

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

Conducted by:

Department of Developmental Services

November 2-6, 2015

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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 from November 2-6, 2015, at Kern Regional Center (KRC). The monitoring team selected 33 consumer records for the TCM review. A sample of four records was selected for consumers who had previously been referred to KRC for an 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 Center for Medicare and Medicaid Services guidelines relating to the provision of these services.

Findings

Section I – Targeted Case Management

Thirty-three consumer records, containing 2,543 units, were reviewed for three criteria. The sample records were 100 percent in compliance for criterion 1 (TCM service and unit documentation matches the information transmitted to DDS), 84 percent in compliance for criterion 2 (TCM service documentation is consistent with the definition of TCM service), and 100 percent in compliance for criterion 3 (TCM service documentation identifies the individual who wrote the note and the date the note was completed).

Section II – Nursing Home Reform

Four consumer records were reviewed for three criteria. The four sample records were 100 percent in compliance for criterion 1 (records contain evidence of DDS' NHR referrals), 100 percent in compliance for criterion 2 (reporting disposition of referrals to DDS), and 100 percent in compliance for criterion 3 (submission of billing claims forms).

SECTION I TARGETED CASE MANAGEMENT

Criterion

1. The TCM service and unit documentation matches information transmitted to DDS.

Finding

KRC transmitted 2,543 TCM units to DDS for the 33 sample consumers. All of the recorded units matched the number of units reported to DDS.

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.

Findings

The 33 sample consumer records contained 2,543 billed TCM units. Of this total, 2,195 (86 percent) of the units contained descriptions that were consistent with the definition of TCM services. Three hundred forty-eight of the billed 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. It should be noted that of the total number of units not identified as case management, 86 percent were identified as money management activities. Detailed information on these findings and the specific actions required will be sent under a separate cover letter.

Recommendation	Regional Center Plan/Response
KRC should ensure that the time spent on money management and the other identified activities that are inconsistent with TCM services (sent separately) are reversed.	KRC will conduct TCM training with staff in the fall of 2016 to ensure accurate reporting of TCM. The 348 units, which had descriptions of activities that were not consistent with the definition of TCM services, have been reversed.

3. The TCM documentation identifies the service coordinator recording the notes, and each note is dated.

Finding

The TCM documentation in the 33 sample consumer records identified the service coordinator who wrote the note and the date the service was completed.

Recommendation

None

SECTION II NURSING HOME REFORM

Criterion

1. There is evidence of dispositions for DDS' NHR referrals.

Finding

The four sample consumer records contained a copy of the PAS/RR Level I form, or the NHR automated printout.

Recommendation

None

2. The disposition is reported to DDS.

Finding

The four sample consumer records contained a PAS/RR Level II document or written documentation responding to DDS' request for a disposition.

Recommendation

None

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

Finding

The billing information for all four sample consumers had been entered into the AS 400 computer system.

Recommendation

None

**SAMPLE CONSUMERS
TCM Review**

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

NHR Review

#	UCI
1	XXXXXX
2	XXXXXX
3	XXXXXX
4	XXXXXX

ATTACHMENT I

TCM DISTRIBUTION OF FINDINGS

CRITERION PERFORMANCE INDICATOR Sample Size: 33 Records Billed Units Reviewed: 2,543	# OF OCCURRENCES			% OF OCCURRENCES	
	YES	NO	NA	YES	NO
1. The TCM service and unit documentation matches the information transmitted to DDS.	2,543			100	
2. The TCM service documentation billed to DDS is consistent with the definition of TCM service.	2,195	348		86	14
3. The TCM documentation identifies the service coordinator recording the notes, and each note is dated.	2,543			100	

NHR DISTRIBUTION OF FINDINGS

CRITERION PERFORMANCE INDICATOR Sample Size: 4 Records	# OF OCCURRENCES			% OF OCCURRENCES	
	YES	NO	NA	YES	NO
1. There is evidence of dispositions for DDS NHR referrals.	4			100	
2. Dispositions are reported to DDS.	4			100	
3. The regional center submits claims for referral dispositions.	4			100	