

## **POLICIES AND PROCEDURES REQUIRED FOR CHILDREN'S RESIDENTIAL FACILITIES**

This document and checklist is a guide to assist you with the development of policies and procedures required to operate a Children's Residential Facility (CRF). It is expected that you 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 program. You will be held accountable these policies and procedures.

Each required policy must be complete and compliant with all requirements listed and must be submitted to the Department of Human Services (DHS) - Division of Licensing before a license application will be processed.

The checklist is divided into two sections.

**Section 1:** All applicants who will provide children's residential facility services must submit documents to verify that each statute or rule requirement listed in Section I has been met.

**Section 2:** In addition to the requirements in Section 1, applicants who will offer any of the following services must also submit documents to meet the statute and rule requirements listed in Section 2 of the checklist that apply to the services that will be provided.

A. Programs that provide group residential services must comply with the additional requirements in Minnesota Rules, parts 2960.0130-2960.0220.

*NOTE: Programs that provide mental health and/or chemical dependency treatment services must also provide group residential services and comply with the requirements mentioned above.*

B. Programs that provide chemical dependency treatment services must comply with the additional requirements in Minnesota Rules, parts 2960.0430-2960.0500.

C. Programs that provide transitional care services must comply with the additional requirements in Minnesota Rules, part 2960.0500.

*NOTE: Programs that provide transitional care services are exempt from several rule parts required for all applicants identified Section I: 2960.0070, subparts 4 and 5; 2960.0080, subparts 3, 4, items C to E, 5, 6, 8 to 13, and 15; 2960.0090, subpart 3; 2960.0120, subpart 2, items A, C, and G.*

D. Programs that provide shelter care services must comply with the additional requirements in Minnesota Rules, parts 2960.0510-2960.0530.

E. Programs that provide mental health treatment services must comply with the additional requirements in Minnesota Rules, parts 2960.0580-2960.0700.

F. Programs that provide mental health treatment services in a locked setting must comply with the additional requirements in Minnesota Rules, part 2960.0700.

G. Programs that utilize restrictive procedures must comply with the additional requirements in Minnesota Rules, parts 2960.0710.

*NOTE: Only programs certified to provide mental health treatment services and/or shelter care services can utilize restrictive procedures.*

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. Do not leave rows in the Document Identifier column blank. If the requirement is not applicable, 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.

## Section 1

Item	Statute or Rule Requirement	Subject	Document Identifier
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### ALL programs

#### Required policies and procedures

1-A	Minnesota Rules, part 2960.0040, items A-F	Statement of Intended Use	
1-B	Minnesota Rules, part 2960.0050, subparts 1 and 2	Policy and procedures for basic rights and services	
1-C	Minnesota Rules, part 2960.0060, subparts 1 and 2	Outcome Measures	
1-D	Minnesota Rules, part 2960.0060, subpart 5	Independent program audit	
1-E	Minnesota Rules, part 2960.0060, subpart 6	Procedure for community involvement	
1-F	Minnesota Rules, part 2960.0070, subpart 2, items A through D	Admission Criteria	
1-G	Minnesota Rules, part 2960.0070, subpart 4, items A through C	Inventory and handling of resident property policy	
1-H	Minnesota Rules, part 2960.0070, subpart 5	Resident Screenings	
1-I	Minnesota Rules, part 2960.0080, subpart 3	Cooperation in treatment and basic service delivery	
1-J	Minnesota Rules, part 2960.0080, subpart 4	Facility rules and due process system	
1-K	Minnesota Rules, part 2960.0080, subpart 5	Discipline policy	
1-L	Minnesota Rules, part 2960.0080, subpart 6	Schedule of daily activities	
1-M	Minnesota Rules, part 2960.0080, subpart 7	Culturally appropriate care policy and procedures	
1-N	Minnesota Rules, part 2960.0080, subpart 8	Description of spirituality services and counseling	
1-O	Minnesota Rules, part 2960.0080, subpart 9	Description of educational services	
1-P	Minnesota Rules, part 2960.0080, subpart 10	Plan for exercise and recreation services	
1-Q	Minnesota Rules, part 2960.0080, subpart 11	Description of health and hygiene services	
1-R	Minnesota Rules, part 2960.0080, subpart 12	Description of food and nutrition services	

1-S	Minnesota Rules, part 2960.0080, subpart 13	Description for resident clothing, bedding and laundering services	
1-T	Minnesota Rules, part 2960.0080, subpart 14	Emergency plan	
1-U	Minnesota Rules, part 2960.0080, subpart 15	Communication and visitation policy	
1-V	Minnesota Rules, part 2960.0080, subpart 17	Procedures for critical incident and maltreatment reports	
1-W	Minnesota Rules, part 2960.0080, subpart 18	Resident and family grievance procedures	
1-X	Minnesota Rules, part 2960.0080, subpart 19	Family involvement procedures	
1-Y	Minnesota Rules, part 2960.0090, subpart 2	No eject policy	
1-Z	Minnesota Rules, part 2960.0090, subpart 3	Procedures for return of resident's property	
1-AA	Minnesota Rules, part 2960.0100, subpart 2	Recruitment of culturally balanced staff	
1-BB	Minnesota Rules, part 2960.0100, subpart 3	Orientation and in-service training plan	
1-CC	Minnesota Rules, part 2960.0120, subpart 2, items A to I	Physical plant standards regarding applicable fire, health, zoning and building codes requirements	
1-DD	Minnesota Statutes, section 245A.04, subdivision 13	Handling of resident funds	
1-EE	Minnesota Statutes, section 245A.65, subdivisions 1, and 626.557, subdivision 4)	Vulnerable Adult Reporting Policy, if serving adults. NOTE: It is recommended that applicants use this sample Maltreatment of Vulnerable Adults Reporting Policy	
1-FF	Minnesota Statutes, section 245A.65, subdivision 2, and section 626.557, subdivision 14 (a)	Program Abuse Prevention Plan, if serving adults	
1-GG	Minnesota Statutes, sections 626.556, and 245A.66.	Maltreatment of minors reporting policy. NOTE: It is recommended that applicants use this sample Maltreatment of Minors reporting policy.	

1-HH	Minnesota Statutes, section 245A.04, subdivision 15a	Reporting the death of an individual served by the program	
1-II	Minnesota Statutes, section 245A.04, subdivision 15	Plan for transfer of clients and records upon closure	
1-JJ	Minnesota Rules, part 2960.0100, subpart 1	Staffing Plan	
1-KK	Minnesota Rules, part 2960.0100, subpart 6	License holder and staff qualifications	
1-LL	Minnesota Rules, part 2960.0080, subpart 18	Grievance Form	
1-MM	Minnesota Rules, part 2960.0070, subpart 3	Admission Documentation	
1-NN	Minnesota Rules, part 2960.0070, subpart 5	Admission Screenings	
1-OO	Minnesota Rules, part 2960.0070, subpart 4	Inventory and handling of resident property	
1-PP	Minnesota Rules, part 2960.0080, subpart 11, item D	Medication Verification	
1-QQ	Minnesota Rules, part 2960.0090	No eject documentation	
1-SS	Minnesota Rules, 2960.0100, subpart 3	Orientation	
1-TT	Minnesota Rules, 2960.0100, subpart 3	Annual Training	
1-UU	Minnesota Statute, section 245A.65, subd. 2, paragraph (b), and 626.557, subdivision 14, paragraph (b)	Individual Abuse Prevention Plan, if serving adults	

## Section 2

### GROUP RESIDENTIAL SERVICES

#### Required policies and procedures

2-A	Minnesota Rules, part 2960.0140, subpart 1	Satisfaction Survey	
2-B	Minnesota Rules, part 2960.0160, subparts 1 through	Admission	
2-C	Minnesota Rules, part 2960.0170, subparts 1 and 2	Classification and separation of residents	
2-D	Minnesota Rules, part 2960.0180, subpart 2	Program components	
2-E	Minnesota Rules, part 2960.0180, subpart 2	Treatment plans	
2-F	Minnesota Rules, part 2960.0180, subpart 3	Record retention schedule	

2-G	Minnesota Rules, part 2960.0200, item B	Fire prevention protocols	
2-H	Minnesota Rules, part 2960.0200, item C	Maintenance plan	
2-I	Minnesota Rules, part 2960.0200, item D	Smoking policy	
2-J	Minnesota Rules, part 2960.0210, subpart 3	Maintenance of safety reports	
2-K	Minnesota Rules, part 2960.0150, subparts 1 through 3	Personnel Policies	
2-L	Minnesota Rules, part 2960.0150, subpart 4	Annual training plan	

#### Required forms

2-M	Minnesota Rules, part 2960.0140, subpart 1	Satisfaction Survey	
2-N	Minnesota Rules, part 2960.0160, subparts 2	Ability to meet resident needs	
2-O	Minnesota Rules, part 2960.0180, subpart 2	Treatment plan	
2-P	Minnesota Rules, part 2960.0190, subpart 1	Transition Services Plan	
2-Q	Minnesota Rules, part 2960.0190, subpart 2	Treatment plan compliance	
2-R	Minnesota Rules, part 2960.0.150, subpart 4	Orientation	
2-S	Minnesota Rules, part 2960.0.150, subpart 4	Annual Training Documentation	

### CHEMICAL DEPENDENCY TREATMENT SERVICES

#### Required policies and procedures

3A	Minnesota Rules, part 2960.0450, subparts 1 through 3	Description of required and additional treatment services to be provided	
3-B	Minnesota Rules, part 2960.0480, subparts 1 through	Admission and discharge policies and procedures	
3-C	Minnesota Rules, part 2960.0470, subpart 1	Identification and qualifications of the Program Director	
3-D	Minnesota Rules, part 2960.0470, subpart 2	Identification and qualifications of the alcohol and drug counselor supervisor	

**Required forms**

3-E	Minnesota Rules, part 2960.0485	Initial services plan.	
3-F	Minnesota Rules, part 2960.0490	Individual treatment plan. See DHS Individual Treatment Plan example	
3-G	Minnesota Rules, part 2960.0490	Progress notes and treatment plans reviews. See DHS Progress note and treatment plan example	

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**TRANSITIONAL CARE SERVICES****Required policies and procedures**

4-A	Minnesota Rules, part 2960.0500, subpart 5	Program description	
4-B	Minnesota Rules, part 2960.0500, subpart 6	Statement of program outcomes	
4-C	Minnesota Rules, part 2960.0500, subpart 9	System for community involvement	
4-D	Minnesota Rules, part 2960.0500, subpart 10, items A through C	Admission policy	
4-E	Minnesota Rules, part 2960.0500, subpart 12, items A through C	Supervision plan	
4-F	Minnesota Rules, part 2960.0500, subpart 13, items A through E	Description of program services to be provided	

**For Custodial Minor Parent Programs**

4-G	Minnesota Rules, part 2960.0500, subpart 14, items A and B	Description of services provided directly and/or how services provided from another source will be accessible to the clients and their child/ren	
4-H	Minnesota Statute, section 245A.1435, paragraph (b)	Procedure for following the reduction of risk of sudden unexpected infant death	
4-I	Minnesota Statute, section 245A.146, subdivision 2	Procedure for following and documenting crib safety requirements	

**SHELTER CARE SERVICES****Required policies and procedures**

5-A	Minnesota Rules, part 2960.0520, subpart 2, items A through C	Description of additional services for shelter residents	
5-B	Minnesota Rules, part 2960.0530, subpart 1	Discharge policy	
5-C	Minnesota Rules, part 2960.0530, subpart 2	Procedure for 30-day review	
5-D	Minnesota Rules, part 2960.0520, subpart 2, item B	Identification of the qualified professional who will complete the health screening	
5-E	Minnesota Rules, part 2960.0520, subpart 4, items A through C	Shelter staffing pattern and minimum staff to resident ratio	

**Required forms**

5-F	Minnesota Rules, part 2960.0520, part 2, item A	Admission assessments	
5-G	Minnesota Rules, part 2960.0520, subpart 3, items A through C	Plan for Immediate Needs	
5-H	Minnesota Rules, part 2960.0520, subpart 2, item B	Health Screening	

**MENTAL HEALTH TREATMENT SERVICES****Required policies and procedures**

6-A	Minnesota Rules, part 2960.0590, items A through I	Description of program and services to be provided	
6-B	Minnesota Rules, part 2960.0670, subparts 1 and 2, items A through G	Admission procedure	
6-C	Minnesota Statutes, sections 245.4871, subdivision 21, and 245.4876, subdivision 3, and Minnesota Rules, part 2960.0600, items A and B	Plan for the development and review of individual treatment plans	
6-D	Minnesota Statutes, section 245.4882, subdivisions 3 and 4, and Minnesota Rules, part 2960.0610	Continued stay, discharge and discharge planning policies	



6-E	Minnesota Rules, part 2960.0620, subpart 1 through 3	Procedure for the use of psychotropic medications, monitoring for side effects, and the training required for unlicensed staff to	
6-F	Minnesota Rules, 2960.0620, subpart 4	Procedure for psychotropic medication reviews	
6-G	Minnesota Rules, part 2960.0620, subpart 6 through 8	Informed Consent procedures	
6-H	Minnesota Rules, part 2960.0690	Staffing plan and ratios	
6-I	Minnesota Rules, part 2960.0630, subpart 1	Qualifications of the program's Mental Health Professional, Administrator and Program Director	
6-J	Minnesota Rules, part 2960.0650	Orientation for staff who do and do not provide program services	
6-K	Minnesota Rules, part 2960.0630	Plan for Clinical Supervision by a Mental Health Professional	
6-L	Minnesota Rules, part 2960.0660	Individual staff development and evaluation plan	

**Required forms**

6-M	Minnesota Rules, part 2960.0600	Individual Treatment Plan	
6-N	Minnesota Rules, part 2960.0620, subpart 6 through 8	Informed Consent	
6-O	Minnesota Rules, part 2960.0630	Review of program services	

**MENTAL HEALTH TREATMENT SERVICES PROVIDED IN A LOCKED SETTING**

**Required policies and procedures**

7-A	Minnesota Rules, part 2960.0600, item C	Procedures for admission to a locked setting	
7-B	Minnesota Rules, part 2960.0710, subpart 3	Staffing plan and ratios	
7-C	Minnesota Rules, part 2960.0700	Plan to provide additional 8 hours of training	

**Required forms**

7-D	Minnesota Rules, part 2960.0700, subpart 1 item B	Individual Treatment Plan	
7-E	Minnesota Rules, part 2960.0700, subpart 1 item B	Treatment plan review	

**RESTRICTIVE PROCEDURES****Required policies**

8-A	Minnesota Rules, part 2960.0710, subpart 2	Restrictive Procedures Plan	
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**Required forms**

8-B	Minnesota Rules, part 2960.0710	Documentation of physical escort, physical restraint and/or seclusion	
8-C	Minnesota Rules, part 2960.0710, subpart 10	Administrative review	
8-D	Minnesota Rules, part 2960.0710, subpart 11	Review of the pattern of the use of restrictive procedures	