

## **100 MANAGEMENT OF DIVISION POLICIES AND PROCEDURES**

REVISION DATE: 08/23/23

EFFECTIVE DATE: November 9, 2022

REFERENCES: A.R.S. 36-553, A.R.S. 41-3801

### **PURPOSE**

To detail the expectations for the lifecycle of policy and procedures within the Department of Economic Security (DES) Division of Developmental Disabilities (Division).

### **DEFINITIONS**

1. "Medical Policy" means any Division policy that maintains requirements for Medical Services or Medical Supplies.
2. "Medical Services" means medical care and treatment provided by a Primary Care Provider (PCP), attending physician, or dentist or by a nurse or other health related professional and technical personnel at the direction/order of a licensed physician or dentist.
3. "Medical Supplies" means health care related items that are consumable or disposable or cannot withstand repeated use by more than one individual, that are required to address an

individual medical disability, illness or injury as specified in 42 CFR 440.70.

## **POLICY**

**A.** The Division's Policy Unit shall be responsible for the development, revision, coordination, tracking, and maintenance of all official Division policies and procedures unless otherwise directed by the Division's Assistant Director.

### **B. DEVELOPMENT AND REVISION OF POLICY AND PROCEDURE**

1. The Division's Policy Unit shall establish procedures that detail how Division staff initiate the development and revision of Division policy and procedure.
2. The Division's Policy Unit shall ensure that all new or revised policies and procedures are initiated only if they meet at least one of the following criteria:
  - a. Aid the Division in maintaining compliance with:
    - i. Applicable laws;
    - ii. Regulations;
    - iii. Contractual obligations;
    - iv. AHCCCS policy; or

- v. Written directives from the Arizona Governor or DES Director.
    - b. Ensure current business needs are being met; or
    - c. Clarify the document for the intended user or the public.
3. The Division's Policy Unit shall only accept requests for development or revision of Division policies and procedures from the following:
  - a. The administrator or manager identified as the owner of the document.
  - b. A member of the Division's Executive Leadership Team.
  - c. A proxy for the administrator or manager identified as the owner of the document that has been agreed to by the administrator or manager and the Division Policy Administrator.
  - d. The Division Policy Manager.
  - e. A Division Policy Specialist.
4. The Division's Policy Unit shall engage all functional areas identified as impacted by a policy or procedure being developed

or revised to provide input and work as part of a team for the final draft of the policy or procedure.

5. The Division Policy Specialist shall ensure that all policies and procedures adhere to the structure prescribed in the Division's Policy/Procedure Development and Format Manual.

### **C. APPROVAL OF POLICY**

1. The following Division staff shall approve a new or revised policy in the following order after reviewing and being in agreement with the content and structure of the document:
  - a. The owner, or the owner's proxy as described in (B)(3)(c) of this policy.
  - b. The Division Policy Manager.
  - c. The Division Policy Administrator.
  - d. The Division Policy Review Team (PRT).
2. The Division Policy Specialist assigned to the development or revision of a policy shall:
  - a. Coordinate discussion for policy needs with the identified policy owner and subject matter experts;

- b. Engage subject matter experts as needed to address requested changes and questions from any individuals in (1) of this section;
- c. Ensure consensus is reached by all subject matter experts involved in drafting or revision of the policy that the document is satisfactory in content and structure.
- d. Ensure any changes instigated by any individuals in (1) of this section are approved by all other individuals in (1) of this section.
- e. Prepare and send the draft policy to the Division Policy Manager and Division Policy Administrator for review and approval.
- f. Route the draft policy:
  - a. Back to the policy owner and any applicable subject matter experts to:
    - i. Address any additional questions or recommendations; then

- ii. Send back to the Division Policy Manager and Division Policy Administrator for final approval;  
or
        - b. To the PRT for consideration for approval.
3. The PRT shall review proposed policies for approval, determining whether the policy is:
  - a. Rejected;
  - b. Approved with changes; minor recommended changes agreed upon with the policy owner; or
  - c. Approved.

#### **D. APPROVAL OF PROCEDURE**

The Division Policy Specialist shall follow all steps in (C) of this document for the approval of procedures except (C)(1)(d).

#### **E. PUBLIC COMMENTS**

1. The PRT shall determine whether approved policies:
  - a. Post the following week to the Division's website and are then in effect; or
  - b. Require public comment if the policy:
    - i. Is a new Division policy; or

- ii. Has substantive changes that may impact the public.
2. The Division Policy Manager shall ensure that the following actions are taken for policies going out for public comment:
  - a. The unaltered version of the policy approved by the PRT with changes tracked in the document is used for the public comment period.
  - b. Send a copy of the document for early notice of public comment to the following entities thirty days prior to posting the policy for public comment:
    - i. The Arizona Developmental Disabilities Advisory Council;
    - ii. The Independent Oversight Committees; and
    - iii. Arizona Tribal entities.
  - c. Thirty days after (2)(b) of this section, the policy is posted for a thirty day public comment period with a clear method for the public to submit comments to DDD.
3. The assigned Policy Specialist shall, at the conclusion of (2)(c) of this section, compile any received public comments and review the public comments with the subject matter experts and the

owner of the policy to determine if the policy requires changes based on the comments.

4. The assigned Policy Specialist shall, if substantive changes are made to the policy as a result of public comment or for any other reason following PRT approval, instigate the approval process described in (C) of this document.
5. The assigned Policy Specialist shall, if no substantive changes are made to the policy as a result of public comment or for any other reason following the PRT approval, inform the Policy Manager that the policy is ready to be posted.
6. The Division Policy Manager shall ensure each Quality Management and Medical Policy is signed by the Division's Chief Medical Officer prior to sending the policy to be posted.

**F. POLICY AND PROCEDURE REVIEW**

1. The Division Policy Manager shall establish and implement a process to ensure that each policy and procedure managed by the Division Policy Unit are reviewed on an annual basis by the following individuals to ensure the policy meets the current standards of the Division in terms of both content and structure:



- a. The owner of the policy or their agreed to proxy; and
  - b. The Division Policy Specialist.
2. The Division Policy Manager shall, if a policy is determined to need changes based on the review in (1) of this section, ensure that the requirements in (B) of this document for the revision of a policy are instigated.

**G. SHARING AND USE OF POLICY AND PROCEDURE**

1. The Division shall only treat Division policies and procedures as official Division documents after the policies and procedures have completed the steps for approval designated in this policy.
2. The Division shall not represent or provide policies or procedures that have not completed the steps for approval designated in this policy as proof of compliance with requirements of contracts, regulations, laws, or oversight entities.

**H. HISTORICAL MAINTENANCE OF POLICY AND PROCEDURE**

The Division Policy Manager shall instigate and ensure the maintenance of a system to archive, track, and make available for research purposes past versions of policy and procedure.