

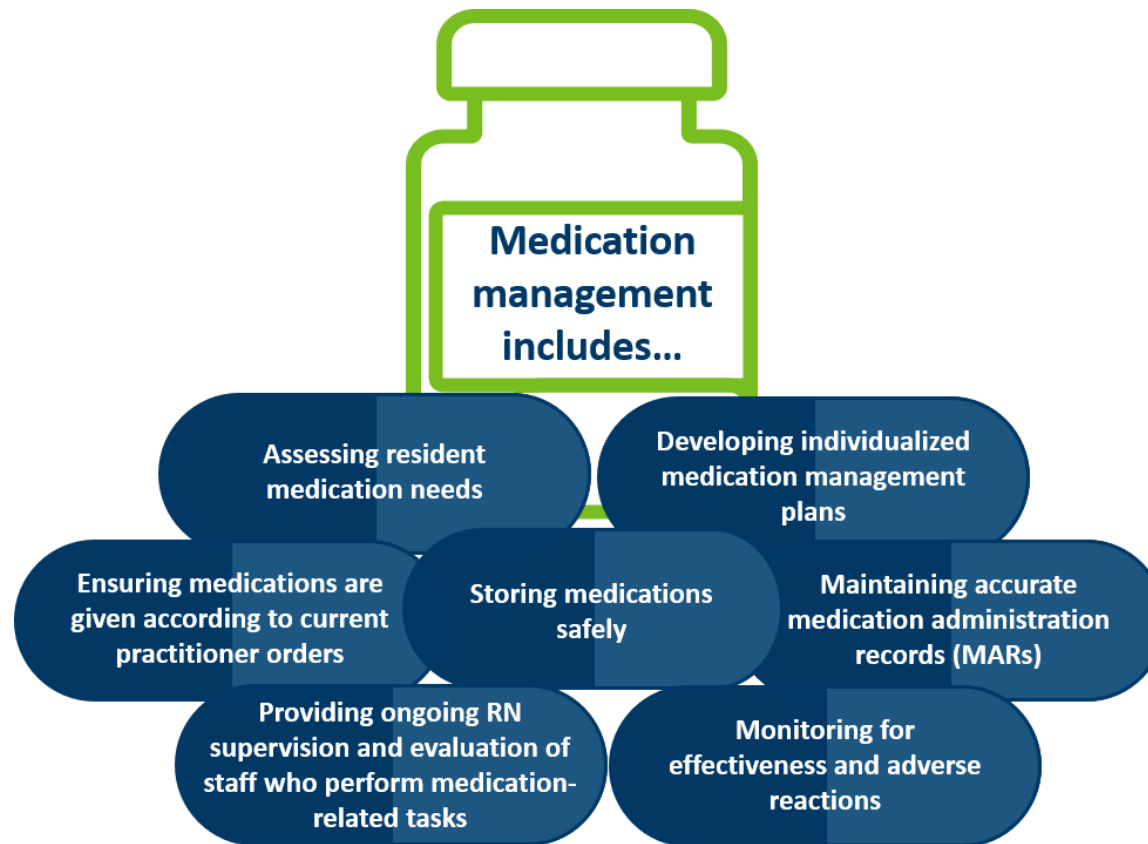
Medication Management Policy and Procedure Self-Audit

Purpose

Medication management is a regulated service that helps individuals served use medications safely and as prescribed. It includes assessing medication needs, developing an individualized medication management plan, following prescriber orders, administering or assisting with medications as authorized, maintaining accurate records, monitoring for concerns, and providing appropriate clinical oversight.

Minnesota regulation requirements for medication management include assessment, planning, medication administration, delegation to unlicensed personnel, documentation, medication storage, medication security, medication disposition, and management of medications when individuals served are away from their home or the facility. These requirements are found in [Minnesota Statute §144A.4792 \(Home Care\)](#) and [Minnesota Statute §144G.71 \(Assisted Living\)](#).

Regular review of medication management policies and procedures can help providers identify compliance gaps, strengthen the safety of individuals served, support staff practice, and improve survey readiness.



Instructions for Use

This policy and procedure self-audit tool is designed to help providers evaluate written medication management policies and procedures for compliance with Minnesota medication management requirements.

Review each audit item and determine whether the organization's written policies and procedures address the requirement. Mark the response that best reflects your findings.

MEDICATION MANAGEMENT POLICY AND PROCEDURE SELF-AUDIT TOOL

How to Rate Each Item

- **Compliant:** Select this rating when the requirement is fully met and supporting evidence is available.
- **Needs Attention:** Select this rating when the requirement is not met or only partially met or when required documentation or evidence cannot be produced. Use the Notes section to describe the issue and any corrective actions needed.
- **Not Applicable:** Select this rating when the requirement does not apply to the provider, service, process, or situation being reviewed.

Note: This tool is intended to support compliance and quality improvement efforts. It does not replace the provider's responsibility to comply with all applicable federal and state laws, regulations, and licensing requirements.

Statutory References: Audit items in this tool are based on [Minnesota Statute §144A.4792 \(Home Care\)](#) and [Minnesota Statute §144G.71 \(Assisted Living\)](#).

Section 1: Policy and Procedure Review

General Medication Management Policies and Procedures

Audit Item	Compliant	Needs Attention	Not Applicable	Notes
General Medication Management Policies and Procedures				
Review written medication management policies and procedures to determine if they address the following requirements:				
Are current and available to staff.				
Are developed under the supervision of a registered nurse (RN), licensed health professional, or pharmacist.				
Address sources of medications including: • Prescribed medications. • Non-prescribed medication. • Over-the counter medications. • Dietary supplements (not prescribed). • Medications provided by the individual served, family members, legal representatives, designated representatives, or other caregivers.				
Address requesting and receiving prescription medications.				
Address receipt, documentation, and handling of verbal prescription orders.				

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Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Address receipt, communication, and retention of written and electronic prescriptions.				
Address renewal of prescriptions and maintenance of current prescriptions.				
Require medication reconciliation and resolution of discrepancies before implementation of medication orders.				
Address preparing and administering medications.				
Require verification that medications are administered as prescribed.				
Require medication management activities to be documented.				
Address medication storage requirements, including room-temperature and refrigerated medications.				
Address medication security.				
Address development and maintenance of individualized medication management records.				
Address medication setup procedures.				
Require development and maintenance of a current				

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Audit Item	Compliant	Needs Attention	Not Applicable	Notes
individualized medication management record for each individual receiving medication management services.				
Address delegation of medication administration to unlicensed personnel.				
Address competency evaluation and supervision of delegated staff.				
Address development of written individual-specific instructions for delegated medication administration.				
Require staff to notify the RN or other appropriate licensed health professional when medication-related concerns arise.				
Address medication monitoring and evaluation.				
Address medication error reporting, investigation, and resolution.				
Address communication with prescribers, pharmacies, and individuals served and their representatives, as applicable.				
Address provider requirements for management of over-the-counter medications and dietary supplements.				

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Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Address informing individuals served and representatives, as applicable, whether prescriptions are required for over-the-counter medications or dietary supplements managed by the provider.				
Address education provided to individuals served and, when applicable, their representatives regarding medication management, medication safety, and prevention of medication diversion.				
Address confidentiality of medication orders, prescriptions, and medication management records.				
Address procedures when medications or dietary supplements are identified that were not included in the medication management assessment.				
Address education regarding medication management, medication safety, and prevention of medication diversion.				
Address management of medications during planned and unplanned absences from home or the facility.				

MEDICATION MANAGEMENT POLICY AND PROCEDURE SELF-AUDIT TOOL

Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Address providing written medication instructions during planned and unplanned absences.				
Address packaging and labeling medications provided during absences.				
Address delegation procedures when medications are provided during unplanned absences.				

Medication Assessment, Monitoring, and Reassessment Policies and Procedures

Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Require medication assessments before medication management services are provided.				
Require medication assessments to be conducted face-to-face.				
Require identification and review of all medications known to be taken by the individual served.				
Address review of medication indications, side effects, contraindications, allergic reactions, and adverse reactions.				
Require identification of medication diversion risks and diversion-prevention interventions.				

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Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Require diversion-prevention instructions to be provided to the individual served and representatives, as applicable.				
Require ongoing monitoring of medication management services.				
Require reassessment of medication management services when medication-related concerns arise and at least annually.				
Address refusal of medication assessment or reassessment, including documentation and discussion of potential consequences.				

Medication Security, Storage, and Disposition Policies and Procedures

Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Require storage of medications in secure locations accessible only to authorized personnel.				
Require storage of medications according to manufacturer instructions.				
Require prescription medications to be maintained in original pharmacy-labeled containers.				

MEDICATION MANAGEMENT POLICY AND PROCEDURE SELF-AUDIT TOOL

Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Require over-the-counter medications and dietary supplements to be maintained in original labeled containers.				
Address security and accountability of controlled substances.				
Prohibit use of one individual's prescription medication by another individual.				
Address medication disposition and disposal when medication management services end, medications are discontinued, medications expire, or an individual dies; including use of applicable Minnesota Board of Pharmacy destruction forms, when required.				
Address provision of current medications to the individual or representative when medication management services end, as applicable.				
Require reporting, investigation, and documentation of controlled substance loss, waste, or spillage.				
Require investigation of missing or unaccounted-for medications.				

MEDICATION MANAGEMENT POLICY AND PROCEDURE SELF-AUDIT TOOL

Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Address documentation requirements for medication disposition.				
Reference or identify the process used for disposal of medications and controlled substances as defined in Minnesota Administrative Rules Part 6800.4220 Schedule II Controlled Substances .				

This material was prepared by Stratis Health under contract with the Minnesota Department of Health (MDH). Use of this tool is not mandated by MDH, nor does its completion ensure regulatory compliance.