



Kansas Department of Social and Rehabilitation Services

Operational Policy and Procedure

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|-------------------------------|--|------------------------|-----------|
| Policy: | Program Site Visits for Renewing a License | | |
| Division: | Health Care Policy | Policy Number: | LICEN 307 |
| Contact: | Addiction and Prevention Services Director | | |
| Status: | Approved | Date Approved: | 01/02/08 |
| Date Reviewed/Revised: | | Effective Date: | 01/01/08 |
| Department: | Addiction and Prevention Services (AAPS) | Page: | 1 of 4 |

POLICY: The Kansas Department of Social and Rehabilitation Services/Addiction and Prevention Services 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:

A) AAPS Central Office and Program Consultants:

1) Quality Assurance Program Consultants (QAPC) shall schedule and complete the licensing site visits. Responsibilities of the QAPC prior to a site visit for a renewal license include:

- a) At the beginning of a quarter, QAPCs shall run a site visit list of their Providers from the AAPS Reports system and schedule the site visits for the following quarter.
- b) Site visits for an upcoming quarter shall be scheduled at least 3 weeks prior to the beginning of the upcoming quarter.
- c) Site visit dates shall not be scheduled during the last three (3) weeks of the expiring quarter.
- d) QAPCs shall send the site visit scheduling forms to AAPS Central Office.

2) AAPS 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) QAPCs will notify AAPS Central Office of any re-scheduled site visits. AAPS 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 AAPS Central Office, QAPCs will monitor the AAPS Report System for notice that the Program's application materials have been received in the AAPS Central Office.



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

6) AAPS Central Office staff will provide to the QAPC the application materials submitted to AAPS Central Office.

7) At the beginning of the site visit, the QAPC will conduct an overview of the site visit process with the licensee. QAPCs will complete a "Routine Notice of Confidentiality" prior to beginning the site review.

8) The QAPC will conduct an exit interview and note the deficiencies, if applicable, found during the site visit with the licensee.

9) The QAPC shall submit a completed site visit report to AAPS Central Office within one (1) week of the site visit and no later than three (3) 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. An unmet Standard will result in a Corrective Action Plan.

10) AAPS Central Office will process and approve the official site visit report.

a) Prior to approval, AAPS Central Office may send the site visit report back to the QAPC for revisions.

b) Once finalized, AAPS Central Office staff shall forward the official site visit report to the AAPS Clinical Services Coordinator and the QAPC for signatures.

c) AAPS Central Office staff shall generate a license and send it to the Secretary of SRS's office for signature.

d) Once the license is signed by the Secretary of SRS, the official site visit report and the signed license will be sent to the licensee.

B) Providers:



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- 1) After receiving official notification of a site visit from AAPS Central Office, a licensee shall mail their completed application, application fee, applicable waiver requests, and any additional required materials (see items listed in B #2) to AAPS Central Office within 2 weeks of the notification (*Section R03-803 B*). The "Application for Licensure/Certification" form also identifies specific application materials required to be submitted with an initial, renewal, or supplemental applications. **A site visit will not be conducted if all required documentation is not received by Department of Social and Rehabilitation Services/Addiction and Prevention Services Central Office prior to the scheduled licensing site visit.**
- 2) 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 of Social and Rehabilitation Services/Addiction and Prevention Services requires, to determine compliance (*See Standard R03-809 A*).
- 3) An on-site compliance review may consist of:
 - a) Client clinical records,
 - b) Personnel files, policies, and procedures,
 - c) Other documents, as the Department of Social and Rehabilitation Services/Addiction and Prevention 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*).
- 4) An alcohol and other drug treatment licensee applying for renewal of their license shall:
 - a) Submit an application upon notification of licensure visit from the Kansas Department of Social and Rehabilitation Services, and
 - b) Submit a licensing fee of \$100 with the application materials within 2 weeks of receipt, (of the official notification from AAPS)



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- c) Submit any changes to the policy manual, and
- d) Submit any staff changes including changes to the Board.
(See Standard R03-803) (See Policy Number LICEN 300)

5) Each potential applicant or licensee shall be available to the Department of Social and Rehabilitation Services/Addiction and Prevention Services at the time of scheduled site visit.

a) If an applicant or licensee is not available or cannot be located at the scheduled time and location by the QAPC, the license of that Program may be denied, suspended or revoked.

b) Should the applicant or licensee need to re-schedule they are responsible for making such arrangements with the QAPC prior to the site visit.

6) Each potential applicant or licensee shall cooperate with the Department of Social and Rehabilitation Services/Addiction and Prevention 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 of Social and Rehabilitation Services/Addiction and Prevention Services may issue a site visit report identifying the deficiencies of the applicable Standards (See Standard R03-804 A), (See Policy Number LICEN 301).

Approved by: _____

Addiction and Prevention Services Director

01/02/2008
Date