

Policies and Procedures Checklist

NOTE: See program specific standards for additional policy and procedure requirements in addition to the below requirements. Policies and procedures are not limited to those indicate in this check list.

9CSR 10-7.010 Treatment Principles and Outcomes

- 9 CSR 10-7.010 (11) Pharmacological Treatment. Policy and Procedures on Medical Assisted Treatment (MAT) for substance use treatment programs.**
 - The agency must have a method to screen clients to determine who may benefit from MAT.**
 - The agency must provide offer MAT services or have a written agreement (memorandum of understanding) with an agency or doctor to provide MAT services.**
 - MAT services must not be limited to one type of medication to treat addictions.**

9 CSR 10-7.020 Rights, Responsibilities, and Grievances

- 9 CSR 10-7.020 (1) Policies and procedures must comply with 9 CSR 10-5.200 regarding protection from abuse and neglect and investigations of any such allegations.**
- 9 CSR 10-7.020 (7) the organization shall establish policies, procedures, and practices to ensure a prompt, responsive, impartial review of any grievance or alleged violation or rights.**
 - How to file**
 - Time frames**
 - Rights of appeal**
 - Outcome notification**
- 9 CSR 10-7.020 (8) Practices to Promote Safety and Well-Being. Promoting therapeutic progress by addressing matters in agency policies to include:**
 - Policies and procedures for medication compliance**
 - Policies and procedures for missed appointments**

- _____ Policies and procedures for use of alcohol and drugs
- _____ Policies and procedures for program rules
- _____ Policies and procedures for effectively responding to any threats of suicide, violence, or harm
- _____ Policies and procedures on use of restraint
- _____ Policies and procedures for reporting client death to DMH within 24 hours

9 CSR 10-7.030 Service Delivery Process and Documentation

- _____ Policies and procedures are in place to contact persons who fail to appear for appointments (P&P should identify criteria and timelines for follow-up to missed appointments)
- _____ Contacts should be initiated within 48 hours unless more immediate contact is indicated.
- _____ Efforts made to contact are documented in client record.
- _____ Policy and Procedures regarding Crisis Assistance and Intervention. Agency must provide or arrange crisis assistance 24 hour per day 7 days a week to be provided by a qualified staff. A face to face intervention should be provided when clinically indicated.

9 CSR 10-7.040 Quality Improvement

- _____ The organization develops and implements a written plan for a systematic quality assessment and improvement process that is:
 - _____ Accountable to the governing body
 - _____ Addresses those programs and services certified by the department

9 CSR 10-7.050 Research

- _____ The organization shall have a written policy regarding research activities involving individuals served.
(The organization may prohibit research activities) NOTE: If research is conducted, see rules for additional requirements.

9 CSR 10-7.060 Behavior Management

- _____ If any methods of behavior management are to be used within the organization, it shall develop policies and procedures which define, describe, and limit the conditions and circumstances of their use.
(NOTE: An organization's policy may prohibit use of physical, mechanical, or chemical restraint; seclusion; time out; and the use of behavior management plans for selected individuals)
- _____ The policy should define how the agency will deal with explosive situations if they do not use physical restraint.

- _____ **The organization must prohibit by policy and practice:**
 - _____ **Aversive conditioning of any kind**
 - _____ **Withholding of food, water, or bathroom privileges**
 - _____ **Painful stimuli**
 - _____ **Corporal punishment, and**
 - _____ **Use of seclusion, restraint, time out, discipline, or coercion for staff convenience.**
- _____ **If seclusion and restraint are used, the program must follow additional rules detailed in the Behavioral Management section of Core Rules.**

9 CSR 10-7.070 Medications

- _____ **The organization is required to have written policies and procedures regarding medication services.
(At a minimum, this must include how medications are prescribed, obtained, stored, administered, and disposed)**
- _____ **The organization is to implement written policies that:**
 - _____ **Prevent use of medication as punishment**
 - _____ **Prevent use of medication for the convenience of staff**
 - _____ **Prevent use of medication as a substitute for services or treatment, and**
 - _____ **prevent use of medication in quantities that interfere with participation in treatment/rehabilitation services.**
- _____ **Organizations shall establish and implement policies defining the types of medication errors that must be reported to a Physician.**
- _____ **The organization's policies address the administration of medication in emergency situations, including use of telephone orders.**
- _____ **Written policies and procedures on how medications are stored must be implemented.**
 - _____ **There must be a locked storage area that provides suitable conditions regarding sanitation, ventilation, lighting, and moisture.**
 - _____ **Ingestible medications must be stored separately from non-ingestible medications and other substances.**
 - _____ **A list of personnel who have authorized access to the locked medication area and who are qualified to administer medications are maintained.**
- _____ **When applicable, the organization has written policies and procedures for inventory of medications**
 - _____ **Receipt and disposition of stock pharmaceuticals is accurately documented**
 - _____ **Maintain a log that documents receipt and disposition**
 - _____ **Quarterly reconciliation as to amount received and amount dispensed**
 - _____ **Registration of controlled substances**
- _____ **Policies and procedures regarding disposal of drugs are in place including:**
 - _____ **Medication must be removed and destroyed on or before the expiration date.**

- _____ Any medication left at the program by an individual after discharge must be destroyed within 30 days.
- _____ The disposal of all medication must be witnessed by two staff members.

9 CSR 10- 7.080 Dietary Service

- _____ Written plan to meet the dietary needs of the individuals served including:
 - _____ Written menus developed and annually reviewed by a registered dietician or qualified nutritionist.
 - _____ Any changes or substitutions in menus must be noted.
 - _____ Menus for the past three months shall be maintained.
 - _____ Special diets for medical reasons are provided and menu samples for special diets shall be maintained.
 - _____ Menus shall be responsive to cultural and religious beliefs of individuals.
 - _____ Meals served in a pleasant, relaxed dining area.
 - _____ Hand washing facilities are readily accessible in or near kitchen.

9 CSR 10-7.090 Governing Authority and Program Administration (4) Policy and Procedure Manual.

NOTE: This standard reflects the need for agencies to have policies/procedures that guides the operation of services provided and promotes compliance with regulations.

9 CSR 10-7.100 Fiscal Management

- _____ Fiscal management policies and procedures consistent with Generally Accepted Accounting Principles, state law, federal law, regulations or funding requirements.
- _____ (not required in policy) Adequate internal controls for safeguarding or avoiding misuse of assets (E.G., limits of purchase authority, requirements for signing checks and balancing the checkbook, procedures for prompt deposits of revenue, signed receipts for cash, maintaining deposit receipts, controls on petty cash, disbursements to be by check, duties must be separated as much as possible.)
- _____ If outside audit is required; this should be addressed in policy and procedure.
- _____ The organization has a current written fee schedule approved by the governing body.

9 CSR 10-7.110 Personnel

- _____ Personnel policies/procedures must comply with background checks see 9 CSR 10-5.190
- _____ Policy and procedures contain written job descriptions for each position.

- _____ Policy and procedures contain a current table of organization reflecting each position (should be dated, include part time and contract personnel) and if applicable the relationship to the larger organization of which the program or service is a part
- _____ For training and continuing education, the agency should have guidelines for such things as time away from work, maintaining the required hours of training, payment/support of training, etc.
- _____ The organization must have policies and procedures regarding staff relationships with persons served. (Includes current and past clients.)
- _____ If volunteers are utilized, the organization shall have policies and procedures that guide the roles and activities of the volunteers in an organized and productive way (including required background screening, supervision, and staff member to coordinate)
- _____ If students are utilized must be background screened, oriented and trained as consistent with the agency's policies for new employees.

9 CSR 10-7.120 Physical Plant and Safety

- _____ The organization has an emergency preparedness plan
- _____ The plan addresses medical emergencies and natural disasters.

GENERAL PROGRAM PROCEDURES:

9 CSR 10-5.190 Criminal Record Review

- _____ Policies and procedures regarding the implementation of this rule and the disposition of information provided by the criminal record review. At a minimum, guidelines shall address:
 - _____ Procedures for obtaining the criminal record review
 - _____ Procedures for confidentiality of records; and
 - _____ Guidelines for evaluating information received through the criminal record review which establishes a clear boundary between those convictions which by statute, must exclude an individual from service, and those convictions which would not automatically exclude an individual.

9 CSR 10-5.206 and 9 CSR 10-5.200 Report of Complaints of Abuse, Neglect and Misuse of Funds/Property

- _____ Written policies requiring their employees to report events under this regulation and those events identified in these two standards.

- _____ The policies must make clear that administrative or disciplinary sanctions may result from failure to report.
- _____ Providers must ensure that their employees and those who support the agency are educated about the department's notification and reporting requirements.

9 CSR 10-5.220 Privacy Rule of Health Insurance Portability and Accountability Act of 1996 (HIPAA)

- _____ Policy and procedure regarding confidentiality of consumer information that complies with federal and state privacy requirements.

ADA POLICY AND PROCEDURE RULES:

9 CSR 30-3.100 Service Delivery Process and Documentation

- _____ The program identifies goals, policies and procedures regarding drug testing.
 - _____ The program has written policies and procedures regarding the collection and handling of specimens and implements these appropriately.
 - _____ (Best practice) Steps taken to collect in a respectful manner
 - _____ (Best practice) Steps taken to prevent falsification of samples
 - _____ the program has implemented written policies and procedures regarding the interpretation of results and actions to be taken when results are positive for alcohol or drug use.

9 CSR 30-3.140 Residential Treatment

- _____ The program has established admission and eligibility criteria which includes:
 - _____ The person seeking treatment does not demonstrate symptoms of intoxication, impairment, or withdrawal that would hinder or prohibit full participation in treatment services.
 - _____ The person needs an alternative, supervised living environment to ensure safety and protection from harm. (P&P lists additional general eligibility requirements for residential treatment)
- _____ The program has established criteria for the transfer from outpatient to residential treatment which includes:
 - _____ The client has been unable to establish a period of sobriety despite active participation in the most intensive set of services available on an outpatient basis; or
 - _____ The client presents imminent risk or serious consequences associated with substance abuse.

9 CSR 30-3.150 Comprehensive Substance Treatment and Rehabilitation (CSTAR)

- _____ (Best practice) Missed appointment policy stating that for missed appointments, staff shall initiate efforts to contact the person Within 48 hours to re-engage and these efforts to contact shall

MENTAL HEALTH POLICIES AND PROCEDURES:

9 CSR 30-4.160 Client Records:

_____ Each agency shall have a written method and procedure to assure quality client record which includes routine review of client records.

9 CSR 30-4.190 Treatment:

_____ The program shall have written policies and procedures defining client eligibility requirements, intake procedures and client assessment.