

**San Gabriel/Pomona Regional Center
Targeted Case Management and
Nursing Home Reform
Monitoring Review Report**

Conducted by:

Department of Developmental Services

March 25-April 12, 2024

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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 March 25 through April 12, 2024, at San Gabriel/Pomona Regional Center (SG/PRC). The monitoring team selected 37 records of individuals served for the TCM review for the review period of December 1, 2022, through November 30, 2023. A sample of 10 records was selected from individuals who had previously been referred to SG/PRC 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." 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

Thirty-seven records of individuals served, containing 3,347 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 DDS), 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 of Developmental Services (DDS).

Finding

SG/PRC transmitted 3,347 TCM units to DDS for the 37 sample records of individuals served. 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 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 37 records of individuals served contained 3,347 billed TCM units. Of this total, 3,286 (98 percent) of the units contained descriptions that were consistent with the definition of TCM services.

Recommendation	Regional Center Plan/Response
SG/PRC should ensure that the time spent on the identified activities that are inconsistent with TCM claimable services (sent separately) is reversed.	SG/PRC's IT Department reversed the identified unclaimable TCM units on 8/8/2024. Training will be provided as part of New Staff Orientation and routine Medicaid Waiver Training.

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

Finding

The TCM documentation in the 37 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	7595244
2	4907259
3	7301827
4	5898762
5	5431838
6	7998266
7	7923781
8	7972919
9	7408063
10	7921619
11	7311295
12	5960414
13	1979663
14	6023857
15	7610412
16	7312600
17	1978020
18	1975050
19	7303447
20	7406847
21	7923257
22	7602447
23	6411834
24	7308108
25	7910921
26	7319429
27	1977711
28	7997328
29	7999318
30	7998228
31	7930383
32	7965471
33	7455955
34	7968410
35	7955768
36	6049900
37	7937353

NHR Review

#	UCI
1	5538905
2	7925582
3	7999084
4	7921718
5	4907945
6	7954766
7	6803809
8	7925219
9	7930820
10	7932078

ATTACHMENT I

TCM DISTRIBUTION OF FINDINGS

CRITERION PERFORMANCE INDICATOR Sample Size: 37 Records Billed Units Reviewed: 3,347	# OF OCCURRENCES			% OF OCCURRENCES	
	YES	NO	NA	YES	NO
1. The TCM service and unit documentation matches the information transmitted to DDS.	3,347	0		100%	
2. The TCM service documentation billed to DDS is consistent with the definition of TCM service.	3,286	61		98%	2%
3. The TCM service documentation is signed and dated by appropriate regional center personnel.	3,347			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%	