

# The On-Site Assessment Process

*Summary for Onsite Assessment Teams*

## Who will be assessed?

A list of settings for onsite assessment will be comprised of:

- Settings where an onsite assessment is requested by the provider,
- Onsite assessment is required for heightened scrutiny, and
- A validation sample of providers who attested to being compliant.

## Who will do the assessments?

Assessments will be completed by teams of 2-3 assessors. Ideally each team will include one KDADS Staff, one self-advocate, and one HCBS provider, composition may vary based on the availability of volunteers. Whenever possible teams will be located in the same geographic area and assess settings in their geographic area.

Qualified volunteers not assigned to a team may be used as alternates where needed.

Whenever possible, volunteer assessors will complete settings for Waivers different from the one(s) they directly work with. Where this is not possible, at minimum assessors (aside from KDADS staff) will not assess sites in their service area or they are in direct competition with.

## How do we know who we're assessing?

- KDADS will notify each team of the setting(s) they will assess by email. This email will include the provider name, contact information, addresses associated with the setting, and setting type.
- KDADS Staff will notify the provider that they were selected for validation and the name/contact information for the KDADS staff assigned to complete the assessment.

## How is the assessment scheduled?

- The assigned team will be responsible for scheduling the onsite assessment.
- If a team member is not available to participate, an alternate may be used. KDADS staff will decide what alternate to use.
- If you aren't able to participate in an assessment, please let the State Staff on your team know as soon as you can!
- The KDADS staff assigned to the team will take the lead in scheduling and organizing the onsite assessment and communicating with the other team members and notifying the provider of the date and time the team plan to complete the assessment. If there is more than one address associated with the setting, the KDADS Staff will also let the provider know what location they will be reviewing.
  - A standard notification email will be developed for KDADS Staff to use for this notification, it will include what information the team needs to see so that this information is readily available at the time of the onsite assessment.

## Completing the assessment:

- The team will work together to review records, interviews, and onsite observation in order to complete one assessment form. The assessment includes four areas- a document review, PCSP Process/Plan review, consumer interview, and onsite observation. These areas together give the team a picture of the setting and whether it complies with the final rule.
- If your team cannot agree on a response on the Onsite Assessment Tool, note this on the assessment with information provided by the provider. The KDADS QA Program Manager and HCBS Director will provide further review.
  - Provider Expectations: It is the responsibility of the provider to provide access to the setting, necessary information to facilitate completion of the onsite assessment, including policies and procedures, a staff to be available to answer questions, and access to and privacy for consumers.
- Customer Interviews- if the person served selected to participate in the interview portion of the assessment refuse to participate, please ask the provider if there is someone else you can interview. If not, note this in the comments and leave this portion of the assessment blank.

## After the assessment:

- The KDADS staff on the team will submit the Onsite Assessment Tool to the KDADS QA Program Manager
- The QA Program Manager and HCBS Director will review the Onsite Assessment Tool and notify the provider of the outcome within 30 business days.
  - If all responses on the assessment tool are 'yes', the setting is in fact fully compliant.
  - Any 'no' responses will need to be reviewed further, as this indicates that the setting isn't compliant. The provider will be given the opportunity to provide clarification and additional information before being determined not/partially compliant.
  - The provider will be notified of the outcome of their onsite assessment (compliant/not compliant) and any next steps after the assessment has been reviewed by the QA Program Manager and HCBS Director
  - If determined not/partially compliant based on the onsite assessment, KDADS Staff will begin working with the provider to develop a plan for compliance.