

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

Conducted by:

Department of Developmental Services

September 11-22, 2023

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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 September 11-22, 2023 at Westside Regional Center (WRC). The monitoring team selected 29 records of individuals served for the TCM review for the review period of June 1, 2022 through May 31, 2023. A sample of 10 records was selected from individuals who had previously been referred to WRC for an NHR assessment.

Purpose of the Review

Case 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." DDS 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

Twenty-nine records of individuals served, containing 2,175 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), 99 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 of Developmental Services (DDS).

Finding

WRC transmitted 2,175 TCM units to DDS for the 29 sample records of individuals served. Of this total, 2,167 (99 percent) of the units had documentation supporting the number of units reported to DDS.

Recommendation	Regional Center Plan/Response
WRC should ensure that the time claimed for units without supporting documentation is reversed.	Time claimed for units without supporting documentation have been reversed.

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 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 29 records of individuals served contained 2,167 billed TCM units. Of this total, 2,139 (99 percent) of the units contained descriptions that were consistent with the definition of TCM services.

Recommendation	Regional Center Plan/Response
WRC should ensure that the time spent on the identified activities that are inconsistent with TCM claimable services (sent separately) is reversed.	Time claimed for units inconsistent with TCM claimable 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 29 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 of Developmental Services' (DDS) 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 DDS.

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 DDS.

Recommendation

None

SAMPLE OF INDIVIDUALS SERVED

TCM Review

#	UCI
1	5467386
2	7922503
3	7617857
4	7612480
5	7610325
6	7604137
7	7324861
8	7694438
9	7606079
10	7411260
11	7429970
12	7610250
13	7601052
14	7610879
15	7612607
16	8242630
17	6015168
18	6041784
19	5697420
20	6043044
21	7600279
22	7613008
23	7622161
24	7413241
25	7632373
26	7629138
27	7624398
28	7634369
29	7620768

NHR Review

#	UCI
1	4856852
2	7605297
3	5836622
4	6213216
5	7200290
6	7218737
7	7420006

8	7610791
9	7602145
10	7604977

ATTACHMENT I

TCM DISTRIBUTION OF FINDINGS

CRITERION PERFORMANCE INDICATOR Sample Size: 29 Records Billed Units Reviewed: 2,175	# OF OCCURRENCES			% OF OCCURRENCES	
	YES	NO	NA	YES	NO
1. The TCM service and unit documentation matches the information transmitted to DDS.	2,167	8		99	1
2. The TCM service documentation billed to DDS is consistent with the definition of TCM service.	2,139	28		99	1
3. The TCM service documentation is signed and dated by appropriate regional center personnel.	2,167			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 DDS NHR referrals.	10			100	
2. Dispositions are reported to DDS.	10			100	
3. The regional center submits claims for referral dispositions.	10			100	