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
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
Purpose of Monitoring Review

- 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
- 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
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

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>County Total Authorized Hours</th>
<th>County - Avg/Case</th>
<th>Medium Counties - Avg/Case</th>
<th>Statewide Avg/Case</th>
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<tr>
<td>FY 2007-08</td>
<td>157,110</td>
<td>93.5</td>
<td>88.7</td>
<td>87.5</td>
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<tr>
<td>FY 2008-09</td>
<td>161,341</td>
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<td>88.0</td>
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<td>FY 2009-10</td>
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<td>88.6</td>
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<td>87.8</td>
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<td>169,108</td>
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<td>90.0</td>
<td>89.1</td>
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Chart Description:
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.

Source: CMIPS. 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
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

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<th>Maximum timeframes for:</th>
<th>A finding of “Immediate Action Required”</th>
<th>A finding of “Action Required”</th>
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<tr>
<td>Contesting</td>
<td>3 days</td>
<td>10 days</td>
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<tr>
<td>Resolving</td>
<td>10 days</td>
<td>45 days</td>
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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
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

Review Week:
1. State QA staff holds Entrance/Exit Conferences
2. State QA reviews county case files and provides county with case finding (if applicable) and Monitoring Review Summary

Home Visits:
State QA:
1. Review county QA case file/home visit forms
2. Conduct home visit and completes State QA home visit form
3. Discuss case with the county QA staff

60 Days After Exit Conference:
1. County receives CDSS Final Summary Letter, Monitoring Review Summary, and Rebuttal Outcome (if applicable)
2. For cases where there are no rebuttals, the county is to complete corrections in CMIPS

2 Wks Prior to Review:
County receives trend charts extracted from CMIPS data download

2 Wks After Exit Conference:
Deadline for State QA to receive rebuttals from county QA staff for reconciliation

90 Days After Exit Conference:
For those cases with rebuttals that were not accepted, the county is to make any additional corrections, after which we will verify corrections have been made in CMIPS

Key Milestones in Blue

Updated: 6/22/2015
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.