


agency for persons with disabilities
State of Florida

Rick Scott
Governor

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Barbara Palmer
Director

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August 15, 2013

Barbara Palmer, Director
Agency for Persons with Disabilities
4030 Esplanade Way, Suite 380
Tallahassee, FL 32399-0950

Re: OIG# 130725-01 Status of Corrective Actions, Auditor General
Report No. 2013-161, State of Florida – Compliance and Internal
Controls Over Financial Reporting and Federal Awards

Dear Director Palmer:

In accordance with the provisions of Section 20.055(5)(h), Florida
Statutes, we asked the responsible managers for the current status of
each finding identified in the report.

The findings, recommendations, the manager's original response, and
the August 2013 status of corrective actions are attached. We have
reviewed these and believe the actions taken are acceptable.

Please contact me if you have any questions.

Sincerely,



Marvin Doyal, CPA
Inspector General

MD:cs
Enclosure

cc: JLAC@leg.state.fl.us

Corrective Action Plan for the Auditor General's A-133 Audit Report
(Report No. 2013-161) for Fiscal Year 2011-2012

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| Finding Number: | 1 |
| Finding: | <p>As similarly noted in the previous audit, the FAPD did not always ensure that annual recertifications were completed for Medicaid recipient's residing in intermediate care facilities for the developmentally disabled (ICF-DDs). Additionally, FAPD did not always ensure continued stay reviews were timely conducted or appropriately documented.</p> <p>Medicaid recipients residing in ICF-DDs are required to have a certification of need of care every 12 months and a continued stay review at least every 6 months to safeguard against the unnecessary utilization of Medicaid services. According to FAPD staff, the certifications of need of care for residents of State and private ICF-DDs are conducted by ICD-DD staff. The FAPD is responsible for reviewing documentation to ensure the certification of need was properly completed and signed off on by appropriate ICF-DD personnel (i.e., physician, physician assistant, or nurse practitioner). The FAPD conducted the continued stay reviews at both State and private ICF-DDs.</p> <p>We tested FAPD records of 40 Medicaid recipients residing in ICF-DDs (11 in State facilities and 29 in private facilities) to determine whether certifications of need of care and continued stay reviews were conducted. Our testing disclosed that:</p> <ul style="list-style-type: none"> ➤ Annual certification was required for all 40 residents tested. For 1 of the 40 recipients, documentation could not be provided to demonstrate that the annual certification had been completed. During the 2011-2012 fiscal year, payments totaling \$62,192.52 were made on behalf of the this recipient during the period in which a required certification of need of care was not available. ➤ Continued stay reviews were required to be completed for all 40 recipients tested. For 15 of the 40 recipients (37.5 percent) continued stay reviews had not been conducted every 6 months. For 11 of these recipients, the FAPD had completed the review from 5 to 38 days subsequent to the required 6-month time frame. For 2 recipients, at least one review was conducted; however, the individual completing the review did not document the date the review was completed. For 1 recipient, the FAPD could not provide documentation to demonstrate that a review had been completed during the audit period and, for another recipient the FAPD could not provide documentation showing that a second review had been completed during the audit period. <p>In some instances, FAPD staff did not document on standardized forms, the date continued stay reviews were conducted. Additionally,</p> |

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| | <p>some staff who completed the review no longer worked for the FAPD. As a result the FAPD was unable to locate documentation showing that the reviews had been completed.</p> <p>Absent timely reviews and maintenance of appropriate documentation, the FAPD was unable to demonstrate the ICF-DD residents continued to need Medicaid services. Failure to timely complete the required documents could result in payments ICF-DDs being subject to disallowance.</p> |
| Recommendation: | <p>We recommend the FAPD ensure that certifications of need of care and continued stay reviews are timely completed and documented for all Medicaid recipients residing in ICF-DDs. We also recommend that the FAPD maintain documentation in such a manner that staff turnover does not affect the FAPD's ability to evidence the conduct of continued stay reviews.</p> |
| APD Response: | <p><i>Annual Recertification (Certification of need of care)</i> Annual recertification forms will be reviewed at the time of the Habilitation Plan review. For those that could not be provided, FAPD will provide the coming year's annual recertification form.</p> <p>FAPD will provide additional in-service training for all those involved with this process. FAPD continues to work with AHCA revising the ICF Handbook. Once completed there should be a clear delineation of roles and responsibilities along with process and forms.</p> <p><i>Continued Stay Reviews</i> Continued stay reviews for all Medicaid recipients residing in the ICF/DD facilities are to be completed within the required 6 month timeframe. FAPD will provide additional in-service training for all those involved with this process.</p> <p>FAPD State Office will provide follow up and technical assistance to monitor compliance.</p> |
| Corrective Action Plan: | <p>Statewide Training call for staff (including supervisors) with follow up addressed with Region/Area nurses individually. (Sept 2012, Ongoing)</p> <p>Continued work with AHCA to revise ICF Handbook. (Ongoing, process formally initiated 2012)</p> <p>FAPD State Office to monitor compliance (Ongoing, Feb 2013)</p> <p>Review of Interagency Agreement (Ongoing as part of review process)</p> |
| APD Contact: Name: Phone Number: | <p>Lori Gephart, Registered Nurse Consultant (850) 921-3786</p> |

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| <p>Current Status:</p> | <p>Annual recertification forms will be reviewed at the time of the Habilitation Plan review – Completed.</p> <p>FAPD will provide additional in-service training for all those involved with this process. Completed.</p> <p>FAPD continues to work with AHCA revising the ICF Handbook – Ongoing.</p> <p>FAPD State Office will provide follow up and technical assistance to monitor compliance – Ongoing.</p> <p>Statewide nurses meeting August 2013. Meeting to include ICF Utilization Review on Agenda.</p> <p>Statewide Training call for staff with follow up addressed with Region/Area nurses individually. – Completed 9/20/12 and Ongoing.</p> <p>FAPD State Office to monitor compliance – Ongoing.</p> <p>Review of Interagency Agreement – Ongoing.</p> |
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