients' needs and preferences.

- e. Ensure all work in EIS is complete, including:
  - a. Psycho-social summary updated (within the past year).
  - b. Services and Support Assessment V7 (revised and updated with current information e.g. medical/dental dates).
- f. Notify the CCM liaison by email that CCM services are closing and who the new Provider is (if known). Include the closing date.
  - ***If receiving Section 21/29 waiver services***, courtesy copy (cc) the Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov) and the Resource Coordinator.
  - ***If on the Section 21 wait list***, courtesy copy (cc) the Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov)

***\*\*When the CCM Liaison end dates the Case Manager “Relationship” in EIS, the Case Manager will no longer have access to the member’s record in EIS.***

## **I. Closing Adult DS Case Management Services: Individual/Guardian Choice to Transfer to: Mental Health (Section 17/92) or Children’s (Section 13- until age 21) Case Management Services**

When an individual/guardian (if applicable) has requested a transfer from adult Developmental Services (DS) Case Community Management (CCM), the Case Manager shall:

1. Verify the individual/guardian “Legal and Mailing Address” and “Phone Number” identified in EIS is updated/current.
2. Use a “General Note” in EIS to enter a Discharge Summary describing the reason for the change from adult DS CCM (Section 13 TCM) services to a duplicative service identified above. The Discharge Summary shall document the following:
  - a. The Case Manager and individual/guardian had a discussion around the risks/benefits of ending adult DS CCM services (Section 13 TCM).
  - b. The individual/guardian has made an informed choice to close adult DS CCM services. Case Management services will now be provided by the Case Manager/Care Coordinator of the selected agency (e.g. Section 13- Children’s, 17, 19 or 92).
  - c. That the individual/guardian is aware they can re-engage in adult DS CCM (Section 13 TCM) services if they choose to discontinue the duplicative service and has been provided information on how to contact OADS or an agency of their choice if they wish to receive services in the future.
  - d. A discussion regarding Section 21/29 services. Does the individual/guardian wish to end Section 21/29 services or be removed from the wait list?

If yes, the Case Manager shall:

- Complete a copy of the “[Decline-Voluntary Termination of Waiver Services](#)” form signed by the individual/ guardian (if applicable).
- E-mail the “[Decline-Voluntary Termination of Waiver Services](#)” form as an attachment (if applicable) to the OADS Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov) and the agency Resource Coordinator.
- If unable to obtain a signed copy of the “[Decline-Voluntary Termination of Waiver Services](#)”, the Case Manager shall enter a note in EIS documenting:
  - a. Case Manager’s contact or attempted contact with the individual/guardian regarding accessing waiver services in the future, and
  - b. Ensure that they are no longer interested in Section 21/29 waiver services and understand that reapplying will be necessary if they wish to receive Section 21/29 waiver services in the future.

If no, the Case Manager shall document:

- The reasons for this decision.
  - The Case Manager has educated the individual/guardian regarding the risks/benefits of closing adult DS CCM (Section 13 TCM) while maintaining Section 21/29 waiver funding or remaining on the Section 21/29 waitlist, including the responsibilities of a Case Manager as outlined under MaineCare Benefits Manual (10-144 CMR 101), Chapter II [Section 21](#) and [Section 29](#).
  - The individual/guardian has been informed that if a Section 21/29 waiver offer is received, or an annual waitlist verification is required, the new Case Manager/Care Coordinator will be responsible to respond, or they will risk losing the offer or be removed from the waitlist for Section 21/29.
- e. If unable to have the above conversations, see: [Closing of Case Management Services: No Contact](#).
- f. Summarize the course of service/treatment and address efficacy of service/ treatment provided as outlined in the plan of care goals, and make recommendations for further services if needed or desired by the person receiving services ([14-197 CMR Chapter 10](#) IV.E.2.i). Include:
- Dates of all upcoming meetings/appointments.
  - Any pending referrals e.g. funding requests, referrals, guardianship applications, rep payee applications, etc.
3. Use the [NASW Code of Ethics](#) as a guide in the Case Manager’s work to support each individual during their closing of CCM Services:
- 1.17 Termination of Services
    - (b) Social workers should take reasonable steps to avoid abandoning clients who are still in need of services. Social workers should withdraw

services precipitously only under unusual circumstances, considering all factors in the situation and taking care to minimize possible adverse effects. Social workers should assist in making appropriate arrangements for continuation of services when necessary.

(e) Social workers who anticipate the termination or interruption of services to clients should notify clients promptly and seek the transfer, referral, or continuation of services in relation to the clients' needs and preferences.

4. Ensure all work in EIS is complete:
  - a. Psycho-social summary updated (within the past year).
  - b. Services and Support Assessment V7 (revised and updated with current information e.g. medical/dental dates).
5. Notify the CCM liaison by email that CCM services are closing and the name of the new duplicative service agency (if known). Include the closing date.
  - ***If receiving Section 21/29 waiver services***, courtesy copy (cc) the Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov) and the Resource Coordinator.
  - ***If on the Section 21 wait list***, courtesy copy (cc) the Waiver Manager at [HCBS.Waiver@maine.gov](mailto:HCBS.Waiver@maine.gov)

***\*\*When the CCM Liaison end dates the Case Manager “Relationship” in EIS, the Case Manager will no longer have access to the member’s record in EIS.***