



Additional Required Documents

Variance to Minnesota Rules, parts 9520.0500 through 9520.0690 (Rule 36) for Intensive Residential Treatment Services (IRTS)

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 Intensive Residential Treatment Services are provided via periodic bulletins and at least annually each fall via the [Intensive Residential Treatment Services License Renewal Letter](#). License holders are notified when these documents are available.

The checklist is divided into three sections.

1. **Section I** - All applicants who will provide intensive residential 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 seeking certification in crisis stabilization services must submit documents to meet the additional requirements listed in Section II. NOTE: Applicants who will provide only crisis stabilization services are exempt from the requirements of section R36V.04, subdivision 3, paragraphs (b), and (d) through (j). and subdivisions 5, 6, and 7, and section R36V.05, subdivision 7.
3. **Section III** – In addition to the requirements in Section I, applicants seeking certification as an eating disorder treatment program must meet the additional requirements listed in Section III.

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 Intensive Residential Treatment Services (IRTS) applicants must complete Section I.

POLICIES, PROCEDURES, AND PLANS required for all IRTS programs			
Item	Statute or Rule Requirement	Subject	Document Identifier
Service Description			
1-A.	R36V.13, subdivision 2.	The program's policy manual must include a complete description of all services provided by the program, including descriptions of the following required treatment service components:	
1-B.	R36V.13, subdivision 2, and R36V.04, subdivision 3, (a) through (i). NOTE: License holders providing only CSS are exempt from R36V.04, subdivision 3, (b), and (d) through (j).	Assessment and treatment planning services for each recipient, including: (a) assessment of immediate needs; (b) initial treatment plan; (c) individual abuse prevention plan; (d) diagnostic assessment; (e) functional assessment (also must be updated at least every 30 days and within 5 calendar days of discharge); (f) level of care assessment (LOCUS); (g) substance use screening and assessment that includes identity of the tools that the license holder will use; (h) interpretive summary; (i) individual treatment plan(ITP) (j) treatment plan and individual abuse prevention plan reviews and updates;	
1-C.	R36V.13, subdivision 2; and R36V.04, subdivision 4, (a) through (g).	Nursing services that must be provided under the responsibility of a registered nurse.	
1-D.	R36V.13, subdivision 2, and R36V.04, subdivision 5. NOTE: License holders providing only CSS are exempt from R36V.04, subdivision 5.	Illness Management and Recovery (IMR) practices.	
1-E.	R36V.13, subdivision 2, and R36V.04, subdivision 6. NOTE: License holders providing only CSS are exempt from requirements in R36V.04, subdivision 6.	Integrated Dual Diagnosis Treatment (IDDT) services that address the needs of recipients who have co-occurring substance use disorders.	



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I-F.	R36V.13, subdivision 2, and R36V.04, subdivision 7, (a). NOTE: License holders providing only CSS services are exempt from requirements in R36V.04, subdivision 7.	Treatment services based on the recipient's needs and as indicated in the recipient's ITP including: Independent living skills;	
1-G.	R36V.13, subdivision 2, and R36V.04, subdivision 7, b).	Family involvement support services;	
1-H.	R36V.13, subdivision 2, and R36V.04, subdivision 7, (c).	Crisis prevention planning; and	
1-I.	R36V.13, subdivision 2, and R36V.04, subdivision 7, (d).	The program's plan that details the implementation of certified peer specialist support services. NOTE: This plan must also be submitted to the DHS Mental Health Division.	
Policies, Procedures, and Plans – all programs			
1-J.	R36V.04, subdivision 9, and R36V.13, subdivision 2.	A description of any optional additional mental health treatment services the license holder offers.	
1-K.	R36V.13, subdivision 3, (a), and R36V.04, subdivision 1.	The license holder must, at a minimum have the following required policies, procedures, and plans and provide sufficient direction to staff and license holder to carry out them out: <ul style="list-style-type: none"> All services are delivered by staff that is qualified to provide the service, delivered by, or under the clinical supervision of a mental health professional and in accordance with the recipient's ITP); 	
1-L.	R36V.13, subdivision 3, (a), and R36V.04, subdivision 2.	<ul style="list-style-type: none"> medically necessary rehabilitation services must be provided on a daily basis for each IRTS recipient, using individualized treatment interventions that are based on the recipients' assessed needs, and that promote recipient choice, and active involvement in the service planning and recovery process; 	
1-M.	R36 V.13, subdivision 3, (b), and R36V.04, subdivision 4.	<ul style="list-style-type: none"> Nursing services that must be provided by the license holder. The individual responsible for these services, and for development of policies and procedures and forms to assure that all requirements are met, must be a registered nurse. 	



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1-N.	R36V.13, subdivision 3, (c), and R36V.04, subdivision 8.	<ul style="list-style-type: none"> Behavioral emergency procedures; 	
1-O.	R36V.13, subdivision 3, (d) and (e), and R36V.05. NOTE: License holders providing only CSS are exempt from requirements in R36V.05, subdivision 7.	<ul style="list-style-type: none"> Recipient file documentation requirements that address data privacy, documentation standards, documentation of medically necessary rehabilitation services, daily documentation requirements, documentation of absences, other documentation requirements identified in R36V.05, subdivision 6, discharge summary requirements, and documentation of critical incidents; 	
1-P.	R36V.13, subdivision 3, (f), and R36V.06.	<ul style="list-style-type: none"> Quality assurance and improvement plan; 	
1-Q.	R36V.13, subdivision 3, (j), and R36V.10, subdivision 5.	<ul style="list-style-type: none"> The clinical supervisor must have a written plan describing how all clinical supervision requirements will be met; 	
1-R.	R36V.13, subdivision 3, (k), and R36V.11, and 256B.0622, subdivision 3.	<ul style="list-style-type: none"> Admission and discharge requirements. 	
1-S.	R36V.13, subdivision 3, (l), and R36V.12, subdivision 1. NOTE: Programs providing only CSS are not required to have a recipient council as required by R36V.12, subdivision 1 (b).	<ul style="list-style-type: none"> Written statement of recipients' rights and responsibilities, and procedure for meeting recipients' orientation requirements. 	
1-T.	R36V.13, subdivision 3, (m); and R36V.14, subdivision 6.	<ul style="list-style-type: none"> If the license holder offers services to individuals who are not recipient of IRTS at the IRTS location, the license holder must submit a plan to the department's licensing division describing how and when the services will be provided. See IRTS Frequently Asked Questions, item #10 for plan requirements. 	
1-U.	MN Statutes, section 245A.65, subdivision 2, and section 626.557, subdivision 14 (a).	A written program abuse prevention plan.	
1-V.	MN Statutes, section 245A.65, subdivision 1, section 626.557, subdivision 4, and section 626.5572, subdivision 21	Written policies and procedures for internal and external reporting of maltreatment of vulnerable adults. NOTE: Applicants are encouraged to use this sample Maltreatment of Vulnerable Adults Reporting Policy .	



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1-W.	MN 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: Applicants are encouraged to use this sample Maltreatment of Minors Mandated reporting policy .	
1-X.	MN Statutes, section 245A.04, subdivision 1, (d).	Grievance Procedure.	
1-Y.	R36V.13, subdivision 2, and R36V.07, subdivision 6.	The policy and procedure manual must contain a current organizational chart.	
Personnel Policies and Staffing Requirements – All IRTS Programs			
1-Z.	R36V.13, subdivision 3, (g), and R36V.07, subdivision 2.	Policies and procedures to address staff management requirements, including: A process to conduct work performance evaluations that includes a written annual review;	
1-AA.	R36V.13, subdivision 3, (g), and R36V.07, subdivision 3.	Conditions of employment;	
1-BB.	R36V.13, subdivision 3, (g), and R36V.07, subdivision 4.	Policy regarding good faith communication.	
1-CC.	R36V.07, subdivision 1.	Job description for each position.	
1-DD.	MN Statutes, section 245A.04, subdivision 1, (c).	Drug and Alcohol Policy;	
1-EE.	R36V.07, subdivision 7.	Plan for utilization of volunteers (if applicable);	
1-FF.	R36V.13, subdivision 3, (h), and R36V.08, subdivisions 1 through 4, and R36V.04, subdivision 4.	Staff orientation and training plan to ensure that all training requirements, including nursing services, are met for all staff;	
1-GG.	R36V.13, subdivision 3 (i), and R36V.09, subdivision 1.	Plan to ensure that staffing levels and ratios are met;	
1-HH.	R36V.13, subdivision 3, (i), and R36V.09, subdivision 2.	Plan to assure that staff are qualified and competent to deliver and document the services they provide.	
1-II.	R36V.09, subdivision 2, (a) (1) and R36V.13, subdivision 3, (i).	Submit documentation of qualifications for all key staff positions including: <ul style="list-style-type: none"> the clinical supervisor is a mental health professional who does not require supervision. 	
1-JJ.	R36V.09, subdivision 2, (a), (2) and R36V.13, subdivision 3, (i).	<ul style="list-style-type: none"> the registered nurse responsible to carry out the requirements in section R36V.04, subdivision 4, is a mental health practitioner and is at the program location a minimum of 8 hours per week; 	



1-KK.	R36V.09, subdivision 2, (a), (3) and R36V.13, subdivision 3, (i).	<ul style="list-style-type: none"> the treatment director is either a mental health professional or a mental health practitioner who will receive the clinical supervision required by R36V.09, subdivision 2, (a) (3). 	
1-LL.	R36V.09, subdivision 3.	When applicable, plan for dividing staff time between two locations.	
FORMS – all programs			
1-MM.	R36V.10, subdivision 4, (a).	Documentation of weekly team meetings, including the names of staff who attend.	
1-NN.	R36V.10, subdivision 4, (b).	Documentation of weekly ancillary meeting, including names of staff who attend, for any staff not attending weekly team meeting,	
1-OO.	R36V.08, subdivision 1, (d).	Schedule of training opportunities for a 12 month period that is updated at least annually.	
1-PP.	R36V.05, subdivision 8.	Critical incidents to be submitted on the required Critical Incident Reporting Form .	
1-QQ.	R36V.04, subdivision 3, (f).	The LOCUS recording form approved and provided by DHS.	

Checklist Section II

Applicants for DHS R36V licensure who will provide Crisis Stabilization Services (CSS).

Will the license holder provide crisis stabilization services in addition to intensive residential treatment services?

- Yes
- No

If yes, the applicant must meet the additional requirements of R36V.15, subdivisions 1 to 8, and apply to the department to be certified to provide these services.

Will only crisis stabilization services be provided?

- Yes
- No

If only CSS services will be provided, the applicant is exempt from the following requirements in sections R36V.01 through R36V.14:

- Section R36V.04, subdivision 3, paragraphs (b), and (d) through (j), and subdivisions 5, 6, and 7; and
- Section R36V.05, subdivision 7.



Certification to provide Crisis Stabilization Services Additional Policies, Procedures and other documentation			
Item	Statute or Rule Requirement	Subject	Document Identifier
Service Description			
2-A.	R36V.04, subdivision 3, (a), R36V.15, subdivision 3, (a) to (f), and R36V.13, subdivision 2.	In addition to the assessment of immediate needs, the service description must include the license holder's plan to provide the additional assessments and services required for crisis stabilization services, and to collaborate with other service providers as needed to coordinate services for the recipient.	
2-B.	R36V.15, subdivision 2, and R36V.13, subdivision, (k).	Additional admission criteria that includes the requirements in this subdivision and the eligibility requirements in 256B.0624, subdivision 3 .	
Policies, Procedures, and Plans			
2-C.	R36V.15, subdivision 7, and R36V.13, subdivision 3, (k).	In addition to the discharge summary requirements in R36V.15, subdivision 4, (i) , the license holder must have an emergency discharge policy to follow if the license holder cannot meet the recipient's health and safety needs, and the license holder must arrange to transfer the recipient to a provider or setting that has the capacity to meet the recipient's needs.	
2-D.	R36V.05, subdivision 15, subpart 4, (a) through (i).	A description of the additional client file documentation required by CSS.	
2-E.	R36V.15, subdivision 8 (a) and (b); and R36V.13, subdivision 3, (i).	Staffing qualifications and requirements for CSS in addition to the requirements in R36V.09.	

Checklist Section III

Applicants for DHS licensure who will provide Eating Disorder Treatment Programs (EDTP)

Will the license holder provide Eating Disorder Treatment Program Services?

- Yes
- No

Prior to providing EDTP services, the license holder must submit documents to verify compliance with the additional requirements of R36V.16, subd. 1 to 5, and apply to the department to be certified to provide these services. Unless the license holder is otherwise exempt, the requirements of this section are in addition to the requirements of sections R36V.01 through R36V.14.



Certification to provide Eating Disorder Treatment (EDTP) Additional Policies, Procedures, and other Documentation			
Item	Statute or Rule Requirement	Subject	Document Identifier
Service Description			
3-A.	R36V.13, subdivision 2, and R36V.16, subdivision 4, (a).	License holders who are certified as an EDTP must also include in their program description each treatment service component that is required to be certified as an EDTP, including: <ul style="list-style-type: none"> • Nutrition care services provided by a nutrition care service provider; 	
3-B.	R36V.13, subdivision 2, and R36V.16, subdivision 4, (b).	<ul style="list-style-type: none"> • Oversight of medical services provided by or under the direction of a licensed independent practitioner (LIP); 	
3-C.	R36V.16, subdivision 4, (c).	<ul style="list-style-type: none"> • Plan to ensure the that physical and occupational therapy, dental care, physician services, and laboratory services are available as needed to address the medical and health care needs of recipients; and 	
3-D.	R36V.16, subdivision 4, (d).	<ul style="list-style-type: none"> • Description of policy ensuring that LIP and nutrition care provider must be members of the treatment team and in addition to the treatment team members required by section R36V.09, but shall not provide mental health rehabilitation services unless also qualified as a mental health professional, mental health practitioner, or mental health rehabilitation worker. 	
Additional Policies, procedures, and plans - EDTP			
3-E.	R36V.13, subdivision 2, (k), and R36V.16, subdivision 2.	Admission policy must include the admission criteria required to be eligible for admission to an EDTP.	
3-F.	R36V.13, subdivision 2, (k), and R36V.16, subdivision 3.	Discharge policy must describe the criteria that requires when a recipient must be discharged.	
3-G.	R36V.16, subdivision 5.	Personnel policies that require documentation that all staff have knowledge or competency in: <ul style="list-style-type: none"> • Characteristics and treatment of the special needs of recipients served by the program, and • First aid and CPR training. 	



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Additional Staff Qualifications and Staffing Requirements - EDTP

3-H.	R36V.16, subdivision 4, (a), and R36V.13, subdivision 2.	Submit documentation of qualifications for the following required staff members: <ul style="list-style-type: none">• licensed independent practitioner (LIP); and• nutrition care service provider .	
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