

# Certification Addendum

## Policy and Procedures (P&P) 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 indicated in this check list.

### 9CSR 10-7.010 Treatment Principles and Outcomes

- 9CSR 10-7.010(11) Pharmacological Treatment:** Medical Assisted Treatment (MAT) for substance use treatment programs
  - Must have a method to screen clients to determine who may benefit from MAT
  - Must offer MAT services or have a memorandum of understanding (MOU) with an agency or doctor who provides MAT services
  - MAT services must not be limited to one (1) type of medication to treat addiction
  - **Recovery Support Programs Only:** Policy and Procedure stating that a referral to MAT capable services is required if the agency does not accept individuals on MAT

### 9CSR 10-7.020 Rights, Responsibilities, and Grievances

- 9CSR 10-7.020(1):** P&P must comply with **9CSR 10-5.200** regarding protection from abuse and neglect and investigations of any such allegations.
- 9CSR 10-7.020(7):** Ensure a prompt, responsive, impartial review of any grievance or alleged violation or rights
  - How to file
  - Time frames
  - Rights of appeal
  - Outcome notification
- 9CSR 10-7.020(8):** Practices to promote safety and well-being policies to include:
  - Medication Compliance
  - Missed Appointments
  - Use of alcohol and drugs
  - Program rules
  - Effectively responding to any threats of suicide, violence, or harm
  - Use of restraint
  - Reporting client death to DMH within 24 hours

### 9CSR10-7.030 Service Delivery Process and Documentation (not required for Recovery Support Programs)

- P&P are in place to contact person(s) who fail to appear for appointments (P&P should identify criteria and timelines for follow-up to missed appointments)
- Contact should be initiated within 48 hours unless more immediate contact is indicated
- Efforts made to contact are documented in client record
- Crisis Assistance and Intervention:** Must provide or arrange crisis intervention 24 hours per day 7 days a week to be provided by a qualified staff. A face to face intervention should be provided when clinically indicated

### 9CSR 10-7.040 Quality Improvement

- 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

### 9CSE 10-7.050 Research

- Have a written P&P regarding research activities involving individuals served. The organization may prohibit research activities. If research is conducted, see rules for additional requirements.

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### 9CSR 10-7.060 Behavior Management

- If any methods of behavior management are to be used within the organization, it shall develop P&P which define, describe, and limit the conditions and circumstances of their use.
- An organization may prohibit the use of any type of behavior management. If this is the case than the policy should define how the agency will deal with explosive situations.
- The organization **must** prohibit by policy and practices:
  - Aversive conditioning of any kind;
  - Withholding 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 restrain are used, the organization must follow additional rules detailed in the Behavioral Management section of Core Rules

### 9CSR 10-070 Medications

- Organization is required to have written P&P regarding medication services.
- The organization is to implement written policies that prevent use of:
  - Medication punishment;
  - Medication for the convenience of staff;
  - Medication as a substitute for services or treatment; and
  - Medication quantities that interfere with participation in treatment/rehabilitation services
- Establish and implement P&P defining the types of medication errors that must be reported to a physician.
- Address the administration of medication in emergency situations, including use of telephone orders
- How medications are stored
  - 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
  - List of personnel who have authorized access to the locked medication area and who are qualified to administer medications is maintained
- When applicable, P&P 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
- P&P 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 (2) staff members

### 9CSR 10-7.080 Dietary Service (may not be applicable to all agencies)

- 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 (3) 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 and relaxed dining area
  - Hand washing facilities are readily accessible in or near kitchen

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

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

### 9CSR 10-7.100 Fiscal Management

- Fiscal Management P&P consistent with Generally Accepted Accounting Principles, state law, federal law, regulation or funding requirements
- Not required in policy:** Adequate internal controls for safeguarding or avoiding misuse of assets
- If outside audit is required; this should be addressed in P&P
- The organization has a current written fee schedule approved by the governing body

### 9CSR 10-7.110 Personnel

- Personnel P&P must comply with background checks (**9CSR 10-5.190**)
- P&P contain written job descriptions for each position
- P&P contain a current table or organization reflecting each position (include part time and contracted personnel)
  - Should be dated
  - If applicable the relationship to the larger organization of which the program or servicer 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.
- Organization must have P&P regarding staff relationships with persons served (past and present)
- If volunteers are utilized, P&P that guide the roles and activities of the volunteers in an organized and productive way (including 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

### 9CSR 10-7.120 Physical Plant and Safety

- Emergency preparedness plan that addresses medical emergencies and natural disasters

## General Program Procedures:

### 9CSR 10-5.190 Criminal Record Review

- P&P 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 with 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

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

- Policies requiring their employees to report events under this regulation and those events identified in these two (2) standards
- 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.

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### 9CSR 10-5.220 Privacy Rule of Health Insurance Portability and Accountability Act of 1196 (HIPPA)

- P&P regarding confidentiality of consumer information that complies with federal and state privacy requirements

### **ADA Policy and Procedure Rules:**

### 9CSR 30-3.100 Service Delivery Process and Documentation (not required for Recovery Support Programs)

- Program identifies goals, P&P regarding drug testing
  - Written P&P 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
  - Implemented written P&P regarding the **interpretation of results** and **actions to be taken when results are positive** for alcohol or drugs

### 9CSR 30-3.140 Residential Treatment (not applicable for all agencies)

- Established admission and eligibility criteria which includes:
  - Person seeking treatment does not demonstrate symptoms of intoxication, impairment, or withdrawal that would hinder or prohibit full participation in treatment services
  - Person needs an alternative, supervised living environment to ensure safety and protection from harm
- Program has established criteria for the transfer from outpatient to residential treatment includes:
  - 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
  - Client presents imminent risk or serious consequences associated with substance abuse

### 9CSR 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.

### **Mental Health Policies and Procedure Rules:**

### 9CSR 30-4.160 Client Records

- Each agency shall have a written P&P to assure quality client record which includes routine review of client records

### 9CSR 30-4.190 Treatment

- Program shall have written P&P defining client eligibility requirements, intake procedures, and client assessment