COPY

Operational Policy and Procedures

Policy:	Program Site Visits for Renewing a License		
Commission:	Community Services and Programs	**Policy Number:**	BHS/LICEN 307
Contact:	Community Services and Programs Commissioner		
Status:	Approved	**Date Approved:**	01/02/08
Date Reviewed/Revised:	07/07/14	**Effective Date:**	01/01/08
Division:	Behavioral Health Services / SUD	Page **1** of **5**	

POLICY: The Kansas Department for Aging and Disability Services/Behavioral Health Services (BHS) will conduct site visits to Programs as part of the licensure process (*See Standard R03-809*).

PURPOSE: To provide a consistent process for performing program site visits thus ensuring that the regulatory agency for Kansas has oversight of all treatment programs providing alcohol and drug counseling.

PROCEDURE:

KDADS/BHS Central Office and Program Consultants:

1) Each Program Consultant (PC) shall schedule and complete the licensing site visits.
    a) Responsibilities of the PC prior to a site visit for a renewal license include:
        i. At the beginning of each quarter, each PC shall run a site visit list of his/her providers from the AAPS Reports system and schedule the site visits for the following quarter
        ii. Site visits for an upcoming quarter shall be scheduled at least one(1) month prior to the beginning of the upcoming quarter
        iii. Site visit dates shall not be scheduled during the last three (3) weeks of the expiring quarter.
        iv. Each PC shall send the site visit scheduling forms to BHS Central Office.

2) KDADS/BHS Central Office staff will document the scheduled site visit information in the AAPS Reports system and provide official notification to the programs of the scheduled site visit.

3) The PC will notify BHS Central Office of any re-scheduled site visits. BHS Central Office will update the AAPS Reports system and re-send an official notification to the program of the re-scheduled site visit.

4) Two (2) weeks after the official site visit notification has been sent by BHS Central Office, the PC will monitor the AAPS Reports system for notice that the program's application materials have been received in the BHS Central Office.

5) If the application materials have not been received in the BHS Central Office, the PC will draft a letter to be sent to the licensee as a reminder that their application materials were due in the BHS Central Office two (2) weeks after the site review letter was sent. The PC will send the letter to the BHS Central Office for signatures. The letter will be sent out by Central Office staff.

6) If the complete application material have not been received by BHS Central Office, ten (10) business days prior to the scheduled site visit the site visit may be cancelled.

7) BHS Central Office staff will document application materials received, and file those materials electronically for access by the PC.

8) At the beginning of the site visit, the PC will conduct an Entrance Conference giving an overview of the site visit process with the licensee. The PC will complete a "Routine Notice of Confidentiality" form prior to beginning the site review. The provider receives a copy and the PC send an electronic copy with the licensing tool to BHS Central Office.

9) At the end of the site visit the PC will conduct an Exit Briefing, note identified trends of deficiencies, if applicable, found during the site visit with the licensee.

10) The PC shall submit a completed Licensing Tool to BHS Central Office within one (1) week of the site visit and no later than three (3) weeks prior to the expiration date of the license. The site visit report must include a narrative for any section from the Standard's licensing tool which was unmet. Major violations or violations noted for two (2) consecutive years on the licensing tool will require a Corrective Action Plan.

11) BHS Central Office will process and approve the official site visit report.

    a) Prior to approval, BHS Central Office may send the site visit report back to the PC for revisions,
    b) Once finalized, BHS Central Office staff shall forward the official site visit report to the BHS Clinical Services Coordinator and the PC for signatures,
    c) BHS Central Office staff shall generate a license and send it to the BHS

Director and KDADS Secretary for signature,

d) Once the license and site visit reports are signed, the official site visit report and the signed license will be sent to the licensee

Licensees:

1) A Program seeking a **renewal** license in one or more categories of service as described under Licensing Standards Section 7, R03-702 through R03-714 shall, within (2) weeks of receipt of notification of licensure visit, submit the following application materials to BHS Central Office:
   a. An application to the Department for Aging and Disability Services/Behavioral Health Services Central Office,
   b. A licensing fee of $100, per location,
   c. Any changes to the policy manual, (or a statement indicating that no changes have been made), and
   d. Any staff changes including changes to the Board of Directors *(See Standard R03-803 B)*

2) After receiving official notification of a site visit from BHS Central Office, a licensee shall submit their completed application, application fee, applicable waiver request, and any additional required materials (see items listed in B #1) to BHS Central Office within two (2) weeks of the notification. *(See Standards R03-803 B)* The "Application for Licensure / Certification" form also identifies specific application materials required to be submitted with an initial, renewal, or supplemental application.

   A site visit will not be conducted if all required documentation is not received by the Department for Aging and Disability Services/ Behavioral Health Services Central Office prior to the scheduled licensing site visit.

3) The program licensing process may consist of a review of:
   a. Program policies and procedures,
   b. Governing authority documents,
   c. Verification of sufficient qualified personnel for care of clients, and
   d. Other documentation, as the Department for Aging and Disability Services/Behavioral Health Services requires, to determine compliance

(See Standard R03-809 A)

4) An on-site compliance review may consist of:
   a. Client clinical records,
   b. Personnel files, policies, and procedures,
   c. Other documents, as the Department for Aging and Disability Services/Behavioral Health Services requires to determine compliance,
   d. Conducting individual interviews with clients and staff members, and
   e. Evaluation of the physical environment *(See Standard R03-809 B)*

5) Each licensee shall be available to the Department for Aging and Disability Services/Behavioral Health Services at the time of scheduled site visit.
   a. If a licensee is not available or cannot be located at the scheduled time and location by the PC, the license of that program may be denied, suspended or revoked.
   b. Should the licensee need to re-schedule they are responsible for making such arrangements with the PC prior to the site visit.

6) Each licensee shall cooperate with the Department for Aging and Disability Services/Behavioral Health Services staff efforts and with that staff's review of the licensee's ongoing compliance with the requirements of the licensing standards. *(See Standard R03-809 C)*

7) If as a result of a routine or unscheduled site visit, a facility is found not in compliance with applicable standards, the Department for Aging and Disability Services/Behavioral Health Services may issue a site visit report identifying the violations of the applicable standards. *(See Standards R03-804 A, Policy Number LICEN 301, and Major Violations list)*

8) A licensee utilizing an alternative location for services (defined as a location not owned, rented, or leased by the program such as a courthouse, a Department for Children and Families office, a jail, or a library etc.) where files are not stored is not required to have a license for the alternative location. *(Please note: licensee may have requirements to notify funding sources of these additional locations.)*

9) Providers may not store client files at a private residence unless this residence is used as a place of business and is licensed.

10) Certified programs that have electronic health records (EHRs) may have one on site visit at the location of their choice, however, separate applications must be submitted by the program and separate licensing visit tool must be completed by KDADS/BHS staff on each site. This does not pertain to certified residential programs which must always have an on-site visit. Licensed programs with EHRs must always submit a separate application and KDADS/BHS staff must complete a separate on-site visit and licensing tool for each location.

11) The Department for Aging and Disability Services Behavioral Health Services may issue a renewal license/certification for a period of 1, 2, 3, years depending on the facilities level of compliance with the standards which will expire at the end of a quarter of the corresponding calendar year i.e. March 31, June 30, September 30, and December 31. (*See Standard R03-803 A)*
    a. Program licensed with no major violations noted for two (2) consecutive licensing cycles may be eligible for a two (2) year license.
    b. Programs licensed with no major violations noted for three (3) consecutive licensing cycles may be eligible for a three (3) year license.

Approved by:

Behavioral Health Director	7/4/14 Date
Community Services and Programs Commissioner	7/4/14 Date
KDADS Legal Counsel	07/07/14 Date