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Secretary

DEPARTMENT OF

Building a Healthy New Mexico!

Bill Richardson, Governor

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Deputy Secretary

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Jessica Sutin
Deputy Secretary

Karen Armitage, MD
Chief Medical Officer

Date: April 22, 2009

To: Selinda Turner, Executive Director
Provider: Friends Forever Case Management
Address: 2403 San Mateo NE Suite W 23
State/Zip: Albuquerque, New Mexico 87110

E-mail: siturner@spinn.net

Region: Metro & Southwest Regions
Survey Date: March 30 – April 1, 2009
Program Surveyed: Developmental Disabilities Waiver
Service Surveyed: Case Management
Survey Type: Routine
Team Leader: Nadine Romero, LBSW, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau
Team Members: Crystal Lopez-Beck, BA, Healthcare Surveyor Division of Health Improvement/Quality Management Bureau
Survey #: Q09.03.A1254.METRO&SW.001.RTN.01

Dear Ms. Turner,

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 is granting your agency a “MERIT” certification for basic compliance with DDSD Standards and regulations.

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:

1. Quality Management Bureau, Attention: Plan of Correction Coordinator
5301 Central Ave. NE Suite 900 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.

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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 #900
Albuquerque, NM 87108
Attention: IRF request

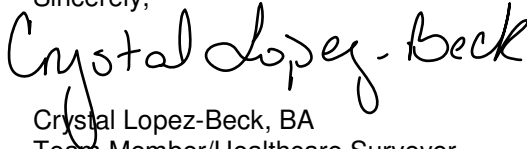
A request for an IRF will not delay the implementation of your Plan of Correction which must be completed within 45 working days. Providers may not appeal the nature or interpretation of the standard or regulation, the team composition, sampling methodology or the Scope and Severity of the finding.

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 505-222-8688, 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 Member/Healthcare Surveyor
Division of Health Improvement
Quality Management Bureau

Survey Process Employed:

Entrance Conference Date: March 30, 2009

Present: **Friends Forever Case Management**
Selinda Turner, Executive Director

DOH/DHI/QMB

Nadine Romero, LBSW, Team Lead/Healthcare Surveyor
Crystal Lopez-Beck, BA, Healthcare Surveyor

Exit Conference Date: April 1, 2009

Present: **Friends Forever Case Management**
Selinda Turner, Executive Director

DOH/DHI/QMB

Nadine Romero, LBSW, Team Lead/Healthcare Surveyor
Crystal Lopez-Beck, BA, Healthcare Surveyor

Administrative Locations Visited Number: 1

Total Sample Size Number: 22
19 - Non Jackson
3 - Jackson Class Members

Case Managers Interviewed Number: 6

Records Reviewed (Persons Served) Number: 22

Administrative Files Reviewed

- Billing Records
- Incident Management Records
- Personnel Files
- Training Records
- Agency Policy and Procedure
- Caregiver Criminal History Screening Records
- Employee Abuse Registry
- 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

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Attachment A

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 505-222-8624.
- 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 (505-841-5815), 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 505-222-8624 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.

Attachment B

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) 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.

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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: Friends Forever Case Management – Metro & Southwest Regions
Program: Developmental Disabilities Waiver
Service: Case Management
Monitoring Type: Routine
Date of Survey: March 30 – April 1, 2009

Statute	Deficiency	Agency Plan of Correction and Responsible Party	Date Due
Tag # 1A08 Agency Case File	Scope and 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>(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;</p> <p>(2) The individual's complete and current</p>	<p>Based on record review, the Agency failed to maintain at the administrative office a confidential case file for 12 of 22 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"> • Current & Emergency & Personal Identification Information <ul style="list-style-type: none"> ◦ Missing Health Care Plan Information (#1) ◦ Missing Pharmacy Information (#16 & 22) • Addendum A (#21) • Positive Behavioral Plan (#4) • Positive Behavioral Crisis Plan (#4) • Occupational Therapy Plan (#4, 14 & 16) • Physical Therapy Plan (#4, 13, 15 & 16) • Health Care Plans <ul style="list-style-type: none"> ◦ Seizures (#2) • Crisis Plans <ul style="list-style-type: none"> ◦ Legally Blind (#4) (Per Individual Specific Training Section-Addendum B of the ISP) ◦ Latex Allergy (#4) ◦ Gastrointestinal (#16) ◦ Allergies (#16) (Per Individual Specific 		

<p>ISP, with all supplemental plans specific to the individual, and the most current completed Health Assessment Tool (HAT);</p> <p>(3) Progress notes and other service delivery documentation;</p> <p>(4) Crisis Prevention/Intervention Plans, if there are any for the individual;</p> <p>(5) A medical history, which shall include at least demographic data, current and past medical diagnoses including the cause (if known) of the developmental disability, psychiatric diagnoses, allergies (food, environmental, medications), immunizations, and most recent physical exam;</p> <p>(6) When applicable, transition plans completed for individuals at the time of discharge from Fort Stanton Hospital or Los Lunas Hospital and Training School; and</p> <p>(7) Case records belong to the individual receiving services and copies shall be provided to the individual upon request.</p> <p>(8) The receiving Provider Agency shall be provided at a minimum the following records whenever an individual changes provider agencies:</p> <p>(a) Complete file for the past 12 months;</p> <p>(b) ISP and quarterly reports from the current and prior ISP year;</p> <p>(c) Intake information from original admission to services; and</p> <p>(d) When applicable, the Individual Transition Plan at the time of discharge from Los Lunas Hospital and Training School or Ft. Stanton Hospital.</p>	<p>Training Section-<i>Addendum B</i> of the ISP)</p> <ul style="list-style-type: none"> • Special Health Care Needs <ul style="list-style-type: none"> ◦ Meal Time Plan (#4) ◦ Nutritional Assessment (#12) (Per Nutritional Evaluation dated 08/28/08 a 6-month follow-up was to be completed. No evidence found verifying assessment was completed. • Auditory Exam <ul style="list-style-type: none"> ◦ Per Annual History & Physical exam was to be completed. No evidence found verifying exam was completed. (Individual #14) • Pap <ul style="list-style-type: none"> ◦ Per documentation reviewed, exam was completed on 02/2008. No evidence found verifying exam was completed. (Individual #2) ◦ Per Annual History & Physical exam was to be completed annually. No evidence found verifying exam was completed. (Individual #11) • Mammogram <ul style="list-style-type: none"> ◦ Per documentation reviewed, exam was completed on 02/2008. No evidence found verifying exam was completed. (Individual #2) • Prostate Check <ul style="list-style-type: none"> ◦ Per Annual History & Physical exam was to be completed. No evidence found verifying exam was completed. (Individual #7) • Bone Density <ul style="list-style-type: none"> ◦ Per Annual History & Physical exam was recommended every 2 years. No evidence found verifying exam was completed. 		
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	<p>(Individual #11)</p> <ul style="list-style-type: none">• Occupational Therapy Evaluation (#16)• Physical Therapy Evaluation (#4 & 15)• Guardianship Documentation (#16)		
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Tag # 1A28 (CoP) Incident Mgt. System	Scope and 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>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 or exploitation for 4 of 22 individuals.</p> <ul style="list-style-type: none"> • Parent/Guardian Abuse, Neglect & Exploitation Incident Management Training (#1, 14, 16 & 21) 		

Tag #4C02 - Scope of Services - Primary Freedom of Choice	Scope and Severity Rating: A		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 4 II. SCOPE OF CASE MANAGEMENT SERVICES: Case Management shall include, but is not limited to, the following services:</p> <p>T. Assure individuals obtain all services through the Freedom of Choice process.</p>	<p>Based on record review the Agency failed to maintain documentation assuring individuals obtained all services through the freedom of choice process for 1 of 22 individuals.</p> <p>No evidence was found of the following:</p> <ul style="list-style-type: none"> • Primary Freedom of Choice (#16) 		

Tag # 4C04 (CoP) - Assessment Activities	Scope and Severity Rating: D		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 4 III. CASE MANAGEMENT SERVICE REQUIREMENTS</p> <p>B. Case Management Assessment Activities: Assessment activities shall include but are not limited to the following requirements:</p> <p>(1) Complete and compile the elements of the Long Term Care Assessment Abstract (LTCAA) packet to include:</p> <ul style="list-style-type: none"> (a) LTCAA form (MAD 378); (b) Comprehensive Individual Assessment (CIA); (c) Current physical exam and medical/clinical history; (d) Norm-referenced adaptive behavioral assessment; and (e) A copy of the Allocation Letter (initial submission only). <p>(2) Prior to service delivery, obtain a copy of the Medical Assistant Worker (MAW) letter to verify that the county Income Support Division (ISD) office of the Human Services Department (HSD) has completed a determination that the individual meets financial and medical eligibility to participate in the DD Waiver program.</p> <p>(3) Provide a copy of the MAW letter to service providers listed on the ISP budget (MAD 046).</p>	<p>Based on record review, the Agency failed to complete and compile the elements of the Long Term Care Assessment Abstract (LTCAA) packet for 2 of 22 individuals.</p> <p>The following items were not found, incomplete and/or not current:</p> <ul style="list-style-type: none"> • Annual Physical (#2) • MAW Letter (#20) 		

Tag # 4C09 - Secondary FOC	Scope and Severity Rating: A		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 4 III. CASE MANAGEMENT SERVICE REQUIREMENTS</p> <p>G. Secondary Freedom of Choice Process</p> <p>(1) The Case Management Provider Agency will ensure that it maintains a current Secondary Freedom of Choice (FOC) form that includes all service providers offering services in that region.</p> <p>(2) The Case Manager will present the Secondary FOC form to the individual or authorized representative for selection of direct service providers.</p> <p>(3) At least annually, at the time rights and responsibilities are reviewed, individuals and guardians served will be reminded that they may change providers at any time, as well as change types of services. At this time, Case Managers shall offer to review the current Secondary FOC list with individuals and guardians served. If they are interested in changing, a new FOC shall be completed.</p>	<p>Based on record review, the Agency failed to maintain documentation assuring individuals obtained all services through the Secondary Freedom of Choice process for 4 of 22 individuals.</p> <p>No evidence was found of the following:</p> <ul style="list-style-type: none"> • Secondary Freedom of Choice <ul style="list-style-type: none"> ◦ Supported Living (#4) ◦ Family Living (#14) ◦ Adult Habilitation (#14) ◦ Supported Employment (#4) ◦ Speech Language Pathology (#4 & 14) ◦ Occupational Therapy (#4 & 14) ◦ Physical Therapy (#4 & 14) ◦ Respite (#16) ◦ Goods & Services (#4 & 17) 		

Tag # 4C12 (CoP) - Monitoring & Eval. of Serv.	Scope and Severity Rating: D		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 4 III. CASE MANAGEMENT SERVICE REQUIREMENTS</p> <p>J. Case Manager Monitoring and Evaluation of Service Delivery</p> <p>(1) The Case Manager shall use a formal ongoing monitoring process that provides for the evaluation of quality, effectiveness, and appropriateness of services and supports provided to the individual as specified in the ISP.</p> <p>(2) Monitoring and evaluation activities shall include, but not be limited to:</p> <p>(a) Face-To-Face Contact: A minimum of twelve (12) face-to-face contact visits annually (1 per month) is required to occur between the Case Manager and the individual served as described in the ISP; an exception is that children may receive a minimum of four visits per year;</p> <p>(b) Jackson Class members require two (2) face-to-face contacts per month, one of which occurs at a location in which the individual spends the majority of the day (i.e., place of employment, habilitation program) and one at the person's residence;</p> <p>(c) For non-Jackson Class members who receive Community Living Services, at least every other month, one of the face-to-face visits shall occur in the individual's residence;</p> <p>(d) For adults who are not Jackson Class members and who do not receive Community Living Services, at least one face-to-face visit per quarter shall be in his or her home;</p> <p>(e) If concerns regarding the health or safety of the individual are documented during monitoring or assessment activities, the Case Manager shall immediately notify appropriate supervisory personnel within the Provider Agency and document the concern. If the reported concerns</p>	<p>Based on record review, the Agency failed to use a formal ongoing monitoring process that provides for the evaluation of quality, effectiveness, and appropriateness of services and supports provided to the individual for 2 of 22 individuals.</p> <p>Record review of Agency files found face-to-face visits were not alternating between community sites and residence sites as required by standard for the following individuals:</p> <p>Individual #14 (Non-Jackson) One site visit noted between 6/2008 & 2/2009.</p> <ul style="list-style-type: none"> • 02/02/09 – 4:50pm - 5:50pm – Home Visit • 01/03/09 – 3:30pm - 4:30pm – Home Visit • 12/02/09 – 2pm – 3pm – IDT • 11/11/08 – 11:50am - 12:50pm – Site Visit • 10/08/08 – 3:30pm - 4:30pm – Home Visit • 09/01/08 – 4:35pm - 5:35pm – Home Visit • 08/01/08 – 4:30pm - 5:30pm – Home Visit • 07/14/08 – 2pm – 3pm – IDT • 06/11/08 – 2pm - 3:15pm – IDT <p>Individual #22 (Non-Jackson) No site visits noted between 07/2008 & 02/2009.</p> <ul style="list-style-type: none"> • 02/03/09 – 5:15pm - 6:15pm – Home Visit • 01/08/09 – 5:15pm - 6:15pm – Home Visit • 12/07/08 – 4:15pm - 5:15pm – Home Visit • 11/02/08 – 4:30pm - 5:30pm – Home Visit • 10/07/08 – 6:30pm - 7:30pm – Home Visit • 09/09/08 – 3:15pm - 4:15pm – IDT • 08/06/08 – 4:30pm - 5:30pm – IDT • 07/28/08 – 9:45am - 10:45am – Home Visit • 07/03/08 – 3:30pm - 4:30pm – Initial IDT 		

are not remedied by the Provider Agency within a reasonable, mutually agreed period of time, the concern shall be reported in writing to the respective DDSD Regional Office and/or the Division of Health Improvement (DHI) as appropriate to the nature of the concern. Unless the nature of the concern is urgent, no more than fifteen (15) working days shall be allowed for remediation or development of an acceptable plan of remediation. This does not preclude the Case Managers' obligation to report abuse, neglect or exploitation as required by New Mexico Statute.

(f) Service monitoring for children: When a parent chooses fewer than twelve (12) annual units of case management, the Case Manager will inform the parent of the parent's responsibility for the monitoring and evaluation activities during the months he or she does not receive case management services,

(g) It is appropriate to conduct face-to-face visits with the individual both during the time the individual is receiving a service and during times the individual is not receiving a service. The preferences of the individual shall be taken into consideration when scheduling a visit. Visits may be scheduled in advance or be unannounced visits depending on the nature of the need in monitoring service delivery for the individual.

(h) Communication with IDT members: Case Managers shall facilitate and maintain communication with the individual or his or her representative, other IDT members, providers and other relevant parties to ensure the individual receives maximum benefit of his or her services. Case Managers need to ensure that any needed adjustments to the service plan are made, where indicated. Concerns identified through communication with teams that are not remedied within a reasonable period of time shall be reported in writing to the respective regional office and/or the Division of Health Improvements, as appropriate to the concerns.

Tag # 4C15 - QA Requirements - Code of Ethics	Scope and Severity Rating: A		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 4 IV. CASE MANAGEMENT PROVIDER AGENCY REQUIREMENTS</p> <p>C. Quality Assurance Requirements: Case Management Provider Agencies will use an Internal Quality Assurance and Improvement Plan that must be submitted to and reviewed by the Statewide Case Management Coordinator, that shall include but is not limited to the following:</p> <p>(2) Case Managers and Case Management Provider Agencies are required to promote and comply with the Case Management Code of Ethics:</p> <p>(a) Case Managers shall provide the individual/guardian with a copy of the Code of Ethics when Addendum A is signed.</p> <p>(b) Complaints against a Case Manager for violation of the Code of Ethics brought to the attention of DDSD will be sent to the Case Manager's supervisor who is required to respond within 10 working days to DDSD with detailed actions taken. DDSD reserves the right to forward such complaints to the IRC.</p>	<p>Based on record review, the Agency failed to provide the individual and/or guardian the Case Management Code of Ethics for 3 of 22 individuals.</p> <ul style="list-style-type: none"> • Case Manager Code of Ethics (#13, 14 & 21) 		

Tag # 4C15 - QA Requirements	Scope and Severity Rating: B		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 4 IV. CASE MANAGEMENT PROVIDER AGENCY REQUIREMENTS</p> <p>C. Quality Assurance Requirements: Case Management Provider Agencies will use an Internal Quality Assurance and Improvement Plan that must be submitted to and reviewed by the Statewide Case Management Coordinator, that shall include but is not limited to the following:</p> <p>(1) Case Management Provider Agencies are to:</p> <p>(a) Use a formal ongoing monitoring protocol that provides for the evaluation of quality, effectiveness and continued need for services and supports provided to the individual. This protocol shall be written and its implementation documented.</p> <p>(b) Assure that reports and ISPs meet required timelines and include required content.</p> <p>(c) Conduct a quarterly review of progress reports from service providers to verify that the individual's desired outcomes and action plans remain appropriate and realistic.</p> <p>(i) If the service providers' quarterly reports are not received by the Case Management Provider Agency within fourteen (14) days following the end of the quarter, the Case Management Provider Agency is to contact the service provider in writing requesting the report within one week from that date.</p> <p>(ii) If the quarterly report is not received within one week of the written request, the Case Management Provider Agency is to contact the respective DDSD Regional Office in writing within one business day for assistance in obtaining required reports.</p> <p>(d) Assure at least quarterly that Crisis Prevention/Intervention Plans are in place in the residence and at the Provider Agency of</p>	<p>Based on record review, the Agency failed to ensure that reports and ISP's meet required timelines and include the required contents for 9 of 22 individuals.</p> <p>The evidence of the following quarterly/bi-annual reports were not found:</p> <ul style="list-style-type: none"> • Supported Living Quarterly Reports <ul style="list-style-type: none"> ◦ Individual #1 - (02/2008 - 07/2008) • Family Living Quarterly Reports <ul style="list-style-type: none"> ◦ Individual #3 - (03/2008 - 08/2008) ◦ Individual #8 - (08/2008 - 09/2008) • Community Inclusion (Adult Habilitation) Quarterly Reports <ul style="list-style-type: none"> ◦ Individual #1 - (02/2008 - 07/2008) ◦ Individual #4 - (12/2008 - 02/2009) (La Vida) ◦ Individual #4 - (09/2008 - 02/2009) (Adelante) • Community Inclusion (Supported Employment) Quarterly Reports <ul style="list-style-type: none"> ◦ Individual #9 - (02/2008 - 02/2009) • Behavior Consultation Quarterly Reports <ul style="list-style-type: none"> ◦ Individual #1 - (04/2008 - 07/2008) ◦ Individual #4 - (02/2008 - 02/2009) ◦ Individual #15 - (02/2008 - 02/2009) • Speech/Language Therapy Bi-Annual Reports <ul style="list-style-type: none"> ◦ Individual #4 - (02/2008 - 02/2009) ◦ Individual #7 - (07/2008 - 01/2009) • Occupational Therapy Bi-Annual Reports <ul style="list-style-type: none"> ◦ Individual #14 - (02/2008 - 02/2009) ◦ Individual #16 - (02/2008 - 02/2009) • Physical Therapy Bi-Annual Reports 		

<p>the Day Services for all individuals who have chronic medical condition(s) with potential for life threatening complications and/or who have behavioral challenge(s) that pose a potential for harm to themselves or others.</p> <p>(e) Assure at least quarterly that a current Health Care Plan (HCP) is in place in the residence and day service site for individuals who receive Community Living or Day Services and who have a HAT score of 4, 5, or 6. During face-to-face visits and review of quarterly reports, the Case Manager is required to verify that the Health Care Plan is being implemented.</p> <p>(f) Assure that Community Living Services are delivered in accordance with standards, including responsibility of the IDT Members to plan for at least 30 hours per week of planned activities outside the residence. If this is not possible due to the needs of the individual, a goal shall be developed that focuses on appropriate levels of community integration. These activities do not need to be limited to paid supports but may include independent or leisure activities appropriate to the individual.</p> <p>(g) Perform annual satisfaction surveys with individuals regarding case management services. A copy of the summary is due each December 10th to the respective DDSD Regional Office, along with a description of actions taken to address suggestions and problems identified in the survey.</p> <p>(h) Maintain regular communication with all providers delivering services and products to the individual.</p> <p>(i) Establish and implement a written grievance procedure.</p> <p>(j) Notify appropriate supervisory personnel within the Provider Agency if concerns are</p>	<ul style="list-style-type: none"> ◦ Individual #4 - (02/2008 - 02/2009) ◦ Individual #16 - (02/2008 – 02/2009) 		
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<p>noted during monitoring or assessment activities related to any of the above requirements. If such concerns are not remedied by the Provider Agency within a reasonable mutually agreed period of time, the concern shall be reported in writing to the respective DDSD Regional Office and/or DHI as appropriate to the nature of the concern. This does not preclude Case Managers' obligations to report abuse, neglect or exploitation as required by New Mexico Statute.</p> <p>(k) Utilize and submit the "Request for DDSD Regional Office Intervention" form as needed, such as when providers are not responsive in addressing a quality assurance concern. The Case Management Provider Agency is required to keep a copy in the individual's file.</p> <p>(2) Case Managers and Case Management Provider Agencies are required to promote and comply with the Case Management Code of Ethics:</p> <p>(a) Case Managers shall provide the individual/guardian with a copy of the Code of Ethics when Addendum A is signed.</p> <p>(b) Complaints against a Case Manager for violation of the Code of Ethics brought to the attention of DDSD will be sent to the Case Manager's supervisor who is required to respond within 10 working days to DDSD with detailed actions taken. DDSD reserves the right to forward such complaints to the IRC.</p>			
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Tag # 4C17 (CoP) - Case Mgr. Qualifications	Scope and Severity Rating: D		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 4 IV. CASE MANAGEMENT PROVIDER AGENCY REQUIREMENTS</p> <p>E. Case Manager Qualifications: Case Managers, whether subcontracting or employed by a Provider Agency, shall meet these requirements:</p> <p>(1) Case Managers shall possess these qualifications:</p> <p>(a) Licensed social worker, as defined by the NM Board of Social Work Examiners; or</p> <p>(b) Licensed registered nurse as defined by the NM Board of Nursing; or</p> <p>(c) Bachelor's or Master's degree in social work, psychology, counseling, nursing, special education, or closely related field; and</p> <p>(d) Have one-year clinical experience, related to the target population, working in any of the following settings:</p> <p>(i) Home health or community health program;</p> <p>(ii) Hospital;</p> <p>(iii) Private practice;</p> <p>(iv) Publicly funded institution or long-term care program;</p> <p>(v) Mental health program;</p> <p>(vi) Community based social service program; or</p> <p>(vii) Other programs addressing the needs of special populations, e.g., school.</p> <p>(e) Have a working knowledge of the health and social resources available within a region.</p> <p>(2) Within specified timelines, Case Managers shall meet the requirements for training specified in the DDSD policy governing the training requirements for Case Managers serving individuals with developmental disabilities. All</p>	<p>Based on record review, the Agency failed to ensure that Training requirements were met for 1 of 7 Case Managers</p> <p>Review of Case Manager training records found no evidence of the following required DOH/DDSD trainings being completed:</p> <ul style="list-style-type: none"> • Pre-Service Manual (#41) • Participatory Communication and Choice Making (#41) • Promoting Effective Teamwork (#41) 		

Case Management Provider Agencies are required to report required personnel training status to the DDS Statewide Training Database as follows:

- (a) Initial comprehensive personnel status report (name, date of hire, identification number category) on all required personnel to be submitted to DDS Statewide Training Database within the first ninety (90) calendar days of providing services; &
- (b) Quarterly personnel update reports sent to DDS Statewide Training Database to reflect new hires, terminations, or agency position changes, and name changes.

(3) Prior written approval from DDS is required for any person providing services as an intern in Case Management. If approval is granted, DDS reserves the right to add conditions (i.e., supervisor review and sign off on quality of work) that shall be adhered to and may rescind the approval at any time for any reason.

(4) Written approval from DDS is required for any person applying to be a Case Management subcontractor before the person is hired.

(5) Exception: If a Case Management Provider Agency has made reasonable efforts to recruit Case Management personnel with the required qualifications without success, that Case Management Provider Agency may request an exception from the Case Manager Qualifications from the DDS Central Office as per the following procedure:

- (a) The requesting Provider Agency will describe and document all efforts made to recruit Case Managers with the required qualifications and the results of those efforts.
- (b) The requesting Provider Agency will describe and document in detail the relevant educational, employment, volunteer, familial, and other experience that will qualify the prospective candidate for successful employment as a Case Manager.

<p>Consideration may be given for unique skills needed by the Provider Agency such as fluency in a language other than English.</p> <p>(c) If the exception is granted, DDSD reserves the right to add conditions (e.g., specific training, supervisory oversight) that shall be adhered to and may rescind the exception at any time for any reason.</p>			
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Tag # 4C19 - Staff Ratio	Scope and Severity Rating: A		
<p>Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007</p> <p>CHAPTER 4 IV. CASE MANAGEMENT PROVIDER AGENCY REQUIREMENTS</p> <p>G. Case Management Staff Ratio</p> <p>(1) The Case Management Provider Agency shall assure that caseloads are assigned in such a way as not to exceed thirty (30) cases per Case Manager on average. Case Manager services provided to children may be attributed to the caseload proportionally based upon the number of months of service provided per year (e.g., 4 months of Case Management service = $\frac{1}{3}$ case; 6 months of Case Management service = $\frac{1}{2}$ case).</p> <p>(2) The Provider Agency shall maintain a current roster per Case Manager. The roster of each Case Manager will be available upon request by DOH or its designee and will include the names of the individuals and his or her current HAT scores.</p> <p>(3) The practice of working for or subcontracting with more than one Case Management Provider Agency simultaneously is prohibited. If a Case Manager provides services to individuals on more than one Medicaid Waiver, or through other funding sources, the Case Manager/Provider Agency will clearly report that information to the DDS Regional Office with the quarterly Case Manager caseload reports.</p> <p>(4) The Case Management Provider Agency shall hire and retain sufficient Case Managers to adequately serve the client population.</p> <p>(5) Failure of a Provider Agency to adhere to this policy will result in immediate moratorium until caseloads are adjusted to an average of 30 or fewer cases per Case Manager.</p>	<p>Based on interview, the Agency failed to ensure that caseloads assigned did not exceeded thirty (30) cases per Case Manager as specified in DD Waiver Standards.</p> <p>When surveyors asked how many total clients the case manager had on their caseload, the following was reported:</p> <p>CM #40 stated, "I have 33 total, of that 5 are children under the age of 18 years old. I do not do case management for any other waivers, just the DD waiver."</p>		

ADDITIONAL FINDINGS: Reimbursement Deficiencies

**BILLING
TAG #1A12**

Developmental Disabilities (DD) Waiver Service Standards effective 4/1/2007 Chapter 1. III. PROVIDER AGENCY DOCUMENTATION OF SERVICE DELIVERY AND LOCATION

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:

- (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.

Billing for Case Management services was reviewed for 22 of 22 individuals. Progress notes and billing records supported billing activities for the months of November & December 2008 & January 2009.