



## Additional Required Documents

### Chemical Dependency Treatment Services (Rule 31) Minnesota Rules, part 9530.6405 through 9530.6505

All applicants must develop a written manual that includes required policies, procedures, and forms. The required documents must be submitted with the application for licensure. The following checklist is provided to help license applicants develop these documents. Each statute or rule requirement listed on the checklist must be addressed.

It is expected that applicants will read and understand the applicable statutes and rules, and develop policies, procedures, and forms that reflect how the requirements in the applicable statutes and rules will be incorporated into their programs. License holders will be held accountable to these policies and procedures. Updates on standards and issues specific to Chemical Dependency treatment services are provided via periodic bulletins and at least annually each fall via the [Chemical Dependency Treatment Program License Renewal Information letter](#). License holders are notified when these documents are available.

The checklist is divided into two sections.

1. **Section I** - All applicants who will provide chemical dependency treatment services must submit documents to verify that each statute or rule requirement listed in Section I has been met.

2. **Section II** - In addition to the requirements in Section I, applicants who will offer any of the following additional services must submit documents to meet the statute and rule requirements listed in Section II of the checklist that apply to the additional services that will be provided.

- A. Programs that provide outpatient treatment services for adolescents or residential services for adolescents over 16 and under 21 years of age must comply with the additional requirements in Minnesota Rules, part [9530.6485](#) that are listed in Section II, A.

NOTE: Programs providing residential treatment services for adolescents over age 15 and under age 21 must either be licensed under Minnesota Rules, parts [9530.6405 to 9530.6505](#) or as a Children's Residential Facility in accordance with Minnesota Rules, Chapter [2960](#). Adolescents under age 15 must receive treatment services from programs licensed under Minnesota Rules, Chapter [2960](#).

- B. Programs that offer supervision of children of clients receiving treatment services must comply with the additional requirements in part [9530.6490](#) as listed in Section II, B.
- C. Programs that specialize in the treatment of persons with both chemical substance abuse and mental illness must comply with the additional requirements in part [9530.6495](#), as listed in Section II, C.
- D. Programs that provide methadone treatment must comply with the additional requirements in part [9530.6500](#), as listed in Section II, D.
- E. Programs that provide residential treatment services must comply with the additional requirements in part [9530.6505](#) as listed in Section II, E.

NOTE: A program that provides supervised room and board at the licensed program site as a treatment component is defined as a residential program according to Minnesota Statutes, Section [245A.02, subdivision 14](#).

Use the checklist as a guide for developing the required policies, procedures, and forms applicable to the services that will be provided by the program. Identify on the checklist where each requirement is addressed in the documents submitted to DHS as part of the licensing application.

1. In the column labeled Document Identifier, for each applicable subject, enter the title, number, or other clearly visible identifier used by the program to show which of the submitted documents meets the requirements for

that subject. Note: Do not leave rows in the Document Identifier column blank. If the requirement is not applicable, please indicate that by entering "N/A." Applicants are not required to have a separate policy, procedure, or form for each statute or rule requirement on the checklist. When a policy, procedure, or form meets more than one requirement, identify this on the form.

2. Submit the finished checklist and a copy of all of the documents listed in the Document Identifier column with your application; and
3. Retain a copy of the finished checklist and all documents that you submitted for your records.

**Understanding the checklist.**

- Column 1, labeled **Item** is a reference number.
- Column 2, labeled **Statute or Rule Requirement** is the legal citation where the requirement is located in Minnesota statutes or rules. Where applicable, links to sample policies are provided.
- Column 3, labeled **Subject** very briefly identifies the statute or rule requirement.
- Column 4, labeled **Document Identifier** is the section of the checklist to be completed by the applicant as described above.

**Checklist Section I**

All Rule 31 applicants must complete Section I.

<b>Policies and Procedures required for all Rule 31 programs</b>			
<b>Item</b>	<b>Statute or Rule Requirement</b>	<b>Subject</b>	<b>Document Identifier</b>
1-A.	Minnesota Rules, parts 9530.6430, subpart 1, and 9530.6455, item J.	Description specifying how this program will provide treatment services, including the type and amount of client services and the title of the person providing each service.	
1-B.	Minnesota Rules, part 9530.6430, subpart 2.	Description of additional services provided by this program, and the title of the person providing each additional service.	
1-C.	Minnesota Rules, parts 9530.6435, subpart 1, and 9530.6455, item F.	Description of health care services.	
1-D.	Minnesota Rules, parts 9530.6435, subpart 2, and 9530.6455, item F.	Description of access to and availability of mental health professional consultation services.	
1-E.	Minnesota Rules, parts 9530.6435, subpart 3, (B), and 9530.6455, item F.	Policies and procedures developed by the registered nurse for administration of medications and assistance with self-administration of medication.	
1-F.	Minnesota Rules, parts 9530.6435, subpart 4, and 9530.6455, item F.	Policies and procedures developed by the registered nurse that addresses control of facility drugs.	

1-G.	Minnesota Rules, parts 9530.6440, and 9530.6455, item H.	Policies and procedures related to client records.	
1-H.	Minnesota Rules, parts 9530.6455, item A, 9530.6422, and 9530.6425.	Assessment and treatment planning policies.	
1-I.	Minnesota Rules, parts 9530.6445, 9530.6450, 9530.6455, item D, and 9530.6460.	Personnel policies and procedures.	
1-J.	Minnesota Rules, parts 9530.6455, item C, and 9530.6430, subpart 1 (A)	Methods and resources for addressing tuberculosis.	
1-K.	Minnesota Rules, part 9530.6455, item K.	Methods for meeting client outcomes.	
1-L.	Minnesota Rules, part 9530.6455, item L.	Hours of operation and target population	
1-M.	Minnesota Rules, part 9530.6465.	Policies for service initiation and service termination.	
1-N.	Minnesota Rules, parts 9530.6470, subpart 1, and 9530.6455, item E.	Policies and procedures to protect client rights, including a statement of client rights and responsibilities, and	
1-O.	Minnesota Rules, part 9530.6470, subpart 2, and 9530.6455, item E.	Procedure for grievances, and	
1-P.	Minnesota Rules, part 9530.6470, subpart 3, and 9530.6455, item E.	Policy regarding photographs, video tapes, audio recordings, and motion pictures of clients.	
1-Q.	Minnesota Rules, part 9530.6475.	Procedures for behavioral emergencies.	
1-R.	Minnesota Statutes, section 245A.65, subdivision 1, and section 626.557, subdivision 4, and Minnesota Rules, part 9530.6455, item I.	Vulnerable Adult Reporting Policy. NOTE: It is recommended that applicants use this sample <a href="#">Maltreatment of Vulnerable Adults Reporting Policy</a> .	
1-S.	Minnesota Statutes, section 245A.65, subdivision 2, and section 626.557, subdivision 14 (a), and Minnesota Rules, parts 9530.6455, item I.	Program Abuse Prevention Plan.	
1-T.	Minnesota Statutes, sections 626.556, and 245A.66.	Policies and procedures to follow if maltreatment of a minor is suspected, including reporting maltreatment of minors and requirements for conducting an internal review. NOTE: recommended that applicants use this sample <a href="#">Maltreatment of Minors reporting policy</a> .	

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Required Documents Checklist

1-U.	Minnesota Statutes, section 245A.04, subdivision 1, (c).	Drug and Alcohol Policy	
1-V.	Minnesota Statutes, section 245A.19, (d), and Minnesota Rules, part 9530.6580, item (J).	Policies and procedures that meet <a href="#">HIV minimum standards</a> and Treatment Improvement Protocol #37 in the <a href="#">SAMHSA Substance Abuse Treatment for Persons with HIV/AIDS: TIP 37</a> .	
1-W.	Minnesota Statutes, section 245A.04, subdivision 16	Written policy for reporting the death of an individual served by the program to the commissioner of human services, within 24 hours, unless the license holder knows that the death has been reported to the commissioner.	
1-X.	Minnesota Statutes, section 245A.04, subdivision 14 (c)	Policies and procedures table of contents or another method approved by the commissioner.	
<b>Forms required for all Rule 31 programs</b>			
1-Y.	Minnesota Statutes, section 245A.65, subdivision 1a.	Determination of vulnerable adult status. (This requirement only applies to non-residential programs. In residential programs all clients are categorically vulnerable adults.) NOTE: It is recommended that applicants use the <a href="#">Determination of Vulnerability Status form</a> .	
1-Z.	Minnesota Rules, part 9530.6420.	Initial services plan. See <a href="#">DHS Initial Services Plan example form</a> .	
1-AA.	Minnesota Rules, part 9530.6422, subpart 1.	Comprehensive assessment. See <a href="#">DHS Comprehensive Assessment example form</a> .	
1-BB.	Minnesota Rules, part 9530.6422, subpart 2.	Comprehensive Assessment summary. See <a href="#">DHS Comprehensive Assessment Summary example form</a> .	
1-CC.	Minnesota Rules, part 9530.6425, subparts 1 and 2.	Individual treatment plan. See <a href="#">DHS Individual Treatment Plan example form</a> .	
1-DD.	Minnesota Rules, part 9530.6425 subparts 3 and 3a.	Progress notes and treatment plans reviews. See <a href="#">DHS Progress note and treatment plan example form</a> .	
1-EE.	Minnesota Rules, part 9530.6425, subpart 4.	Summary at termination of services. See <a href="#">DHS Discharge Summary example form</a> .	
<b>Program Staffing Documentation for all Rule 31 programs</b>			
1-FF.	Minnesota Rules, part 9530.6445.	Staffing requirements.	
1-GG.	Minnesota Rules, part 9530.6450.	Staff qualifications.	

**Checklist Section II**

Applicants who will provide any of the services described in parts [9530.6485](#) through [9530.6505](#) must submit documentation that the additional requirements have been met for each service identified by the applicant as provided by the program.

A. Will the applicant serve clients who are **adolescents**? Refer to page 1, item 2 (A) of this document for detailed requirements related to age.

No

Yes If yes, submit documents to verify that the following additional requirements for part [9530.6485](#) are met.

<b>Additional policies and procedures required for programs serving adolescents</b>			
<b>Item</b>	<b>Statute or Rule Requirement</b>	<b>Subject</b>	<b>Document Identifier</b>
2-A.	Minnesota Rules, part 9530.6485, subpart 3.	Staffing ratios for programs serving adolescents.	
2-B.	Minnesota Rules, part 9530.6485, subpart 2.	Additional qualification requirements for counselors serving adolescents.	
2-C.	Minnesota Rules part 9530.6485, subpart 4.	Academic program requirements, including approval by the Minnesota Board of Education (on-site ed. only)	
<b>Additional Forms for programs serving adolescents</b>			
2-D.	Minnesota Rules, part 9530.6485, subpart 5.	Additional requirements for the adolescent's individual treatment plan.	

B. Will the applicant serve **clients with their children** or provide any supervision of clients' children?

No

Yes If yes, submit documents to verify that the following additional requirements for part [9530.6490](#) are met.

<b>Additional policies, procedures and other documents for programs serving clients with children</b>			
<b>Item</b>	<b>Statute or Rule Requirement</b>	<b>Subject</b>	<b>Document Identifier</b>
2-E.	Minnesota Rules, part 9530.6490, subpart 1.	Appropriate license from the Minnesota Department of Health.	
2-F.	Minnesota Rules, part 9530.6490, subpart 2.	Written description of the supervision of children.	
2-G.	Minnesota Rules, part 9530.6490, subpart 3.	Written description of policy and schedule for child supervision. Written procedure for actions by staff who observe abuse or neglect by parents who are receiving services from the program.	
2-H.	Minnesota Rules, part 9530.6490, subpart 4, items A through F.	Additional requirements regarding the supervision of children.	

2-I.	Minnesota Statutes, section 245A.1435, paragraphs (a) and (b).	Policies and procedures for reducing the risk of Sudden Infant Death Syndrome (SIDS) and shaken baby syndrome.	
2-J.	Minnesota Statutes, section 245A.146, subdivisions 1 and 2.	Written policies and procedures for meeting Consumer Product Safety Commission's Crib Safety Requirements, that became effective December 12, 2012.	
2-K.	Minnesota Statutes, section 245A.1444.	Requirements for instruction on the standards in section <a href="#">245A.1435</a> and training on reducing risk of sudden infant death syndrome and shaken baby syndrome for staff and volunteers who assist in care of infants.	
2-L.	Minnesota Statutes, section 245A.18.	Policy for compliance with all seat belt and child passenger restraint system requirements and procedure for providing the required training to the license holder, staff person and caregiver who transports a child or children under age 9 in a motor vehicle.	
<b>Additional Forms for Programs serving Clients with their Children</b>			
2-M.	Minnesota Statute, Section 245A.146, subdivisions 2, 3, and 4; and	<a href="#">DHS inspection and review documentation form</a> for monthly crib safety inspections, and annual CPSC crib safety reviews for each crib used by, or accessible to children in care.	
2-N.	Minnesota Statutes, section 245A.146, subdivision 2 (c)	The license holder must maintain <a href="#">acceptable documentation</a> showing all full-size and non-full size cribs meet federal crib standards under title 16, part 1219 or 1220.	

C. Will the applicant specialize in providing Rule 31 services to **clients with chemical substance abuse and mental health disorders**?

No

Yes If yes, submit documents to verify that the following additional requirements for part [9530.6495](#) are met.

<b>Additional Policies, Procedures and Other Documents required for MH/CD treatment services</b>			
<b>Item</b>	<b>Statute or Rule Requirement</b>	<b>Subject</b>	<b>Document Identifier</b>
2-O.	Minnesota Rules, part 9530.6495, item A.	Documentation that: A. Staffing levels are appropriate for treating clients with substance use disorder and mental health problems; B. There is adequate staff with mental health training.	

2-P.	Minnesota Rules, part 9530.6495, item B.	Documentation of access to a medical provider with expertise in prescribing psychotropic medications.	
2-Q.	Minnesota Rules, part 9530.6495, item C.	Documentation of an available mental health professional for staff supervision and consultation.	
2-R.	Minnesota Rules, part 9530.6495, item D.	Description of group size, structure and content, with consideration for special needs of those with substance use disorder and mental health disorders.	
2-S.	Minnesota Rules, part 9530.6495, item G.	Description and source of the available program materials adapted to individuals with mental health problems.	
2-T.	Minnesota Rules, part 9530.6495, item H.	Policies that provide flexibility for clients who may lapse in treatment or may have difficulty adhering to established treatment rules as a result of mental illness.	
2-U.	Minnesota Rules, part 9530.6495, item I.	Documentation that individual psychotherapy and case management is available during the treatment process.	

D. Will the applicant serve **intravenous drug abusers** (Methadone Services)?

No

Yes            If yes, submit documents to verify that the following additional requirements for part [9530.6500](#) are met.

<b>Additional Policies, Procedures and Other Documents required for programs serving IV drug abusers</b>			
<b>Item</b>	<b>Statute or Rule Requirement</b>	<b>Subject</b>	<b>Document Identifier</b>
2-AA.	Minnesota Rules, part 9530.6500, subparts 2.	Waiting list system.	
2-BB.	Minnesota Rules, part 9530.6500, subpart 5.	Outreach model to be used by the program.	
2-CC.	Minnesota Rules, part 245A.04, Subdivision 14.	Diversion control policy as required by Code of Federal Regulations Title 42, chapter 1, part 8, section 8.12.	

E. Will the applicant provide **residential treatment**?

No

Yes            If yes, submit documents to verify that the following additional requirements for part [9530.6505](#) are met.

<b>Additional Policies, Procedures and Other Documents required for residential treatment programs</b>			
<b>Item</b>	<b>Statute or Rule Requirement</b>	<b>Subject</b>	<b>Document Identifier</b>
2-DD.	Minnesota Rules, part 9530.6505 subpart 2.	Policy for visitors.	
2-EE.	Minnesota Rules, part 9530.6505 subpart 3.	Policies and procedures for client property management.	
2-FF.	Minnesota Rules, part 9530.6505 subpart 4.	Appropriate license from the <a href="#">Department of Health</a> .	
2-GG.	Minnesota Rules, part 9530.6470, subparts 1 and 3.	In addition to the rights in Minnesota Statutes, section <a href="#">148F.165</a> , subdivision 2, the client rights statement in residential programs must include the rights provided for in Minnesota Statutes, sections <a href="#">144.651</a> and <a href="#">253B.03</a> .	
2-HH.	Minnesota Rules, part 9530.6505 subpart 7.	Policies and procedures for assessing and monitoring the client's health signed by a registered nurse.	
<b>Additional Forms for residential treatment programs</b>			
2-II	Minnesota Rules, part 9530.6505 subpart 7.	A standardized data collection tool used by the program to collect health related information for each client.	
2-JJ.	Minnesota Statutes, sections 245A.65, subdivision 2, and 626.557, subdivision 14, and Minnesota Rules, part 9530.6505, subpart 6.	An Individual Abuse Prevention Plan format.	