

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

Conducted by:

Department of Developmental Services

September 9-20, 2024

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EXECUTIVE SUMMARY

The Department of Developmental Services (the Department) conducted a federal compliance monitoring review of the Targeted Case Management (TCM) and Nursing Home Reform (NHR) programs from September 9-20, 2024 at Golden Gate Regional Center (GGRC). The monitoring team selected 36 records of individuals served for the TCM review for the review period of June 1, 2023, through May 31, 2024. A sample of 10 records were selected from individuals who had previously been referred to GGRC for an NHR assessment.

Purpose of the Review

Case management services for individuals served at the regional center who have 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." The Department implemented the TCM program statewide on July 1, 1988.

The NHR Pre-Admission Screening/Resident Review program involves determining whether an individual in a nursing facility with suspected developmental disabilities, has a developmental disability 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-six records of individuals served, containing 2,122 billed 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 the Department, 98 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

Ten records of individuals served were reviewed for three criteria. The 10 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.

Finding

GGRC transmitted 2,122 TCM units to the Department for the 36 sample records of individuals served. Of this total, 2,080 (98 Percent) of the units had documentation supporting the number of units reported to the Department.

Recommendation

None

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

Allowable TCM units are based on services which assist individuals served 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 individual; and 4) referral and related activities to help the individual 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 36 records of individuals served contained 2,122 billed TCM units. Of this total, 2,080 (98 percent) of the units contained descriptions that were consistent with the definition of TCM services.

Recommendation	Regional Center Plan/Response
GGRC should ensure that the time spent on the identified activities that are inconsistent with TCM claimable services (sent separately) is reversed.	Entries have been reviewed and reversed or reduced.

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

Finding

The TCM documentation in the 36 sample records of individuals served 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's Nursing Home Reform (NHR) referrals.

Finding

The 10 sample records of individuals served 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 the Department.

Finding

The 10 sample records of individuals served 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 10 sample of individuals served had been entered into the AS 400 computer system and electronically transmitted to the Department.

Recommendation

None

SAMPLE OF INDIVIDUALS SERVED

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

NHR Review

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

ATTACHMENT I

TCM DISTRIBUTION OF FINDINGS

CRITERION PERFORMANCE INDICATOR Sample Size: 36 Records Billed Units Reviewed: 2,122	# OF OCCURRENCES			% OF OCCURRENCES	
	YES	NO	NA	YES	NO
1. The TCM service and unit documentation matches the information transmitted to the Department.	2,122	0		100	
2. The TCM service documentation billed to the Department is consistent with the definition of TCM service.	2,080	42		98	2
3. The TCM service documentation is signed and dated by appropriate regional center personnel.	2,122			100	

NHR DISTRIBUTION OF FINDINGS

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