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DONAL CAMPBELL  
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ADMINISTRATIVE REGULATION  
NUMBER 636

OPR: TREATMENT

## MENTAL HEALTH SERVICES: MONTHLY REPORTING

### I. GENERAL

This Alabama Department of Corrections (ADOC) Administrative Regulation (AR) establishes policies, procedures, and responsibilities for collecting mental health documentation and/or statistical data for the purpose of monitoring mental health services provided to inmates.

### II. POLICY

Monthly documentation of the availability and/or provision of mental health services at each institution will be collected to monitor system-wide trends and the identification of areas for improvement. Monthly reporting will permit the collection of data for the mental health quality improvement program as well as for monitoring staff and institutional accountability for mental health services.

### III. DEFINITION(S) AND ACRONYM(S)

Refer to AR 602 for definitions of the following terms used in this AR:

Intensive Psychiatric Stabilization Unit (SU)

Quality Improvement Program (QI)

Residential Treatment Unit (RTU)

### IV. RESPONSIBILITIES

- A. The Director of Treatment is responsible for:
  - 1. Developing documentation procedures
  - 2. Reviewing monthly and quarterly statistics

3. Monitoring staff compliance
- B. The Mental Health Director will:
1. Ensure contract mental health staff compliance
  2. Provide monthly and quarterly statistics to the Director of Treatment
  3. Monitor the Quality Improvement Program (QI)
- C. The Supervising Psychologist will:
1. Provide monthly statistics to the Mental Health Director concerning the availability and provision of services
  2. Ensure contract mental health staff compliance

**V. PROCEDURES**

- A. Documentation of mental health services provided by ADOC Psychologists/ Psychological Associates and contract mental health staff will include individual staff completion of the following:
1. ADOC Form MH-035, Outpatient Psychiatric Services Log
  2. ADOC Form MH-036, Outpatient Individual Inmate Contact Log
  3. ADOC Form MH-037, Group Attendance Roster
- B. ADOC Psychologists/Psychological Associates will submit ADOC Form MH-076, ADOC Psychologist/Psychological Associate: Monthly Activity Report, to the Director of Treatment on the third (3) working day after the end of each month.
- C. Contract mental health staff will submit monthly documentation to the institution's Supervising Psychologist on the third (3) working day after the end of each month.
- D. If a contract staff member provides services at more than one institution, a separate form will be completed for each institution and submitted to that institution's Supervising Psychologist.
- E. Monthly documentation of the outpatient mental health services provided by contract mental health staff at each institution will be completed by the institution's Supervising Psychologist and submitted to the Mental Health Director no later than five (5) working days after the end of the month. A summary of services provided will be documented on ADOC Form MH-070, Outpatient Services: Monthly Activity Report. Additional documentation to be submitted includes:

1. ADOC Form MH-006, Staff Training Report: Monthly
  2. ADOC Form MH-045, Crisis Cell Utilization
  3. ADOC Form MH-047, Use of Physical Restraints for Mental Health Purposes
  4. ADOC Form MH-004, Quality Improvement Program: Review of Inmate Suicide or Life-Threatening Attempt
- F. Mental health staff on an Intensive Psychiatric Stabilization Unit (SU) will provide copies of ADOC Form MH-037 for all groups conducted on the unit during the month to the institution's Supervising Psychologist no later than the third (3) working day after the end of the month.
- G. Monthly documentation of the services provided on each SU should be collected by the institution's Supervising Psychologist and submitted to the Mental Health Director no later than five (5) working days after the end of the month. A summary of the services provided on each unit will be documented on ADOC Form MH-071, Intensive Psychiatric Stabilization Unit (SU): Monthly Activity Report. Additional documentation to be submitted includes, but not limited to:
1. ADOC Form MH-031, Mental Health Unit (RTU/SU): Inmates Receiving Involuntary Medication
  2. ADOC Form MH-044, Inmate Status/Precautionary Watch
  3. ADOC Form MH-047, Use of Physical Restraints for Mental Health Purposes
  4. ADOC Form MH-054, Mental Health Unit (RTU/SU): Admission and Discharge Log
  5. ADOC Form MH-055, Intensive Psychiatric Stabilization Unit: Program Monitoring
  6. ADOC Form MH-056, Mental Health Unit (RTU/SU): Treatment Planning Status
  7. ADOC Form MH-059, Mental Health Unit (RTU/SU): Critical Incidents and Disciplinary Action
  8. ADOC Form MH-061, Mental Health Unit (SU): Inmate Roster - Last Day of the Month
  9. ADOC Form MH-053, Intensive Psychiatric Stabilization Unit: Inmates with Extended Stay

10. ADOC Form MH-077, Intensive Psychiatric Stabilization Unit: Transfers to State Psychiatric Hospital
- H. Mental health staff on a Residential Treatment Unit (RTU) will provide copies of ADOC Form MH-037 for groups conducted on the unit during the month, to the institution's supervising psychologist or designee no later than the third (3) working day after the end of the month. The institution's Supervising Psychologist will collate this data on ADOC Form MH-063, Residential Treatment Unit (RTU): Program Monitoring (MHP, AT, Nursing), to determine the level of group activity for each unit.
- I. Monthly documentation of the services provided at each RTU should be collected by the institution's Supervising Psychologist and submitted to the Mental Health Director no later than five (5) working days after the end of the month. A summary of the services provided on each unit will be documented on ADOC Form MH-072, Residential Treatment Unit (RTU): Monthly Activity Report. Additional documentation to be submitted includes, but not limited to:
1. ADOC Form MH-031, Mental Health Unit (RTU/SU): Inmates Receiving Involuntary Medication
  2. ADOC Form MH-054, Mental Health Unit (RTU/SU): Admission and Discharge Log
  3. ADOC Form MH-056, Mental Health Unit (RTU/SU): Treatment Planning Status
  4. ADOC Form MH-059, Mental Health Unit: Critical Incidents and Disciplinary Action
  5. ADOC Form MH-060, Mental Health Unit (RTU): Inmate Roster -Last Day of the Month
  6. ADOC Form MH-063, Residential Treatment Unit (RTU): Program Monitoring (MHP, AT, Nursing)
- J. The Mental Health Director will:
1. Aggregate the data from each institution's monthly report of Outpatient, SU's and RTU's to provide data on the availability and provision of mental health services to the Director of Treatment. The following reports will be submitted to the Director of Treatment by the tenth (10) working day after the end of the month:
    - a. ADOC Form MH-073, System-Wide Outpatient: Monthly Activity Report
    - b. ADOC Form MH-074, System-Wide Intensive Psychiatric Stabilization Unit (SU): Monthly Activity Report

- c. ADOC Form MH-075, System-Wide Residential Treatment Unit (RTU): Monthly Activity Report
  - d. The most recent pharmacy report of psychotropic medication orders
2. Submit ADOC Form MH-007, Staff Training Report: Quarterly, to the Director of Treatment in January, April, July and October, no later than ten (10) working days after the end of the quarter.
  3. Submit quarterly reports to the Director of Treatment exhibiting trends in services for outpatients, the SUs, and the RTUs over time. The trend data will be submitted in January, April, July, and October, no later than ten (10) working days after the end of the quarter.
  4. Retain the monthly documentation submitted from each institution for use in the Quality Improvement Program (QI).

## **VI. DISPOSITION**

Refer to AR 601, Mental Health Forms and Disposition

## **VII. FORMS**

Refer to AR 601, Mental Health Forms and Disposition for:

- A. ADOC Form MH-004, Quality Improvement Program: Review of Inmate Suicide or Life-Threatening Attempt
- B. ADOC Form MH-006, Staff Training Report: Monthly
- C. ADOC Form MH-007, Staff Training Report: Quarterly
- D. ADOC Form MH-031, Mental Health Unit (RTU/SU): Inmates Receiving Involuntary Medication
- E. ADOC Form MH-035, Outpatient Psychiatric Services Log
- F. ADOC Form MH-036, Outpatient Individual Inmate Contact Log
- G. ADOC Form MH-037, Group Attendance Roster
- H. ADOC Form MH-044, Inmate Status/Precautionary Watch
- I. ADOC Form MH-045, Crisis Cell Utilization
- J. ADOC Form MH-047, Use of Physical Restraints for Mental Health Purposes

- K. ADOC Form MH-053, Intensive Psychiatric Stabilization Unit: Inmates with Extended Stay
- L. ADOC Form MH-054, Mental Health Unit (RTU/SU): Admission and Discharge Log
- M. ADOC Form MH-055, Intensive Psychiatric Stabilization Unit: Program Monitoring
- N. ADOC Form MH-056, Mental Health Unit (RTU/SU): Treatment Planning Status
- O. ADOC Form MH-059, Mental Health Unit (RTU/SU): Critical Incidents and Disciplinary Action
- P. ADOC Form MH-060, Mental Health Unit (RTU): Inmate Roster -Last Day of the Month
- Q. ADOC Form MH-061, Mental Health Unit (SU): Inmate Roster - Last Day of the Month
- R. ADOC Form MH-063, Residential Treatment Unit (RTU): Program Monitoring (MHP, AT, Nursing)
- S. ADOC Form MH-070, Outpatient Services: Monthly Activity Report
- T. ADOC Form MH-071, Intensive Psychiatric Stabilization Unit (SU): Monthly Activity Report
- U. ADOC Form MH-072, Residential Treatment Unit (RTU): Monthly Activity Report
- V. ADOC Form MH-073, System-Wide Outpatient: Monthly Activity Report
- W. ADOC Form MH-074, System-Wide Intensive Psychiatric Stabilization Unit (SU): Monthly Activity Report
- X. ADOC Form MH-075, System-Wide Residential Treatment Unit (RTU): Monthly Activity Report
- Y. ADOC Form MH-076, ADOC Psychologist/Psychological Associate: Monthly Activity Report
- Z. ADOC Form MH-077, Intensive Psychiatric Stabilization Unit: Transfers to State Psychiatric Hospital

**VIII. SUPERCEDES**

This Administrative Regulation supercedes AR 476 dated June 12, 2002.

**IX. PERFORMANCE**

This AR is published under the authority of:

- A. The Bradley Agreement of August 8, 2000
- B. The National Commission on Correctional Health Care: Standards for Health Services in Prisons, 2003. (P-I-01)
- C. Department of Mental Health and Mental Retardation Statutory Authority: The Code of Alabama, 1975, Section 22-50-11

  
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Donal Campbell, Commissioner