

**Office for Citizens with Developmental Disabilities
Request for Services Registry**

**Interim Validation Process for Individuals on the Request for Services Registry
residing in Private Nursing Homes and Intermediate Care Facilities for the
Developmentally Disabled**

I. Pre-Validation

A. Office for Citizens with Developmental Disabilities (OCDD) will conduct training for staff from OCDD, Long Term and Community Living Ombudsmen, and the Local Governing Entity (LGE) who may participate in the face to face validation of individuals on the Request for Services Registry (RFSR) living in private nursing home (NH) and intermediate care facilities for the developmentally disabled (ICF/DD). Each agency will identify staff in each region that may participate in the validation visits and send a list of the staff, with their phone numbers and email addresses, to the Developmental Disabilities RFSR Manager within by close of the next business day.

B. The RFSR Manager will obtain list of individuals in Nursing Homes (NH) and Intermediate Care Facilities for the Developmentally Disabled (ICF/DD) currently on the RFSR separated by facility and region. This list will include all contact information for the individual and family member/legal guardian, legal status of the individual and other relevant information found in the Participant Services Database at OCDD. Additionally, the RFSR Manager will identify those individuals residing in NHs and ICF/DDs who responded to the most recent "mail-out" validation (November 2013 to March 2014) by Statistical Resources Inc (SRI). Individuals who responded to the validation or who contacted SRI, the RFSR Manager or the LGE office to update their information on the Registry between March 2013 and March 2014, will not be included in face to face validation. These individuals are listed as "active" on the RFSR.

C. The RFSR Manager will send updated lists, not including those individuals who responded to validation or updated their Registry information in the past year, to the Division Directors by March 31, 2014. The Directors will divide the list amongst assigned staff from the different agencies to complete the validation visits.

D. In addition to the lists of individuals and their contact information, the RFSR Manager will send the *RFSR Validation Packets* that include all documents to be completed as part of validation, with return envelopes, to the Division Directors. The validation packets will be sent by the close of the next business day following the training. Copies of any validation documents revised following the training will be mailed directly to the Division Directors, as soon as they are approved for dissemination by OCDD administration. The RFSR Manager will document when each list and packets were sent, and to whom, on the *OCDD Validation in Private NH and ICF/DD Tracking Form*.

Validation Packets will include:

- *Interim validation process*
- *Validation packet checklist*
- *Telephone script*
- *Script for face to face validation visit*

- *Individual information update sheet*
- *Validation decision (active/inactive or removal) forms (two copies)*
- *OCDD brochure and LGE contact list*
- *Tracking forms (RFSR Manager, LGE, Validation Team)*
- *Return Envelopes*

E. The interim Assistant Secretary will send an email to all Directors of NHs and ICF/DDs notifying them that staff from OCDD and the LGE will be meeting with some of the individuals in their facilities.

F. OCDD has requested information about these individuals (e.g., communication and cognitive ability; desire to remain or leave the facility; if they would want/need help when transitioning from the facility to the community; legal status; individuals who they would like to participate in the validation visits with) from the Long-Term Care (LTCO) and Community-Living Ombudsmen (CLO). The LTCOs have agreed to gather this information during regularly scheduled monthly visits at the NHs and send it to OCDD. Gina Easterly will obtain and disseminate this information to the Division Directors as soon as it is received. The State Coordinator for the LTCO said to expect that this information will be sent by April 4, 2014.

The CLO have not committed to participating in validation yet. We are hoping that when they receive our response, addressing their concerns, they will be willing to participate.

G. The Division Director or designated staff at the LGE will send the lists of individuals, their contact information, information from the LTCO (and CLO, if received) and packets to the assigned staff in the LGE and OCDD. The LGE will use the *LGE Validation in Private NH and ICF/DD Tracking Form* to document receipt of the information from the RFSR Manager including when and from whom the information was sent. A master list, including which validation team member was assigned to what individual, will be sent to the RFSR Manager within 2 days of making the validation assignments. The Division Director or designated staff will document when the master list was sent to the RFSR Manager on the *LGE Validation in Private PH and ICF/DD Tracking Form*.

H. Once the lists with contact information for the individuals, legal guardians and/or family are received, staff from the validation team will record receipt of this information on the *Validation Team Visits in Private NH and ICF/DD Tracking Form*.

I. Using the contact information sent by the RFSR Manager and the *telephone script*, the validation team will contact the individuals and briefly explain the validation process; including scheduling a face to face meeting with them and anyone else they want to participate in the validation visit. If the individuals choose to have others (e.g., family members, friends, and authorized representatives) participate in the meeting, verbal and/or written permission will be obtained prior to contacting these individuals. All communication attempts to the individuals and/or family members/legal guardians, including date of call or face to face visit; if a message was left to return the call or have the individual contact the validation team; permission obtained to contact friends and/or family members, must be documented on the designated tracking form. Once a visit is confirmed, the validation team will document the date and time of the scheduled validation visit on the *Validation*

Team Visits in Private NH and ICF/DD Tracking Form. The LGE/OCDD staff will send the scheduled meeting date and time to their local Community Living Ombudsmen.

J. The validation team member will make a reminder phone call to the individual, legal guardian, family member and/or friend, with permission, within 1 to 3 working days of the scheduled interview to confirm the date, time, and location of the visit.

K. Following 3 consecutive attempts to contact an individual and/or legal guardian using all available contact information, the validation team member will email the LGE Division Director and JoAnn Payne, the RFSR Manager at joann.payne@la.gov, and notify them that the individual/legal guardian did not respond to any phone messages. The validation team member will document that the information was sent to the Division Director and RFSR Manager on the *Validation Team Visits in Private NH and ICF/DD Tracking Form* and the Division Director and RFSR Manager will document receipt of this information on the *LGE Validation and OCDD Tracking Forms*, respectively. The RFSR Manager will research all available databases to locate updated contact information for the individual and/or legal guardian. If any new information is found, the Manager will forward that information to the Division Director and validation team member to contact the individual/legal guardian to discuss validation and schedule the visit.

If the individual is unable to be reached by phone, the validation team member will go to the facility to meet with the individual to discuss the validation process, inquire about other people participating in the meeting and obtaining verbal and/or written permission to contact these people and schedule the validation visit. If the individual refuses to speak to the LGE/OCDD staff member, he/she will ask the individual if they could come back at another time to schedule the validation visit. If the individual gives permission to have the LGE/OCDD staff return to the facility, the staff will come back at a date and time that is convenient for the individual. This information will be recorded on the *Validation Team Visits in Private NH and ICF/DD Tracking Form*.

L. The validation team will prepare for the validation visits by reviewing the *face to face scripts* and ensuring they have complete validation packets for each individual prior to the scheduled validation visit. It is recommended that validation team members fill in demographic information on the individual/family decision form and individual information sheet to expedite the visit.

II. VALIDATION VISIT

A. Please make sure you are wearing your agency picture identification badge at each visit. The validation team will conduct the validation visits using the *face to face script*. At the end of each visit, the validation team member and individual/legal guardian/family/authorized representative will complete the *individual information sheet, individual decision forms (active/inactive or remove)*. If it appears as though the individual does not have the capacity to understand the information being explained to him/her and make a decision, please check "active" on the individual decision form, then write "this person does not appear to have the capacity to understand the information I have presented and/or make an informed decision; thus, he/she will remain active on the Registry". Please sign under "name of person assisting individual in completing this form". Additionally, please log this on the *Validation Team Visits in Private NH and ICF/DD Tracking Form*.

B. Validation team members will leave the OCDD fact sheet, LGE contact sheet [with LGE brochure, if available] and a completed, signed *individual decision form* with the individual and family member/legal guardian. Following the validation visit, the validation team member will document tasks and forms completed during the validation visit for each individual on the *Validation Team Visits in Private NH and ICF/DD Tracking Form*.

C. Validation team members will send updated *Validation Team Visits in Private NH and ICF/DD Tracking Forms* to the Division Director and RFSR Manager via email at the end of each week (i.e., Friday) or on the Monday of the following week.

D. If there are any questions throughout validation, please contact Gina Easterly at gina.easterly@la.gov and JoAnn Payne at joann.payne@la.gov.

III. POST-VALIDATION

A. The validation team will send all completed forms and tracking sheets to the LGE Division Director by April 28, 2014 and document this on the *Validation Team Visits in Private NH and ICF/DD Tracking Forms*. LGEs will make copies of the *individual information sheets* and enter the updated contact information into the *Participants Services Database (PSD)*. After the updated information is entered into *PSD*, the LGEs will print a copy of the *demographic page in PSD* and include it in the *validation packet*.

B. The Division Directors will send all completed *validation packets, including tracking sheets*, to the RFSR Manager by April 30, 2014. The Directors will document that the updated information has been entered into *PSD* and that the completed packets were sent to the RFSR Manager on the *LGE Validation in Private NH and ICF/DD tracking form*.

C. The RFSR Manager will document when packets were received from the Division Directors on the *OCDD Validation in Private NH and ICF/DD tracking form*. The Manager will compile all documentation received from the LGE Division Directors and separate individuals on the RFSR into four categories:

1. Active
2. Inactive
3. Remove
4. Individuals unable to be located

D. The DD RFSR manager will forward the documentation for all individuals who chose to be active, inactive or asked to be removed from the RFSR, to SRI, within 10 business days of compiling the categories above.

E. The DD RFSR manager will forward the documentation for individuals who requested to remain active, inactive or asked to be removed, to the RFSR workgroup members developing the interim needs based assessment. Individuals listed as active or inactive will participate in the interim needs based assessment. This activity will be documented on the *OCDD Validation in Private NH and ICF/DD tracking form*.

F. The Chair or Co-Chair of the RFSR workgroup will forward a list of individuals who chose to be inactive or asked to be removed from the RFSR, following the validation visits, to the LTCO and CLO. The Ombudsmen will be encouraged to meet with these individuals and review the validation information. If anything changes following the visit, the Ombudsmen can assist the individuals to develop and submit a written request to the LGE to change the individuals' status on the RFSR.