

Willowbrook Case Services & Willowbrook Service Coordination Review Protocol For Class Members Who Live in ICFs and Nursing Homes

Willowbrook Case Services (**WCS**) are advocacy services provided to class members who reside in ICFs. Willowbrook Service Coordination (**WSC**) are advocacy services provided to class members living in nursing homes or who are otherwise ineligible for Medicaid Service Coordination (MSC). Individuals receiving either WCS or WSC are not eligible for MSC because coordination services are already funded under both residential structures.

The OPWDD Central Office Willowbrook liaison will provide DQI with a listing of agencies that provide WCS, individuals who receive WCS and the ICFs in which they live. The OPWDD Central Office Willowbrook liaison will provide DQI with a listing of individuals who receive WSC and the nursing homes in which they live.

DQI will review a state-wide sample of 5% of Willowbrook Case Services using the following protocol for a sample of individuals residing in ICF's and the staff who provide the WCS service. DQI will review a 100% state-wide sample of Willowbrook Service Coordination for those class members who live in a Nursing Facility.

Please note, the individual in the 5% WCS sample should be observed and interviewed if possible as an adjunct to the ICF sample review.

General Information	
Agency ID:	Date:
Agency Name/Address	
Surveyor:	

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	Cite	Question	Not Met	Comments
WB101	WPI Appendix I Section I	1. The WCS Coordinator or WSC is a QIDP ...(SC)		
<p>Guideline: Look for evidence that:</p> <ul style="list-style-type: none"> • He/she is a QIDP • See ICF Interpretive Guidelines 483.430 (a)-(b)(5) for qualifications for a QIDP 				
WB102	WPI Appendix I Section I	2. The WCS Coordinator or WSC does not provide any other direct service to the individual and is independent from the residential and/or day services provider...(SC)		
<p>Guideline: The WSC or WCS Coordinator may not provide any other direct service to the individual. The WCS Coordinator cannot work for the agency that provides the ICF services. However, for WCS, OPWDD would waive the requirement that the coordinator must be independent from the day services provider agency if the class member or his/her advocate selects a WCS Coordinator from an <u>agency</u> (not the program) that provides day services to the class member. The WCS coordinator would need to meet all education, training and workload requirements listed in this document.</p>				
WB103	WPI Item # 8	3. The WCS Coordinator or WSC has a case load of no more than 20 individuals...(SC)		
<p>When even one class member is served on caseload, caseload compliance with the 20 work units is determined using the approved court ordered work standards:</p> <ul style="list-style-type: none"> • .5 when a class member resides in VOICF and served by a DDSO or voluntary WCS Coordinator • .5 when a class member resides in an SOICF and served by a voluntary WCS Coordinator • 1 when a class member resides in an SOICF and served by a state WCS Coordinator • 1 for individuals in any other living arrangement • 1 for individuals receiving PCSS 				
WB104	2011 MSC Manual Page 17-19	4. The WCS & WSC complies with all training obligations for MSCs...(SC)		
<p>Guideline: Look for evidence that the WCS Coordinator or WSC:</p> <ul style="list-style-type: none"> • has completed OPWDD- approved core service coordination training within 6 months of hire • attends 15 hours of professional development training annually <p>Evidence must be based on review of training records and interview of the WSC/WCS regarding what training they have received and their understanding of person-centered plan development, advocacy, etc.</p>				

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WB105	2011 MSC Manual Page 30	5. The WSC or WCS has received incident management training...(SC)		
<p>Guideline: Look for evidence that the WCS Coordinator or WCS:</p> <ul style="list-style-type: none"> • Can identify abuse and understands the definitions of abuse • is trained on and understands incident management requirements Knows his/her responsibilities if abuse is observed or reported <p>Evidence must be based on review of training records and interview of the WSC/WCS regarding what training they have received and their understanding of abuse and their knowledge of their responsibility to report.</p>				
WB106	WPI Appendix I Section I	6. The WSC or WCS has received training on the Willowbrook Injunction and entitlements...(SC)		
<p>Guideline: Look for evidence that the WCS Coordinator or WCS:</p> <ul style="list-style-type: none"> • understands and adheres to the requirements contained within Appendix One of the Willowbrook Permanent Injunction for Service expectations • attends training on expectations for services for class members <p>Evidence must be based on review of training records and interview of the WSC/WCS regarding what training they have received and knowledge of Willowbrook entitlements</p>				
RIGHTS				
WB107	WPI Appendix I Section II.1.a	7. The WCS or WSC advocates for the rights and entitlements of the class members in the residential program, in the day or work program, and in all spheres of the class member's life...(SC)		
<p>Guideline: Look for evidence that the WCS or WSC is alert to limitations to rights and entitlements. Willowbrook entitlements include:</p> <ul style="list-style-type: none"> • <i>Plans to address personal safety needs</i> • <i>a safe physical environment</i> • <i>adequate staffing to provide supports and services</i> • <i>active treatment which promotes independence</i> • <i>appropriate services, based on individuals' personal strengths, needs and goals</i> • <i>individualized strategies for community inclusion. For individuals in nursing homes, individual strategies for community inclusion should include, as applicable, discharge strategies and identification of services and supports needed by the individual to return to and be maintained in his/her community.</i> • <i>acquisition of informed consent</i> • <i>adequate staff coverage in the event of hospitalization</i> • <i>individualized strategies for money management</i> • <i>appropriate supports as the WB class member ages</i> 				

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<p>Rights guaranteed to all individuals are listed in 14NYCRR Part 633. Review of the case management record should indicate that the WCS or WSC has identified when rights are limited and has taken action to get the situation corrected. If there is no evidence that rights have been limited, the surveyor can assume that the WCS or WSC has advocated effectively.</p>				
WB108	WPI Item. 17	8. The individual has received a <i>Notice of Rights... (IND)</i>		
<p>Guideline: Look to see that the <i>Notice of Rights</i> is prominently displayed in the WB class member's records: residential, day and case services NOTICE OF RIGHTS [Revised 5/2006], printed on sturdy purple paper stock, must be placed prominently in each class member's record, including residential, day and WSC/WCS records</p>				
WB109	WBI Item 15	9. The WCS Coordinator or WSC ensures that procedural and substantive due process requirements are met with regard to the class members and the class member representatives...(SC)		
<p>Guideline: In the event that it is determined that a WB class member no longer requires or is eligible for ICF/DD services or nursing home services, or that a non-emergent change in residence is needed, the WCS Coordinator or WSC ensures that all due process is met and that WB interested parties are notified*, per paragraph 15 of the Willowbrook Injunction. There should be evidence in the case file of the above.</p>				
WB110	WPI Appendix I Section II.1.b	10. The WCS Coordinator or WSC ensures active representation, either by the class member, the correspondent or Consumer Advisory Board (CAB)...(SC)		
<p>Guideline:</p> <ul style="list-style-type: none"> • Active representation is defined as participating with the interdisciplinary team in evaluating the development plan or at least annual visits with the class member. Phone calls or simply signing consents does not qualify as active representation. • Quarterly reports to OPWDD re: active representation and caseload information are made by the WCS or WSC and should be available for review. 				
<p>ADVOCACY</p>				
WB111	WPI Appendix I Section II.1.c	11. The WCS Coordinator or WSC advocates for a long-term view for the class member that assures appropriately high but realistic expectations for growth, movement and independence.(SC)		
<p>Guideline: Look for evidence that WCS or WSC advocates for:</p> <ul style="list-style-type: none"> • programs and services which create personal independence and self-fulfillment 				

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<ul style="list-style-type: none"> • services to support the class member as he/she ages within his/her residence and day program, or other appropriate settings • the class member's participation as a member of his/her community. • Individual End of Life planning <p>Evidence can be obtained by record review or interview. Case notes, the individual service plans or interview with the WSC or WCS should indicate that the above are discussed and included in the individual's plan of services if and when appropriate.</p> <p>There should also be evidence that the plan is revised as the person ages and needs and/ or capabilities change.</p> <p>Please note that the WSC or WCS does not write the plan but should advocate for changes when needed. Case notes should document advocacy efforts and resolution.</p>				
WB112	WPI Appendix I Section II.2.b	12. The WCS Coordinator or WSC monitors that all necessary assessments have been completed or scheduled and documented...(SC)		
<p>Guideline: Look for evidence* that the WCS or WSC Coordinator confirms completion and <u>follow up</u> of current, appropriate professional assessments of the class member's needs, including where applicable, but not limited to:</p> <ul style="list-style-type: none"> • medical, psychosocial, habilitative, psychological, speech therapy, food and nutrition, physical therapy, and occupational therapy • a money management assessment and Personal Expenditure Plan should also be completed by the ICF/DD • The WCS Coordinator reviews and maintains these assessments in the individual case record 				
WB113	WPI Appendix I Section II.2.b	13. If the WCS or WSC identifies a need for an assessment that has not been completed, there is evidence that he/she advocates that assessment occurs...(SC)		
<p>Guideline: Case notes should identify efforts to advocate for the assessment.</p>				
WB114	WPI Appendix I Section II.3.a	14. The WCS Coordinator or WSC checks that all appropriate parties, including the class member, the correspondent, the Mental Hygiene Legal Services (MHLS) and the CAB representatives (to the extent it represents the class member), are invited to interdisciplinary treatment team meetings...(SC)		
<p>Guideline: Look for evidence that the WCS Coordinator or WSC reviews a list of invitees and notifies MHLS of the meetings on behalf of the member. Evidence can be written or obtained through interview of invitees.</p>				
WB115	WPI Appendix	15. The WCS Coordinator or WSC checks that all appropriate parties,		

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	I Section II.3.a	including the class member, the correspondent, the Mental Hygiene Legal Services (MHLS) and the CAB representatives (to the extent it represents the class member), attend the interdisciplinary treatment team meetings...(SC)		
<p>Guideline: Look for evidence that the WCS Coordinator or WSC attends the treatment team meetings and notifies MHLS of the meetings on behalf of the member. There should be an entry in the case notes about the meeting. If there appears to be a pattern of a specific person failing to attend the meeting, interview the person when possible to determine the reason for the failure to attend. Was it preventable? Should the WCS or WSC have advocated for a change in the meeting so all could attend?</p>				
WB116	WPI Appendix I Section II.3.c	16. The WCS Coordinator or WSC advocates that the class member's developmental plan is reviewed by the class member's interdisciplinary team at least annually and more frequently when required by the class member's individual needs...(SC)		
<p>Guideline: If more frequent reviews are needed, or requested by class member, the correspondent, CAB or MHLS, (to the extent it represents the class member), look for evidence that the WCS Coordinator or WSC informed the QIDP or treatment coordinator and IDT of the need for additional review(s)</p>				
WB117	WPI Appendix I Section II.7	17. The WCS Coordinator or WSC assists the QIDP, treatment coordinator and/or IDT members in linking to services and/or in support during crisis intervention, as needed...(SC)		
<p>Guideline: The ICF's QIDP or the individual's treatment coordinator directs the activities of the IDT during times that new services are being sought or during a time of crisis for support of the individual and/or family. However, look for evidence that the WCS Coordinator or WSC has offered and provided assistance, when and if needed. This includes assistance with linking an individual in a nursing home to services in the community when requested by the nursing home IDT or treatment coordinator.</p>				
WB118	WPI Appendix I Section II.8	18. The WCS Coordinator or WSC reviews the individual's plans of services and goals, and reports of the class member's progress...(SC)		
<p>Guideline: Look for evidence* that the WCS Coordinator or WSC:</p>				

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<ul style="list-style-type: none"> • reviews the class member's program records, including a review of documentation of community inclusion experiences • Evidence can be based on record review or interview of the individual, his/her advocate or the WSC/WCS. 				
WB119	WPI Appendix I Section II.8.a	19. If the WCS Coordinator or WSC identifies a lack of individual strategies or progress, he/she advocates for change...(SC)		
<p>Guideline: Look for evidence* that the WCS Coordinator:</p> <ul style="list-style-type: none"> • advocates for implementation of individual inclusion strategies and services, per the plan. • Evidence can be based on record review or interview of the individual, his/her advocate and the WSC/WCS. • WSC/WCS case notes should document advocacy efforts and resolution. 				
WB120	WPI Appendix I Section II.8.c	20. If the class member is involved in a reportable incident, the WCS Coordinator or WSC ensures that the event is reported to appropriate authorities...(SC)		
<p>The ICF or nursing home is responsible for these same actions, but look for evidence in WSC/WCS case notes that the WCS Coordinator or WSC:</p> <ul style="list-style-type: none"> • monitors the safety of the class member and ensures that sufficient actions are taken by the provider to protect the person from harm • reports any allegations identified by the nursing home to OPWDD • monitors the timely completion of notifications consistent with the Willowbrook Permanent Injunction • is alert to evidence of abuse, neglect or intimidation and ensures that allegations are reported • advocates for corrective actions if the class member experiences an unusual number of adverse events, which may reflect issues related to staffing, staff training and programming • documents the resolution of advocacy efforts <p>For individuals who live in nursing homes, the case management notes should include a description of adverse events involving the individual, a description of the WSC's actions on behalf of the person, and resolution.</p>				
WB121	WPI Appendix I Section II.8.c	21. If the class member is involved in a reportable incident, the WCS Coordinator or WSC ensures that immediate protections were implemented...(SC)		
<p>The ICF or nursing home is responsible for these same actions, but look for evidence in WSC/WCS case notes that the WCS Coordinator or WSC:</p> <ul style="list-style-type: none"> • monitors the safety of the class member and ensures that sufficient actions are taken by the provider to protect the person from harm • reports any allegations identified by the nursing home to OPWDD • monitors the timely completion of notifications consistent with the Willowbrook Permanent Injunction • is alert to evidence of abuse, neglect or intimidation and ensures that allegations are reported • advocates for corrective actions if the class member experiences an unusual number of adverse events, which may reflect issues related to staffing, staff training and programming 				

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<ul style="list-style-type: none"> documents the resolution of advocacy efforts <p>For individuals who live in nursing homes, the case management notes should include a description of adverse events involving the individual, a description of the WSC's actions on behalf of the person, and resolution.</p>				
WB122	WPI Appendix I Section II.8.c	22. If the class member is involved in a reportable incident, the WCS Coordinator or WSC ensures that preventive actions and other needed follow-up occur...(SC)		
<p>The ICF or nursing home is responsible for these same actions, but look for evidence in WSC/WCS case notes that the WCS Coordinator or WSC:</p> <ul style="list-style-type: none"> monitors the safety of the class member and ensures that sufficient actions are taken by the provider to protect the person from harm reports any allegations identified by the nursing home to OPWDD monitors the timely completion of notifications consistent with the Willowbrook Permanent Injunction is alert to evidence of abuse, neglect or intimidation and ensures that allegations are reported advocates for corrective actions if the class member experiences an unusual number of adverse events, which may reflect issues related to staffing, staff training and programming documents the resolution of advocacy efforts <p>For individuals who live in nursing homes, the case management notes should include a description of adverse events involving the individual, a description of the WSC's actions on behalf of the person, and resolution.</p>				
PROGRAM REQUIREMENTS				
WB123	WPI Appendix I Section II.4.a	23. The WCS Coordinator or WSC maintains an individual record for the individual; including the plan for needs and services, persons responsible, and plans for data maintenance and monitoring...(SC)		
<p>Guideline: Although the provider agency's QIDP or treatment coordinator maintains these records and writes a monthly summary of the Individual's progress and possible needs of program revision, the WCS Coordinator or WSC must also keep a copy of all of this information so that effective advocacy can be provided.</p>				
WB124	WPI Appendix I Section II.4.b	24. The WCS Coordinator or WSC prepares monthly case notes reflecting visits and progress...(SC)		
<p>Guideline: Ensure that case notes include documentation of:</p> <ul style="list-style-type: none"> WCS Coordinator or WSC contacts and advocacy with: <ul style="list-style-type: none"> the service providers regarding the status of delivery of services the class member/advocate regarding delivery of services and satisfaction 				

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<ul style="list-style-type: none"> • relevant information about the class member’s life; i.e., major events, changes and issues • progress made by the class member in attaining his/her goals and objectives, including, for class members in nursing homes, progress toward returning to his/her community, if applicable. . 				
WB125	2011 MSC Vendor Manual Pg.56	25. Case notes include evidence of monthly face to face visits to the class member...(IND)		
<p>Guideline: Face-to-face contacts must be made monthly at either the residence or day services location, if the person attends a day program</p> <ul style="list-style-type: none"> • There is discretion as to the location of the face-to-face contact but a class member must be seen at both locations (if the person attends a day program) over the course of each quarterly period • There is no exception to the monthly face-to-face requirement for class members • No monthly billing without face-to-face contact 				
WB126	2011 MSC Vendor Manual Pg. 88	26. The case record includes completion of the SCOR form at least every six months and more often as needed...(IND)		
<p>Guideline: One of these must be done together with the local CAB.</p>				
WB127	2011 MISC Vendor Manual Pg. 89	27. The case notes describe advocacy efforts and resolution if a SCOR identifies issues that need correcting...(IND)		
WB128	WPI Appendix I Section II.8.b	28. The WCS Coordinator ensures that appropriate parties are kept informed of the individual’s status...(SC)		
<p>Guideline: Look for evidence that the WCS Coordinator or WSC monitors that the class member’s correspondent or CAB and MHLS representatives (to the extent it represents the class member) are informed of the class member’s:</p> <ul style="list-style-type: none"> • educational, vocational and living skills • progress • medical condition • matters relevant to his or her care, treatment and development. <p>Evidence can be based on record review or interview of the individual, his/her advocate, the CAB or other stakeholders who should be kept informed</p>				