

## **SECTION .0200 - OPERATION AND MANAGEMENT RULES**

### **10A NCAC 27G .0201 GOVERNING BODY POLICIES**

(a) The governing body responsible for each facility or service shall develop and implement written policies for the following:

- (1) delegation of management authority for the operation of the facility and services;
- (2) criteria for admission;
- (3) criteria for discharge;
- (4) admission assessments, including:
  - (A) who will perform the assessment; and
  - (B) time frames for completing assessment.
- (5) client record management, including:
  - (A) persons authorized to document;
  - (B) transporting records;
  - (C) safeguard of records against loss, tampering, defacement or use by unauthorized persons;
  - (D) assurance of record accessibility to authorized users at all times; and
  - (E) assurance of confidentiality of records.
- (6) screenings, which shall include:
  - (A) an assessment of the individual's presenting problem or need;
  - (B) an assessment of whether or not the facility can provide services to address the individual's needs; and
  - (C) the disposition, including referrals and recommendations;
- (7) quality assurance and quality improvement activities, including:
  - (A) composition and activities of a quality assurance and quality improvement committee;
  - (B) written quality assurance and quality improvement plan;
  - (C) methods for monitoring and evaluating the quality and appropriateness of client care, including delineation of client outcomes and utilization of services;
  - (D) professional or clinical supervision, including a requirement that staff who are not qualified professionals and provide direct client services shall be supervised by a qualified professional in that area of service;
  - (E) strategies for improving client care;
  - (F) review of staff qualifications and a determination made to grant treatment/habilitation privileges;
  - (G) review of all fatalities of active clients who were being served in area-operated or contracted residential programs at the time of death;
  - (H) adoption of standards that assure operational and programmatic performance meeting applicable standards of practice. For this purpose, "applicable standards of practice" means a level of competence established with reference to the prevailing and accepted methods, and the degree of knowledge, skill and care exercised by other practitioners in the field;
- (8) use of medications by clients in accordance with the rules in this Section;
- (9) reporting of any incident, unusual occurrence or medication error;
- (10) voluntary non-compensated work performed by a client;
- (11) client fee assessment and collection practices;
- (12) medical preparedness plan to be utilized in a medical emergency;
- (13) authorization for and follow up of lab tests;
- (14) transportation, including the accessibility of emergency information for a client;
- (15) services of volunteers, including supervision and requirements for maintaining client confidentiality;
- (16) areas in which staff, including nonprofessional staff, receive training and continuing education;
- (17) safety precautions and requirements for facility areas including special client activity areas; and
- (18) client grievance policy, including procedures for review and disposition of client grievances.

(b) Minutes of the governing body shall be permanently maintained.

*History Note:* Authority G.S. 122C-26; 143B-147;  
Eff. May 1, 1996;

*Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. July 20, 2019.*