

**Inland Regional Center  
Targeted Case Management and  
Nursing Home Reform  
Monitoring Review Report**

**Conducted by:**

**Department of Developmental Services**

**March 15 - 18, 2010**

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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 March 15-18, 2010, at Inland Regional Center (IRC). The monitoring team selected 50 consumer records for the TCM review. A sample of ten records was selected from consumers who had previously been referred to IRC 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

Fifty consumer records, containing 3,810 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), 94% 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).

### Finding

IRC transmitted 3,810 TCM units to DDS for the 50 sample consumers. Documentation supporting all of these units was found in the sample consumer records.

### Recommendation

None.

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

Allowable TCM units are based on services which assist consumers to gain access to needed social, educational, medical or other services and include the following components: 1) assessment and periodic reassessment to determine service needs; 2) development and periodic revision of an individual program plan (IPP) based on the information collected through the assessment or reassessment; 3) monitoring and follow-up activities, including activities and contacts that are necessary to ensure that the IPP is effectively implemented and adequately addresses the needs of the consumer; and 4) referral and related activities to help the consumer obtain needed services. However, it is important to note that TCM does not include the direct provision of these needed services.

### Finding

The sample of 50 consumer records contained 3,810 billed TCM units. Of this total, 3,593 (94%) of the units contained descriptions that were consistent with the definition of TCM services. Two hundred seventeen of the billed TCM units had descriptions of activities that were not consistent with the definition of TCM services or were not sufficient to determine if the activities could be considered case management. Detailed information on these findings and the specific actions required will be sent under a separate cover letter.

Recommendation	Regional Center Plan/Response
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IRC should ensure that the time spent on the identified activities that are inconsistent with TCM claimable services (sent separately) is reversed.	Claims will be reversed or reduced as indicated on TCM Chart (sent separately.)
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3. The TCM documentation identifies the service coordinator recording the notes and each note is dated.

Finding

The TCM documentation in the 50 sample consumer records identified the service coordinator and the date of the service.

Recommendation

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.

#### Finding

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.

#### Finding

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

#### Recommendations

None.

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

#### Finding

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	26	XXXXXXXX
2	XXXXXXXX	27	XXXXXXXX
3	XXXXXXXX	28	XXXXXXXX
4	XXXXXXXX	29	XXXXXXXX
5	XXXXXXXX	30	XXXXXXXX
6	XXXXXXXX	31	XXXXXXXX
7	XXXXXXXX	32	XXXXXXXX
8	XXXXXXXX	33	XXXXXXXX
9	XXXXXXXX	34	XXXXXXXX
10	XXXXXXXX	35	XXXXXXXX
11	XXXXXXXX	36	XXXXXXXX
12	XXXXXXXX	37	XXXXXXXX
13	XXXXXXXX	38	XXXXXXXX
14	XXXXXXXX	39	XXXXXXXX
15	XXXXXXXX	40	XXXXXXXX
16	XXXXXXXX	41	XXXXXXXX
17	XXXXXXXX	42	XXXXXXXX
18	XXXXXXXX	43	XXXXXXXX
19	XXXXXXXX	44	XXXXXXXX
20	XXXXXXXX	45	XXXXXXXX
21	XXXXXXXX	46	XXXXXXXX
22	XXXXXXXX	47	XXXXXXXX
23	XXXXXXXX	48	XXXXXXXX
24	XXXXXXXX	49	XXXXXXXX
25	XXXXXXXX	50	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: 50 Records</b> <b>Billed Units Reviewed: 3,810</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.	3,810			100%	
2. The TCM service documentation billed to DDS is consistent with the definition of TCM service.	3,593	217		94%	6%
3. The TCM service documentation is signed and dated by appropriate regional center personnel.	3,810			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	