

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

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.

Certification Addendum

Policy and Procedures (P&P) Checklist

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:

Certification Addendum

Policy and Procedures (P&P) Checklist

- 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

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 statue, must exclude

Certification Addendum

Policy and Procedures (P&P) Checklist

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.

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

- 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