

General Guidelines for BASIS Assessors

THE BASICS of BASIS

Each CDDO has developed local protocols that outline responsibilities to assure that the BASIS assessment process goes smoothly. A copy of the local protocols should be made available by the local CDDO upon request and, at a minimum, will include;

WHO will be responsible for assuring people are invited to the meeting;

WHAT information should be provided for the meeting and when

WHEN the meeting will be held

WHERE the meeting will be held.

THE INITIAL/ANNUAL ASSESSMENT PROCESS:

Who should be providing input on the assessment?

The BASIS assessment meeting is the best opportunity for people to provide input on how the questions in the assessment should be answered. It is also the opportunity to work through issues when different people have a different point of view. For a BASIS to be completed accurately it is important for everyone to have an opportunity to participate. The people invited to the meeting will vary for each person, but in general should include;

- The person if at all possible and as appropriate
- A representative from each service provider
- The Guardian, if one is appointed
- Case Manager
- Teachers (for children in school)
- Friends invited by the consumer or guardian
- Anyone in the person's life who has knowledge to contribute

All of the people invited to the BASIS meeting should have the ability to give their point of view without fear or retaliation from anyone. It is critical that the information shared results in an accurate snapshot of the person's skills and abilities and also accurately reflects the challenges the person may have presented during the most recent twelve month period.

When should documentation be provided?

The CDDO local protocols should indicate the timelines for submitting information to the BASIS assessor. In general, it is best to try to get as much information as possible to the assessor prior to the meeting. However, this is not always possible.

One outcome from the meeting may be that additional information is needed to complete the assessment. If this is the case the outcome should also include the name of the person who will be responsible for getting the information to the BASIS assessor and by what date that information will be submitted.

What should I do if someone cannot make the meeting?

If a person(s) cannot make the meeting, the local CDDO protocols should identify who will be responsible to gather information from those people.

What documentation needs to be available/completed at the BASIS meeting?

1. The screener should have a blank copy of the assessment. Additional blank copies can also be helpful because some people like to be able to follow along as the assessment is being completed.
2. If the assessment is for an annual re-determination of eligibility, it is helpful for the screener to have a copy of the previous annual assessment. The previous assessment can be helpful to review and generate a discussion about how to answer a question for the upcoming year.
3. It is strongly suggested that a sign up sheet is available that (at a minimum) requests the following information;
 - Consumer Name
 - Where the meeting was held
 - SSN
 - Date
 - Sign in line (print name and title) for attendance purposes
 - Checkbox as to whether or not consumer was present
 - Area to document disagreements or items that may still be in question.
 - Comment area for the screener
4. Information will be needed to support the frequency of occurrence for several of the questions. Examples of information that will be requested in local CDDO protocols include; data regarding frequencies of behaviors and behavior support plans if appropriate, documentation supporting medical conditions (including current medication regimens) and person-centered support plans.

Besides the assessment, what else should be discussed at the BASIS meeting?

The assessment meeting often presents an excellent opportunity to also review the information and services sections of BASIS. In some CDDO areas, depending on the local protocols, the information section is required to be updated, in other areas this may be optional. Regardless, it is critical that the information in both of these sections be reviewed periodically and updated as needed because the BASIS database provides CSS the information that is needed to provide CDDOs their annual allocations for both HCBS and State General Funded services. Also, the dates in the service section are used to determine a persons' position on the waiting list for specific services.

WHAT IF THERE IS A DISPUTE ABOUT THE OUTCOME OF THE ASSESSMENT?

The best way to avoid having a dispute regarding the outcome of the assessment is to have an open and well facilitated BASIS meeting. CDDOs are encouraged to ask participants to sign-off at the end of the meeting indicating they agree with how the assessment questions were answered. If consensus cannot be achieved, those who disagree with how questions were scored should have the opportunity, in writing, to document those concerns. The CDDO's protocols should outline the timelines for submitting this documentation.

Who can appeal the findings of the assessment?

If the assessment results in a finding of Tier 0, the consumer has been harmed (i.e. he/she has been found ineligible for a funding source) and therefore certainly has a right to appeal the finding. This process would begin at the local CDDO through its' local dispute resolution process. If the dispute cannot be resolved at the local level, the notice of action sent by SRS to the consumer defines who the consumer can appeal to at the State level.

If the result of the assessment is a tier change between the 1 and 5 tiers, then the consumer continues to be eligible for HCBS services, there has been no harm to the consumer, therefore the consumer has no appeal rights.

In the event that a provider or other participant in the assessment meeting challenges how a question was answered, the CDDO needs to make a determination as to whether or that question(s) was/were answered correctly based on the information that was provided. If the CDDO determines it would be appropriate to make changes and it is still in the persons' birth month, the CDDO can resubmit the assessment with changes one time, without special permission. If needed changes are identified and it is no longer within the birth month, a request for special permission to change the assessment should be made to the MR/DD Program Manager and those requests will be limited to the following;

1. Identified errors in data entry
2. Critical information was not available for the meeting that would support a needed change to a question

In addition, special assessments outside of the birth month may be requested of the program manager for those situations when a person;

1. Has experienced a life altering event, and;
2. The event is likely to continue for the foreseeable future, and;
3. As a result of the event, the person requires additional staff support.