



Alfredo Vigil, MD
Secretary

DEPARTMENT OF

Building a Healthy New Mexico!

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Deputy Secretary

Duffy Rodriguez
Deputy Secretary

Jessica Sutin
Deputy Secretary

Karen Armitage, MD
Chief Medical Officer

Date: November 3, 2009

To: Abel Valdez, Executive Director
Provider: Journey's Day Program, Inc.
Address: 2509 Vermont St. NE Suite A-2
State/Zip: Albuquerque, New Mexico 87110

CC: Juan A. Valdez, Chairman
Address: P.O. Box 8432
State/Zip: Fairview, New Mexico 87533

E-mail Address: ryan@journeysinc.org

Region: Metro & Northeast
Survey Date: August 31 – September 8, 2009
Program Surveyed: Developmental Disabilities Waiver
Service Surveyed: Community Living (Family Living) & Community Inclusion (Adult Habilitation)
Survey Type: Routine
Team Leader: Crystal Lopez-Beck, BA, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau
Team Members: Marti Madrid, LBSW, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Nadine Romero, LBSW, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Barbara Czinger, MSW, LISW, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau & Florie Alire, RN, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau

Dear Mr. Valdez,

The Division of Health Improvement/Quality Management Bureau has completed a quality review survey of the services identified above. The purpose of the survey was to determine compliance with federal and state standards; to assure the health, safety, and welfare of individuals receiving services through the Developmental Disabilities Waiver; and to identify opportunities for improvement.

Quality Management Approval Rating:

The Division of Health Improvement/Quality Management Bureau is issuing your agency a "SUB-STANDARD" rating for significant non-compliance with DDS Standards and regulations; additionally your agency is being referred to the Internal Review Committee for consideration of remedies and possible sanctions.

Plan of Correction:

The attached Report of Findings identifies deficiencies found during your agency's survey. You are required to complete and implement a Plan of Correction (POC). Please submit your agency's Plan of Correction (POC) in the space on the two right columns of the Report of Findings. See attachment A for additional guidance in completing the POC. The response is due to the parties below within 10 working days of the receipt of this letter:

"Assuring safety and quality of care in New Mexico's health facilities and community-based programs."

David Rodriguez, Division Director • Division of Health Improvement

Division of Health Improvement • Quality Management Bureau • 5301 Central Ave NE • Suite 400 • Albuquerque, New Mexico 87108
(505) 222-8633 • FAX: (505) 222-8661

DHI Quality Review Survey Report – Journey's Day Program - Metro & Northeast Region - September 1 - 8, 2009

Survey Report #: Q10.01.D0775.METRO&NE.001.RTN.01

1. Quality Management Bureau, Attention: Plan of Correction Coordinator
5301 Central Ave. NE Suite 400 Albuquerque, NM 87108
2. Developmental Disabilities Supports Division Regional Office for region of service surveyed.

Upon notification from QMB that your Plan of Correction has been approved, you must implement all remedies and corrective actions within 45 working days. If your plan of correction is denied, you must resubmit a revised plan ASAP for approval. All remedies must still be completed within 45 working days of the original submission.

Failure to submit, complete or implement your POC within the required time frames will result in the imposition of a \$200 per day Civil Monetary Penalty until it is received, completed and/or implemented.

Request for Informal Reconsideration of Findings (IRF):

If you disagree with a determination of noncompliance (finding) you have 10 working days upon receipt of this notice to request an IRF. Submit your request for an IRF in writing to:

QMB Deputy Bureau Chief
5301 Central Ave NE Suite #400
Albuquerque, NM 87108
Attention: IRF request

A request for an IRF will not delay the implementation of your Plan of Correction which must be completed within 45 working days. Providers may not appeal the nature or interpretation of the standard or regulation, the team composition, sampling methodology or the Scope and Severity of the finding.

If the IRF approves the change or removal of a finding, you will be advised of any changes.

This IRF process is separate and apart from the Informal Dispute Resolution (IDR) and Fair Hearing Process for Sanctions from DOH.

Please call the Team Leader at 505-699-9356 if you have questions about the survey or the report. Thank you for your cooperation and for the work you perform.

Sincerely,



Crystal Lopez-Beck, BA
Team Lead/Healthcare Surveyor
Division of Health Improvement
Quality Management Bureau

Survey Process Employed:

Entrance Conference Date: September 1, 2009

Present: **Journey's Day Program, Inc.**
Ryan Munsell, Quality Assurance Director
Rod Maestas, Chief Financial Officer

DOH/DHI/QMB

Crystal Lopez-Beck, BA, Team Lead/Healthcare Surveyor
Marti Madrid, LBSW, Healthcare Surveyor
Florie Alire, RN, Healthcare Surveyor

Exit Conference Date: September 3, 2009

Present: **Journey's Day Program, Inc.**
Ryan Munsell, Quality Assurance Director
Rod Maestas, Chief Financial Officer

DOH/DHI/QMB

Crystal Lopez-Beck, BA, Team Lead/Healthcare Surveyor
Marti Madrid, LBSW, Healthcare Surveyor
Florie Alire, RN, Healthcare Surveyor

DDSD - Metro Regional Office

Regina Lewis, Social & Community Services Coordinator

Homes Visited Number: 10

Administrative Locations Visited Number: 1

Total Sample Size Number: 12
0 - Jackson Class Members
12 - Non-Jackson Class Members
12 - Family Living
5 - Adult Habilitation

Persons Served Interviewed Number: 4

Persons Served Observed Number: 8

Records Reviewed (Persons Served) Number: 12

Administrative Files Reviewed

- Billing Records
- Medical Records
- Incident Management Records
- Personnel Files
- Training Records
- Agency Policy and Procedure
- Caregiver Criminal History Screening Records
- Employee Abuse Registry
- Human Rights Notes and/or Meeting Minutes
- Nursing personnel files
- Evacuation Drills
- Quality Improvement/Quality Assurance Plan

CC: Distribution List: DOH - Division of Health Improvement
DOH - Developmental Disabilities Supports Division
DOH - Office of Internal Audit
HSD - Medical Assistance Division

Provider Instructions for Completing the QMB Plan of Correction (POC) Process

- After a QMB Quality Review, your Survey Report will be sent to you via certified mail. You may request that it also be sent to you electronically by calling George Perrault, Plan of Correction Coordinator at 505-222-8647.
- Within 10 business days of the date you received your survey report, you must develop and send your Plan of Correction response to the QMB office. (Providers who do not pick up their mail will be referred to the Internal Review Committee [IRC]).
- For each Deficiency in your Survey Report, include specific information about HOW you will correct each Deficiency, WHO will fix each Deficiency (“Responsible Party”), and by WHEN (“Date Due”).
- Your POC must not only address HOW, WHO and WHEN each Deficiency will be corrected, but must also address overall systemic issues to prevent the Deficiency from reoccurring, i.e., Quality Assurance (QA). Your description of your QA must include specifics about your self-auditing processes, such as HOW OFTEN you will self-audit, WHO will do it, and WHAT FORMS will be used.
- Corrective actions should be incorporated into your agency’s Quality Assurance/Quality Improvement policies and procedures.
- You may send your POC response electronically to George.Perrault@state.nm.us, by fax (505-222-8661), or by postal mail.
- Do not send supporting documentation to QMB until after your POC has been approved by QMB.
- QMB will notify you if your POC has been “Approved” or “Denied”.
- Whether your POC is “Approved” or “Denied”, you have a maximum of 45 business days to correct all survey Deficiencies from the date of receipt of your Survey Report. If your POC is “Denied” it must be revised and resubmitted ASAP, as the 45 working day limit is in effect. Providers whose revised POC is denied will be referred to the IRC.
- The POC must be completed on the official QMB Survey Report and Plan of Correction Form, unless approved in advance by the POC Coordinator.
- The following Deficiencies must be corrected within the deadlines below (after receipt of your Survey Report):
 - CCHS and EAR: 10 working days
 - Medication errors: 10 working days
 - IMS system/training: 20 working days
 - ISP related documentation: 30 working days
 - DDSD Training 45 working days
- If you have questions about the POC process, call the QMB POC Coordinator, George Perrault at 505-222-8647 for assistance.
- For Technical Assistance (TA) in developing or implementing your POC, contact your local DDSD Regional Office.
- Once your POC has been approved by QMB, the POC may not be altered or the dates changed.
- Requests for an extension or modification of your POC (post approval) must be made in writing and submitted to the POC Coordinator at QMB, and are approved on a case-by-case basis.
- When submitting supporting documentation, organize your documents by Tag #s, and annotate or label each document using Individual #s.
- Do not submit original documents, hard copies or scanned and electronically submitted copies are fine. Originals must be maintained in the agency/client file(s) as per DDSD Standards.
- Failure to submit, complete or implement your POC within the required timeframes will result in a referral to the IRC and the possible imposition of a \$200 per day Civil Monetary Penalty until it is received, completed and/or implemented.

QMB Scope and Severity Matrix of survey results

Each deficiency in your Report of Findings is scored on a Scope and Severity Scale. The culmination of each deficiency's Scope and Severity is used to determine degree of compliance to standards and regulations and level of QMB Certification.

			SCOPE		
			Isolated 01% - 15%	Pattern 16% - 79%	Widespread 80% - 100%
SEVERITY	High Impact	Immediate Jeopardy to individual health and or safety	J.	K.	L.
		Actual harm	G.	H.	I.
	Medium Impact	No Actual Harm Potential for more than minimal harm	D.	E.	F. (3 or more)
		D. (2 or less)	F. (no conditions of participation)		
	Low Impact	No Actual Harm Minimal potential for harm.	A.	B.	C.

Scope and Severity Definitions:

Key to Scope scale:

Isolated:

A deficiency that is limited to 1% to 15% of the sample, usually impacting no more than one or two individuals in the sample.

Pattern:

A deficiency that impacts a number or group of individuals from 16% to 79% of the sample is defined as a pattern finding. Pattern findings suggest the need for system wide corrective actions.

Widespread:

A deficiency that impacts most or all (80% to 100%) of the individuals in the sample is defined as widespread or pervasive. Widespread findings suggest the need for system wide corrective actions as well as the need to implement a Continuous Quality Improvement process to improve or build infrastructure. Widespread findings must be referred to the Internal Review Committee for review and possible actions or sanctions.

Key to Severity scale:

Low Impact Severity: (Blue)

Low level findings have no or minimal potential for harm to an individual. Providers that have no findings above a "C" level may receive a "Quality" Certification approval rating from QMB.

Medium Impact Severity: (Tan)

Medium level findings have a potential for harm to an individual. Providers that have no findings above a "F" level and/or no more than two F level findings and no F level Conditions of Participation may receive a "Merit" Certification approval rating from QMB.

High Impact Severity: (Green or Yellow)

High level findings are when harm to an individual has occurred. Providers that have no findings above "I" level may only receive a "Standard" Approval rating from QMB and will be referred to the IRC.

High Impact Severity: (Yellow)

"J, K, and L" Level findings:

This is a finding of Immediate Jeopardy. If a provider is found to have "I" level findings or higher, with an outcome of Immediate Jeopardy, including repeat findings or Conditions of Participation they will be referred to the Internal Review Committee.

Guidelines for the Provider Informal Reconsideration of Finding (IRF) Process

Introduction:

Throughout the process, surveyors are openly communicating with providers. Open communication means that surveyors have clarified issues and/or requested missing information before completing the review. Regardless, there may still be instances where the provider disagrees with a specific finding.

To informally dispute a finding the provider must request in writing an Informal Reconsideration of the Finding (IRF) to the QMB Deputy Bureau Chief **within 10 working days** of receipt of the final report.

The written request for an IRF **must be completed on the QMB Request for Informal Reconsideration of Finding Form** (available on the QMB website: <http://dhi.health.state.nm.us/qmb>) and must specify in detail the request for reconsideration and why the finding is inaccurate. The **IRF request must include all supporting documentation or evidence that was not previously reviewed during the survey process.**

The following limitations apply to the IRF process:

- The request for an IRF and all supporting evidence must be received in 10 days.
- Findings based on evidence requested during the survey and not provided may not be subject to reconsideration.
- The supporting documentation must be new evidence not previously reviewed by the survey team.
- Providers must continue to complete their plan of correction during the IRF process
- Providers may not request an IRF to challenge the Scope and Severity of a finding.
- Providers may not request an IRF to challenge the sampling methodology.
- Providers may not request an IRF based on disagreement with the nature of the standard or regulation.
- Providers may not request an IRF to challenge the team composition
- Providers may not request an IRF to challenge the QMB Quality Approval Rating and the length of their DDSD provider contract.

A Provider forfeits the right to an IRF if the request is not made within 10 working days of receiving the report and does not include all supporting documentation or evidence to show compliance with the standards and regulations.

QMB has 30 working days to complete the review and notify the provider of the decision. The request will be reviewed by the IRF committee. The Provider will be notified in writing of the ruling, no face to face meeting will be conducted.

When a Provider requests that a finding be reconsidered, it does not stop or delay the Plan of Correction process. **Providers must continue to complete the Plan of Correction, including the finding in dispute regardless of the IRF status.** If a finding is successfully reconsidered, it will be noted and will be removed or modified from the report. It should be noted that in some cases a Plan of Correction may be completed prior to the IRF process being completed. The provider will be notified in writing on the decisions of the IRF committee.

Administrative Review Process:

If a Provider desires to challenge the decision of the IRF committee they may request an Administrative Review by the DHI and DDSD Director. The Request must be made in writing to the QMB Bureau Chief and received within 5 days of notification from the IRF decision.

Regarding IRC Sanctions:

The Informal Reconsideration of the Finding process is a separate process specific to QMB Survey Findings and should not be confused with any process associated with IRC Sanctions.

If a Provider desires to Dispute or Appeal an IRC Sanction that is a separate and different process. Providers may choose the Informal Dispute Resolution Process or the Formal Medicaid Fair Hearing Process to dispute or appeal IRC sanctions, please refer to the DOH Sanction policy and section 39 of the provider contract agreement.

Agency: Journey's Day Program, Inc. – Metro & Northeast Regions
Program: Developmental Disabilities Waiver
Service: Community Living (Family Living) & Community Inclusion (Adult Habilitation)
Monitoring Type: Routine Survey
Date of Survey: September 1 – 8, 2009

Statute	Deficiency	Agency Plan of Correction and Responsible Party	Date Due
Tag # 1A03 CQI System	Scope and Severity Rating: C		
Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007 CHAPTER 1 I. PROVIDER AGENCY ENROLLMENT PROCESS I. Continuous Quality Management System: Prior to approval or renewal of a DD Waiver Provider Agreement, the Provider Agency is required to submit in writing the current Continuous Quality Improvement Plan to the DOH for approval. In addition, on an annual basis DD Waiver Provider Agencies shall develop or update and implement the Continuous Quality Improvement Plan. The CQI Plan shall be used to 1) discover strengths and challenges of the provider agency, as well as strengths, and barriers individuals experience in receiving the quality, quantity, and meaningfulness of services that he or she desires; 2) build on strengths and remediate individual and provider level issues to improve the provider's service provision over time. At a minimum the CQI Plan shall address how the agency will collect, analyze, act on data and evaluate results related to: (1) Individual access to needed services and supports; (2) Effectiveness and timeliness of implementation of Individualized Service Plans; (3) Trends in achievement of individual outcomes in the Individual Service Plans; (4) Trends in medication and medical incidents leading to adverse health events;	Based on record review, the Agency failed to update and implement their Continuous Quality Management System on an annual basis. The Agency's Continuous Quality Improvement Plan provided during the on-site survey (September 1, 2009) was dated June 1, 2007. No evidence was found indicating when or if the document had been recently updated.		

- (5) Trends in the adequacy of planning and coordination of healthcare supports at both supervisory and direct support levels;
- (6) Quality and completeness documentation; and
- (7) Trends in individual and guardian satisfaction.

7.1.13.9 INCIDENT MANAGEMENT SYSTEM REPORTING REQUIREMENTS FOR COMMUNITY BASED SERVICE PROVIDERS:

E. Quality Improvement System for Community Based Service Providers: The community based service provider shall establish and implement a quality improvement system for reviewing alleged complaints and incidents. The incident management system shall include written documentation of corrective actions taken. The community based service provider shall maintain documented evidence that all alleged violations are thoroughly investigated, and shall take all reasonable steps to prevent further incidents. The community based service provider shall provide the following internal monitoring and facilitating quality improvement system:

- (1) community based service providers funded through the long-term services division to provide waiver services shall have current incident management policy and procedures in place, which comply with the department's current requirements;
- (2) community based service providers providing developmental disabilities services must have a designated incident management coordinator in place;
- (4) community based service providers providing developmental disabilities services must have an incident management committee to address internal and external incident reports for the purpose of looking at internal root causes and to take action on identified trends or issues.

Tag # 1A05 (CoP) General Requirements	Scope and Severity Rating: F		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1 II. PROVIDER AGENCY REQUIREMENTS: The objective of these standards is to establish Provider Agency policy, procedure and reporting requirements for DD Medicaid Waiver program. These requirements apply to all such Provider Agency staff, whether directly employed or subcontracting with the Provider Agency. Additional Provider Agency requirements and personnel qualifications may be applicable for specific service standards.</p> <p>A. General Requirements:</p> <p>(2) The Provider Agency is required to develop and implement written policies and procedures that maintain and protect the physical and mental health of individuals and which comply with all DDS policies and procedures and all relevant New Mexico State statutes, rules and standards. These policies and procedures shall be reviewed at least every three years and updated as needed.</p>	<p>Based on record review, the Agency failed to review and update its written policies and procedures every three years or as needed.</p> <p>The following polices and procedures provided during the on-site survey (September 1, 2009) showed no evidence of being reviewed every three years or being updated as needed:</p> <ul style="list-style-type: none"> • “Journey’s Inc. Polices and Procedures for Client Employment” - Last reviewed and/or revised unknown, not dated. • “Journey’s Inc. Policies and Procedures for Meaningful Day - Last reviewed and/or revised unknown, not dated. • “Policies and Procedure: Abuse, Neglect and Exploitation (Serious Incident and Unexpected/Expected Death)” - Last reviewed and/or revised unknown, not dated. • “Journey’s Inc. Policies and Procedures for On-Call Status” - Last reviewed and/or revised unknown, not dated. • “Journey’s Day Program Incorporated Household Disaster Planning” - Last reviewed and/or revised unknown, not dated. • “Journey’s, Inc. Home Based Complaint Procedures” - Last reviewed and/or revised unknown, not dated. • “Journeys Day Program, Inc. Driver’s Handbook and Orientation Manual” - Last reviewed and/or revised unknown, not dated. • “Journey’s, Inc. Policies and Procedures for Human Rights” - Last reviewed and/or revised unknown, not dated. 		

Tag # 1A06 Provider Agency Policy and Procedure Requirements	Scope and Severity Rating: A		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1. II. PROVIDER AGENCY REQUIREMENTS: The objective of these standards is to establish Provider Agency policy, procedure and reporting requirements for DD Medicaid Waiver program. These requirements apply to all such Provider Agency staff, whether directly employed or subcontracting with the Provider Agency. Additional Provider Agency requirements and personnel qualifications may be applicable for specific service standards.</p> <p>B. Provider Agency Policy and Procedure Requirements: All Provider Agencies, in addition to requirements under each specific service standard shall at a minimum develop, implement and maintain, at the designated Provider Agency main office, documentation of policies and procedures for the following:</p> <ol style="list-style-type: none"> (1) Coordination of Provider Agency staff serving individuals within the program which delineates the specific roles of agency staff, including expectations for coordination with interdisciplinary team members who do not work for the provider agency; (2) Response to individual emergency medical situations, including staff training for emergency response and on-call systems as indicated; and (3) Agency protocols for disaster planning and emergency preparedness. 	<p>Based on interview, the Agency failed to ensure Agency Personnel were aware of the Agency's On-Call Policy & Procedures for 1 of 12 Agency Personnel.</p> <p>When DSP were asked if the agency had an on-call procedure, the following was reported:</p> <ul style="list-style-type: none"> • DSP #49 stated, "I've never called after hours. I don't know if there is an on-call person." (Individual #9) 		

Tag # 1A08 Agency Case File	Scope and Severity Rating: C		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1 II. PROVIDER AGENCY REQUIREMENTS: The objective of these standards is to establish Provider Agency policy, procedure and reporting requirements for DD Medicaid Waiver program. These requirements apply to all such Provider Agency staff, whether directly employed or subcontracting with the Provider Agency. Additional Provider Agency requirements and personnel qualifications may be applicable for specific service standards.</p> <p>D. Provider Agency Case File for the Individual: All Provider Agencies shall maintain at the administrative office a confidential case file for each individual. Case records belong to the individual receiving services and copies shall be provided to the receiving agency whenever an individual changes providers. The record must also be made available for review when requested by DOH, HSD or federal government representatives for oversight purposes. The individual's case file shall include the following requirements:</p> <ol style="list-style-type: none"> (1) Emergency contact information, including the individual's address, telephone number, names and telephone numbers of relatives, or guardian or conservator, physician's name(s) and telephone number(s), pharmacy name, address and telephone number, and health plan if appropriate; (2) The individual's complete and current ISP, with all supplemental plans specific to the individual, and the most current completed Health Assessment Tool (HAT); (3) Progress notes and other service delivery documentation; (4) Crisis Prevention/Intervention Plans, if there are any for the individual... 	<p>Based on record review, the Agency failed to maintain at the administrative office a confidential case file for 10 of 12 individuals.</p> <p>Review of the Agency individual case files revealed the following items were not found, incomplete, and/or not current:</p> <ul style="list-style-type: none"> • Annual ISP (#2 & 4) • ISP Teaching & Support Strategies (#2, 4, 5, 8 & 9) • ISP Signature Page (#4 & 12) • Addendum A (#3, 4 & 12) • Individual Specific Training Section (ISP) (#4) • Positive Behavioral Plan (#7, 9 & 11) • Positive Behavioral Crisis Plan (#7 & 9) • Speech Therapy Plan (#1, 3 & 7) • Occupational Therapy Plan (#1, 3 & 9) • Physical Therapy Plan (#8 & 9) 		

Tag # 1A08 Agency Case File - Progress Notes	Scope & Severity Rating: B		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1 II. PROVIDER AGENCY REQUIREMENTS: The objective of these standards is to establish Provider Agency policy, procedure and reporting requirements for DD Medicaid Waiver program. These requirements apply to all such Provider Agency staff, whether directly employed or subcontracting with the Provider Agency. Additional Provider Agency requirements and personnel qualifications may be applicable for specific service standards.</p> <p>D. Provider Agency Case File for the Individual: All Provider Agencies shall maintain at the administrative office a confidential case file for each individual. Case records belong to the individual receiving services and copies shall be provided to the receiving agency whenever an individual changes providers. The record must also be made available for review when requested by DOH, HSD or federal government representatives for oversight purposes. The individual's case file shall include the following requirements:</p> <p>(3) Progress notes and other service delivery documentation;</p>	<p>Based on record review, the Agency failed to maintain progress notes and other service delivery documentation for 9 of 12 Individuals.</p> <p>Family Living Progress Notes/Daily Contact Logs</p> <ul style="list-style-type: none"> • Individual #2 - None found for 05/2009 • Individual #4 - None found for 02/2009 & 07/2009 • Individual #5 - None found for 06/2009 - 07/2009 • Individual #7 - None found for 06/2009 - 07/2009 • Individual #8 - None found for 01/2009 - 03/2009 & 07/2009 • Individual #9 - None found for 07/2009 • Individual #10 - None found for 07/2009 • Individual #11- None found for 07/2009 • Individual #12- None found for 07/2009 		

Tag # 1A09 Medication Delivery (MAR) - Routine Medication	Scope and Severity Rating: F		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1 II. PROVIDER AGENCY REQUIREMENTS: The objective of these standards is to establish Provider Agency policy, procedure and reporting requirements for DD Medicaid Waiver program. These requirements apply to all such Provider Agency staff, whether directly employed or subcontracting with the Provider Agency. Additional Provider Agency requirements and personnel qualifications may be applicable for specific service standards.</p> <p>E. Medication Delivery: Provider Agencies that provide Community Living, Community Inclusion or Private Duty Nursing services shall have written policies and procedures regarding medication(s) delivery and tracking and reporting of medication errors in accordance with DDSD Medication Assessment and Delivery Policy and Procedures, the Board of Nursing Rules and Board of Pharmacy standards and regulations.</p> <p>(2) When required by the DDSD Medication Assessment and Delivery Policy, Medication Administration Records (MAR) shall be maintained and include:</p> <p>(a) The name of the individual, a transcription of the physician's written or licensed health care provider's prescription including the brand and generic name of the medication, diagnosis for which the medication is prescribed;</p> <p>(b) Prescribed dosage, frequency and method/route of administration, times and dates of administration;</p> <p>(c) Initials of the individual administering or assisting with the medication;</p> <p>(d) Explanation of any medication irregularity;</p>	<p>Medication Administration Records (MAR) were reviewed for the months of May, June & July 2009.</p> <p>Based on record review, 10 of 11 individuals had Medication Administration Records, which contained missing medications entries and/or other errors:</p> <p>Individual #1 May 2009 Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Atenolol 100mg • Hydrochlorothiazide 25mg <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Atenolol 100mg • Hydrochlorothiazide 25mg <p>June 2009 Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Atenolol 100mg • Hydrochlorothiazide 25mg <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Atenolol 100mg • Hydrochlorothiazide 25mg <p>July 2009</p>		

<p>(e) Documentation of any allergic reaction or adverse medication effect; and</p> <p>(f) For PRN medication, an explanation for the use of the PRN medication shall include observable signs/symptoms or circumstances in which the medication is to be used, and documentation of effectiveness of PRN medication administered.</p> <p>(3) The Provider Agency shall also maintain a signature page that designates the full name that corresponds to each initial used to document administered or assisted delivery of each dose;</p> <p>(4) MARs are not required for individuals participating in Independent Living who self-administer their own medications;</p> <p>(5) Information from the prescribing pharmacy regarding medications shall be kept in the home and community inclusion service locations and shall include the expected desired outcomes of administering the medication, signs and symptoms of adverse events and interactions with other medications;</p> <p>NMAC 16.19.11.8 MINIMUM STANDARDS: A. MINIMUM STANDARDS FOR THE DISTRIBUTION, STORAGE, HANDLING AND RECORD KEEPING OF DRUGS:</p> <p>(d) The facility shall have a Medication Administration Record (MAR) documenting medication administered to residents, including over-the-counter medications. This documentation shall include:</p> <ul style="list-style-type: none"> (i) Name of resident; (ii) Date given; (iii) Drug product name; (iv) Dosage and form; (v) Strength of drug; (vi) Route of administration; (vii) How often medication is to be taken; 	<p>Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Atenolol 100mg • Hydrochlorothiazide 25mg <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Atenolol 100mg • Hydrochlorothiazide 25mg <p>Individual #3 May 2009 Physician's Orders indicated the following medication were to be given. The following Medications were not documented on the Medication Administration Records:</p> <ul style="list-style-type: none"> • Ceftin 250mg (2 times daily) <p>July 2009 As indicated by the Medication Administration Records the individual is to take Depakote/Divalproex 250mg x 3 tabs (1 time daily). According to the Physician's Orders, Depakote 750mg is to be taken 2 times daily. Medication Administration Record & Physician's Orders do not match.</p> <p>Individual #4 May 2009 Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Zyrtec 10mg • Advair Diskus 100/50mcg • Singular 10mg 		
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<p>(viii) Time taken and staff initials; (ix) Dates when the medication is discontinued or changed; (x) The name and initials of all staff administering medications.</p> <p>Model Custodial Procedure Manual D. Administration of Drugs Unless otherwise stated by practitioner, patients will not be allowed to administer their own medications. Document the practitioner's order authorizing the self-administration of medications.</p> <p>All PRN (As needed) medications shall have complete detail instructions regarding the administering of the medication. This shall include:</p> <ul style="list-style-type: none"> ➤ symptoms that indicate the use of the medication, ➤ exact dosage to be used, and ➤ the exact amount to be used in a 24 hour period. 	<ul style="list-style-type: none"> • Cetirizine 10mg <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Zyrtec 10mg • Advair Diskus 100/50mcg • Singular 10mg • Cetirizine 10mg <p>Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none"> • Zyrtec 10mg – Blank 05/1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30 & 31 (8 PM) <p>June 2009 Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Zyrtec 10mg • Advair Diskus 100/50mcg • Singular 10mg • Cetirizine 10mg • AZ Thromycin 250mg • Albuterol 0.83%-6043ml <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Zyrtec 10mg 		
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	<ul style="list-style-type: none"> • Advair Diskus 100/50mcg • Singular 10mg • Cetirizine 10mg • AZ Thromycin 250mg • Albuterol 0.83%-6043ml <p>Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none"> • Zyrtec 10mg – Blank 06/1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29 & 30 (8 PM) <p>July 2009</p> <p>Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Zyrtec 10mg • Advair Diskus 100/50mcg • Singular 10mg • Cetirizine 10mg <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Zyrtec 10mg • Advair Diskus 100/50mcg • Singular 10mg • Cetirizine 10mg 		
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	<p>Medication Administration Records contained missing entries. No documentation found indicating reason for missing entries:</p> <ul style="list-style-type: none"> • Zyrtec 10mg – Blank 07/1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 30 & 31 (8 PM) <p>Individual #6 May 2009</p> <p>Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Synthroid 0.125mg <p>Medication Administration Records did not contain the diagnosis for which the medication is prescribed:</p> <ul style="list-style-type: none"> • Multi-Vitamin (1 time daily) <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Multi-Vitamin (1 time daily) <p>June 2009</p> <p>Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Synthroid 0.125mg <p>Medication Administration Records did not contain the diagnosis for which the medication is prescribed:</p> <ul style="list-style-type: none"> • Multi-Vitamin (1 time daily) <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Multi-Vitamin (1 time daily) <p>July 2009</p>		
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	<p>Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Synthroid 0.125mg <p>Medication Administration Records did not contain the diagnosis for which the medication is prescribed:</p> <ul style="list-style-type: none"> • Multi-Vitamin (1 time daily) <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Multi-Vitamin (1 time daily) <p>Individual #7 May 2009</p> <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Chlorhexidine 0.12% (3 times per week) <p>June 2009</p> <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Chlorhexidine 0.12% (3 times per week) <p>July 2009</p> <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Chlorhexidine 0.12% (3 times per week) • Alendronate 70mg <p>Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Alendronate 70mg 		
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	<p>Individual #8 May 2009 Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Cimitidine 300mg/5ml (2 times daily) • Multi-Vitamin (1 time daily) • Calcium/Carb (1time daily) • Zegerid 20mg (2 times daily) • Diazepam 5mg (3 times daily) • Vitamin D 1000 IU (1 time daily) <p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Calcium/Carb <p>June 2009 Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Cimitidine 300mg/5ml (2 times daily) • Multi-Vitamin (1 time daily) • Calcium/Carb (1time daily) • Zegerid 20mg (2 times daily) • Diazepam 5mg (3 times daily) • Vitamin D 1000 IU (1 time daily) <p>Medication Administration Records did not contain the dosage for the following medications:</p>		
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	<ul style="list-style-type: none"> • Calcium/Carb <p>July 2009 Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Cimitidine 300mg/5ml (2 times daily) • Multi-Vitamin (1 time daily) • Calcium/Carb (1time daily) • Zegerid 20mg (2 times daily) • Diazepam 5mg (3 times daily) • Vitamin D 1000 IU (1 time daily) <p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Calcium/Carb <p>Individual #9 May 2009 Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Aspirin EC 325mg <p>June 2009 Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Aspirin EC 325mg <p>July 2009 Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Aspirin EC 325mg <p>Individual #10 May 2009</p>		
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	<p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • B Complex (1 time daily) <p>Physician's Orders indicated the following medication were to be given. The following Medications were not documented on the Medication Administration Records:</p> <ul style="list-style-type: none"> • Fluconazole 150mg (1 time) <p>June 2009</p> <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • B Complex (1 time daily) • Azithromycin 250mg (1 time daily x 6 days) <p>Medication Administration Records did not contain the diagnosis for which the medication is prescribed:</p> <ul style="list-style-type: none"> • Azithromycin 250mg (1 time daily x 6 days) <p>July 2009</p> <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • B Complex (1 time daily) <p>Individual #11</p> <p>May 2009</p> <p>Medication Administration Records did not contain the diagnosis for which the medication is prescribed:</p> <ul style="list-style-type: none"> • Amoxicilin (3 times daily) <p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Amoxicilin (3 times daily) 		
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	<p>Individual #12 May 2009 Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Paxil 20mg <p>June 2009 Medication Administration Records did not contain the frequency of medication to be given:</p> <ul style="list-style-type: none"> • Paxil 20mg <p>July 2009 During on-site survey Medication Administration Records were requested for months of July 2009. As of September 3, 2009, Medication Administration Records had not been provided.</p>		
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Tag # 1A09 Medication Delivery - PRN Medication	Scope and Severity Rating: E		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1 II. PROVIDER AGENCY REQUIREMENTS: The objective of these standards is to establish Provider Agency policy, procedure and reporting requirements for DD Medicaid Waiver program. These requirements apply to all such Provider Agency staff, whether directly employed or subcontracting with the Provider Agency. Additional Provider Agency requirements and personnel qualifications may be applicable for specific service standards.</p> <p>E. Medication Delivery: Provider Agencies that provide Community Living, Community Inclusion or Private Duty Nursing services shall have written policies and procedures regarding medication(s) delivery and tracking and reporting of medication errors in accordance with DDSD Medication Assessment and Delivery Policy and Procedures, the Board of Nursing Rules and Board of Pharmacy standards and regulations.</p> <p>(2) When required by the DDSD Medication Assessment and Delivery Policy, Medication Administration Records (MAR) shall be maintained and include:</p> <ol style="list-style-type: none"> The name of the individual, a transcription of the physician's written or licensed health care provider's prescription including the brand and generic name of the medication, diagnosis for which the medication is prescribed; Prescribed dosage, frequency and method/route of administration, times and dates of administration; Initials of the individual administering or assisting with the medication; Explanation of any medication irregularity; 	<p>Based on record review, the Agency failed to maintain PRN Medication Administration Records which contained all elements required by standard for 8 of 11 Individuals.</p> <p>Individual #1 May 2009</p> <p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Zyrtec (PRN) • Albuterol (PRN) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Zyrtec (PRN) • Albuterol (PRN) <p>No Signs/Symptoms were noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Albuterol – PRN – 05/7, 8, 9, 10, 11, 13 & 14. (Given 2 times daily) <p>No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Albuterol – PRN – 05/7, 8, 9, 10, 11, 13 & 14. (Given 2 times daily) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the</p>		

<p>(e) Documentation of any allergic reaction or adverse medication effect; and</p> <p>(f) For PRN medication, an explanation for the use of the PRN medication shall include observable signs/symptoms or circumstances in which the medication is to be used, and documentation of effectiveness of PRN medication administered.</p> <p>(3) The Provider Agency shall also maintain a signature page that designates the full name that corresponds to each initial used to document administered or assisted delivery of each dose;</p> <p>(4) MARs are not required for individuals participating in Independent Living who self-administer their own medications;</p> <p>(5) Information from the prescribing pharmacy regarding medications shall be kept in the home and community inclusion service locations and shall include the expected desired outcomes of administering the medication, signs and symptoms of adverse events and interactions with other medications;</p> <p>NMAC 16.19.11.8 MINIMUM STANDARDS: A. MINIMUM STANDARDS FOR THE DISTRIBUTION, STORAGE, HANDLING AND RECORD KEEPING OF DRUGS:</p> <p>(d) The facility shall have a Medication Administration Record (MAR) documenting medication administered to residents, including over-the-counter medications. This documentation shall include:</p> <ul style="list-style-type: none"> (i) Name of resident; (ii) Date given; (iii) Drug product name; (iv) Dosage and form; (v) Strength of drug; 	<p>effectiveness that indicate the results of the medication</p> <p>June 2009 Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Zyrtec (PRN) • Albuterol (PRN) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Zyrtec (PRN) • Albuterol (PRN) <p>No Signs/Symptoms were noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Albuterol – PRN – 06/14, 15, 16, 17, 18, 19 &- 20. (Given 1 time daily) <p>No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Albuterol – PRN – 06/14, 15, 16, 17, 18, 19 &- 20. (Given 1 time daily) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>July 2009 Medication Administration Records did not contain</p>		
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<p>(vi) Route of administration; (vii) How often medication is to be taken; (viii) Time taken and staff initials; (ix) Dates when the medication is discontinued or changed; (x) The name and initials of all staff administering medications.</p> <p>Model Custodial Procedure Manual D. Administration of Drugs Unless otherwise stated by practitioner, patients will not be allowed to administer their own medications. Document the practitioner's order authorizing the self-administration of medications.</p> <p>All PRN (As needed) medications shall have complete detail instructions regarding the administering of the medication. This shall include:</p> <ul style="list-style-type: none"> ➤ symptoms that indicate the use of the medication, ➤ exact dosage to be used, and ➤ the exact amount to be used in a 24 hour period. <p>Department of Health Developmental Disabilities Supports Division (DDSD) Medication Assessment and Delivery Policy - Eff. November 1, 2006 F. PRN Medication 3. Prior to self-administration, self-administration with physical assist or assisting with delivery of PRN medications, the direct support staff must contact the agency nurse to describe observed symptoms and thus assure that the PRN medication is being used according to instructions given by the ordering PCP. In cases of fever, respiratory distress (including coughing), severe pain, vomiting, diarrhea, change in responsiveness/level of consciousness, the nurse must strongly consider the need to conduct a face-to-face assessment to</p>	<p>the dosage for the following medications:</p> <ul style="list-style-type: none"> • Zyrtec (PRN) • Albuterol (PRN) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Zyrtec (PRN) • Albuterol (PRN) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>Individual #3 May 2009 Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Acetaminophen (PRN) • Lodine/Etodalac (PRN) • Preparation H (PRN) • Moisturin (PRN) • Robitussin DM (PRN) • Deep Sea Nose Spray (PRN) <p>Medication Administration Records did not contain the dosage for the following medications:</p>		
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assure that the PRN does not mask a condition better treated by seeking medical attention. This does not apply to home based/family living settings where the provider is related by affinity or by consanguinity to the individual.

4. The agency nurse shall review the utilization of PRN medications routinely. Frequent or escalating use of PRN medications must be reported to the PCP and discussed by the Interdisciplinary for changes to the overall support plan (see Section H of this policy).

H. Agency Nurse Monitoring

1. Regardless of the level of assistance with medication delivery that is required by the individual or the route through which the medication is delivered, the agency nurses must monitor the individual's response to the effects of their routine and PRN medications. The frequency and type of monitoring must be based on the nurse's assessment of the individual and consideration of the individual's diagnoses, health status, stability, utilization of PRN medications and level of support required by the individual's condition and the skill level and needs of the direct care staff. Nursing monitoring should be based on prudent nursing practice and should support the safety and independence of the individual in the community setting. The health care plan shall reflect the planned monitoring of the individual's response to medication.

Department of Health Developmental Disabilities Supports Division (DDSD) - Procedure Title: Medication Assessment and Delivery Procedure Eff Date: November 1, 2006

C. 3. Prior to delivery of the PRN, direct support staff must contact the agency nurse to describe observed symptoms and thus assure that the PRN

- Acetaminophen (PRN)

- Lodine/Etodolac (PRN)

Medication Administration Records did not contain the exact amount to be used in a 24 hour period:

- Acetaminophen (PRN)

- Lodine/Etodolac (PRN)

- Robitussin DM

- Deep Sea Nose Spray

Medication Administration Record document did not contain the following information: the symptoms that indicate the use of the medication.

Medication Administration Record document did not contain the following information: the effectiveness that indicate the results of the medication

June 2009

Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:

- Acetaminophen (PRN)

- Lodine/Etodalac (PRN)

- Preparation H (PRN)

- Moisturin (PRN)

- Robitussin DM (PRN)

- Deep Sea Nose Spray (PRN)

<p>is being used according to instructions given by the ordering PCP. In cases of fever, respiratory distress (including coughing), severe pain, vomiting, diarrhea, change in responsiveness/level of consciousness, the nurse must strongly consider the need to conduct a face-to-face assessment to assure that the PRN does not mask a condition better treated by seeking medical attention. (References: Psychotropic Medication Use Policy, Section D, page 5 Use of PRN Psychotropic Medications; and, Human Rights Committee Requirements Policy, Section B, page 4 Interventions Requiring Review and Approval – Use of PRN Medications).</p> <p>a. Document conversation with nurse including all reported signs and symptoms, advice given and action taken by staff.</p> <p>4. Document on the MAR each time a PRN medication is used and describe its effect on the individual (e.g., temperature down, vomiting lessened, anxiety increased, the condition is the same, improved, or worsened, etc.).</p>	<p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Acetaminophen (PRN) • Lodine/Etodolac (PRN) <p>No Signs/Symptoms were noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Robitussin DM – PRN – 06/1, 2, 3, 12, 13, 14 & 15 (Given 2 times daily) & 06/04 & 11 (Given 1 – time daily) <p>No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p> <p>Robitussin DM – PRN – 06/1, 2, 3, 12, 13, 14 & 15 (Given 2 times daily) & 06/04 & 11 (Given 1 – time daily)</p> <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Acetaminophen (PRN) • Lodine/Etodolac (PRN) • Robitussin DM • Deep Sea Nose Spray <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p>		
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	<p>July 2009</p> <p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Acetaminophen (PRN) • Lodine/Etodolac (PRN) <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Acetaminophen (PRN) • Lodine/Etodalac (PRN) • Preparation H (PRN) • Moisturin (PRN) • Robitussin DM (PRN) • Deep Sea Nose Spray (PRN) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Acetaminophen (PRN) • Lodine/Etodolac (PRN) • Robitussin DM • Deep Sea Nose Spray <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did</p>		
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	<p>not contain the following information: the effectiveness that indicate the results of the medication</p> <p>Individual #5 May 2009 Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Fluticasone (PRN) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Acetaminophen (PRN) • Fluticasone (PRN) • Guafenesin DM <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>June 2009 Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Fluticasone (PRN) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Acetaminophen (PRN) • Fluticasone (PRN) 		
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	<ul style="list-style-type: none"> • Guafenesin DM <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>July 2009 Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Fluticasone (PRN) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Acetaminophen (PRN) • Fluticasone (PRN) • Guafenesin DM <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>Individual #6 May 2009 Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Tylenol Cap. (PRN) 		
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	<p>No Signs/Symptoms were noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Tylenol– PRN – 05/07 & 08(Given 3 times daily) <p>No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Tylenol– PRN – 05/07 & 08(Given 3 times daily) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Tylenol (PRN) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>June 2009</p> <p>Medication Administration Records contain the following medications. No Physician’s Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Tylenol (PRN) <p>No Signs/Symptoms were noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Tylenol– PRN – 06/06/2009 (given 3 times daily) <p>No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p>		
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	<ul style="list-style-type: none"> • Tylenol– PRN – 06/06/2009 (given 3 times daily) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Tylenol (PRN) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>July 2009</p> <p>Medication Administration Records contain the following medications. No Physician’s Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Tylenol (PRN) <p>No Signs/Symptoms were noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Tylenol - PRN – 07/06/2009 (given 3 times daily) <p>No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Tylenol– PRN – 07/06/2009 (given 3 times daily) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Tylenol (PRN) 		
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	<p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>Individual #8 May 2009</p> <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Oxygen 2.0 (PRN) • Albuterol (PRN) • Loratadine 5mg (PRN) <p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Albuterol (PRN) <p>Medication Administration Records did not contain the route of administration for the following medications:</p> <ul style="list-style-type: none"> • Albuterol (PRN) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> •Oxygen (PRN) •Albuterol (PRN) •Loratadine (PRN) •Saline Spray (PRN) 		
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	<p>July 2009</p> <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Oxygen 2.0 (PRN) • Albuterol (PRN) • Loratadine 5mg (PRN) <p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Albuterol (PRN) <p>Medication Administration Records did not contain the route of administration for the following medications:</p> <ul style="list-style-type: none"> • Albuterol (PRN) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Oxygen (PRN) • Albuterol (PRN) • Loratadine (PRN) • Saline Spray (PRN) <p>Individual #10</p> <p>May 2009</p> <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Albuterol (PRN) <p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Albuterol (PRN) 		
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	<p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Albuterol (PRN) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>June 2009 Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Albuterol (PRN) <p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Albuterol (PRN) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Albuterol (PRN) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>July 2009 Medication Administration Records contain the</p>		
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	<p>following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Albuterol (PRN) • Zyrtek (PRN) <p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Albuterol (PRN) • Zyrtek (PRN) <p>Medication Administration Records did not contain the circumstance for which the medication is to be used:</p> <ul style="list-style-type: none"> • Zyrtek (PRN) <p>No Signs/Symptoms were noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Zyrtek – PRN – 07/2, 5, 8, 11, 14 & 17 (given 1 time daily) <p>No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> • Zyrtek – PRN – 07/2, 5, 8, 11, 14 & 17 (given 1 time daily) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Albuterol (PRN) • Zyrtek (PRN) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p>		
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	<p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>Individual #11 May 2009 Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> •Diazepam (PRN) •Nasonex (PRN) •Loratadine (PRN) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>June 2009 Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> •Diazepam (PRN) •Nasonex (PRN) •Loratadine (PRN) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did</p>		
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	<p>not contain the following information: the effectiveness that indicate the results of the medication</p> <p>July 2009 No Signs/Symptoms were noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> •Loratadine 10mg – PRN – 07/12 (given 1 time daily) •Ibuprofen 800mg – PRN – 07/14, 15 & 16 (given 1 time daily) •Hydrocodine 7.5mg/500mg/15ml – PRN – 07/14 & 15 (given 2 times daily) <p>No Effectiveness was noted on the Medication Administration Record for the following PRN medication:</p> <ul style="list-style-type: none"> •Loratadine 10mg – PRN – 07/12 (given 1 time daily) •Ibuprofen 800mg – PRN – 07/14, 15 & 16 (given 1 time daily) •Hydrocodine 7.5mg/500mg/15ml – PRN – 07/14 & 15 (given 2 times daily) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> •Diazepam (PRN) •Nasonex (PRN) •Loratadine (PRN) •Ibuprofen (PRN) 		
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	<ul style="list-style-type: none"> • Hydrocodine (PRN) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p> <p>Individual #12 May 2009</p> <p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Ibuprofen (PRN) <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Ibuprofen (PRN) • Melatonin 2 sprays (PRN) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Ibuprofen (PRN) • Melatonin (PRN) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p>		
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	<p>June 2009</p> <p>Medication Administration Records did not contain the dosage for the following medications:</p> <ul style="list-style-type: none"> • Ibuprofen (PRN) <p>Medication Administration Records contain the following medications. No Physician's Orders were found for the following medications:</p> <ul style="list-style-type: none"> • Ibuprofen (PRN) • Melatonin 2 sprays (PRN) <p>Medication Administration Records did not contain the exact amount to be used in a 24 hour period:</p> <ul style="list-style-type: none"> • Ibuprofen (PRN) • Melatonin (PRN) <p>Medication Administration Record <u>document</u> did not contain the following information: the symptoms that indicate the use of the medication.</p> <p>Medication Administration Record <u>document</u> did not contain the following information: the effectiveness that indicate the results of the medication</p>		
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Tag # 1A11 (CoP) Transportation P&P	Scope and Severity Rating: F		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1 II. PROVIDER AGENCY REQUIREMENTS: The objective of these standards is to establish Provider Agency policy, procedure and reporting requirements for DD Medicaid Waiver program. These requirements apply to all such Provider Agency staff, whether directly employed or subcontracting with the Provider Agency. Additional Provider Agency requirements and personnel qualifications may be applicable for specific service standards.</p> <p>G. Transportation: Provider agencies that provide Community Living, Community Inclusion or Non-Medical Transportation services shall have a written policy and procedures regarding the safe transportation of individuals in the community, which comply with New Mexico regulations governing the operation of motor vehicles to transport individuals, and which are consistent with DDSD guidelines issued July 1, 1999 titled "Client Transportation Safety". The policy and procedures must address at least the following topics:</p> <ol style="list-style-type: none"> (1) Drivers' requirements, (2) Individual safety, including safe locations for boarding and disembarking passengers, appropriate responses to hazardous weather and other adverse driving conditions, (3) Vehicle maintenance and safety inspections, (4) Staff training regarding the safe operation of the vehicle, assisting passengers and safe lifting procedures, (5) Emergency Plans, including vehicle evacuation techniques, (6) Documentation, and (7) Accident Procedures. 	<p>Based on record review, the Agency failed to have a written policies and procedures regarding the safe transportation of individuals in the community, which comply with New Mexico regulations governing the operation of motor vehicles to transport individuals.</p> <p>Review of Agency's policies and procedures indicated the following elements were not found:</p> <ol style="list-style-type: none"> (4) Staff training regarding the safe operation of the vehicle, assisting passengers and safe lifting procedures... 		

Tag # 1A11 (CoP) Transportation Training	Scope and Severity Rating: F		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1 II. PROVIDER AGENCY REQUIREMENTS: The objective of these standards is to establish Provider Agency policy, procedure and reporting requirements for DD Medicaid Waiver program. These requirements apply to all such Provider Agency staff, whether directly employed or subcontracting with the Provider Agency. Additional Provider Agency requirements and personnel qualifications may be applicable for specific service standards.</p> <p>G. Transportation...</p> <p>Department of Health (DOH)</p> <p>Developmental Disabilities Supports Division (DDSD) Policy-Training Requirements for Direct Service Agency Staff Policy Eff Date: March 1, 2007 - II. POLICY STATEMENTS:</p> <p>I. Staff providing direct services shall complete safety training within the first thirty (30) days of employment and before working alone with an individual receiving services. The training shall address at least the following:</p> <ol style="list-style-type: none"> 1. Operating a fire extinguisher 2. Proper lifting procedures 3. General vehicle safety precautions (e.g., pre-trip inspection, removing keys from the ignition when not in the driver's seat) 4. Assisting passengers with cognitive and/or physical impairments (e.g., general guidelines for supporting individuals who may be unaware of safety issues involving traffic or those who require physical assistance to enter/exit a vehicle) 5. Operating wheelchair lifts (if applicable to the staff's role) 6. Wheelchair tie-down procedures (if applicable to the staff's role) 7. Emergency and evacuation procedures (e.g., roadside emergency, fire emergency) 	<p>Based on record review and interview, the Agency failed to provide staff training regarding the safe operation of the vehicle, assisting passengers and safe lifting procedures for 34 of 36 Direct Service Personnel.</p> <p>No documented evidence was found of the following required training:</p> <ul style="list-style-type: none"> • Transportation (DSP #40, 41, 42, 43, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74 & 75) <p>When DSP were asked if they had received transportation training including training on wheelchair tie downs and van lift safety the following was reported:</p> <ul style="list-style-type: none"> • DSP #42 stated, "No." • DSP #44 stated, "No." • DSP #48 stated, "Yes, but it wasn't through Journey's it was through Belen Schools." • DSP #49 stated, "No." • DSP #50 stated, "No." • DSP #51 stated, "Not with Journey's." 		

Tag # 1A12 Reimbursement/Billable Units	Scope and Severity Rating: C	
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1 III. PROVIDER AGENCY DOCUMENTATION OF SERVICE DELIVERY AND LOCATION</p> <p>A. General: All Provider Agencies shall maintain all records necessary to fully disclose the service, quality, quantity and clinical necessity furnished to individuals who are currently receiving services. The Provider Agency records shall be sufficiently detailed to substantiate the date, time, individual name, servicing Provider Agency, level of services, and length of a session of service billed.</p> <p>B. Billable Units: The documentation of the billable time spent with an individual shall be kept on the written or electronic record that is prepared prior to a request for reimbursement from the HSD. For each unit billed, the record shall contain the following:</p> <ol style="list-style-type: none"> (1) Date, start and end time of each service encounter or other billable service interval; (2) A description of what occurred during the encounter or service interval; and (3) The signature or authenticated name of staff providing the service. <p>MAD-MR: 03-59 Eff 1/1/2004</p> <p>8.314.1 BI RECORD KEEPING AND DOCUMENTATION REQUIREMENTS:</p> <p>Providers must maintain all records necessary to fully disclose the extent of the services provided to the Medicaid recipient. Services that have been billed to Medicaid, but are not substantiated in a treatment plan and/or patient records for the recipient are subject to recoupment.</p>	<p>Based on record review, the Agency failed to provide written or electronic documentation as evidence for each unit billed, which contained the required information for 12 of 12 individuals.</p> <p>Individual #1 May 2009</p> <ul style="list-style-type: none"> • The Agency billed 31 units of Family Living Services from 05/01/2009 through 05/31/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. Documentation only contained one signature for each set of progress notes. <p>June 2009</p> <ul style="list-style-type: none"> • The Agency billed 30 units of Family Living Services from 06/01/2009 through 06/30/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. Documentation only contained one signature for each set of progress notes. <p>July 2009</p> <ul style="list-style-type: none"> • The Agency billed 31 units of Family Living Services from 07/01/2009 through 07/31/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. Documentation only contained one signature for each set of progress notes. <p>Individual #2 June 2009</p> <ul style="list-style-type: none"> • The Agency billed 52 units of Adult Habilitation from 06/08/2009 through 06/21/2009. Documentation did not contain legible start and end times on 06/19/2009 to justify billing. 	

	<ul style="list-style-type: none"> • The Agency billed 51 units of Adult Habilitation from 06/22/2009 through 06/28/2009. Documentation on 6/26/2009 did not contain legible start and end times to justify billing. <p>Individual #3 May 2009</p> <ul style="list-style-type: none"> • The Agency billed 126 units of Adult Habilitation from 05/04/2009 through 05/10/2009. Documentation on 5/4/2009 did not contain a signature/authenticated name of the staff providing the service to justify billing. • The Agency billed 126 units of Adult Habilitation from 05/18/2009 through 05/24/2009. Documentation on 5/22/2009 did not contain legible start and end times to justify billing. <p>June 2009</p> <ul style="list-style-type: none"> • The Agency billed a total of 7 units of Family Living Services on 06/22/2009 through 06/28/2009. Documentation on 06/23/2009, 06/24/2009 & 06/28/2009 did not contain a description of what occurred during the encounter or service interval to justify billing. • The Agency billed 76 units of Adult Habilitation from 06/29/2009 through 07/05/2009. Documentation on 6/29/2009 did not contain legible start and end times to justify billing. <p>July 2009</p> <ul style="list-style-type: none"> • The Agency billed 44 units of Adult Habilitation from 07/06/2009 through 07/12/2009. Documentation on 7/6/2009 did not contain a signature/authenticated name of the staff providing the service to justify billing. • The Agency billed a total of 5 units of Family Living Services on 07/01/2009 through 		
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	<p>07/05/2009. Documentation on 7/1/2009 did not contain a description of what occurred during the encounter or service interval to justify billing.</p> <ul style="list-style-type: none"> • The Agency billed a total of 7 units of Family Living Services on 07/06/2009 through 07/12/2009. Documentation on 7/8/2009 did not contain a description of what occurred during the encounter or service interval to justify billing. • The Agency billed a total of 7 units of Family Living Services on 07/13/2009 through 07/19/2009. Documentation on 07/14/2009, 07/15/2009 & 07/16/2009 did not contain a description of what occurred during the encounter or service interval to justify billing. <p>Individual #4 May 2009</p> <ul style="list-style-type: none"> • The Agency billed 31 units of Family Living Services from 05/01/2009 through 05/31/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. • The Agency billed a total of 3 units of Family Living Services on 05/01/2009 through 05/03/2009. Documentation on 5/2/2009 did not contain a description of what occurred during the encounter or service interval to justify billing. • The Agency billed a total of 7 units of Family Living Services on 05/11/2009 through 05/17/2009. Documentation on 5/16/2009 & 05/17/2009 did not contain a description of what occurred during the encounter or service interval to justify billing. <p>Individual #5</p>		
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	<ul style="list-style-type: none"> • The Agency billed a total of 7 units of Family Living Services on 05/11/2009 through 05/17/2009. Documentation on 5/17/2009 did not contain a description of what occurred during the encounter or service interval to justify billing. <p>Individual #6 May 2009</p> <ul style="list-style-type: none"> • The Agency billed 31 units of Family Living Services from 05/01/2009 through 05/31/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. • The Agency billed 101 units of Adult Habilitation from 05/04/2009 through 05/10/2009. Documentation on 5/8/2009 did not contain legible start and end times to justify billing. • The Agency billed 227 units of Adult Habilitation from 05/11/2009 through 05/24/2009. Documentation on 05/15/2009 & 05/22/2009 did not contain legible start and end times to justify billing. <p>June 2009</p> <ul style="list-style-type: none"> • The Agency billed 30 units of Family Living Services from 06/01/2009 through 06/30/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. • The Agency billed 126 units of Adult Habilitation from 06/01/2009 through 06/07/2009. Documentation on 6/5/2009 did not contain legible start and end times to justify billing. 		
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	<ul style="list-style-type: none"> • The Agency billed 101 units of Adult Habilitation from 06/08/2009 through 06/14/2009. Documentation on 6/12/2009 did not contain legible start and end times to justify billing. • The Agency billed 227 units of Adult Habilitation from 06/22/2009 through 06/28/2009. Documentation on 6/26/2009 did not contain legible start and end times to justify billing. <p>July 2009</p> <ul style="list-style-type: none"> • The Agency billed 31 units of Family Living Services from 07/01/2009 through 07/31/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. • The Agency billed a total of 7 units of Family Living Services on 07/13/2009 through 07/19/2009. Documentation on 07/17/2009 & 07/18/2009 did not contain a description of what occurred during the encounter or service interval to justify billing. <p>Individual #7 May 2009</p> <ul style="list-style-type: none"> • The Agency billed 18 units of Family Living Services from 05/01/2009 through 05/31/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing. • The Agency billed 76 units of Adult Habilitation from 04/27/2009 through 05/03/2009. Documentation on 5/1/2009 did not contain legible start and end times to justify billing. • The Agency billed 26 units of Adult Habilitation from 05/04/2009 through 05/17/2009. 		
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	<p>Documentation on 05/08/2009 & 05/15/2009 did not contain legible start and end times to justify billing.</p> <p>June 2009</p> <ul style="list-style-type: none"> The Agency billed 127 units of Adult Habilitation from 06/15/2009 through 07/05/2009. Documentation on 06/19/2009 & 06/26/2009 did not contain legible start and end times to justify billing. <p>Individual #8</p> <p>May 2009</p> <ul style="list-style-type: none"> The Agency billed 31 units of Family Living Services from 05/01/2009 through 05/31/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. Documentation only contained one signature for each set of progress notes. <p>June 2009</p> <ul style="list-style-type: none"> The Agency billed 30 units of Family Living Services from 06/01/2009 through 06/30/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. Documentation only contained one signature for each set of progress notes. <p>Individual #9</p> <p>May 2009</p> <ul style="list-style-type: none"> The Agency billed 31 units of Family Living Services from 05/01/2009 through 05/31/2009. Documentation did not contain dates to justify billing. The Agency billed 31 units of Family Living Services from 05/01/2009 through 05/31/2009. Documentation did not contain a 		
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	<p>signature/authenticated name of the staff providing the service to justify billing for each unit billed.</p> <p>June 2009</p> <ul style="list-style-type: none"> • The Agency billed 30 units of Family Living Services from 06/01/2009 through 06/30/2009. Documentation did not contain a dates to justify billing. • The Agency billed 30 units of Family Living Services from 06/01/2009 through 06/30/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. <p>Individual #10</p> <p>May 2009</p> <ul style="list-style-type: none"> • The Agency billed 31 units of Family Living Services from 05/01/2009 through 05/31/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. <p>June 2009</p> <ul style="list-style-type: none"> • The Agency billed 30 units of Family Living Services from 06/01/2009 through 06/30/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. <p>Individual #11</p> <p>May 2009</p> <ul style="list-style-type: none"> • The Agency billed 24 units of Family Living Services from 05/01/2009 through 05/24/2009. Documentation did not contain a signature/authenticated name of the staff 		
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	<p>providing the service to justify billing for each unit billed.</p> <p>June 2009</p> <ul style="list-style-type: none"> • The Agency billed 30 units of Family Living Services from 06/01/2009 through 06/30/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. <p>Individual #12</p> <p>May 2009</p> <ul style="list-style-type: none"> • The Agency billed 31 units of Family Living Services from 05/01/2009 through 05/31/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. <p>June 2009</p> <ul style="list-style-type: none"> • The Agency billed 30 units of Family Living Services from 06/01/2009 through 06/30/2009. Documentation did not contain a signature/authenticated name of the staff providing the service to justify billing for each unit billed. 		
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Tag # 1A15 Healthcare Documentation	Scope and Severity Rating: E	
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007 Chapter 1. III. E. (1 - 4) CHAPTER 1. III. PROVIDER AGENCY DOCUMENTATION OF SERVICE DELIVERY AND LOCATION</p> <p>E. Healthcare Documentation by Nurses For Community Living Services, Community Inclusion Services and Private Duty Nursing Services: Nursing services must be available as needed and documented for Provider Agencies delivering Community Living Services, Community Inclusion Services and Private Duty Nursing Services.</p> <p>(1) Documentation of nursing assessment activities</p> <p>(a) The following hierarchy shall be used to determine which provider agency is responsible for completion of the HAT and MAAT and related subsequent planning and training:</p> <ul style="list-style-type: none"> (i) Community living services provider agency; (ii) Private duty nursing provider agency; (iii) Adult habilitation provider agency; (iv) Community access provider agency; and (v) Supported employment provider agency. <p>(b) The provider agency must arrange for their nurse to complete the Health Assessment Tool (HAT) and the Medication Administration Assessment Tool (MAAT) on at least an annual basis for each individual receiving community living, community inclusion or private duty nursing services, unless the provider agency arranges for the individual's Primary Care Practitioner (PCP) to voluntarily complete these assessments in lieu of the agency nurse. Agency nurses may also complete these assessments in collaboration with the Primary Care Practitioner if they believe such consultation is necessary for an accurate</p>	<p>Based on record review, the Agency failed to maintain the required documentation in the Individuals Agency Record as required per standard for 7 of 12 individual</p> <p>The following were not found, incomplete and/or not current:</p> <ul style="list-style-type: none"> • Health Assessment Tool (#1, 4 & 5) • Medication Administration Assessment Tool (#1, 2, 4, 5 & 6) • Quarterly Nursing Review of HCP/Crisis Plans: None found for 07/2008 - 7/2009 (#3) • Special Health Care Needs: <ul style="list-style-type: none"> • Tube Feeding Protocol <ul style="list-style-type: none"> ◦ Individual #8 - As indicated by the IST section of ISP the individual is required to have a plan. • Health Care Plans <ul style="list-style-type: none"> ◦ Hypertension • Individual #1 - According to the ISP the individual is required to have a plan. ◦ HAT Score 5 • Individual #3 - According to DD Waiver Standards the individual is required to have an Individual Specific Health Care Plans. • Crisis Plans <ul style="list-style-type: none"> ◦ Allergies • Individual #1 - As indicated by the IST section of ISP the individual is required to have a plan. 	

assessment. Family Living Provider Agencies have the option of having the subcontracted caregiver complete the HAT instead of the nurse or PCP, if the caregiver is comfortable doing so. However, the agency nurse must be available to assist the caregiver upon request.

(c) For newly allocated individuals, the HAT and the MAAT must be completed within seventy-two (72) hours of admission into direct services or two weeks following the initial ISP, whichever comes first.

(d) For individuals already in services, the HAT and the MAAT must be completed at least fourteen (14) days prior to the annual ISP meeting and submitted to all members of the interdisciplinary team. The HAT must also be completed at the time of any significant change in clinical condition and upon return from any hospitalizations. In addition to annually, the MAAT must be completed at the time of any significant change in clinical condition, when a medication regime or route change requires delivery by licensed or certified staff, or when an individual has completed additional training designed to improve their skills to support self-administration (see DDS Medication Assessment and Delivery Policy).

(e) Nursing assessments conducted to determine current health status or to evaluate a change in clinical condition must be documented in a signed progress note that includes time and date as well as *subjective* information including the individual complaints, signs and symptoms noted by staff, family members or other team members; *objective* information including vital signs, physical examination, weight, and other pertinent data for the given situation (e.g., seizure frequency, method in which temperature taken); *assessment* of the clinical status, and *plan* of action addressing relevant aspects of all active health problems and follow up on any recommendations of medical consultants.

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(2) Health related plans

(a) For individuals with chronic conditions that have the potential to exacerbate into a life-threatening situation, a medical crisis prevention and intervention plan must be written by the nurse or other appropriately designated healthcare professional.

(b) Crisis prevention and intervention plans must be written in user-friendly language that is easily understood by those implementing the plan.

(c) The nurse shall also document training regarding the crisis prevention and intervention plan delivered to agency staff and other team members, clearly indicating competency determination for each trainee.

(d) If the individual receives services from separate agencies for community living and community inclusion services, nurses from each agency shall collaborate in the development of and training delivery for crisis prevention and intervention plans to assure maximum consistency across settings.

(3) For all individuals with a HAT score of 4, 5 or 6, the nurse shall develop a comprehensive healthcare plan that includes health related supports identified in the ISP (The healthcare plan is the equivalent of a nursing care plan; two separate documents are not required nor recommended):

(a) Each healthcare plan must include a statement of the person's healthcare needs and list measurable goals to be achieved through implementation of the healthcare plan. Needs statements may be based upon supports needed for the individual to maintain a current strength, ability or skill related to their health, prevention measures, and/or supports needed to remediate, minimize or manage an existing health condition.

(b) Goals must be measurable and shall be revised when an individual has met the goal and has the potential to attain additional goals or no longer requires supports in order to maintain the goal.

<p>(c) Approaches described in the plan shall be individualized to reflect the individual's unique needs, provide guidance to the caregiver(s) and designed to support successful interactions. Some interventions may be carried out by staff, family members or other team members, and other interventions may be carried out directly by the nurse – persons responsible for each intervention shall be specified in the plan.</p> <p>(d) Healthcare plans shall be written in language that will be easily understood by the person(s) identified as implementing the interventions.</p> <p>(e) The nurse shall also document training on the healthcare plan delivered to agency staff and other team members, clearly indicating competency determination for each trainee. If the individual receives services from separate agencies for community living and community inclusion services, nurses from each agency shall collaborate in the development of and training delivery for healthcare plans to assure maximum consistency across settings.</p> <p>(f) Healthcare plans must be updated to reflect relevant discharge orders whenever an individual returns to services following a hospitalization.</p> <p>(g) All crisis prevention and intervention plans and healthcare plans shall include the individual's name and date on each page and shall be signed by the author.</p> <p>(h) Crisis prevention and intervention plans as well as healthcare plans shall be reviewed by the nurse at least quarterly, and updated as needed.</p> <p>(4) General Nursing Documentation</p> <p>(a) The nurse shall complete legible and signed progress notes with date and time indicated that describe all interventions or interactions conducted with individuals served as well as all interactions with other healthcare providers serving the individual. All interactions shall be documented whether they occur by phone or in person.</p>			
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(b) For individuals with a HAT score of 4, 5 or 6, or who have identified health concerns in their ISP, the nurse shall provide the interdisciplinary team with a quarterly report that indicates current health status and progress to date on health related ISP desired outcomes and action plans as well as progress toward goals in the healthcare plan.

Tag # 1A20 DSP Training Documents	Scope and Severity Rating: E		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1 IV. GENERAL REQUIREMENTS FOR PROVIDER AGENCY SERVICE</p> <p>PERSONNEL: The objective of this section is to establish personnel standards...These standards apply to all personnel who provide services, whether directly employed or subcontracting with the Provider Agency. Additional personnel requirements and qualifications may be applicable for specific service standards.</p> <p>C. Orientation and Training Requirements: Orientation and training for direct support staff and his or her supervisors shall comply with the DDSD/DOH Policy Governing the Training Requirements for Direct Support Staff and Internal Service Coordinators Serving Individuals with Developmental Disabilities to include the following:</p> <p>(1) Each new employee shall receive appropriate orientation, including but not limited to, all policies relating to fire prevention, accident prevention, incident management and reporting, and emergency procedures; and</p> <p>(2) Individual-specific training for each individual under his or her direct care, as described in the individual service plan, prior to working alone with the individual.</p> <p>Department of Health (DOH) Developmental Disabilities Supports Division (DDSD) Policy - Policy Title: Training Requirements for Direct Service Agency Staff Policy - Eff. March 1, 2007-II. POLICY STATEMENTS:</p> <p>A. Individuals shall receive services from competent and qualified staff...</p>	<p>Based on record review, the Agency failed to ensure that Orientation and Training requirements were met for 13 of 36 Direct Service Personnel.</p> <p>Review of Direct Service Personnel training records found no evidence of the following required DOH/DDSD trainings and certification being completed:</p> <ul style="list-style-type: none"> • Pre- Service (DSP #45, 59, 60, 68 & 71) • Basic Health/Orientation (DSP #59, 60, 66, 68 & 71) • Person-Centered Planning (1-Day) (DSP #45, 50, 59, 60, 66, 71 & 75) • First Aid (DSP #46, 59, 60, 65, 66 & 71) • CPR (DSP #46, 50, 59, 60, 66 & 71) • Assisting With Medications (DSP #41, 46, 48, 59, 60, 66, 71 & 72) • Participatory Communication & Choice Making (DSP #72) 		

Tag # 1A22 Staff Competence	Scope and Severity Rating: E		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1 IV. GENERAL REQUIREMENTS FOR PROVIDER AGENCY SERVICE</p> <p>PERSONNEL: The objective of this section is to establish personnel standards for DD Medicaid Waiver Provider Agencies for the following services: Community Living Supports, Community Inclusion Services, Respite, Substitute Care and Personal Support Companion Services. These standards apply to all personnel who provide services, whether directly employed or subcontracting with the Provider Agency. Additional personnel requirements and qualifications may be applicable for specific service standards.</p> <p>F. Qualifications for Direct Service Personnel: The following employment qualifications and competency requirements are applicable to all Direct Service Personnel employed by a Provider Agency:</p> <p>(1) Direct service personnel shall be eighteen (18) years or older. Exception: Adult Habilitation can employ direct care personnel under the age of eighteen 18 years, but the employee shall work directly under a supervisor, who is physically present at all times;</p> <p>(2) Direct service personnel shall have the ability to read and carry out the requirements in an ISP;</p> <p>(3) Direct service personnel shall be available to communicate in the language that is functionally required by the individual or in the use of any specific augmentative communication system utilized by the individual;</p>	<p>Based on interview, the Agency failed to ensure that training competencies were met for 5 of 12 Direct Service Personnel.</p> <p>When DSP were asked if they received training on the Individual's ISP and what the plan covered, the following was reported:</p> <ul style="list-style-type: none"> DSP #41 stated, "No, because he is a new client." Individual has been attending Adult Habilitation with Journey's since June 2009. (Individual #2) <p>When DSP were asked if they received training on the Individual's Positive Behavioral Supports Plan and what the plan covered, the following was reported:</p> <ul style="list-style-type: none"> DSP #47 stated, "No". According to the Agency Case File, the Individual requires a Positive Behavioral Supports Plan). (Individual #7) <p>When DSP were asked if they received training on the Individual's Speech Therapy Plan and what the plan covered, the following was reported:</p> <ul style="list-style-type: none"> DSP #47 stated, "No" According to the Agency Case File, the Individual requires a Speech Therapy Plan. (Individual #7) <p>When DSP were asked if they received training on the Individual's Physical Therapy Plan and what the plan covered, the following was reported:</p> <ul style="list-style-type: none"> DSP #47 stated, "No." According to the Agency Case File, the Individual requires a Physical Therapy Plan. (Individual #7) 		

<p>(4) Direct service personnel shall meet the qualifications specified by DDS in the Policy Governing the Training Requirements for Direct Support Staff and Internal Service Coordinators, Serving Individuals with Developmental Disabilities; and</p> <p>(5) Direct service Provider Agencies of Respite Services, Substitute Care, Personal Support Services, Nutritional Counseling, Therapists and Nursing shall demonstrate basic knowledge of developmental disabilities and have training or demonstrable qualifications related to the role he or she is performing and complete individual specific training as required in the ISP for each individual he or she support.</p> <p>(6) Report required personnel training status to the DDS Statewide Training Database as specified in DDS policies as related to training requirements as follows:</p> <p>(a) Initial comprehensive personnel status report (name, date of hire, Social Security number category) on all required personnel to be submitted to DDS Statewide Training Database within the first ninety (90) calendar days of providing services;</p> <p>(b) Staff who do not wish to use his or her Social Security Number may request an alternative tracking number; and</p> <p>(c) Quarterly personnel update reports sent to DDS Statewide Training Database to reflect new hires, terminations, inter-provider Agency position changes, and name changes.</p>	<p>When DSP were asked if the individual has any Health Care Plans, the following was reported:</p> <ul style="list-style-type: none"> ○ DSP #42 stated, “No.” According to the ISP the individual has a HAT score of 5 and the Individual Specific Training section of the ISP indicates there are HCPs. (Individual #3) <p>When DSP were asked if they had received training regarding the individual’s Seizure Disorder, the following was reported:</p> <ul style="list-style-type: none"> ● DSP #42 stated, “No.” According to the ISP, the individual has a diagnosis of Seizures. (Individual #3) <p>When DSP were asked, what you are suppose to do if there is a medication error, the following was reported:</p> <ul style="list-style-type: none"> ● DSP #49 stated, “I would put it in the toilet and flush it.” (Individual #9) <p>When DSP were asked if the individual had a Meal Time Plan, the following was reported:</p> <ul style="list-style-type: none"> ● DSP #43 stated, “No.” As indicated by the Individual Specific Training section of the ISP the individual has a Meal Time Plan. (Individual #3) <p>When DSP were asked if they had received training on the Individual’s Diabetes, the following was reported:</p> <ul style="list-style-type: none"> ● DSP #42 stated, “Nothing through the agency but I did receive some training through my work on Diabetes in general.” According to the ISP, the individual has a diagnosis of Diabetes. (Individual #3) 		
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	<p>When DSP were asked what the signs of high blood sugar are, the following was reported:</p> <ul style="list-style-type: none"> • DSP #42 stated, "I don't know." According to the ISP, the individual has a diagnosis of Diabetes. (Individual #3) <p>When DSP were asked to describe the signs and symptoms of an adverse reaction to a medication, the following was reported:</p> <ul style="list-style-type: none"> • DSP #49 stated, "faint or whatever" (Individual #9) <p>When DSP were asked to describe the signs and symptoms of an allergic reaction to food, the following was reported:</p> <ul style="list-style-type: none"> • DSP #49 stated, "convulsions, faint or something" (Individual #9) <p>When DSP were asked if the individual has any Aspiration issues, the following was reported:</p> <ul style="list-style-type: none"> • DSP #42 stated, "No, she doesn't have any issues with Aspiration." According to the ISP individual is an Aspiration risk and also has an Individual Specific Plan related to Aspiration. (Individual #3) 		
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Tag # 1A25 (CoP) CCHS	Scope and Severity Rating: E		
<p>NMAC 7.1.9.8 CAREGIVER AND HOSPITAL CAREGIVER EMPLOYMENT REQUIREMENTS: F. Timely Submission: Care providers shall submit all fees and pertinent application information for all individuals who meet the definition of an applicant, caregiver or hospital caregiver as described in Subsections B, D and K of 7.1.9.7 NMAC, no later than twenty (20) calendar days from the first day of employment or effective date of a contractual relationship with the care provider.</p> <p>NMAC 7.1.9.9 CAREGIVERS OR HOSPITAL CAREGIVERS AND APPLICANTS WITH DISQUALIFYING CONVICTIONS: A. Prohibition on Employment: A care provider shall not hire or continue the employment or contractual services of any applicant, caregiver or hospital caregiver for whom the care provider has received notice of a disqualifying conviction, except as provided in Subsection B of this section.</p> <p>NMAC 7.1.9.11 DISQUALIFYING CONVICTIONS. The following felony convictions disqualify an applicant, caregiver or hospital caregiver from employment or contractual services with a care provider: A. homicide; B. trafficking, or trafficking in controlled substances; C. kidnapping, false imprisonment, aggravated assault or aggravated battery; D. rape, criminal sexual penetration, criminal sexual contact, incest, indecent exposure, or other related felony sexual offenses; E. crimes involving adult abuse, neglect or financial exploitation; F. crimes involving child abuse or neglect; G. crimes involving robbery, larceny, extortion, burglary, fraud, forgery, embezzlement, credit card fraud, or receiving stolen property; or H. an attempt, solicitation, or conspiracy involving any of the felonies in this subsection.</p>	<p>Based on record review, the Agency failed to maintain documentation indicating no “disqualifying convictions” or documentation of the timely submission of pertinent application information to the Caregiver Criminal History Screening Program was on file for 10 of 37 Agency Personnel.</p> <p>The following Agency Personnel Files contained no evidence of Caregiver Criminal History Screenings:</p> <ul style="list-style-type: none"> • #43 – Date of hire 08/21/2006 (repeat deficiency) • #45 – Date of hire 12/01/2008 • #50 – Date of hire 06/2009 • #59 – Date of hire 04/01/2009 • #60 – Date of hire 04/01/2009 • #63 – Date of hire 05/01/2007 • #66 – Date of hire 04/01/2009 • #67– Date of hire 07/01/2008 • #68 – Date of hire 08/01/2009 • #71 – Date of hire 04/01/2009 		

Tag # 1A26 (CoP) COR / EAR	Scope and Severity Rating: E		
<p>NMAC 7.1.12.8 REGISTRY ESTABLISHED; PROVIDER INQUIRY REQUIRED: Upon the effective date of this rule, the department has established and maintains an accurate and complete electronic registry that contains the name, date of birth, address, social security number, and other appropriate identifying information of all persons who, while employed by a provider, have been determined by the department, as a result of an investigation of a complaint, to have engaged in a substantiated registry-referred incident of abuse, neglect or exploitation of a person receiving care or services from a provider. Additions and updates to the registry shall be posted no later than two (2) business days following receipt. Only department staff designated by the custodian may access, maintain and update the data in the registry.</p> <p>A. Provider requirement to inquire of registry. A provider, prior to employing or contracting with an employee, shall inquire of the registry whether the individual under consideration for employment or contracting is listed on the registry...</p> <p>D. Documentation of inquiry to registry. The provider shall maintain documentation in the employee's personnel or employment records that evidences the fact that the provider made an inquiry to the registry concerning that employee prior to employment. Such documentation must include evidence, based on the response to such inquiry received from the custodian by the provider, that the employee was not listed on the registry as having a substantiated registry-referred incident of abuse, neglect or exploitation....</p>	<p>Based on record review, the Agency failed to maintain documentation in the employee's personnel records that evidenced inquiry to the Employee Abuse Registry prior to employment for 19 of 37 Agency Personnel.</p> <p>The following Agency Personnel records contained evidence that indicated the Employee Abuse Registry was completed after hire:</p> <ul style="list-style-type: none"> • #42 – Date of hire 09/10/2008 • #45 – Date of hire 12/01/2008 • #48 – Date of hire 04/01/2006 • #50 – Date of hire 06/2009 • #55 – Date of hire 02/01/2009 • #57 – Date of hire 05/01/2007 • #59 – Date of hire 04/01/2009 • #60 – Date of hire 04/01/2009 • #61– Date of hire 07/01/2008 • #63 – Date of hire 05/01/2007 • #64 – Date of hire 09/01/2007 • #65 – Date of hire 05/01/2007 • #66 – Date of hire 04/01/2009 • #68 – Date of hire 08/01/2009 • #69 – Date of hire 09/05/2007 • #71 – Date of hire 04/01/2009 • #72 – Date of hire 07/14/2009 • #73 – Date of hire 01/01/2007 • #75 – Date of hire 10/2008 		

Tag # 1A28 (CoP) Incident Mgt. System - Policy & Procedure	Scope & Severity Rating: F		
<p>7.1.13.9 INCIDENT MANAGEMENT SYSTEM REPORTING REQUIREMENTS FOR COMMUNITY BASED SERVICE PROVIDERS:</p> <p>C. Incident Policies: All community based service providers shall maintain policies and procedures, which describe the community based service provider's immediate response to all reported allegations of incidents involving abuse, neglect, or misappropriation of property; all unexpected deaths or natural/expected deaths, and other reportable incidents required as required in Paragraph (2) of Subsection A of 7.1.13.9 NMAC.</p> <p>NMAC 7.1.13.10 INCIDENT MANAGEMENT SYSTEM REQUIREMENTS:</p> <p>A. General: All licensed health care facilities and community based service providers shall establish and maintain an incident management system, which emphasizes the principles of prevention and staff involvement. The licensed health care facility or community based service provider shall ensure that the incident management system policies and procedures requires all employees to be competently trained to respond to, report, and document incidents in a timely and accurate manner.</p> <p>B. Training Curriculum: The licensed health care facility and community based service provider shall provide all employees and volunteers with a written training curriculum on incident policies and procedures for identification, and timely reporting of abuse, neglect, misappropriation of consumers' property, and where applicable to community based service providers, unexpected deaths or other reportable incidents, within thirty (30) days of the employees' initial employment, and by annual review not to exceed twelve (12) month intervals...</p>	<p>Based on record review and interview, the Agency failed to establish and maintain an incident management system, which emphasizes the principles of prevention and staff involvement.</p> <p>During on-site survey, the following was found:</p> <p>Journey's Policies and Procedures: Abuse, Neglect and Exploitation (Serious Incident and Unexpected/Expected Death) failed to mention the time period of training for Agency personal. It also did not include information for the tracking or trending of incidents.</p> <p>When #77 was asked about tracking and trending of incidents the following was reported, #77 stated, "We do not do tracking or trending of incident reports. We do have an Incident Management Committee that is part of our HRC but do not track all incident. The only incidents we did tract were for 3 individuals that had frequent incidents but are no longer with the agency."</p> <p>Per NMAC regulation "community based service provider shall provide all employees and volunteers with a written training ... within thirty (30) days of the employees' initial employment, and by annual review not to exceed twelve (12) month intervals."</p>		

Tag # 1A28 (CoP) Incident Mgt. System - Personnel Training	Scope & Severity Rating: E		
<p>NMAC 7.1.13.10 INCIDENT MANAGEMENT SYSTEM REQUIREMENTS:</p> <p>A. General: All licensed health care facilities and community based service providers shall establish and maintain an incident management system, which emphasizes the principles of prevention and staff involvement. The licensed health care facility or community based service provider shall ensure that the incident management system policies and procedures requires all employees to be competently trained to respond to, report, and document incidents in a timely and accurate manner.</p> <p>D. Training Documentation: All licensed health care facilities and community based service providers shall prepare training documentation for each employee to include a signed statement indicating the date, time, and place they received their incident management reporting instruction. The licensed health care facility and community based service provider shall maintain documentation of an employee's training for a period of at least twelve (12) months, or six (6) months after termination of an employee's employment. Training curricula shall be kept on the provider premises and made available on request by the department. Training documentation shall be made available immediately upon a division representative's request. Failure to provide employee training documentation shall subject the licensed health care facility or community based service provider to the penalties provided for in this rule.</p> <p>Policy Title: Training Requirements for Direct Service Agency Staff Policy - Eff. March 1, 2007</p> <p>II. POLICY STATEMENTS: - C. Staff shall complete training on DOH-approved incident reporting procedures in accordance with 7 NMAC 1.13.</p>	<p>Based on record review and interview, the Agency failed to provide documentation verifying completion of Incident Management Training for 7 of 37 Agency Personnel.</p> <ul style="list-style-type: none"> • Incident Management Training (Abuse, Neglect & Misappropriation of Consumers' Property) (#50, 61, 63, 66, 68, 71 & 76) 		

Tag # 1A28 (CoP) Incident Mgt. System - Parent/Guardian Training	Scope & Severity Rating: D		
<p>NMAC 7.1.13.10 INCIDENT MANAGEMENT SYSTEM REQUIREMENTS:</p> <p>A. General: All licensed health care facilities and community based service providers shall establish and maintain an incident management system, which emphasizes the principles of prevention and staff involvement. The licensed health care facility or community based service provider shall ensure that the incident management system policies and procedures requires all employees to be competently trained to respond to, report, and document incidents in a timely and accurate manner.</p> <p>E. Consumer and Guardian Orientation Packet: Consumers, family members and legal guardians shall be made aware of and have available immediate accessibility to the licensed health care facility and community based service provider incident reporting processes. The licensed health care facility and community based service provider shall provide consumers, family members or legal guardians an orientation packet to include incident management systems policies and procedural information concerning the reporting of abuse, neglect or misappropriation. The licensed health care facility and community based service provider shall include a signed statement indicating the date, time, and place they received their orientation packet to be contained in the consumer's file. The appropriate consumer, family member or legal guardian shall sign this at the time of orientation.</p>	<p>Based on record review, the Agency failed to provide documentation indicating consumer, family members, or legal guardians had received an orientation packet including incident management system policies and procedural information concerning the reporting of Abuse, Neglect and Misappropriation of Consumers' Property, for 2 of 12 individuals.</p> <ul style="list-style-type: none"> • Parent/Guardian Incident Management Training (Abuse, Neglect & Misappropriation of Consumers' Property) (#5 & 10) 		

Tag # 1A28 (CoP) Incident Mgt. System - Posters	Scope & Severity Rating: E		
<p>NMAC 7.1.13.10 INCIDENT MANAGEMENT SYSTEM REQUIREMENTS:</p> <p>A. General: All licensed health care facilities and community based service providers shall establish and maintain an incident management system, which emphasizes the principles of prevention and staff involvement. The licensed health care facility or community based service provider shall ensure that the incident management system policies and procedures requires all employees to be competently trained to respond to, report, and document incidents in a timely and accurate manner.</p> <p>F. Posting of Incident Management Information Poster: All licensed health care facilities and community based service providers shall post two (2) or more posters, to be furnished by the division, in a prominent public location which states all incident management reporting procedures, including contact numbers and Internet addresses. All licensed health care facilities and community based service providers operating sixty (60) or more beds shall post three (3) or more posters, to be furnished by the division, in a prominent public location which states all incident management reporting procedures, including contact numbers and Internet addresses. The posters shall be posted where employees report each day and from which the employees operate to carry out their activities. Each licensed health care facility or community based service provider shall take steps to insure that the notices are not altered, defaced, removed, or covered by other material. [7.1.13.10 NMAC - N, 02/28/06]</p>	<p>Based on observation, the Agency failed to post two (2) or more Incident Management Information posters in a prominent public location for the following locations for 3 of 10 residences:</p> <p>The following locations were identified:</p> <ul style="list-style-type: none"> • Not current. DHI Incident Reporting Posters found in the home were FY 2008. <ul style="list-style-type: none"> ◦ Residence of: #7 • Not current. DHI Incident Reporting Posters found in the home were FY 2009. <ul style="list-style-type: none"> ◦ Residence of: #9 ◦ Residence of: #11 		

Tag # 1A29 Complaints / Grievances - Acknowledgement	Scope and Severity Rating: A		
<p>NMAC 7.26.3.6 A. These regulations set out rights that the department expects all providers of services to individuals with developmental disabilities to respect. These regulations are intended to complement the department's Client Complaint Procedures (7 NMAC 26.4) [now 7.26.4 NMAC].</p> <p>NMAC 7.26.3.13 Client Complaint Procedure Available. A complainant may initiate a complaint as provided in the client complaint procedure to resolve complaints alleging that a service provider has violated a client's rights as described in Section 10 [now 7.26.3.10 NMAC]. The department will enforce remedies for substantiated complaints of violation of a client's rights as provided in client complaint procedure. [09/12/94; 01/15/97; Recompiled 10/31/01]</p> <p>NMAC 7.26.4.13 Complaint Process: A. (2). The service provider's complaint or grievance procedure shall provide, at a minimum, that: (a) the client is notified of the service provider's complaint or grievance procedure</p>	<p>Based on record review, the Agency failed to provide documentation, the complaint procedure had been made available to individuals or their legal guardians for 2 of 12 individuals.</p> <ul style="list-style-type: none"> Grievance/Complaint Procedure Acknowledgement (#5 & 10) 		

Tag # 1A31 (CoP) Client Rights/Human Rights	Scope and Severity Rating: D		
<p>7.26.3.11 RESTRICTIONS OR LIMITATION OF CLIENT'S RIGHTS:</p> <p>A. A service provider shall not restrict or limit a client's rights except:</p> <p>(1) where the restriction or limitation is allowed in an emergency and is necessary to prevent imminent risk of physical harm to the client or another person; or</p> <p>(2) where the interdisciplinary team has determined that the client's limited capacity to exercise the right threatens his or her physical safety; or</p> <p>(3) as provided for in Section 10.1.14 [now Subsection N of 7.26.3.10 NMAC].</p> <p>B. Any emergency intervention to prevent physical harm shall be reasonable to prevent harm, shall be the least restrictive intervention necessary to meet the emergency, shall be allowed no longer than necessary and shall be subject to interdisciplinary team (IDT) review. The IDT upon completion of its review may refer its findings to the office of quality assurance. The emergency intervention may be subject to review by the service provider's behavioral support committee or human rights committee in accordance with the behavioral support policies or other department regulation or policy.</p> <p>C. The service provider may adopt reasonable program policies of general applicability to clients served by that service provider that do not violate client rights. [09/12/94; 01/15/97; Recompiled 10/31/01]</p> <p>Long Term Services Division Policy Title: Human Rights Committee Requirements Eff Date: March 1, 2003 IV. POLICY STATEMENT - Human Rights</p>	<p>Based on record review and interview, the Agency failed to ensure the rights of Individuals was not restricted or limited for 1 of 12 Individuals. (Individual #3)</p> <p>A review of Agency Individual files found no documentation of Positive Behavior Plans and/or Positive Behavior Crisis Plans, which contain restrictions being reviewed at least quarterly by the Human Rights Committee. (#3)</p> <p>Review of the Agency Policy & Procedure found the policy did not address Behavior Support Plans approved by the Human Rights Committee are to be reviewed at least quarterly.</p> <p>When #77 was asked if the Agency had documentation of Human Rights approval, the following was reported,</p> <p>#77 stated, "Our Agency does not condone physical restraint but we do have one individual that it is written into their Behavior Support Plan. However, our HRC has not approved or reviewed the use of that restraint since we do not condone our staff using it."</p>		

Committees are required for residential service provider agencies. The purpose of these committees with respect to the provision of Behavior Supports is to review and monitor the implementation of certain Behavior Support Plans.

Human Rights Committees may not approve any of the interventions specifically prohibited in the following policies:

- Aversive Intervention Prohibitions
- Psychotropic Medications Use
- Behavioral Support Service Provision.

A Human Rights Committee may also serve other agency functions as appropriate, such as the review of internal policies on sexuality and incident management follow-up.

A. HUMAN RIGHTS COMMITTEE ROLE IN BEHAVIOR SUPPORTS

Only those Behavior Support Plans with an aversive intervention included as part of the plan or associated Crisis Intervention Plan need to be reviewed prior to implementation. Plans not containing aversive interventions do not require Human Rights Committee review or approval.

2. The Human Rights Committee will determine and adopt a written policy stating the frequency and purpose of meetings. Behavior Support Plans approved by the Human Rights Committee will be reviewed at least quarterly.

3. Records, including minutes of all meetings will be retained at the agency with primary responsibility for implementation for at least five years from the completion of each individual's Individual Service Plan.

Department of Health Developmental Disabilities

**Supports Division (DDSD) - Procedure Title:
Medication Assessment and Delivery Procedure
Eff Date: November 1, 2006**

B. 1. e. If the PRN medication is to be used in response to psychiatric and/or behavioral symptoms in addition to the above requirements, obtain current written consent from the individual, guardian or surrogate health decision maker and submit for review by the agency's Human Rights Committee (References: Psychotropic Medication Use Policy, Section D, page 5 Use of PRN Psychotropic Medications; and, Human Rights Committee Requirements Policy, Section B, page 4 Interventions Requiring Review and Approval – Use of PRN Medications).

Tag # 1A32 (CoP) ISP Implementation	Scope and Severity Rating: E		
<p>NMAC 7.26.5.16.C and D Development of the ISP. Implementation of the ISP. The ISP shall be implemented according to the timelines determined by the IDT and as specified in the ISP for each stated desired outcomes and action plan.</p> <p>C. The IDT shall review and discuss information and recommendations with the individual, with the goal of supporting the individual in attaining desired outcomes. The IDT develops an ISP based upon the individual's personal vision statement, strengths, needs, interests and preferences. The ISP is a dynamic document, revised periodically, as needed, and amended to reflect progress towards personal goals and achievements consistent with the individual's future vision. This regulation is consistent with standards established for individual plan development as set forth by the commission on the accreditation of rehabilitation facilities (CARF) and/or other program accreditation approved and adopted by the developmental disabilities division and the department of health. It is the policy of the developmental disabilities division (DDD), that to the extent permitted by funding, each individual receive supports and services that will assist and encourage independence and productivity in the community and attempt to prevent regression or loss of current capabilities. Services and supports include specialized and/or generic services, training, education and/or treatment as determined by the IDT and documented in the ISP.</p> <p>D. The intent is to provide choice and obtain opportunities for individuals to live, work and play with full participation in their communities. The following principles provide direction and purpose in planning for individuals with developmental disabilities. [05/03/94; 01/15/97; Recompiled 10/31/01]</p>	<p>Based on record review, the Agency failed to implement the ISP according to the timelines determined by the IDT and as specified in the ISP for each stated desired outcomes and action plan for 7 of 12 individuals.</p> <p>Per Individuals ISP the following was found with regards to the implementation of ISP Outcomes:</p> <p>Family Living Data Collection/Data Tracking/Progress with regards to ISP Outcomes:</p> <p>Individual #2</p> <ul style="list-style-type: none"> • None found for 05/2009 <p>Individual #4</p> <ul style="list-style-type: none"> • None found for 02/2009 & 07/2009 <p>Individual #7</p> <ul style="list-style-type: none"> • None found for 06/2009 – 07/2009 <p>Individual #8</p> <ul style="list-style-type: none"> • None found for 01/2009 – 03/2009 & 07/2009 <p>Individual #9</p> <ul style="list-style-type: none"> • None found for 07/2009 <p>Individual #10</p> <ul style="list-style-type: none"> • None found for 03/2009 – 07/2009 <p>Individual #11</p> <ul style="list-style-type: none"> • None found for 07/2009 <p>Adult Habilitation Data Collection/Data Tracking/Progress with regards to ISP Outcomes:</p> <p>Individual #7</p> <ul style="list-style-type: none"> • None found for 08/2008 – 08/2009 		

Tag # 1A36 SC Training	Scope and Severity Rating: C		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1 IV. GENERAL REQUIREMENTS FOR PROVIDER AGENCY SERVICE</p> <p>PERSONNEL: The objective of this section is to establish personnel standards for DD Medicaid Waiver Provider Agencies for the following services: Community Living Supports, Community Inclusion Services, Respite, Substitute Care and Personal Support Companion Services. These standards apply to all personnel who provide services, whether directly employed or subcontracting with the Provider Agency. Additional personnel requirements and qualifications may be applicable for specific service standards.</p> <p>C. Orientation and Training Requirements: Orientation and training for direct support staff and his or her supervisors shall comply with the DDSD/DOH Policy Governing the Training Requirements for Direct Support Staff and Internal Service Coordinators Serving Individuals with Developmental Disabilities to include the following:</p> <p>(1) Each new employee shall receive appropriate orientation, including but not limited to, all policies relating to fire prevention, accident prevention, incident management and reporting, and emergency procedures; and</p>	<p>Based on record review, the Agency failed to ensure that Orientation and Training requirements were met for 1 of 1 Service Coordinators.</p> <p>Review of Service Coordinators training records found no evidence of the following required DOH/DDSD trainings being completed:</p> <ul style="list-style-type: none"> • Promoting Effective Teamwork (SC #76) 		

Tag # 1A37 Individual Specific Training	Scope and Severity Rating: E		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1 IV. GENERAL REQUIREMENTS FOR PROVIDER AGENCY SERVICE</p> <p>PERSONNEL: The objective of this section is to establish personnel standards for DD Medicaid Waiver Provider Agencies for the following services: Community Living Supports, Community Inclusion Services, Respite, Substitute Care and Personal Support Companion Services. These standards apply to all personnel who provide services, whether directly employed or subcontracting with the Provider Agency. Additional personnel requirements and qualifications may be applicable for specific service standards.</p> <p>C. Orientation and Training Requirements: Orientation and training for direct support staff and his or her supervisors shall comply with the DDS/DOH Policy Governing the Training Requirements for Direct Support Staff and Internal Service Coordinators Serving Individuals with Developmental Disabilities to include the following:</p> <p>(2) Individual-specific training for each individual under his or her direct care, as described in the individual service plan, prior to working alone with the individual.</p> <p>Department of Health (DOH) Developmental Disabilities Supports Division (DDSD) Policy - Policy Title: Training Requirements for Direct Service Agency Staff Policy - Eff. March 1, 2007</p> <p>II. POLICY STATEMENTS:</p> <p>A. Individuals shall receive services from competent and qualified staff.</p> <p>B. Staff shall complete individual-specific (formerly known as "Addendum B") training requirements in accordance with the specifications described in the individual service plan (ISP) of each individual served.</p>	<p>Based on record review, the Agency failed to ensure that Individual Specific Training requirements were met for 21 of 37 Agency Personnel.</p> <p>Review of personnel records found no evidence of the following:</p> <ul style="list-style-type: none"> Individual Specific Training (#41, 42, 43, 44, 45, 46, 47, 50, 53, 55, 56, 58, 59, 60, 61, 62, 63, 64, 68, 71 & 75) 		

Tag # 5I11 Reporting Requirements (Community Inclusion Quarterly Reports)	Scope and Severity Rating: A		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 5 IV. COMMUNITY INCLUSION SERVICES PROVIDER AGENCY REQUIREMENTS</p> <p>E. Provider Agency Reporting Requirements: All Community Inclusion Provider Agencies are required to submit written quarterly status reports to the individual's Case Manager no later than fourteen (14) calendar days following the end of each quarter. In addition to reporting required by specific Community Access, Supported Employment, and Adult Habilitation Standards, the quarterly reports shall contain the following written documentation:</p> <p>(1) Identification and implementation of a meaningful day definition for each person served;</p> <p>(2) Documentation summarizing the following:</p> <ul style="list-style-type: none"> (a) Daily choice-based options; and (b) Daily progress toward goals using age-appropriate strategies specified in each individual's action plan in the ISP. <p>(3) Significant changes in the individual's routine or staffing;</p> <p>(4) Unusual or significant life events;</p> <p>(5) Quarterly updates on health status, including changes in medication, assistive technology needs and durable medical equipment needs;</p> <p>(6) Record of personally meaningful community inclusion;</p> <p>(7) Success of supports as measured by whether or not the person makes progress toward his or her desired outcomes as identified in the ISP; and</p> <p>(8) Any additional reporting required by DDSD.</p>	<p>Based on record review, the Agency failed to complete quarterly reports as required for 1 of 5 individuals receiving Community Inclusion services.</p> <p>Adult Habilitation Quarterly Reports</p> <ul style="list-style-type: none"> • Individual #2 - None found for 05/2009, 06/2009 & 07/2009 (Agency completes monthly reports, not quarterly reports) 		

Tag # 5144 AH Reimbursement	Scope and Severity Rating: B		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 5 XVI. REIMBURSEMENT</p> <p>A. Billable Unit. A billable unit for Adult Habilitation Services is in 15-minute increments hour. The rate is based on the individual's level of care.</p> <p>B. Billable Activities</p> <p>(1) The Community Inclusion Provider Agency can bill for those activities listed and described on the ISP and within the Scope of Service. Partial units are allowable. Billable units are face-to-face, except that Adult Habilitation services may be non- face-to-face under the following conditions: (a) Time that is non face-to-face is documented separately and clearly identified as to the nature of the activity; and(b) Non face-to-face hours do not exceed 5% of the monthly billable hours.</p> <p>(2) Adult Habilitation Services can be provided with any other services, insofar as the services are not reported for the same hours on the same day, except that Therapy Services and Case Management may be provided and billed for the same hours</p>	<p>Based on record review, the Agency failed to provide written or electronic documentation as evidence for each unit billed for Adult Habilitation Services for 4 of 5 individuals.</p> <p>Individual #3 May 2009</p> <ul style="list-style-type: none"> The Agency billed 126 units of Adult Habilitation from 05/04/2009 through 05/10/2009. Documentation received accounted for 102 units. <p>July 2009</p> <ul style="list-style-type: none"> The Agency billed 126 units of Adult Habilitation from 05/27/2009 through 05/31/2009. Documentation received accounted for 86 units. <p>Individual #5 July 2009</p> <ul style="list-style-type: none"> The Agency billed 328 units of Adult Habilitation from 07/10/2009 through 07/19/2009. Documentation received accounted for 168 units. <p>Individual #6 July 2009</p> <ul style="list-style-type: none"> The Agency billed 101 units of Adult Habilitation from 06/29/2009 through 07/05/2009. Documentation received accounted for 95 units. The Agency billed 126 units of Adult Habilitation from 07/06/2009 through 07/12/2009. Documentation received accounted for 115 units. The Agency billed 126 units of Adult Habilitation from 07/27/2009 through 07/31/2009. 		

	<p>Documentation received accounted for 115 units.</p> <p>Individual #7 July 2009</p> <ul style="list-style-type: none">• The Agency billed 155 units of Adult Habilitation from 07/13/2009 through 07/19/2009. Documentation received accounted for 76 units.		
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Tag # 6L06 (CoP) - FL Requirements	Scope and Severity Rating: E		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 6. III. REQUIREMENTS UNIQUE TO FAMILY LIVING SERVICES</p> <p>B. Home Studies. The Family Living Services Provider Agency shall complete all DDSD requirements for approval of each direct support provider, including completion of an approved home study and training prior to placement. After the initial home study, an updated home study shall be completed annually. The home study must also be updated each time there is a change in family composition or when the family moves to a new home. The content and procedures used by the Provider Agency to conduct home studies shall be approved by DDSD.</p> <p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 1. I. PROVIDER AGENCY ENROLLMENT PROCESS</p> <p>D. Scope of DDSD Agreement</p> <p>(4) Provider Agencies must have prior written approval of the Department of Health to subcontract any service other than Respite;</p> <p>NMAC 8.314.5.10 - DEVELOPMENTAL DISABILITIES HOME AND COMMUNITY-BASED SERVICES WAIVER - ELIGIBLE PROVIDERS: Qualifications for community living service providers: There are three types of community living services: Family living, supported living and independent living. Community living providers must meet all qualifications set forth by the DOH/DDSD, DDW definitions and service standards.</p> <p>(1) Family living service providers for adults must meet the qualifications for staff required by ... All family living sub-contracts must be approved by the DOH/DDSD.</p>	<p>Based on record review, the Agency failed complete all DDSD requirements for approval of each direct support provider for 8 of 12 individuals.</p> <p>The following was not found, not current and/or incomplete:</p> <ul style="list-style-type: none"> • DDSD Approval for Subcontractor (#2 & 6) • Family Living (Initial) Home Study (#2 & 5) • Family Living (Annual Update) Home Study (#3, 4, 5, 6, 7, 8 & 12) • Current Family Living Contract (#4, 5, 7 & 12) 		

Tag # 6L13 (CoP) - CL Healthcare Reqts.	Scope and Severity Rating: E		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 6. VI. GENERAL REQUIREMENTS FOR COMMUNITY LIVING</p> <p>G. Health Care Requirements for Community Living Services.</p> <p>(1) The Community Living Service providers shall ensure completion of a HAT for each individual receiving this service. The HAT shall be completed 2 weeks prior to the annual ISP meeting and submitted to the Case Manager and all other IDT Members. A revised HAT is required to also be submitted whenever the individual's health status changes significantly. For individuals who are newly allocated to the DD Waiver program, the HAT may be completed within 2 weeks following the initial ISP meeting and submitted with any strategies and support plans indicated in the ISP, or within 72 hours following admission into direct services, which ever comes first.</p> <p>(2) Each individual will have a Health Care Coordinator, designated by the IDT. When the individual's HAT score is 4, 5 or 6 the Health Care Coordinator shall be an IDT member, other than the individual. The Health Care Coordinator shall oversee and monitor health care services for the individual in accordance with these standards. In circumstances where no IDT member voluntarily accepts designation as the health care coordinator, the community living provider shall assign a staff member to this role.</p> <p>(3) For each individual receiving Community Living Services, the provider agency shall ensure and document the following:</p> <p>(a) Provision of health care oversight consistent with these Standards as detailed in Chapter One section III E: Healthcare Documentation by Nurses For Community Living Services, Community Inclusion Services and Private</p>	<p>Based on record review, the Agency failed to provide documentation of annual physical examinations and/or other examinations as specified by a licensed physician for 7 of 12 individuals receiving Community Living Services.</p> <ul style="list-style-type: none"> • Dental Exam <ul style="list-style-type: none"> ◦ Individual #4 - As indicated by the documentation reviewed, exam was completed on 10/03/2008. Follow-up was to be completed in 3 months. No evidence of follow-up found. ◦ Individual #8 - As indicated by the documentation reviewed, exam was completed on 01/12/2009. Follow-up was to be completed in 6 months. No evidence of follow-up found. ◦ Individual #12 - As indicated by the documentation reviewed, Individual was to return for exam in 04/2009. No evidence found to verify visit was completed. • Vision Exam <ul style="list-style-type: none"> ◦ Individual #9 - As indicated by the documentation reviewed, the exam was completed on 05/05/2009 No evidence of exam was found. ◦ Individual #3 - As indicated by the documentation reviewed, exam was completed on 12/19/2007. Follow-up was to be completed in 1 year. No evidence of follow-up found. ◦ Individual #7 - As indicated by the documentation reviewed, exam was completed on 04/11/2009. Follow-up was to be completed in 1 year. No evidence of follow-up found. 		

<p>Duty Nursing Services.</p> <p>b) That each individual with a score of 4, 5, or 6 on the HAT, has a Health Care Plan developed by a licensed nurse.</p> <p>(c) That an individual with chronic condition(s) with the potential to exacerbate into a life threatening condition, has Crisis Prevention/ Intervention Plan(s) developed by a licensed nurse or other appropriate professional for each such condition.</p> <p>(4) That an average of 3 hours of documented nutritional counseling is available annually, if recommended by the IDT.</p> <p>(5) That the physical property and grounds are free of hazards to the individual's health and safety.</p> <p>(6) In addition, for each individual receiving Supported Living or Family Living Services, the provider shall verify and document the following:</p> <p>(a) The individual has a primary licensed physician;</p> <p>(b) The individual receives an annual physical examination and other examinations as specified by a licensed physician;</p> <p>(c) The individual receives annual dental check-ups and other check-ups as specified by a licensed dentist;</p> <p>(d) The individual receives eye examinations as specified by a licensed optometrist or ophthalmologist; and</p> <p>(e) Agency activities that occur as follow-up to medical appointments (e.g. treatment, visits to specialists, changes in medication or daily routine).</p>	<ul style="list-style-type: none"> • Bone Density Exam <ul style="list-style-type: none"> ◦ Individual #3 - As indicated by the documentation reviewed, the exam was completed on 09/22/2008. No evidence of exam was found. • Mammogram Exam <ul style="list-style-type: none"> ◦ Individual #3 - As indicated by the documentation reviewed, the exam was completed on 08/22/2008. No evidence of exam was found. • Blood Level <ul style="list-style-type: none"> ◦ Individual #6 - As indicated by the documentation reviewed, exam was scheduled for 02/2009. No evidence found to verify visit was completed. 		
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Tag # 6L14 Residential Case File	Scope and Severity Rating: E		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 6. VIII. COMMUNITY LIVING SERVICE PROVIDER AGENCY REQUIREMENTS</p> <p>A. Residence Case File: For individuals receiving Supported Living or Family Living, the Agency shall maintain in the individual's home a complete and current confidential case file for each individual. For individuals receiving Independent Living Services, rather than maintaining this file at the individual's home, the complete and current confidential case file for each individual shall be maintained at the agency's administrative site. Each file shall include the following:</p> <p>(1) Complete and current ISP and all supplemental plans specific to the individual;</p> <p>(2) Complete and current Health Assessment Tool;</p> <p>(3) Current emergency contact information, which includes the individual's address, telephone number, names and telephone numbers of residential Community Living Support providers, relatives, or guardian or conservator, primary care physician's name(s) and telephone number(s), pharmacy name, address and telephone number and dentist name, address and telephone number, and health plan;</p> <p>(4) Up-to-date progress notes, signed and dated by the person making the note for at least the past month (older notes may be transferred to the agency office);</p> <p>(5) Data collected to document ISP Action Plan implementation</p> <p>(6) Progress notes written by direct care staff and by nurses regarding individual health status and physical conditions including action taken in response to identified changes in condition for at least the past month;</p>	<p>Based on record review, the Agency failed to maintain a complete and confidential case file in the residence for 8 of 10 Individuals receiving Family Living Services.</p> <p>The following was not found, incomplete and/or not current:</p> <ul style="list-style-type: none"> • Current Emergency & Personal Identification Information <ul style="list-style-type: none"> ◦ None Found (#4) ◦ Did not contain Pharmacy Information (#9) • Annual ISP (#4, 9 & 11) • ISP Signature Page (#4, 8, 9 & 11) • Addendum A (#3, 4, 8, 9 & 11) • Individual Specific Training (#4, 9 & 11) • Teaching & Support Strategies (#3, 4, 7, 8, 9 & 11) • Positive Behavioral Plan (#7 & 11) • Positive Behavioral Crisis Plan (#3 & 7) • Speech Therapy Plan (#1, 3, 5, 7, 8 & 9) • Occupational Therapy Plan (#3, 5, 9 & 11) • Physical Therapy Plan (#5, 7, 9 & 11) • Health Assessment Tool (#1, 4, 5 & 7) • Special Health Care Needs <ul style="list-style-type: none"> ◦ Meal Time Plan (#3) 		

<p>(7) Physician's or qualified health care providers written orders;</p> <p>(8) Progress notes documenting implementation of a physician's or qualified health care provider's order(s);</p> <p>(9) Medication Administration Record (MAR) for the past three (3) months which includes:</p> <ul style="list-style-type: none"> (a) The name of the individual; (b) A transcription of the healthcare practitioners prescription including the brand and generic name of the medication; (c) Diagnosis for which the medication is prescribed; (d) Dosage, frequency and method/route of delivery; (e) Times and dates of delivery; (f) Initials of person administering or assisting with medication; and (g) An explanation of any medication irregularity, allergic reaction or adverse effect. (h) For PRN medication an explanation for the use of the PRN must include: <ul style="list-style-type: none"> (i) Observable signs/symptoms or circumstances in which the medication is to be used, and (ii) Documentation of the effectiveness/result of the PRN delivered. (i) A MAR is not required for individuals participating in Independent Living Services who self-administer their own medication. However, when medication administration is provided as part of the Independent Living Service a MAR must be maintained at the individual's home and an updated copy must be placed in the agency file on a weekly basis. <p>(10) Record of visits to healthcare practitioners including any treatment provided at the visit and a record of all diagnostic testing for the current ISP year; and</p> <p>(11) Medical History ...</p>	<ul style="list-style-type: none"> ◦ Nutritional Plan (#4) • Crisis Plan <ul style="list-style-type: none"> ◦ Cardiac Condition (#9) (Required per Individual Specific Training Section of the ISP) • Health Care Providers Written Orders <ul style="list-style-type: none"> ◦ For Oxygen & Aspirin (#9) 		
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Tag # 6L17 Reporting Requirements (Community Living Quarterly Reports)	Scope and Severity Rating: B		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 6. VIII. COMMUNITY LIVING SERVICE PROVIDER AGENCY REQUIREMENTS</p> <p>D. Community Living Service Provider Agency Reporting Requirements: All Community Living Support providers shall submit written quarterly status reports to the individual's Case Manager and other IDT Members no later than fourteen (14) days following the end of each ISP quarter. The quarterly reports shall contain the following written documentation:</p> <ol style="list-style-type: none"> (1) Timely completion of relevant activities from ISP Action Plans (2) Progress towards desired outcomes in the ISP accomplished during the quarter; (3) Significant changes in routine or staffing; (4) Unusual or significant life events; (5) Updates on health status, including medication and durable medical equipment needs identified during the quarter; and (6) Data reports as determined by IDT members. 	<p>Based on record review, the Agency failed to complete written quarterly status reports for 6 of 12 individuals receiving Community Living Services.</p> <p>* Agency completes monthly reports.</p> <p>Family Living Quarterly Reports:</p> <ul style="list-style-type: none"> • Individual #2 - None found for 6/2009 & 07/2009 • Individual #4 - None found for 01/2009, 06/2009 & 07/2009 • Individual #5 - None found for 06/2009 & 07/2009 • Individual #7 - None found for 06/2008, 07/2008, 08/2009 & 09/2008 • Individual #8 – None found for 01/2009, 02/2009, 03/2009 & 07/2009 • Individual #9 – None found for 07/2009 		

Tag # 6L25 (CoP) Residential Health & Safety (Family Living)	Scope and Severity Rating: D		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 6. VIII. COMMUNITY LIVING SERVICE PROVIDER AGENCY REQUIREMENTS</p> <p>L. Residence Requirements for Family Living Services and Supported Living Services</p> <p>(1) Supported Living Services and Family Living Services providers shall assure that each individual's residence has:</p> <p>(a) Battery operated or electric smoke detectors, heat sensors, or a sprinkler system installed in the residence;</p> <p>(b) General-purpose first aid kit;</p> <p>(c) When applicable due to an individual's health status, a blood borne pathogens kit;</p> <p>(d) Accessible written procedures for emergency evacuation e.g. fire and weather-related threats;</p> <p>(e) Accessible telephone numbers of poison control centers located within the line of sight of the telephone;</p> <p>(f) Accessible written documentation of actual evacuation drills occurring at least three (3) times a year. For Supported Living evacuation drills shall occur at least once a year during each shift;</p> <p>(g) Accessible written procedures for the safe storage of all medications with dispensing instructions for each individual that are consistent with the Assisting with Medication Administration training or each individual's ISP; and</p> <p>(h) Accessible written procedures for emergency placement and relocation of individuals in the event of an emergency evacuation that makes the residence unsuitable for occupancy. The emergency evacuation procedures shall address, but are not limited to, fire, chemical and/or hazardous waste spills, and flooding.</p>	<p>Based on observation, the Agency failed to ensure that each individual's residence met all requirements within the standard for 2 of 10 Family Living residences.</p> <p>The following items were not found, not functioning or incomplete:</p> <ul style="list-style-type: none"> • Accessible written procedures for emergency placement and relocation of individuals in the event of an emergency evacuation that makes the residence unsuitable for occupancy. The emergency evacuation procedures shall address, but are not limited to, fire, chemical and/or hazardous waste spills, and flooding (#4 & 7) 		

Tag # 6L27 FL Reimbursement	Scope and Severity Rating: C		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 6. IX. REIMBURSEMENT FOR COMMUNITY LIVING SERVICES</p> <p>B. Reimbursement for Family Living Services</p> <p>(1) Billable Unit: The billable unit for Family Living Services is a daily rate for each individual in the residence. A maximum of 340 days (billable units) are allowed per ISP year.</p> <p>(2) Billable Activities shall include:</p> <p>(a) Direct support provided to an individual in the residence any portion of the day;</p> <p>(b) Direct support provided to an individual by the Family Living Services direct support or substitute care provider away from the residence (e.g., in the community); and</p> <p>(c) Any other activities provided in accordance with the Scope of Services.</p> <p>(3) Non-Billable Activities shall include:</p> <p>(a) The Family Living Services Provider Agency may not bill the for room and board;</p> <p>(b) Personal care, nutritional counseling and nursing supports may not be billed as separate services for an individual receiving Family Living Services; and</p> <p>(c) Family Living services may not be billed for the same time period as Respite.</p> <p>(d) The Family Living Services Provider Agency may not bill on days when an individual is hospitalized or in an institutional care setting. For this purpose a day is counted from one midnight to the following midnight.</p> <p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007 - Chapter 6 - COMMUNITY LIVING SERVICES</p> <p>III. REQUIREMENTS UNIQUE TO FAMILY LIVING</p>	<p>Based on record review, the Agency failed to provide written or electronic documentation as evidence for each unit billed for Family Living Services for 10 of 12 individuals.</p> <p>Individual #2 May & June 2009</p> <ul style="list-style-type: none"> The Agency billed 45 units of Family Living from 05/01/2009 through 06/14/2009. Documentation received accounted for 14 units. <p>Individual #3 June 2009</p> <ul style="list-style-type: none"> The Agency billed 7 units of Family Living from 06/01/2009 through 06/07/2009. Review of documentation indicated services were provided concurrently with a hospital admittance on 06/05/2009 through 06/07/2009. <p>Individual #4 June 2009</p> <ul style="list-style-type: none"> The Agency billed 30 units of Family Living from 06/01/2009 through 06/30/2009. No documentation found to justify billing. <p>July 2009</p> <ul style="list-style-type: none"> The Agency billed 31 units of Family Living from 07/01/2009 through 07/31/2009. No documentation found to justify billing. <p>Individual #5 June 2009</p> <ul style="list-style-type: none"> The Agency billed 7 units of Family Living from 06/08/2009 through 06/14/2009. No documentation found to justify billing. <p>July 2009</p> <ul style="list-style-type: none"> The Agency billed 19 units of Family Living from 07/13/2009 through 07/31/2009. No 		

<p>SERVICES</p> <p>C. Service Limitations. Family Living Services cannot be provided in conjunction with any other Community Living Service, Personal Support Service, Private Duty Nursing, or Nutritional Counseling. In addition, Family Living may not be delivered during the same time as respite; therefore, a specified deduction to the daily rate for Family Living shall be made for each unit of respite received.</p> <p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007 - DEFINITIONS</p> <p>SUBSTITUTE CARE means the provision of family living services by an agency staff or subcontractor during a planned/scheduled or emergency absence of the direct service provider.</p> <p>RESPITE means a support service to allow the primary caregiver to take a break from care giving responsibilities while maintaining adequate supervision and support to the individual during the absence of the primary caregiver.</p>	<p>documentation found to justify billing.</p> <p>Individual #7 June 2009</p> <ul style="list-style-type: none"> • The Agency billed 30 units of Family Living from 06/01/2009 through 06/30/2009. No documentation found to justify billing. <p>July 2009</p> <ul style="list-style-type: none"> • The Agency billed 31 units of Family Living from 07/01/2009 through 07/31/2009. No documentation found to justify billing. <p>Individual #8 July 2009</p> <ul style="list-style-type: none"> • The Agency billed 20 units of Family Living from 07/01/2009 through 07/26/2009. No documentation found to justify billing. <p>Individual #9 July 2009</p> <ul style="list-style-type: none"> • The Agency billed 31 units of Family Living from 07/01/2009 through 07/31/2009. No documentation found to justify billing. <p>Individual #10 July 2009</p> <ul style="list-style-type: none"> • The Agency billed 31 units of Family Living from 07/01/2009 through 07/31/2009. No documentation found to justify billing. <p>Individual #11 July 2009</p> <ul style="list-style-type: none"> • The Agency billed 31 units of Family Living from 07/01/2009 through 07/31/2009. No documentation found to justify billing. <p>Individual #12 July 2009</p> <ul style="list-style-type: none"> • The Agency billed 31 units of Family Living from 		
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	07/01/2009 through 07/31/2009. No documentation found to justify billing.		
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