# Agency Policies and Procedures Checklist

\*\*DISCLAIMER: The information contained herein are only *suggested* elements of a provider’s Policies & Procedures and are not mandated by rule or statute. Checklist is provided for informational purposes only.\*\*

You can find information and examples of how to write company policies and procedures and the difference between the two at some of the following locations:

[https://www.reference.com/business-finance/write-company-policies-procedures-369853cd5ebf38d5?aq=policy+and+procedure+example&qo=cdpArticles#](https://www.reference.com/business-finance/write-company-policies-procedures-369853cd5ebf38d5?aq=policy+and+procedure+example&qo=cdpArticles)

<https://www.bing.com/images/search?q=Policy+and+Procedure+Template&FORM=RESTAB>

**Policies**

Policies are clear statements of how your organization intends to conduct its services, actions or business. They provide a set of guiding principles to help with decision making.

**Procedures**

Procedures describe how each policy will be put into action in your organization. Each procedure should outline:

* Who will do what.
* What steps they need to take to ensure their policies are being adhered too.
* Which forms or documents to use.

**Did you include all items listed below?**

Required Policies and Procedures: A provider agency must have policies and procedures in place that include at a minimum:

Procedures for using a person-centered approach to identify individually determined goals and

Promoting choice.

* Examples of procedures could include instruction on: Detailing how the provider will ensure the person is involved in all aspects of service delivery; Designing training programs that address the person’s goals from the Support Plan; Involving the person and/or family in the development of the Implementation Plan; Plan to address varying communication style; Designing services and supports from the standpoint of the outcome that is desired by the individual and/or family; Training staff and persons served in person-centered planning; and Individualizing service delivery methods.

A detailed description of how the provider will protect health, safety and well-being of the recipients. *Items to address relating to protecting health, safety and well-being of recipients may include:*

* Examples of possible content could include references to: Environmental and personal safety related issues; Healthy-living related issues; How emergencies such as fire or disasters would be handled and How illness or injuries will be handled; Training staff on identifying and reporting incidents; Maintaining an incident log; Reporting incidents or unusual occurrences to the Area; Monitoring incidents to identify if improvements are needed.

Procedures for ensuring compliance with background screening and five-year rescreening. *Items that should be addressed in Background Screening – What are the requirements for owners and employee’s Level 2 screenings and re-screenings? The AHCA Clearinghouse must be used to obtain the DCF-APD General clearance. Background screening requirements also include: Local Law checks and a notarized Affidavit of Good Moral Character. How will the results and information be maintained and re-screenings be completed on time?*

* Examples of possible content could include references to: Initial screening requirements; 5-year re-screening requirements; Local Law, Affidavit of Good Moral Character, FDLE/FBI; Exemptions; Clearinghouse registration

Hours and days of operation and the notification process to be used if the provider is unable to provide services for a specific time and day scheduled (such as arrangements for a qualified back-up provider).

* Content should at a minimum include references to: Key contacts and how to contact; Back-up Contacts; Days and hours of operation; Notification process to be used if the provider is unable to provide services for a specific time and day scheduled; *Content could vary based on service*.

Procedures for ensuring the recipient’s medications are administered and handled safely.

* Examples of possible content could include references to: Reference to 65G-7 F.A.C.; Identifies which staff is allowed to administer or handle medications; Description of provider and staff training curriculum and the time frames when training takes place and who conducts the training for the agency; Description of how medications will be handled and stored; Description of how medication administration will be documented; How individuals are informed about the provider’s position on or responsibilities related to administering and handling medications.

A description of how the provider will ensure a smooth transition to and from another provider (if desired by the recipient or their legal representative).

* Content should at a minimum include references to: Planning activities that will be scheduled to promote a smooth transition between the current setting/provider and the new setting/provider; Expected communication between current and new provider before and after the transition; How records and other information will be shared and transferred.

The process for addressing recipient complaints and grievances regarding possible service delivery issues.

* The procedures could contain reference to: Procedures will be reviewed and signed by individual, family or guardian within 30 days of beginning services and annually thereafter; Procedures will be communicated in clear, understandable language to the individual, their family, or guardian; Responses to grievances will be provided verbally and in writing at the individual’s level of comprehension and in the language understood by the individual; Procedures include the establishment and maintenance of a log for grievances filed by individuals, families or guardians; Procedures should specify time frames for responses and grievance resolution.

Procedures for ensuring recipient confidentiality and maintaining and storing records in a secure manner.

* Examples of possible content could include references to: HIPAA Privacy Rule and Security Rule; Physical storage of/access to confidential information; Electronic storage of/access to confidential information; How staff/individuals will be trained.

Policies and Procedures which detail the methods for management and accounting of any personal funds, of any and all recipients in the care of, or receiving services from the provider.

Policies and Procedures in compliance with 65G-8.003 (Reactive Strategy Policy and Procedure)

* If the provider does not utilize crisis management procedures consistent with the requirements of the Reactive Strategies rule (65G-8, FAC) this P&P is not required
* The policy and procedure must consist of: An approved emergency procedure curriculum that addresses – Appropriate Staff training; Record Maintenance; Reporting and recording the use of any Reactive Strategy; Training in the provisions of this rule chapter; Data collection; Maintenance of reactive strategy consent information.

POLICIES AND PROCEDURES ARE REVIEWED AT THE TIME OF INITIAL APPLICATION AND/OR REQUEST FOR EXPANSION FROM SOLO TO AGENCY. YOUR APPLICATION/REQUEST WILL BE RETURNED AND CLOSED IF NOT INCLUDED. DO NOT CUT AND PASTE FROM THE HANDBOOK.