

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

**Conducted by:**

**Department of Developmental Services**

**May 11-13, 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 May 11-13, 2015, at North Bay Regional Center (NBRC). The monitoring team selected 45 consumer records for the TCM review. A sample of seven records was selected for consumers who had previously been referred to NBRC 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 & Medicaid Services' guidelines relating to the provision of these services.

### Findings

#### Section I – Targeted Case Management

Forty-five consumer records, containing 3,557 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), 87 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

Seven consumer records were reviewed for three criteria. The seven 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

NBRC transmitted 3,557 TCM units to DDS for the 45 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 45 sample consumer records contained 3,557 billed TCM units. Of this total, 3,106 (87 percent) of the units contained descriptions that were consistent with the definition of TCM services. Four hundred fifty-one 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. Detailed information on these findings and the specific actions required will be sent under a separate cover letter.

Recommendation	Regional Center Plan/Response
NBRC should ensure that the time spent on the identified activities that are inconsistent with TCM services (sent separately) is reversed.	All TCMs that have been recommended to be reversed will be converted to DDS to delete. NBRC will then resubmit notes identified as the Federal Definition of Case Management.

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

Finding

The TCM documentation in the 45 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 seven 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 seven 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 seven sample consumers had been entered into the AS 400 computer system.

#### Recommendation

None

**SAMPLE CONSUMERS  
TCM Review**

#	UCI	#	UCI
1	XXXXXXXX	24	XXXXXXXX
2	XXXXXXXX	25	XXXXXXXX
3	XXXXXXXX	26	XXXXXXXX
4	XXXXXXXX	27	XXXXXXXX
5	XXXXXXXX	28	XXXXXXXX
6	XXXXXXXX	29	XXXXXXXX
7	XXXXXXXX	30	XXXXXXXX
8	XXXXXXXX	31	XXXXXXXX
9	XXXXXXXX	32	XXXXXXXX
10	XXXXXXXX	33	XXXXXXXX
11	XXXXXXXX	34	XXXXXXXX
12	XXXXXXXX	35	XXXXXXXX
13	XXXXXXXX	36	XXXXXXXX
14	XXXXXXXX	37	XXXXXXXX
15	XXXXXXXX	38	XXXXXXXX
16	XXXXXXXX	39	XXXXXXXX
17	XXXXXXXX	40	XXXXXXXX
18	XXXXXXXX	41	XXXXXXXX
19	XXXXXXXX	42	XXXXXXXX
20	XXXXXXXX	43	XXXXXXXX
21	XXXXXXXX	44	XXXXXXXX
22	XXXXXXXX	45	XXXXXXXX
23	XXXXXXXX		

**NHR Review**

#	UCI
46	XXXXXXXX
47	XXXXXXXX
48	XXXXXXXX
49	XXXXXXXX
50	XXXXXXXX
51	XXXXXXXX
52	XXXXXXXX

## ATTACHMENT I

### TCM DISTRIBUTION OF FINDINGS

CRITERION PERFORMANCE INDICATOR Sample Size: 45 Records Billed Units Reviewed: 3,557	# OF OCCURRENCES			% OF OCCURRENCES	
	YES	NO	NA	YES	NO
1. The TCM service and unit documentation matches the information transmitted to DDS.	3,557			100	
2. The TCM service documentation billed to DDS is consistent with the definition of TCM service.	3,106	451		87	13
3. The TCM documentation identifies the service coordinator recording the notes and each note is dated.	3,557			100	

### NHR DISTRIBUTION OF FINDINGS

CRITERION PERFORMANCE INDICATOR Sample Size: 7 Records	# OF OCCURRENCES			% OF OCCURRENCES	
	YES	NO	NA	YES	NO
1. There is evidence of dispositions for DDS NHR referrals.	7			100	
2. Dispositions are reported to DDS.	7			100	
3. The regional center submits claims for referral dispositions.	7			100	