Policy Title: 9005V.1 Client Diagnostic Assessment, Treatment Plan, and Diagnosis Review Policy

Patient Age Group: (X) N/A ( ) All Ages ( ) Pediatric ( ) Adult

Purpose

The purpose of this policy is to establish a clear and consistent process for the review, approval, and supervision of client diagnostic assessments, treatment plans, and changes in diagnoses at Centro Savila. This policy ensures that all clinical work, including diagnostic assessments, treatment planning, and changes in diagnoses, are reviewed and signed by a qualified clinical supervisor who meets the state's clinical supervisory requirements and possesses the appropriate education and training.

Scope

This policy applies to all clinical staff providing behavioral health services at Centro Savila, including therapists, case managers, and other staff who conduct diagnostic assessments, create treatment plans, and manage changes in diagnoses.

Policy Statement

Centro Savila is committed to providing high-quality clinical care through the proper supervision and oversight of all diagnostic assessments, treatment planning, and diagnosis changes. Clinical supervisors at Centro Savila must meet the state's clinical supervisory requirements and possess the education, experience, and training needed to provide effective supervision. Supervisors will ensure that all clinical work adheres to best practices, ethical standards, and regulatory guidelines, while also fostering the professional development of supervisees.

Definitions

- **Diagnostic Assessment**: The initial evaluation of a client's mental health or substance use condition, typically including interviews, clinical observations, and the use of assessment tools to determine a diagnosis.
- **Treatment Plan**: A document that outlines the treatment goals, objectives, and interventions designed to address the client's specific needs and mental health or substance abuse concerns.
- **Clinical Supervisor**: A licensed mental health or substance abuse professional with the education, experience, and state qualifications required to provide supervision to clinical staff.
- **Changes in Diagnosis**: The process of modifying a client's diagnosis based on updated clinical information, assessment results, or treatment progress.

Client Diagnostic Assessment, Treatment Plan, and Diagnosis Review Process

1. **Initial Diagnostic Assessment and Treatment Plan**
    - Upon the completion of a client's diagnostic assessment, the therapist or case manager will create a comprehensive **treatment plan** that includes the identified diagnosis, treatment goals, therapeutic interventions, and a timeline for achieving the objectives.
    - The **treatment plan** must reflect a clear understanding of the client's needs, cultural background, and any co-occurring disorders (mental health and/or substance use disorders).
2. **Clinical Supervisor's Review and Approval**
    - **Initial Assessment and Treatment Plan**: Once the initial diagnostic assessment and treatment plan are completed, the clinical supervisor will review the documents to ensure that they meet organizational standards, regulatory requirements, and best practice guidelines.
    - The supervisor will assess the appropriateness of the diagnosis, the accuracy of the treatment plan, and the suitability of the recommended interventions.
    - The clinical supervisor must sign off on the diagnostic assessment and treatment plan to indicate approval. This process ensures that the client's treatment is tailored to their needs and is in line with clinical standards.
    - **Changes in Diagnosis**: If a change in diagnosis is made at any point during treatment, the clinical supervisor must review and approve the revised diagnosis, ensuring it is supported by updated assessments, progress notes, and clinical observations.
    - **Documentation**: The supervisor's review, approval, and signature will be documented in the client's electronic health record (EHR) or file. This ensures proper tracking of supervision and clinical oversight.
3. **Clinical Supervisor Qualifications and Responsibilities**
    - **Educational and Licensing Requirements**: The clinical supervisor must hold an advanced degree (Master's, Doctoral, or equivalent) in a relevant mental health or substance abuse field (e.g., psychology, social work, counseling). The supervisor must also have an active, valid license in the state of New Mexico (e.g., LCSW, LPC, LMFT, Psychologist, or equivalent) and meet any other state or federal requirements for clinical supervision.
    - **Supervisory Experience**: The clinical supervisor must have significant clinical experience, typically at least **2 years of post-licensure experience** in providing mental health or substance abuse services, before supervising others.
    - **Training and Competency**: The clinical supervisor's training and education must be aligned with the specific needs of the supervisee's role. For example:
        - Supervisors providing oversight to therapists specializing in mental health disorders must be trained in mental health diagnosis, treatment modalities, and case management.
        - Supervisors providing oversight to staff working with substance abuse clients must have appropriate substance abuse disorder training and experience.

- **Ongoing Professional Development**: Clinical supervisors are expected to continue their professional development by attending relevant workshops, trainings, and conferences to stay current on best practices and state regulations.

4. **Supervision of Therapists, Case Managers, and Other Staff**
   - **Frequency of Supervision**: Supervisors will provide regular supervision to therapists, case managers, and other clinical staff. This includes:
     - **Weekly or Bi-weekly Supervision**: Clinical supervision will occur at least weekly or bi-weekly, depending on the needs of the staff member, caseload, and level of supervision required.
     - **Case Review**: Supervisors will review case files, treatment plans, and client progress to ensure that diagnoses, treatment approaches, and goals are appropriate and are being followed effectively.
     - **Supportive Feedback**: Supervisors will provide ongoing feedback, coaching, and guidance to supervisees regarding their clinical practice, ensuring they are adhering to best practices and ethical guidelines.
   - **Documentation of Supervision**: Each supervision session will be documented, including the date, topics discussed, action items, and any concerns raised during the session. This documentation will be placed in the supervisee's personnel file.
5. **Supervisor's Role in Mental Health and Substance Use Disorder Services**
   - Supervisors will provide mental health and/or substance abuse disorder services to clients as needed, in addition to their role as supervisors. This dual role is essential to ensure that supervisors are actively engaged in providing direct care and staying current with treatment methodologies, client needs, and service delivery.
   - Supervisors will ensure that their training and clinical competencies are regularly updated and that they are equipped to handle both supervision and direct care responsibilities effectively.
6. **Supervisor's Training for Specific Populations**
   - Clinical supervisors who are overseeing staff working with specific populations (e.g., clients with co-occurring disorders, youth, individuals with severe mental illness, etc.) must have the necessary expertise and training to provide relevant supervision.
   - Supervisors will undergo additional training when supervising staff working with specialized client groups, ensuring that their guidance is appropriate and informed by current clinical knowledge.
7. **Compliance with State and Federal Regulations**
   - All diagnostic assessments, treatment plans, and changes in diagnosis will comply with New Mexico state regulations, including the **New Mexico Counseling and Therapy Practice Act**, **New Mexico Social Work Practice Act**, and any other relevant state laws and regulations. Supervisors will ensure adherence to these standards during the review and approval process.
   - Supervisors will also ensure that all clinical documentation, including diagnostic assessments and treatment plans, meets the requirements for reimbursement from Medicaid and other insurers.

Review and Revision

This policy will be reviewed annually by the HR Department and clinical leadership to ensure that it aligns with best practices, legal requirements, and organizational goals. Updates and revisions will be communicated to all relevant staff and incorporated into training materials as necessary.

Approved by: William G. Wagner, Executive Director
Date: 11.12.24

Signature:

Item	*Date*	*Signature*
Executive Director		
Deputy Director		