

NEW BEGINNINGS ENTERPRISES, INC
COMMUNITY DEVELOPMENTAL DISABILITY ORGANIZATION

Policy Number: **110.0 Case Management**

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110.1 Case Management Billing Activity

110.2 Case Management Consequences

Regarding: KAR 30-63-32

Effective Date: 7.31.02

Revised Date: 1.13.09; 9.11.09; 11.22.11; 11.26.12

New Beginnings Enterprises, Inc. CDDO will ensure Targeted Case Management services are available for each person receiving services in the CDDO service area and requesting case management. Targeted Case Management shall assist persons and the person's support network to identify, select, obtain, coordinate, and use both paid services and natural supports as may be available to enhance the person's independence, integration, and productivity consistent with the persons capabilities and preferences as outlined in the person's person support centered plan.

Targeted Case Management may be provided by any qualified community service provider affiliated with New Beginnings Enterprises, Inc. CDDO to provide case management and chosen by the individual/legal guardian. The CDDO staff will assist the individual in completing the choice form and explain the right to change case managers if they choose. Qualified affiliates must offer a choice of case managers and identify how access to individuals will be provided. The CDDO reserves the right to reject access plans that cause the individual to incur personal expenses in reaching the case manager or do not provide for adequate access to the case manager. Case Management providers must offer a plan should the person served be in crisis. The plan will indicate how contact to the case manager will be made.

Procedure

For all individuals desiring case management, the CDDO staff will assist them in impartially choosing a case management service provider (CDDO Form 003) and completing the service provider choice form (CDDO Form 004) to be made available to the selected provider.

Once a service provider is selected, the individual can choose a case manager from those available.

The CDDO staff explains the right to change the Service Provider of case management and the method to do this:

- 1) Request a change in case manager to the CDDO Director.
- 2) A new service provider choice form (CDDO Form 004) is signed.
- 3) CDDO Director contacts both current and newly requested provider.
- 4) The new case manager facilitates and coordinates the transfer process.



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Case Managers must:

- A) Be selected by the person being served and/or the person guardian.
- B) Not be supervised by anyone responsible for the provisions or supervision of direct services to any person.
- C) Have the following qualifications;
 - 1) Six months experience in the field of Human Services unless the experience is being substituted for a college degree, then experience must be related to the field of developmental disabilities.
 - 2) Have a Bachelor's degree or additional experience in the field which may be substituted for the degree at the rate of six months of experience for each semester.
- D) Not provide any other direct service to any person except case management;
- E) Complete a training program which, has been developed by the provider of case management services, presented to the Council of Community Members and approved by the CDDO. The training will be consistent with the DD handbook requirements and include a minimum of:
 - a) Information regarding the various paid services and natural supports that enhance a person's independence, integration and productivity, consistent with the person's person-centered support plan;
 - b) Information regarding health and safety, including behavior management practices; abuse, neglect, and exploitation prevention and response; and individual rights and responsibilities;
 - c) Any information specified by the commissioner.

New Beginnings Enterprises, Inc. CDDO will require written evidence of the qualifications, position descriptions/duties, training verification and other relevant information for any person providing case management services. The CDDO will collect all information required from each affiliate providing case-management on a yearly basis upon execution of each affiliation agreement. If evidence is not complete the consequences for case-management will apply.

110.1 CASE MANAGEMENT BILLING ACTIVITY

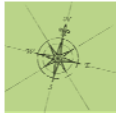
New Beginnings Enterprises, Inc. will assure that qualified service providers billing for case management services are trained and informed of the general activities that can be billed as case management.

Procedure

Case management billing shall be limited to the following (per TCM manual effective 2/2011):

Assessment of an eligible individual to determine service needs by:

- Taking the individuals history
- Identifying the individual's needs and completing the related documentation, and



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- Gathering information, if necessary, from other sources such as family members, medical providers, social workers, and educators, to form a complete assessment of the individual.

Development of a specific support / care plan:

- Is based on the information collected through the assessment,
- Specifies the goals and actions to address the medical, social, educational, and other service needs of the individual,
- Includes activities such as ensuring the active participation of the eligible individual, and working with the individual (or the individual's legal representative) and others to develop such goals, and identify a course of action to respond to the assessed needs of the individual.

Referral and related activities:

- To help and individual obtain needed services including:
- Activities that help link the individual with medical, social, educational providers, or other programs and services that are capable of providing needed services, such as making referrals to the providers for needed services and scheduling appointments for the individual.

Monitoring and follow- up activities including:

- Activities and contacts that are necessary to ensure the care plan is implemented and adequately addresses the individual's needs, and which may be with the individual, family members, providers, or other entities and conducted as frequently as necessary to determine:
 1. whether services are being furnished in accordance with the individual's care plan;
 2. whether the services in the care plan are adequate; and whether there are changes in the needs or status of the individual, and if so, making necessary adjustments in the care plan and service arrangements with the providers.

110.2 CASE MANAGEMENT CONSEQUENCES

To assure all persons receive quality case management services in the New Beginnings Enterprises, Inc. CDDO area, the CDDO will enforce the following procedures to impose consequences for failure to adequately perform case management duties, or for failure to comply with any requirements of KAR 30-63-32, CDDO policies and procedures, CDDO contract, or the CDDO affiliation agreement. For purposes of this policy and procedure, provider may be an agent providing case management services or a community service provider or organization.

Procedure

If a provider fails to adequately perform case management duties or is not in compliance with any requirements for providing targeted case management, New Beginnings Enterprises, Inc. may impose consequences



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including, but not limited to, the provider becoming disqualified and not being able to provide, bill, or receive payment for case management services.

- 1) If a provider fails to meet requirements, or does not adequately perform Targeted Case Management duties, the CDDO director will gather any necessary information and notify the provider in writing of the issue and concern.
- 2) New Beginnings Enterprises, Inc. CDDO, in addressing the situation, may request a plan of corrective action for the identified deficiency with dates for implementation and procedures to prevent the deficiency from recurring.
- 3) If the provider fails to correct the identified deficiency, or if the deficiency recurs, New Beginnings Enterprises, Inc. CDDO will notify the provider that they are on probationary status for a specified amount of time, during which it is expected the provider will take immediate action to correct the deficiency. During the probationary period, the provider may not accept new referrals.
- 4) At the end of the probationary period, based on the corrective actions of the provider, the CDDO will:
 - a) Notify the provider they have corrected the identified deficiency in which case the probationary period will end, the provider may again accept new referrals;
 - b) Or, continue the probationary period to review the full impact of the corrective action;
 - c) Or, notify the community service provider organization they have failed to correct the identified deficiency and that New Beginnings Enterprises, Inc. plans to terminate the affiliation agreement for case management services.
- 5) Providers who have been disqualified from providing case management services may not re-apply to provide case management services until they have provided evidence that they have satisfactorily completed the corrective action plan. Providers who re-apply may be placed on a probationary plan to determine that satisfactory services can be provided.