

**South Central Los Angeles Regional Center
Targeted Case Management and
Nursing Home Reform
Monitoring Review Report**

Conducted by:

Department of Developmental Services

March 21–23, 2016

TABLE OF CONTENTS

EXECUTIVE SUMMARY.....	page 3
SECTION I: TARGETED CASE MANAGEMENT	page 4
SECTION II: NURSING HOME REFORM.....	page 6
SAMPLE CONSUMERS	page 7
ATTACHMENT I: TCM AND NHR DISTRIBUTION OF FINDINGS.....	page 8

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 March 21–23, 2016, at South Central Los Angeles Regional Center (SCLARC). The monitoring team selected 38 consumer records for the TCM review. A sample of 10 records was selected from consumers who had previously been referred to SCLARC 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 Centers for Medicare & Medicaid Services’ guidelines relating to the provision of these services.

Findings

Section I – Targeted Case Management

Thirty-eight consumer records, containing 2,490 billed units, were reviewed for three criteria. The sample records were 99 percent in compliance for criterion 1 (TCM service and unit documentation matches the information transmitted to DDS), 96 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

Eight consumer records were reviewed for three criteria. The eight sample records were 100 percent 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

SCLARC transmitted 2,490 TCM units to DDS for the 38 sample consumers. Of this total, 2,480 (99 percent) of the units had documentation supporting the number of units reported to DDS. Ten of the units did not have supporting documentation. A detailed description of this finding and the actions required will be sent under a separate cover letter to DDS.

Recommendation	Regional Center Plan/Response
SCLARC should ensure that the time claimed for units without supporting documentation is reversed.	<p>RESPONSE: SCLARC reversed the units in compliance with DDS recommendation.</p> <p>PLAN: SCLARC will ensure that the Management Information Systems (MIS) department is aware and trained on the proper procedures regarding the reversal of TCM units.</p>

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 sample of 38 consumer records contained 2,490 billed TCM units. Of this total, 2,384 (96 percent) of the units contained descriptions that were consistent with the definition of TCM services.

Recommendation	Regional Center Plan/Response
<p>SCLARC should ensure that the time spent on the identified activities that are inconsistent with TCM claimable services (sent separately) is reversed.</p>	<p>RESPONSE: SCLARC reversed the unit(s) and modified the Activity Code to Miscellaneous (M) in compliance with DDS recommendation.</p> <p>PLAN: SCLARC’s trainer reviewed with service coordinators the TCM Protocol related to ID notes for administrative tasks and case management activities.</p>

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

Finding

The TCM documentation in the 38 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 the Department of Developmental Services' (DDS) Nursing Home Reform (NHR) referrals.

Finding

The eight sample consumer records contained a copy of the Pre-Admission Screening/Resident Review (PAS/RR) Level I form, or NHR automated printout.

Recommendation

None.

2. The disposition is reported to DDS.

Finding

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

Recommendation

None.

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

Finding

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

Recommendation

None.

SAMPLE CONSUMERS

TCM Review

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

NHR Review

#	UCI
1	XXXXXX
2	XXXXXX
3	XXXXXX
4	XXXXXX
5	XXXXXX
6	XXXXXX
7	XXXXXX
8	XXXXXX

ATTACHMENT I

TCM DISTRIBUTION OF FINDINGS

CRITERION PERFORMANCE INDICATOR Sample Size: 38 Records Billed Units Reviewed: 2,490	# OF OCCURRENCES			% OF OCCURRENCES	
	YES	NO	NA	YES	NO
1. The TCM service and unit documentation matches the information transmitted to DDS.	2,480	10	0	99	1
2. The TCM service documentation billed to DDS is consistent with the definition of TCM service.	2,384	106	0	96	4
3. The TCM service documentation is signed and dated by appropriate regional center personnel.	2,490	0	0	100	0

NHR DISTRIBUTION OF FINDINGS

CRITERION PERFORMANCE INDICATOR Sample Size: 8 Records	# OF OCCURRENCES			% OF OCCURRENCES	
	YES	NO	NA	YES	NO
1. There is evidence of dispositions for DDS NHR referrals.	8	0	0	100	0
2. Dispositions are reported to DDS.	8	0	0	100	0
3. The regional center submits claims for referral dispositions.	8	0	0	100	0