

**San Gabriel/Pomona Regional Center  
Targeted Case Management and  
Nursing Home Reform  
Monitoring Review Report**

**Conducted by:**

**Department of Developmental Services**

**May 12 - 16, 2008**

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## EXECUTIVE SUMMARY

The Department of Developmental Services (DDS) conducted a federal compliance monitoring review of the Targeted Case Management (TCM) and Nursing Home Reform (NHR) programs May 12, 2008 through May 16, 2008, at San Gabriel/Pomona Regional Center (SG/PRC). The monitoring team selected 37 consumer records for the TCM review. A sample of ten records was selected from consumers who had previously been referred to SG/PRC for a NHR assessment.

### Purpose of the Review

Case management services for regional center consumers with developmental disabilities were added as a medical benefit to the Medi-Cal State Plan in 1986 under Title XIX of the Social Security Act. TCM services are those “. . . services which will assist individuals in gaining access to needed medical, social, educational, and other services.” DDS implemented the TCM program statewide on July 1, 1988.

The NHR Pre-Admission Screening/Resident Review (PAS/RR) program involves determining whether an individual in a nursing facility with suspected developmental disabilities is developmentally disabled and requires specialized services.

### Overview of the TCM/NHR Compliance Monitoring Protocol

The review criteria for the TCM and NHR programs are derived from federal and state statutes and regulations and the Centers for Medicare & Medicaid Services guidelines relating to the provision of these services.

### Findings

#### Section I – Targeted Case Management

Thirty-seven consumer records, containing 2,438 billed units, were reviewed for three criteria during the period of review. The sample records were 100% in compliance for criterion 1 (TCM service and unit documentation matches the information transmitted to DDS), 95% in compliance for criterion 2 (TCM service documentation is consistent with the definition of TCM service), and 100% in compliance for criterion 3 (TCM service documentation identifies the service coordinator recording the notes and each note is dated).

#### Section II – Nursing Home Reform

Ten consumer records were reviewed for three criteria. The ten sample records were 100% in compliance for all three criteria.

## SECTION I TARGETED CASE MANAGEMENT

### Criterion

1. The Targeted Case Management (TCM) service and unit documentation matches information transmitted to the Department of Developmental Services (DDS).

### Findings

SG/PRC transmitted 2,438 TCM units to DDS for the 37 sample consumers. Documentation supporting all of these units was found in the sample consumer records.

### Recommendations

None.

2. The TCM service documentation billed to DDS is consistent with the definition of TCM service.

### Findings

The sample of 37 consumer records contained 2,438 billed TCM units. Of this total, 2,316 (95%) of the units contained descriptions that were consistent with the definition of TCM services. Allowable TCM units are based on services which assist consumers and/or their families to gain access to resources and services; assessment of level of functioning to assist in determining the appropriate care, training, and services to be provided to consumers and/or their families; reviewing and analyzing consumers' medical, social, and psychological evaluations; consulting with other professionals; and developing consumers' individual program plans.

One hundred twenty-two of the billed TCM units had descriptions of activities that were not consistent with the definition of TCM services, were not sufficient to determine if the activities could be considered case management or did not appear to support the amount of time claimed. Detailed information on these findings and the specific actions required has been sent under separate cover letter.

Recommendation	Regional Center Plan/Response
SG/PRC should ensure that the time spent on the identified activities that are inconsistent with TCM claimable services (sent separately) is reversed.	SG/PRC will ensure that units identified as not TCM claimable services are reversed by June 30, 2008.

3. The TCM documentation identifies the service coordinator recording the notes and

each note is dated.

### Findings

The TCM documentation in the 37 sample consumer records identified the service coordinator and the date of the service.

### Recommendations

None.

## SECTION II NURSING HOME REFORM

### Criterion

1. There is evidence of dispositions for the Department of Developmental Services' (DDS) Nursing Home Reform (NHR) referrals.

#### Findings

The ten sample consumer records contained either a Pre-Admission Screening/Resident Review (PAS/RR) Level I document or NHR automated printout.

#### Recommendations

None.

2. The disposition is reported to DDS.

#### Findings

The ten sample consumer records contained either a PAS/RR Level II document or written documentation responding to a Level I referral.

#### Recommendations

None.

3. The regional center submitted a claim for the referral disposition.

#### Findings

The billing information for the ten sample consumers had been entered into the AS 400 computer system and electronically transmitted to DDS.

#### Recommendations

None.

**SAMPLE CONSUMERS**  
**TCM Review**

#	UCI	#	UCI
1	XXXXXXXX	20	XXXXXXXX
2	XXXXXXXX	21	XXXXXXXX
3	XXXXXXXX	22	XXXXXXXX
4	XXXXXXXX	23	XXXXXXXX
5	XXXXXXXX	24	XXXXXXXX
6	XXXXXXXX	25	XXXXXXXX
7	XXXXXXXX	26	XXXXXXXX
8	XXXXXXXX	27	XXXXXXXX
9	XXXXXXXX	28	XXXXXXXX
10	XXXXXXXX	29	XXXXXXXX
11	XXXXXXXX	30	XXXXXXXX
12	XXXXXXXX	31	XXXXXXXX
13	XXXXXXXX	32	XXXXXXXX
14	XXXXXXXX	33	XXXXXXXX
15	XXXXXXXX	34	XXXXXXXX
16	XXXXXXXX	35	XXXXXXXX
17	XXXXXXXX	36	XXXXXXXX
18	XXXXXXXX	37	XXXXXXXX
19	XXXXXXXX		

**NHR Review**

#	UCI
1	XXXXXXXX
2	XXXXXXXX
3	XXXXXXXX
4	XXXXXXXX
5	XXXXXXXX
6	XXXXXXXX
7	XXXXXXXX
8	XXXXXXXX
9	XXXXXXXX
10	XXXXXXXX

**ATTACHMENT I  
 TCM DISTRIBUTION OF FINDINGS**

<b>CRITERION PERFORMANCE INDICATOR</b> <b>Sample Size: 37 Records</b> <b>Billed Units Reviewed: 2,438</b>	<b># OF OCCURRENCES</b>			<b>% OF OCCURRENCES</b>	
	<b>YES</b>	<b>NO</b>	<b>NA</b>	<b>YES</b>	<b>NO</b>
1. The TCM service and unit documentation matches the information transmitted to DDS.	2,438			100%	
2. The TCM service documentation billed to DDS is consistent with the definition of TCM service.	2,316	122		95%	
3. The TCM service documentation is signed and dated by appropriate regional center personnel.	2,438			100%	

**NHR DISTRIBUTION OF FINDINGS**

<b>CRITERION PERFORMANCE INDICATOR</b> <b>Sample Size: 10 Records</b>	<b># OF OCCURRENCES</b>			<b>% OF OCCURRENCES</b>	
	<b>YES</b>	<b>NO</b>	<b>NA</b>	<b>YES</b>	<b>NO</b>
1. There is evidence of dispositions for DDS NHR referrals.	10			100	
2. Dispositions are reported to DDS.	10			100	
3. The regional center submits claims for referral dispositions.	10			100	