

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

**Conducted by:**

**Department of Developmental Services**

**May 11-13, 2015**

## 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 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	6134720	24	7176023
2	6529200	25	7177076
3	7173049	26	7180086
4	7173134	27	7180097
5	7173317	28	7180174
6	7179068	29	7181197
7	7180099	30	7182230
8	7182003	31	7184346
9	7183215	32	7186218
10	7186342	33	7186269
11	7191365	34	7186280
12	7197415	35	7186468
13	8012024	36	7188130
14	5499033	37	7189586
15	7110703	38	7192404
16	7140720	39	7193300
17	7174224	40	7196448
18	7181220	41	7197171
19	6106561	42	6152067
20	6151478	43	7131971
21	6527360	44	7135948
22	7139634	45	7136470
23	7173081		

### NHR Review

#	UCI
46	7183004
47	7184064
48	7178143
49	6458369
50	7182003
51	7722982
52	7132099

## 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	