



STATE OF CONNECTICUT
Department of Mental Health & Addiction Services



Commissioner's Policy Statement and Implementing Procedures

SUBJECT:	Monitoring of DMHAS' Compliance Standards and Effectiveness
P & P NUMBER:	Chapter 3.11
APPROVED:	Miriam Delphin-Rittmon, Commissioner Date: 10/15/2015
EFFECTIVE DATE:	October 15, 2015 <i>Miriam Delphin-Rittmon</i>
REVISED:	11/1/2009
REFERENCES:	Agency Compliance Plan
FORMS AND ATTACHMENTS:	

STATEMENT OF PURPOSE: The purpose of this policy is to ensure oversight of the Compliance Program and to message effectiveness.

POLICY: The DMHAS will monitor its efforts to comply with applicable federal and state laws and with the Agency's compliance standards by utilizing monitoring systems designed to detect areas of non-compliance and/or areas that may require improvement.

PROCEDURE: The DMHAS shall conduct regular reviews of its operations to assure that it is complying with its own compliance standards and with applicable federal and state regulations.

The Agency Compliance and Integrity Officer shall conduct periodic evaluations of various aspects of the DMHAS compliance program to assess adherence to compliance standards and policies. The Agency Compliance and Integrity Officer and Compliance Committee shall determine which areas to review. Such reviews may include: written questionnaires; interviews with employees; examination of records documenting compliance activities; examination of training programs and attendance records; review of DMHAS' employee and vendor screening program and procedures; and assessment of any other procedures or protocols established to insure adherence to the Agency Compliance Program.

A description of the methods for monitoring (e.g. sampling criteria, interviews, reports, etc.) will be developed in conjunction with the Compliance Committee and/or the Facility Compliance Officers. A timeline will be established as part of the protocol.

Personnel at the DMHAS' facility conducting the review shall submit a written report to the Agency Compliance and Integrity Officer. Such report shall include the results of the review, as well as any such recommendations for corrective action or modifications of the DHMAS' compliance standards or policies, if necessary.