



Minnesota Department of **Human Services**

DATE: November 1, 2015

TO: **MENTAL HEALTH CENTERS AND CLINICS (DHS Rule 29)**

RE: Licensing Updates and Renewal Information for Licenses Effective January 1, 2016

A. NEW AND UPDATED INFORMATION

- 1. 2015 Legislation affecting Mental Health Centers and Clinics.** The 2015 Minnesota Legislature passed amendments affecting Department of Human Services (DHS) license holders. A summary of those amendments is available in a separate legislative summary memo, [Select Highlights of 2015 Legislation](#). As a license holder, it is your responsibility to read the summary and to take the action necessary to comply with any new requirements.

The updated 2015 statutes are now available online through the [Office of the Revisor of Statutes](#) website.

- 2. Minnesota Adult Abuse Reporting Center.** Minnesota has a new centralized system for reporting suspected maltreatment of vulnerable adults. On July 1, 2015, the [Minnesota Adult Abuse Reporting Center](#) (MAARC) was established. MAARC provides a web-based reporting system and a call center available 24 hours a day, seven days a week for mandated reporters. Mandated reporters are professionals or professional's delegate identified by law ([Minnesota Statutes, section 626.5572, subdivision 16](#)) who **MUST** make a report if they have reason to believe that the abuse, neglect or financial exploitation of a vulnerable adult has occurred. Mandated reporters can use the Minnesota Adult Abuse Reporting Center's web based report at [Minnesota Adult Abuse Reporting Center](#), or make a phone report by calling the statewide toll-free number at 844-880-1574.
- 3. Positive Supports Rule.** The Positive Supports Rule (PSR) is a new Minnesota rule that requires DHS license holders to use person-centered principles and positive support strategies for persons with developmental disabilities or related conditions. The rule applies to all DHS licensed programs who serve a person with a developmental disability or related condition. Information about the positive supports rule is currently available on the [DHS website](#).

The Department is working to develop a frequently asked question (FAQ) document to provide more direction and address specific questions submitted by license holders. This information will be posted to the DHS website and emailed to your designated Authorized Agent. In addition, questions about the Positive Supports Rule can be emailed to the DHS-Disability Services Division at positivesupports@state.mn.us.

- 4. NETStudy 2.0, the new background study system.** The Background Study Division continues to move forward with development and implementation of NETStudy 2.0. This is the new portal to submit background study requests to DHS that includes use of the

background study subject's fingerprints for the criminal record search and use a photograph for identity verification. Currently, there are over [50 DHS authorized fingerprint and photo service locations](#) operating across the state. After the background study subject is fingerprinted and photographed, background study determinations in NETStudy 2.0 are expected to be completed within a few hours for over 90% of requests, some determinations will be provided within an hour or two. When the law requires additional information or review, the background study may take more time. In these cases, the program is informed of the subject's background study status and whether the person must be supervised. In the new system, providers receive status updates and background study determinations electronically eliminating the need to maintain paper files for licensing reviews.

DHS began pilot testing NETStudy 2.0 in June of 2014 and a small group of providers, representing multiple license types, have fully transitioned to the new system. The Background Study Division is continuing to work on additional system functionality and will extend pilot testing with counties and other providers over the coming months. Implementation to larger groups of providers will be based on the completion of system refinements and the results of testing. In all cases, entities will be contacted at least four weeks in advance of being transitioned to the new system. During this time, provider user accounts will be established through "on boarding" and training will be available. More information is available on the [Background Study web page](#) under the [NETStudy 2.0 / Background Study Changes](#) feature. [FAQs](#) are also posted as is a link to [subscribe to an email list](#) for updates about NETStudy 2.0.

B. GENERAL INFORMATION, UPDATES, AND RESOURCES

- 1. Office of Inspector General.** There are three divisions in the Office of the Inspector General: the Licensing Division - Director, Laura Plummer Zrust, the Financial Fraud and Abuse Investigations Division - Director Vicki Kunerth, and the Background Studies Division - Director, Kristin Johnson.
- 2. The Licensing Division's telephone numbers.** Please ensure that your program's phone list and any applicable policies and procedures include current DHS telephone numbers:
 - Licensing Division – (651) 431-6500
 - Licensing Division's Main Fax – (651) 431-7673
 - MH/CD Licensing Unit Email- dhs.mhcdlicensing@state.mn.us
 - Maltreatment Intake – (651) 431-6600
 - Maltreatment Fax – (651) 431-7601
- 3. Online information.** The [Licensing Division public website](#) is your primary source of information on licensing standards and requirements. As a Rule 29 certification holder, it is your responsibility to frequently check for updates, changes, and additions to this information. Below are highlights of the available online information.

- 4. Licensing Lookup:** Public searches for DHS licensed and certified programs can be done using the DHS [Licensing Information Lookup](#) online search tool or by reviewing the online DHS [Licensed program list](#).

Licensing actions and decisions issued since July 1, 2010 by the Division of Licensing to DHS licensed and certified programs are posted online through [DHS Licensing Information Lookup](#). The licensing actions and decisions that are available include:

- Correction orders;
- Orders for conditional license;
- Sanctions which include fines, suspensions, and revocations;
- Commissioner's response to license holders' requests for reconsideration of correction orders and orders of conditional licenses;
- Commissioner's final orders resulting from contested case hearings; and
- Statement of final agency decision.

Documents are posted in accordance with the requirements of the Minnesota Government Data Practices Act, Minnesota Statutes, section 13.46.

New licensing documents are posted daily on DHS Licensing Information Lookup. You may [sign up to receive daily emails](#) with links to newly published documents.

- 5. Mental health center and clinic certification (Rule 29) laws and rules.** Mental health center and clinic certification laws and rules are available to you online through the [Minnesota Office of the Revisor of Statutes](#), and include the following:
- [Minnesota Rules, parts 9520.0750 to 9520.0870 \(DHS Rule 29\)](#)
 - [Minnesota Statutes, Chapter 626.557 \(Reporting of Maltreatment of Vulnerable Adults\)](#)
 - [Minnesota Statutes, Chapter 626.556 \(Reporting of Maltreatment of Minors Act\)](#)
 - [Minnesota Statutes, section 245.461 through 245.4863 \(Adult Mental Health Act\)](#)
 - [Minnesota Statutes, Section 245.487 through 245.4887 \(Children's Mental Health Act\)](#)
 - [Minnesota Rules, Chapter 9544 \(Positive Support Rule\)](#)
- 6. Licensing forms.** License and certification holders have access to various [licensing forms](#) developed by DHS, and intended for use by programs, including variance request forms. All forms have been updated to meet current requirements. Many forms are designed for general use by all licensed or certified programs.

C. MALTREATMENT, AND HEALTH AND SAFETY INFORMATION

Information is available online to help licensed programs meet licensing requirements for ensuring the health and safety of persons served by the program and for reporting incidents and maltreatment.

1. **Maltreatment information.** [Sample maltreatment reporting policies and procedures](#) and general information on [maltreatment investigations](#) are available online from the DHS Licensing web site.
2. **Online mandated reporter training.** DHS Licensing offers online training courses for both [Vulnerable Adults Mandated Reporting](#) and [Maltreatment of Minors Mandated Reporting](#).

The Vulnerable Adults Mandated Reporting course introduces mandated reporters to:

- The Vulnerable Adults Act
- Definition of maltreatment
- Who are the mandated reporters
- The Common Entry Point (CEP)

The Maltreatment of Minors Mandated Reporter training includes:

- The Reporting of Maltreatment of Minors Act
- An overview of the Minnesota Child Protection System
- Definition of maltreatment
- Who are mandated reporters

D. REMINDERS SPECIFIC TO RULE 29 CERTIFICATION HOLDERS

1. **Case review and consultation.** The multidisciplinary staff must attend staff meetings whose purpose is case review and consultation, at least twice monthly, for a minimum of four hours per month, or a minimum of two hours per month if the staff person provides clinical services in the treatment of mental illness less than 15 hours per month.

The psychiatrist is not exempt from this requirement, but it is not required by the rule that a psychiatrist be in attendance at all case review and consultation meetings.

2. **Peer review.** Peer reviews must be conducted annually, ensuring a review of randomly selected samples of five percent or six cases, whichever is less, of the annual case load of each mental health professional by other mental health professional staff.

Peer review findings shall be discussed with staff involved in the case and followed up by any necessary corrective action. Peer review records shall be maintained at the center.

3. **Staff supervision.** There are two areas of supervision that must be addressed.
 - a. The center must have a clinical evaluation and supervision procedure that:
 - 1) Identifies each multidisciplinary staff person's area of competence (including mental health professionals); and

- 2) Documents that each multidisciplinary staff person (including mental health professionals) receives the guidance and support needed to provide clinical services for the treatment of mental illness in the areas they are permitted to practice.
- b. A mental health professional shall be responsible for the supervision of the mental health practitioner, including:
 - 1) Approval of the individual treatment plan and bi-monthly (every 2 months) case review of every client receiving clinical services from the practitioner, and
 - 2) A minimum of one hour of face-to-face, client-specific supervisory contact for each 40 hours of clinical services in the treatment of mental illness provided by the practitioner.
4. **Satellites.** A “center” is a facility that provides clinical services in the treatment of mental illness. If there is more than one center location, the center shall designate one as the main office and all secondary locations as satellites offices. Unless varied, each satellite office must meet the requirements in Minnesota Rules, part [9520.0780, subpart 1, items A through G](#).
5. **DSM-5.** As of October 1, 2015, the American Psychiatric Association’s *Diagnostic and Statistical Manual of Mental Health Disorders* (DSM), 5th Edition, will be the required classification reference tool for clinicians and licensed mental health professionals. For more information, please click on the following link: [ICD-10 and DSM-5 Frequently Asked Questions](#).
6. **Noncompliance.** Changes in center organization, staffing, treatment, or quality assurance procedures that affect the ability of the center to comply with the minimum standards of Minnesota Statutes, section 245.69, subdivision 2, and parts 9520.0760 to 9520.0870 shall be reported in writing by the center to the commissioner within 15 days of occurrence. Please reference Minnesota Rules, part [9520.0860, subpart 4](#) for more information.

E. LICENSE HOLDER REQUIREMENTS FOR LICENSE RENEWAL

1. **License fee payment for your 2016 license.** All license holders must pay for their 2016 license online. Your Authorized Agent will receive an email with instructions and a direct link to pay for your 2016 license fee(s). License fee payments must be made within 30 days from receipt of the email to allow enough time for your 2016 license(s) to be issued by January 1, 2016.
2. **Failure to pay 2016 license fee.** Your current license expires December 31, 2015. If you fail to pay the 2016 license fee, you will need to apply for a new license. You cannot operate under an expired license while your new application is being processed. In addition, you will lose access to NETStudy to submit online background study requests.
3. **Unpaid fines.** If you have an outstanding debt related to a fine or settlement agreement for which payment is delinquent, your 2016 license cannot be issued until the payment is received.

4. **Programs closing on or before December 31, 2015.** If you plan on closing your program on or before December 31, 2015, please notify your licensor immediately so we can cancel the bill for your 2016 license.
5. **Your onsite licensing review.** The annual renewal of your license is separate from the onsite licensing review conducted by your DHS licensor. You will receive notice from your licensor about the license review prior to your next scheduled review.
6. **Change of license information.** If you wish to change any information on your license, please contact your licensor immediately so those changes can be approved before we issue your 2016 license. If you hold multiple licenses and want the change to apply to each license you must complete a separate Change of License Information form for each license. If you have not identified an Authorized Agent or your Authorized Agent information is not current, it will delay the email to your Authorized Agent and the renewal of your 2016 license.
7. **Questions regarding the license renewal process.** If you have any questions regarding the license renewal process, please contact the DHS licensor assigned to your program, or call the main Licensing Division phone number at 651-431-6500 and select option 4 to speak with a licensor, and then select option 4 to speak with a licensor of mental health or chemical dependency services.