

**CERTIFICATION OF ADMINISTRATIVE RULES  
FILED WITH THE LEGISLATIVE REFERENCE SERVICE  
JERRY L. BASSET, DIRECTOR**

(Pursuant to Code of Alabama 1975, § 41-22-6, as amended).

I certify that the attached is/are a correct copy/copies of rule/s as promulgated and adopted on the 29<sup>th</sup> day of January, 2013, and filed with the agency secretary on the 1<sup>st</sup> day of February, 2013.

**AGENCY NAME:** State Health Planning and Development Agency  
(Statewide Health Coordinating Council)

X  Amendment;   New;   Repeal; (Mark appropriate space)

**Rule No. 410-2-5-.04 (3)(a) and (c)**

(If amended rule, give specific paragraph, subparagraphs, etc., being amended)

**Rule Title: Plan Revision Procedures**

**ACTION TAKEN:** State whether the rule was adopted without changes from the proposal due to written or oral comments;

No public comments were received; the rule was adopted without changes and as published for comment in the Alabama Administrative Monthly.

**NOTICE OF INTENDED ACTION PUBLISHED IN VOLUME XXXI**

**ISSUE NO. 2, DATED November 30, 2012.**

**Statutory Rulemaking Authority: Code of Alabama, 1975 §§ 22-21-260(13), (15) and -274; 22-4-8(b)(2).**

(Date Filed)

(For LRS Use Only)

**REC'D & FILED**

**FEB 01 2013**

**LEGISLATIVE REF SERVICE**

*Alva M Lambert*

Alva M. Lambert, Executive Director  
State Health Planning and Development Agency  
(Certifying Officer or his or her Deputy)

(NOTE: In accordance with § 41-22-6(b), as amended, a proposed rule is required to be certified within 90 days after completion of the notice.)

#### 410-2-5-.04 Plan Revision Procedures

(1) Introduction. The Statewide Health Coordinating Council (SHCC) is responsible for the development of the State Health Plan (SHP) with final approval resting with the Governor. The SHCC desires (a) a process that will maintain a viable and current SHP; (b) a coordinated system of revising the SHP; and (c) an application form to be used by individuals, groups, or other entities that request a specific revision to the SHP commonly called an adjustment.

(2) There are three types of plan revisions:

(a) Plan Adjustment – In addition to such other criteria that may be set out in the SHP, a requested modification or exception, to the SHP, of limited duration, to permit additional facilities, beds, services, or equipment to address circumstances and meet the identified needs of a specific county, or part thereof, or another specific planning region that is less than statewide and identified in the State Health Plan. A plan adjustment is not of general applicability and is thus not subject to the AAPA's rulemaking requirements. Unless otherwise provided by the SHCC, a Plan Adjustment shall be valid for only one (1) year from the date the Plan Adjustment becomes effective, subject to the exceptions provided in this paragraph 2(a). If an Application is not filed with SHPDA seeking a certificate of need for all or part of the additional facilities, beds, services or equipment identified in the Plan Adjustment within one year of the Plan Adjustment, the Plan Adjustment shall expire and be null and void. If an Application(s) seeking a certificate of need for all or part of the additional facilities, beds, services or equipment identified in the Plan Adjustment is filed prior to the expiration of the one (1) year period, the Plan Adjustment shall remain effective for purposes of such pending Certificate of Need Application(s). Such one year period shall be further extended for the duration of any deadline provided by SHPDA for the filing of applications as part of a batching schedule established in response to a letter of intent filed within nine months of the effective date of the adjustment. Upon the expiration of such deadlines, no Certificate of Need Applications shall be accepted by SHPDA which are based, in whole or in part, upon the expired Plan Adjustment.

(b) Statistical Update -- An update of a specific section of the SHP to reflect more current population, utilization, or other statistical data.

(c) Plan Amendment -- The alteration or adoption of rules, policies, methodologies, or any other plan revision that does not meet the plan adjustment or statistical update definition. An amendment is of "general applicability" and subject to the AAPA's rulemaking requirements.

(3) Application Procedures.

(a) Application Procedure for Plan Adjustment -- Any person may propose an adjustment to the SHP, which will be considered in accordance with the provisions of 410-2-5-04(4). The proposal will state with specificity the proposed language of the adjustment and shall be on such forms as may be prescribed by SHPDA from time to time. The applicant will submit the original and two (2) copies of the proposal to the Agency, along with an electronic PDF copy.

(b) Procedure for Statistical Update -- SHPDA staff shall make statistical updates to the plan as needed. The SHCC shall be informed at its next regularly scheduled meeting of such updates.

(c) Application Procedure for Plan Amendment -- Any person may propose an amendment to the SHP by submitting a detailed description of the proposal to the SHPDA, on such forms as may be prescribed by SHPDA from time to time. The applicant will submit the original and two (2) copies of the proposal to the Agency, along with an electronic PDF copy. Such amendment shall be considered in accordance with the provisions of 410-2-5-04(4). The proposal will state with specificity the proposed language of the amendment. If it is to amend a methodology, the exact formula will be included as well as the results of the application of the formula. The SHCC may also consider Plan Amendments on its own motion.

(4) Review Cycle

(a) Within 15 days from the date of receipt of an application for an amendment or adjustment, the SHPDA staff shall determine if the applicant has furnished all required information for SHCC review and may thus be accepted as complete. The SHCC Chairman and the applicant will be notified when the application is accepted as complete.

(b) Within forty-five (45) days after the application is deemed complete, application will be added to the SHCC calendar for review. SHPDA shall provide written notice of the application for an amendment or adjustment at least ten days prior to a hearing or other meeting to consider the application to: (1) all health care facilities holding a certificate of need in the county where the adjustment is requested; (2) all certificated health care facilities known to provide similar services in adjacent counties; and (3) such health care associations, state agencies and other entities that have requested to be placed on SHPDA's general notice list for such county. In addition, a person seeking a plan adjustment shall also provide proof of publication of a notice of the proposed adjustment and the SHCC hearing or meeting scheduled to consider the adjustment in a newspaper having general circulation in the county in which the proposed adjustment is requested as well as any other county in the service area for which the adjustment is proposed. Such notice shall be published between fifteen and twenty days prior to the hearing date and shall be in such form as may be prescribed by SHPDA's Executive Director.

(c) Procedure for Consideration of Plan Adjustments. Proposed plan adjustments deemed complete will be placed on the SHCC agenda (individually or collectively) for a public hearing without further action by the SHCC. Interested parties may address the proposed plan adjustments at the SHCC meeting, subject to such time limits and notice requirements as may be imposed by the SHCC Chairman. If the SHCC approves the plan adjustment in whole or in part, the adjustment along with the SHCC's favorable recommendation, will be sent to the Governor for his consideration and approval/disapproval. A plan adjustment shall be deemed disapproved by the Governor if not acted upon within fifteen days.

(d) Procedure for Consideration of Plan Amendments. A proposed plan amendment deemed complete will be placed on the SHCC agenda (individually or along with other proposed amendments) for an initial determination if the proposed amendment should be published in accordance with the AAPA and set for public hearing. At the Chairman's discretion, interested parties may be allowed to address the SHCC regarding the proposed amendments prior to such initial consideration. If the SHCC accepts the amendment for publication and hearing in accordance with the AAPA, SHPDA cause such publication and notice to be issued in accordance with the AAPA. At the public hearing, interested parties may address the proposed plan amendment at the SHCC meeting, subject to such time limits and notice requirements as may be imposed by the SHCC Chairman.

(e) If approved by the SHCC, a plan amendment along with the SHCC's favorable recommendation, will be sent to the Governor for his approval or disapproval. A plan amendment shall be deemed disapproved by the Governor if not acted upon within fifteen days. Upon approval by the Governor, a plan amendment shall be filed with the Legislative Reference Service for further review in accordance with the AAPA. No party shall have any rights of administrative review, reconsideration or appeal of the approval or denial of a plan amendment except as may be specifically provided in the AAPA.

(f) MEDIATION. At the discretion of the Chairman of the SHCC, non-binding mediation may be used to resolve differences between interested parties in regard to any pending matter before the SHCC. Said mediation will be conducted by the Chairman of the SHCC or his or her designee. Any modification or compromise relating to a pending proposal resulting from the mediation shall be sent to all interested parties as defined in paragraph 4(c). No statement, representation or comment by any party to the Mediation shall be used, cited to, referenced or otherwise introduced at the SHCC's hearing on the proposal in question. Any proposed compromise or other agreement between the parties shall not be binding upon the SHCC.

(5) Filing Fees. Any person proposing a Plan Adjustment shall be required to pay an administrative fee equal to the minimum fee set by SHPDA for the filing of a certificate of need application. Such fees shall be non-refundable and shall be used to defray costs associated with the processing and consideration of Plan Adjustment requests.

Author: Statewide Health Coordinating Council (SHCC).

Statutory Authority: § 22-21-260(4), Code of Alabama, 1975.

History: Effective November 22, 2004. Amended: Filed: February 1, 2013; effective March 8, 2013.