



Division of Disability and Rehabilitative Services

**Bureau of Quality Improvement Services**

# Case Record Reviews Interpretive Guidelines PCISP

# Case Record Reviews Interpretive Guidelines

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## Introduction

A Case Record Review (CRR) is conducted on a monthly basis utilizing a waiver-specific valid sampling methodology by the Bureau of Quality Improvement Services (BQIS). BQIS staff review files for waiver participants for case manager compliance with 460 IAC 7 and Community Integration and Habilitation and Family Supports waivers. Case record reviews include: review of the Person Centered-Individualized Support Plan (PCISP), risk assessment (embedded in PCISP), identified risk plans, annual choice of waiver services, non-waiver services or to not receive ICF/ID Medicaid services (BDDS Signature Page/Freedom of Choice Section), signed pick lists for each service, and an updated Person Centered-Individualized Support Plan (PCISP) when an individual's conditions or circumstances change.

For any item reviewed that is not in compliance, a corrective action plan (CAP) is required. If corrective action is necessary, an electronic notification is sent to the responsible party noting the corrective action, steps to resolve, and due date. BQIS verifies implementation of the corrective action and either closes the CRR or issues a second attempt for implementation by the responsible party.

## Definitions

Algo	The Inventory for Client and Agency Planning (ICAP) assessment determines an individual's level of functioning for broad independence and general maladaptive factors. The ICAP addendum, commonly referred to as the behavior and health factors, determines an individual's level of functioning on behavior and health factors. These two assessments determine an individual's overall Algo level, which can range from 0-5. Algos 0 and 5 are considered outliers representing those who are the lowest and the highest on both ends of the functioning spectrum.
BDDS Portal	System of record for individuals receiving supports through the BDDS Family Supports or Community Integration and Habilitation Waivers.
Corrective Action Plan	Upon identification of a compliance issue, a corrective action plan (CAP) is issued to correct the deficiency. The CAP includes specifications on the issue to be corrected and a timeline for completion.
Life Domain	Specific, connected, and integrated areas of life that are important to a good quality of life. These include daily life and employment, community living, safety and security, healthy living, social and spirituality, and citizenship and advocacy.
Pick List	A list of BDDS approved waiver providers for a specified service in a specified county. The individual/guardian must choose from the list of approved providers and sign indicating the choice of waiver providers.

## Acronyms in the Interpretive Guidelines

ALGO	Algorithm	DDRS	Division of Disability and Rehabilitative Services
BDDS	Bureau of Developmental Disabilities Services	FS	Family Supports Waiver
BQIS	Bureau of Quality Improvement Services	HCBS	Home and Community Based Services
BSP	Behavior Support Plan	IAC	Indiana Administrative Code
CAP	Corrective Action Plan	ICF/ID	Intermediate Care Facility for the Intellectually Disabled
CIH	Community Integration and Habilitation Waiver	IHCP	Indiana Health Coverage Program
CCB	Cost Comparison Budget	IST	Individualized Support Team
CRR	Case Record Review	PCISP	Person Centered-Individualized Support Plan

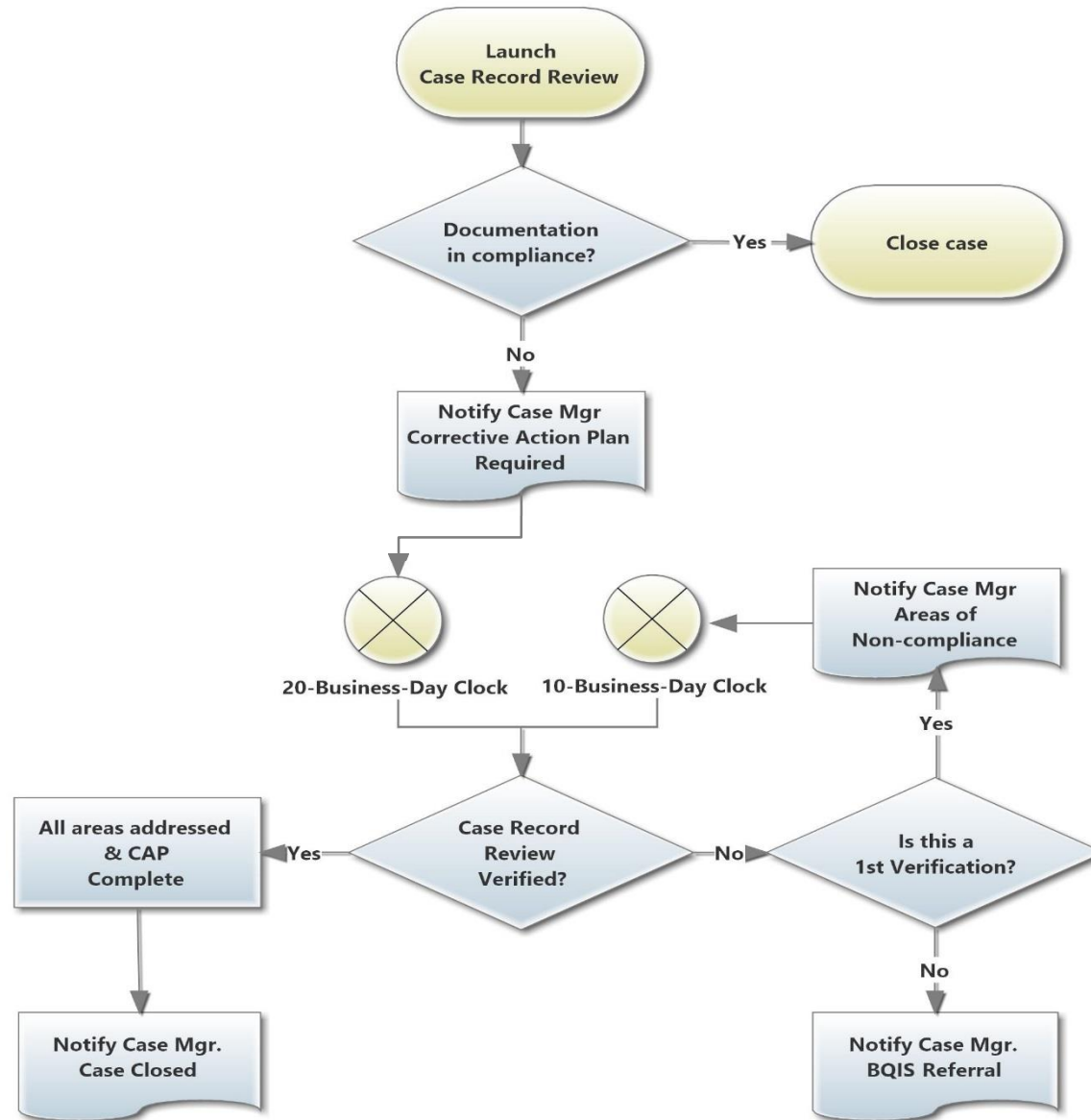
## Resources

Below are links with information to support the questions in the case record review:

- 460 IAC, Article 7: <http://www.in.gov/legislative/iac/T04600/A00070.PDF?&iacv=iac2012>
- Indiana Code 12-11: <http://iga.in.gov/legislative/laws/2017/ic/titles/012#12-11>
- DDRS Waiver Manual (Summer 2016): <https://www.in.gov/fssa/ddrs/2639.htm>
- IHCP HCBS Waivers Provider Reference Module (8/01/2018): <https://www.in.gov/medicaid/files/ddrs%20hcbs%20waivers.pdf>
- Community Integration and Habilitation Waiver (8/01/2018): <https://www.in.gov/fssa/ddrs/2639.htm>
- Family Supports Waiver (8/01/2018): <https://www.in.gov/fssa/ddrs/2639.htm>

# Case Record Reviews Process Map

## Case Record Review (CRR) For Case managers Corrective Action Plan (CAP) Processing



## Corrective Action Plan (CAP) Process

1. BQIS conducts a Case Record Review (CRR) and identifies a compliance issue.
2. BQIS notifies the Case Manager electronically that a CRR has been conducted and corrective action is required. (*Note: Notification will include a link directly back to the case in the Quality system to address the issue.*)
3. The Case Manager has twenty (20) business days to correct any deficiency identified in the initial CAP. (*Note: The Case Manager does not have to notify BQIS of completion.*)
4. BQIS verification of CAP implementation:
  - a. If the CAP is 'Implemented', the case is closed and the Case Manager is notified.
  - b. If the CAP is 'Not Implemented', the Case Manager will be notified and will have ten (10) additional business days to successfully implement the CAP or the case is referred to the BQIS Director for further action.

# Case Record Review Compliance Questions

Regulation/ Requirement	How compliance will be established	Potential CAP language
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## 1. Is the review of the PCISP consistent with 460 IAC?

<p>460 IAC 7</p> <p>CIH Waiver IN 0378 R03 04, Eff. 10/1/2017; IN.0378.R03.05, Eff. 8/1/2018;</p> <p>FS Waiver, IN 0378 R03 03, Eff. 10/1/2017; IN.0387.R03.04, Eff. 8/1/2018</p> <p>CIH/FS Waiver Performance Measure SP B.1</p>	<p>All sub-questions below must be in compliance for this question to be in compliance.</p>	<p>Update the PCISP so it is consistent with IAC and finalize in the BDDS Portal.</p>
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### 1.A. Has the PCISP had an annual update?

<p>460 IAC 7-4-5(2)</p>	<p>In the individual's profile within the BDDS Portal, the waiver tab identifies the annual due date of the PCISP. The annual PCISP must be finalized on or before this date.</p> <p>If the PCISP has been updated and finalized but it was completed after the annual due date, a citation will occur but a CAP will not be required.</p>	<p>Update the PCISP and finalize in the BDDS Portal.</p>
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### 1.B. Does the PCISP include personal and demographic information?

<p>460 IAC 7-5-2</p>	<p>The individual's personal and demographic information are auto-populated into the PCISP from the individual's profile in the BDDS Portal. The information in the PCISP will be validated that it was entered in the profile as required.</p>	<p>Update the individual's profile in the BDDS Portal with the individual's complete personal and demographic information and finalize the revised PCISP.</p>
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## 1.C. Does the PCISP include the individual's diagnosis or diagnoses?

460 IAC 7-5-3

The individual's diagnosis or diagnoses are auto-populated into the PCISP from the individual's profile. The information in the PCISP will be validated that it was entered in the profile as required.

Update the individual's profile with the diagnosis or diagnoses and finalize the revised PCISP.

## 1.D. Does the PCISP include the individual's emergency contacts?

460 IAC 7-5-4

The individual's emergency contacts are auto-populated into the PCISP from the individual's profile. The information in the PCISP will be validated that it was entered in the profile as required.

Update the individual's profile with emergency contacts and finalize the revised PCISP.

## 1.E. Does the PCISP list each person participating in the development of the plan?

460 IAC 7-5-6 and 7-5-7(a)

The "General" page of the PCISP must list each person participating in the team meeting and the development of the PCISP. The team meeting participants will be validated to ensure at least the case manager (or proxy) and the individual/guardian are listed.

Update the PCISP with each person participating in the development of the PCISP and finalize the revised PCISP.

## 1.F. Does the individual's PCISP identify a provider is needed to provide either health care or behavioral supports, and, if a provider is needed, the provider(s) identified?

460 IAC 7-5-8(a)(1)

The Life Domain of "Healthy Living" in the individual's PCISP must identify if a provider is needed to provide either health care or behavioral supports. The need will typically be identified under the 'Outcomes' or under 'Actions/Activities'. If a provider is needed for either health care or behavioral supports, the provider(s) must be identified.

Update the Life Domain of "Healthy Living" in the individual's PCISP to identify if a provider is needed to provide either health care or behavioral supports. If a provider is needed, the provider(s) is identified. Finalize the revised PCISP.



## 1.G. Are behavioral conditions identified in the PCISP?

460 IAC 7-5-8(a)(2)(J)	The Life Domain of “Healthy Living” in the individual’s PCISP includes behavioral conditions for the individual, as applicable.	Update the Life Domain of “Healthy Living” in the individual’s PCISP to identify behavioral conditions for the individual. Finalize the revised PCISP.
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## 1.H. Are doctors, dentists, and any specialists (as applicable) identified in the PCISP?

460 IAC 7-5-8(a)(3)	The individual’s doctors, dentists, and any specialists (as applicable) are auto-populated from the Healthy Living Providers section on the ‘Relationships’ page of the individual’s profile. The information in the PCISP will be validated that it was entered in the profile as required.	Update the “Healthy Living Provider” section on the ‘Relationships’ page of the individual’s profile with doctors, dentists, and any specialists (as applicable). Finalize the revised PCISP.
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## 1.I. Are environmental issues identified and addressed in the PCISP?

460 IAC 7-5-8(b)	The Life Domain of “Community Living” in the individual’s PCISP must identify any environmental requirements the individual may have. If environmental requirements exist, the PCISP must include the provider responsible, the specific requirement, how the environmental need affects the individual and how it is addressed by the PCISP.	Update the Life Domain of “Community Living” in the individual’s PCISP for the environmental requirements for the individual to include the provider responsible, the specific requirement, how the environmental need affects the individual and how it is addressed by the PCISP. Finalize the revised PCISP.
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## 1.J. Does the person’s PCISP include strategies used to meet the PCISP outcomes?

460 IAC 7-5-5(b)(4)	All services listed on the Service Plan must have an outcome and strategy except for Respite, Participant Assistance and Care (PAC), Transportation, and Behavioral Support Services. Respite and PAC must have a need listed in the Service Plan section. Transportation and Behavioral Support Services are not required to have an outcome and strategy or a need listed. The Life Domains of the individual’s PCISP will be reviewed to ensure each service listed on the Service Plan has an outcome and strategy or a need listed as defined by the service requirement.	Update the PCISP to include an outcome and strategy for each or a need listed for each service as defined by the service requirement on the Service Plan and finalize the revised PCISP.
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**Regulation/  
Requirement**

**How compliance will be established**

**Potential CAP language**

## 2. Does the PCISP address the individual's goals and preferences?

CIH Waiver IN 0378 R03 04, Eff. 10/1/2017; IN.0378.R03.05, Eff. 8/1/2018; FS Waiver, IN 0378 R03 03, Eff. 10/1/2017; IN.0387.R03.04, Eff. 8/1/2018

CIH/FS Waiver  
Performance Measure  
SP A.3

The PCISP Statement of Agreement section on the BDDS Signature Page containing the name of the individual; the PCISP box is checked; contains the corresponding PCISP Serial Number; and is signed by the individual/guardian will be used as evidence that the individual's desired goals and preferences were captured in the PCISP. The BDDS Signature Page with the above listed components for the PCISP Statement of Agreement section must be uploaded to the document library in the BDDS Portal within 30 calendar days following the annual meeting date.

If the document has been uploaded but is more than 30 calendar days past the annual meeting date, a citation will occur but a CAP will not be required.

Obtain a BDDS Signature Page with the PCISP Statement of Agreement section that contains the name of the individual; the PCISP box is checked; contains the corresponding PCISP Serial Number; and is signed by the individual/guardian and upload to the document library in the BDDS Portal.

Regulation/ Requirement	How compliance will be established	Potential CAP language
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### 3. Has the PCISP been updated whenever a change in the individual's condition or circumstances warrants the updating of the individual's PCISP?

<p>460 IAC 7-4-5(1)</p> <p>CIH Waiver IN 0378 R03 04, Eff. 10/1/2017; IN.0378.R03.05, Eff. 8/1/2018; FS Waiver, IN 0378 R03 03, Eff. 10/1/2017; IN.0387.R03.04, Eff. 8/1/2018</p> <p>CIH/FS Waiver Performance Measure SP C.1</p>	<p>In addition to an annual PCISP update, the PCISP must be updated whenever there is a change in the individual's condition or circumstances warrants an update. Conditions or circumstances that would require an update to the PCISP would include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• The needs or circumstances of the individual changes;</li> <li>• Services are added or removed;</li> <li>• Requested by the individual and/or guardian; or</li> <li>• For non-annual team meetings to record team discussion on outcomes and any related plan changes</li> </ul> <p>Individual's documentation will be reviewed for noted changes and compared to the PCISP for corresponding updates.</p>	<p>Update the PCISP to reflect changes identified and finalize the revised PCISP.</p>
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Regulation/ Requirement	How compliance will be established	Potential CAP language
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### 4. Does the individual have a completed Risk Assessment?

<p>CIH Waiver IN 0378 R03 04, Eff. 10/1/2017; IN.0378.R03.05, Eff. 8/1/2018; FS Waiver, IN 0378 R03 03, Eff. 10/1/2017; IN.0387.R03.04, Eff. 8/1/2018</p> <p>CIH/FS Waiver Performance Measure SP A.2</p>	<p>Within each Life Domain of the PCISP, the section on "Actions/Activities for My Safety &amp; Security" serves as the risk assessment. The Individual Support Team is required to assess the individual's risk in each Life Domain and document if a risk exists and if a risk plan is needed to support the individual in the identified risk area.</p>	<p>With the individual's support team, update the section on "Actions/Activities for My Safety &amp; Security" within each Life Domain of the PCISP. Finalize the revised PCISP.</p>
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Regulation/ Requirement	How compliance will be established	Potential CAP language
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## 5. Does the PCISP reflect the individual's needs and abilities?

<p>CIH Waiver IN 0378 R03 04, Eff. 10/1/2017; IN.0378.R03.05, Eff. 8/1/2018; FS Waiver, IN 0378 R03 03, Eff. 10/1/2017; IN.0387.R03.04, Eff. 8/1/2018</p> <p>CIH/FS Waiver Performance Measure SP A.1</p>	<p>Within the Life Domains of the PCISP, the section on “Important to Me” and “Important for Me” must identify the individual’s needs and abilities, as applicable.</p>	<p>Update the section(s) on “Important to Me” and “Important for Me” to identify the individual’s needs and abilities. Finalize the revised PCISP.</p>
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Regulation/ Requirement	How compliance will be established	Potential CAP language
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## 6. Does the individual's plan address their assessed needs and risks?

<p>CIH Waiver IN 0378 R03 04, Eff. 10/1/2017; IN.0378.R03.05, Eff. 8/1/2018; FS Waiver, IN 0378 R03 03, Eff. 10/1/2017; IN.0387.R03.04, Eff. 8/1/2018</p> <p>CIH/FS Waiver Performance Measure SP A.4</p>	<p>Within each Life Domain of the PCISP, the section on “Actions/Activities for My Safety &amp; Security” is to be assessed by the team. When the team determines a risk plan is needed, the risk plan must be uploaded to the individual’s document library in the BDDS Portal within 30 calendar days following the team meeting. The risk plan must have been reviewed/updated since the last annual meeting.</p> <p>If the risk plan has been uploaded but is more than 30 calendar days past the annual meeting date, a citation will occur but a CAP will not be required.</p> <p>If the case manager is unable to obtain a necessary risk plan from the provider, the case manager must ensure the requests are documented as a case note in the individual’s file.</p>	<p>Review/update risk plan if necessary. Upload risk plan to the individual’s document library in the BDDS Portal.</p>
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**Regulation/  
Requirement**

**How compliance will be established**

**Potential CAP language**

## 7. Is there an annual BDDS Signature Page with the Freedom of Choice section signed by the individual/guardian?

CIH Waiver IN 0378 R03 04, Eff. 10/1/2017; IN.0378.R03.05, Eff. 8/1/2018; FS Waiver, IN 0378 R03 03, Eff. 10/1/2017; IN.0387.R03.04, Eff. 8/1/2018

CIH/FS Waiver Performance Measure SP E.2

Freedom of Choice is required to be completed on an annual basis to ensure and document that waiver participants are afforded a choice of waiver services, non-waiver services or to not receive ICF/ID Medicaid services. The Freedom of Choice section on the BDDS Signature Page containing the name of the individual; the corresponding CCB Serial Number; and signed by the individual/guardian must be uploaded to the document library in the BDDS Portal within 30 calendar days of the annual meeting date associated with the CCB for the Annual PCISP.

If the BDDS Signature Page with the Freedom of Choice section signed by the individual/guardian has been uploaded but is more than 30 calendar days past the annual meeting date, a citation will occur but a CAP will not be required.

Obtain a BDDS Signature Page with the Freedom of Choice section containing the name of the individual; the corresponding CCB Serial Number; and signed by the individual/guardian and uploaded to the document library in the BDDS Portal.

**Regulation/  
Requirement**

**How compliance will be established**

**Potential CAP language**

## 8. Are there signed Pick Lists indicating provider choice?

CIH Waiver IN 0378 R03 04, Eff. 10/1/2017; IN.0378.R03.05, Eff. 8/1/2018; FS Waiver, IN 0378 R03 03, Eff. 10/1/2017; IN.0387.R03.04, Eff. 8/1/2018

CIH/FS Waiver Performance Measure SP E.3

A Pick List is used to ensure and document that the individual is afforded choice in waiver providers for a specified waiver service. A Pick List(s) are not required on an annual basis but are necessary when there is a change in provider. A Pick List signed by the individual/guardian for each waiver service on the most current Service Plan must be present in the individual's document library in the BDDS Portal.

- If the provider did not change from the previous Service Plan, is the original signed Pick List(s) present?
- If a change in the provider/service during the plan year occurred, is there a signed Pick List(s) present and dated within 30 calendar days of the Service Plan start date present?

Signed pick lists for each service must be uploaded in the individual's document library in the BDDS Portal.

If a Pick List was required for the plan year and it was uploaded more than 30 calendar days past the Service Plan start date, a citation will occur but a CAP will not be required.

Obtain a Pick List(s) for the identified service signed by the individual/guardian and upload to the document library in the BDDS Portal.