Individual Support Plan Review Training

Level of Care (LOC) Reminders

Individual Support Plan (ISP) Review Enhancements

December 2010

Purpose

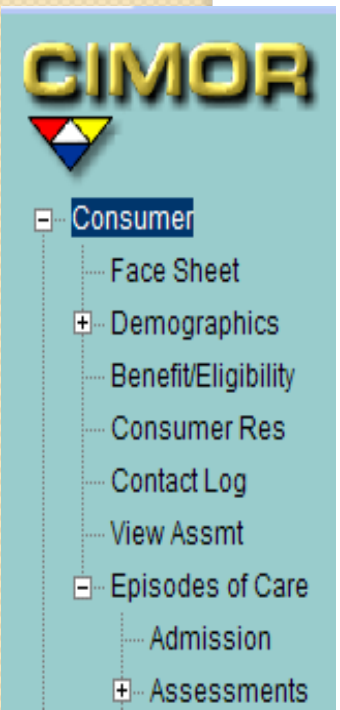
- To review LOC monitoring
- To review modifications to ISP Review Action Taken selection
  - Based on MO HealthNet feedback to assist in complying with Medicaid Waiver CMS assurances

LOC Form

- Summary indicating without HCB waiver services the person would be eligible for ICF/MR services
- Required for all new applicants and all current participants in all five waivers
  - If ineligible, the reason for ineligibility must be noted in the Comments screen
- CMS assurance trends to focus on
  - 86% average compliance

LOC Reminders

- Redetermination of eligibility required to be completed annually
- Entered into CIMOR under Episodes of Care → Assessments
  - **Important as data from this screen determines compliance on a LOC CMS assurance**
    - **If not entered = not considered completed**
    - **If data entry error = remediation**



Monitoring LOC in CIMOR

- Three reports available on Data Central Reports (DCR) http://datacentralreports.dmh.state.mo.us/Default.aspx
  - 1. LOC Due or Expired
    - Lists LOCs due in the current month or coming due in the following month, e.g., a report ran in February will show LOCs due in February and March
    - Lists LOCs which have expired (CIMOR indicates the last LOC was completed more than 12 months ago).

Monitoring LOC in CIMOR

- Three reports available on Data Central Reports (DCR) con't.
  - 2. LOC Error
    - Lists LOCs completed and/or entered into CIMOR incorrectly
      - Assessment tool is compared to age of individual
      - Only pulls most recent LOC
    - Review accuracy of tools utilized
      - MOCABI: age 17 and over
      - Vineland: age 19 and under

Monitoring LOC in CIMOR

- Three reports available on Data Central Reports (DCR) con't.
  - <u>3. LOC History</u>
    - Lists LOC assessment history during a specified time period
      - Up to five (5) years

CMS Assurances – Service Plans

- Support plans address all participants' assessed needs (including health and safety risk factors) and personal goals
- The state monitors support plan development in accordance with its policies and procedures
- Support plans are updated/revised at least annually or when warranted by changes in the waiver participant's needs

CMS Assurances – Service Plans

- Supports are delivered in accordance with the support plan, including the type, scope, amount, duration and frequency specified in the service plan.
- Participants are afforded choice: Between waiver services and institutional care services; and between/among waiver services and providers.

ISP Reviewers

- Designated Targeted Case Management (TCM) and State Operated Program (SOP) QE staff who have received training in and have knowledge of the individual support plan required components shall monitor selected plans, including subsequent amendments, and all documentation of monthly progress for the past 12 months

ISP Reviews – Selected Sample

- Conducted on a sample of waiver participants to ensure adherence to CMS waiver and Division of DD requirements.
  - Each FY all current Lopez and Autism Waiver plans
  - Statistically valid random sample of Comprehensive, Community Support and Partnership Waiver plans
  - Quarterly a list of randomly selected individuals from each of the waivers is provided to RO Assistant Directors
  - As part of the HC Quality Enhancement fidelity review procedures a 10% sample of non-waiver reviews is completed

ISP Reviews & Follow-up

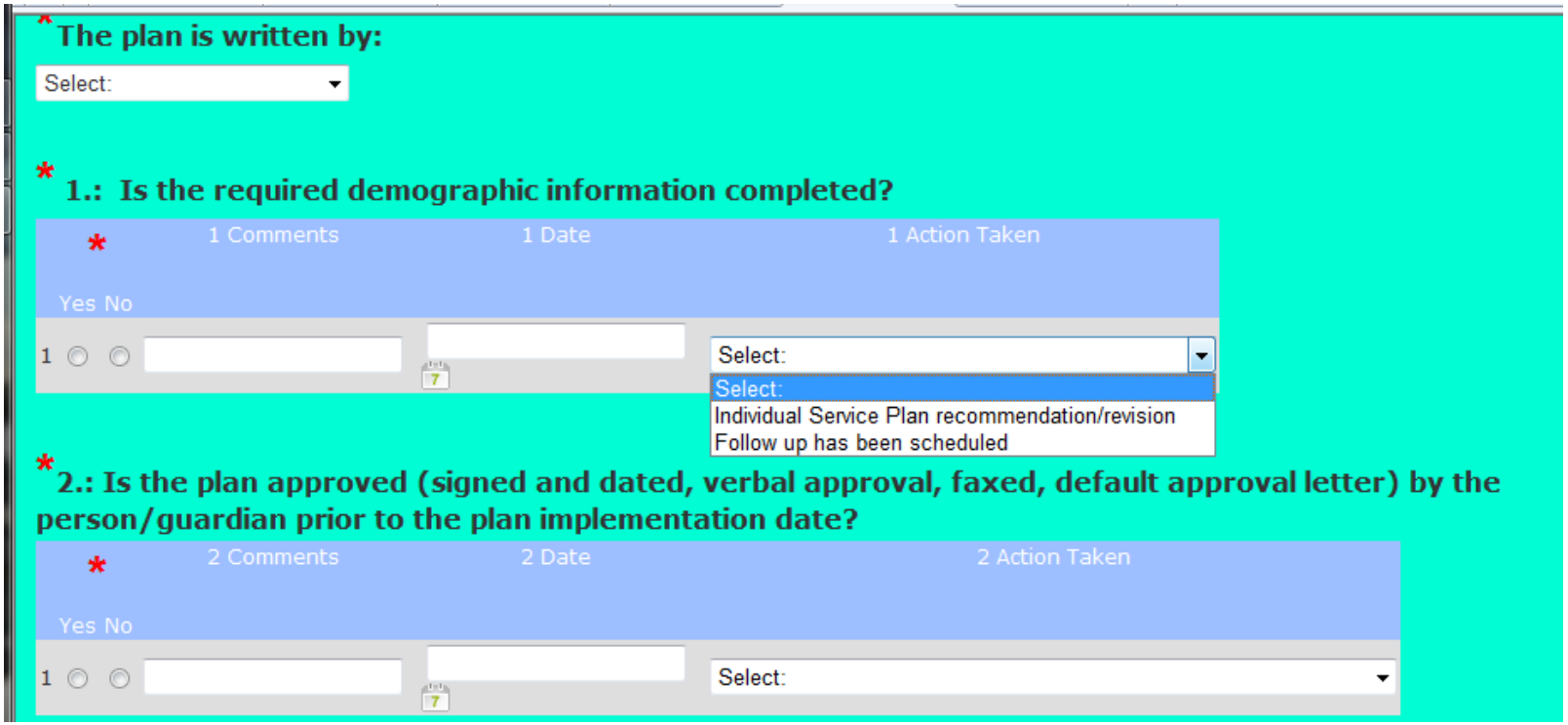
- If a plan does not meet criteria set forth in the required components, the reviewer shall share the appropriate information with a Support Coordinator
  - Ensure plan justifies need for authorized funded services
- The planning team shall be convened, when applicable, to discuss mandatory component(s) that were found to be absent from the ISP and to revise the plan so it is compliant

ISP Reviews

- Forms containing survey database questions (revisions effective 01.01.12)
  - TCM Entity **Plan Review Form**
- LOC form reviewed Action Taken
  - **Level of Care Form** | **Instructions**
- Information entered into survey database
  - Hab Center & RO http://apts.dmh.state.mo.us/
  - SB40 https://survey.dmh.missouri.gov/Survey.aspx?s=79919493f1714220bf19ed3d0015d202

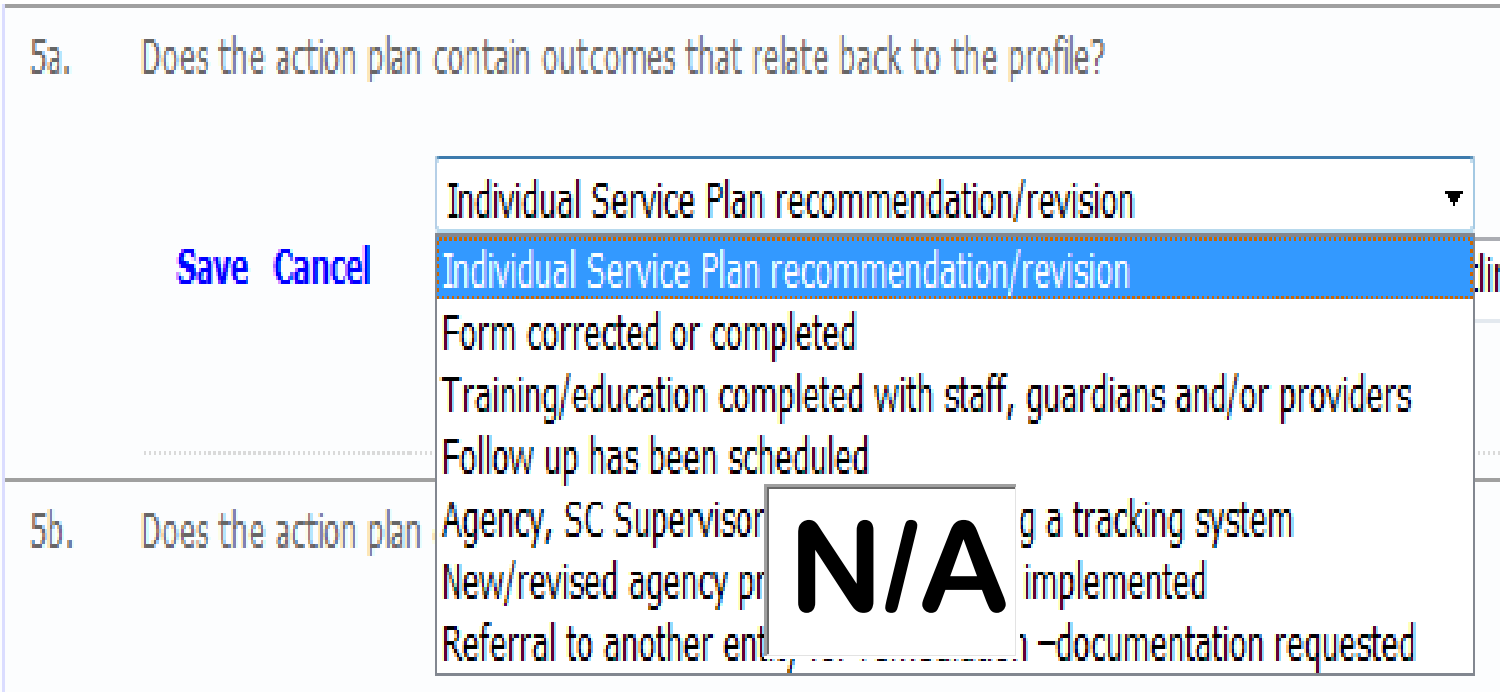
ISP Reviews - Survey

- Any questions with a "NO" response require selection of Action Taken and date for remediation.



ISP Reviews - APTS

- Any questions with a "NO" response require selection of Action Taken and date for remediation.



ISP Reviews: Action Taken

- Based on MO HealthNet consultation on CMS assurances, the Action Taken options were modified:
  - Only two options for each question
    - These are specified on the ISP Review form
      - An additional option, *Follow up has been scheduled,* was added (if this is selected a Resolve Date is not entered)
  - Provide specific information in comment field
    - Specify *what* training, process, revision, etc.

ISP Reviews: Action Taken

- Example
  - Question 1: Is the required demographic information completed?

    Action Taken options:
    - Individual Support Plan recommendation/revision
    - Follow up has been scheduled to make revision
  - Comments:
    - Demographic information was added to the ISP on 11.09.11 and reviewed by SCS 11.16.11
    - Resolve date would be 11.16.11 – date it was verified

ISP Reviews: Action Taken

- Example
  - Question 2: Is the plan approved by the person/guardian prior to the plan implementation date?

    Action Taken options:
    - Training/education completed with staff, guardians, and/or providers
    - Follow up has been scheduled for training/education
  - Comments:
    - ISP mandatory requirement training was completed with the TCM north team unit on 11.09.11 (reviewer attended); Education Coordinator maintains training records
    - Resolve date would be 11.09.11 – date it was verified

ISP Review Clarification

- **Question #11: Is there evidence of progress towards outcomes?**
  - Assess outcomes in most recent ISP
    - Progress determined by reading last four quarterly reviews
      - Review progress for previous 12 months on objectives which are the same or similar in previous ISP
    - If there are new objectives in current plan review the quarterly reviews which are available.

ISP Review Example

- Plan implemented 04.01.11 and ISP Review done August 10 (Jul-Sep 2011 qtr):
  - Quarterly reviews (Oct 2010 - Sep 2011) containing same goals as current ISP are reviewed to determine progress
    - Oct 2010, Jan 2011, Apr 2011, Jul 2011
      - For Oct, Jan, and Apr quarterly reviews, only those objectives which are included in the ISP implemented April 2011 (carried over from previous ISP) would be reviewed

ISP Review Example

- Since the July 2011 quarterly review is based on the ISP implemented April 1, 2011 ALL objectives would be reviewed for progress.

- If this were an initial ISP that implemented in April 2011, then only the July 2011 quarterly review would be available for review.

ISP Reviews & APTS

- Action Taken
  - Transferred into APTS from survey site each Monday
  - QM Information Source: Individual Support Plan Review
  - Domain, Category and Type automatically assigned for each question
    - Ex. Question 2 is "no" then the Domain = Services & Staff, Category = ISP Implementation, Type = Legal Issues
- Resolve date
  - Date verified Action Taken completed
    - Ex. Medicaid waiver form in file; training completed

ISP Reviews - Unresolved

- APTS Reports provides the 'No' ISP Review responses
  - **Resolve date cannot be prior to issue date**
    - To update resolve date select **APTS Records** → check box for **ISP Review** only →locate the individual and select **Edit** → locate question to be updated and select **Edit** →modify the date field →**Save** button located next to the question #
- Monitoring unresolved issues
  - Same as what is currently being done for Support Monitoring, Nursing Reviews, etc.

ISP Reviews & APTS

Facility OrgKey	22263
Date Issue	12/07/2010
QM Information Source	Individualized Service Plan Review

Select Consumer

cli | Client, Individual | Remove Consumer

Consumer	DMH ID	Address	City	State	Zip_Code	Waiver Type	Service Coordinator
Client, Individual	487034	3600 East Newman Road	Joplin	MO	64801		

	Recent History	Issue	Type	QM Information Source
Description	03/09/10		Cleanliness	Nursing Review
Description	03/18/10		Choice	Personal Plan Review
Description	03/18/10		Personal Profile	Personal Plan Review

Select Person Referring: rodrig

State Facility: Rodriguez, Cristobal Adolfo - QUALITY ASSURANCE SPEC MH

Private TCM

Staff	Title	Staff Key	Department	Group Name
Rodriguez, Cristobal Adolfo	QUALITY ASSURANCE SPEC MH	509778	None	

Select Vendor: j | Joplin Regional Office

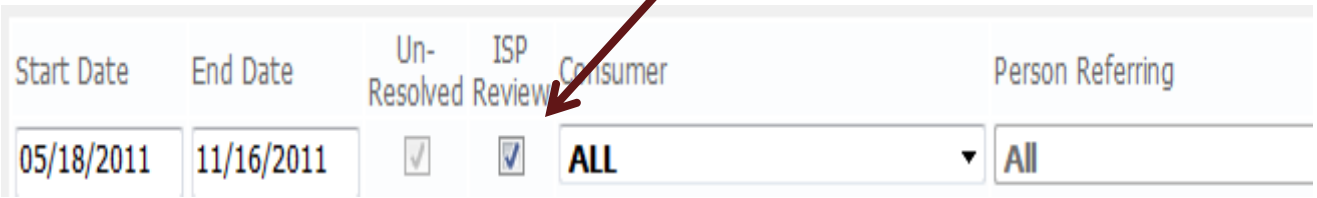
Vendor	Vendor Number	Resp Prov Org ID	Prov Site Org ID
Joplin Regional Office	0798304	22263	22263

ENVIRONMENTAL/SAFETY	HEALTH	SERVICES or STAFF	MONEY	RIGHTS
COMFORT: Home maintenance, home adaptations, cleanliness, odor of home SECURITY-PROCESSES: Emergency drills, policy/procedure, staff training, documentation SECURITY-FACILITIES: Temperature-water, emergency equipment, vehicle, toxic chemicals, Fire/Safety	PREVENTATIVE PRACTICES: Annual exams,preventative care/labs, Immunizations, Documentation, Dental Care PROCEDURES: Documentation, staff training, medication, adaptive equip, health policy/procedure ATTAINING WELLNESS: Weight, nutrition, appearance/hygiene, follow-up care	PERSONAL PLAN IMPLEMENTATION: Profile, functional assessment, action plan, legal issues, documentation of progress, required reports, services authorized STAFF EMPOWERMENT: Staff communications, staffing ratios, staff training/qualifications, staff sensitivity/interaction MANAGEMENT: Policy/procedures, management issues	ACCOUNTING PRACTICES: Bills, Documentation/Receipts ACCESS TO FUNDS: Spending money, property, personal account, policy/procedure	SELF-ADVOCACY: Response to communication, policy/procedure, reporting incidents or complaints DECISION MAKING: Choice, control, staff training, rules/restrictions, informed consent DOCUMENTATION: Annual rights notification

Domain	Services and Staff Issues
Category	Individualized Service Plan Implementation
Type	Legal Issues
Description/Findings	Question 2: Plan implemented 09.01.10 and plan approved by the guardian 10.15.10
Action Taken	Personal Plan recommendation/revision
Responsible Person	
Resolve Date	12/07/2010
Comment/Remediation	Question 2: Individual conference held

ISP Review APTS Updates

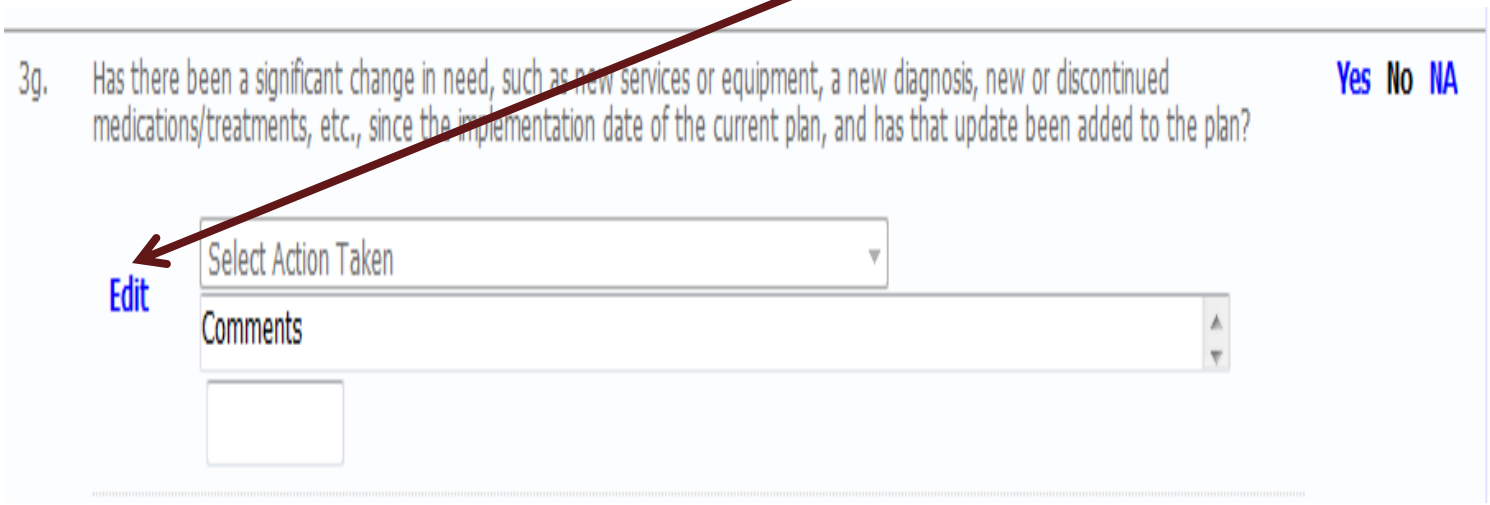
- Select RO/HC from drop down list
- APTS Records
- Check the ISP Review box



- Locate record to be updated and select Edit

ISP Review APTS Updates

- Scroll down to locate the question(s) to update
  - To update the Action Taken, Comments and/or date fields select Edit



ISP Review APTS Updates

- Update the fields
- Select Save

3g. Has there been a significant change in need, such as new services or equipment, a new diagnosis, new or discontinued medications/treatments, etc., since the implementation date of the current plan, and has that update been added to the plan? Yes No NA

Save
Cancel

Individual Service Plan recommendation/revision

New diagnosis information was added to the ISP on 11.10.11 and SCS reviewed record on 11.16.11.

11/16/2011

ISP Review APTS Updates

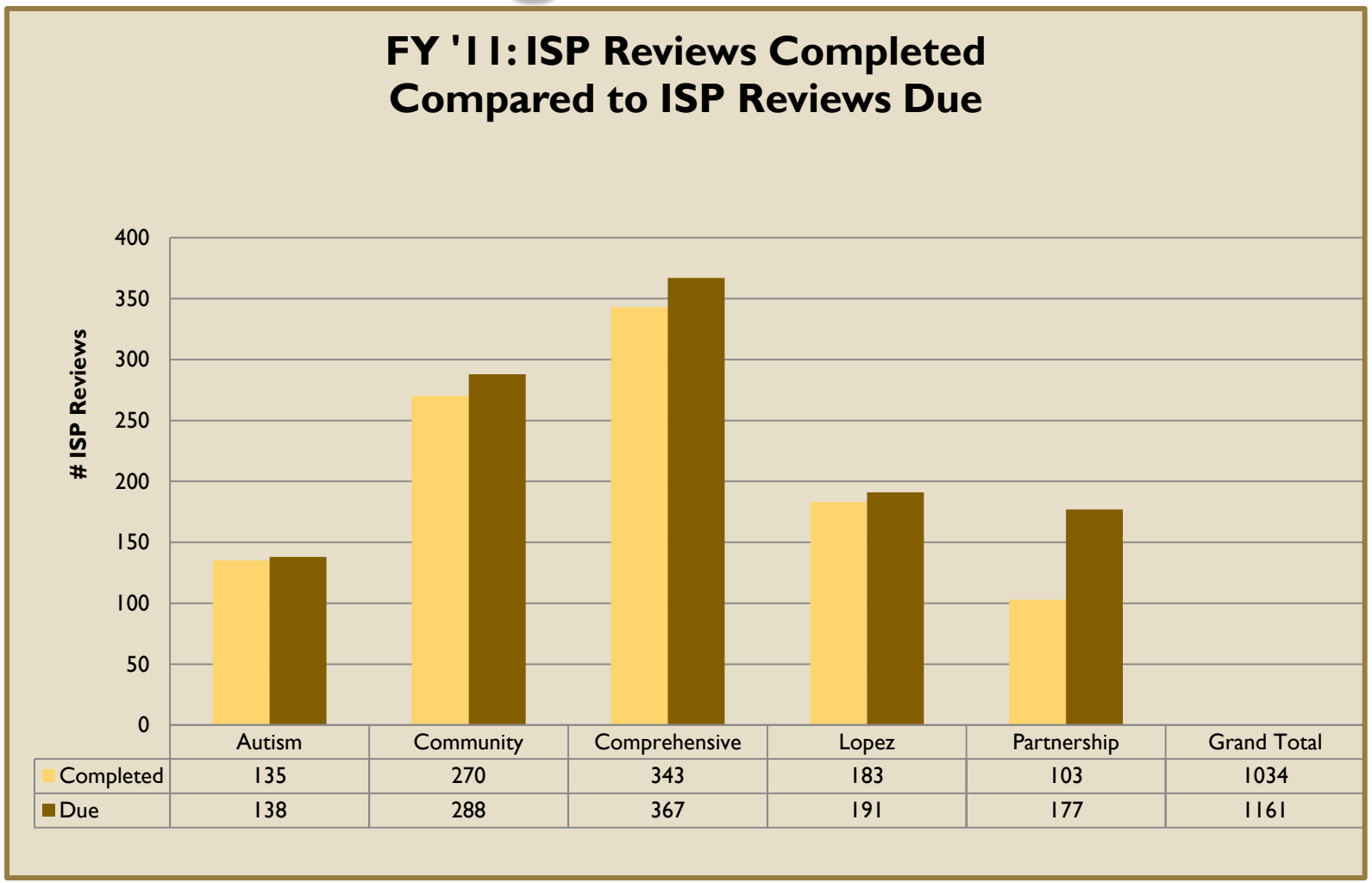
- If the original response was entered incorrectly simply click on the correct response

- APTS automatically saves these types of updates

ISP Reviews Completed

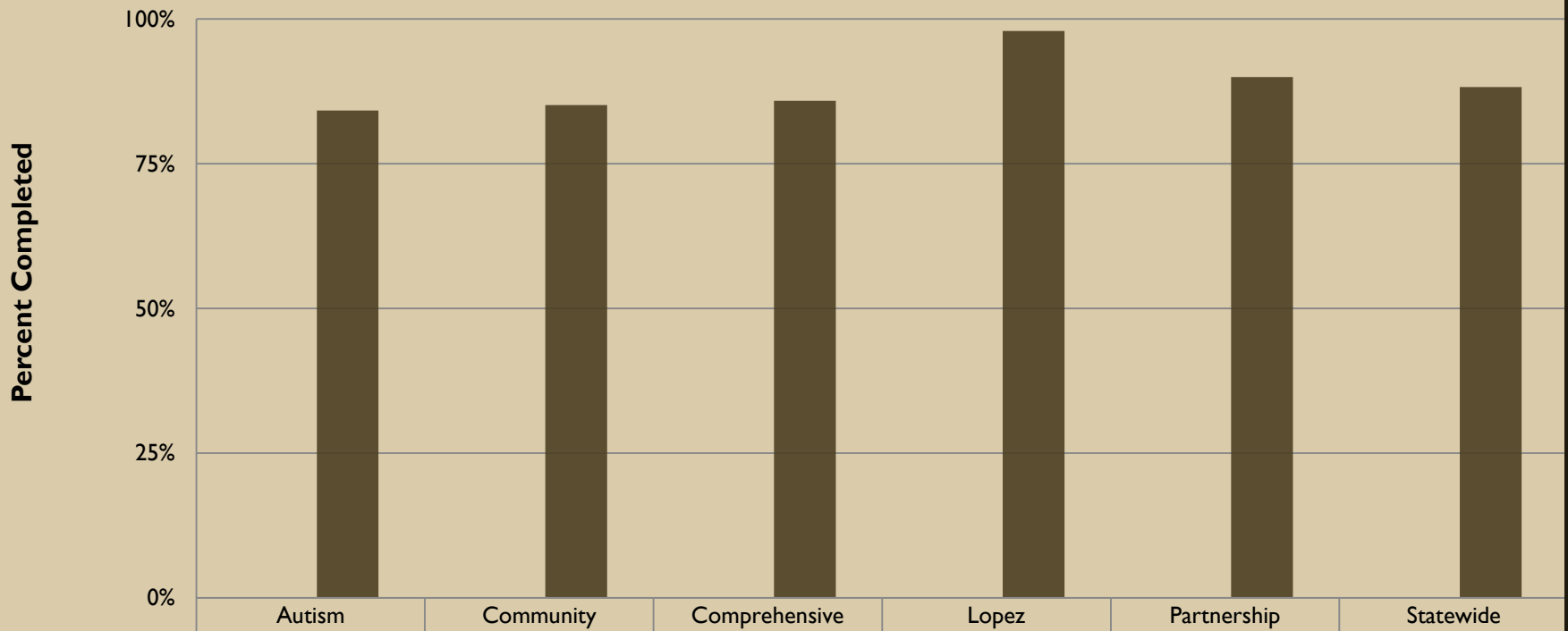
- Compare ISP Review names submitted for review to ISP Reviews completed
  - Names submitted: A.D. and QE folders
  - Reviews completed: APTS – ISP Reports

Monitoring ISP Reviews



	Autism	Community	Comprehensive	Lopez	Partnership	Grand Total
Completed	135	270	343	183	103	1034
Due	138	288	367	191	177	1161

Monitoring ISP Reviews



	Autism	Community	Comprehensive	Lopez	Partnership	Statewide
# ISP Reviews Due	38	74	92	49	70	323
# ISP Reviews Completed	32	63	79	48	63	285
% Completed	84%	85%	86%	98%	90%	88%

ISP Reviews

- Trends will be reviewed quarterly in each region/HC and follow up completed
- The Division of DD State QE Unit will provide quarterly CMS assurance reports to Mo HealthNet
  - Analyze data for statewide trends
  - Provide recommendations on training, policy changes and/or processes to address trends

Reviewer Feedback

- LOC
  - CIMOR
  - DCR
- ISP Reviews
  - APTS
  - Survey Site

Questions / Comments