

Billing Procedures

Section: Functional Assessment

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Title: Functional Assessment Protocol

Procedure No: 1

Effective Date: 7/2014

Purpose: A functional assessment must be completed to determine an individual's initial and on-going eligibility for the HCBS Intellectual/Developmental Disability (I/DD) Waiver. The functional assessment also determines the individual's tier rate for the purpose of reimbursement for some I/DD Waiver services.

For a functional assessment to be completed, the following conditions must be met:

1. The person must meet the I/DD definition as established by statute and regulation;
2. Assessment information must be completed if the person is five years of age or older;
3. The person, family, or guardian must indicate willingness to accept services if offered;
4. The person has requested or is receiving one or more I/DD Waiver services, or the person is receiving other funded I/DD system services and the person's service provider has requested an assessment to determine a reimbursement rate for those services.
5. The person, family, or guardian is contacted annually and indicates the continued need for services or support.

Protocol:

1. All CDDO staff conducting functional assessments must have successfully completed training approved by the State.
2. Revisions to demographic information can be made at any time. To request changes to demographic information, the person's Targeted Case Manager will complete the Notice of Change form and send it to the CDDO for data entry.
3. The assessment is updated annually within 365 days of the last assessment, if the person currently receives services or scored a Tier 0 on their last assessment.
4. Persons who require an annual assessment and have not participated in or scheduled the assessment within 30 days of the assessment due date will be sent an assessment declination letter to sign and return to the CDDO, indicating their desire to not conduct an assessment and to be terminated from the I/DD system.
5. Children under age 11 will also have the Children's Assessment completed at the time of their annual assessment.
6. An electronic copy of the assessment and the person's tier rate is available to the person's current service providers through the CDDO's Basic Consumer Information (BCI) system.

7. Assessments which result in a change of two or more tier levels, or a change to or from a tier 0, will require a Tier Review form to be completed by the CDDO with the person's Targeted Case Manager.
8. Notice of Action Reports will be made available to the person's current service providers in the CDDO's BCI system.

To Request a Re-Assessment

The criteria for receiving special permission as outlined in the assessment manual are the following:

1. Reporter error which directly impacted **ELIGIBILITY** (either made the person eligible or ineligible when they should not have been), or
2. There have been **SUBSTANTIAL CHANGES THAT REQUIRE ADDITIONAL SUPPORTS, HAVE BEEN DOCUMENTED FOR A PERIOD OF AT LEAST 90 DAYS AND WERE NOT REASONABLY ASCERTAINABLE AT THE TIME OF THE ASSESSMENT**, or
3. The individual has experienced significant and long-term life altering events that require additional supports and will impact their life for the foreseeable future. For example: stroke, car accident or other medical emergency.

Protocol:

1. Submit the request for the re-assessment to the Director of CDDO Administration.
2. The request should contain a) information detailing the significant change in the person's condition, b) what question(s) and sub-set(s) in the Assessment have been impacted by the person's change in condition that needs to be re-assessed, c) documentation to support changes to questions requesting to be re-assessed, and d) a revised Person Centered Support Plan documenting the significant changes in the person's condition.
3. If the request is approved by the CDDO, then the CDDO will submit a request for a special re-assessment to the I/DD Waiver Manager and the answer will be returned to the Targeted Case Manager. If the request is denied by the CDDO, then the request will be returned to the Targeted Case Manager with the CDDO's response and procedure for appealing the CDDO's decision.
4. If the re-assessment is approved, then a date for the re-assessment should be scheduled and conducted as soon as possible and the revisions will be entered by the CDDO.

To Request an Appeal

Per KDADS guidelines, an appeal can only be requested for an assessment that has resulted in a score of Tier 0 which determines the person ineligible for HCBS. Any assessment results for Tiers 1-5, the person remains eligible for HCBS and therefore has not been harmed. An appeal for an ineligible assessment result will follow the CDDO's Dispute Resolution process. If there is a disagreement on how a question was scored, contact the CDDO staff who completed the assessment. Per KDADS guidelines, a change to an assessment after data entry can only be made if there was a data entry error or critical information was not available at the time of the meeting that would support a needed change to a question.