

POLICY DEVELOPMENT AND MAINTENANCE

Direct Care and Treatment

Issue Date: (March 3, 2015) Effective date: (April 7, 2015) DCT Policy Number: 110-1000

POLICY:

This policy establishes the Direct Care and Treatment (DCT) system for developing and maintaining policies which impact all DCT divisions. All policies and instructions are posted on the DCT Policy Sponsor Group page.

All DCT employees must read and be familiar with applicable policies and instructions. Failure to comply with policies and instructions may result in disciplinary actions or termination.

Policies and instructions remain in effect until superceded or rescinded as outlined in this policy.

Unless identified as security information in accordance with Minn. Stat. §13.37, policies and instructions are available to all state employees, clients served by DCT, and the public.

AUTHORITY:

Minn. Stat. §246.014, subd. (d)

APPLICABILITY:

Direct Care and Treatment

PURPOSE:

To establish a policy and instruction system compliant with licensing/accreditation/regulatory/legal standards in order to guide conduct which reflects the mission, vision, and values of DCT and the Department of Human Services.

DEFINITIONS:

DCT Policy – a statement of objective or rule with associated procedure on how to carry out the objective or rule. Policies are applicable to all of DCT, a division in DCT, or a combination of divisions in DCT. The Assistant Commissioner is the signatory for policies applicable to more than one division in DCT. See DCT form 110-1000a.

DCT Policy Coordinator – designated individual responsible for managing DCT policies.

DCT Policy Sponsors - DCT executives/designees representing all divisions within DCT.

Division Policy – a statement of objective or rule with associated procedure on how to carry out the objective or rule. Division policies are applicable to one division in DCT. The division policy signatory is the associated division executive director. See DCT form 110-1000a.

Division Policy Coordinator – designated individual responsible for managing policies and instructions applicable to his/her division within DCT.

Division Policy Sponsors – staff members appointed by the division executive director representing the programs/disciplines within the division.

Drafting committee – under the direction of an appointed drafting team chair, employees who draft or review a policy or instruction as assigned. The appropriate DCT or division policy sponsors assign or approve drafting committee members.

Drafting committee chair – employee responsible for coordinating and leading a drafting committee. The drafting committee chair ensures all associated work areas are included in the committee. Drafting committee chairs are appointed by the appropriate policy sponsor group.

Instruction (program post order, work station order or program guidelines) – chronological list of specific duties, tasks, general procedures and responsibilities for a shift security post, work station or program work area. Post orders are considered “security information” (Minn. Stat. §13.37 subd. 1(a)) and must not be viewed by the public or individuals served by DCT with exceptions defined in “Security policy and security instruction” below. See DCT form 110-1000a.

Policy archive - a complete electronic set of all historical policies and instructions. The set includes:

- Final, signed policies and instructions;
- All past editions and track changes of what was changed and why;
- Any unapproved change requests; and
- Pertinent historical information involving the policy or instruction development.

Program policy - a statement of objective or rule with associated procedure on how to carry out the objective or rule. Program policies are applicable to one or more program in a division of DCT. The program policy signatory is the associated division executive director. See DCT form 110-1000a.

Security policy and security instruction - policy or instruction considered security information as defined in Minn. Stat. §13.37 subd. 1(a), which must not be viewed by the public or individuals served by DCT, with the following exceptions:

- Program licensing entities
- Ombudsman for Mental Health and Developmental Disabilities
- Other entities as authorized by the Assistant Commissioner or Minnesota Statutes.

PROCEDURES:

- A. Policy and Instruction System Management and Coordination
 1. The DCT Policy Coordinator
 - a) Trains and coordinates drafting teams to ensure timely policy production and revision.
 - b) Provides review and final editing of policy prior to presentation to the DCT Policy Sponsors.
 - c) Schedules, organizes, and attends DCT Policy Sponsor meetings.
 - d) Maintains a policy archive in collaboration with the division policy coordinators.
 - e) Maintains the policy website.
 - f) Ensures annual policy reviews are completed in a timely manner.
 - g) In consultation with the DCT Policy Sponsors, prioritize policy requests for drafting.
 - h) Finalizes policy after DCT Policy Sponsor approval including gathering signatures and issuing announcements regarding new and revised policies.
 2. The DCT Policy Sponsors
 - a) Review and approve all new and revised policies applicable to two or more divisions within DCT.
 - b) Assign or approve drafting chair and drafting committee member assignments.

- c) Review and approve proposals for policy development within DCT.
- d) Determine the deadline for drafted and revised policies if outside the scope of this policy.

3. The division policy coordinator

- a) Trains and coordinates drafting teams to ensure timely policy and instruction production and revision.
- b) Provides review and final editing of policy and instruction prior to presentation to the division policy sponsors.
- c) Schedules, organizes, and attends division policy sponsor meetings.
- d) Maintains a policy and instruction archive in collaboration with the division and DCT policy coordinators.
- e) Maintains the policy website.
- f) Ensures annual policy and instruction reviews are completed in a timely manner.
- g) In consultation with the division policy sponsors, prioritize policy and instruction requests for drafting.
- h) Finalizes policy and instruction after division policy sponsor approval including gathering signatures and issuing announcements regarding new and revised policies/instructions.

4. The division policy sponsors

- a) Review and approve all new and revised policies and instructions applicable to their division.
- b) Assign or approve drafting chair and drafting committee member assignments.
- c) Review and approve proposals for policy and instruction development within their division.
- d) Determine the deadline for drafted and revised policies if outside the scope of this policy.

B. Recommending and Creating New and Revised Policy and Instruction

1. Anyone may recommend new or revised policies and instructions by submitting a completed Request to Revise or Develop a Policy or Instruction, DHS-6091G to the appropriate policy coordinator.
2. The DCT or division policy coordinator will ensure appropriate supervisory/management staff reviews the new policy and instruction recommendations prior to submitting the recommendation to the policy sponsors. For recommendations regarding revised policy or instruction, the DCT or division policy coordinator will consult with the drafting chair prior to submission to the policy sponsors.
3. If the recommendation is approved by the policy sponsors, the DCT or division policy coordinator will work with the drafting chair in policy or instruction development. The drafting chair must submit the new or revised policy or instruction to the appropriate policy coordinator within 90 calendar days of receiving the assignment. Extensions of the deadline may only be approved by the appropriate policy sponsor group.
4. If the recommendation is not approved, the DCT or division policy coordinator will draft a response to the person making the recommendation.
5. The DCT or division policy coordinator will maintain all approved and not approved recommendations in the policy archive.

C. Policy and Instruction Annual Review

1. The DCT and division policy coordinators will establish and maintain an annual review schedule for policies and instructions.
2. Drafting chairs will complete the annual review of their assigned policies and instructions within 90 calendar days. Extensions of the deadline may only be approved by the appropriate policy sponsor group.

D. Policy and Instruction Issuance

Except for emergency/urgent issuance, new and revised policies and instructions will remain posted on the policy website for one month prior to the effective date to provide for review and training. Emergent/urgent issuance may only be approved by the appropriate policy sponsor group in consultation with the appropriate executive director or the Assistant Commissioner.

E. Forms

1. Policies and instructions requiring the use of a form or forms must have the form(s) either attached to the policy or an internet link to the form.
2. The DCT or division policy coordinator will ensure policy and instruction update announcements identify new/revised forms.

F. Transition to the DCT system for developing and maintaining policies

1. During the transition period from the previous policy and procedure system to the DCT system for developing and maintaining policies, existing policy groups will continue to revise and review existing policies and procedures until such policies are assumed by the DCT system for developing and maintaining policies.
2. The development of new policies will follow the DCT system for developing and maintaining policies defined in this policy.

REFERENCES:

None

ATTACHMENTS:

Request to Revise or Develop a Policy or Instruction, DHS-6091G

Policy Tracking Form, DHS-6091

DCT Policy System, DCT form 110-1000a

SUPERSESSSION:

SOS Policy 2000, "Policy and Procedure Development and Implementation," May 10, 2014

MSOP Policy 100.1000, "Policy Development and Maintenance," May 6, 2014

AMH Procedure 16230, "Policies and Procedures of Nursing Services," November 14, 2014

CABHS Procedure 13044, "Policy and Procedure Development and Implementation," May 26, 2013

/s/

Brownell E. Mack, Psy.D.

Assistant Commissioner

Direct Care and Treatment

Department of Human Services