

CDSS Quality Assurance Monitoring Review Process

Fiscal Year 2015/16



Webcast Agenda

- Section 1: History and Authority
- Section 2: Purpose of Monitoring Review
- Section 3: State and County Responsibilities
- Section 4: Changes in Monitoring Process for fiscal year 15/16

Webinar Agenda Continued

- Section 5: On-Site Monitoring Review
 - Entrance Conference
 - Case Reviews Elements
 - Case Review Tool & Monitoring Review Summary
 - Home Visit(s)
 - Exit Conference
 - County Rebuttal Process
- Section 6: Post Review Activities
- Section 7: Monitoring Review Time Frames

History and Authority

History of IHSS Monitoring

- In 1993, CDSS established an IHSS monitoring function
- 2004 Quality Assurance Initiative key provisions Included:
 - Establishment of county QA function
 - State oversight of county QA activities
- 2004 Independence Plus Waiver; 2009 IHSS Plus Option
- 2013 Community First Choice Option approved
- Other program changes

Authority for CDSS Monitoring

- CDSS Quality Assurance Monitoring Review - Welfare and Institutions Code (WIC) sections 10600 and 10603
- County's QA program and the IHSS needs assessment process as mandated by WIC section 12305.70 and 12305.71

Purpose of Monitoring Review

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- Ensure uniformity in the authorization of services
- Ensure accurate and timely assessments of needs
- Partner and provide technical assistance
- Ensure county QA activities are aligned with their QA/QI plan
- Ensure quality of services provided to applicants and recipients

State and County Responsibilities

State Responsibilities

- Review Confirmation
- Analysis of CMIPS data
- Review County Policy & Procedures

State Responsibilities

Case Selection - Sample Size

- Very small (1-50) & Small Counties (51-999) = 25 cases reviewed
- Medium (1,000-9,999) = 40 cases reviewed
- Large (10,000-40,999) = 60 cases reviewed
- Very Large (50,000+) = 250 cases reviewed

State Responsibilities

Case Selection - Methodology

- 40% = Previously reviewed by County QA
- 30% = Severely Impaired, living alone
- 30% = Anomalies Identified in CMIPS
- 5-20 = Denied Cases

County Responsibilities

- County Organizational Chart
- Intake Policy & Procedures
- Request for Order and Consent - Paramedical (SOC 321)

County Responsibilities Continued

- Desk and Home Visit Review tools
- Remediation documents
- A list identifying cases selected for by County QA staff

County Responsibilities Continued

- Companion Cases Made Accessible to CDSS During the Monitoring Review
- CMIPS Access

County Responsibilities

Tabbed Forms in Case Files

Mandatory Forms:

- SOC 873 Health Certification
- SOC 827/864 Back up Plan/Risk Assessment
- SOC 426A Recipient Designation of Provider

Other Forms, when applicable:

- SOC 332 Recipient Responsibilities
- SOC 821 Protective Supervision
- SOC 825 24/7 Coverage Plan
- SOC 450 Voluntary Services

Changes in Monitoring Process for FY 15/16

Changes in Monitoring Process for Fiscal Year 15/16

- Reliance on CMIPS documentation
- Statewide Trend Comparison Charts
- Monitoring Case Review Tool changes

On-Site Monitoring Review

Entrance Conference

- Trend Charts
- Methodology
- CDSS Updates
- Case Review, Rebuttal Process and Review Summary
- Home Visit
- County Review Liaison

Statewide Trend Comparison Charts

- Authorized Caseload
- Severely Impaired % of caseload
- Protective Supervision % of caseload
- Paramedical Hours
- Authorized Hours per case
- Overdue Reassessments
- Initial Assessments
- IHSS SOC 824 Activities Report

Authorized Hours Per Case



Fiscal Year	County Total Authorized Hours	County - Avg/Case	Medium Counties - Avg/Case	Statewide Avg/Case	Chart Description
FY 2007-08	157,110	93.5	88.7	87.5	Authorized hours (e.p.l) divided by the average county authorized caseload. The authorized hours per case are higher than other medium-sized counties and the statewide averages.
FY 2008-09	161,341	96.4	89.1	88.0	
FY 2009-10	161,200	99.7	89.6	87.9	
FY 2010-11	161,497	102.4	88.8	86.6	
FY 2011-12	163,088	105.3	88.6	86.2	
FY 2012-13	169,108	97.6	90.0	89.1	
FY 2013-14	158,764	97.7	87.8	85.7	
FY 2014-15	169,108	97.6	90.0	89.1	

SOURCE: CMPS. FY data is an average of each month of each fiscal year (July to June).

Case Review Tool Elements

- Timeliness of Assessments
- Hourly Task Guideline Exceptions
- Case Narratives
- Protective Supervision
- Timeliness of Assessments
- Paramedical Services

Case Review Tool Elements Continued

- Proration
- Critical Incidents
- Alternative Resources
- County QA Desk Reviews and Home Visits
- Forms

Monitoring Case Review Tool Changes for fiscal year 15/16

- Reassessment compliance
- Unmet Needs
- Alternative Resources
- SOC 827/864
- County QA

County QA/QI Functions

MPP Section 30-702 required counties to establish a QA function to conduct QA/QI activities which include, but are not limited to, routine desk reviews and home visits.

County QA/QI Functions

- County QA Desk Review
- County Home Visit Review

Home Visit

- State QA accompanies county QA on home visit(s)
- Home visit(s) per county
 - Very small and small counties = 1 home visit
 - Medium county = 2 home visits
 - Large county = 3 home visits
 - Very large county = 12 home visits
- Home Visit Tool

Remediation

Maximum timeframes for:	A finding of “Immediate Action Required”	A finding of “Action Required”
Contesting	3 days	10 days
Resolving	10 days	45 days

Exit Conference

- Opportunity to share information with county staff
- Best practices
- Review of draft *Monitoring Review Summary*
- County QA cases and home visit feedback

Common Review Findings

- Functional Index (FI) ranking is inconsistent with case documentation
- Insufficient or missing calculations
- Availability of alternative resources
- HTG Exception Language
- Protective Supervision justification

Rebuttal Process

- State QA staff provides the county QA staff with a rebuttal form for each case with findings



Post Review Activities

Post-Review Activities

- Rebuttal Review
- Final letter with attachments is completed and mailed to county within 60 days of the Exit Conference
- Final letter is last step of monitoring review process

Post-Review Activities

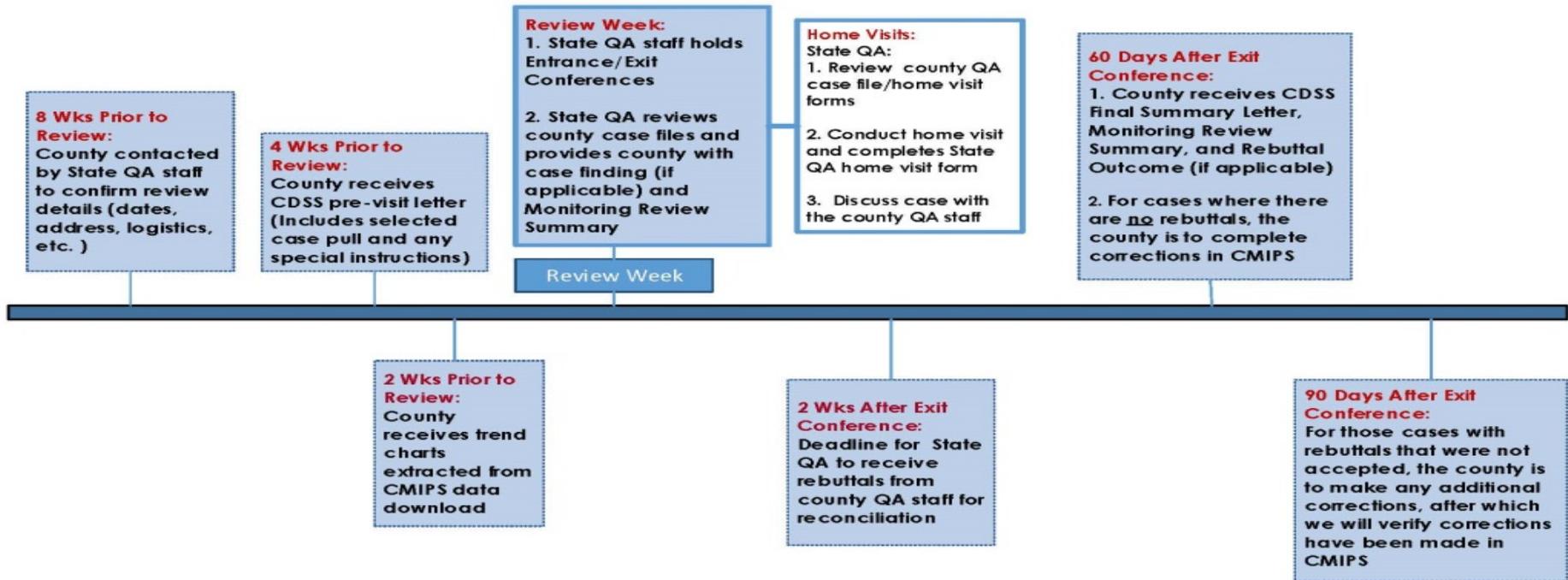
Corrections

- Cases with no rebuttals
- Cases with rebuttals that were **not** accepted

Monitoring Review Time Frames

Monitoring Review Time Frames

California Department of Social Services - In-Home Supportive Services Monitoring Review Timeframes



Key Milestones in Blue

For Further Information on QA Monitoring Process

- CWDA report: “In-Home Supportive Services, Past Present, and Future”
- Senate Bill 1104 (Ch. 229, Statutes of 2004)
- ACIN No. I-69-04
- ACIN No. I-24-05
- ACIN No. I-64-05
- ACL No. 06-35
- ACL No. 10-39
- ACL No. 13-23
- ACL No. 13-110
- MPP 12-30-702
- State Plan Amendment (SPA) Number 13

THANK YOU!

If you have any questions about this Webcast or the IHSS QA Monitoring process, please send them to IHSS-QA@dss.ca.gov for assistance.