

## Maine SBHC Standards: Assessment Tool

For each item in the list below, check those standards that are met. Where indicated, include the date each applicable policy was last created, assessed, revised and/or updated.

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name of person completing this assessment

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date assessment completed

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name of SBHC clinical director

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signature of clinical director

### Section A. SBHC Structure

#### Standard 1. SBHC Governing Structure

Clinical Director:

- ☐ The clinical director has a current license to provide primary care independently.
- ☐ The clinical director is involved in program development.
- ☐ The clinical director is involved in delivery of services.

\_\_\_\_\_ date clinical director hired/contracted with

Advisory Committee or Board:

- ☐ The advisory committee meets regularly (at least annually), and meeting are documented.

\_\_\_\_\_ date of last meeting

- ☐ The advisory committee includes parents.
- ☐ The advisory committee includes students.
- ☐ The advisory committee includes school staff and administration.
- ☐ The advisory committee includes school nurses.
- ☐ The advisory committee includes community representatives.
- ☐ The advisory committee is involved in program and policy development.

Documentation of Governing Structure:

- ☐ The governing structure of the SBHC is documented.

\_\_\_\_\_ date created or last reviewed and/or updated

#### Standard 2. SBHC Facilities

Facilities:

- ☐ SBHC is in a location that is accessible to all student and clients.
- ☐ There is a secure (locked) place to store medical records (see Section G).
- ☐ There is a secure (locked) place to store lab supplies and pharmaceuticals.

\_\_\_\_\_ date supplies and drugs last inventoried and outdated items disposed of

- ☐ Current fire and building certificates are available for review.

\_\_\_\_\_ expiration date of fire certificate

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- ☐ Liability coverage exists.  
\_\_\_\_\_ *expiration date of liability coverage*
- ☐ Waiting and reception areas allow for appropriate confidentiality.
- ☐ There is appropriate space for confidential counseling if behavioral health services are offered on site.
  
- ☐ Policies and procedures comply with laws and regulations governing health facilities.  
\_\_\_\_\_ *date created or last reviewed and/or updated*  
\_\_\_\_\_ *expiration date of CLIA certificate (put N/A if no certificate is required)*
- ☐ There is at least one exam room that provides for privacy.
- ☐ The exam room(s) has/have a hand-washing sink(s).
- ☐ There is confidential phone and fax access.
- ☐ Exits are clearly marked.
- ☐ There are appropriate safety, emergency and first aid supplies.  
\_\_\_\_\_ *date supplies were last inventoried and replaced or replenished if necessary*
- ☐ All areas are clean and hazard-free.

### Standard 3. Mission and Scope of Services

#### Mission:

- ☐ A mission statement exists.  
\_\_\_\_\_ *date created, or last reviewed and/or updated*
- ☐ The mission includes assessment of the health status and health needs.
- ☐ The mission includes development of sound school health policies in coordination with school nurses and other school health personnel.
- ☐ The mission includes assurance of access to health services.
- ☐ The mission includes assurance of early prevention and health promotion.

#### Scope of Services

- ☐ Scope of services is clearly defined for all clients (See Section B).  
\_\_\_\_\_ *date scope of services last reviewed and/or revised*

### Standard 4. Needs Assessment

- \_\_\_\_\_ *date last needs assessment was completed*
- ☐ Needs assessment process is clearly defined.  
\_\_\_\_\_ *date created/last updated*
- ☐ Needs assessment includes the participation of all stakeholders (students, families, school staff, community providers).

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### Standard 5. Non discrimination

- ☐ There is a non-discrimination policy that is in accordance with Maine Law.  
\_\_\_\_\_ *date established or last reviewed and/or updated*
- ☐ Non-discrimination policy is communicated to all stakeholders.  
\_\_\_\_\_ *date of last communication of policy*
- how it is communicated:* \_\_\_\_\_
- ☐ SBHC policies, procedures and practices show sensitivity to sub-populations with unique needs.

### Standard 6. Accessibility of Practitioners and Services

- ☐ There are written policies and procedures for access to physical and behavioral health services (See Section B).  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ There are at least eight (8) hours per week of NP/PA/Physician services per week over at least two (2) days per week.
- ☐ There are policies and procedures for establishing medical homes.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated.*
- ☐ Policies and procedures define client's eligibility for services and enrollment procedures.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ Policies and procedures define payment options.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ Policies include accessible enrollment for uninsured and low-income students.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ Policies and procedures provide for continuity of care during summers and vacations, including access to records.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ Policies and procedures provide referrals to access 24/7 coverage for students while a medical home is being established.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*

### Standard 7. Fiscal Accountability

- ☐ Accounting system in place for budgeting and tracking incomes and expenses.  
\_\_\_\_\_ *date budget, income and expenses last reviewed by advisory committee.*

### Standard 8. Billing and Contracting with Health Plans and MaineCare

- ☐ MaineCare is billed.
- ☐ Private insurance is billed according to insurers' requirements.
- ☐ Insurance status of all clients is assessed
- ☐ Policies and procedures provide information and assistance for MaineCare enrollment to uninsured clients.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ Policies address medical records release to insurers for payment purposes.

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- ☐ Policies address maintaining minor client confidentiality as appropriate when billing.
- ☐ Providers are credentialed and credentialing requirements are maintained.

### Section B. Health Services

#### Standard 9. Scope of Services

- ☐ Services that are provided directly and services that are referred out are defined.
- ☐ All physical and behavioral health needs are addressed in the defined scope of services.

#### Standard 10. Preventive Care

- ☐ There are policies and procedures for promoting preventive health services.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ Preventive care is provided for all students who received a routine physical exam at the SBHC.
- ☐ Preventive care is provided for all students who visit the center at least three (3) times.
- ☐ Preventive care follows Bright Futures (BF) guidelines.
- ☐ Preventive care includes assessment of risk and protective factors.

#### Standard 11. Acute Care

- ☐ There are policies and procedures for providing care for acute medical conditions.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ SBHC provides assessment and treatment of acute medical conditions, intervention, and referrals.
- ☐ The SBHC's role in urgent medical care in the school is defined.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*

#### Standard 12. Behavioral and Mental Health Crises

- ☐ There are policies and procedures for enabling access to mental health services.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ SBHC provides assessment and treatment of referrals for behavioral and mental health crises.
- ☐ The SBHC's role in behavioral and mental health crises in the school is defined.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*

#### Standard 13. Chronic Health Conditions

- ☐ There are policies and procedures for managing chronic health conditions.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ The SBHC identifies clients with chronic conditions.
- ☐ The SBHC assists with management plans as appropriate in coordination with PCPs and other providers.
- ☐ The SBHC follows up with PCPs for clients with newly diagnosed conditions.

#### Standard 14. Oral Health

- ☐ The SBHC provides referrals or treatment for primary oral health services

**Section C. Professional Competency**

**Standard 15. Licensing & background checks**

- ☐ Professionals are licensed and practice according to their licenses.
- ☐ Licenses and credentialing are reviewed annually.

\_\_\_\_\_ *date licenses and credentials last reviewed*

- ☐ New employees' licenses are reviewed.
- ☐ School nurse(s) in SBHC have DOE certification.
- ☐ SBHC staff have background checks.

**Standard 16. Continuing Education**

- ☐ Staff obtains continuing education appropriate to their practice in the SBHC.
- ☐ Staff obtains training in SBHCs policies and procedures, medical recording keeping, and billing procedures appropriate to their practice in the SBHC.

\_\_\_\_\_ *date of last training*

- ☐ SBHC staff network with other SBHCs in State.

\_\_\_\_\_ *date of last meeting attended by at least one staff person*

**Standard 17. Supervision**

- ☐ All staff have appropriate supervision.
- ☐ A medical consultant is available as needed during service hours.

**Standard 18. Annual Performance Appraisals**

- ☐ All staff have an annual performance appraisal.

\_\_\_\_\_ *date(s) of last performance appraisal*

- ☐ Performance appraisals include data from client satisfaction and client complaints.
- ☐ Performance appraisals include data from quality improvement information.
- ☐ Performance appraisals include data from medical records review.

**Standard 19. Disciplinary Procedures**

- ☐ Disciplinary procedures and policies are in place.

\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*

- ☐ Disciplinary procedures and policies include a work plan to improve practitioners' performance.
- ☐ Disciplinary procedures and policies include grounds for immediate suspension or termination.
- ☐ Disciplinary procedures and policies include an appeals process.
- ☐ Practitioners are informed of disciplinary process.

**Standard 20. Personnel Files**

- ☐ Job descriptions are on file.
- ☐ Résumés are on file.
- ☐ Personnel files include performance appraisals and disciplinary actions
- ☐ Personnel files include documentation of licenses, credentialing, and certifications.
- ☐ Policies and procedures and policies include what, when and how personnel information will be shared.

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\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*

### Standard 21. First Aid and CPR

- ☐ Staff are trained in general first aid and CPR.

\_\_\_\_\_ *date(s) of last training/certification*

## Section D. Quality Management and Improvement

### Standard 22. Quality Improvement Program Structure

- ☐ The Medical Director or other licensed practitioner is responsible for quality improvement.
- ☐ There is an annual work plan for quality improvement.
- \_\_\_\_\_ *date work plan created or last reviewed and/or updated*
- ☐ Quality improvement responsibilities are assigned to staff members.
- ☐ The Advisory Committee regularly reviews the quality improvement program activities and results.
- \_\_\_\_\_ *date of last review*
- ☐ The SBHC is involved in State quality improvement activities as requested.
- ☐ The SBHC is involved in school quality improvement activities as requested.
- ☐ The SBHC is involved in insurers' quality improvement activities as requested.

### Standard 23. Satisfaction

- ☐ Annual client satisfaction survey is conducted.
- \_\_\_\_\_ *date of last survey*
- ☐ Satisfaction surveys include timely and low-barrier access to care, courteousness, respectfulness and helpfulness of staff, quality of provider communication, adequacy of time in appointments, and appropriateness of confidentiality.
- ☐ Satisfaction survey of parents is conducted regularly
- \_\_\_\_\_ *date of last survey*
- ☐ Satisfaction survey of school population is conducted regularly
- \_\_\_\_\_ *date of last survey*
- ☐ Satisfaction survey of community providers is conducted regularly
- \_\_\_\_\_ *date of last survey*
- ☐ The advisory committee reviews satisfaction survey results
- \_\_\_\_\_ *date of last review*

### Standard 24. Clinical Practice Guidelines

- ☐ Clinical guidelines based on medical evidence and other established practice guidelines.

*List sources:* \_\_\_\_\_

- ☐ There are policies and procedures for safe and effective drug prescription and dispensing.

\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*

- ☐ Practitioners are involved in adoption and periodic review of guidelines.

- ☐ Clinical guidelines are reviewed biannually.

\_\_\_\_\_ *date of last review*

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- ☐ Practitioners are educated on guidelines.
- ☐ Client education and clinical care are consistent with guidelines.

### Standard 25. Data Collection and Analysis

- ☐ Data on services is collected.
- ☐ Data is analyzed and shared with practitioners.  
\_\_\_\_\_ *date of last review by providers*
- ☐ Data is analyzed and shared with advisory committee.  
\_\_\_\_\_ *date of last review by advisory committee*
- ☐ Data is used in program development.

### Standard 26. Clinical Quality Improvement Activities, Including Intervention and Follow-up

- ☐ SBHC evaluates students' receipt of preventive care.
- ☐ At least one clinical condition is selected for review every two years.  
\_\_\_\_\_ *date current clinical condition was selected*

Condition(s) currently selected : \_\_\_\_\_

- ☐ Student utilization of health center is monitored.
- ☐ Continuity and coordination of care is monitored.

## Section E. Communication and School Health Coordination

### Standard 27. Communication

- ☐ Communication policies and procedures are established.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ Written informed consent to care of client and/or parent as appropriate is obtained for all clients and renewed on an established schedule.
- ☐ Communication policies and procedures include confidentiality.
- ☐ Communication policies and procedures include continuity of care.

### Standard 28. Disseminating of Information on Services and Policies

- ☐ Information on services at SBHC is regularly shared with all students and parents.  
\_\_\_\_\_ *date information last disseminated*
- ☐ Information on enrollment process is regularly shared with all students and parents.  
\_\_\_\_\_ *date information last disseminated*
- ☐ Policies on confidentiality and communication are shared with parents and students.  
\_\_\_\_\_ *date information last disseminated*
- ☐ Policies on complaints and grievances are shared with parents and students.  
\_\_\_\_\_ *date information last disseminated*
- ☐ Above information is shared with school staff and community providers as requested.  
\_\_\_\_\_ *date information last disseminated*

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### Standard 29. Roles and Responsibilities of SBHCs and Other Student Support Staff:

- ☐ Roles and responsibilities relating to the integration and coordination of school health programs are defined.
- ☐ Relationships with school nurses, school counselors, school social workers, teachers and administrators are clearly defined.

\_\_\_\_\_ *date role definitions created or last reviewed and/or updated*

- ☐ The SBHC's role in crisis management defined.

\_\_\_\_\_ *date role definitions were created or last reviewed and/or updated*

- ☐ A Memorandum of Agreement between the school and the medical organization is established.

\_\_\_\_\_ *date of most recent MOA*

### Standard 30. Coordination with School Nursing

- ☐ Guidelines for school nursing and SBHC roles are developed cooperatively
- ☐ There are clear definitions for school nursing and SBHC

\_\_\_\_\_ *date role definitions were created or last reviewed and/or updated*

- ☐ School nurse serves on Advisory Committee
- ☐ If school nursing is integrated with the SBHC, the guidelines for the school nursing role satisfies DOE school nursing rules and regulations.

### Standard 31. Role in Coordinated School Health Programs

- ☐ SBHC role in CSHP is defined.

\_\_\_\_\_ *date role definitions were created or last reviewed and/or updated*

- ☐ The SBHC follows applicable guidelines for the School Counseling, Physical and Behavioral Health Component of a Coordinated School Health Program (See [www.maineeshp.com](http://www.maineeshp.com)).

\_\_\_\_\_ *date guidelines were last reviewed*

### Standard 32. Role in Maine Learning Results

- ☐ SBHC reinforces health promotion and disease prevention concepts presented in health education classes.
- ☐ SBHC reinforces information on how to acquire valid information on health issues, services and products presented in health education classes.
- ☐ SBHC reinforces information on risk reduction presented in health education classes.
- ☐ SBHC reinforces information on influences on health and behavior, including media, culture, technology, peers, and family presented in health education classes.
- ☐ SBHC reinforces communication skills taught in health education classes.
- ☐ SBHC reinforces information on decision-making and goal setting presented in health education classes.

### Standard 33. Non-disruption of Classroom Learning

- ☐ SBHC policies and procedures ensure minimal disruption of student learning.

\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*

- ☐ Appointments are schedule during non-classroom time when possible.



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- ☐ There is communication with classroom teachers and other school staff about scheduling appointments.
- ☐ Staff and students receive information on scheduling policies and procedures.  
\_\_\_\_\_ *date information last disseminated*

### Section F. Clients' Rights and Responsibilities

#### Standard 34. Respect and Privacy:

- ☐ Policies outline rights of students and families.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ Policies outline client privacy as allowable by law.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ Policies outline client and parents of minor clients active involvement in health care decisions as allowable by law.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*

#### Standard 35. Grievances

- ☐ Grievance policy and procedures exist.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ Student and Parents are informed of the grievance policy and procedures.  
\_\_\_\_\_ *date information last disseminated*

#### Standard 36. Client Responsibilities:

- ☐ Clients and parents are informed of their responsibility to provide needed information.  
\_\_\_\_\_ *date information last disseminated*
- ☐ Client and parents are informed of client responsibility to follow practitioner's instructions for agreed upon care.  
\_\_\_\_\_ *date information last disseminated*
- ☐ Client and parents informed of parental responsibility to assist, as appropriate, minor clients in following practitioner's instructions for agreed upon care.  
\_\_\_\_\_ *date information last disseminated*

### Section G. Communication and Medical Records

#### Standard 37. Record keeping system

- ☐ Medical records policies and procedures apply to paper and electronic records.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ Policies and procedures for the release of any medical records are established.  
\_\_\_\_\_ *date policies/procedures created or last reviewed and/or updated*
- ☐ Release of any medical records abide by State and Federal law.
- ☐ Record keeping system assures client confidentiality.
- ☐ Records are current, complete, detailed, and organized.
- ☐ There is secure short-term storage.

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- ☐ There is secure long-term storage.
- ☐ School nursing records that fall under FERPA regulations are kept separately.

### Standard 38. Critical Elements

- ☐ All client records include a record of illnesses and medical conditions on a problem list.
- ☐ All client records include documentation of allergies and medications.
- ☐ All client records include an appropriate medical history.
- ☐ All client records include documentation of diagnoses consistent with findings.
- ☐ All client records include treatment plans appropriate to diagnoses.
- ☐ Regular record reviews are part of the quality improvement plan.

### Standard 39. Other Elements

- ☐ Records include documentation of patient's name or ID number on every page.
- ☐ Records include documentation of patient's biographical information (address, parents or guardians, home and work telephone numbers).
- ☐ Records include author identification for medical record entries and can be handwritten, stamped or electronic.
- ☐ Records are legible by someone other than the author.
- ☐ Records include documentation that history and physical exam records contain subjective and objective information appropriate to the patient's presenting complaints.
- ☐ Records include documentation that the appropriate laboratory tests are ordered.
- ☐ Records include documentation on encounter forms indicating follow-up care, calls, or visits.
- ☐ Records include documentation that problems for previous visits are addressed at follow-up visits.
- ☐ Records include documentation of client requests for specialty care.
- ☐ Records include documentation of referrals and referral status.
- ☐ Consultations and abnormal lab results have notation in record for follow-up plans.
- ☐ Records include documentation that immunization records are up-to-date.
- ☐ Records include documentation regarding the use of cigarettes, alcohol and substances and the presence or absence of other risk behaviors.
- ☐ Records include indication that preventive screening and services are provided in compliance with SBHC and MCO practice guidelines.