



HURON BEHAVIORAL HEALTH OPERATIONAL POLICY

Policy #: **ISP.1.02**
Issue Date: **08/08/01**
Rev. Date: **11/07/17**
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Title: **Assessments Policy**

Prepared By: **Clinical Director**

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Purpose:

To define the guidelines and process for clinical assessments.

Scope:

This policy applies to all employees (including full-time employees, part-time employees, contractual providers, volunteers, students, and/or interns) of Huron Behavioral Health (HBH) and all consumers served.

Information:

Clinical staff conducting clinical assessments must be qualified by education, licensure, experience, and skill. Typically master's level clinicians with a degree in a human services field (e.g. MSW, MA, etc.) and who are also licensed in the state of Michigan (e.g. LMSW, LLPC, etc.) can conduct assessments. All clinical assessments are reviewed by the clinical director.

Policy:

A. Initial Assessments:

1. The HBH Intake/Admissions Unit Manager receives the initial request from the contracted access center for a new consumer and completes the required paperwork (see "[Customer Service - Potential Consumer Procedure](#)" [ISP.2.05](#)). Once scheduled, the Intake/Admissions Unit Manager will complete a fee assessment and any other required paperwork.
2. The Intake Assessment Specialist will then complete an initial independent comprehensive clinical assessment. This shall be done in a culturally sensitive manner in accordance with MDHHS (Michigan Department of Health and Human Services) standards within fourteen (14) calendar days of referral using the "Clinical Assessment Form" (in the Electronic Medical Record /EMR). HBH strives to achieve a "same day access" philosophy/approach whenever possible by offering to have the individual see the Intake Assessment Specialist the same day they seek services or within the next few days. The clinical assessment gathers information to determine level of care and appropriate services and assesses for mental health disorders, substance use disorders, and co-occurring disorders.

Note: For individuals experiencing a crisis/emergent situation, a pre-admission screening/assessment (in EMR) is completed within three (3) hours (see "[Emergency Interventions Procedure](#)" [ER.1.01](#)).

3. The intake assessment shall be individualized, integrated, strengths-based, trauma-informed, family-focused, and culturally sensitive to the consumer/family and ensure equitable treatment and the timely initiation of services. Each person's cultural background shall be recognized and valued including children that fall within the population covered by the Indian Child Welfare Act and/or any tribal-state agreements (see also "[Services to American Indian Child Procedure](#)" [SD.2.04](#)).
4. Upon completion of the assessment, the individual will be informed about:
 - Eligibility to receive the service
 - Services available
 - Information relative to the nature of their illness or diagnosis as appropriate
 - Delays in services and the reasons for the delay (see also "[Waiting List Policy](#)" ([SD.1.17](#)))
 - Other services, programs, or organizations more appropriate to address their needs
4. The findings from assessments including any unmet medical needs serve as the basis for treatment planning and provide for future internal and external referral. The findings of the assessment must build upon the identified strengths of the consumer. Assessments follow the guidelines below:

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- The individual (or their legal guardian) must be the primary source of information. Collateral information may be gathered as appropriate and necessary.
 - Only the information needed to determine the medical necessity of the treatment/services is sought during the assessment process
 - Only trained and qualified staff (in accordance with state and national standards) will conduct assessments or administer tests and inventories used during the assessment process
 - Assessments assist with determining level of care and what services are medically necessary for the individual
5. The Intake Assessment Specialist will also complete a LOCUS (Level of Care Utilization System) tool for seriously and persistently mental ill (SPMI) adults, or a CAFAS (Child and Adolescent Functional Assessment Scale) or PECFAS (Preschool & Early Childhood Functional Assessment Scale), or a DECA (Devereux Early Childhood Assessment) for children, as appropriate. The state-required data reporting requirements for DD Proxy Measures and Health Conditions and BH-TEDS (Behavioral Health – Treatment Episode Data Set) are also collected at this point and entered in the EMR system.
 6. Once the assessment is completed and a determination has been made, a program referral is made by the Intake Assessment Specialist. The Clinical Director reviews and makes the final approval for the transfer and it is sent to the program supervisor. In the case of children, it is staffed with the Clinical Services Manager prior to making the referral. Once the referral is completed and approved, the assigned worker has twenty-four (24) hours to make contact with consumer and schedule ongoing services. (Note – all attempts to schedule must be documented in the EMR system.)
 7. The assigned/primary worker is responsible for completing all other paperwork (Coordination of Care, Information Releases, etc.).

B. Reassessments:

1. For individuals receiving extended care, updated assessments must be completed at least annually or whenever there are significant changes in the consumer's status or their needs. Annually, the DD Proxy measures are reviewed and updated in the EMR system for all Intellectual/Developmentally Disabled (I/DD) diagnosed consumers.
2. At the third quarterly review and the time of the Person-Centered Plan (PCP) Pre-plan, the worker will request the Intake/Admissions Unit Manager or the Unit Manager to schedule an annual assessment. Once scheduled, the Intake/Admissions Unit Manager will complete a fee assessment and any other required paperwork.
11. Should another program, service, or organization be identified as more appropriate to meet the individual's needs, referrals and linkages will be made.

Definitions/Acronyms:

BH-TEDS - Behavioral Health – Treatment Episode Data Set

CAFAS – Child and Adolescent Functional Assessment Scale

COA – Council on Accreditation

DD – Developmental Disability

DECA – Devereux Early Childhood Assessment

EMR – Electronic Medical Record

HBH – Huron Behavioral Health

I/DD – Intellectual/Developmental Disability

LOCUS – Level of Care Utilization System

MDHHS – Michigan Department of Health and Human Services

PCP – Person Centered Plan

PECFAS – Preschool and Early Childhood Functional Assessment Scale

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Clinical Assessment Form (in EMR)

Pre-Admission Screening and Assessment Form (in EMR)

Records:Records of assessments are maintained in the consumer's case record in the EMR system accordance with the [HBH Record Storage and Retention Policy \(QI.1.23\)](#).**Reference(s) and/or Legal Authority**

COA standards

[ER.2.02 Emergency Services Interventions Procedure](#)[QI.1.05 Person Centered Planning \(PCP\) Policy](#)[QI.1.23 HBH Record Storage and Retention Policy](#)[QI.2.18 PCP Procedure](#)[SD.1.17 Waiting List Policy](#)[SD.2.04 Services to the American Indian Child Procedure](#)**Change History:**

Change Letter	Date of Change(s)	Changes
A	03/25/04	Reformatted an brought into new Controlled Documentation system with minimal content changes
B	08/01/07	Added 90-1002 (Initial/Intake Assessment Form) 2 places, added hyperlinks, added the "Pre-Admission Screening & Assessment Form" (100-006) 2 places, In "Policy" section – split out #1 & #2, revised wording in several areas for clarification without content changes.
C	10/01/08	Reviewed and revised to comply with COA 8 th Edition Standards and present practices – reworded 5 th bullet in #3 and added "including children that fall within...", added "assigned clinical" in #1, added hyperlinks, removed COA specific references (G8), added last sentence in "Records" section, added "EMR" in "Acronym" section, added reference to the Indian Child Welfare Act, added "including an integrated.." to #1, added parenthetical statement to 19 th bullet in #6.
D	01/29/09	Added last bullet in #5, added #2 in "Policy" section, added "and co-occurring disorders" in #1, added to 1 st sentence #4 "including any unmet medical needs"
E	02/13/13	Reviewed and revised to comply with 8 th edition COA standards – in #1 added "biopsychosocial", "in a culturally sensitive manner", added paragraph in "Information" section, added reference to QI.1.05, QI.2.18, & SD.1.17 (2 places), added "(medical necessity)" to 1 st bullet in #5, added 2 nd sentence in #9, in #6 broke out 1 st bullet into 2 bullets (from "Health and safety issues" to "Health issues" & "Safety concerns"), added 3 rd from last bullet in #5, added 3 rd bullet #10, in 20 th bullet in #6 changed "dual diagnosis" to "co-occurring", removed 4 forms from "Forms" section (20-015, 20-016, 56-001, & OBRA Level II " removed "ACT" from "Acronym" section..
F	03/08/16	Total rewrite of policy – See Controlled Documentation Manager for copies of previous versions and/or change history.
G	11/07/17	In "Policy" section added last sentence in A.5 and added last sentence in B.1, in "Acronyms" section added "BH-TEDS", "DD" & "I/DD".