

POLICY MANUAL

State Mental Health, Mental Retardation and Substance Abuse Services Board Department of Mental Health, Mental Retardation and Substance Abuse Services

POLICY 2010(ADM)88-2 Policy Development and Evaluation

Authority Board Minutes Dated January 27, 1988
Effective Date February 24, 1988
Approved by Board Chairman /s/ James C. Windsor

References §§ 37.2-200, 37.2-201, and 37.2-203 of the *Code of Virginia* (1950), as amended
Current State Mental Health, Mental Retardation and Substance Abuse Services Board Bylaws

Background Section 37.2-200 of the Code of Virginia establishes the State Mental Health, Mental Retardation and Substance Abuse Services Board as a policy board within the meaning of §2.2-2100, in the executive branch of government.

Section 37.2-201 of the Code requires the Board to appoint an internal evaluation committee to review and evaluate the effects of designated policies of the Board and the performance of the Department, state hospitals and training centers (hereinafter referred to as state facilities), and community services boards and behavioral health authorities (hereinafter referred to as CSBs) in carrying out those policies. The Board has established its Policy Development and Evaluation Committee to fulfill this statutory requirement.

Section 37.2-203 of the Code lists the following specific powers and duties of the Board that relate to policy:

- To develop and establish programmatic and fiscal policies governing the operation of state hospitals and training centers and CSBs; and
- To monitor the activities of the Department and its effectiveness in implementing the policies of the Board.

The State Mental Health, Mental Retardation and Substance Abuse Services Board Bylaws charge the Policy Development and Evaluation Committee with the responsibility to develop draft revised or proposed new policies, with support and assistance from the Department, for the Board's consideration. The Committee is

POLICY 2010(ADM ST BD)88-2--continued

Background
(continued) also charged with responsibility to review and evaluate the effects of designated policies of the Board and the performance of the Department, state facilities, and CSBs in carrying out those policies.

Purpose To set forth the Board's process for:

- Developing new policies from the initiating action to adoption;
- Evaluating existing policies on a regular basis; and
- Revising and updating existing policies based upon the findings from its evaluations.

Policy It is the policy of the Board that its policies shall be developed, adopted, evaluated, and revised using processes that provide for thorough research and coordination by Department staff; meaningful involvement and participation by consumers, family members, CSBs, state facilities, and other stakeholders; an adequate period for Board consideration; and the periodic review of existing policies. This shall be accomplished by the two processes described below: the policy development process and the policy evaluation process.

Policy Development Process

It is the policy of the Board that new policies shall be developed through the following process.

At the direction of the Board or Board Chairperson or when it decides that new policies are needed, the Policy Development and Evaluation Committee may request central office staff in the Department to draft a policy for initial consideration by the Board.

- (1) The policy analyst who staffs the Committee shall alert the appropriate central office manager early in the process that the Board plans to develop the policy and request that the manager designate a central office staff person with expertise in the relevant subject matter. The designated staff person shall assist the policy analyst in formulating the policy draft and reviewing public comments on it.
 - (2) The policy analyst and the designated central office staff person shall develop the policy draft in the standard format for Board policies. Proposed policy drafts shall reflect input from the Board or the Policy Development and Evaluation Committee, organizational and budgetary relationships, current
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**Policy
development
process**
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developments and trends in the mental health, mental retardation, or substance abuse services program area covered by the policy, relevant federal or state legislation or regulations, and any related new strategies and directions in departmental, state facility, or CSB activities.

- (3) The policy analyst, in cooperation with the designated central office staff person, shall present the proposed policy draft to the Policy Development and Evaluation Committee for its initial approval. The Committee may make revisions to the proposed policy before its field review or may, at its discretion, present the draft policy to the Board for its consideration prior to taking further action.
- (4) After making any changes, the Policy Development and Evaluation Committee shall direct the policy analyst to distribute the draft policy for review and comment from Board members, CSBs, state facilities, key central office staff, consumer and advocacy groups, and any other interested persons and organizations on the State Board's mailing list. The draft policy also shall be posted on the Department's web site during the review and comment period to encourage public participation in this process. The policy analyst shall receive, collate, summarize, and provide the results of this field review to the designated staff person.
- (5) Based on the comments received, the policy analyst, in collaboration with the designated central office staff person, shall prepare a revised policy draft, showing proposed changes, for consideration by the Committee. When the central office staff person recommends that modifications not be made to the draft in response to particular comments received, the staff person shall provide the written rationale to the Committee for its consideration. The staff person or his designee, upon request, shall meet with the Committee to discuss the proposed policy and strategies for monitoring its implementation.
- (6) The Committee may make additional changes to the proposed draft policy. After due consideration, the Committee may recommend the proposed policy for adoption by the Board. The State Board shall consider the Committee's recommendation and take action on the proposed policy as it deems appropriate.
- (7) Upon final adoption by the Board, the policy analyst shall prepare a final policy document for distribution to holders of the *State Board Policy Manual* and take the necessary steps to post the new policy on the Department's web site.

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Policy Evaluation Process

It is the policy of the Board that existing policies shall be reviewed or revised through the following process

The Policy Development and Evaluation Committee with the assistance of the policy analyst shall be responsible for reviewing and evaluating the effects of designated policies of the Board and the performance of the Department, state facilities, and CSBs in carrying out those policies. The Committee shall perform this function by assessing the effectiveness of each State Board policy at regular intervals. The policy analyst shall establish the policy review schedule with the Committee and coordinate the evaluation process and any revisions of policies with appropriate central office staff members.

- (1) The policy analyst shall alert the appropriate central office manager early in the process that a particular policy will soon be reviewed and request that the manager designate a central office staff person with expertise in the relevant subject matter. The designated staff person shall assist the policy analyst in reviewing public comments on the policy and revising it when necessary.
- (2) When directed by the Committee to initiate a policy review, the policy analyst shall circulate the policy to State Board members, CSBs, state facilities, consumer and advocacy groups, key central office staff, and other interested groups or individuals on the State Board mailing list, to seek comments as to whether the policy has been implemented as intended, continues to be needed, and should be revised. The policy also shall be posted on the Department's web site during the review period to encourage public participation in this process. The policy analyst shall receive, summarize, and provide the results of this field review to the designated central office staff person.
- (3) The policy analyst shall assist the designated central office staff person, as appropriate, to review the policy for current references, terminology, and any other need for updating or revision. The review will take into account, among other factors, input from the Policy Development and Evaluation Committee, results of monitoring or evaluating the implementation of the policy, organizational and budgetary relationships, current developments and trends in the program area covered by the policy, new state or federal legislation or regulations, any related new strategies and directions in departmental, state facility or CSB activities, and comments received from the field review. As a result of the field review, the policy analyst and the designated central office staff person may recommend rescission of the policy, if it is no longer needed.

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**Policy
evaluation
process**
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- (4) If policy revisions are proposed, the policy analyst, in collaboration with the designated central office staff person, shall prepare a draft revised policy in the standard format for Board policies, showing the current policy text and proposed changes. The staff person and the policy analyst shall meet with the Committee to present the revised policy document with the rationale for recommended revisions for its consideration. The presentation shall include a summary of comments received in reply to the field review with the proposed response to the comments. The designated central office staff person also may propose strategies for monitoring implementation of the policy.
 - (5) The Committee shall review the revised policy draft and approve staff recommendations or make other revisions. At its discretion, the Committee may direct the policy analyst to distribute the draft revised policy for another field review, if it has been substantially re-written, to seek review and comment prior to recommending the adoption of the revised policy by the Board.
 - (6) After completing its review or revisions, the Committee shall make its recommendation on the policy to the Board to rescind the policy or adopt the revised policy.
 - (7) The Board shall consider the Committee recommendation. The Board may make further changes to the policy. After due consideration, the State Board may adopt the revision or rescind the policy.
 - (8) Upon final adoption by the Board, the policy analyst shall prepare a final policy document for distribution to holders of the *State Board Policy Manual* and take the necessary steps to post the revised policy on the Department's web site.
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