



STATE OF CONNECTICUT  
**Department of Mental Health & Addiction Services**

**Commissioner’s Policy Statement and Implementing Procedures**

<b>SUBJECT:</b>	Policy & Procedure Development, Implementation, Distribution & Revision
<b>P &amp; P NUMBER:</b>	ADM - 001
<b>APPROVED:</b>	
<b>EFFECTIVE DATE:</b>	
<b>REVISED:</b>	Replaces DMHAS Policies and Procedures Manual Policy No.: Replaces White Book Policy(ies) No.: Replaces White Book Procedure(s) No.: AC 200, D 1 dated 12/13/83
<b>REFERENCES:</b>	
<b>FORMS AND ATTACHMENTS:</b>	<ul style="list-style-type: none"> <li>▪ Organizational Sections of Manual</li> <li>▪ Section Numeric Breakdowns</li> <li>▪ Distribution List for Hard Copy Manuals</li> <li>▪ Sample Policy and Procedures Format</li> <li>▪ List of Manual Sections and Reserved Numbers</li> <li>▪ Review Tracking Sheet</li> </ul>

**POLICY:**

In order to facilitate administrative efficiency and promote uniform operations, it is the policy of the Department of Mental Health and Addiction Services to develop appropriate agency-wide administrative and operational policies and procedures, to commit them to writing in a uniform format, and to compile them in a logical and consistent manner in a manual that is available both electronically and in hard copy. Hard copy manuals, new policies and procedures, and revised policies and procedures shall be distributed and to an established distribution list. This DMHAS Commissioner’s Policies and Procedures Manual shall be accessible on the DMHAS web site at [www.dmhas.state.ct.us/policies/index.htm](http://www.dmhas.state.ct.us/policies/index.htm).

The DMHAS Policies and Procedures Manual shall address issues of Department-wide significance and does not preclude the development of more specific manuals by the Department’s individual divisions or facilities to address duties and responsibilities delegated to those facilities or divisions. Division directors and facility CEOs shall be responsible for reviewing manuals generated within their respective divisions or facilities to ensure that they are consistent with policies and procedures in the DMHAS Commissioner’s Policies and Procedures Manual. In the event of a conflict, the Commissioner’s policies and procedures

shall prevail and the conflicting documents shall be revised to conform to the Commissioner's policies and procedures.

Policies and procedures contained within the department's manual known as the "White Book" shall remain in effect until rescinded or included in the new DMHAS Policies and Procedures Manual.

For the purposes of the DMHAS Policy and Procedure Manual:

"*Policy*" means a written statement issued by the DMHAS Commissioner that sets a plan, course of action or guiding principle that is designed to influence decisions, actions and other matters.

"*Procedure*" means written directives for proceeding, performing or effecting a course of action related to a Commissioner's policy. Procedures may include steps or methods for conducting business, and shall include all forms needed for conducting such business.

"*DMHAS Commissioner's Policies and Procedures Manual*" means the newly formulated policies and procedures manual that replaces the preceding DMH/DMHAS manual known as the "White Book."

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## **PROCEDURES:**

### **I. Format**

The DMHAS Policies and Procedures Manual will be divided into sections that correspond with the administrative and functional organization of the agency.

Each section will be identified by a letter code. The sections and codes include, but are not limited to:

ADM	Administrative Policies and Procedures
AA	Affirmative Action
CF	Clinical and Facilities Policies and Procedures
CPM	Contracts and Program Management Policies and Procedures
FIS	Fiscal Policies and Procedures
HR	Human Resources
IM	Information Management
PR	Patients' Rights

Each policy within a section will be identified with a number beginning with 001. Groups of numbers may be reserved for specific subject areas within a section, e.g. CF 300 to 399 will be reserved for State-Operated Services under the Clinical and Facilities section of the manual.

Each section shall include a table of contents listing the number and title of each policy within the section.

All administrative procedures will be compiled in the same document as the governing policy related to the procedure. Any forms or other documents that are needed to implement the procedures shall be included with the policy and procedures as attachments.

Each Commissioner's policy and procedure shall be issued in the approved format, shall be identified by an appropriate section code and sequential number, shall be dated and signed by the Commissioner and subsequently filed in the hard copy and electronic version of the DMHAS Commissioner's Policy and Procedures Manual.

Any form used to implement a policy or procedure that is not available in electronic format shall be referenced in the related policy and a hard copy of the form shall be included as an attachment within each hard copy of the manual.

## II. Development

Policy and procedure development or revision to policies may originate in the divisions or facilities or at the request of the Commissioner.

Prior to the development of any new policy or substantive revision of an existing policy, the division director responsible for the subject area shall present the concept of the proposed new policy or policy revision to commissioner for approval.

Upon the Commissioner's approval of the concept, the division, or unit with subject matter expertise will develop and draft the policy and its implementing procedures and forms. The completed draft shall be distributed to division directors for review, comment and suggested revisions. Staff reviewers shall include the facility CEO or division director of any facility or division that may be impacted by, or have interest in, the subject matter of the policy and procedures and related forms.

Each reviewer shall comment in writing, initial and date a Review Tracking Sheet, and return to the originator within two weeks of receipt of the draft policy and procedures unless a longer period of time is agreed upon by the policy originator and the reviewer.

Upon completion of the review and revision process, the originator shall submit draft policy and procedures to the Commissioner for approval.

A policies and procedures shall become effective only after it has been signed by the Commissioner and posted on the DMHAS web site or distributed for inclusion in the hard copy manual.

## III. Periodic Review

Each division director shall be responsible for annual review of all policies, procedures and related forms in the sections of the manual that correspond with their primary areas of responsibility.

Each division director shall report the results of their reviews to the Commissioner, in writing, on or before January of each year. Such report shall indicate which policies and procedures and forms were reviewed and shall include recommendations for repeal or revision, as appropriate, the nature and scope of such amendment, and the justification or rationale for any recommended revision or repeal. Such review and report shall be a component of the division director's Performance Assessment and Recognition System (PARS) review.

#### IV. Maintenance

The Office of the Commissioner shall issue all Commissioner-approved policies and procedures to persons on the distribution list.

Policies and procedures may be repealed or revised only by written notice from the Commissioner. Such notice shall be maintained in the electronic and hard copies of the manual within the section of and under the same identification code and number as the policy and procedures being repealed.

All persons identified on the distribution list are responsible for maintaining the DMHAS Policies and Procedures Manual by adding new policies and procedures, replacing revised policies and procedures, and discarding repealed policies and procedures immediately upon receipt of notice.

Hard copy manuals shall be reviewed periodically to ensure that they are complete. All hard-copy manuals shall be readily available to staff.

## Organizational Sections of Manual

Section	Letter Code	Subject Matter
Administrative	ADM	Policies that address broad areas of general application of department goals and mission or that cut across all department divisions. Subdivisions include: General, Legal, and Statewide.
Affirmative Action	AA	Policies related to Affirmative Action and sexual harassment. Subdivisions include: General, Sexual Harassment, and Statewide.
Clinical & Facilities	CF	Policies that address the interaction of the department and people served in the treatment facilities, interactions between the facilities and the Office of the Commissioner and all clinical policies. Subdivisions include: General, Clinical, State-operated Hospitals, State-operated LMHAS, Research, Patients' Rights, and Statewide.
Contracts & Program Management	CPM	Policies that address the department's interaction with agencies and programs it funds, and the fiscal and programmatic requirements placed on such programs that exceed contract requirements, including DMHAS operated General Assistance. Subdivisions include: General, Contracts and Grants, Program Management, DMHAS Administered GA, and Statewide.
Fiscal	FIS	Policies that address the Department's interaction with suppliers, the acquisition and use of department resources and engineering and capital projects. Subdivisions include: General, Engineering and Capital Projects, Travel, and Statewide.
Human Resources	HR	Policies that address the department's interaction with its employees, their interaction with one another and requirements and rights of employees, including activities that fall under the Director of Human Resources. Subdivisions include: General and Statewide.
Information Management	IM	Policies that relate to information and data collection, maintenance, management and analysis. Subdivisions include: General and Statewide.
Patients' Rights	PR	Policies that relate to rights of patients receiving care from a DMHAS-operated facility or program, including a patients' grievance process.

## SECTION NUMERIC BREAKDOWNS

### ADM – Administrative

001 – 199	General
200 – 299	Legal
900 – 999	*Statewide

### AA – Affirmative Action

001 – 199	General
200 – 299	Sexual Harassment
900 – 999	*Statewide

### CF – Clinical & Facilities

001 – 199	General
200 – 299	Clinical
300 – 399	State-Operated Services
400 – 499	Research
900 – 999	*Statewide

### CPM – Contracts & Program Management

001 – 199	General
200 – 299	Contracts and Grants
300 – 399	Program Management
400 – 499	DMHAS Administered General Assistance
900 – 999	*Statewide

### FIS - Fiscal

001 – 599	General
200 – 299	Engineering and Capital Projects
300 – 399	Travel
900 – 999	*Statewide

### HR - Human Resources

001 – 199	General
900 – 999	*Statewide

### IM - Information Management

001 – 199	General
900 – 999	*Statewide

### PR – Patients' Rights

001 – 199	General
200 – 299	Grievance process
900 – 999	*Statewide

\*Refers to policies issued by other agencies that are applicable to all state agencies.

## **DISTRIBUTION LIST FOR HARD COPY MANUALS**

Commissioner  
Deputy Commissioners  
DMHAS Human Resources Director  
DMHAS Affirmative Action Director  
State-Operated Facility CEOs  
Facility Human Resources Directors  
Facility Affirmative Action Officers



**SAMPLE POLICIES AND PROCEDURES FORMAT**



**STATE OF CONNECTICUT  
Department of Mental Health & Addiction Services**

**Commissioner’s Policy Statement and Implementing Procedures**

<b>SUBJECT:</b>	[Title of Policy]
<b>P &amp; P NUMBER:</b>	[e.g. ADM 001]
<b>APPROVED:</b>	[Commissioner’s signature and date signed]
<b>EFFECTIVE DATE:</b>	[Date policy and procedures goes into effect]
<b>REVISED:</b>	Replaces DMHAS Policies and Procedures Manual Policy No.: Replaces White Book Policy(ies) No.: Replaces White Book Procedure(s) No.:
<b>REFERENCES:</b>	[Statutory and Regulatory citations]
<b>FORMS AND ATTACHMENTS:</b>	[Forms and attachments needed to implement the policy and procedures]

**POLICY:**

**PROCEDURES:**

**FORMS AND ATTACHMENTS:**

## REVIEW TRACKING SHEET

Policy & Procedures Number and Title	
Primary Drafter	
Reviewer's Name	
Comment Due Date	
Reviewer's Signature	
Date Reviewed	

**Reviewer's Comments:**