

SUD BHS LICENSING/CERTIFICATION PROTOCOL

Acronyms used in this protocol

BHS – Behavioral Health Services
PC – Program Consultant
CO – Central Office
CAP – Corrective Action Plan
SV – Site Visit

A. Preparation For The Licensing/Certification Site Visit:

1. The PC will schedule their quarterly site visits at least a month prior to the beginning of a quarter. Once the PC has scheduled their site visit, they will email a completed “Site Visit Letter Request” form for each Provider location to the BHS Administrative Specialist.
2. The BHS Administrative Specialist will process the “Site Visit Letter Request” form within 5 business days of receiving the form. The Site Visit Packet will be sent to providers either by mail or email. The SV letter will be saved in the program file on the Shared drive.
3. The Provider will upon receipt of the “Site Visit Scheduled” letter,
 - a. For **licensure renewal**, a provider needs to send their completed application, fee, waiver requests, and any changes to their P & P manual, organizational chart, and clinical staff credentials.
 - b. For **initial licensure**, a provider needs to send their completed application, fee, a complete P & P manual, organizational chart, all clinical staff credentials, and any waiver requests.
 - c. For **certification**, a provider needs to send their completed application, fee, accredited body certificate or Mental Health license, survey findings, CAPs from their survey, last on-site survey results, clinical staff credentials and waiver requests.
 - d. For **certification renewal**, a provider needs to send their completed application, fee, waiver requests, any changes to clinical staff credentials. *If renewed in the past certification cycle*, the following are **not** needed; Mental Health license, survey findings, CAPs from their survey, last on-site survey results.
4. As the application material is received in BHS CO, the BHS Administrative Specialist will complete the Application Check List. The application materials will be saved in the program file and the checklist will be emailed to the PC.
5. The PC needs to check the HCPAPPS folder for materials received from the provider.
6. Waiver Request
 - a. When a waiver request is received from a provider, the BHS Administrative Specialist will give the request to the Clinical Services Coordinator within 2 business days. The Clinical Services Coordinator will approve or deny any waivers within 30 business days.
 - b. The Clinical Services Coordinator will complete the signature/approval page of the waiver form and give the completed form to the BHS Administrative Specialist.
 - c. Within 2 business days of receiving the completed waiver request form from the Clinical Services Coordinator, the BHS Administrative Specialist will:
 - i. send the completed Waiver Request to the Provider,

- ii. email the completed Waiver Request to the PC,
 - iii. save the completed Waiver Request in the Program File on the S Drive.
 - iv. input waivers into the Maintenance Program.
- 7. Within 2 business days of a completed (all required material) licensure application being received in CO, the BHS Administrative Specialist will input a completed date into the “Application & Fee Received” area of the Maintenance Program.
- 8. Providers applying for Certification:
 - a. Once CO receives a completed application and materials, the BHS Administrative Specialist will within 2 business days email the checklist to the assigned BHS Staff for review.
 - b. If the materials are complete and there are no concerns about the accrediting body, the assigned BHS Staff will approve or deny the certification request and email the PC and BHS Administrative Specialist that the certification for the provider is approved. The BHS Administrative Specialist will save a copy of the email in the program file.
 - c. If the certification is not approved, then the assigned BHS Staff will make contact with the provider for more information or to advise they are not eligible. If the certification request is not approved, the assigned BHS Staff will notify the provider and copy the PC and BHS Administrative Specialist. The BHS Administrative Specialist will save the email in the program file.
- 10. Incomplete applications:
 - a. The PC will email a “2 week letter” to the BHS Administrative Specialist for the BHS Administrative Specialist to send to the provider **IF**,
 - i. it has been two (2) weeks since the “Site Visit Scheduled” Letter has been sent to the provider **AND**
 - ii. all the required application material has not been received in CO.
 - b. By the next business day after receiving the “2 week letter” from the PC, the BHS Administrative Specialist will place an electronic signature of the PC on the letter and send it to the provider and copy the PC.
 - c. The BHS Administrative Specialist will save a copy of the “2 week letter” in the program file.
- 11. Before cancelling a site visit:
 - a. The PC will again check the program folder 2 business days prior to a Site Visit. If there is not a completed application and required materials in the folder, the PC will contact the BHS Administrative Specialist to verify that the information has not been received.
 - b. The site visit will be cancelled, **IF**,
 - i. the “2 week letter” has been sent **AND**
 - ii. it is 24 hours prior to the scheduled site visit **AND**
 - iii. the completed application and materials have not been received in CO
 - c. The PC will contact the Clinical Services Coordinator by email for approval when needing to cancel a site visit for **ANY** reason.
- 12. When cancelling a Site Visit:
 - a. The PC will notify Program Director by telephone of the cancellation.
 - b. On the same day as the phone call, the PC will email the provider stating the Site Visit has been cancelled (see sample email). The Clinical Services Coordinator and BHS Administrative Specialist will be copied on the email.
 - c. The BHS Administrative Specialist will save a copy of email in the program file.

- d. If the provider **does not have an email address**, a letter will be mailed to the provider within 24 hours of the phone call (see sample letter). The PC will complete and mail the letter. The PC must copy and send electronically a signed copy of the letter to the Clinical Services Coordinator and BHS Administrative Specialist.
 - e. The BHS Administrative Specialist will save the “SV Cancelled Letter” in the program file.
13. Rescheduling a Site Visit after cancellation of Site Visit or any other time:
- a. The PC needs to receive approval from the Clinical Services Coordinator before rescheduling a site visit.
 - b. IF, the reschedule is approved, the Clinical Services Coordinator will email the approval to the PC and copy BHS Administrative Specialist.
 - c. The PC should complete a “Site Visit Letter Request” form for each Provider location and email it (them) to the BHS Administrative Specialist. The reason for the reschedule should be included on the form.
 - d. Within 3 business days of receiving the “Site Visit Request” from the PC, the BHS Administrative Specialist will generate a “Site Visit Rescheduled” letter from the Maintenance Program.
14. License extension:
- a. A provider not submitting a completed application and material IS NOT a reason according to Policy LICEN 302 to grant an extension.
 - b. According to Policy LICEN 302 an extension will be granted due to extenuating circumstances, such as; death, illness, loss of program staff, or extended leave of absence.

B. Conducting the Licensing Site Visit

- 1. The PC will document the report of the site visit using the approved Licensing Tools. All audit forms completed at the site visit should be filed at Central office.
- 2. An Entrance Conference begins the licensing site visit. It allows for introductions, reviewing the purpose of the visit, clarification, housekeeping details, selecting client files and personnel files, etc.
- 3. All KDADS staff at the site visit and the Program Designee must sign the “The Routine Notice of Confidentiality” for each location on individual forms.
- 4. Clinical Records Reviews
 - a. The Clinical Records Audit Tool is used when reviewing clinical charts. Each audit tool should designate the location of the clinical files reviewed.
 - b. The PC will request a current client list from the provider to randomly choose files to review.
 - c. The following are recommendations for the number of files to be reviewed.
 - i. For a sole proprietor with 1 to 2 counselors, 5 open and 5 closed.
 - ii. For larger programs with 3 or more counselors, 10 to 20 files depending on the size of the program. It is recommended to review a few open and closed files from each counselor.
 - iii. A PC may always request and review more open and closed charts as they feel necessary.
- 5. Review of Personnel Files
 - 1. The Personnel Records Checklist is used when reviewing personnel files.

2. Personnel records for ALL clinical alcohol and drug staff and for employees providing transportation need to be reviewed. At adolescent programs, a criminal and abuse and neglect background check must be completed on ALL clinical alcohol and drug staff and other staff who provide direct services to the adolescents. Random files for other employees may be reviewed, i.e. techs.
6. The information documented on Clinical Records Audit Tool and Personnel Records Checklist is used when completing the Licensing Tool.

C. Conclusion of the Licensing Site Review

1. PC Meeting
 - a. Any KDADS staff participating in the licensing site visit need to meet prior to the conclusion of the site visit to compile and organize the information obtained during the site visit. The PC assigned to the program will be the designated lead in the exit briefing.

Exit Briefing

- a. At the end of the licensing site visit the PC or licensing team will meet with the Executive Director and/or other designated staff of the provider. During this briefing, PC will thank the center for services they provide, share strengths identified and answer questions for the Provider. The PC will not provide detailed findings, deficiencies, violations, such as specific charts identified. The PC will only identify trends of deficiencies found. The PC will remind the provider that the information the PC is giving is only preliminary and the final report will come from BHS CO.

D. Licensing Site Review Report

1. Submission of the Site Visit Report to Central Office
 - a. The PC will use the Licensing Tool to complete the Site Visit Report form.
 - b. The Site Visit Report Form needs to be completed and submitted to CO within one (1) business week of the site visit.
 - c. The PC will email the completed licensing/certification tool and the “Routine Notice of Confidentiality” to the BHS Administrative Specialist. The documents need to be named with the program name and date, *i.e. ProviderNameLicensingTool2010*. If a provider has multiple locations a separate licensing tool and/or documents should be completed for each location and the document name should include the location in the document name. *i.e. ProviderNameLoclicensingTool2010*. Please use the Corporate name of the program & the location unless they are “DBA”. *i.e. DCCCAElmAcresLicensingTool2012 or since Mirror has 2 Wichita locations, MirrorWichPattieLicensingTool2012, or RalphBStopOrmeLicensingTool2012*. No characters or spaces such as _,/,&,() should be used in the name.
 - d. In the email the PC will include:
 - i. The site visit date(s)
 - ii. Modalities to license the provider
 - iii. Number of beds for any residential modality
 - iv. Expiration date of the new license
2. What CO will do with the Site Visit Report

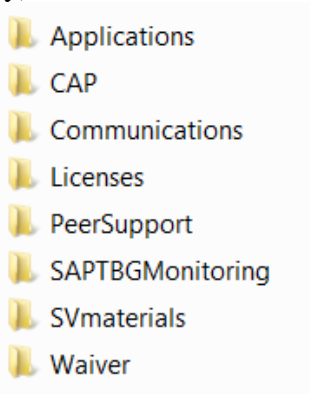
- a. When the BHS Administrative Specialist receives the email with the Site Visit Report and audit documents from the PC, the BHS Administrative Specialist will begin the process of obtaining the Secretary's signature for the paper license for the provider.
 - b. The Clinical Services Coordinator will review the Site Visit Report Form and any audit tools necessary. If any changes are required on the Site Visit Report, the Clinical Services Coordinator will email the BHS Administrative Specialist who will email the PC with suggested and required changes. The PC will resubmit the revised Site Visit Report to the BHS Administrative Specialist.
 - c. The BHS Administrative Specialist will complete a draft SV cover letter with the information from the PC email.
 - d. The BHS Administrative Specialist will email the cover letter and report to the Clinical Services Coordinator and PC.
 - e. The Clinical Services Coordinator and PC will approve or make suggested changes to the cover letter. The Clinical Services Coordinator and PC will email their approvals to the BHS Administrative Specialist.
 - f. The BHS Administrative Specialist will send the cover letter, Site Visit Report and license to the provider. The BHS Administrative Specialist will email the cover letter to the PC, Provider, assigned Trending PC and designated person(s) at ValueOptions.
 - g. The BHS Administrative Specialist will save the cover letter, Site Visit Report form, and licensing/certification tool in the Program File.
3. After the Site Visit Report is Sent to the Provider
 - a. If the Site Visit Cover Letter identified Major Violations, or required a CAP, the PC will follow the CAP Protocol.

The treatment files for licensed programs on the s/drive are organized by year.
The year/date is determined by when a document is; created, received, saved.

The reason the files are not organized by the licensing year is due to many factors; when documents are received, extensions, caps, misc communications, the licensing Qtrs. It was determined there are many factors that would cause confusion on a licensing year.

Below is the layout for Program files

S/HCPAPPS, Treatment Providers, Programs
(alphabetically),



<u>Most frequent abbreviations</u>	
County	Co
Center	Ctr
Recovery	Rcvy
Recover	Rcvr
Alcohol	Alc
Letter	Ltr
Credential	Cred
Response	Rsp
Received	Rcvd
Community	Comm
Corrections	Corr
Addiction	Addic
Advanced	Adv
Central	Ctrl
Topeka	Tpka
Professional	Prof
Counseling	Coun
Outpatient	OP
Overland Park	OvPk
Site visit report	SvRpt
Preferred	Pref
Family	Fam
Document	Doc
Change	Chg
Behavior	Beh
Wichita	Wich

Examples on how to save a document:

- KingsWinfComplaintRsp012211
- MirrorNewSvRpt010111
- DrevetsCredOrg040312
- AConnecPointeRoutNot050810
- NewBegLicTool or NewBegLicensingTool012611
- SeKsMhcFortScottLicLoc060510

Things to remember:

Capitalize the first letter of each word
No spaces!!! No characters!! (_ & # .)

Abbreviate to keep file names from getting too long
Do Not expect someone to go to the s/drive & clean up
file names, to this day emails are sent with all caps, (_) or (-) between program names

Ask if in doubt!

Be careful when clicking, program folders have inadvertently been moved under another program or deleted all together!!!! If you can't find a program folder, do a search for it and see if the computer can find it.