

Date: September 29, 2020 **(Modified by IRF on 11/2020)**

To: Kristen Pasquini-Johnson, Co-Owner / Quality Assurance Director / Case Manager
Provider: Unidas Case Management, Inc.
Address: 3301 Candelaria NE, Suite D
State/Zip: Albuquerque, New Mexico 87107

E-mail Address: kpjohnson@unidascm.org

Region: Metro and Northeast
Survey Date: August 17 – 31, 2020

Program Surveyed: Developmental Disabilities Waiver

Service Surveyed: **2018:** Case Management

Survey Type: Routine

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

Team Members: Elisa C. Perez Alford, MSW, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Bernadette Baca, MBA, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Kayla R. Benally, BSW, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Joshua Burghart, BS, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Beverly Estrada, ADN, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Verna Newman-Sikes, AA, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Wolf Krusemark, BFA, Healthcare Surveyor Supervisor, Division of Health Improvement/Quality Management Bureau; Lora Norby, Healthcare Surveyor, Division of Health Improvement/Quality Management Bureau; Monica Valdez, BS, Healthcare Surveyor Advanced/Plan of Correction Coordinator, Division of Health Improvement/Quality Management Bureau

Dear Ms. Pasquini-Johnson;

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:

Partial Compliance with Standard Level Tags and Conditions of Participation Level Tags: This determination is based on noncompliance with one to five (1 – 5) Condition of Participation Level Tags (*refer to Attachment D for*

DIVISION OF HEALTH IMPROVEMENT
5301 Central Avenue NE, Suite 400 • Albuquerque, New Mexico • 87108
(505) 222-8623 • FAX: (505) 222-8661 • <https://nmhealth.org/about/dhi/>

QMB Report of Findings – Unidas Case Management Inc. – Metro, Northeast – August 17 - 31, 2020

Survey Report #: Q.21.1.DDW.D3434.2,5.RTN.01.20.273



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 # 4C12 Monitoring & Evaluation of Services (*Modified by IRF*)

The following tags are identified as Standard Level:

- Tag # 1A08.3 Administrative Case File – Individual Service Plan / ISP Components
- Tag # 4C02 Scope of Services - Primary Freedom of Choice
- Tag # 4C08 ISP Development Process
- Tag # 4C09 Secondary FOC
- Tag # 4C16 Req. for Reports & Distribution of ISP (Provider Agencies, Individual and / or Guardian)
- Tag # 4C16.1 Req. for Reports & Distribution of ISP (Regional DDSD Office)
- Tag # 1A22 / 4C02 Case Manager: Individual Specific Competencies
- Tag # 1A08.2 Administrative Case File: Healthcare Requirements & Follow-up
- Tag # 1A15.2 Administrative Case File: Healthcare Documentation (Therap and Required Plans)

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 instruction 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, Attention: Monica Valdez, Plan of Correction Coordinator in any of the following ways:**
 - a. Electronically at MonicaE.Valdez@state.nm.us (*preferred method*)
 - b. Fax to 505-222-8661, or
 - c. Mail to POC Coordinator, 5301 Central Ave NE Suite 400, Albuquerque, New Mexico 87108
- 2. Developmental Disabilities Supports Division Regional Office for region of service surveyed**

Upon notification from QMB that your *Plan of Correction has been approved*, you must implement all remedies and corrective actions 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
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@state.nm.us)

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
5301 Central Ave NE Suite #400
Albuquerque, NM 87108
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@state.nm.us 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 L. Driscoll, AA

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

Survey Process Employed:

Administrative Review Start Date: August 17, 2020

Contact: **Unidas Case Management, Inc.**
Kristen Pasquini-Johnson, Co-Owner / Quality Assurance Director / Case Manager

DOH/DHI/QMB
Heather Driscoll, AA, Team Lead/Healthcare Surveyor

On-site Entrance Conference Date: August 17, 2020

Present: **Unidas Case Management, Inc.**
Eric Hankla, Co-Owner / Finance Director / Case Manager
Scott Newland, Co-Owner / Operations Director / Case Manager
Kristen Pasquini-Johnson, Co-Owner / Quality Assurance Director / Case Manager

DOH/DHI/QMB
Heather Driscoll, AA, Team Lead/Healthcare Surveyor
Bernadette Baca, BFA, Healthcare Surveyor
Amanda Castaneda-Holguin, MPA, Healthcare Surveyor Supervisor
Beverly Estrada, ADN, Healthcare Surveyor
Verna Newman-Sikes, AA, Healthcare Surveyor
Caitlin Wall, BSW, Team Lead SW/Healthcare Surveyor

Exit Conference Date: August 31, 2020

Present: **Unidas Case Management, Inc.**
Eric Hankla, Co-Owner / Finance Director / Case Manager
Scott Newland, Co-Owner / Operations Director / Case Manager
Kristen Pasquini-Johnson, Co-Owner / Quality Assurance Director / Case Manager

DOH/DHI/QMB
Heather Driscoll, AA, Team Lead/Healthcare Surveyor
Bernadette Baca, BFA, Healthcare Surveyor
Kayla Benally, BSW, Healthcare Surveyor
Joshua Burghart, Healthcare Surveyor
Amanda Castaneda-Holguin, MPA, Healthcare Surveyor Supervisor
Beverly Estrada, ADN, Healthcare Surveyor
Verna Newman-Sikes, AA, Healthcare Surveyor
Lora Norby, Healthcare Surveyor
Caitlin Wall, BSW, Team Lead SW/Healthcare Surveyor
Wolf Krusemark, BFA, Healthcare Surveyor Supervisor

DDSD – Metro and Southwest Regional Offices
Steven Gutierrez, Metro Case Management Coordinator
Jenni McNabb, Metro Assistant Director
Brandi Rede, Southwest Case Management Coordinator

Administrative Locations Visited: 0 (*Note: No administrative locations visited due to COVID-19 Public Health Emergency*)

Total Sample Size: 46

6 - Jackson Class Members
40 - Non-Jackson Class Members

Persons Served Records Reviewed 46

Total Number of *Secondary Freedom of Choices* Reviewed: Number: 221

Case Management Personnel Records Reviewed 18

Case Manager Personnel Interviewed 18 (Note: Interviews conducted by video / phone due to COVID- 19 Public Health Emergency)

Administrative Interviews 1 (Note: Interview conducted by video / phone due to COVID-19 Public Health Emergency)

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

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@state.nm.us. 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 make 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 correction 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@state.nm.us 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 in any of the following ways:
 - a. Electronically at MonicaE.Valdez@state.nm.us (**preferred method**)
 - b. Fax to 505-222-8661, or
 - c. Mail to POC Coordinator, 5301 Central Ave NE Suite 400, Albuquerque, New Mexico 87108
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, as follows.

1. Your internal documents are due within a *maximum* of 45-business days of receipt of your Report of Findings.
2. It is preferred that you submit your documents via USPS or other carrier (scanned and saved to CD/DVD disc, flash drive, etc.). If documents containing HIPAA Protected Health Information (PHI) documents must be submitted through S-Comm (Therap), Fax or Postal System, do not send PHI directly to NMDOH email accounts. If the documents do not contain protected Health information (PHI) then you may submit your documents electronically scanned and attached to e-mails.
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 completion 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 Case Management are as follows:

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.*

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** – Apprv. 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)

Service Domain: Level of Care - *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 to the QMB Deputy 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@state.nm.us 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 on the decisions of the IRF committee.

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: Unidas Case Management, Inc. – Metro and Northeast Regions
Program: Developmental Disabilities Waiver
Service: 2018: Case Management
Survey Type: Routine
Survey Date: August 17 – 31, 2020

Standard of Care	Deficiencies	Agency Plan of Correction, On-going QA/QI & Responsible Party	Completion Date
<p>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.</p>			
<p>Tag # 1A08.3 Administrative Case File – Individual Service Plan / ISP Components</p>	<p>Standard Level Deficiency</p>		
<p>NMAC 7.26.5 SERVICE PLANS FOR INDIVIDUALS WITH DEVELOPMENTAL DISABILITIES LIVING IN THE COMMUNITY.</p> <p>NMAC 7.26.5.12 DEVELOPMENT OF THE INDIVIDUAL SERVICE PLAN (ISP) - PARTICIPATION IN AND SCHEDULING OF INTERDISCIPLINARY TEAM MEETINGS.</p> <p>NMAC 7.26.5.14 DEVELOPMENT OF THE INDIVIDUAL SERVICE PLAN (ISP) - CONTENT OF INDIVIDUAL SERVICE PLANS.</p> <p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>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 requirements: 3. The case file must contain the documents identified in Appendix A Client File Matrix.</p> <p>Chapter 6 Individual Service Plan: The CMS requires a person-centered service plan for every person receiving HCBS. The DD</p>	<p>Based on record review, the Agency did not maintain a complete client record at the administrative office for 3 of 46 individuals.</p> <p>Review of the Agency individual case files revealed the following items were not found, incomplete, and/or not current:</p> <p>ISP Assessment Checklist:</p> <ul style="list-style-type: none"> • Not Found (#29) <p>ISP Signature Page:</p> <ul style="list-style-type: none"> • Not Fully Constituted IDT (No evidence of DSP involvement) (#29) • Not Fully Constituted IDT (No evidence of Nurse involvement) (#29) <p>ISP Teaching & Support Strategies:</p> <p>Individual #4: TSS not found for the following Work Outcome Statement / Action Steps:</p> <ul style="list-style-type: none"> • “...will attend and participate in a class of her choice.” (Note: Due diligence provided. No POC required.) • “...will complete an art project.” (Note: Due diligence provided. No POC required.) 	<p>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?): →</p> <p>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?): →</p>	

<p>Waiver's person-centered service plan is the ISP.</p> <p>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 days of receipt of any reasonable request to convene the team, either in person or through teleconference.</p> <p>6.6 DDSD ISP Template: The ISP must be written according to templates provided by the DDSD. Both children and adults have designated ISP templates. The ISP template includes Vision Statements, Desired Outcomes, a meeting participant signature page, an Addendum A (i.e. an acknowledgement of receipt of specific information) and other elements depending on the age of the individual. The ISP templates may be revised and reissued by DDSD to incorporate initiatives that improve person - centered planning practices. Companion documents may also be issued by DDSD and be required for use in order to better demonstrate required elements of the PCP process and ISP development. The ISP is completed by the CM with the IDT input and must be completed according to the following requirements:</p> <ol style="list-style-type: none"> 1. DD Waiver Provider Agencies should not recommend service type, frequency, and amount (except for required case management services) on an individual budget prior to the Vision Statement and Desired Outcomes being developed. 2. The person does not require IDT agreement/approval regarding his/her dreams, aspirations, and desired long-term outcomes. 3. When there is disagreement, the IDT is 	<p>Individual #23: <i>TSS not found for the following Work / Learn Outcome Statement / Action Steps:</i></p> <ul style="list-style-type: none"> • "...will choose an activity." • "...will participate in the activity." <p><i>TSS not found for the following Fun / Relationship Outcome Statement / Action Steps:</i></p> <ul style="list-style-type: none"> • "...will participate in the group activity." 		
--	--	--	--

<p>required to plan and resolve conflicts in a manner that promotes health, safety, and quality of life through consensus. Consensus means a state of general agreement that allows members to support the proposal, at least on a trial basis.</p> <p>4. A signature page and/or documentation of participation by phone must be completed.</p> <p>5. The CM must review a current Addendum A and DHI ANE letter with the person and Court appointed guardian or parents of a minor, if applicable.</p> <p>6.7 Completion and Distribution of the ISP: The CM is required to assure all elements of the ISP and companion documents are completed and distributed to the IDT...</p> <p>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.</p>			
---	--	--	--

Tag # 4C02 Scope of Services - Primary Freedom of Choice	Standard Level Deficiency		
<p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>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 requirements: 3. The case file must contain the documents identified in Appendix A Client File Matrix.</p> <p>Chapter 1: Initial Allocation and Ongoing Eligibility: Waiver eligibility is determined by the DDSD Intake and Eligibility Bureau (IEB), located statewide in the DDSD Regional Offices. While Provider Agencies are not directly involved in the eligibility determination process, they are an important point of contact. Provider Agencies must refer people to the appropriate DDSD Regional Office where pre-service activities are initiated.</p> <p>1.4 Primary Freedom of Choice (PFOC): The applicant completes the PFOC form to select between: 1. an Intermediate Care Facility- 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.</p> <p>Chapter 9 Transitions: 9.1 Change in Case Management Agency: If a person or guardian selects a different case management agency, the following steps must be taken to ensure that critical issues affecting the person's health and safety do not get lost and a complete exchange of information and documentation occurs. 1. The person or guardian has the responsibility to contact his/her local DDSD</p>	<p>Based on record review, the Agency did not maintain documentation assuring individuals obtained all services through the freedom of choice process for 1 of 46 individuals.</p> <p>Review of the Agency individual case files revealed the following items were not found, incomplete, and/or not current:</p> <p>Primary Freedom of Choice:</p> <ul style="list-style-type: none"> • Not Found (#42) 	<p>Provider: State your Plan of Correction for the deficiencies cited in this tag here <i>(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?):</i> →</p> <p> </p> <p> </p> <p>Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here <i>(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?):</i> →</p> <p> </p> <p> </p>	<p> </p> <p> </p>

QMB Report of Findings – Unidas Case Management Inc. – Metro, Northeast – August 17 - 31, 2020

Regional Office to complete the PFOC form selecting the new Case Management Agency.
2. When the new Case Management Agency and DDS receive the PFOC, file transfers must be completed within 30 days.

9.8 Waiver Transfers: A DD Waiver participant and/or legal representative may choose to transfer to or from another waiver program by contacting the DDS to initiate a waiver change. If a person wants to switch waivers within the first 30 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 he/she may request a transfer. Waiver transfers require the following steps:

3. A Waiver Change Form (WCF) is completed by the person and/or legal representative and returned to the local DDS Regional Office.

4. Once DDS staff receive the WCF, it is forwarded by DDS staff to the current DD Waiver CM, Medically Fragile CM, and Mi Via Consultant as relevant.

5. 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.

6. Transition meetings must occur within at least 30 days of receipt of the WCF. The receiving agency must schedule the meeting within five days of receipt of the WCF.

7. 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.

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.

Tag # 4C08 ISP Development Process	Standard Level Deficiency		
<p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>Chapter 2: Human Rights: Civil rights apply to everyone, including all waiver participants, family members, guardians, natural supports, and Provider Agencies. Everyone has a responsibility to make sure those rights 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.</p> <p>2.2.1 Statement of Rights Acknowledgement Requirements: The CM is required to review the Statement of Rights (See Appendix C HCBS Consumer Rights and Freedoms) with the person, in a manner that accommodates preferred communication style, at the annual meeting. The person and his/her guardian, if applicable, sign the acknowledgement form at the annual meeting.</p> <p>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 requirements: 3. The case file must contain the documents identified in <u>Appendix A Client File Matrix</u>.</p> <p>8.2.1 Promoting Self Advocacy and Advocating on Behalf of the Person in Services: 10. 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. (See Appendix C HCBS Consumer Rights and Freedoms.)</p> <p>11. Confirming acknowledgement of the HCBS Consumer Rights and Freedoms with signatures of the person and guardian, if applicable.</p>	<p>Based on record review, the Agency did not maintain documentation for each person supported according to the following requirements for 1 of 46 individuals.</p> <p>Review of the records indicated the following:</p> <p>Statement of Rights Acknowledgment:</p> <ul style="list-style-type: none"> • Not Current (#11) 	<p>Provider: State your Plan of Correction for the deficiencies cited in this tag here (<i>How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?</i>): →</p> <p> </p> <p> </p> <p>Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here (<i>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?</i>): →</p> <p> </p> <p> </p>	

Tag # 4C09 Secondary FOC	Standard Level Deficiency		
<p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>Chapter 4: Person-Centered Planning (PCP): 4.7 Choice of DD Waiver Provider Agencies and Secondary Freedom of Choice (SFOC): People receiving DD Waiver funded services have the right to choose any qualified provider of case management services listed on the PFOC and a qualified provider of any other DD Waiver service listed on SFOC form. The PFOC is maintained by each Regional Office. The SFOC is maintained by the Provider Enrollment Unit (PEU) and made available through the SFOC website: http://sfoc.health.state.nm.us/.</p> <p>4.7.2. Annual Review of SFOC: Choice of Provider Agencies must be continually assured. A person has a right to change Provider Agencies if he/she is not satisfied with services at any time.</p> <ol style="list-style-type: none"> 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: http://sfoc.health.state.nm.us/ <p>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 requirements:</p> <ol style="list-style-type: none"> 3. The case file must contain the documents identified in Appendix A Client File Matrix. 	<p>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 2 of 46 individuals.</p> <p>Review of the Agency individual case files revealed 2 out of 221 Secondary Freedom of Choices were not found and/or not agency specific to the individual's current services:</p> <p>Secondary Freedom of Choice:</p> <ul style="list-style-type: none"> • Supported Living (#8) • Customized Community Supports (#12) 	<p>Provider: State your Plan of Correction for the deficiencies cited in this tag here (<i>How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?</i>): →</p> <p> </p> <p> </p> <p> </p> <p>Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here (<i>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?</i>): →</p> <p> </p> <p> </p> <p> </p>	

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.

Tag # 4C12 Monitoring & Evaluation of Services <i>(Modified by IRF)</i>	Condition of Participation Level Deficiency		
<p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>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 requirements: 3. The case file must contain the documents identified in <u>Appendix A Client File Matrix</u>.</p> <p>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. 5. For non-JCMs, face-to-face visits must</p>	<p>After an analysis of the evidence it has been determined there is a significant potential for a negative outcome to occur.</p> <p>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 supports provided to the individual for 39 38 of 46 individuals.</p> <p>Review of the Agency individual case files revealed no evidence of Case Manager Monthly Case Notes for the following:</p> <ul style="list-style-type: none"> • Individual #30 – None found for 7/2020. • Individual #43 – None found for 7/2020. (Note: Findings #30 and 43 will be removed by IRF, as they were cited in error). <p>Review of the Agency individual case files revealed face-to-face visits were not being completed as required by standard (#2, #5 a, b, c) for the following individuals:</p> <p>Individual #4 (Jackson) No site visit was noted in January 2020.</p> <ul style="list-style-type: none"> • 1/23/2020 – 3:00pm – Home Visit. • 1/29/2020 – 1:30pm – Home Visit. <p>Review of the Agency individual case files revealed the required Therap Monthly Site Visit Forms were not entered / submitted in Therap as outlined in the Instructions and Guidelines for Case Management Monitoring Activities dated 12/1/2018 pg. 8 #4 "Save draft or Submit (electronic</p>	<p>Provider: State your Plan of Correction for the deficiencies cited in this tag here (<i>How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?</i>): →</p> <p>Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here (<i>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?</i>): →</p>	

QMB Report of Findings – Unidas Case Management Inc. – Metro, Northeast – August 17 - 31, 2020

<p>occur as follows:</p> <ol style="list-style-type: none"> 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 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. <p>6. The CM must monitor at least quarterly:</p> <ol style="list-style-type: none"> a. 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; and b. that all applicable current HCPs (including applicable CARMP), PBSP or other applicable behavioral plans (such as PPMP or RMP), and WDSIs are in place in the applicable service sites. <p>7. When risk of significant harm is identified, the CM follows the standards outlined in Chapter 18: Incident Management System.</p> <p>8. The CM must report all suspected ANE as required by New Mexico Statutes and complete all follow up activities as detailed in Chapter 18: Incident Management System.</p> <p>9. If concerns regarding the health or safety of</p>	<p>signature) before the end of the month the visit occurs" for the following:</p> <p>Individual #1: (Jackson)</p> <ul style="list-style-type: none"> • Face to face visit conducted on 8/12/2019. Monthly Site Visit Form entered / submitted in Therap on 9/10/2019. • Face to face visit conducted on 8/19/2019. Monthly Site Visit Form entered / submitted in Therap on 9/11/2019. • Face to face visit conducted on 9/5/2019. Monthly Site Visit Form entered / submitted in Therap on 10/10/2019. • Face to face visit conducted on 9/10/2019. Monthly Site Visit Form entered / submitted in Therap on 10/10/2019. • Face to face visit conducted on 10/22/2019. Monthly Site Visit Form entered / submitted in Therap on 11/7/2019. • Face to face visit conducted on 10/30/2019. Monthly Site Visit Form entered / submitted in Therap on 11/7/2019. • Face to face visit conducted on 11/4/2019. Monthly Site Visit Form entered / submitted in Therap on 12/3/2019. • Face to face visit conducted on 12/3/2019. Monthly Site Visit Form entered / submitted in Therap on 1/13/2020. • Face to face visit conducted on 1/8/2020. Monthly Site Visit Form entered / submitted in Therap on 2/3/2020. 		
---	--	--	--

<p>the person are documented 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.</p> <p>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 Chapter 19: Provider Reporting Requirements.</p> <p>11. The CM conducts an online review in the Therap system to ensure that the e-CHAT and <i>Health Passport</i> are current: quarterly and after each hospitalization or major health event.</p> <p>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: Home and Community-Based Services (HCBS) Settings Requirements. If additional support is needed, the CM notifies the DDS Regional Office through the RORA process.</p>	<ul style="list-style-type: none"> • Face to face visit conducted on 2/4/2020. Monthly Site Visit Form entered / submitted in Therap on 3/12/2020. • Face to face visit conducted on 2/13/2020. Monthly Site Visit Form entered / submitted in Therap on 8/25/2020. • Face to face visit conducted on 3/19/2020. Monthly Site Visit Form entered / submitted in Therap on 4/13/2020. • Face to face visit conducted on 3/24/2020. Monthly Site Visit Form entered / submitted in Therap on 4/13/2020. • Face to face visit conducted on 4/17/2020. Monthly Site Visit Form entered / submitted in Therap on 5/5/2020. • Face to face visit conducted on 4/28/2020. Monthly Site Visit Form entered / submitted in Therap on 5/5/2020. • Face to face visit conducted on 5/5/2020. Monthly Site Visit Form entered / submitted in Therap on 6/2/2020. • Face to face visit conducted on 5/13/2020. Monthly Site Visit Form entered / submitted in Therap on 6/2/2020. • Face to face visit conducted on 6/10/2020. Monthly Site Visit Form entered / submitted in Therap on 7/1/2020. • Face to face visit conducted on 6/18/2020. Monthly Site Visit Form entered / submitted in Therap on 7/1/2020. 		
--	--	--	--

- Face to face visit conducted on 7/10/2020. Monthly Site Visit Form entered / submitted in Therap on 8/5/2020.
 - Face to face visit conducted on 7/28/2020. Monthly Site Visit Form entered / submitted in Therap on 8/5/2020.
- Individual #3: (Non-Jackson)**
- Face to face visit conducted on 8/13/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 9/24/2019. Monthly Site Visit Form entered / submitted in Therap on 10/3/2019.
 - Face to face visit conducted on 12/12/2019. Monthly Site Visit Form entered / submitted in Therap on 1/6/2020.
 - Face to face visit conducted on 2/12/2020. Monthly Site Visit Form entered / submitted in Therap on 3/3/2020.
 - Face to face visit conducted on 3/23/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 4/22/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 5/27/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 6/18/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.

- Face to face visit conducted on 7/29/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Individual #6:** (Non-Jackson)
- Face to face visit conducted on 9/26/2019. Monthly Site Visit Form entered / submitted in Therap on 11/19/2019.
 - Face to face visit conducted on 10/30/2019. Monthly Site Visit Form entered / submitted in Therap on 11/19/2019.
 - Face to face visit conducted on 11/29/2019. Monthly Site Visit Form entered / submitted in Therap on 12/9/2019.
 - Face to face visit conducted on 12/19/2019. Monthly Site Visit Form entered / submitted in Therap on 1/6/2020.
 - Face to face visit conducted on 1/27/2020. Monthly Site Visit Form entered / submitted in Therap on 2/20/2020.
 - Face to face visit conducted on 2/27/2020. Monthly Site Visit Form entered / submitted in Therap on 3/24/2020.
 - Face to face visit conducted on 4/5/2020. Monthly Site Visit Form entered / submitted in Therap on 5/21/2020.
 - Face to face visit conducted on 5/6/2020. Monthly Site Visit Form entered / submitted in Therap on 6/16/2020.
 - Face to face visit conducted on 6/4/2020. Monthly Site Visit Form entered / submitted in Therap on 7/7/2020.

- Face to face visit conducted on 2/27/2020. Monthly Site Visit Form entered / submitted in Therap on 8/10/2020.

Individual #7: (Non-Jackson)

- Face to face visit conducted on 8/9/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 9/30/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 10/18/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 11/8/2019. Monthly Site Visit Form entered / submitted in Therap on 12/9/2019.
- Face to face visit conducted on 4/10/2020. Monthly Site Visit Form entered / submitted in Therap on 5/11/2020.
- Face to face visit conducted on 5/8/2020. Monthly Site Visit Form entered / submitted in Therap on 6/17/2020.
- Face to face visit conducted on 6/26/2020. Monthly Site Visit Form entered / submitted in Therap on 7/16/2020.

Individual #8: (Non-Jackson)

- Face to face visit conducted on 8/19/2019. Monthly Site Visit Form entered / submitted in Therap on 9/16/2019.
- Face to face visit conducted on 9/10/2019. Monthly Site Visit Form entered / submitted in Therap on 10/2/2019.

- Face to face visit conducted on 10/21/2019. Monthly Site Visit Form entered / submitted in Therap on 11/5/2019.
 - Face to face visit conducted on 11/1/2019. Monthly Site Visit Form entered / submitted in Therap on 12/5/2019.
 - Face to face visit conducted on 12/24/2019. Monthly Site Visit Form entered / submitted in Therap on 1/14/2020.
 - Face to face visit conducted on 1/9/2020. Monthly Site Visit Form entered / submitted in Therap on 2/11/2020.
 - Face to face visit conducted on 2/5/2020. Monthly Site Visit Form entered / submitted in Therap on 3/10/2020.
 - Face to face visit conducted in 3/19/2020. Monthly Site Visit Form entered / submitted in Therap in 4/5/2020.
 - Face to face visit conducted on 5/11/2020. Monthly Site Visit Form entered / submitted in Therap on 6/2/2020.
 - Face to face visit conducted on 6/28/2020. Monthly Site Visit Form entered / submitted in Therap on 7/3/2020.
 - Face to face visit conducted on 7/25/2020. Monthly Site Visit Form entered / submitted in Therap on 8/11/2020.
- Individual #9: (Non-Jackson)**
- Face to face visit conducted on 8/23/2019. Monthly Site Visit Form entered / submitted in Therap on 9/19/2019.

- Face to face visit conducted on 9/10/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 10/15/2019. Monthly Site Visit Form entered / submitted in Therap on 11/4/2019.
 - Face to face visit conducted on 11/25/2019. Monthly Site Visit Form entered / submitted in Therap on 12/2/2019.
 - Face to face visit conducted on 1/28/2020. Monthly Site Visit Form entered / submitted in Therap on 8/21/2020.
 - Face to face visit conducted on 2/21/2020. Monthly Site Visit Form entered / submitted in Therap on 3/17/2020.
 - Face to face visit conducted on 6/30/2020. Monthly Site Visit Form entered / submitted in Therap on 7/15/2020.
 - Face to face visit conducted on 7/31/2020. Monthly Site Visit Form entered / submitted in Therap on 8/22/2020.
- Individual #10: (Non-Jackson)**
- Face to face visit conducted on 10/21/2019. Monthly Site Visit Form entered / submitted in Therap on 11/3/2019.
 - Face to face visit conducted on 12/17/2019. Monthly Site Visit Form entered / submitted in Therap on 1/3/2020.
 - Face to face visit conducted on 1/30/2020. Monthly Site Visit Form entered / submitted in Therap on 2/4/2020.

~~• Face to face visit conducted on 6/18/2020. Monthly Site Visit Form entered / submitted in Therap on 7/5/2020. (Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)~~

Individual #12: (Non-Jackson)

- Face to face visit conducted on 8/22/2019. Monthly Site Visit Form entered / submitted in Therap on 9/19/2019.
- Face to face visit conducted on 9/26/2019. Monthly Site Visit Form entered / submitted in Therap on 10/7/2020.
- Face to face visit conducted on 10/24/2019. Monthly Site Visit Form entered / submitted in Therap on 11/20/2019.
- Face to face visit conducted on 11/19/2019. Monthly Site Visit Form entered / submitted in Therap on 12/4/2019.
- Face to face visit conducted on 1/22/2020. Monthly Site Visit Form entered / submitted in Therap on 2/18/2020.
- Face to face visit conducted on 2/25/2020. Monthly Site Visit Form entered / submitted in Therap on 3/24/2020.
- Face to face visit conducted on 5/29/2020. Monthly Site Visit Form entered / submitted in Therap on 6/26/2020.
- Face to face visit conducted on 7/21/2020. Monthly Site Visit Form entered / submitted in Therap on 8/20/2020.

Individual #13: (Jackson)

- Face to face visit conducted on 10/21/2019. Monthly Site Visit Form entered / submitted in Therap on 11/5/2019.
- Face to face visit conducted on 10/26/2019. Monthly Site Visit Form entered / submitted in Therap on 11/5/2019.
- Face to face visit conducted on 11/10/2019. Monthly Site Visit Form entered / submitted in Therap on 12/1/2019.
- Face to face visit conducted on 11/22/2019. Monthly Site Visit Form entered / submitted in Therap on 12/1/2019.
- Face to face visit conducted on 12/5/2019. Monthly Site Visit Form entered / submitted in Therap on 1/5/2020.
- Face to face visit conducted on 12/10/2019. Monthly Site Visit Form entered / submitted in Therap on 1/5/2020.
- Face to face visit conducted on 1/12/2020. Monthly Site Visit Form entered / submitted in Therap on 2/1/2020.
- Face to face visit conducted on 2/3/2020. Monthly Site Visit Form entered / submitted in Therap on 3/4/2020.
- Face to face visit conducted on 2/5/2020. Monthly Site Visit Form entered / submitted in Therap on 3/4/2020.
- Face to face visit conducted on 3/5/2020. Monthly Site Visit Form entered / submitted in Therap on 4/7/2020.

- Face to face visit conducted on 3/6/2020. Monthly Site Visit Form entered / submitted in Therap on 4/7/2020.
 - Face to face visit conducted on 4/17/2020. Monthly Site Visit Form entered / submitted in Therap on 5/14/2020.
 - Face to face visit conducted on 4/29/2020. Monthly Site Visit Form entered / submitted in Therap on 5/14/2020.
 - Face to face visit conducted on 5/19/2020. Monthly Site Visit Form entered / submitted in Therap on 6/14/2020.
 - Face to face visit conducted on 5/28/2020. Monthly Site Visit Form entered / submitted in Therap on 6/14/2020.
 - Face to face visit conducted on 6/29/2020. Monthly Site Visit Form entered / submitted in Therap on 7/16/2020.
 - Face to face visit conducted on 7/24/2020. Monthly Site Visit Form entered / submitted in Therap on 8/12/2020.
 - Face to face visit conducted on 7/31/2020. Monthly Site Visit Form entered / submitted in Therap on 8/12/2020.
- Individual #14: (Non-Jackson)**
- Face to face visit conducted on 8/27/2019. Monthly Site Visit Form entered / submitted in Therap on 9/1/2019.
 - Face to face visit conducted on 12/13/2019. Monthly Site Visit Form entered / submitted in Therap on 1/5/2020.

Individual #15: (Non-Jackson)

- Face to face visit conducted on 11/10/2019. Monthly Site Visit Form entered / submitted in Therap on 12/4/2019.
- Face to face visit conducted on 12/11/2019. Monthly Site Visit Form entered / submitted in Therap on 1/5/2020.
- Face to face visit conducted on 1/12/2020. Monthly Site Visit Form entered / submitted in Therap on 2/1/2020.
- Face to face visit conducted on 2/3/2020. Monthly Site Visit Form entered / submitted in Therap on 3/4/2020.
- Face to face visit conducted on 4/29/2020. Monthly Site Visit Form entered / submitted in Therap on 5/15/2020.
- Face to face visit conducted on 5/19/2020. Monthly Site Visit Form entered / submitted in Therap on 6/14/2020.
- Face to face visit conducted on 7/29/2020. Monthly Site Visit Form entered / submitted in Therap on 8/2/2020.

Individual #16: (Non-Jackson)

- Face to face visit conducted on 8/28/2019. Monthly Site Visit Form entered / submitted in Therap on 9/1/2019.
- Face to face visit conducted on 10/23/2019. Monthly Site Visit Form entered / submitted in Therap on 11/3/2019.
- Face to face visit conducted on 12/12/2019. Monthly Site Visit Form entered / submitted in Therap on 2/4/2020.

~~• Face to face visit conducted on 6/25/2020. Monthly Site Visit Form entered / submitted in Therap on 7/5/2020. (Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)~~

Individual #17: (Non-Jackson)

- Face to face visit conducted on 8/30/2019. Monthly Site Visit Form entered / submitted in Therap on 9/19/2019.
- Face to face visit conducted on 10/25/2019. Monthly Site Visit Form entered / submitted in Therap on 11/4/2019.
- Face to face visit conducted on 10/31/2019. Monthly Site Visit Form entered / submitted in Therap on 8/20/2020.
- Face to face visit conducted on 11/12/2019. Monthly Site Visit Form entered / submitted in Therap on 12/2/2019.
- Face to face visit conducted on 11/18/2019. Monthly Site Visit Form entered / submitted in Therap on 12/2/2019.
- Face to face visit conducted on 11/10/2019. Monthly Site Visit Form entered / submitted in Therap on 12/4/2019.
- Face to face visit conducted on 12/9/2019. Monthly Site Visit Form entered / submitted in Therap on 8/20/2020.
- Face to face visit conducted on 12/9/2019. Monthly Site Visit Form entered / submitted in Therap on 8/26/2020.
- Face to face visit conducted on 1/27/2020. Monthly Site Visit Form entered / submitted in Therap on 8/20/2020.

- Face to face visit conducted on 2/6/2020. Monthly Site Visit Form entered / submitted in Therap on 3/17/2020.
 - Face to face visit conducted on 3/25/2020. Monthly Site Visit Form entered / submitted in Therap on 4/15/2020.
 - Face to face visit conducted on 6/29/2020. Monthly Site Visit Form entered / submitted in Therap on 7/15/2020.
- Individual #18: (Non-Jackson)**
- Face to face visit conducted on 8/30/2019. Monthly Site Visit Form entered / submitted in Therap on 9/18/2019.
 - Face to face visit conducted on 9/25/2019. Monthly Site Visit Form entered / submitted in Therap on 10/7/2019.
 - Face to face visit conducted on 12/2/2019. Monthly Site Visit Form entered / submitted in Therap on 1/7/2020.
 - Face to face visit conducted on 1/28/2020. Monthly Site Visit Form entered / submitted in Therap on 3/4/2020.
 - Face to face visit conducted on 3/25/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 4/15/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 5/19/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.

- Face to face visit conducted on 6/8/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 7/20/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Individual #19:** (Non-Jackson)
- Face to face visit conducted on 10/31/2019. Monthly Site Visit Form entered / submitted in Therap on 11/4/2019.
- Individual #20:** (Non-Jackson)
- Face to face visit conducted on 8/15/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 9/24/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 11/26/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - ~~Face to face visit conducted on 1/21/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.~~ (Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)
 - Face to face visit conducted on 3/9/2020. Monthly Site Visit Form entered / submitted in Therap on 4/5/2020.
 - Face to face visit conducted on 3/24/2020. Monthly Site Visit Form entered / submitted in Therap on 4/15/2020.

- Face to face visit conducted on 4/20/2020. Monthly Site Visit Form entered / submitted in Therap on 5/21/2020.
 - Face to face visit conducted on 7/14/2020. Monthly Site Visit Form entered / submitted in Therap on 8/19/2020.
- Individual #22:** (Non-Jackson)
- Face to face visit conducted on 8/12/2019. Monthly Site Visit Form entered / submitted in Therap on 9/18/2019.
 - Face to face visit conducted on 9/30/2019. Monthly Site Visit Form entered / submitted in Therap on 10/15/2019.
 - Face to face visit conducted on 10/15/2019. Monthly Site Visit Form entered / submitted in Therap on 11/5/2019.
 - Face to face visit conducted on 1/6/2020. Monthly Site Visit Form entered / submitted in Therap on 2/16/2020.
 - Face to face visit conducted on 2/18/2020. Monthly Site Visit Form entered / submitted in Therap on 3/14/2020.
 - Face to face visit conducted on 4/28/2020. Monthly Site Visit Form entered / submitted in Therap on 5/20/2020.
 - Face to face visit conducted on 5/29/2020. Monthly Site Visit Form entered / submitted in Therap on 6/19/2020.
 - Face to face visit conducted on 6/26/2020. Monthly Site Visit Form entered / submitted in Therap on 7/18/2020.

- Face to face visit conducted on 7/14/2020. Monthly Site Visit Form entered / submitted in Therap on 8/21/2020.
- Individual #23: (Non-Jackson)**
- Face to face visit conducted on 8/13/2019. Monthly Site Visit Form entered / submitted in Therap on 9/19/2019.
 - Face to face visit conducted on 9/4/2019. Monthly Site Visit Form entered / submitted in Therap on 10/11/2019.
 - Face to face visit conducted on 10/16/2019. Monthly Site Visit Form entered / submitted in Therap on 11/25/2019.
 - Face to face visit conducted on 11/13/2019. Monthly Site Visit Form entered / submitted in Therap on 12/3/2019.
 - Face to face visit conducted on 12/18/2019. Monthly Site Visit Form entered / submitted in Therap on 1/14/2020.
 - Face to face visit conducted on 2/3/2020. Monthly Site Visit Form entered / submitted in Therap on 4/13/2020.
 - Face to face visit conducted on 3/9/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.
 - Face to face visit conducted on 4/9/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.
 - Face to face visit conducted on 5/13/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.

- Face to face visit conducted on 6/9/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.
 - Face to face visit conducted on 7/28/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.
- Individual #24:** (Non-Jackson)
- Face to face visit conducted on 8/22/2019. Monthly Site Visit Form entered / submitted in Therap on 9/19/2019.
 - Face to face visit conducted on 9/27/2019. Monthly Site Visit Form entered / submitted in Therap on 10/7/2019.
 - Face to face visit conducted on 10/14/2019. Monthly Site Visit Form entered / submitted in Therap on 11/20/2019.
 - ~~Face to face visit conducted on 11/12/2019. Monthly Site Visit Form entered / submitted in Therap on 8/21/2020. (Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)~~
 - Face to face visit conducted on 12/12/2019. Monthly Site Visit Form entered / submitted in Therap on 1/20/2020.
 - Face to face visit conducted on 2/26/2020. Monthly Site Visit Form entered / submitted in Therap on 3/25/2020.
 - Face to face visit conducted on 5/18/2020. Monthly Site Visit Form entered / submitted in Therap on 7/6/2020.
 - Face to face visit conducted on 6/29/2020. Monthly Site Visit Form entered / submitted in Therap on 7/6/2020.

- Face to face visit conducted on 7/7/2020. Monthly Site Visit Form entered / submitted in Therap on 8/21/2020.

Individual #25: (Non-Jackson)

- Face to face visit conducted on 8/27/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 9/26/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 10/24/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 11/26/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 12/18/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 1/29/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 2/25/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 3/23/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- ~~Face to face visit conducted on 4/17/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.~~ (Note: Removed

by IRF as this is an IDT Meeting and not required to be in Therap.)

- Face to face visit conducted on 5/8/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 6/12/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- ~~Face to face visit conducted on 7/17/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.~~ *(Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)*

Individual #26: (Non-Jackson)

- Face to face visit conducted on 8/30/2019. Monthly Site Visit Form entered / submitted in Therap on 9/19/2019.
- Face to face visit conducted on 9/6/2019. Monthly Site Visit Form entered / submitted in Therap on 10/7/2019.
- Face to face visit conducted on 10/29/2019. Monthly Site Visit Form entered / submitted in Therap on 11/20/2019.
- Face to face visit conducted on 11/26/2019. Monthly Site Visit Form entered / submitted in Therap on 12/4/2019.
- Face to face visit conducted on 1/20/2020. Monthly Site Visit Form entered / submitted in Therap on 2/18/2020.
- Face to face visit conducted on 3/31/2020. Monthly Site Visit Form entered / submitted in Therap on 4/23/2020.

- Face to face visit conducted on 4/30/2020. Monthly Site Visit Form entered / submitted in Therap on 5/29/2020.
 - Face to face visit conducted on 6/24/2020. Monthly Site Visit Form entered / submitted in Therap on 7/7/2020.
 - Face to face visit conducted on 7/30/2020. Monthly Site Visit Form entered / submitted in Therap on 8/21/2020.
- Individual #27: (Non-Jackson)**
- Face to face visit conducted on 8/6/2019. Monthly Site Visit Form entered / submitted in Therap on 9/15/2019.
 - Face to face visit conducted on 9/25/2019. Monthly Site Visit Form entered / submitted in Therap on 10/15/2019.
 - Face to face visit conducted on 10/8/2019. Monthly Site Visit Form entered / submitted in Therap on 12/2/2019.
 - Face to face visit conducted on 11/19/2019. Monthly Site Visit Form entered / submitted in Therap on 12/4/2019.
 - Face to face visit conducted on 2/11/2020. Monthly Site Visit Form entered / submitted in Therap on 3/23/2020.
 - Face to face visit conducted on 3/9/2020. Monthly Site Visit Form entered / submitted in Therap on 4/14/2020.
 - Face to face visit conducted on 6/23/2020. Monthly Site Visit Form entered / submitted in Therap on 7/18/2020.

Individual #29: (Non-Jackson)

- Face to face visit conducted on 8/21/2019. Monthly Site Visit Form entered / submitted in Therap on 9/19/2019.
- Face to face visit conducted on 9/27/2019. Monthly Site Visit Form entered / submitted in Therap on 10/12/2019.
- Face to face visit conducted on 10/24/2019. Monthly Site Visit Form entered / submitted in Therap on 11/25/2019.
- Face to face visit conducted on 11/4/2019. Monthly Site Visit Form entered / submitted in Therap on 12/5/2019.
- Face to face visit conducted on 12/20/2019. Monthly Site Visit Form entered / submitted in Therap on 1/15/2020.
- Face to face visit conducted on 2/20/2020. Monthly Site Visit Form entered / submitted in Therap on 4/15/2020.
- Face to face visit conducted on 3/17/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.
- Face to face visit conducted on 4/2/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.
- Face to face visit conducted on 5/19/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.
- Face to face visit conducted on 6/3/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.

- Face to face visit conducted on 7/2/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.
- Individual #30: (Non-Jackson)**
- Face to face visit conducted on 8/20/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - ~~Face to face visit conducted on 9/6/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.~~ (Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)
 - Face to face visit conducted on 10/11/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 11/8/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - ~~Face to face visit conducted on 12/6/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.~~ (Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)
 - Face to face visit conducted on 1/17/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 2/27/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 3/26/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.

- ~~Face to face visit conducted on 4/24/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020. (Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)~~
 - Face to face visit conducted on 5/7/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 6/17/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 7/16/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Individual #31: (Non-Jackson)**
- Face to face visit conducted on 9/24/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 10/31/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - ~~Face to face visit conducted on 11/18/2019. Monthly Site Visit Form entered / submitted in Therap on 8/18/2020. (Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)~~
 - Face to face visit conducted on 3/27/2020. Monthly Site Visit Form entered / submitted in Therap on 4/5/2020.
 - Face to face visit conducted on 4/10/2020. Monthly Site Visit Form entered / submitted in Therap on 5/20/2020.

- Face to face visit conducted on 5/27/2020. Monthly Site Visit Form entered / submitted in Therap on 6/17/2020.
 - Face to face visit conducted on 7/28/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.
- Individual #32:** (Non-Jackson)
- Face to face visit conducted on 8/6/2019. Monthly Site Visit Form entered / submitted in Therap on 9/15/2019.
 - Face to face visit conducted on 9/25/2019. Monthly Site Visit Form entered / submitted in Therap on 10/15/2019.
 - Face to face visit conducted on 11/19/2019. Monthly Site Visit Form entered / submitted in Therap on 12/8/2019.
 - Face to face visit conducted on 2/11/2020. Monthly Site Visit Form entered / submitted in Therap on 3/23/2020.
 - Face to face visit conducted on 3/9/2020. Monthly Site Visit Form entered / submitted in Therap on 4/13/2020.
 - Face to face visit conducted on 4/20/2020. Monthly Site Visit Form entered / submitted in Therap on 6/9/2020.
 - Face to face visit conducted on 6/30/2020. Monthly Site Visit Form entered / submitted in Therap on 7/19/2020.
- Individual #33:** (Non-Jackson)
- Face to face visit conducted on 9/25/2019. Monthly Site Visit Form entered / submitted in Therap on 10/7/2019

- Face to face visit conducted on 10/23/2019. Monthly Site Visit Form entered / submitted in Therap on 11/19/2019.
 - Face to face visit conducted on 12/13/2019. Monthly Site Visit Form entered / submitted in Therap on 1/8/2020.
 - Face to face visit conducted on 2/28/2020. Monthly Site Visit Form entered / submitted in Therap on 3/30/2020.
 - Face to face visit conducted on 4/15/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 5/6/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020
 - Face to face visit conducted on 6/19/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 7/27/2020. Monthly Site Visit Form entered / submitted in Therap on 8/19/2020.
- Individual #34: (Non-Jackson)**
- Face to face visit conducted on 8/7/2019. Monthly Site Visit Form entered / submitted in Therap on 9/16/2019.
 - Face to face visit conducted on 9/25/2019. Monthly Site Visit Form entered / submitted in Therap on 10/3/2019.
 - Face to face visit conducted on 10/17/2019. Monthly Site Visit Form entered / submitted in Therap on 11/5/2019.

- Face to face visit conducted on 11/21/2019. Monthly Site Visit Form entered / submitted in Therap on 12/11/2019.
 - Face to face visit conducted on 12/31/2019. Monthly Site Visit Form entered / submitted in Therap on 1/16/2020.
 - Face to face visit conducted on 2/18/2020. Monthly Site Visit Form entered / submitted in Therap on 3/25/2020.
 - Face to face visit conducted on 3/30/2020. Monthly Site Visit Form entered / submitted in Therap on 4/7/2020
 - Face to face visit conducted on 4/9/2020. Monthly Site Visit Form entered / submitted in Therap on 5/6/2020.
 - Face to face visit conducted on 5/6/2020. Monthly Site Visit Form entered / submitted in Therap on 6/4/2020.
 - Face to face visit conducted on 6/5/2020. Monthly Site Visit Form entered / submitted in Therap on 7/3/2020.
 - Face to face visit conducted on 7/15/2020. Monthly Site Visit Form entered / submitted in Therap on 8/13/2020.
- Individual #35: (Non-Jackson)**
- Face to face visit conducted on 8/29/2019. Monthly Site Visit Form entered / submitted in Therap on 9/18/2019.
 - Face to face visit conducted on 9/24/2019. Monthly Site Visit Form entered / submitted in Therap on 11/27/2019.

- Face to face visit conducted on 10/29/2019. Monthly Site Visit Form entered / submitted in Therap on 11/27/2019.
 - Face to face visit conducted on 1/23/2020. Monthly Site Visit Form entered / submitted in Therap on 2/20/2020.
 - Face to face visit conducted on 2/25/2020. Monthly Site Visit Form entered / submitted in Therap on 3/25/2020.
 - Face to face visit conducted on 3/27/2020. Monthly Site Visit Form entered / submitted in Therap on 4/21/2020.
 - Face to face visit conducted on 4/3/2020. Monthly Site Visit Form entered / submitted in Therap on 5/21/2020.
 - Face to face visit conducted on 5/7/2020. Monthly Site Visit Form entered / submitted in Therap on 6/17/2020.
 - Face to face visit conducted on 6/9/2020. Monthly Site Visit Form entered / submitted in Therap on 7/13/2020.
 - Face to face visit conducted on 7/21/2020. Monthly Site Visit Form entered / submitted in Therap on 8/10/2020.
- Individual #36:** (Non-Jackson)
- Face to face visit conducted on 2/10/2020. Monthly Site Visit Form entered / submitted in Therap on 3/2/2020.
- Individual #37:** (Non-Jackson)
- Face to face visit conducted on 8/7/2019. Monthly Site Visit Form entered / submitted in Therap on 9/16/2019.

- Face to face visit conducted on 9/18/2019. Monthly Site Visit Form entered / submitted in Therap on 10/15/2019.
 - Face to face visit conducted on 11/13/2019. Monthly Site Visit Form entered / submitted in Therap on 12/9/2019.
 - Face to face visit conducted on 1/20/2020. Monthly Site Visit Form entered / submitted in Therap on 2/18/2020.
 - Face to face visit conducted on 2/1/2020. Monthly Site Visit Form entered / submitted in Therap on 3/19/2020.
 - Face to face visit conducted on 3/26/2020. Monthly Site Visit Form entered / submitted in Therap on 4/23/2020.
 - Face to face visit conducted on 4/21/2020. Monthly Site Visit Form entered / submitted in Therap on 5/20/2020.
 - ~~Face to face visit conducted on 5/14/2020. Monthly Site Visit Form entered / submitted in Therap on 6/19/2020.~~ *(Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)*
 - Face to face visit conducted on 6/26/2020. Monthly Site Visit Form entered / submitted in Therap on 7/18/2020.
 - Face to face visit conducted on 7/29/2020. Monthly Site Visit Form entered / submitted in Therap on 8/21/2020.
- Individual #38:** (Non-Jackson)
- Face to face visit conducted on 10/4/2019. Monthly Site Visit Form entered / submitted in Therap on 11/5/2019.

Individual #39: (Non-Jackson)

- Face to face visit conducted on 8/14/2019. Monthly Site Visit Form entered / submitted in Therap on 9/20/2019.
- Face to face visit conducted on 9/11/2019. Monthly Site Visit Form entered / submitted in Therap on 10/14/2019.
- Face to face visit conducted on 10/23/2019. Monthly Site Visit Form entered / submitted in Therap on 11/26/2019.
- Face to face visit conducted on 11/13/2019. Monthly Site Visit Form entered / submitted in Therap on 12/6/2019.
- Face to face visit conducted on 12/11/2019. Monthly Site Visit Form entered / submitted in Therap on 1/16/2020.
- Face to face visit conducted on 1/15/2020. Monthly Site Visit Form entered / submitted in Therap on 2/4/2020.
- Face to face visit conducted on 2/12/2020. Monthly Site Visit Form entered / submitted in Therap on 4/30/2020.
- Face to face visit conducted on 3/18/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.
- Face to face visit conducted on 4/7/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.
- Face to face visit conducted on 5/8/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.

- Face to face visit conducted on 6/17/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.

- Face to face visit conducted on 7/15/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.

Individual #41: (Non-Jackson)

- Face to face visit conducted on 10/3/2019. Monthly Site Visit Form entered / submitted in Therap on 11/3/2019.

- Face to face visit conducted on 11/7/2019. Monthly Site Visit Form entered / submitted in Therap on 12/6/2019.

- ~~Face to face visit conducted on 12/10/2019. Monthly Site Visit Form entered / submitted in Therap on 1/9/2020.~~ (Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)

- Face to face visit conducted on 2/12/2020. Monthly Site Visit Form entered / submitted in Therap on 3/2/2020.

- Face to face visit conducted on 6/5/2020. Monthly Site Visit Form entered / submitted in Therap on 7/5/2020.

Individual #44: (Non-Jackson)

- Face to face visit conducted on 7/16/2020. Monthly Site Visit Form entered / submitted in Therap on 8/2/2020.

Individual #45: (Jackson)

- Face to face visit conducted on 8/30/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.

- Face to face visit conducted on 9/23/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 10/17/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 10/29/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 11/13/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 11/25/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 12/3/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- ~~Face to face visit conducted on 12/10/2019. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.~~ (Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)
- ~~Face to face visit conducted on 1/6/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.~~ (Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)
- Face to face visit conducted on 1/14/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.

- Face to face visit conducted on 2/27/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 2/28/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 3/18/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 3/31/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- ~~Face to face visit conducted on 4/7/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.~~ (Note: Removed by IRF as this is an IDT Meeting and not required to be in Therap.)
- Face to face visit conducted on 4/30/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 5/30/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 5/31/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 6/26/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Face to face visit conducted on 6/30/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.

- Face to face visit conducted on 7/6/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
 - Face to face visit conducted on 7/31/2020. Monthly Site Visit Form entered / submitted in Therap on 8/27/2020.
- Individual #46:** (Non-Jackson)
- Face to face visit conducted on 11/4/2019. Monthly Site Visit Form entered / submitted in Therap on 12/11/2019.
 - Face to face visit conducted on 12/17/2019. Monthly Site Visit Form entered / submitted in Therap on 8/20/2020.
 - Face to face visit conducted on 1/27/2020. Monthly Site Visit Form entered / submitted in Therap on 8/20/2020.
 - Face to face visit conducted on 2/5/2020. Monthly Site Visit Form entered / submitted in Therap on 8/20/2020.
 - Face to face visit conducted on 3/25/2020. Monthly Site Visit Form entered / submitted in Therap on 4/16/2020.
 - Face to face visit conducted on 4/2/2020. Monthly Site Visit Form entered / submitted in Therap on 5/18/2020.
 - Face to face visit conducted on 5/27/2020. Monthly Site Visit Form entered / submitted in Therap on 6/10/2020.
 - Face to face visit conducted on 6/24/2020. Monthly Site Visit Form entered / submitted in Therap on 7/12/2020.

- Face to face visit conducted on 7/14/2020. Monthly Site Visit Form entered / submitted in Therap on 8/17/2020.

Tag # 4C16 Req. for Reports & Distribution of ISP (Provider Agencies, Individual and / or Guardian)	Standard Level Deficiency		
<p>NMAC 7.26.5.17 DEVELOPMENT OF THE INDIVIDUAL SERVICE PLAN (ISP) - DISSEMINATION OF THE ISP, DOCUMENTATION AND COMPLIANCE:</p> <p>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:</p> <ol style="list-style-type: none"> (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; (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 <i>Jackson</i> 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 <i>Jackson</i> class members only, a copy of the completed ISP, with all relevant service provider strategies attached, shall be sent to the <i>Jackson</i> lawsuit office of the DDSD. <p>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 assure that all revisions or amendments to the ISP are distributed to all IDT members, not only those affected by the revisions.</p>	<p>Based on record review the Agency did not follow and implement the Case Manager Requirement for Reports and Distribution of Documents as follows for 1 of 46 Individual:</p> <p>Evidence indicated ISP was provided after 14-day window:</p> <ul style="list-style-type: none"> • Individual #20: <i>ISP approval date was 8/15/2019, ISP was sent to Guardian and Living Care Arrangement and Community Inclusion Providers on 9/16/2020.</i> 	<p>Provider: State your Plan of Correction for the deficiencies cited in this tag here (<i>How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?</i>): →</p> <p> </p> <p> </p> <p>Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here (<i>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?</i>): →</p> <p> </p> <p> </p>	<p> </p> <p> </p>

QMB Report of Findings – Unidas Case Management Inc. – Metro, Northeast – August 17 - 31, 2020

Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019

Chapter 6 Individual Service Plan (ISP) 6.7 Completion and Distribution of the ISP: The CM is required to assure all elements of the ISP and companion documents are completed and distributed to the IDT. However, DD Waiver Provider Agencies share responsibility to contribute to the completion of the ISP. The ISP must be completed and approved prior to the expiration date of the previous ISP term. Within 14 days of the approved ISP and when available, the CM distributes the ISP to the DDSD Regional Office, the DD Waiver Provider Agencies with a SFOC, and to all IDT members requested by the person.

Tag # 4C16.1 Req. for Reports & Distribution of ISP (Regional DDSD Office)	Standard Level Deficiency		
<p>NMAC 7.26.5.17 DEVELOPMENT OF THE INDIVIDUAL SERVICE PLAN (ISP) - DISSEMINATION OF THE ISP, DOCUMENTATION AND COMPLIANCE:</p> <p>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:</p> <ol style="list-style-type: none"> (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; (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. <p>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 assure that all revisions or amendments to the ISP are distributed to all IDT members, not only those affected by the revisions.</p>	<p>Based on record review the Agency did not follow and implement the Case Manager Requirement for Reports and Distribution of Documents as follows for 16 of 46 Individual:</p> <p>The following was found indicating the agency failed to provide a copy of the ISP within 14 days of the ISP Approval to the respective DDSD Regional Office:</p> <p>Evidence indicated ISP was provided after 14-day window:</p> <ul style="list-style-type: none"> • Individual #6: ISP approval date was 3/20/2020, ISP was sent to the DDSD Regional Office on 8/11/2020. • Individual #12: ISP approval date was 5/28/2020, ISP was sent to the DDSD Regional Office on 8/17/2020. • Individual #17: ISP approval date was 9/17/2019, ISP was sent to the DDSD Regional Office on 7/8/2020. • Individual #18: ISP approval date was 2/20/2020, ISP was sent to the DDSD Regional Office on 4/14/2020. • Individual #19: ISP approval date was 7/13/2019, ISP was sent to the DDSD Regional Office on 8/5/2019. • Individual #20: ISP approval date was 8/15/2019, ISP was sent to the DDSD Regional Office on 9/16/2019. • Individual #22: ISP approval date was 1/27/2020, ISP was sent to the DDSD Regional Office on 6/30/2020. 	<p>Provider: State your Plan of Correction for the deficiencies cited in this tag here (<i>How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?</i>): →</p> <p>Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here (<i>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?</i>): →</p>	

<p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>Chapter 6 Individual Service Plan (ISP) 6.7 Completion and Distribution of the ISP: The CM is required to assure all elements of the ISP and companion documents are completed and distributed to the IDT. However, DD Waiver Provider Agencies share responsibility to contribute to the completion of the ISP. The ISP must be completed and approved prior to the expiration date of the previous ISP term. Within 14 days of the approved ISP and when available, the CM distributes the ISP to the DDSD Regional Office, the DD Waiver Provider Agencies with a SFOC, and to all IDT members requested by the person.</p>	<ul style="list-style-type: none"> • Individual #23: <i>ISP approval date was 3/2/2020, ISP was sent to the DDSD Regional Office on 5/7/2020.</i> • Individual #24: <i>ISP approval date was 5/18/2020, ISP was sent to the DDSD Regional Office on 8/19/2020.</i> • Individual #25: <i>ISP approval date was 9/3/2019, ISP was sent to the DDSD Regional Office on 10/2/2019.</i> • Individual #29: <i>ISP approval date was 6/11/2020, ISP was sent to the DDSD Regional Office on 7/13/2020.</i> • Individual #34: <i>ISP approval date was 10/2/2019, ISP was sent to the DDSD Regional Office on 11/13/2019.</i> • Individual #35: <i>ISP approval date was 2/12/2020, ISP was sent to the DDSD Regional Office on 6/23/2020.</i> • Individual #36: <i>ISP approval date was 3/6/2020, ISP was sent to the DDSD Regional Office on 6/18/2020.</i> • Individual #37: <i>ISP approval date was 6/17/2020, ISP was sent to the DDSD Regional Office on 8/7/2020.</i> • Individual #38: <i>ISP approval date was 6/24/2020, ISP was sent to the DDSD Regional Office on 8/18/2020.</i> 		
--	--	--	--

Standard of Care	Deficiencies	Agency Plan of Correction, On-going QA/QI & 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		
<p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>Chapter 8 Case Management: 8.2 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:</p> <ol style="list-style-type: none"> 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 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) or MAD 046 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 	<p>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 18 Case Managers.</p> <p>When the Case Managers were asked, if the Individual had Therapies and if they knew why they are needed, the following was reported:</p> <ul style="list-style-type: none"> • #503 stated, "None." According to the Budget Worksheet, the Individual receives Behavioral and Speech Therapy. (Individual #6) 	<p>Provider: State your Plan of Correction for the deficiencies cited in this tag here (<i>How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?</i>): →</p> <p>Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here (<i>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?</i>): →</p>	

<p>8. maintain a complete record for each person in services, as specified in Chapter 20: Provider Documentation and Client Records and Appendix A Client File Matrix.</p> <p>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:</p> <ol style="list-style-type: none"> 1 Operating under the Employment First Principle and facilitating employment decisions based on informed choice.... 2 Monitoring to determine if reasonable accommodations are made including assistive technology. 3 Using PCP which aids people to advocate for themselves, as needed and when appropriate. 4 Notifying the DDS Regional Office, through the RORA process, if supports are unavailable. 5 Documenting through ISP meeting minutes, contact notes, or DDS issued forms and templates that decisions made by the person and/or the guardian are based on the completion of required elements of informed choice as outlined in Chapter 4.5 Informed Choice. 6 Educating other healthcare and DD Waiver Provider Agencies in recognizing and respecting the needs, strengths, and goals of the person. 7 Facilitating IDT meetings in a manner that promotes conflict free service and support coordination as described in Chapter 4.8 Conflict-Free Service and Support Coordination. 8 Ensuring that a discussion on individualized Meaningful Day activities occurs in the ISP meeting and is reflected in the ISP. 			
---	--	--	--

<p>9 Ensuring that a discussions of non-disability specific options and actions to increase self- determination occurs in the planning process, before development of the annual budget, and is documented in IDT meeting minutes, contact notes, or relevant DDSD Issued forms and templates.</p> <p>10 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. (See Appendix C HCBS Consumer Rights and Freedoms.)</p> <p>11 Confirming acknowledgement of the HCBS Consumer Rights and Freedoms with signatures of the person and guardian, if applicable.</p> <p>12 Reviewing the ISP Addendum A at least annually to discuss: Individual Client Rights, Client Complaint Procedure, the Dispute Resolution Process, and ANE reporting, with the person and guardian as applicable and in a form/format most understandable by the person.</p> <p>13 Confirming acknowledgement of the receipt Addendum A with signatures of the person and guardian, if applicable.</p> <p>14 Discussing and providing information regarding hospice services, palliative care, and end of life care, when appropriate.</p> <p>15 Leading the SFOC process as described in Chapter 4.7.2 Annual Review of SFOC including specific responsibilities to...</p> <p>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 training as specified in the Chapter 17: Training Requirements.</p>			
--	--	--	--

Standard of Care	Deficiencies	Agency Plan of Correction, On-going QA/QI & Responsible Party	Completion Date
<p>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.</p>			
<p>Tag # 1A08.2 Administrative Case File: Healthcare Requirements & Follow-up</p>	<p>Standard Level Deficiency</p>		
<p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>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 requirements: 3. The case file must contain the documents identified in <u>Appendix A Client File Matrix</u>.</p> <p>Chapter 3 Safeguards: 3.1.1 Decision Consultation Process (DCP): Health decisions are the sole domain of waiver participants, their guardians or healthcare decision makers. Participants and their healthcare decision makers can confidently make decisions that are compatible with their personal and cultural values. Provider Agencies are required to support the informed decision making of waiver participants by supporting access to medical consultation, information, and other available resources according to the following: 1. The DCP is used when a person or his/her guardian/healthcare decision maker has concerns, needs more information about health-related issues, or has decided not to follow all or part of an order, recommendation, or suggestion. This includes, but is not limited to: a. medical orders or recommendations from the Primary Care Practitioner, Specialists or other licensed medical or healthcare practitioners such as a Nurse Practitioner (NP or CNP), Physician Assistant (PA) or</p>	<p>Based on record review, the Agency did not maintain a complete client record at the administrative office for 1 of 46 individuals.</p> <p>Review of the Agency individual case files revealed the following items were not found, incomplete, and/or not current:</p> <p>Dental Exam:</p> <ul style="list-style-type: none"> Individual #23 - As indicated by the DDW Standards Dental Exams are to be conducted annually. No documented evidence of exam was found. 	<p>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?): →</p> <p>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?): →</p>	

<p>Dentist;</p> <ul style="list-style-type: none"> b. clinical recommendations made by registered/licensed clinicians who are either members of the IDT or clinicians who have performed an evaluation such as a video-fluoroscopy; c. health related recommendations or suggestions from oversight activities such as the Individual Quality Review (IQR) or other DOH review or oversight activities; and d. recommendations made through a Healthcare Plan (HCP), including a Comprehensive Aspiration Risk Management Plan (CARMP), or another plan. <p>2. When the person/guardian disagrees with a recommendation or does not agree with the implementation of that recommendation, Provider Agencies follow the DCP and attend the meeting coordinated by the CM. During this meeting:</p> <ul style="list-style-type: none"> a. Providers inform the person/guardian of the rationale for that recommendation, so that the benefit is made clear. This will be done in layman's terms and will include basic sharing of information designed to assist the person/guardian with understanding the risks and benefits of the recommendation. b. The information will be focused on the specific area of concern by the person/guardian. Alternatives should be presented, when available, if the guardian is interested in considering other options for implementation. c. Providers support the person/guardian to make an informed decision. d. The decision made by the person/guardian during the meeting is accepted; plans are modified; and the 			
---	--	--	--

IDT honors this health decision in every setting.

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:

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 is acceptable.
3. Provider Agencies are responsible for ensuring that all plans created by nurses, RDs, therapists or BSCs are present in all needed 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

<p>for the services provided by their agency.</p> <p>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.</p> <p>7. All records pertaining to JCMs must be retained permanently and must be made available to DDS upon request, upon the termination or expiration of a provider agreement, or upon provider withdrawal from services.</p> <p>20.5.3 Health Passport and Physician Consultation Form: All Primary and Secondary Provider Agencies must use the <i>Health Passport and Physician Consultation</i> form from 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 <i>Health Passport</i> also includes a standardized form to use at medical appointments called the <i>Physician Consultation</i> form. The <i>Physician Consultation</i> form contains a list of all current medications. Requirements for the <i>Health Passport and Physician Consultation</i> form are:</p> <p>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 <i>Health Passport and Physician Consultation</i> Form available at all times. Required sections of Therap include the IDF, Diagnoses, and Medication History.</p>			
--	--	--	--

Tag # 1A15.2 Administrative Case File: Healthcare Documentation (Therap and Required Plans)	Standard Level Deficiency		
<p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>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 requirements: 3. The case file must contain the documents identified in <u>Appendix A Client File Matrix</u>.</p> <p>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: 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 is acceptable. 3. Provider Agencies are responsible for ensuring that all plans created by nurses, RDs, therapists or BSCs are present in all needed settings. 4. Provider Agencies must maintain records</p>	<p>Based on record review, the Agency did not maintain a complete client record at the administrative office for 1 of 46 individuals.</p> <p>Review of the Agency individual case files revealed the following items were not found, incomplete, and/or not current:</p> <p>Health Care Plans:</p> <ul style="list-style-type: none"> • Bowel and Bladder Function <ul style="list-style-type: none"> • Individual #39 - As indicated by the eCHAT the individual is required to have a plan. No evidence of plan found. • Health Issues Prevented Desired Level of Participation <ul style="list-style-type: none"> • Individual #39 - As indicated by the eCHAT the individual is required to have a plan. No evidence of plan found. • Seizure Disorder <ul style="list-style-type: none"> • Individual #39 - As indicated by the eCHAT the individual is required to have a plan. No evidence of plan found. • Skin and Wound <ul style="list-style-type: none"> • Individual #39 - As indicated by the eCHAT the individual is required to have a plan. No evidence of plan found. • Spasticity <ul style="list-style-type: none"> • Individual #39 - As indicated by the eCHAT the individual is required to have a plan. No evidence of plan found. <p>Medical Emergency Response Plans:</p> <ul style="list-style-type: none"> • Aspiration Risk 	<p>Provider: State your Plan of Correction for the deficiencies cited in this tag here <i>(How is the deficiency going to be corrected? This can be specific to each deficiency cited or if possible an overall correction?):</i> →</p> <p>Provider: Enter your ongoing Quality Assurance/Quality Improvement processes as it related to this tag number here <i>(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?):</i> →</p>	

QMB Report of Findings – Unidas Case Management Inc. – Metro, Northeast – August 17 - 31, 2020

<p>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.</p> <p>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.</p> <p>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.</p> <p>7. All records pertaining to JCMs must be retained permanently and must be made available to DDS upon request, upon the termination or expiration of a provider agreement, or upon provider withdrawal from services.</p> <p>Chapter 3 Safeguards: 3.1.1 Decision Consultation Process (DCP): Health decisions are the sole domain of waiver participants, their guardians or healthcare decision makers. Participants and their healthcare decision makers can confidently make decisions that are compatible with their personal and cultural values. Provider Agencies are required to support the informed decision making of waiver participants by supporting access to medical consultation, information, and other available resources according to the following:</p> <p>2. The DCP is used when a person or his/her guardian/healthcare decision maker has concerns, needs more information about health-related issues, or has decided not to follow all or part of an order, recommendation,</p>	<ul style="list-style-type: none"> • Individual #39 - As indicated by the eCHAT the individual is required to have a plan. No evidence of plan found. • Seizure Disorder • Individual #39 - As indicated by the eCHAT the individual is required to have a plan. No evidence of plan found. 		
---	---	--	--

<p>or suggestion. This includes, but is not limited to:</p> <ul style="list-style-type: none"> a. medical orders or recommendations from the Primary Care Practitioner, Specialists or other licensed medical or healthcare practitioners such as a Nurse Practitioner (NP or CNP), Physician Assistant (PA) or Dentist; b. clinical recommendations made by registered/licensed clinicians who are either members of the IDT or clinicians who have performed an evaluation such as a video-fluoroscopy; c. health related recommendations or suggestions from oversight activities such as the Individual Quality Review (IQR) or other DOH review or oversight activities; and d. recommendations made through a Healthcare Plan (HCP), including a Comprehensive Aspiration Risk Management Plan (CARMP), or another plan. <p>2. When the person/guardian disagrees with a recommendation or does not agree with the implementation of that recommendation, Provider Agencies follow the DCP and attend the meeting coordinated by the CM. During this meeting:</p> <ul style="list-style-type: none"> c. Providers inform the person/guardian of the rationale for that recommendation, so that the benefit is made clear. This will be done in layman's terms and will include basic sharing of information designed to assist the person/guardian with understanding the risks and benefits of the recommendation. d. The information will be focused on the specific area of concern by the person/guardian. Alternatives should be presented, when available, if the 			
---	--	--	--

<p>guardian is interested in considering other options for implementation.</p> <p>c. Providers support the person/guardian to make an informed decision.</p> <p>d. The decision made by the person/guardian during the meeting is accepted; plans are modified; and the IDT honors this health decision in every setting.</p>			
---	--	--	--

Standard of Care	Deficiencies	Agency Plan of Correction, On-going QA/QI & 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 # 1A12 All Services Reimbursement	No Deficient Practices Found		
<p>Developmental Disabilities (DD) Waiver Service Standards 2/26/2018; Re-Issue: 12/28/2018; Eff 1/1/2019</p> <p>Chapter 21: Billing Requirements: 21.4 Recording Keeping and Documentation Requirements:</p> <p>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:</p> <ol style="list-style-type: none"> 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: <ol style="list-style-type: none"> 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 h. the nature of services. 3. 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. <p>21.9.2 Requirements for Monthly Units:</p>	<p>Based on record review, the Agency maintained all the records necessary to fully disclose the nature, quality, amount and medical necessity of services furnished to an eligible recipient who is currently receiving case management for 46 of 46 individuals.</p> <p><i>Progress notes and billing records supported billing activities for the months of May, June and July 2020.</i></p>		

<p>For services billed in monthly units, a Provider Agency must adhere to the following:</p> <ol style="list-style-type: none">1. A month is considered a period of 30 calendar days.2. At least one hour of face-to-face billable services shall be provided during a calendar month where any portion of a monthly unit is billed.3. Monthly units can be prorated by a half unit.4. Agency transfers not occurring at the beginning of the 30-day interval are required to be coordinated in the middle of the 30-day interval so that the discharging and receiving agency receive a half unit.			
--	--	--	--

Date: December 4, 2020

To: Kristen Pasquini-Johnson, Co-Owner / Quality Assurance Director / Case Manager

Provider: Unidas Case Management, Inc.

Address: 3301 Candelaria NE, Suite D

State/Zip: Albuquerque, New Mexico 87107

E-mail Address: kpjohnson@unidascm.org

Region: Metro and Northeast

Survey Date: August 17 – 31, 2020

Program Surveyed: Developmental Disabilities Waiver

Service Surveyed: **2018:** Case Management

Survey Type: Routine

Dear Ms. Pasquini-Johnson:

The Division of Health Improvement/Quality Management Bureau has received, reviewed and approved the supporting documents you submitted for your Plan of Correction. The documents you provided verified that all previously cited survey Deficiencies have been corrected.

The Plan of Correction process is now complete.

Furthermore, your agency is now determined to be in Compliance with all Conditions of Participation.

To maintain ongoing compliance with standards and regulations, continue to use the Quality Assurance (self-auditing) processes you described in your Plan of Correction.

Consistent use of these Quality Assurance processes will enable you to identify and promptly respond to problems, enhance your service delivery, and result in fewer deficiencies cited in future QMB surveys.

Thank you for your cooperation with the Plan of Correction process, for striving to come into compliance with standards and regulations, and for helping to provide the health, safety and personal growth of the people you serve.

Sincerely,

Monica Valdez, BS

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

Q.21.1.DDW.D3434.2,5.RTN.09.20.339