NEW MEXICO
Department of Health
Division of Health Improvement

MICHELLE LUJAN GRISHAM
Governor

PATRICK M. ALLEN
Cabinet Secretary

Date:	June 16, 2023
To:	Sarah Herrington, Case Management Director / Case Manager
Provider: Address: State/Zip:	J & J Home Care, Inc. 105 West 3rd St. Roswell, New Mexico 88201
E-mail Address:	sarahp@jjhc.org
Region: Survey Date:	Southeast April 10 – 21, 2023
Program Surveyed:	Developmental Disabilities Waiver
Service Surveyed:	Case Management
Survey Type:	Routine (Expanded)
Team Leader:	Heather Driscoll, AA, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau
Team Members:	Kayla Benally, BSW, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Amanda Castaneda – Holguin, MPA, Healthcare Surveyor Supervisor, Division of Health Improvement/Quality Management Bureau; Wolf Krusemark, BFA, Healthcare Surveyor Supervisor, Division of Health Improvement/Quality Management Bureau; Lei Lani Nava, MPH, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Verna Newman - Sykes, AA, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Jamie Pond, BS, QMB Staff Manager, Division of Health Improvement/Quality Management Bureau; Alyssa Swisher, RN, Nurse Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Valerie V. Valdez, MS, QMB Bureau Chief, Division of Health Improvement/Quality Management Bureau; Elizabeth Vigil, Healthcare Surveyor Supervisor, Division of Health Improvement/Quality Management Bureau

Dear Ms. Sarah Herrington;

The Division of Health Improvement/Quality Management Bureau has completed a compliance 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. This Report of Findings will be shared with the Developmental Disabilities Supports Division for their use in determining your current and future provider agreements. Upon receipt of this letter and Report of Findings your agency must immediately correct all deficiencies which place Individuals served at risk of harm.

Determination of Compliance:
The Division of Health Improvement, Quality Management Bureau has determined your agency is in:

Non-Compliance: This determination is based on noncompliance with 17 or more total Tags with 0 to 5 Condition of Participation Level Tags with 75% to 100% of the survey sample affected in any Condition of Participation Level tag or any amount of Standard Level Tags with 6 or more Condition of Participation Level Tags *(refer to Attachment D for details)*. The attached QMB Report of Findings indicates Standard Level and Condition of Participation Level deficiencies identified and requires completion and implementation of a Plan of Correction.

The following tags are identified as Condition of Participation Level:

- Tag # 1A08.3 Administrative Case File – Individual Service Plan / ISP Components
- Tag # 4C12 Monitoring & Evaluation of Services
- Tag # 4C16 Req. for Reports & Distribution of ISP (Provider Agencies, Individual and / or Guardian)
- Tag # 4C04 Assessment Activities
- Tag # 1A08.2 Administrative Case File: Healthcare Requirements & Follow-up
- Tag # 1A15.2 Administrative Case File: Healthcare Documentation (Therap and Required Plans)

The following tags are identified as Standard Level:

- Tag # 1A08 Administrative Case File
- Tag # 1A08.4 Assistive Technology Inventory List
- Tag # 4C01.1 Case Management Services – Utilization of Services
- Tag # 4C02 Scope of Services - Primary Freedom of Choice
- Tag # 4C07 Individual Service Planning *(Visions, measurable outcome, action steps)*
- Tag # 4C07.2 Person Centered Assessment and Career Development Plan
- Tag # 4C08 ISP Development Process
- Tag # 4C09 Secondary FOC
- Tag # 4C10 Approved Budget Worksheet Waiver Review Form / MAD 046
- Tag # 4C12.1 Monitoring & Evaluation of Services (IDT Meetings for Significant Life Events)
- Tag # 4C15.1 Service Monitoring: Annual / Semi-Annual Reports & Provider Semi – Annual / Quarterly Report
- Tag # 4C16.1 Req. for Reports & Distribution of ISP (Regional DDSD Office)
- Tag # 1A22 / 4C02 Case Manager: Individual Specific Competencies
- Tag # 1A28.4 Incident Mg: Case Manager Knowledge Case Manager Knowledge of Responsibility of IMB Notification
- Tag # 4C21 Case Management Reimbursement

Plan of Correction:
The attached Report of Findings identifies the deficiencies found during your agency's on-site compliance review. You are required to complete and implement a Plan of Correction. Your agency has a total of 45 business days (10 business days to submit your POC for approval and 35 days to implement your *approved* Plan of Correction) from the receipt of this letter.

You were provided information during the exit meeting portion of your on-site survey. Please refer to this information (Attachment A) for specific instructions on completing your Plan of Correction. At a minimum your Plan of Correction should address the following for each Tag cited:

Corrective Action for Current Citation:

- How is the deficiency going to be corrected? (i.e., obtained documents, retrain staff, individuals and/or staff no longer in service, void/adjusts completed, etc.) This can be specific to each deficiency cited or if possible an overall correction, i.e. all documents will be requested and filed as appropriate.

On-going Quality Assurance/Quality Improvement Processes:

- What is going to be done on an ongoing basis? (i.e., file reviews, etc.)
- How many individuals is this going to effect? (i.e., percentage of individuals reviewed, number of files reviewed, etc.)
- How often will this be completed? (i.e., weekly, monthly, quarterly, etc.)

- Who is responsible? (responsible position within your agency)
- What steps will be taken if issues are found? (i.e., retraining, requesting documents, filing RORA, etc.)
- How is this integrated in your agency's QIS, QI Committee reviews and annual report?

Submission of your Plan of Correction:
Please submit your agency's Plan of Correction in the available space on the two right-hand columns of the Report of Findings. *(See attachment "A" for additional guidance in completing the Plan of Correction)*.

Within 10 business days of receipt of this letter your agency Plan of Correction must be submitted to the parties below:

1. **Quality Management Bureau, Monica Valdez, Plan of Correction Coordinator** at MonicaE.Valdez@doh.nm.gov

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 to come into compliance. If your Plan of Correction is denied, you must resubmit a revised plan as soon as possible for approval, as your POC approval and all remedies must be completed within 45 business days of the receipt of this letter.

Failure to submit your POC within the allotted 10 business days or complete and implement your Plan of Correction within the total 45 business days allowed may result in the imposition of a $200 per day Civil Monetary Penalty until it is received, completed and/or implemented.

Billing Deficiencies:
If you have deficiencies noted in this report of findings under the *Service Domain: Medicaid Billing/Reimbursement*, you must complete a "Void/Adjust" claim or remit the identified overpayment via a check within 30 calendar days of the date of this letter to HSD/OIG/PIU, *though this is not the preferred method of payment*. If you choose to pay via check, please include a copy of this letter with the payment. Make the check payable to the New Mexico Human Services Department and mail to:

Attention: *Lisa Medina-Lujan*
HSD/OIG/Program Integrity Unit
PO Box 2348
1474 Rodeo Road
Santa Fe, New Mexico 87505

If you have questions and would like to speak with someone at HSD/OIG/PIU, please contact:

Lisa Medina-Lujan (Lisa.medina-lujan@hsd.nm.gov)

Please be advised that there is a one-week lag period for applying payments received by check to Void/Adjust claims. During this lag period, your other claim payments may be applied to the amount you owe even though you have sent a refund, reducing your payment amount. For this reason, we recommend that you allow the system to recover the overpayment instead of sending in a check.

Request for Informal Reconsideration of Findings (IRF):
If you disagree with a finding of deficient practice, you have 10 business days upon receipt of this notice to request an IRF. Submit your request for an IRF in writing to:

ATTN: QMB Bureau Chief
Request for Informal Reconsideration of Findings
5300 Homestead Rd NE, Suite 300 - 3223
Albuquerque, NM 87110
Attention: IRF request/QMB

See Attachment "C" for additional guidance in completing the request for Informal Reconsideration of Findings. The request for an IRF will not delay the implementation of your Plan of Correction which must be completed within 45

total business days (10 business days to submit your POC for approval and 35 days to implement your *approved* Plan of Correction). Providers may not appeal the nature or interpretation of the standard or regulation, the team composition or sampling methodology. If the IRF approves the modification or removal of a finding, you will be advised of any changes.

Please contact the Plan of Correction Coordinator, Monica Valdez at 505-273-1930 or email at: MonicaE.Valdez@doh.nm.gov if you have questions about the Report of Findings or Plan of Correction. Thank you for your cooperation and for the work you perform.

Sincerely,

Heather Driscoll, AA

Heather Driscoll, AA
Team Lead/Healthcare Surveyor
Division of Health Improvement
Quality Management Bureau

Survey Process Employed:

Administrative Review Start Date:	April 10, 2023
Contact:	**J & J Home Care, Inc.** Sarah Herrington, Case Management Director / Case Manager **DOH/DHI/QMB** Heather Driscoll, AA, Team Lead/Healthcare Surveyor
On-site Entrance Conference Date:	April 10, 2023
Present:	**J & J Home Care, Inc.** Sarah Herrington, Case Management Director / Case Manager **DOH/DHI/QMB** Heather Driscoll, AA, Team Lead/Healthcare Surveyor Kayla Benally, BSW, Healthcare Surveyor Amanda Castaneda - Holguin, MPA, Healthcare Surveyor Supervisor Lei Lani Nava, MPH, Healthcare Surveyor Verna Newman – Sykes, AA, Healthcare Surveyor Jamie Pond, BS, QMB Staff Manager Alyssa Swisher, RN, Nurse Healthcare Surveyor Valerie V. Valdez, MS, QMB Bureau Chief
Exit Conference Date:	April 21, 2023
Present:	**J & J Home Care, Inc.** Sarah Herrington, Case Management Director / Case Manager **DOH/DHI/QMB** Heather Driscoll, AA, Team Lead/Healthcare Surveyor Kayla Benally, BSW, Healthcare Surveyor Amanda Castaneda - Holguin, MPA, Healthcare Surveyor Supervisor Wolf Krusemark, BFA, Healthcare Surveyor Supervisor Lei Lani Nava, MPH, Healthcare Surveyor Verna Newman – Sykes, AA, Healthcare Surveyor Jamie Pond, BS, QMB Staff Manager Valerie V. Valdez, MS, QMB Bureau Chief Elizabeth Vigil, Healthcare Surveyor **DDSD - SE Regional Office** Guy Irish, Case Management Coordinator Michelle Lyon, DDSD Regional Director
Administrative Locations Visited:	0 *(Administrative portion of survey completed remotely)*
Total Sample Size:	57 7 – *Former Jackson* Class Members 50 - Non-*Jackson* Class Members
Persons Served Records Reviewed	57
Total Number of *Secondary Freedom of Choices* Reviewed:	207
Case Management Personnel Records Reviewed	13

Case Manager Personnel Interviewed	13
Administrative Interview	1

Administrative Processes and Records Reviewed:

- Medicaid Billing/Reimbursement Records for all Services Provided
- Accreditation Records
- Individual Medical and Program Case Files, including, but not limited to:
  - Individual Service Plans
  - Progress on Identified Outcomes
  - Healthcare Plans
  - Medical Emergency Response Plans
  - Therapy Evaluations and Plans
  - Healthcare Documentation Regarding Appointments and Required Follow-Up
  - Other Required Health Information
- Internal Incident Management Reports and System Process / General Events Reports
- Personnel Files, including subcontracted staff.
- Staff Training Records, Including Competency Interviews with Staff
- Agency Policy and Procedure Manual
- Caregiver Criminal History Screening Records
- Consolidated Online Registry/Employee Abuse Registry
- Quality Assurance / Improvement Plan

CC: Distribution List:
DOH - Division of Health Improvement
DOH - Developmental Disabilities Supports Division
DOH - Office of Internal Audit
HSD - Medical Assistance Division
NM Attorney General's Office
DOH – Internal Review Committee

Attachment A

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

Introduction:
After a QMB Compliance Survey, your QMB Report of Findings will be sent to you via e-mail.

Each provider must develop and implement a Plan of Correction (POC) that identifies specific quality assurance and quality improvement activities the agency will implement to correct deficiencies and prevent continued deficiencies and non-compliance.

Agencies must submit their Plan of Correction within ten (10) business days from the date you receive the QMB Report of Findings. (Providers who do not submit a POC within 10 business days may be referred to the DDSD Regional Office for purposes of contract management or the Internal Review Committee [IRC] for possible actions or sanctions).

Agencies must fully implement their approved Plan of Correction within 45 business days (10 business days to submit your POC for approval and 35 days to implement your approved Plan of Correction) from the date they receive the QMB Report of Findings. Providers who fail to complete a POC within the 45-business days allowed will be referred to the IRC for possible actions or sanctions.

If you have questions about the Plan of Correction process, call the Plan of Correction Coordinator at 505-273-1930 or email at MonicaE.Valdez@doh.nm.gov. Requests for technical assistance must be requested through your Regional DDSD Office.

The POC process cannot resolve disputes regarding findings. If you wish to dispute a finding on the official Report of Findings, you must file an Informal Reconsideration of Findings (IRF) request within ten (10) business days of receiving your report. Please note that you must still submit a POC for findings that are in question (see Attachment C).

Instructions for Completing Agency POC:

Required Content
Your Plan of Correction should provide a step-by-step description of the methods to correct each deficient practice cited to prevent recurrence and information that ensures the regulation cited comes into and remains in compliance. The remedies noted in your POC are expected to be added to your Agency's required annual Quality Assurance (QA) Plan.

If a deficiency has already been corrected since the on-site survey, the plan should state how it was corrected, the completion date (date the correction was accomplished), and how possible recurrence of the deficiency will be prevented.

The following details should be considered when developing your Plan of Correction:

The Plan of Correction must address each deficiency cited in the Report of Findings unless otherwise noted with a "No Plan of Correction Required statement." The Plan of Correction must address the five (5) areas listed below:

1. How the specific and realistic corrective action will be accomplished for individuals found to have been affected by the deficient practice.
2. How the agency will identify other individuals who have the potential to be affected by the same deficient practice, and how the agency will act to protect those individuals in similar situations.
3. What Quality Assurance measures will be put into place and what systemic changes made to ensure the deficient practice will not recur.
4. Indicate how the agency plans to monitor its performance to ensure certain solutions are sustained. The agency must develop a QA plan for ensuring correction is achieved and sustained. This QA plan must be implemented, and the corrective action is evaluated for its effectiveness. The plan of correction is integrated into the agency quality assurance system; and

5. Include dates when corrective actions will be completed. The corrective action completion dates must be acceptable to the State.

The following details should be considered when developing your Plan of Correction:

- Details about how and when Individual Served, agency personnel and administrative and service delivery site files are audited by agency personnel to ensure they contain required documents;
- Information about how medication administration records are reviewed to verify they contain all required information before they are distributed to service sites, as they are being used, and after they are completed;
- Your processes for ensuring that all required agency personnel are trained on required DDSD required trainings;
- How accuracy in billing/reimbursement documentation is assured;
- How health, safety is assured;
- For Case Management providers, how Individual Service Plans are reviewed to verify they meet requirements, how the timeliness of level of care (LOC) packet submissions and consumer visits are tracked;
- Your process for gathering, analyzing, and responding to quality data indicators; and,
- Details about Quality Targets in various areas, current status, analyses about why targets were not met, and remedies implemented.

Note: **Instruction or in-service of staff alone may not be a sufficient plan of correction.** This is a good first step toward correction, but additional steps must be taken to ensure the deficiency is corrected and will not recur.

Completion Dates

- The plan of correction must include a **completion date** (entered in the far right-hand column) for each finding. Be sure the date is **realistic** in the amount of time your Agency will need to correct the deficiency; not to exceed 45 total business days.
- Direct care issues should be corrected immediately and monitored appropriately.
- Some deficiencies may require a staged plan to accomplish total correction.
- Deficiencies requiring replacement of equipment, etc., may require more time to accomplish corrections but should show reasonable time frames.

Initial Submission of the Plan of Correction Requirements

1. The Plan of Correction must be completed on the official QMB Survey Report of Findings/Plan of Correction Form and received by QMB within ten (10) business days from the date you received the report of findings.
2. For questions about the POC process, call the POC Coordinator, Monica Valdez at 505-273-1930 or email at MonicaE.Valdez@doh.nm.gov for assistance.
3. For Technical Assistance (TA) in developing or implementing your POC, contact your Regional DDSD Office.
4. Submit your POC to Monica Valdez, POC Coordinator via email at MonicaE.valdez@doh.nm.gov. Please also submit your POC to your Developmental Disabilities Supports Division Regional Office for region of service surveyed.
5. *Do not submit supporting documentation* (evidence of compliance) to QMB *until after* your POC has been approved by the QMB.
6. QMB will notify you when your POC has been "approved" or "denied."
    a. During this time, whether your POC is "approved," or "denied," you will have a maximum of 45-business days from the date of receipt of your Report of Findings to correct all survey deficiencies.
    b. If your POC is denied, it must be revised and resubmitted as soon as possible, as the 45-business day limit is in effect.
    c. If your POC is denied a second time your agency may be referred to the Internal Review Committee.
    d. You will receive written confirmation when your POC has been approved by QMB and a final deadline for completion of your POC.
    e. Please note that all POC correspondence will be sent electronically unless otherwise requested.
7. Failure to submit your POC within 10 business days without prior approval of an extension by QMB will result in a referral to the Internal Review Committee and the possible implementation of monetary penalties and/or sanctions.

POC Document Submission Requirements

Once your POC has been approved by the QMB Plan of Correction Coordinator, you must submit copies of documents as evidence that all deficiencies have been corrected. You must also submit evidence of the ongoing Quality Assurance/Quality Improvement processes.

1. Your internal documents are due within a *maximum* of 45-business days of receipt of your Report of Findings.
2. Please submit your documents electronically according to the following: If documents do not contain protected Health information (PHI) then you may submit your documents electronically scanned and attached to the State email account. If documents contain PHI **do not** submit PHI directly to the State email account. *You may submit PHI **only** when **replying** to a **secure** email received from the State email account*. When possible, please submit requested documentation using a "zipped/compressed" file to reduce file size. You may also submit documents via S-Comm (Therap), or another electronic format, i.e., flash drive.
3. All submitted documents *must be annotated*; please be sure the tag numbers and Identification numbers are indicated on each document submitted. Documents which are not annotated with the Tag number and Identification number may not be accepted.
4. Do not submit original documents; Please provide copies or scanned electronic files for evidence. Originals must be maintained in the agency file(s) per DDSD Standards.
5. In lieu of some documents, you may submit copies of file or home audit forms that clearly indicate cited deficiencies have been corrected, other attestations of correction must be approved by the Plan of Correction Coordinator prior to their submission.
6. When billing deficiencies are cited, you must provide documentation to justify billing and/or void and adjust forms submitted to Xerox State Healthcare, LLC for the deficiencies cited in the Report of Findings.

Revisions, Modifications or Extensions to your Plan of Correction (post QMB approval) must be made in writing and submitted to the Plan of Correction Coordinator, prior to the due date and are approved on a case-by-case basis. No changes may be made to your POC or the timeframes for implementation without written approval of the POC Coordinator.

Attachment B

Department of Health, Division of Health Improvement
QMB Determination of Compliance Process

The Division of Health Improvement, Quality Management Bureau (QMB) surveys compliance of the Developmental Disabilities Waiver (DDW) standards and other state and federal regulations. For the purpose of the case management survey the CMS waiver assurances have been grouped into five (5) Service Domains: Plan of Care (Development and Monitoring); Level of Care; Qualified Providers; Health, Welfare and Safety; and Administrative Oversight (note that Administrative Oversight listed in this document is not the same as the CMS assurance of Administrative Authority. Used in this context it is related to the agency's operational policies and procedures, Quality Assurance system and Medicaid billing and reimbursement processes.)

The QMB Determination of Compliance process is based on provider compliance or non-compliance with standards and regulations identified during the on-site survey process and as reported in the QMB Report of Findings. All areas reviewed by QMB have been agreed to by DDSD and DHI/QMB and are reflective of CMS requirements. All deficiencies (non-compliance with standards and regulations) are identified and cited as either a Standard level deficiency or a Condition of Participation level deficiency in the QMB Reports of Findings. All deficiencies require corrective action when non-compliance is identified.

Each deficiency in your Report of Findings has been predetermined to be a Standard Level Deficiency, a Condition of Participation Level Deficiency, if below 85% compliance or a non-negotiable Condition of Participation Level Deficiency. Your Agency's overall Compliance Determination is based on a Scope and Severity Scale which takes into account the number of Standard and Condition Level Tags cited as well as the percentage of Individuals affected in the sample.

Conditions of Participation (CoPs)

CoPs are based on the Centers for Medicare and Medicaid Services, Home and Community-Based Waiver required assurances, in addition to the New Mexico Developmental Disability Waiver (DDW) Service Standards. The Division of Health Improvement (DHI), in conjunction with the Developmental Disability Support Division (DDSD), has identified certain deficiencies that have the potential to be a Condition of Participation Level, if the tag falls below 85% compliance based on the number of people affected. Additionally, there are what are called non-negotiable Conditions of Participation, regardless if one person or multiple people are affected. In this context, a CoP is defined as an essential / fundamental regulation or standard, which when out of compliance directly affects the health and welfare of the Individuals served. If no deficiencies within a Tag are at the level of a CoP, it is cited as a Standard Level Deficiency.

Service Domains and CoPs for <u>Case Management</u> are as follows:

<u>Service Domain: Plan of Care ISP Development & Monitoring -</u> *Service plans address all participants' assessed needs (including health and safety risk factors) and goals, either by waiver services or through other means. Services plans are updated or revised at least annually or when warranted by changes in the waiver participants' needs.*

Potential Condition of Participation Level Tags, if compliance is below 85%:

- **1A08.3 –** Administrative Case File - Individual Service Plan (ISP) / ISP Components
- **4C07 –** Individual Service Planning (Visions, measurable outcome, action steps)
- **4C07.1 –** Individual Service Planning – Paid Services
- **4C10 –** Approval Budget Worksheet Waiver Review Form / MAD 046
- **4C12 –** Monitoring & Evaluation of Services
- **4C16 –** Requirements for Reports & Distribution of ISP (Provider Agencies, Individual and/or Guardian)

<u>Service Domain: Level of Care -</u> *Initial and annual Level of Care (LOC) evaluations are completed within timeframes specified by the State.*

Potential Condition of Participation Level Tags, if compliance is below 85%:

- **4C04 –** Assessment Activities

Service Domain: Qualified Providers - *The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements. The State implements its policies and procedures for verifying that provider training is conducted in accordance with State requirements and the approved waiver.*

Potential Condition of Participation Level Tags, if compliance is below 85%:

- **1A22/4C02 –** Case Manager: Individual Specific Competencies
- **1A22.1 / 4C02.1 –** Case Manager Competencies: Knowledge of Service

Non-Negotiable Condition of Participation Level Tags (one or more Individuals are cited):

- **1A25.1 –** Caregiver Criminal History Screening
- **1A26.1 –** Consolidated On-line Registry Employee Abuse Registry

Service Domain: Health, Welfare and Safety - *The State, on an ongoing basis, identifies, addresses and seeks to prevent occurrences of abuse, neglect and exploitation. Individuals shall be afforded their basic human rights. The provider supports individuals to access needed healthcare services in a timely manner.*

Potential Condition of Participation Level Tags, if compliance is below 85%:

- **1A08.2 –** Administrative Case File: Healthcare Requirements & Follow-up
- **1A15.2 –** Administrative Case File: Healthcare Documentation (Therap and Required Plans)

Non-Negotiable Condition of Participation Level Tags (one or more Individuals are cited):

- **1A05 –** General Requirements

Attachment C

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

Introduction:
Throughout the QMB Survey process, surveyors are openly communicating with providers. Open communication means surveyors have clarified issues and/or requested missing information before completing the review through the use of the signed/dated "Document Request," or "Administrative Needs," etc. forms. Regardless, there may still be instances where the provider disagrees with a specific finding. Providers may use the following process to informally dispute a finding.

Instructions:
1. The Informal Reconsideration of the Finding (IRF) request must be received in writing by the QMB Bureau Chief **within 10 business days** of receipt of the final Report of Findings **(*Note: No extensions are granted for the IRF)*.**
2. The written request for an IRF *must* be completed on the QMB Request for Informal Reconsideration of Finding form available on the QMB website: https://nmhealth.org/about/dhi/cbp/irf/
3. The written request for an IRF must specify in detail the request for reconsideration and why the finding is inaccurate.
4. The IRF request must include all supporting documentation or evidence.
5. If you have questions about the IRF process, email the IRF Chairperson, Valerie V. Valdez at valerie.valdez@doh.nm.gov for assistance.

The following limitations apply to the IRF process:
- The written request for an IRF and all supporting evidence must be received within 10 business 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 or requested 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 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 DHI/QMB determination of compliance or the length of their DDSD provider contract.

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

The IRF Committee will review the request; 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 removed or modified, it will be noted and removed or modified from the Report of Findings. 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 of the decisions of the IRF committee.

Attachment D

QMB Determinations of Compliance

Compliance:

The QMB determination of *Compliance* indicates that a provider has either no deficiencies found during a survey or that no deficiencies at the Condition of Participation Level were found. The agency has obtained a level of compliance such that there is a minimal potential for harm to individuals' health and safety. To qualify for a determination of *Compliance*, the provider must have received no Conditions of Participation Level Deficiencies and have a minimal number of Individuals on the sample affected by the findings indicated in the Standards Level Tags.

Partial-Compliance with Standard Level Tags:

The QMB determination of *Partial-Compliance with Standard Level Tags* indicates that a provider is in compliance with all Condition of Participation Level deficiencies but is out of compliance with a certain percentage of Standard Level deficiencies. This partial compliance, if not corrected, may result in a negative outcome or the potential for more than minimal harm to individuals' health and safety. There are two ways to receive a determination of Partial Compliance with Standard Level Tags:

1. Your Report of Findings includes 16 or fewer Standards Level Tags with between 75% and 100% of the survey sample affected in any tag.

2. Your Report of Findings includes 17 or more Standard Level Tags with between 50% to 74% of the survey sample affected in any tag.

Partial-Compliance with Standard Level Tags and Condition of Participation Level Tags:

The QMB determination of *Partial-Compliance with Standard Level Tags and Condition of Participation Level Tags* indicates that a provider is out of compliance with one to five (1 – 5) Condition of Participation Level Tags. This partial compliance, if not corrected, may result in a serious negative outcome or the potential for more than minimal harm to individuals' health and safety.

Non-Compliance:

The QMB determination of *Non-Compliance* indicates a provider is significantly out of compliance with both Standard Level deficiencies and Conditions of Participation level deficiencies. This non-compliance, if not corrected, may result in a serious negative outcome or the potential for more than minimal harm to individuals' health and safety. There are three ways an agency can receive a determination of Non-Compliance:

1. Your Report of Findings includes 17 or more total Tags with 0 to 5 Condition of Participation Level Tags with 75% to 100% of the survey sample affected in any Condition of Participation Level tag.

2. Your Report of Findings includes any amount of Standard Level Tags with 6 or more Condition of Participation Level Tags.

Compliance Determination	Weighting						
	LOW		MEDIUM			HIGH	
Total Tags:	up to 16	17 or more	up to 16	17 or more	Any Amount	17 or more	Any Amount
	and	and	and	and	And/or	and	And/or
COP Level Tags:	0 COP	0 COP	0 COP	0 COP	1 to 5 COP	0 to 5 CoPs	6 or more COP
	and	and	and	and		and	
Sample Affected:	0 to 74%	0 to 49%	75 to 100%	50 to 74%		75 to 100%	
"Non-Compliance"						**17 or more** Total Tags with **75 to 100%** of the Individuals in the sample cited in any CoP Level tag.	**Any Amount** of Standard Level Tags and **6 or more** Conditions of Participation Level Tags.
"Partial Compliance with Standard Level tags and Condition of Participation Level Tags"					**Any Amount** Standard Level Tags, plus **1 to 5** Conditions of Participation Level tags.		
"Partial Compliance with Standard Level tags"			**up to 16** Standard Level Tags with **75 to 100%** of the individuals in the sample cited in any tag.	**17 or more** Standard Level Tags with **50 to 74%** of the individuals in the sample cited any tag.			
"Compliance"	**Up to 16** Standard Level Tags with **0 to 74%** of the individuals in the sample cited in any tag.	**17 or more** Standard Level Tags with **0 to 49%** of the individuals in the sample cited in any tag.					

Agency: **J & J Home Care, Inc. - Southeast Region**
Program: Developmental Disabilities Waiver
Service: Case Management
Survey Type: Routine (Expanded)
Survey Date: **April 10 – 21, 2023**

Standard of Care	Deficiencies	Agency Plan of Correction, On-going QA/QI, and Responsible Party	Completion Date
Service Domain: Plan of Care - ISP Development & Monitoring – *Service plans address all participants' assessed needs (including health and safety risk factors) and goals, either by waiver services or through other means. Services plans are updated or revised at least annually or when warranted by changes in the waiver participants' needs.*			
Tag # 1A08 Administrative Case File	**Standard Level Deficiency**		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 8: Case Management: 8.2.8 Maintaining a Complete Client Record** The CM is required to maintain documentation for each person supported according to the following requirement… **Chapter 20: Provider Documentation and Client Records: 20.1 HIPAA:** DD Waiver Provider Agencies shall comply with all applicable requirements of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Health Information Technology for Economic and Clinical Health Act of 2009 (HITECH). All DD Waiver Provider Agencies are required to store information and have adequate procedures for maintaining the privacy and the security of individually identifiable health information. HIPPA compliance extends to electronic and virtual platforms. **20.2 Client Records Requirements:** All DD Waiver Provider Agencies are required to create and maintain individual client records. The contents of client records vary depending on the unique needs of the person receiving services and the resultant information produced. The extent of documentation required for individual client records per	Based on record review, the Agency did not maintain a complete client record at the administrative office for 22 of 57 individuals. Review of the Agency individual case files revealed the following items were not found, incomplete, and/or not current: **Behavior Crisis Intervention Plan:** • Not Found (#14) **Speech Therapy Plan:** • Not Found (#1, 5, 52) **Speech Therapy Initial / Re-Evaluation Report:** • Not Found (#2, 45, 52) • Not Current (#4) **Occupational Therapy Plan:** • Not Found (#34, 52) • Not Current (#46) **Occupational Therapy Initial / Re-Evaluation Report:** • Not Found (#49, 51, 52)	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)***:** → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)***:** →	

service type depends on the location of the file, the type of service being provided, and the information necessary. DD Waiver Provider Agencies are required to adhere to the following: 1. Client records must contain all documents essential to the service being provided and essential to ensuring the health and safety of the person during the provision of the service. 2. Provider Agencies must have readily accessible records in home and community settings in paper or electronic form. Secure access to electronic records through the Therap web-based system using computers or mobile devices are acceptable. 3. Provider Agencies are responsible for ensuring that all plans created by nurses, RDs, therapists or BSCs are present in all settings. 4. Provider Agencies must maintain records of all documents produced by agency personnel or contractors on behalf of each person, including any routine notes or data, annual assessments, semi-annual reports, evidence of training provided/received, progress notes, and any other interactions for which billing is generated. 5. Each Provider Agency is responsible for maintaining the daily or other contact notes documenting the nature and frequency of service delivery, as well as data tracking only for the services provided by their agency. 6. The current Client File Matrix found in Appendix A: Client File Matrix details the minimum requirements for records to be stored in agency office files, the delivery site, or with DSP while providing services in the community. 7. All records pertaining to JCMs must be retained permanently and must be made	**Physical Therapy Plan:** • Not Found (#52) **Physical Therapy Initial / Re-Evaluation Report:** • Not Found (#37, 49) **Guardianship Documentation:** • Not Found (#3, 12, 16, 22, 27, 35, 38, 42, 43, 49, 52, 53) • Not Current with Current Guardian (#14)		

available to DDSD upon request, upon the termination or expiration of a provider agreement, or upon provider withdrawal from services.			

Tag # 1A08.3 Administrative Case File – Individual Service Plan / ISP Components	*Condition of Participation Level Deficiency*		
NMAC 7.26.5 SERVICE PLANS FOR INDIVIDUALS WITH DEVELOPMENTAL DISABILITIES LIVING IN THE COMMUNITY. **NMAC 7.26.5.12 DEVELOPMENT OF THE INDIVIDUAL SERVICE PLAN (ISP) - PARTICIPATION IN AND SCHEDULING OF INTERDISCIPLINARY TEAM MEETINGS.** **NMAC 7.26.5.14 DEVELOPMENT OF THE INDIVIDUAL SERVICE PLAN (ISP) - CONTENT OF INDIVIDUAL SERVICE PLANS.** Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 6 Individual Service Plan (ISP): 6.2 IDT Membership and Meeting Participation The Interdisciplinary Team (IDT) membership and meeting participation varies per person.** 1. At least the following IDT participants are required to contribute: a. the person receiving services and supports; b. court appointed guardian or parents of a minor, if applicable; c. CM; d. friends requested by the person; e. family member(s) and/or significant others requested by the person; f. DSP who provide the on-going, regular support to the person in the home, work, and/or recreational activities; g. Provider Agency service coordinators; and h. ancillary providers such as the OT, PT, SLP, BSC, nurse and nutritionist, as appropriate; and i. healthcare coordinator…	After an analysis of the evidence, it has been determined there is a significant potential for a negative outcome to occur. Based on record review, the Agency did not maintain a complete client record at the administrative office for 38 of 57 individuals. Review of the Agency individual case files revealed the following items were not found, incomplete, and/or not current: **Annual ISP:** • Not Found (#22) **Addendum A w/ *Incident Mgt. System - Parent/Guardian Training*:** • Not Found (#3, 9, 12, 16, 18, 19, 20, 22, 27, 30, 35, 36, 37, 38, 41, 42, 45, 47, 48, 53, 54, 57) **ISP Signature Page:** • Not Found (#3, 12, 16, 18, 19, 20, 22, 27, 35, 36, 37, 38, 41, 42, 45, 47, 53, 54, 57) • Not Fully Constituted IDT *(No evidence of LCA Service Coordinator involvement)* (#21) • Not Fully Constituted IDT *(No evidence of LCA / CI DSP involvement)* (#21, 28) • Not Fully Constituted IDT *(No evidence of Community Integrated Employment Services DSP involvement)* (#32) **ISP Teaching & Support Strategies:** ***Individual #1:***	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

3. IDT member participation can occur in person/face-to-face or remotely. Remote/video participation must align with Federal Guidelines for HIPPA Privacy. All confidential protected health information (HIPAA Sensitive PHI) must be sent through SComm in Therap by Provider Agencies required to have SComm accounts. 4. If a required participant is not able to attend the meeting in person or remotely, their input should be obtained by the CM prior to that meeting. Within 5 business days following the meeting, the CM needs to follow-up with that participant and document accordingly. **Chapter 8: Case Management: 8.2.8 Maintaining a Complete Client Record** The CM is required to maintain documentation for each person supported according to the following requirement: 1. CMs will provide complete copies of the ISP to the Provider Agencies listed in the budget, the person and the guardian, if applicable, at least 14 calendar days prior to the start of the new ISP. Copies shall include any related ISP minutes, TSS, IST Attachment A, Addendum A, signature page and revisions, if applicable. 2. CMs will provide complete copies of the ISP to the respective DDSD Regional Offices 14 calendar days prior to the start of the new ISP. 3. The case file must contain the documents identified in Appendix A: Client File Matrix. 4. All pages of the documents must include the person's name and the date the document was prepared. **20.2 Client Records Requirements:** All DD Waiver Provider Agencies are required to create and maintain individual client records. The contents of client records vary depending	*TSS not found for the following Fun / Relationship Outcome Statement / Action Steps:* • "…will research event." • "…will choice event." ***Individual #2:*** *TSS not found for the following Fun / Relationship Outcome Statement / Action Steps:* • "…will order his item." • "…will pay for his item." ***Individual #4:*** *TSS not found for the following Live Outcome Statement / Action Steps:* • "…will choose a friend." • "…will choose the activity." • "…will attend activity." *TSS not found for the following Fun / Relationship Outcome Statement / Action Steps:* • "…will choose the walk trail." • "…will go for her walk." ***Individual #5:*** *TSS not found for the following Fun / Relationship Outcome Statement / Action Steps:* • "…will fill out deposit slip." ***Individual #40:*** *TSS not met for the following Fun / Relationship Outcome Statement / Action Steps:* • "…will reach."		

on the unique needs of the person receiving services and the resultant information produced. The extent of documentation required for individual client records per service type depends on the location of the file, the type of service being provided, and the information necessary. DD Waiver Provider Agencies are required to adhere to the following: 1. Client records must contain all documents essential to the service being provided and essential to ensuring the health and safety of the person during the provision of the service. 2. Provider Agencies must have readily accessible records in home and community settings in paper or electronic form. Secure access to electronic records through the Therap web-based system using computers or mobile devices are acceptable. 3. Provider Agencies are responsible for ensuring that all plans created by nurses, RDs, therapists or BSCs are present in all settings. 4. Provider Agencies must maintain records of all documents produced by agency personnel or contractors on behalf of each person, including any routine notes or data, annual assessments, semi-annual reports, evidence of training provided/received, progress notes, and any other interactions for which billing is generated. 5. Each Provider Agency is responsible for maintaining the daily or other contact notes documenting the nature and frequency of service delivery, as well as data tracking only for the services provided by their agency. 6. The current Client File Matrix found in Appendix A: Client File Matrix details the minimum requirements for records to be stored in agency office files, the delivery	• "…will plan at least." ***Individual #48:*** *TSS not met for the following Live Outcome Statement / Action Steps:* • "Choose what I want to cook." • "Prepare the meal." *TSS not met for the following Work / Learn Outcome Statement / Action Steps:* • "…will identify and assist in checking the 5 fluids required for van maintenance." *TSS not met for the following Fun / Relationship Outcome Statement / Action Steps:* • "Price the shirts and save money for purchase." • "Buy the t-shirt." ***Individual #56:*** *TSS not met for the following Live Outcome Statement / Action Steps:* • "…will develop a book of meal preferences." **ISP Assessment Checklist:** • Not Found (#3, 6, 15, 21, 22, 24, 33, 35, 36, 37, 38, 41, 42, 43, 44, 47, 52, 53, 54, 57) • Not Current (#12, 18, 19, 32)		

site, or with DSP while providing services in the community. 7. All records pertaining to JCMs must be retained permanently and must be made available to DDSD upon request, upon the termination or expiration of a provider agreement, or upon provider withdrawal from services.			

Tag # 1A08.4 Assistive Technology Inventory List	Standard Level Deficiency		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 8: Case Management: 8.2.8 Maintaining a Complete Client Record** The CM is required to maintain documentation for each person supported according to the following requirement: 3. The case file must contain the documents identified in Appendix A: Client File Matrix. **Chapter 12: Professional Clinical Services 12.4.7.3 Assistive Technology (AT) Services, Remote Personal Support Technology (RPST) and Environmental Modifications:** Therapists support the person to access and utilize AT, RPST and Environmental Modifications through the following requirements: 2. Therapists are required to provide a current AT Inventory to each Living Supports and CCS site where AT is used, for each person using AT related to that therapist's scope of service. 3. Therapists are required to initiate or update the AT Inventory annually, by the 190th day following the person's ISP effective date, so that it accurately identifies the assistive technology currently in use by the individual and related to that therapist's scope of service. **Chapter 20: Provider Documentation and Client Records 20.2 Client Records Requirements:** All DD Waiver Provider Agencies are required to create and maintain individual client records. The contents of client records vary depending on the unique needs of the person receiving services and the resultant information produced. The extent of documentation required for individual client records per service type depends on the	Based on record review, the Agency did not maintain a complete client record at the administrative office for 17 of 57 individuals. Review of the Agency individual case files revealed the following items were not found, incomplete, and/or not current: **Assistive Technology Inventory List:** • Individual #1 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of current inventory found. • Individual #3 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #4 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #12 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #16 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #18 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found.	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible, an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

location of the file, the type of service being provided, and the information necessary. DD Waiver Provider Agencies are required to adhere to the following: 6. The current Client File Matrix found in Appendix A: Client File Matrix details the minimum requirements for records to be stored in agency office files, the delivery site, or with DSP while providing services in the community.	• Individual #20 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #21 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #24 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #30 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #32 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #38 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #41 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #42 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #43 - As indicated by the Health and Safety section of ISP the individual is		

	required to have an inventory list. Documentation received is not current. • Individual #44 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found. • Individual #52 - As indicated by the Health and Safety section of ISP the individual is required to have an inventory list. No evidence of inventory found.		

Tag # 4C01.1 Case Management Services – Utilization of Services	Standard Level Deficiency		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 8 Case Management: 8.2.7 Monitoring and Evaluating Service Delivery** The CM is required to complete a formal, ongoing monitoring process to evaluate the quality, effectiveness, and appropriateness of services and supports provided to the person as specified in the ISP. The CM is also responsible for monitoring the health and safety of the person. Monitoring and evaluation activities include the following requirements… 13. The CM must monitor utilization of budgets by reviewing in the Medicaid Web Portal monthly in preparation for site visits. The CM uses the information to have informed discussions with the person/guardian about high or low utilization and to follow up with any action that may be needed to assure services are provided as outlined in the ISP with respect to: quantity, frequency and duration. Follow up action may include, but not be limited to: a. documenting extraordinary circumstances; b. convening the IDT to submit a revision to the ISP and budget as necessary; c. working with the provider to align service provision with ISP and using the RORA process if there is no resolution from the provider; and d. reviewing the SFOC process with the person and guardian, if applicable.	Based on record review, the Agency did not have evidence indicating they were monitoring the utilization of budgets for DDW services for 10 of 57 individuals. **Budget Utilization Report:** Individual #9 – *The following was found indicating low or no usage during the term of the ISP budget 10/1/2022 – 9/30/2023, no evidence was found indicating why the usage was low and/or no usage:* • Behavioral Support Consultation [H2019 HB]: 240 (15-minute increments) Units approved; 53 units used from *10/1/2022* (budget start date) to *3/31/2023* (utilization report run). • Occupational Therapy [G0152 HB – TN]: 35 (15-minute increments) units approved; 0 units used from *10/1/2022* (budget start date) to *3/31/2023* (utilization report run). • Physical Therapy [G0151 HB – TN]: 50 (15-minute increments) units approved; 4 units used from *10/1/2022* (budget start date) to *3/31/2023* (utilization report run). Individual #16 – *The following was found indicating low or no usage during the term of the ISP budget 10/1/2022 – 9/30/2023, no evidence was found indicating why the usage was low and/or no usage:* • Behavioral Support Consultation [H2019 HB]: 200 (15-minute increments) units approved; 0 units used from *10/1/2022* (budget start date) to *3/31/2023* (utilization report run).	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

	Individual #18 – *The following was found indicating low or no usage during the term of the ISP budget 8/28/2022 – 8/27/2023, no evidence was found indicating why the usage was low and/or no usage:* • Community Integrated Employment Services [T2025 HB - UA]: 12 (Monthly) units approved; 0 units used from *8/28/2022* (budget start date) to *3/31/2023* (utilization report run). Individual #33 – *The following was found indicating low or no usage during the term of the ISP budget 10/17/2022 – 10/16/2023, no evidence was found indicating why the usage was low and/or no usage:* • Behavioral Support Consultation [H2019 HB]: 240 (15-minute increments) units approved; 12 units used from *10/14/2022* (budget start date) to *3/31/2023* (utilization report run). Individual #34 – *The following was found indicating low or no usage during the term of the ISP budget 6/4/2022 – 6/3/2023, no evidence was found indicating why the usage was low and/or no usage:* • Behavioral Support Consultation [H2021 HB]: 240 (15-minute increments) units approved; 70 units used from *6/4/2022* (budget start date) to *3/31/2023* (utilization report run). • Occupational Therapy [G0152 HB – TN]: 40 (15-minute increments) units approved; 8 units used from *6/4/2022* (budget start date) to *3/31/2023* (utilization report run).		

	• Occupational Therapy Assistant [G0158 HB – TN]: 140 (15-minute increments) units approved; 32 units used from *6/4/2022* (budget start date) to *3/31/2023* (utilization report run). • Physical Therapy [G0151 HB – TN]: 40 (15-minute increments) units approved; 10 units used from *6/4/2022* (budget start date) to *3/31/2023* (utilization report run). • Physical Therapy Assistant [G0157 HB – TN]: 160 (15-minute increments) units approved; 60 units used from *6/4/2022* (budget start date) to *3/31/2023* (utilization report run). Individual #49 – *The following was found indicating low or no usage during the term of the ISP budget 7/6/2022 – 7/5/2023, no evidence was found indicating why the usage was low and/or no usage:* • Behavioral Support Consultation [H2019 HB]: 102 (15-minute increments) units approved; 0 units used from *7/6/2022* (budget start date) to *3/31/2023* (utilization report run). • Physical Therapy [G0151 HB – TN]: 100 (15-minute increments) units approved; 0 units used from *7/6/2022* (budget start date) to *3/31/2023* (utilization report run). • Occupational Therapy [G0152 HB – TN]: 24 (15-minute increments) units approved; 0 units used from *7/6/2022* (budget start date) to *3/31/2023* (utilization report run). • Occupational Therapy Assistant [G0158 HB – TN]: 106 (15-minute increments) units approved; 0 units used from *7/6/2022*		

	(budget start date) to *3/31/2023* (utilization report run). Individual #51 – *The following was found indicating low or no usage during the term of the ISP budget 7/1/2022 – 6/30/2023, no evidence was found indicating why the usage was low and/or no usage:* • Behavioral Support Consultation [H2019 HB]: 200 (15-minute increments) units approved; 9 units used from *7/1/2022* (budget start date) to *3/31/2023* (utilization report run). • Physical Therapy [G0151 HB – TN]: 240 (15-minute increments) units approved; 29 units used from *7/1/2022* (budget start date) to *3/31/2023* (utilization report run). • Speech Language Pathology [G0153 HB – TN]: 232 (15-minute increments) units approved; 50 units used from *7/1/2022* (budget start date) to *3/31/2023.* (utilization report run). Individual #52 – *The following was found indicating low or no usage during the term of the ISP budget 10/28/2022 – 10/27/2023, no evidence was found indicating why the usage was low and/or no usage:* • Behavioral Support Consultation [H2019 HB]: 120 (15-minute increments) units approved; 3 units used from *10/28/2022* (budget start date) to *3/31/2023*. (utilization report run). • Occupational Therapy [G0152 HB – TN]: 40 (15-minute increments) units approved; 3 units used from *10/28/2022* (budget start date) to *3/31/2023* (utilization report run).		

	• Speech Language Pathology [G0153 HB – TN]: 240 (15-minute increments) units approved; 39 units used from *10/28/2022* (budget start date) to *3/31/2023* (utilization report run). Individual #53 – *The following was found indicating low or no usage during the term of the ISP budget 6/19/2022 – 6/18/2023, no evidence was found indicating why the usage was low and/or no usage:* • Speech Language Pathology [G0153 HB – TN]: 188 (15-minute increments) units approved; 43 units used from *10/28/2022* (budget start date) to *3/31/2023* (utilization report run). Individual #56– *The following was found indicating low or no usage during the term of the ISP budget 7/1/2022 – 6/30/2023, no evidence was found indicating why the usage was low and/or no usage:* • Physical Therapy [G0151 HB – TN]: 240 (15-minute increments) units approved; 89 units used from *7/1/2022* (budget start date) to *3/31/2023* (utilization report run). • Speech Language Pathology [G0153 HB – TN]: 240 (15-minute increments) units approved; 76 units used from *7/1/2022* (budget start date) to *3/31/2023* (utilization report run).		

Tag # 4C02 Scope of Services - Primary Freedom of Choice	Standard Level Deficiency		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 8: Case Management: 8.2.8 Maintaining a Complete Client Record** The CM is required to maintain documentation for each person supported according to the following requirement: 3. The case file must contain the documents identified in Appendix A: Client File Matrix. **Chapter 1: Initial Allocation and Ongoing Eligibility: 1.4 Primary Freedom of Choice (PFOC):** The applicant completes the PFOC form to select between: 1. An Intermediate Care Facility for Individuals with Intellectual/Developmental Disability (ICF/IID); or 2. The DD Waiver and a Case Management Agency or the Mi Via Self-Directed Waiver and a Consultant Agency. 3. To place their allocation on hold or refuse the allocation: a. The applicant retains their original registration date. The applicant later needs to contact DDSD to take the allocation off hold at which time the applicant would be actively awaiting allocation based on their original registration date and available funding; or b. The applicant chooses not to receive services through ICF/IID nor DD Waiver or Mi Via now or in the future. The allocation will be closed, with a notice of rights to an Administrative Fair Hearing, and the applicant would need to re-apply for HCBS with a new registration date should they choose to seek services in the future.	Based on record review, the Agency did not maintain documentation assuring individuals obtained all services through the freedom of choice process for 8 of 57 individuals. Review of the Agency individual case files revealed the following items were not found, incomplete, and/or not current: **Primary Freedom of Choice:** • Not Found (#1, 4, 18, 19, 21, 23, 53, 56)	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible, an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

Chapter 4 Person Centered Planning (PCP): 4.4 Freedom of Choice of DD Waiver Provider Agencies: People receiving DD Waiver funded services have the right to choose any qualified provider of case management services listed on the PFOC (Primary Freedom of Choice) or CM Agency Change Form and a qualified provider of any other DD Waiver service listed on SFOC (Secondary Freedom of Choice) form. **Chapter 9 Transitions:** Individuals may choose to change services, provider agencies, waiver programs, or even withdraw altogether from waiver services. Although a resumption of services may ultimately occur, individuals may also be discharged, have services suspended, or be terminated from the DD Waiver under various circumstances. In any of these circumstances, appropriate planning must occur, and information must be provided to facilitate a smooth transition and informed choices. The CM plays a critical role in all types of transitions. **9.9 Waiver Transfers:** A DD Waiver participant and/or legal representative may choose to transfer to or from another waiver program by contacting the DDSD to initiate a waiver change. If a person wants to switch waivers within the first 30 calendar days of allocation, and no medical or financial eligibility has begun, the transfer is permitted. Waiver transfers are not allowed when the expiration of the person's LOC is within 90 calendar days or less. If the participant has already begun the eligibility or annual recertification process, the person must meet medical and financial eligibility before they may request a transfer. Waiver transfers require the following steps: 1. A Waiver Change Form (WCF) is completed by the person and/or legal representative and returned to the local DDSD Regional Office.			

2. Once DDSD staff receive the WCF, it is forwarded by DDSD staff to the current DD Waiver CM, Medically Fragile CM, and Mi Via Consultant as relevant. 3. Transfers between waivers should occur within 90 calendar days of receipt of the WCF unless there are circumstances related to the person's services that require more time. 4. Transition meetings must occur within at least 30 calendar days of receipt of the WCF. The receiving agency must schedule the meeting within five days of receipt of the WCF. 5. The transition meeting must occur, either by phone or in person, and is required to include the person or their legal representative, as well as the Mi Via Consultant or Medically Fragile Case Manager and DD Waiver CM who attend in person.			

Tag # 4C07 Individual Service Planning *(Visions, measurable outcome, action steps)*	Standard Level Deficiency		
NMAC 7.26.5.14 DEVELOPMENT OF THE INDIVIDUAL SERVICE PLAN (ISP) - CONTENT OF INDIVIDUAL SERVICE PLANS: Each ISP shall contain. B. Long term vision: The vision statement shall be recorded in the individual's actual words, whenever possible. For example, in a long-term vision statement, the individual may describe him or herself living and working independently in the community. C. Outcomes: (1) The IDT has the explicit responsibility of identifying reasonable services and support needed to assist the individual in achieving the desired outcome and long-term vision. The IDT determines the intensity, frequency, duration, location, and method of delivery of needed services and support. All IDT members may generate suggestions and assist the individual in communicating and developing outcomes. Outcome statements shall also be written in the individual's own words, whenever possible. Outcomes shall be prioritized in the ISP. (2) Outcomes planning shall be implemented in one or more of the four "life areas" (work or leisure activities, health or development of relationships) and address as appropriate home environment, vocational, educational, communication, self-care, leisure/social, community resource use, safety, psychological/behavioral and medical/health outcomes. The IDT shall assure that the outcomes in the ISP relate to the individual's long term vision statement. Outcomes are required for any life area for which the individual receives services funded by the developmental disabilities Medicaid waiver.	Based on record review, the Agency did not ensure the ISP was developed in accordance with the rule governing ISP development, for 7 of 57 Individuals. The following was found with regards to ISP: **Individual #4:** • Live Outcome: "…will develop more social interaction with peers." Outcome was not measurable, as it did not indicate how and/or when it would be completed. **Individual #9:** • Vision for Fun / Relationships, "…enjoys road trips and getting out into the community. She would like to visit new places and try new cuisines at various restaurants." Outcome indicates, "…will keep communication open with her family throughout the year." Review of ISP found outcome is not tied to the person's vision statement. **Individual #32:** • Work Outcome: "…will complete an accurate self-evaluation of his work with his Job Coach or Supervisor once per quarter." Outcome was not measurable, as it did not indicate how and/or when it would be completed. **Individual #33:** • Vision for Fun / Relationships, "…enjoys engaging in conversation at times when he is interested in what is being talked about. He would like to engage more with people in experiences he finds interesting." Outcome indicates, "…will create a music library of 24	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

D. Individual preference: The individual's preferences, capabilities, strengths and needs in each life area determined to be relevant to the identified ISP outcomes shall be reflected in the ISP. The long-term vision, age, circumstances, and interests of the individual shall determine the life area relevance, if any to the individual's ISP. E. Action plans: (1) Specific ISP action plans that will assist the individual in achieving each identified, desired outcome shall be developed by the IDT and stated in the ISP. The IDT establishes the action plan of the ISP, as well as the criteria for measuring progress on each action step. (2) Service providers shall develop specific action plans and strategies (methods and procedures) for implementing each ISP desired outcome. Timelines for meeting each action step are established by the IDT. Responsible parties to oversee appropriate implementation of each action step are determined by the IDT. (3) The action plans, strategies, timelines, and criteria for measuring progress, shall be relevant to each desired outcome established by the IDT. The individual's definition of success shall be the primary criterion used in developing objective, quantifiable indicators for measuring progress. Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 4: Person-Centered Planning (PCP): 4.1 Essential Elements of Person-Centered Planning (PCP):** Person-centered planning is a process that places a person at the center of planning their life and supports. The CMS requires use of PCP in the development of the ISP. It is an ongoing process that is the foundation for all aspects of the DD Waiver Program and DD Waiver Provider Agencies' work with people with I/DD.	songs." Review of ISP found outcome is not tied to the person's vision statement. • Live Outcome: "…will experience a variety of meditation techniques." Outcome was not measurable, as it did not indicate how and/or when it would be completed. **Individual #39:** • Fun Outcome: "…will be able to identify who to ask for assistance in the community." Outcome was not measurable, as it did not indicate how and/or when it would be completed. **Individual #45:** • Fun Outcome: "…will increase social options by greeting someone verbally or gesturally." Outcome was not measurable, as it did not indicate how and/or when it would be completed. **Individual #47:** • Live Outcome: "…will increase his independence by learning new skills." Outcome was not measurable, as it did not indicate how and/or when it would be completed.		

The process is designed to identify the strengths, capacities, preferences, and needs of the person. The process may include other people chosen by the person who are able to serve as important contributors to the process. Overall, PCP involves person-centered thinking, person-centered service planning, and person-centered practice. PCP enables and assists the person to identify and access a personalized mix of paid and non-paid services and supports to assist him or her to achieve personally defined outcomes in the community. **Chapter 6: Individual Service Plan (ISP):** **6.6.1 Vision Statements:** The long-term vision statement describes the person's major long-term (e.g., within one to three years) life dreams and aspirations in the following areas: 1. Live, 2. Work/Education/Volunteer, 3. Develop Relationships/Have Fun, and 4. Health and/or Other (Optional). **6.6.2 Desired Outcomes:** A Desired Outcome is required for each life area (Live, Work, Fun) for which the person receives paid supports through the DD Waiver. Each service does not need its own, separate outcome, but should be connected to at least one Desired Outcome. Desired outcomes must: 1. be directly linked to a Vision; 2. be meaningful; 3. be measurable; 4. allow for skill building or personal growth; 5. be desired by the person, other team members; 6. not contain "readiness traps" or artificial barriers and steps others would not need to complete to pursue desired goals; and 7. not be achievable with little to no effort (e.g., open a savings account or one-time action). .			

Tag # 4C07.2 Person Centered Assessment and Career Development Plan	Standard Level Deficiency		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 8: Case Management: 8.2.8 Maintaining a Complete Client Record** The CM is required to maintain documentation for each person supported according to the following requirement: 3. The case file must contain the documents identified in Appendix A: Client File Matrix. **Chapter 20: Provider Documentation and Client Records: 20.2 Client Records Requirements:** All DD Waiver Provider Agencies are required to create and maintain individual client records. The contents of client records vary depending on the unique needs of the person receiving services and the resultant information produced. The extent of documentation required for individual client records per service type depends on the location of the file, the type of service being provided, and the information necessary. 6. The current Client File Matrix found in Appendix A: Client File Matrix details the minimum requirements for records to be stored in agency office files, the delivery site, or with DSP while providing services in the community. **Chapter 11: Community Inclusion: 11.4** Person Centered Assessments (PCA) and Career Development Plans (CDP) Agencies who provide CCS and/or CIE are required to complete a person-centered assessment (PCA). A PCA is a person-centered planning tool that is intended to be used for the service agency to get to know the person whom they are supporting and to help identify the individual needs and strengths to be addressed in the ISP. The PCA should provide the reader with a good sense of who	Based on record review, the Agency did not maintain a complete case file at the administrative office for 8 of 57 individuals. Review of the Agency individual case files revealed the following items were not found, incomplete, and/or not current: **Person Centered Assessment:** • Not Found (#4, 19, 27, 42, 44, 56) • Not Current (#30, 34)	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible, an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

the person is and is a means of sharing what makes an individual unique. The information gathered in a PCA should be used to guide community inclusion services for the individual. Recommended methods for gathering information include paper reviews, interviews with the individual, guardian or anyone who knows the individual well including staff, family members, friends, BSC therapist, school personnel, employers, and providers. Observations in the community, home visits, neighborhood/environmental observations research on community resources, and team input are also reliable means of gathering valuable information. A Career Development Plan (CDP), developed by the CIE Provider Agency with input from the CCS Provider, must be in place for job seekers or those already working to outline the tasks needed to obtain, maintain, or seek advanced opportunities in employment. 3. Timelines for completion: The initial PCA must be completed within the first 90 calendar days of the person receiving services. Thereafter, the Provider Agency must ensure that the PCA is reviewed and updated with the most current information, annually. A more extensive update of the PCA must be completed every five years. PCAs completed at the 5-year mark should include a narrative summary of progress toward outcomes from initial development, changes in support needs, major life changes, etc. If there is a significant change in a person's circumstance, a new PCA should be considered because the information in the PCA may no longer be relevant. A significant change may include but is not limited to losing a job, changing residence or provider, and/or moving to a new region of the state. 6. A career development plan is developed by the CIE provider with input from the CCS			

provider, as appropriate, and can be a separate document or be added as an addendum to a PCA. The career development plan should have specific action steps that identify who does what and by when.			

Tag # 4C08 ISP Development Process	Standard Level Deficiency		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 2: Human Rights:** Civil rights apply to everyone including all waiver participants. Everyone including family members, guardians, advocates, natural supports, and Provider Agencies have a responsibility to make sure the rights of persons receiving services are not violated. All Provider Agencies play a role in person-centered planning (PCP) and have an obligation to contribute to the planning process, always focusing on how to best support the person and protecting their human and civil rights. **2.2.1 Statement of Rights Acknowledgement Requirements:** The CM is required to review the Statement of Rights with the person, in a manner that accommodates preferred communication style, at the annual meeting. The person and their guardian, if applicable, sign the acknowledgement form at the annual meeting. **Chapter 8: Case Management: 8.2.1 Promoting Self Advocacy and Advocating on Behalf of the Person in Services:** A primary role of the CM is to facilitate self-advocacy and advocate on behalf of the person, which includes, but is not limited to: 12. Reviewing the HCBS Consumer Rights and Freedoms with the person and guardian as applicable, at least annually and in a form/format most understandable by the person. 13. Confirming acknowledgement of the HCBS Consumer Rights and Freedoms with signatures of the person and guardian, if applicable. **8.2.8 Maintaining a Complete Client Record:**	Based on record review, the Agency did not maintain documentation for each person supported according to the following requirements for 27 of 57 individuals. Review of the records indicated the following: **Statement of Rights Acknowledgment:** • Not Found (#2, 3, 6, 9, 12, 16, 18, 19, 20, 22, 24, 27, 30, 33, 35, 36, 38, 41, 42, 45, 47, 48, 51, 53, 54, 56, 57)	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible, an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

The CM is required to maintain documentation for each person supported according to the following requirement: 3. The case file must contain the documents identified in Appendix A: Client File Matrix.			

Tag # 4C09 Secondary FOC	Standard Level Deficiency		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 8: Case Management: 8.2.8 Maintaining a Complete Client Record** The CM is required to maintain documentation for each person supported according to the following requirement: 3. The case file must contain the documents identified in Appendix A: Client File Matrix. **Chapter 4 Person Centered Planning (PCP): 4.4 Freedom of Choice of DD Waiver Provider Agencies:** People receiving DD Waiver funded services have the right to choose any qualified provider of case management services listed on the PFOC (Primary Freedom of Choice) or CM Agency Change Form and a qualified provider of any other DD Waiver service listed on SFOC (Secondary Freedom of Choice) form. 4.4.2 **Annual Review of SFOC:** Choice of Provider Agencies must be continually assured. A person has a right to change Provider Agencies if they are not satisfied with services at any time. 1. The SFOC form must be utilized when the person and/or legal guardian wants to change Provider Agencies. 2. The SFOC must be signed at the time of the initial service selection and reviewed annually by the CM and the person and/or guardian. 3. A current list of approved Provider Agencies by county for all DD Waiver services is available through the SFOC website. **Chapter 20: Provider Documentation and Client Records 20.2 Client Records Requirements:** All DD Waiver Provider Agencies are required to create and maintain	Based on record review, the Agency did not maintain the Secondary Freedom of Choice documentation (for current services) and/or ensure individuals obtained all services through the Freedom of Choice Process for 28 of 57 individuals. Review of the Agency individual case files revealed 41 out of 207 Secondary Freedom of Choices were not found and/or not agency specific to the individual's current services: **Secondary Freedom of Choice:** • Supported Living (#6, 16, 48) • Family Living (#19, 22, 53, 54) • Intensive Medical Living Services (#46) • Customized In Home Services (#36) • Customized Community Supports (#6, 19, 20, 35, 38, 45, 48, 53, 57) • Community Integrated Employment Services: (#18, 36, 48) • Behavior Consultation (#4, 9, 16, 20, 45, 48) • Speech Therapy (#1, 2, 6, 16, 23, 28, 29, 33, 45, 49, 53) • Adult Nursing Services (#5) • Assistive Technology Purchasing Agent (#11) • Socialization and Sexuality (#39)	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible, an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

individual client records. The contents of client records vary depending on the unique needs of the person receiving services and the resultant information produced. The extent of documentation required for individual client records per service type depends on the location of the file, the type of service being provided, and the information necessary. DD Waiver Provider Agencies are required to adhere to the following: 6. The current Client File Matrix found in Appendix A: Client File Matrix details the minimum requirements for records to be stored in agency office files, the delivery site, or with DSP while providing services in the community.			

Tag # 4C10 Approved Budget Worksheet Waiver Review Form / MAD 046	Standard Level Deficiency		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 7: Available Services and Individual Budget Development:** DD Waiver services are designed to support people to live the life they prefer in the community of their choice, and to gain increased community involvement and independence according to their personal and cultural preferences. Services available through the DD Waiver are required to comply with New Mexico's DD Waiver approved by CMS and with any subsequent amendments approved by CMS during the five-year waiver renewal period. The individual budget development process must first include PCP, then development of an ISP, and finally identification of service types and amounts to meet the needs and preferences of individuals receiving services. **7.3.1 Jackson Class Members (JCM):** Individuals included in the class established pursuant to Walter Stephen Jackson, et al vs. Fort Stanton Hospital and Training School et. al, 757 F. Supp. 1243 (DNM 1990) may receive service types and budget amounts consistent with those services approved in their ISP and in accordance with the Orders of the Consent Decree. JCMs budgets are not submitted to the Outside Reviewer (OR) for clinical justification according to the process described below. DDSD provides instruction to CM's on JCM budget submission and system entry. **7.3.2 Clinical Justification and the Outside Review Process:** DDSD contracts with an independent third party to conduct a clinical outside review (OR) of services and service amounts requested on an adult or children's budget. DD Waiver services have a set of clinical criteria applied by the OR to determine clinical justification. Clinical Criteria undergoes	Based on record review the Agency did not maintain documentation ensuring the Case Manager Agency record contained the Budget Worksheet as required by standards for 1 of 57 individuals. • **Budget Worksheet not found (#30)**	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible, an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

periodic updates when clarification is needed for the field and the reviewers or when policy or program decisions affect the criteria. **7.4 Budget Submission Process:** The CM is responsible for timely submission of the ISP, budget worksheet (BWS), and supporting documentation to the OR. To avoid any disruption or delays in approval of clinically justified services, all DD Waiver Provider Agencies on a BWS are responsible for working with the CM to assure accuracy and completeness of the submission. The process for adult and child budget submission includes the following steps: 6. Submissions must be at least 45 full calendar days in advance of an ISP expiration or 30 calendar days in advance of a service revision. For 30 and 45-day timelines, the measure is made by date of the month (e.g., June 30 is 30 days prior to July 30) **Chapter 8: Case Management: 8.2.6 Development and Timely Submission of Budgets to the Appropriate Third Parties:** CMs are responsible for completing or gathering all documents necessary to obtain an approved budget for DD waiver services. CMs are required to honor the timelines and the process related to individual budget development as outlined in Chapter 7: Available Services and Individual Budget Development. **8.2.8 Maintaining a Complete Client Record** The CM is required to maintain documentation for each person supported according to the following requirement: 3. The case file must contain the documents identified in Appendix A: Client File Matrix. **Chapter 20: Provider Documentation and Client Records 20.2 Client Records**			

Requirements: All DD Waiver Provider Agencies are required to create and maintain individual client records. The contents of client records vary depending on the unique needs of the person receiving services and the resultant information produced. The extent of documentation required for individual client records per service type depends on the location of the file, the type of service being provided, and the information necessary. DD Waiver Provider Agencies are required to adhere to the following: 6. The current Client File Matrix found in Appendix A: Client File Matrix details the minimum requirements for records to be stored in agency office files, the delivery site, or with DSP while providing services in the community.			

Tag # 4C12 Monitoring & Evaluation of Services	*Condition of Participation Level Deficiency*		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 8: Case Management: 8.2.8 Maintaining a Complete Client Record:** The CM is required to maintain documentation for each person supported according to the following requirement: 3. The case file must contain the documents identified in Appendix A: Client File Matrix. **8.2.7 Monitoring and Evaluating Service Delivery:** The CM is required to complete a formal, ongoing monitoring process to evaluate the quality, effectiveness, and appropriateness of services and supports provided to the person as specified in the ISP. The CM is also responsible for monitoring the health and safety of the person. Monitoring and evaluation activities include the following requirements: 1. The CM is required to meet face-to-face with adult DD Waiver participants at least 12 times annually (one time per month) to bill for a monthly unit. 2. JCMs require two face-to-face contacts per month to bill the monthly unit, one of which must occur at a location in which the person spends the majority of the day (i.e., place of employment, habilitation program), and the other contact must occur at the person's residence. 3. Parents of children on the DD Waiver must receive a minimum of four visits per year, as established in the ISP. The parent is responsible for monitoring and evaluating services provided in the months case management services are not received. 4. No more than one IDT Meeting per quarter may count as a face-to-face contact for adults (including JCMs) living in the community.	After an analysis of the evidence, it has been determined there is a significant potential for a negative outcome to occur. Based on record review, the Agency did not use a formal ongoing monitoring process that provides for the evaluation of quality, effectiveness, and appropriateness of services and support provided to the individual for 41 of 57 individuals. **Review of the Agency individual case files revealed no evidence indicating face-to-face visits were completed as required for the following individuals:** • Individual #2 – No Face-to-Face Therap ® Monthly Site Visit Forms found for December 2022 and January 2023. • Individual #3 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October and December 2022, January – March 2023. • Individual #6 – No Face-to-Face Therap ® Monthly Site Visit Forms found for June, October and December 2022, January – March 2023. • Individual #11 – No Face-to-Face Therap ® Monthly Site Visit Forms found for August 2022. • Individual #12 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022 – March 2023. • Individual #14 – No Face-to-Face Therap ® Monthly Site Visit Forms found for May,	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

5. For non-JCMs, face-to-face visits must occur as follows: a. At least one face-to-face visit per quarter shall occur at the person's home for people who receive a Living Supports or CIHS. b. At least one face-to-face visit per quarter shall occur at the day program for people who receive CCS and or CIE in an agency operated facility. c. It is appropriate to conduct face-to-face visits with the person either during times when the person is receiving a service or during times when the person is not receiving a service. d. The CM considers the preferences of the person when scheduling face-to face-visits in advance. e. Face-to-face visits may be unannounced depending on the purpose of the monitoring. 6. The CM must monitor at least quarterly: a. that all applicable current HCPs (including applicable CARMP), MERPs, Health Passport, PBSP or other applicable behavioral plans (such as PPMP or RMP), and WDSIs are in place in the applicable service sites. b. The content of each plan is to be reviewed for accuracy and discrepancies. c. that applicable MERPs and/or BCIPs are in place in the residence and at the day services location(s) for those who have chronic medical condition(s) with potential for life threatening complications, or for individuals with behavioral challenge(s) that pose a potential for harm to themselves or others. MERP's are determined by the e-chat and the BCIPs are determined by the	June, August, September, and November 2022. • Individual #15 – No Face-to-Face Therap ® Monthly Site Visit Forms found for August, November, and December 2022. • Individual #18 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October and December 2022, January 2023. • Individual #19 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022, January, and February 2023. • Individual #20 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022 – March 2023. • Individual #24 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022 – March 2023. • Individual #25 – No Face-to-Face Therap ® Monthly Site Visit Forms found for December 2022. • Individual #27 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022, January – March 2023. • Individual #30 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022 – March 2023. • Individual #32 – No Face-to-Face Therap ® Monthly Site Visit Forms found for April and October 2022, January – March 2023. • Individual #33 – No Face-to-Face Therap ® Monthly Site Visit Forms found for August 2022.		

critical behavioral needs as assessed by the BSC in collaboration with the IDT. d. a printed copy of Current Health Passport is required to be at all service delivery sites. 7. When risk of significant harm is identified, the CM follows. the standards outlined in Section II Chapter 18: Incident Management System. 8. The CM must report all suspected ANE as required by New Mexico Statutes and complete all follow up activities as detailed in Section II Chapter 18: Incident Management System. 9. If there are concerns regarding the health or safety of the person during monitoring or assessment activities, the CM immediately notifies appropriate supervisory personnel within the DD Waiver Provider Agency and documents the concern. In situations where the concern is not urgent, the DD Waiver Provider Agency is allowed up to 15 business days to remediate or develop an acceptable plan of remediation. 10. If the CMs reported concerns are not remedied by the Provider Agency within a reasonable, mutually agreed upon period of time, the CM shall use the RORA process detailed in Section II Chapter 19: Provider Reporting Requirements. 11. The CM conducts an online review in the Therap system to ensure that the e-CHAT and *Health Passport* are current: quarterly and after each hospitalization or major health event. 12. The CM must monitor utilization of budgets by reviewing in the Medicaid Web Portal monthly in preparation for site visits. The CM uses the information to have informed discussions with the person/guardian about high or low utilization and to follow up with any action that may be needed to assure services are provided as outlined in the ISP	• Individual #36 – No Face-to-Face Therap ® Monthly Site Visit Forms found for February and March 2023. • Individual #38 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022 – March 2023. • Individual #41 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022 – March 2023. • Individual #42 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022, January – March 2023. • Individual #43 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022, January – March 2023. • Individual #45 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022, January – March 2023. • Individual #47 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022, January – March 2023. • Individual #48 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022 – March 2023. • Individual #51 – No Face-to-Face Therap ® Monthly Site Visit Forms found for January and February 2023 *(2 visits)*, March 2023 *(1 visit)*. • Individual #52 – No Face-to-Face Therap ® Monthly Site Visit Forms found for August 2022.		

with respect to: quantity, frequency and duration. Follow up action may include, but not be limited to: a. documenting extraordinary circumstances; b. convening the IDT to submit a revision to the ISP and budget as necessary; c. working with the provider to align service provision with ISP and using the RORA process if there is no resolution from the provider; and d. reviewing the SFOC process with the person and guardian, if applicable. 14. The CM will ensure Living Supports, CIHS, CCS, and CIE are delivered in accordance with CMS Setting Requirements described in Chapter 2.1 CMS Final rule…If additional support is needed, the CM notifies the DDSD Regional Office through the RORA process. 15. Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap by the last day of the month in which the visit was completed.	• Individual #53 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022, January – March 2023. • Individual #54 – No Face-to-Face Therap ® Monthly Site Visit Forms found for April – July 2022, September 2022 – March 2023. • Individual #56 – No Face-to-Face Therap ® Monthly Site Visit Forms found for January and February 2023 *(2 visits each month), and March 2023 (1 visit)*. • Individual #57 – No Face-to-Face Therap ® Monthly Site Visit Forms found for October 2022, January – March 2023. **Review of the Therap ® Monthly Site Visit Form revealed face-to-face visits were not being completed as required by standard (#2, #5 a, b, c) for the following individuals:** **Individual #1** (Former Jackson) Per standards JCMs require two face-to-face contacts per month to bill the monthly unit. No second visit was found for February 2023. **Individual #2** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 5/17/2022 – 10:30 AM – 11:00 AM. **Individual #3** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be		

	complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/14/2022 – 10:00 AM – 10:30 AM. • 5/31/2022 – 11:00 AM – 11:30 AM. • 6/27/2022 – 10:00 AM – 10:30 AM. • 7/7/2022 – 10:00 AM – 10:30 AM. • 8/24/2022 – 9:30 AM – 10:00 AM. • 9/9/2022 – 10:30 AM – 11:00 AM. **Individual #6** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 5/17/2022 – 1:00 PM – 1:30 PM. • 7/28/2022 – 11:00 AM – 11:30 AM. • 8/18/2022 – 10:30 AM – 11:00 AM. • 9/13/2022 – 11:00 AM – 11:30 AM. • 11/17/2022 – 11:00 AM 11:30 AM. **Individual #8** (Non-Jackson) No home visits were noted between August 2022 – February 2023. • 8/23/2022 – 11:00 AM – 11:30 AM – Site visit.		

	• 9/29/2022 – 10:15 AM – 10:45 AM – Site visit. • 10/20/2022 – 10:15 AM – 10:45 AM – Site visit. • 11/15/2022 – 10:30 AM – 11:00 AM – Site visit. • 12/1/2022 – 10:00 AM – 10:30 AM – Site visit. • 1/5/2023 – 12:00 PM - 1:00 PM – Site visit. • 2/23/2023 – 1:30 PM – 2:00 PM – Site visit. **Individual #12** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/27/2022 – 10:00 AM – 10:30 AM. • 5/26/2022 – 9:00 AM – 9:30 AM. • 6/8/2022 – 1:00 PM – 1:30 PM. • 7/13/2022 – 1:00 PM – 1:30 PM. • 8/17/2022 – 9:00 AM – 9:30 AM. • 9/14/2022 – 10:00 AM – 10:30 AM. **Individual #18** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of		

	document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/20/2022 – 11:00 AM – 11:30 AM. • 5/17/2022 – 10:00 AM – 10:30 AM. • 6/21/2022 – 11:00 AM – 12:00 PM. • 7/26/2022 – 12:00 PM – 12:30 PM. • 8/31/2022 – 3:00 PM – 3:30 PM. • 9/28/2022 – 11:00 AM – 11:30 AM. • 11/15/2022 – 11:00 AM – 11:30 AM. • 12/1/2022 – 12:00 PM – 12:30 PM. • 2/14/2023 – 12:30 PM – 1:45 PM. **Individual #19** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/12/2022 – 10:00 AM – 10:30 AM. • 5/5/2022 – 1:00 PM – 1:30 PM. • 6/23/2022 – 10:00 AM – 10:30 AM. • 7/28/2022 – 4:00 PM – 4:40 PM. • 8/18/2022 – 10:00 AM – 10:30 AM. • 9/16/2022 – 1:00 PM – 1:30 PM.		

	• 11/11/2022 – 3:00 PM – 4:00 PM. • 12/28/2022 – 1:00 PM – 1:30 PM. • 3/30/2023 – 12:45 PM – 1:15 PM. **Individual #20** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/27/2022 – 11:30 AM – 12:00 PM. • 5/26/2022 – 2:00 PM – 2:30 PM. • 6/30/2022 – 2:00 PM – 2:30 PM. • 7/27/2022 – 1:00 PM – 1:30 PM. • 8/17/2022 – 1:30 PM – 2:30 PM. • 9/14/2022 – 3:00 PM – 4:00 PM. **Individual #24** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/27/2022 – 11:00 AM – 11:30 AM. • 5/26/2022 – 2:00 PM – 2:30 PM. • 6/30/2022 – 2:00 PM – 2:30 PM.		

	• 7/27/2022 – 1:00 PM – 1:30 PM. • 8/17/2022 – 10:30 AM – 11:00 AM. • 9/14/2022 – 1:00 PM – 1:30 PM. **Individual #27** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/14/2022 – 10:30 AM – 11:00 AM. • 5/11/2022 – 9:00 AM – 10:00 AM. • 6/26/2022 – 10:00 AM – 10:30 AM. • 7/8/2022 – 12:30 PM – 1:00 PM. • 8/24/2022 – 11:30 AM – 12:00 PM. • 9/10/2022 – 9:00 AM – 9:30 AM. • 11/3/2022 – 4:00 PM – 4:30 PM. • 12/2/2022 – 1:00 PM – 1:30 PM. **Individual #30** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/27/2022 – 11:30 AM – 12:00 PM.		

	• 5/26/2022 – 11:30 AM – 12:00 PM. • 6/8/2022 – 1:30 PM – 2:00 PM. • 7/13/2022 – 12:30 PM – 1:00 PM. • 8/17/2022 – 10:00 AM – 10:30 AM. • 9/14/2022 – 1:30 PM – 2:00 PM. **Individual #31** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 5/17/2022 – 3:30 PM – 4:00 PM. **Individual #32** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 5/24/2022 – 2:00 PM – 2:30 PM. • 6/2/2022 – 2:00 PM – 2:30 PM. • 7/12/2022 – 2:00 PM – 2:30 PM. • 8/16/2022 – 1:00 PM – 2 PM. • 9/30/2022 – 2:00 PM – 2:30 PM. • 11/17/2022 – 2:00 PM – 2:30 PM.		

	• 12/29/2022 – 2:00 PM – 2:30 PM. **Individual #35** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/14/2022 – 8:30 AM – 9:00 AM. • 5/31/2022 – 9:30 AM – 10:00 AM. • 6/25/2022 – 1:00 PM – 1:30 PM. **Individual #36** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/27/2022 – 11:00 AM – 11:30 AM. **Individual #38** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/27/2022 – 11:00 AM – 11:30 AM. • 5/26/2022 – 2:00 PM – 2:30 PM..		

	• 6/30/2022 – 2:00 PM – 2:30 PM. • 7/27/2022 – 1:00 PM – 1:30 PM. • 8/17/2022 – 11:00 AM – 11:30 AM. • 9/14/2022 – 1:00 PM – 1:30 PM. **Individual #41** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/27/2022 – 11:00 AM – 11:30 AM. • 5/26/2022 – 2:00 PM – 2:30 PM. • 6/30/2022 – 2:00 PM – 2:30 PM. • 7/27/2022 – 2:00 PM – 3:00 PM. • 8/17/2022 – 10:30 AM – 11:00 AM. • 9/14/2022 – 1:00 PM – 1:30 PM. **Individual #42** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/28/2022 – 10:00 AM – 10:30 AM. • 5/31/2022 – 10:00 AM – 10:30 AM.		

	• 6/27/2022 – 10:30 AM- 11:00 AM. • 7/8/2022 – 10:30 AM- 11:00 AM. • 8/24/2022 – 10:30 AM- 11:00 AM. • 9/9/2022 – 10:00 AM – 10:30 AM. • 11/29/2022 – 10:00 AM – 11:00 AM. • 12/2/2022 – 10:00 AM – 10:30 AM. **Individual #43** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/28/2022 – 9:00 AM – 10:00 AM. • 5/31/2022 – 10:30 AM- 11:00 AM. • 6/27/2022 – 10:30 AM- 11:00 AM. • 7/8/2022 – 10:00 AM – 10:30 AM. • 8/24/2022 – 11:00 AM – 11:30 AM. • 9/9/2022 – 10:00 AM – 10:30 AM. • 11/29/2022 – 11:00 AM – 11:30 AM. • 12/2/2022 – 10:30 AM- 11:00 AM. **Individual #45** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of		

	document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/12/2022 – 4:00 PM – 4:30 PM. • 5/31/2022 – 10:00 AM – 10:30 AM. • 6/25/2022 – 1:30 PM – 2:00 PM. • 7/9/2022 – 10:00 AM – 10:30 AM. • 8/24/2022 – 2:00 PM – 2:30 PM. • 11/4/2022 – 11:30 AM – 12:00 PM. • 12/3/2022 – 6:00 PM – 6:30 PM. **Individual #47** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/29/2022 – 11:00 AM – 11:30 AM. • 5/30/2022 – 10:00 AM – 10:30 AM. • 6/25/2022 – 12:30 PM – 1:00 PM. • 7/9/2022 – 12:00 PM – 1:00 PM. • 8/23/2022 – 11:30 AM – 12:00 PM. • 11/4/2022 – 11:00 AM – 11:30 AM. • 12/3/2022 – 12:00 PM – 12:30 PM. **Individual #48** (Non-Jackson)		

	Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/27/2022 – 10:00 AM – 10:30 AM. • 5/26/2022 – 9:30 AM – 10:00 AM. • 6/8/2022 – 1:00 PM – 1:30 PM. • 7/13/2022 – 1:00 PM – 1:30 PM. • 8/17/2022 – 9:30 AM – 10:00 AM. • 9/14/2022 – 10:00 AM – 10:30 AM. **Individual #50** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 6/30/2022 – 9:30 AM – 10:00 AM. **Individual #51** (Former Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 9/1/2022 – 2:00 PM – 2:30 PM.		

	• 9/19/2022 – 9:00 AM – 9:30 AM. • 10/11/2022 – 10:30 AM – 11:00 AM. • 10/31/2022 – 1:00 PM – 1:30 PM. • 11/15/2022 – 9:00 AM – 9:30 AM. • 11/28/2022 – 10:00 AM – 10:30 AM. • 12/1/2022 – 11:30 AM – 12:00 PM. • 12/21/2022 – 10:30 AM – 11:00 AM. **Individual #53** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/14/2022 – 8:30 AM – 9:00 AM. • 5/31/2022 – 11:30 AM – 12:00 PM. • 6/26/2022 – 10:00 AM – 10:30 AM. • 7/7/2022 – 11:00 AM – 11:30 AM. • 8/23/2022 – 1:00 PM – 1:30 PM. • 9/9/2022 – 11:00 AM – 11:30 AM. • 11/3/2022 – 11:00 AM – 11:30 AM. • 12/3/2022 – 6:00 PM – 6:30 PM. **Individual #56** *(Former Jackson)*		

	Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 12/1/2022 – 11:00 AM – 11:30 AM. • 12/14/2022 – 11:00 AM – 11:30 AM. **Individual #57** (Non-Jackson) Per standards Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank for: • 4/29/2022 – 10:30 AM – 11:00 AM. • 5/31/2022 – 1:00 PM – 1:30 PM. • 6/25/2022 – 11:00 AM – 11:30 AM. • 7/8/2022 – 11:00 AM – 11:30 AM. • 8/24/2022 – 1:00 PM – 1:30 PM. • 9/10/2022 – 10:00 AM – 10:30 AM. • 11/3/2022 – 1:00 PM – 1:30 PM. • 12/2/2022 – 1:00 PM – 1:30 PM. **Review of the Agency individual case files revealed no evidence of Case Manager Monthly Contact Case Notes for the following:**		

	• Individual #1 - None found for 6/2022, 9/2022, 11/2022, and 12/2022. • Individual #3 – None found for 4/2022 – 3/2023. • Individual #4 – None found for 5/2022 6/2022, 8/2022, 10/2022 – 1/2023, and 3/2023. • Individual #5 – None found for 4/2022 – 7/2022 and 9/2022 – 12/2022. • Individual #6 – None found for 4/2022 – 3/2023. • Individual #9 – None found for 2/2023 and 3/2023. • Individual #12 – None found for 4/2022 – 3/2023. • Individual #15 – None found for 5/2022, 6/2022, 8/2022, 9/2022, and 11/2022. • Individual #16 – None found for 4/2022. • Individual #18 – None found for 4/2022 – 12/2022, and 3/2023. • Individual #19 – None found for 4/2022 – 3/2023. • Individual #20 – None found for 4/2022 – 3/2023. • Individual #21 – None found for 8/2022, 10/2022, 11/2022, and 1/2023. • Individual #24 – None found for 4/2022 – 3/2023.		

	• Individual #25 – None found for 12/2022. • Individual #27 – None found for 4/2022 – 3/2023. • Individual #30 – None found for 4/2022 – 3/2023. • Individual #32 – None found for 4/2022 – 3/2023. • Individual #33 – None found for 4/2022 – 3/2023. • Individual #34 – None found for 5/2022. • Individual #35 – None found for 4/2022 – 3/2023. • Individual #36 – None found for 4/2022 – 3/2023. • Individual #38 – None found for 4/2022 – 3/2023. • Individual #41 – None found for 4/2022 – 3/2023. • Individual #42 – None found for 4/2022 – 3/2023. • Individual #43 – None found for 4/2022 – 3/2023. • Individual #45 – None found for 4/2022 – 3/2023. • Individual #47 – None found for 4/2022 – 3/2023. • Individual #48 – None found for 4/2022 – 3/2023.		

	• Individual #50 – None found for 4/2022 – 3/2023. • Individual #51 – None found for 4/2022 – 3/2023. • Individual #52 – None found for 4/2022, 9/2022 – 12/2022. • Individual #53 – None found for 4/2022 – 3/2023. • Individual #54 – None found for 4/2022 – 3/2023. • Individual #56 – None found for 9/2022 – 3/2023. • Individual #57 – None found for 4/2022 – 3/2023		

Tag # 4C12.1 Monitoring & Evaluation of Services (IDT Meetings for Significant Life Events)	Standard Level Deficiency		
NMAC 7.26.5.12 DEVELOPMENT OF THE INDIVIDUAL SERVICE PLAN (ISP) - PARTICIPATION IN AND SCHEDULING OF INTERDISCIPLINARY TEAM MEETINGS: H. The IDT shall be convened to discuss and modify the ISP, as needed, to address: (1) a significant life change, including a change in medical condition or medication that affects the individual's behavior or emotional state; (2) situations where an individual is at risk of significant harm. In this case the team shall convene within one working day, in person or by teleconference; if necessary, the ISP shall be modified accordingly within seventy-two (72) hours; (3) changes in any desired outcomes, (e.g., desired outcome is not met, a change in vocational goals or the loss of a job); (4) the loss or death of a significant person to the individual; (5) a serious accident, illness, injury, or hospitalization that disrupts implementation of the ISP; (6) individual, guardian or provider requests for a program change or relocation, or when a termination of a service is proposed; the DDSD's policy no. 150 requires the IDT to meet and develop a transition plan whenever an individual is at risk of discharge by the provider agency or anticipates a change of provider agency to identify strategies and resources needed; if the individual or guardian is requesting a discharge or a change of provider agency, or there is an impending change in housemates the team must meet to develop a transition plan; (7) situations where it has been determined the individual is a victim of abuse, neglect, or exploitation;	Based on record review, the Agency did not convene the IDT to discuss and/or modify the ISP and/or address significant changes as required by regulation 5 of 57 individuals. Review of documentation found the following IDT Meeting did not convene as required: **Individual #1** • As indicated by the documentation reviewed, the individual's Living Care Agency requested an IDT on 2/23/2023. No documented evidence of IDT meeting's occurring as required by standards. **Individual #12** • As indicated by the documentation reviewed, the individual had a change of guardian from the 2022 – 2023 ISP Term to the 2023 – 2024 ISP Term. No documented evidence of an IDT meeting occurring as required by standards. **Individual #40** • As indicated by the documentation reviewed, the individual's home had environmental hazards noted on 11/16/2022. No documented evidence of IDT meeting's occurring as required by standards. **Individual #47** • As indicated by the documentation reviewed, the individual was arrested for DUI and spent 3 days in jail on 6/2022. No documented evidence of IDT meeting's occurring as required by standards. **Individual #56**	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

(8) criminal justice involvement on the part of the individual (e.g., arrest, incarceration, release, probation, parole); (9) any member of the IDT may also request that the team be convened by contacting the case manager; the case manager shall convene the team within ten (10) days of receipt of any reasonable request to convene the team, either in person or through teleconference; (10) for any other reason that is in the best interest of the individual, or any other reason deemed appropriate, including development, integration or provision of services that are inconsistent or in conflict with the desired outcomes of the ISP and the long-term vision of the individual; (11) whenever the DDSD decides not to approve implementation of an ISP because of cost or because the DDSD believes the ISP fails to satisfy constitutional, regulatory, or statutory requirements. Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 6 Individual Service Plan (ISP):** **6.5.2 ISP Revisions:** The ISP is a dynamic document that changes with the person's desires, circumstances, and need. IDT members must collaborate and request an IDT meeting from the CM when a need to modify the ISP arises. The CM convenes the IDT within ten business days of receipt of any reasonable request to convene the team, either in person or through remote teleconference/video. IDT meetings to review and/or modify the ISP must have meeting minutes or a summary documented in the CM record and are required in the following circumstances: 1. When the person or any member of the IDT requests that the team be convened.	• As indicated by the documentation reviewed, the individual was discharged from the hospital on 6/23/2022. No documented evidence of IDT meeting's occurring as required by standards.		

2. Within ten days of a person's life change to take appropriate actions to minimize a disruption in the person's life. 3. When immediate action is needed after a report of ANE is made or if ANE is substantiated. 4. Within ten business days of an ANE Closure letter if issues still need to be addressed. 5. Transition to new provider, program or location is requested. 6. Changes in Desired Outcomes. 7. Loss or death of a significant person. 8. Within one business day after any identified risk of significant harm, including aspiration risk screened as moderate or high according to the following: a. The meeting may include a teleconference. b. Modifications to the ISP are made within **72 business hours** and must be distributed to IDT team members and the DDSD Regional Office. 9. When a person experiences a change in condition including a change in medical condition or medication that affects the person's behavior or emotional state. This includes initiation of Palliative Care or Hospice Servcies. 10. When a termination of a service is proposed. 11. When there is an impending change in housemates the team must meet to develop a transition plan. 12. When there is criminal justice involvement (e.g., arrest, incarceration, release, probation, parole). 13. Upon notice of an OOHP and need to report and plan for a safe discharge as described Chapter 19.2.1… and Chapter 9.3… 14. Whenever DDSD and/or TPA decides not to approve the implementation of an ISP			

due to the cost or because DDSD and/or the TPA believes the ISP fails to satisfy constitutional, regulatory or statutory requirements. 15. For any other reason that is in the best interest of the person, or deemed appropriate, including development, integration or provision of services that are inconsistent or in conflict with the person's Desired Outcomes of the ISP and the long-term vision. 16. Loss of job or change in employment status.			

Tag # 4C15.1 Service Monitoring: Annual / Semi-Annual Reports & Provider Semi – Annual / Quarterly Report	Standard Level Deficiency		
NMAC 7.26.5.17 DEVELOPMENT OF THE INDIVIDUAL SERVICE PLAN (ISP) - DISSEMINATION OF THE ISP, DOCUMENTATION AND COMPLIANCE: C. Objective quantifiable data reporting progress or lack of progress towards stated outcomes, and action plans shall be maintained in the individual's records at each provider agency implementing the ISP. Provider agencies shall use this data to evaluate the effectiveness of services provided. Provider agencies shall submit to the case manager data reports and individual progress summaries quarterly, or more frequently, as decided by the IDT. These reports shall be included in the individual's case management record and used by the team to determine the ongoing effectiveness of the supports and services being provided. Determination of effectiveness shall result in timely modification of supports and services as needed. Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 8: Case Management: 8.2.8 Maintaining a Complete Client Record:** The CM is required to maintain documentation for each person supported according to the following requirement: 3. The case file must contain the documents identified in Appendix A: Client File Matrix. **8.2.7 Monitoring and Evaluating Service Delivery:** The CM is required to complete a formal, ongoing monitoring process to evaluate the quality, effectiveness, and appropriateness of services and supports provided to the person as specified in the ISP. The CM is also responsible for monitoring the	Based on record review, the Agency did not ensure that reports and the ISP met required timelines and included the required contents for 39 of 57 individuals. Review of the Agency individual case files revealed no evidence of semi-annual reports for the following: **Supported Living Semi-Annual Reports:** • Individual #1 – None found for 3/2022 – 9/2022 *and* 9/2022 – 12/2022. *(Term of ISP 3/2022 – 2/2023. ISP meeting held 1/9/2023).* • Individual #4 – None found for 6/2022 – 12/2022. *(Term of ISP 6/2022 – 6/2023).* • Individual #6 – None found for 2/2022 – 8/2022 and 8/2022 – 11/2022. *(Term of ISP 2/2022 – 2/2023. ISP meeting held 12/1/2022).* • Individual #12 – None found for 4/2022 – 10/2022 and 10/2022 – 1/2023. *(Term of ISP 4/2022 – 4/2023. ISP meeting held 2/2023).* • Individual #14 – None found for 5/2022 – 8/2022. *(Term of ISP 11/2021 – 11/2022. ISP meeting held 8/22/3022).* • Individual #35 – None found for 6/2022 – 11/2022. *(Term of ISP 6/2022 – 5/2023).* • Individual #48 – None found for 1/2022 – 7/2022 and 7/2022 – 11/2022. *(Term of ISP 1/2022 – 1/2023. ISP meeting held 12/14/2022).*	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

health and safety of the person. Monitoring and evaluation activities include the following requirements: 6. The CM must monitor at least quarterly: a. that all applicable current HCPs (including applicable CARMP), MERPs, Health Passport, PBSP or other applicable behavioral plans (such as PPMP or RMP), and WDSIs are in place in the applicable service sites. b. The content of each plan is to be reviewed for accuracy and discrepancies. c. that applicable MERPs and/or BCIPs are in place in the residence and at the day services location(s) for those who have chronic medical condition(s) with potential for life threatening complications, or for individuals with behavioral challenge(s) that pose a potential for harm to themselves or others. MERP's are determined by the e-chat and the BCIPs are determined by the critical behavioral needs as assessed by the BSC in collaboration with the IDT. d. a printed copy of Current Health Passport is required to be at all service delivery sites. 7. When risk of significant harm is identified, the CM follows. the standards outlined in Section II Chapter 18: Incident Management System. 8. The CM must report all suspected ANE as required by New Mexico Statutes and complete all follow up activities as detailed in Section II Chapter 18: Incident Management System. 9. If there are concerns regarding the health or safety of the person during monitoring or assessment activities, the CM immediately notifies appropriate supervisory personnel within the DD Waiver Provider Agency and documents the concern. In situations	• Individual #56 – None found for 1/2022 – 4/2022. *(Term of ISP 7/2021 – 6/2022. ISP meeting held 4/19/2022).* **Family Living Semi-Annual Reports:** • Individual #2 – None found for 7/2022 – 12/2023. *(Term of ISP 7/2022 – 7/2023).* • Individual #19 – None found for 2/2022 – 7/2022 and 8/2022 – 10/2022. *(Term of ISP 2/2022 – 1/2023. ISP meeting held 11/11/2022).* • Individual #20 – None found for 5/2022 – 8/2022. *(Term of ISP 11/2021 – 10/2022. ISP meeting held 9/13/2022).* • Individual #24 – None found for 3/2022 – 98/2022 and 9/2022 – 1/2023. *(Term of ISP 3/2022 – 3/2023. ISP meeting held 1/18/2023).* • Individual #27 – None found for 12/2021 – 4/2022. *(Term of ISP 7/2021 – 6/2022. ISP meeting held 5/10/2021) and* 7/2022 – 12/2022. *(Term of ISP 7/2022 – 6/2023).* • Individual #28 – None found for 7/2022 – 12/2022. *(Term of ISP 7/2022 – 7/2023).* • Individual #30 – None found for 9/2022 – 11/2022. *(Term of ISP 3/2022 – 2/2023. ISP meeting held 11/17/2022).* • Individual #38 – None found for 11/2021 – 4/2022 and 4/2022 – 8/2022. *(Term of ISP 11/2021 – 10/2022. ISP meeting held 8/17/2022).*		

where the concern is not urgent, the DD Waiver Provider Agency is allowed up to 15 business days to remediate or develop an acceptable plan of remediation. 10. If the CMs reported concerns are not remedied by the Provider Agency within a reasonable, mutually agreed upon period of time, the CM shall use the RORA process detailed in Section II Chapter 19: Provider Reporting Requirements. 11. The CM conducts an online review in the Therap system to ensure that the e-CHAT and *Health Passport* are current: quarterly and after each hospitalization or major health event. 14. The CM will ensure Living Supports, CIHS, CCS, and CIE are delivered in accordance with CMS Setting Requirements described in Chapter 2.1 CMS Final rule…If additional support is needed, the CM notifies the DDSD Regional Office through the RORA process. 15. Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap by the last day of the month in which the visit was completed.	• Individual #41 – None found for 4/2022 – 7/2022. *(Term of ISP 10/2021 – 9/2022. ISP meeting held 7/27/2022)* and 10/2022 – 3/2023. *(Term of ISP 10/2022 – 9/2023).* • Individual #42 – None found for 2/2022 – 7/2022 and 7/2022 – 10/2022. *(Term of ISP 2/2022 – 1/2023. ISP meeting held 10/28/2022)* • Individual #43 – None found for 12/2021 – 4/2022. *(Term of ISP 6/2021 – 6/2022. ISP meeting held 4/28/2022)* and 6/2022 – 11/2022. *(Term of ISP 6/2022 – 6/2023).* • Individual #44 – None found for 1/2022 – 3/2022. *(Term of ISP 7/2021 – 7/2022. ISP meeting held 4/2/2022)* and 7/2022 – 12/2023. *(Term of ISP 7/2022 – 7/2023).* • Individual #53 – None found for 12/2021 – 3/2022. *(Term of ISP 6/2021 – 6/2022. ISP meeting held 3/18/2022)* and *6/2022 – 11/2022. (Term of ISP 6/2022 – 6/2023.).* • Individual #54 – None found for 6/2022 – 11/2022. *(Term of ISP 6/2022 – 5/2023).* • Individual #55 – None found for 12/2021 – 3/2022. *(Term of ISP 6/2021 – 6/2022. ISP meeting held 4/7/2022)* and *6/2022 – 11/2022. (Term of ISP 6/2022 – 6/2023).* • Individual #57 – None found for 3/2022 – 6/2022. *(Term of ISP 9/2021 – 9/2022. ISP meeting held 6/25/2021) and* 9/2022 – 2/2023. *(Term of ISP 9/2022 – 9/2023).* **Intensive Medical Living Services Semi-Annual Reports:** • Individual #9 – None found for 10/2021 – 3/2022 and 3/2022 – 6/2022. *(Term of ISP*		

	10/2021 – 9/2022. ISP meeting held 7/13/2022.) • Individual #34 – None found for 6/2022 – 12/2022 and 12/2022 – 3/2023. *(Term of ISP 6/2022 – 6/2023. ISP meeting held 3/28/2023).* • Individual #46 – None found for 11/2022 – 2/2023. *(Term of ISP 5/2022 – 4/2023. ISP meeting held 3/1/2023).* • Individual #52 – None found for 10/2021 – 4/2022 *and* 4/2022 – 8/2022. *(Term of ISP 10/2021 – 10/2022. ISP meeting held 9/8/2022).* **Customized In – Home Supports:** • Individual #3 – None found for 4/2022 – 9/2022 *and* 9/2022 – 1/2023. *(Term of ISP 4/2022 – 3/2023. ISP meeting held 2/2023).* • Individual #18 – None found for 2/2022 – 6/2022. *(Term of ISP 8/2021 – 8/2022. ISP meeting held 6/21/2022) and* 8/2022 – 2/2023. *(Term of ISP 8/2022 – 8/2023).* • Individual #25 – None found for 1/2022 – 6/2022 *and* 7/2022 – 10/2022. *(Term of ISP 1/2022 – 12/2022. ISP meeting held 10/27/2022).* • Individual #36 – None found for 11/2021 – 5/2022 *and* 5/2022 – 8/2022. *(Term of ISP 11/2021 – 11/2022. ISP meeting held 8/17/2022).* • Individual #47 – None found for 11/2021 – 5/2022. *(Term of ISP 11/2021 – 11/2022).* **Customized Community Supports Semi-Annual Reports:**		

	• Individual #1 – None found for Customized Community Supports Group, for 3/2022 – 9/2022 *and* 9/2022 – 12/2022. *(Term of ISP 3/2022 – 2/2023. ISP meeting held 1/9/2023).* • Individual #2 – None found for 1/2022 – 4/2022. *(Term of ISP 7/2021 – 7/2022. ISP meeting held 4/20/2022) and* 7/2022 – 1/2023. *(Term of ISP 7/2022 – 7/2023).* • Individual #4 – None found for 6/2022 – 12/2022. *(Term of ISP 6/2022 – 6/2023).* • Individual #6 – None found for 2/2022 – 8/2022 *and* 8/2022 – 11/2022. *(Term of ISP 2/2022 – 2/2023. ISP meeting held 12/1/2022)* • Individual #12 – None found for 4/2022 – 10/2022 *and* 10/2022 – 1/2023. *(Term of ISP 4/2022 – 4/2023. ISP meeting held 2/2023).* • Individual #14 – None found for 5/2022 – 8/2022. *(Term of ISP 11/2021 – 11/2022. ISP meeting held 8/22/2022).* • Individual #19 – None found for 2/2022 – 8/2022. *(Term of ISP 2/2022 – 1/2023).* • Individual #20 – None found for 5/2022 – 8/2022. *(Term of ISP 11/2021 – 10/2022. ISP meeting held 9/13/2022).* • Individual #24 – None found for 3/2022 – 9/2022 *and* 9/2022 – 11/2022. *(Term of ISP 3/2022 – 3/2023. ISP meeting held 11/17/2021).* • Individual #25 – None found for 1/2022 – 6/2022. *(Term of ISP 1/2022 – 12/2022).*		

	• Individual #28 – None found for 7/2022 – 1/2023. *(Term of ISP 7/2022 – 7/2023).* • Individual #30 – None found for 3/2022 – 8/2022 *and* 9/2022 – 10/2022. *(Term of ISP 3/2022 – 2/2023. ISP meeting held 11/2022).* • Individual #34 – None found for 6/2022 – 12/2022. *(Term of ISP 6/2022 – 6/2023).* • Individual #35 – None found for 12/2021 – 3/2022. *(Term of ISP 6/2021 – 5/2022. ISP meeting held 3/2022) and* 6/2022 – 11/2022. *(Term of ISP 6/2022 – 5/2023).* • Individual #38 – None found for 11/2021 – 4/2022 *and* 4/2022 – 8/2022. *(Term of ISP 11/2021 – 10/2022. ISP meeting held 8/17/2022).* • Individual #40 – None found for 11/2021 – 12/2022. *(Term of ISP 5/2021 – 5/2022. ISP meeting held 1/5/2021).* • Individual #41 – None found for 4/2022 – 7/2022 *(Term of ISP 10/2021 – 9/2022. ISP meeting held 7/27/2022) and* 10/2022 – 3/2023. *(Term of ISP 10/2022 – 9/2023).* • Individual #42 – None found for 2/2022 – 7/2022 *and* 7/2022 – 10/2022. *(Term of ISP 2/2022 – 1/2023. ISP meeting held 10/28/2022).* • Individual #43 – None found for 12/2021 – 3/2022. *(Term of ISP 6/2021 – 6/2022. ISP meeting held 4/8/2021) and* 6/2022 – 12/2022. *(Term of ISP 6/2022 – 6/2023).* • Individual #53 – None found for 6/2022 – 12/2022. *(Term of ISP 6/2022 – 6/2023).*		

	• Individual #56 – None found for 1/2022 – 4/2022. *(Term of ISP 7/2021 – 6/2022. ISP meeting held 4/19/2022).* • Individual #57 – None found for 3/2021 – 6/2022. *(Term of ISP 9/2021 – 9/2022. ISP meeting held 6/25/2021) and* 9/2022 – 3/2023. *(Term of ISP 9/2022 – 9/2023).* **Community Integrated Employment Semi-Annual Reports:** • Individual #12 – None found for 4/2022 – 10/2022 and 10/2022 – 1/2023. *(Term of ISP 4/2022 – 4/2023. ISP meeting held 2/2023).* • Individual #18 – None found for 2/2022 – 6/2022. *(Term of ISP 8/2021 – 8/2022. ISP meeting held 6/21/2022)* and 8/2022 – 2/2023. *(Term of ISP 8/2022 – 8/2023).* • Individual #36 – None found for11/2021 – 5/2022 and 5/2022 – 8/2022. *(Term of ISP 11/2021 – 11/2022. ISP meeting held 8/2022).* **Nursing Semi - Annual Reports:** • Individual #1 – None found for 3/2022 – 9/2022 and 9/2022 – 12/2022. *(Term of ISP 3/2022 – 2/2023. ISP meeting held 1/9/2023).* • Individual #2 – None found for 1/2022 – 4/2022. *(Term of ISP 7/2021 – 7/2022. ISP meeting held 4/20/2022).* • Individual #4 – None found for 12/2021 – 2/2022. *(Term of ISP 6/2021 – 6/2022. ISP meeting held 2/23/2021)* and 6/2022 – 12/2022. *(Term of ISP 6/2022 – 6/2023).*		

	• Individual #7 – None found for 8/2022 – 1/2023. *(Term of ISP 2/2022 – 1/2023. ISP meeting held 1/31/2023).* • Individual #9 – None found for 10/2021 – 3/2022 and 3/2022 – 6/2022. *(Term of ISP 10/2021 – 9/2022. ISP meeting held 7/13/2022).* • Individual #12 – None found for 4/2022 – 10/2022 and 10/2022 – 1/2023. *(Term of ISP 4/2022 – 4/2023. ISP meeting held 2/2023).* • Individual #13 – None found for 3/2022 – 9/2022 and 9/2022 – 12/2022. *(Term of ISP 3/2022 – 3/2023. ISP meeting held 12/20/2022).* • Individual #14 – None found for 5/2022 – 8/2022. *(Term of ISP 11/2021 – 11/2022. ISP meeting held 8/22/2022).* • Individual #16 – None found for 3/2022 – 7/2022. *(Term of ISP 10/2021 – 9/2022. ISP meeting held 7/18/2022) and* 10/2022 – 3/2023. *(Term of ISP 10/2022 – 9/2023).* • Individual #23 – None found for 10/2021 – 5/2022 and 5/2022 – 8/2022. *(Term of ISP 10/2021 – 11/2022. ISP meeting held 8/22/2022).* • Individual #24 – None found for 3/2022 – 9/2022 and 9/2022 – 1/2023. *(Term of ISP 3/2022 – 3/2023. ISP meeting held 1/18/2023).* • Individual #25 – None found for 1/2022 – 6/2022 and for 7/2022 – 10/2022. *(Term of ISP 1/2022 – 12/2022. ISP meeting held 10/27/2022).*		

	• Individual #33 – None found for 10/2021 – 4/2022. *(Term of ISP 10/2021 – 10/2022).* • Individual #35 – None found for 12/2021 – 3/2022. *(Term of ISP 6/2021 – 5/2022. ISP meeting held 3/2022)* and 6/2022 – 11/2022. *(Term of ISP 6/2022 – 5/2023).* • Individual #46 – None found for 11/2022 – 2/2023. *(Term of ISP 5/2022 – 4/2023. ISP meeting held 3/1/2022).* • Individual #52 – None found for 10/2021 – 4/2022. *(Term of ISP 10/2021 – 10/2022).* • Individual #53 – None found for 12/2021 – 3/2022. *(Term of ISP 6/2021 – 6/2022. ISP meeting held 3/18/2022)* and 6/2022 – 12/2022. *(Term of ISP 6/2022 – 6/2023).* • Individual #55 – None found for 12/2021 – 3/2022. *(Term of ISP 6/2021 – 6/2022. ISP meeting held 4/7/2022).* • Individual #56 – None found for 1/2022 – 4/2022. *(Term of ISP 7/2021 – 6/2022. ISP meeting held 4/19/2022).*		

Tag # 4C16 Req. for Reports & Distribution of ISP (Provider Agencies, Individual and / or Guardian)	*Condition of Participation Level Deficiency*		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 6: Individual Service Plan (ISP):** **6.8 Completion and Distribution of the ISP:** The CM is required to assure all elements of the ISP, including signature page, and companion documents are completed and distributed to the IDT prior to the expiration of the ISP. DD Waiver Provider Agencies share responsibility to contribute to the completion of the ISP. ISP must be provided at least 14 calendar days prior to the effective day unless there is an issue with approval. The CM distributes the ISP including the TSS, to the DD Waiver Provider Agencies with a SFOC, as well as to all IDT members requested by the person. The CM distributes the ISP to the Regional Office. When TSS are not completed upon approval of the ISP, they must be distributed when available, no later than 14 calendar days prior to the beginning of the ISP term or the revision start date. **NMAC 7.26.5.17 DEVELOPMENT OF THE INDIVIDUAL SERVICE PLAN (ISP) - DISSEMINATION OF THE ISP, DOCUMENTATION AND COMPLIANCE:** A. The case manager shall provide copies of the completed ISP, with all relevant service provider strategies attached, within fourteen (14) days of ISP approval to: (1) the individual; (2) the guardian (if applicable); (3) all relevant staff of the service provider agencies in which the ISP will be implemented, as well as other key support persons; (4) all other IDT members in attendance at the meeting to develop the ISP; (5) the individual's attorney, if applicable;	After an analysis of the evidence, it has been determined there is a significant potential for a negative outcome to occur. Based on record review the Agency did not follow and implement the Case Manager Requirement for Reports and Distribution of Documents as follows for 39 of 57 Individual: The following was found indicating the agency failed to provide a copy of the ISP to the Provider Agencies, Individual and / or Guardian at least 14 calendar days prior to the ISP effective date: **No Evidence found indicating ISP was distributed:** • Individual #1: ISP was not provided to Guardian / Individual. • Individual #3: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #4: ISP was not provided to Guardian / Individual. • Individual #5: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #6: ISP was not provided to Guardian / Individual. • Individual #12: ISP was not provided to Guardian / Individual, and LCA / CI Provider.	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

(6) others the IDT identifies, if they are entitled to the information, or those the individual or guardian identifies; (7) for all developmental disabilities Medicaid waiver recipients, including *Jackson* class members, a copy of the completed ISP containing all the information specified in 7.26.5.14 NMAC, including strategies, shall be submitted to the local regional office of the DDSD; (8) for *Jackson* class members only, a copy of the completed ISP, with all relevant service provider strategies attached, shall be sent to the *Jackson* lawsuit office of the DDSD. B. Current copies of the ISP shall be available at all times in the individual's records located at the case management agency. The case manager shall ensure that all revisions or amendments to the ISP are distributed to all IDT members, not only those affected by the revisions.	• Individual #13: ISP was not provided to Guardian / Individual. • Individual #16: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #18: ISP was not provided to Individual. • Individual #19: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #20: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #22: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #23: ISP was not provided to Guardian / Individual. • Individual #24: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #27: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #29: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #30: ISP was not provided to Guardian / Individual, and LCA / CI Provider.		

	• Individual #31: ISP was not provided to Guardian / Individual. • Individual #32: ISP was not provided to Individual and CI Provider. • Individual #33: ISP was not provided to Guardian / Individual. • Individual #34: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #35: ISP was not provided to Guardian / Individual. • Individual #36: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #37: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #38: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #39: ISP was not provided to Guardian / Individual. • Individual #41: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #42: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #43: ISP was not provided to Guardian / Individual, and LCA / CI Provider.		

	• Individual #44: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #45: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #46: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #47: ISP was not provided to Guardian / Individual. • Individual #48: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #49: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #50: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #51: ISP was not provided to Guardian / Individual. • Individual #52: ISP was not provided to Guardian / Individual, and LCA / CI Provider. • Individual #53: ISP was not provided to Guardian / Individual. • Individual #54: ISP was not provided to Guardian / Individual, and LCA / CI Provider.		

	• Individual #55: ISP was not provided to Guardian / Individual. • Individual #56: ISP was not provided to Guardian / Individual. • Individual #57: ISP was not provided to Guardian / Individual, and LCA / CI Provider.		

Tag # 4C16.1 Req. for Reports & Distribution of ISP (Regional DDSD Office)	Standard Level Deficiency		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 6: Individual Service Plan (ISP):** **6.8 Completion and Distribution of the ISP:** The CM is required to assure all elements of the ISP, including signature page, and companion documents are completed and distributed to the IDT prior to the expiration of the ISP. DD Waiver Provider Agencies share responsibility to contribute to the completion of the ISP. ISP must be provided at least 14 calendar days prior to the effective day unless there is an issue with approval. The CM distributes the ISP including the TSS, to the DD Waiver Provider Agencies with a SFOC, as well as to all IDT members requested by the person. The CM distributes the ISP to the Regional Office. When TSS are not completed upon approval of the ISP, they must be distributed when available, no later than 14 calendar days prior to the beginning of the ISP term or the revision start date. **NMAC 7.26.5.17 DEVELOPMENT OF THE INDIVIDUAL SERVICE PLAN (ISP) - DISSEMINATION OF THE ISP, DOCUMENTATION AND COMPLIANCE:** A. The case manager shall provide copies of the completed ISP, with all relevant service provider strategies attached, within fourteen (14) days of ISP approval to: (1) the individual; (2) the guardian (if applicable); (3) all relevant staff of the service provider agencies in which the ISP will be implemented, as well as other key support persons; (4) all other IDT members in attendance at the meeting to develop the ISP; (5) the individual's attorney, if applicable;	Based on record review the Agency did not follow and implement the Case Manager Requirement for Reports and Distribution of Documents as follows for 42 of 57 Individual: The following was found indicating the agency failed to provide a copy of the ISP to the respective DDSD Regional Office at least 14 calendar days prior to the ISP effective date: **No Evidence found indicating ISP was distributed to the regional office:** • Individual #3 • Individual #4 • Individual #5 • Individual #6 • Individual #9 • Individual #11 • Individual #12 • Individual #13 • Individual #15 • Individual #16 • Individual #18 • Individual #19 • Individual #20 • Individual #22	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

(6) others the IDT identifies, if they are entitled to the information, or those the individual or guardian identifies; (7) for all developmental disabilities Medicaid waiver recipients, including *Jackson* class members, a copy of the completed ISP containing all the information specified in 7.26.5.14 NMAC, including strategies, shall be submitted to the local regional office of the DDSD; (8) for *Jackson* class members only, a copy of the completed ISP, with all relevant service provider strategies attached, shall be sent to the *Jackson* lawsuit office of the DDSD. B. Current copies of the ISP shall be available at all times in the individual's records located at the case management agency. The case manager shall ensure that all revisions or amendments to the ISP are distributed to all IDT members, not only those affected by the revisions.	• Individual #23 • Individual #24 • Individual #27 • Individual #29 • Individual #30 • Individual #32 • Individual #34 • Individual #35 • Individual #36 • Individual #37 • Individual #38 • Individual #39 • Individual #41 • Individual #42 • Individual #43 • Individual #44 • Individual #45 • Individual #46 • Individual #47 • Individual #48 • Individual #49		

	• Individual #50 • Individual #51 • Individual #52 • Individual #53 • Individual #54 • Individual #57 **Evidence indicated ISP was provided after 14-day window:** • Individual #33*: ISP effective date was 10/17/2022, ISP was sent to the DDSD Regional Office on 10/19/2022.*		

Standard of Care	Deficiencies	Agency Plan of Correction, On-going QA/QI and Responsible Party	Completion Date
Service Domain: Level of Care – *Initial and annual Level of Care (LOC) evaluations are completed within timeframes specified by the State.*			
Tag # 4C04 Assessment Activities	***Condition of Participation Level Deficiency***		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 8: Case Management: 8.2.8 Maintaining a Complete Client Record:** The CM is required to maintain documentation for each person supported according to the following requirement: 3. The case file must contain the documents identified in Appendix A: Client File Matrix. **8.2.3 Facilitating Level of Care (LOC) Determinations and Other Assessment Activities:** The CM ensures that an initial evaluation for the LOC is complete, and that all participants are reevaluated for a LOC at least annually. CMs are also responsible for completing assessments related to LOC determinations and for obtaining other assessments to inform the service planning process. The assessment tasks of the CM include, but are not limited to: 1. Completing, compiling, and/or obtaining the elements of the Long-Term Care Assessment Abstract packet to include: a. a Long-Term Care Assessment Abstract form (MAD 378); b. Client Individual Assessment (CIA); c. a current History and Physical; d. a copy of the Allocation Letter (initial submission only); and e. for children, a norm-referenced assessment. 2. Timely submission of a completed LOC packet for review and approval by the TPA contractor including: a. responding to the TPA contractor within specified timelines when the Long-Term Care Assessment Abstract	After an analysis of the evidence, it has been determined there is a significant potential for a negative outcome to occur. Based on record review, the Agency did not complete, compile, or obtain the elements of the Long-Term Care Assessment Abstract (LTCAA) packet and / or submitted the Level of Care in a timely manner, as required by standard for 34 of 57 individuals. Review of the Agency individual case files indicated the following items were not found, incomplete, and/or not current: **Annual Physical :** • Not Found (#1, 3, 4, 12, 15, 18, 21, 22, 26, 27, 30, 32, 39, 42, 43, 44, 48, 51, 53, 54, 56, 57) **Level of Care :** • Not Found (#1, 39, 44) **Client Individual Assessment (CIA) :** • Not Found (#1, 3, 4, 11, 12, 14, 19, 21, 25, 27, 31, 33, 34, 38, 41, 53, 54) • Not Current (#6, 9, 52)	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible, an overall correction?)***: →** **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)***: →**	

packet is returned for corrections or additional information; b. submitting complete packets, no later than 30 calendar days prior to the LOC expiration date for annual redeterminations; c. seeking assistance from the DDSD Regional Office related to any barriers to timely submission; and d. facilitating re-admission to the DD Waiver for people who have been hospitalized or who have received care in another institutional setting for more than three calendar days (upon the third midnight), which includes collaborating with the MCO Care Coordinator to resolve any problems with coordinating a safe discharge. 3. Obtaining assessments from DD Waiver Provider Agencies within the specified required timelines.			

Standard of Care	Deficiencies	Agency Plan of Correction, On-going QA/QI and Responsible Party	Completion Date
Service Domain: Qualified Providers – *The State monitors non-licensed/non-certified providers to assure adherence to waiver requirements. The State implements its policies and procedures for verifying that provider training is conducted in accordance with State requirements and the approved waiver.*			
Tag # 1A22 / 4C02 Case Manager: Individual Specific Competencies	***Standard Level Deficiency***		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 8: Case Management: 8.8 Scope:** DD Waiver CMs must have knowledge of the requirements for the entire system to effectively provide and monitor services. In general, the CM's scope of practice is to: 1. promote self-advocacy and advocate on behalf of the person; 2. facilitate and monitor the allocation and annual recertification processes as well as transitions as described in Section I Chapter 9 Transitions; 3. participate in specific assessment activities related to annual LOC determination and PCP; 4. link the person and guardian to publicly funded programs, community resources and non-disability specific resources available to all citizens and natural supports within the person's community; 5. organize and facilitate the PCP process and ISP development in accordance with the DD Waiver Service Standards as described in Chapter 4: Person-Centered Planning and Chapter 6: Individual Service Plan (ISP); 6. submit the ISP and the Waiver Budget Worksheet (BWS) and any other required documents to TPA Contractor(s), as outlined in Chapter 7: Available Services and Individual Budget Development; 7. monitor the ISP implementation including service delivery, coordination of other supports, and health and safety assurances as described in the ISP; and	Based on interview, the Agency did not ensure each case manager met the IST requirements in accordance with the specifications described in the ISP of each person supported for 1 of 13 Case Managers. **When the Case Managers were asked, if the Individual had a Comprehensive Aspiration Management Risk Assessment, the following was reported:** • #509 stated, "I don't believe he has a CARMP. I didn't see a CARMP. I believe he should have a CARMP, but I don't see it in his file. I'm not sure if he does because he has no therapists." According to the Aspiration Risk Management Tool, the individual requires a CARMP. (Individual #3)	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)***: →** **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)***: →**	

8. maintain a complete record for each person in services, as specified in Section II Chapter 20: Provider Documentation and Client Records and Appendix A Client File Matrix. **8.2.1 Promoting Self Advocacy and Advocating on Behalf of the Person in Services:** A primary role of the CM is to facilitate self-advocacy and advocate on behalf of the person, which includes, but is not limited to:… **8.3.1 CM Qualifications and Training Requirements:** 1. Within specified timelines, Case Management Provider Agencies must assure that all CMs meet the requirements for pre-service and core competency and ongoing annual training as specified in Section II Chapter 17: Training Requirements. 2. Case Management Provider Agencies must have professional development requirements in place to assure that all CMs engage in continuing education, DDSD training, professional skill building activities, and remediate any performance issues. 3. Case Management Provider Agencies and their staff/sub-contractors must adhere to all requirements communicated to them by DDSD, including participation in the Therap system, attendance at mandatory meetings and trainings, and participation in technical assistance sessions. 4. Case Management Provider Agencies and their staff/subcontractors must adhere to all training requirements to use secure and web-based systems to transfer information as required by the TPA. (This includes the TPA Web Portal and Secure CISCO system). 5. The CM Code of Ethics must be followed by all CMs employed by or subcontracting			

with the agency and supporting documentation must be placed in CM personnel files. 6. CMs, whether subcontracting or employed by a Provider Agency, shall meet the following requirements, and possess the following qualifications: a. be a licensed social worker, as defined by the NM Board of Social Work Examiners; or b. be a licensed registered nurse as defined by the NM Board of Nursing; or c. have a bachelor's or master's degree in social work, psychology, counseling, nursing, special education, or closely related field; and d. have one-year clinical experience, related to the target population, working in any of the following settings: i. home health or community health program, ii. hospital, iii. private practice, iv. publicly funded institution or long-term care program, v. mental health program, vi. community based social service program, or vii. other programs addressing the needs of special populations, e.g., school. e. or have a minimum of 6 years of direct experience related to the delivery of social services to people with disabilities. 7. CMs, whether subcontracting or employed by a Provider Agency, shall have a working knowledge of the health and social resources available within a region.			

Chapter 17: Training Requirements: 17.2 Training Requirements for CMs and Case Management Supervisors 1. CMs must successfully: a. complete IST requirements in accordance with the specifications described in the ISP of each person supported; b. complete training regarding the HIPAA located in the New Mexico Waiver Training Hub; 2. CM and CM Supervisors shall also complete DDSD-approved core curriculum training facilitated by certified trainers and mentors which includes: a. Complete ANE (Abuse, Neglect and Exploitation) Awareness training within 30 calendar days of hire and prior to working alone with a person in services, then complete ANE Awareness every year;…			

Tag # 1A28.4 Incident Mg: Case Manager Knowledge Case Manager Knowledge of Responsibility of IMB Notification	Standard Level Deficiency		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 18: Incident Management System:** **18.8 *Case Management and DD Waiver Provider Agency Responsibilities for Risk Management:*** DD Waiver Provider Agencies have a continuous responsibility to monitor for risk of harm especially during and after an investigation. Responsibilities including the following requirements: 2. In situations where DHI substantiates the ANE report, the CM must: a. Convene the DD Waiver participant's IDT to review the DHI findings detailed in the DHI issued *Decision Letter: Substantiated*; b. Modify the person's ISP, if necessary, to address any concerns identified in the investigation; and c. Submit the IDT meeting minutes with a signature page to DHI within 10 business days of receiving the Decision Letter. i. The IDT meeting minutes must address all the concerns identified in the IMB Decision letter. ii. If the IDT already met and addressed all the concerns identified in the letter, there is no need to hold another meeting. If the IDT meeting did not address all concerns identified, then the CM may need to hold another IDT meeting. 3. At any time, in situations where a person is at significant risk of harm, the CM must convene the IDT within one working day, in person or by teleconference, and modify the ISP, if necessary, within 72-hours.	Based on interview, the Agency did not ensure case managers followed incident management procedures as required by standards for 1 of 13 case managers. **When the Case Manager was asked, what steps are you required to take if there is a substantiated allegation of ANE, the following was reported:** • #500 stated, "Send a letter to the team, provider, and guardian. I hold an IDT meeting." Per standards the CM must, (b. Modify the person's ISP, if necessary, to address any concerns identified in the investigation; and c. Submit the IDT meeting minutes with a signature page to DHI within 10 business days of receiving the Decision Letter.)	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

Standard of Care	*Deficiencies*	Agency Plan of Correction, On-going QA/QI & Responsible Party	Completion Date
Service Domain: Health and Welfare – *The state, on an ongoing basis, identifies, addresses, and seeks to prevent occurrences of abuse, neglect and exploitation. Individuals shall be afforded their basic human rights. The provider supports individuals to access needed healthcare services in a timely manner.*			
Tag # 1A08.2 Administrative Case File: Healthcare Requirements & Follow-up	***Condition of Participation Level Deficiency***		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 8: Case Management: 8.2.8 Maintaining a Complete Client Record:** The CM is required to maintain documentation for each person supported according to the following requirement: 3. The case file must contain the documents identified in Appendix A: Client File Matrix. **8.2.7 Monitoring and Evaluating Service Delivery:** The CM is required to complete a formal, ongoing monitoring process to evaluate the quality, effectiveness, and appropriateness of services and supports provided to the person as specified in the ISP. The CM is also responsible for monitoring the health and safety of the person. Monitoring and evaluation activities include the following requirements: 6. The CM must monitor at least quarterly: a. that all applicable current HCPs (including applicable CARMP), MERPs, Health Passport, PBSP or other applicable behavioral plans (such as PPMP or RMP), and WDSIs are in place in the applicable service sites. b. The content of each plan is to be reviewed for accuracy and discrepancies. c. that applicable MERPs and/or BCIPs are in place in the residence and at the day services location(s) for those who have chronic medical condition(s) with potential for life threatening complications, or for individuals with behavioral challenge(s) that pose a	After an analysis of the evidence, it has been determined there is a significant potential for a negative outcome to occur. Based on record review, the Agency did not maintain a complete client record at the administrative office for 14 of 57 individuals. Review of the Agency individual case files revealed the following items were not found, incomplete, and/or not current: **Dental Exam:** • Individual #1 - As indicated by the documentation reviewed, the exam is applicable to the Individual. No documented evidence of the exam being completed was found. • Individual #11 - As indicated by the documentation reviewed, the exam is applicable to the Individual. No documented evidence of the exam being completed was found. • Individual #12 - As indicated by the documentation reviewed, the exam is applicable to the Individual. No documented evidence of the exam being completed was found. • Individual #21 - As indicated by the documentation reviewed, exam was completed on 12/29/2021. Follow-up was to be completed in 6 months. No documented	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)***: →** **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)***: →**	

potential for harm to themselves or others. MERP's are determined by the e-chat and the BCIPs are determined by the critical behavioral needs as assessed by the BSC in collaboration with the IDT. d. a printed copy of Current Health Passport is required to be at all service delivery sites. 7. When risk of significant harm is identified, the CM follows. the standards outlined in Section II Chapter 18: Incident Management System. 8. The CM must report all suspected ANE as required by New Mexico Statutes and complete all follow up activities as detailed in Section II Chapter 18: Incident Management System. 13. If there are concerns regarding the health or safety of the person during monitoring or assessment activities, the CM immediately notifies appropriate supervisory personnel within the DD Waiver Provider Agency and documents the concern. In situations where the concern is not urgent, the DD Waiver Provider Agency is allowed up to 15 business days to remediate or develop an acceptable plan of remediation. 14. If the CMs reported concerns are not remedied by the Provider Agency within a reasonable, mutually agreed upon period of time, the CM shall use the RORA process detailed in Section II Chapter 19: Provider Reporting Requirements. 15. The CM conducts an online review in the Therap system to ensure that the e-CHAT and *Health Passport* are current: quarterly and after each hospitalization or major health event. 17. The CM will ensure Living Supports, CIHS, CCS, and CIE are delivered in accordance with CMS Setting Requirements described in Chapter 2.1 CMS Final rule…If additional	evidence of the follow-up being completed was found. • Individual #35 - As indicated by the documentation reviewed, the exam is applicable to the Individual. No documented evidence of the exam being completed was found. • Individual #36 - As indicated by the documentation reviewed, exam was completed on 4/1/2021. Follow-up was to be completed in 1 year. No documented evidence of the follow-up being completed was found. **Vision Exam:** • Individual #4 - As indicated by the documentation reviewed, exam was completed on 6/11/2021. Follow-up was to be completed in 1 year. No documented evidence of the follow-up being completed was found. • Individual #23 - As indicated by the documentation reviewed, exam was completed on 4/28/2021. Follow-up was to be completed in 1 year. No documented evidence of the follow-up being completed was found. • Individual #37 - As indicated by the documentation reviewed, exam was completed on 8/16/2022. Follow-up was to be completed on 2/27/2023. No documented evidence of the follow-up being completed was found. • Individual #55 - As indicated by the documentation reviewed, exam was completed on 8/13/2021. Follow-up was to be completed in 1 year. No documented		

support is needed, the CM notifies the DDSD Regional Office through the RORA process. 18. Case Management site visit must be documented in the DDSD published case note template in Therap and must be complete and submitted in Therap by the last day of the month in which the visit was completed. **Chapter 20: 20.5.4 *Health Passport and Physician Consultation Form:*** All Primary and Secondary Provider Agencies must use the *Health Passport* and *Physician Consultation* form generated from an e-CHAT in the Therap system. This standardized document contains individual, physician and emergency contact information, a complete list of current medical diagnoses, health and safety risk factors, allergies, and information regarding insurance, guardianship, and advance directives. The *Health Passport* also includes a standardized form to use at medical appointments called the *Physician Consultation* form. The *Physician Consultation* form contains a list of all current medications. Requirements for the *Health Passport* and *Physician Consultation* form are: 1. The Case Manager and Primary and Secondary Provider Agencies must communicate critical information to each other and will keep all required sections of Therap updated in order to have a current and thorough *Health Passport* and *Physician Consultation* Form available at all times. Required sections of Therap include the IDF, Diagnoses, and Medication History.	evidence of the follow-up being completed was found. **Nutritional Evaluation** • Individual #1 - As indicated by the IST section of the ISP, the evaluation is applicable to the Individual. No documented evidence of the evaluation being completed was found. • Individual #12 - As indicated by the IST section of the ISP, the evaluation is applicable to the Individual. No documented evidence of the evaluation being completed was found. • Individual #28 - As indicated by the IST section of the ISP, the evaluation is applicable to the Individual. No documented evidence of the evaluation being completed was found. • Individual #38 - As indicated by the IST section of the ISP, the evaluation is applicable to the Individual. No documented evidence of the evaluation being completed was found. **Auditory Exam:** • Individual #31 - As indicated by the documentation reviewed, exam was completed on 11/11/2021. Follow-up was to be completed in 1 year. No documented evidence of the follow-up being completed was found. • Individual #39 - As indicated by the documentation reviewed, Individual was recommended to have the exam. Evidence found indicated the IDT agreed to initiate the Decision Consultation Process. The DDSD		

	decision consultation form contained no signatures.		

Tag # 1A15.2 Administrative Case File: Healthcare Documentation (Therap and Required Plans)	***Condition of Participation Level Deficiency***		
Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 8: Case Management: 8.2.8 Maintaining a Complete Client Record:** The CM is required to maintain documentation for each person supported according to the following requirement: 3. The case file must contain the documents identified in Appendix A: Client File Matrix.	After an analysis of the evidence, it has been determined there is a significant potential for a negative outcome to occur. Based on record review, the Agency did not maintain a complete client record at the administrative office for 29 of 57 individuals. Review of the Agency individual case files revealed the following items were not found, incomplete, and/or not current: **Electronic Comprehensive Health Assessment Tool:** • Not Found (#22, 35, 52, 56) • Not Current (#4) ***eCHAT Summary:*** • Not Current (#4) **Aspiration Risk Screening Tool (ARST):** • Not Found (#12, 22, 24, 27, 35, 53) • Not Current (#4, 19, 44, 48) **Comprehensive Aspiration Risk Management Plan*:*** • Not Found (#4, 49) **Health Care Plans:** • *Anxiety* • Individual #1 - As indicated by the IST section of the ISP the individual is required to have a plan. No evidence of the plan was found. • *Body Mass Index*	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible, an overall correction?)*: → **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)*: →	

	• Individual #1 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • Individual #12 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • Individual #52 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • *Chronic Pain* • Individual #4 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • *Communication Deficit* • Individual #1 - As indicated by the IST section of the ISP the individual is required to have a plan. No evidence of the plan was found. • *Constipation* • Individual #4 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • Individual #41 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • *Fall Risk / Injury* • Individual #1 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • Individual #4 - As indicated by the IST section of the ISP the individual is		

	required to have a plan. The plan provided was not current. • Individual #41 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • *Gastrointestinal / Reflux* • Individual #4 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • *Leukopenia* • Individual #1 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • *Lithium Toxicity* • Individual #4 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • *PRN Medication* • Individual #4 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • *Protective Head Gear* • Individual #1 - As indicated by the IST section of the ISP the individual is required to have a plan. No evidence of the plan was found. • *Respiratory* • Individual #12 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found.		

	• *Risk for Infection*
	  • Individual #2 - As indicated by the ISP section of the ISP the individual is required to have a plan. No evidence of the plan was found.
	
	• *Seizure Disorder*
	  • Individual #1 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found.
	
	  • Individual #41 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found.
	
	• *Skin Integrity*
	  • Individual #1 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found.
	
	  • Individual #2 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found.
	
	  • Individual #52 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current.
	
	Medical Emergency Response Plans:
	• *Allergy – Bee Stings*
	  • Individual #23 - As indicated by the eCHAT No evidence of the plan was found.
	
	• *Aspiration Risk*
	  • Individual #1 - As indicated by the eCHAT No evidence of the plan was found.
	
	  • Individual #4 - As indicated by the IST section of the ISP the individual is		

	required to have a plan. The plan provided was not current. • Individual #9 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • Individual #12 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • Individual #23 - As indicated by the eCHAT No evidence of the plan was found. • Individual #33 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • Individual #37 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • *Bowel and Bladder / Constipation* • Individual #12 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • *Diabetes* • Individual #37 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • *Drug Allergy* • Individual #1 - As indicated by the eCHAT No evidence of the plan was found.		

	• Individual #33 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • *Fall Risk* • Individual #1 - As indicated by the eCHAT No evidence of the plan was found. • Individual #4 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • Individual #41 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • Individual #56 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • *High Risk Medication* • Individual #13 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • *Leukopenia* • Individual #1 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • *Respiratory / Asthma* • Individual #2 – As indicated by the IST section of the ISP the individual is required to have a plan. No evidence of the plan was found.		

	• Individual #12 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • Individual #37 - As indicated by the IST section of the ISP the individual is required to have a plan. The plan provided was not current. • *Seizure Disorder* • Individual #1 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • Individual #2 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • Individual #23 - As indicated by the eCHAT No evidence of the plan was found. • Individual #41 - As indicated by the eCHAT the individual is required to have a plan. No evidence of the plan was found. • *Skin Breakdown* • Individual #53 – As indicated by the IST section of the ISP the individual is required to have a plan. No evidence of the plan was found. **Other Plans Required by the Individual:** *Nutritional Plan:* • Individual #1 - As indicated by collateral documentation reviewed, the individual is required to have a plan. No evidence of plan found. • Individual #5 - As indicated by collateral documentation reviewed, the individual is		

	required to have a plan. No evidence of plan found. • Individual #6 - As indicated by collateral documentation reviewed, the individual is required to have a plan. No evidence of plan found. • Individual #12 - As indicated by collateral documentation reviewed, the individual is required to have a plan. No evidence of plan found. • Individual #13 - As indicated by collateral documentation reviewed, the individual is required to have a plan. No evidence of plan found. • Individual #28 - As indicated by collateral documentation reviewed, the individual is required to have a plan. No evidence of plan found. • Individual #52 - As indicated by collateral documentation reviewed, the individual is required to have a plan. No evidence of plan found.		

Standard of Care	Deficiencies	Agency Plan of Correction, On-going QA/QI and Responsible Party	Completion Date
Service Domain: Medicaid Billing/Reimbursement – *State financial oversight exists to assure that claims are coded and paid for in accordance with the reimbursement methodology specified in the approved waiver.*			
Tag # 4C21 Case Management Reimbursement	**Standard Level Deficiency**		
NMAC 8.302.2 BILLING FOR MEDICAID SERVICES Developmental Disabilities Waiver Service Standards Eff 11/1/2021 **Chapter 21: Billing Requirements; 23.1 Recording Keeping and Documentation Requirements:** DD Waiver Provider Agencies must maintain all records necessary to demonstrate proper provision of services for Medicaid billing. At a minimum, Provider Agencies must adhere to the following: 1. The level and type of service provided must be supported in the ISP and have an approved budget prior to service delivery and billing. 2. Comprehensive documentation of direct service delivery must include, at a minimum: a. the agency name; b. the name of the recipient of the service; c. the location of the service; d. the date of the service; e. the type of service; f. the start and end times of the service; g. the signature and title of each staff member who documents their time; and 3. Details of the services provided. A Provider Agency that receives payment for treatment, services, or goods must retain all medical and business records for a period of at least six years from the last payment date, until ongoing audits are settled, or until involvement of the state Attorney General is completed regarding settlement of any claim, whichever is longer. 4. A Provider Agency that receives payment for treatment, services or goods must retain	Based on record review, the Agency did not provide written or electronic documentation as evidence for each unit billed, which contained the required information for 25 of 57 individuals. **Individual #2** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. No documentation was found to justify 1 unit billed. January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. **Individual #3** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on*	**Provider:** **State your Plan of Correction for the deficiencies cited in this tag here** *(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?)***: →** **Provider:** **Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here** *(What is going to be done? How many individuals is this going to affect? How often will this be completed? Who is responsible? What steps will be taken if issues are found?)***: →**	

all medical and business records relating to any of the following for a period of at least six years from the payment date: a. treatment or care of any eligible recipient; b. services or goods provided to any eligible recipient; c. amounts paid by MAD on behalf of any eligible recipient; and d. any records required by MAD for the administration of Medicaid. **21.7 Billable Activities**: Specific billable activities are defined in the scope of work and service requirements for each DD Waiver service. In addition, any billable activity must also be consistent with the person's approved ISP. **21.9 Billable Units**: The unit of billing depends on the service type. The unit may be a 15-minute interval, a daily unit, a monthly unit, or a dollar amount. The unit of billing is identified in the current DD Waiver Rate Table. Provider Agencies must correctly report service units. **21.9.2 Requirements for Monthly Units:** For services billed in monthly units, a Provider Agency must adhere to the following: 1. A month is considered a period of 30 calendar days. 2. Face-to-face billable services shall be provided during the month when any portion of a monthly unit is billed. 3. Monthly units can be prorated by a half unit.	*4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #6** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/312023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #12** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023		

	• The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/282023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #15** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. No documentation was found to justify 1 unit billed. **Individual #18** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. Documentation did not contain a description of what occurred during the encounter or service interval to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on*		

	4/3/2023. Provider please complete POC for ongoing QA/QI.) February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #19** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. Documentation did not contain a description of what occurred during the encounter or service interval to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #20**		

	December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #24** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site*		

	during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.) February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #25** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. No documentation was found to justify 1 unit billed. **Individual #27** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank. Documentation did not justify 1 unit billed. January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/282023. No		

	documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #30** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #32** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring		

	questions were blank. Documentation did not justify 1 unit billed. January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. **Individual #36** February 2023 • The Agency billed a total of 1 unit of Case Management on 1/9/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #38** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. No POC required, ongoing QA/QI required.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on*		

	4/3/2023. Provider please complete POC for ongoing QA/QI.) February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #41** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #42** December 2022		

	• The Agency billed a total of 1 unit of Case Management on 12/30/2022. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank. Documentation did not justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #43** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank. Documentation did not justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)*		

	January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #45** January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #47** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. Review of document found the Monthly Face-to-Face		

	visit Form contained date, time and location of visit, however required monitoring questions were blank. Documentation did not justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #48** January 2023 • The Agency billed a total of 1 unit of Case Management on 1/19/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on*		

	4/3/2023. Provider please complete POC for ongoing QA/QI.) **Individual #51** December 2022 • The Agency billed a total of .50 unit of Case Management on 12/29/2022. No documentation was found to justify .50 unit billed. • The Agency billed a total of .50 unit of Case Management on 12/30/2022. No documentation was found to justify .50 unit billed. January 2023 • The Agency billed a total of .50 unit of Case Management on 1/30/2023. No documentation was found to justify .50 unit billed. • The Agency billed a total of .50 unit of Case Management on 1/31/2023. No documentation was found to justify .50 unit billed. February 2023 • The Agency billed a total of .50 unit of Case Management on 2/27/2023. No documentation was found to justify .50 unit billed. • The Agency billed a total of .50 unit of Case Management on 2/28/2023. No documentation was found to justify .50 unit billed. **Individual #53** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. Review of document found the Monthly Face-to-Face		

	visit Form contained date, time and location of visit, however required monitoring questions were blank. Documentation did not justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/8/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* **Individual #56** December 2022 • The Agency billed a total of .50 unit of Case Management on 12/29/2022. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank. Documentation did not justify .50 unit billed. • The Agency billed a total of .50 unit of Case Management on 12/30/2022. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring		

	questions were blank. Documentation did not justify .50 unit billed. January 2023 • The Agency billed a total of .50 unit of Case Management on 1/30/2023. No documentation was found to justify .50 unit billed. • The Agency billed a total of .50 unit of Case Management on 1/31/2023. No documentation was found to justify .50 unit billed. February 2023 • The Agency billed a total of .50 unit of Case Management on 2/27/2023. No documentation was found to justify .50 unit billed. • The Agency billed a total of .50 unit of Case Management on 2/28/2023. No documentation was found to justify .50 unit billed. **Individual #57** December 2022 • The Agency billed a total of 1 unit of Case Management on 12/30/2022. Review of document found the Monthly Face-to-Face visit Form contained date, time and location of visit, however required monitoring questions were blank. Documentation did not justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* January 2023 • The Agency billed a total of 1 unit of Case Management on 1/31/2023. No documentation was found to justify 1 unit		

	billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* February 2023 • The Agency billed a total of 1 unit of Case Management on 2/28/2023. No documentation was found to justify 1 unit billed. *(Note: Void/Adjust provided on-site during survey. Void/Adjust submitted on 4/3/2023. Provider please complete POC for ongoing QA/QI.)* *(Note: Prior to the survey the agency had begun an internal review of billing and had begun to complete void and adjust forms for billed units not justified. These are noted in the Report of Findings as Void/Adjust submitted on 4/3/2023).*		

NEW MEXICO
Department of Health
Division of Health Improvement

MICHELLE LUJAN GRISHAM
Governor

PATRICK M. ALLEN
Cabinet Secretary

Date: August 15, 2023

To: Sarah Herrington, Case Management Director / Case Manager

Provider: J & J Home Care, Inc.
Address: 105 West 3rd St.
State/Zip: Roswell, New Mexico 88201

E-mail Address: sarahp@jjhc.org

Region: Southeast
Survey Date: April 10 – 21, 2023

Program Surveyed: Developmental Disabilities Waiver

Service Surveyed: Case Management

Survey Type: Routine (Expanded)

Dear Ms. Herrington:

The Division of Health Improvement Quality Management Bureau received and reviewed the documents you submitted for your Plan of Correction. Your Plan of Correction is not closed.

Your Plan of Correction will be considered for closure when a Verification survey confirms that you have corrected all survey deficiencies and sustained all corrections.

The Quality Management Bureau will need to conduct a verification survey to ensure previously cited deficiencies have been corrected and that systemic Quality Improvement and Quality Assurance processes have been effective at sustaining corrections.

If the Verification survey determines survey deficiencies have been corrected and corrective measures have effectively maintained compliance with DDW Standards, your Plan of Correction will be considered for closure.

If the Verification survey identifies repeat deficiencies, the Plan of Correction process will continue and your case may be referred to the Internal Review Committee for discussion of possible civil monetary penalties possible monetary fines and/or other sanctions.

Thank you for your cooperation with the Plan of Correction process.

Sincerely,

Monica Valdez, BS

Monica Valdez, BS
Healthcare Surveyor Advanced/Plan of Correction Coordinator
Quality Management Bureau/DHI

Q.23.4.DDW.D4045.4.001.RTN.07.23.227