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July 3, 2012

Agnes Maldonado, Interim Executive Director
Developmental Disabilities Planning Council
810 W. San Mateo, Suite C
Santa Fe, NM 87502

Frank Fajardo, Manager
Office of Guardianship
810 W. San Mateo, Suite C
Santa Fe, NM 87505

Re: JM. v. DOH et al, Case. No. 07-CV-00604-RB-ACT

Dear Ms. Maldonado and Mr. Fajardo:

This report constitutes Defendants' obligation to report annually, for a period of five years, on the status of the individuals who may be eligible for the benefits of the Settlement Agreement signed January 8, 2010, and covers the events from July 19, 2011 to July 3, 2012.

The number of individuals identified as eligible to receive the benefits of the Settlement Agreement has expanded and contracted over the last year. To date, 354 individuals were assessed by Columbus for needs or decisional capacity or both. Some former residents who were initially not interested in contact with the State have changed their minds and now want to participate, and a small number of former residents that all investigators had been unable to locate have contacted CSI and are now part of the Columbus assessment process.

I. Continuing Compliance with the November 9,2010 Order

Defendants have produced all documents requested by Plaintiffs for those individuals for whom Plaintiffs produced a current valid release of information. Initially, Plaintiffs' counsel submitted requests which lacked proper authorizations. Defendants worked with the Plaintiffs' counsel to correct the deficiencies and began the process of locating the historical documents.

Since Plaintiffs' counsel requested documents that were over forty years old, Defendants contracted with RCI, Robert Caswell Investigators, to search the storage building on the Los Lunas Community Program grounds known as Cottage 2. This search involved months of cataloging old records. The exhaustive search performed by RCI resulted in the production of all documents that could be located. Over the year, Plaintiffs have produced a total of 41 requests for documents, and all available documents have been produced.

The affidavit required by the November 8, 2010 Order was produced, verifying the refusal of specific individuals who did not wish to be contacted by the State or its agents. Defendants also met and conferred with Plaintiffs on the addition of 71 individuals who were former residents of Villa Solano, adding them to the overall number of individuals who would be contacted by the State and its agents.

II. Continuing Compliance with the January 20, 2011 Order

Defendants continue to comply with the January 20, 2011 Order. Three additional CSI workers were added to the CSI Unit and began making face to face visits to the individuals on their caseloads. At no time did any case load exceed 40 individuals, and several were significantly below the maximum number. On January 19, 2012, Defendants provided Plaintiffs' counsel and Arbitrator Michael Gross with a CD containing the service plans which described the list of recommendations made by Columbus for each individual and actions taken by CSI to follow up on those recommendations. [Bates No. 000001-000664]

Defendants have generated the required monthly status reports on the efforts of the CSI workers to complete the Personal Care Option (PCO) and Developmental Disabilities Waiver (DDW) applications for those individuals who desired these services. Defendants also created reports on the progress toward assisting individuals to identify Health Care Decision Makers and Power of Attorney representatives when that was the recommendation of the Columbus reviewers. As of December, 2011, the Arbitrator stated that Defendants no longer were required to produce the reports to the Arbitrator, but the reports continued to be provided to Plaintiffs' counsel. The June 2012 report is attached as Exhibit A.

Plaintiffs' counsel was ordered to review all information in their possession regarding the former residents, to compare that information with the lists provided by Defendants and to provide to Defendants a list of any people whom Plaintiffs' counsel determine to fall within the definition of former resident, along with the source of the information. Plaintiffs' counsel produced over 700 names. Three of these individuals were determined to be eligible for the Columbus assessments and were referred.

The Third Report required by the January Order is attached as Exhibit B.

III. July 19, 2011- July 3, 2012

Document Search

In November 2011, Defendants contracted with Bob Casey from the Robert Caswell Investigations to collaborate with the Office of General Counsel and the Developmental Disabilities Division to inventory and catalogue files that were located at the Bank of the West, in Cottage 2 at the Los Lunas Community Program and in a storage facility, to identify any individuals who met the description of former residents of a state institution, and to structure client format information for immediate retrieval. See Exhibit C.

Effective Notice

In December, 2011, Defendants initiated an intensive review of the written and oral notice that had been provided. Chris Futey, a senior member of the Developmental Disabilities Division, reviewed the file of every individual identified as potentially eligible for the benefits of the Settlement Agreement, and made recommendations for CSI follow up when there was any question that either written or oral notice had not been effectively provided. The report created by Chris Futey was utilized by the CSI unit for additional follow up. Even those individuals or guardians previously identified as refusing contact in 2010 were sent a final letter with information regarding the Settlement.

Training

Acting General Counsel Gabrielle Sanchez Sandoval provided trainings to all seven CSI workers on how to discuss guardianship and power of attorney. This training included the different types of guardianships available under the Probate Code, including limited and mental health treatment guardians, A sample of the documents necessary to create a Power of Attorney and the documents required for guardianship were provided to CSI workers. These documents became part of a tool kit for CSI workers as they met with individuals and families. The team spent time with the General Counsel learning about the Uniform Health Care Decisions Act, surrogates and agents under that Act, and how to explain the benefits of identifying a health care decision maker.

In July 2011, CSI staff was provided training by the Adult Protective Services Division

of the Aging and Long Term Services Department regarding recognizing and reporting suspected abuse, neglect and exploitation, what response and actions are available to APS. Lastly, CSI was also trained by the Office of Guardianship, Developmental Disabilities Protection Council about their services and how to make referrals to their agency.

Reorganization

The CSI unit was reorganized and decentralized in February 2012. The initial efforts to locate the former residents and to complete the Columbus recommendations had been met, and the total number of active cases had stabilized. The CSI workers were assigned regionally to different DDSD supervisors where they could continue to make their visits to the former residents and also work with DDSD in other areas as their caseloads permitted. Caseloads continued to be under the maximum of forty. Currently, the Metro region has 3 CSI workers, NE and NW Regions share 2 CSI workers, and there are 2 CSI workers who cover the SE and SW Regions. Occasionally, the needs of a particular individual require that the CSI workers travel outside their region to visit, as when a female requests that she not be visited by a man.

Monthly Reports

In addition to the quarterly face to face visit report, defendants have continued to produce monthly updated Service Status Reports to reflect the progress in completing the four other major Columbus recommendation areas; referrals to the Home and Community Based waiver, PCO, health care decision maker and power of attorney. These reports, redacted to protect the identity of the former residents, have been produced to plaintiffs' counsel for the months of January 2011 through June 2012.

DDW

Columbus made 83 recommendations that individuals be referred to the DD Waiver. This report is provided monthly. In spite of an exhaustive records search, some individuals' psychiatric records were not located. When it was determined that the records could not be located, CSI contacted the University of New Mexico Health Sciences Center, Transdisciplinary Evaluation and Support Clinic (TEASC) to schedule a neuropsychiatric evaluation. This evaluation is required to determine eligibility for the DD and Mi Via Waivers. TEASC has only one neuropsychiatrist who can perform 2 neuropsychiatric evaluations per month, and the travel required to reach several of the specific individuals identified by the Settlement Agreement has added to the delay. To date, twelve individuals have been referred by CSI to TEASC. Four of the individuals referred have successfully matched for waiver services, one individuals has

received their neuropsychiatric evaluation but is still waiting an eligibility determination, one has been assessed but the TEASC is requiring additional information, 3 individuals are on the waiting list for evaluation and 3 individuals have declined to follow up. The TEASC office has prioritized the former residents when possible but must also serve the rest of the state population.

PCO

The Personal Care Option Program, originally administrated by the Aging and Long Term Services Department, is now administered by the Human Services Department. New regulations promulgated by the Human Services Department may affect individual hours provided to former residents. While the specific language of the Settlement Agreement states that all services will be provided in accordance with the program guidelines, eligibility criteria and available funding, CSI did provide HSD with the list of all individuals potentially impacted and requested that their cases be reviewed if there was a decrease in hours. To date, one review has been performed pursuant to this request.

The Settlement Agreement required Columbus to refer any individual who received a DD waiver referral to the Aging and Long Term Services Department to determine eligibility for Personal Care Option services. Defendants decided to refer all individuals without waiting for a DD Waiver referral. Not all individuals were eligible for the service, and not all eligible individuals were interested in the service. To date, 129 individuals are reported on monthly. All referrals for those individuals who are interested in the service, except those of the individuals who are incarcerated or were assessed in the past 3 months, have been processed and completed.

Health Care Decision Maker

The report on the 24 referrals made by Columbus to identify a Health Care Decision Maker is provided monthly.

Power of Attorney

Columbus recommended that eleven individuals identify a Power of Attorney; however, only two individuals were interested in pursuing this recommendation. The report on the outcomes of the eleven is provided monthly.

Ongoing Efforts

Every Columbus recommendation resulted in an individual service plan. The service plans were provided to Plaintiffs' counsel in January 2011 and again in June 2012. The updated Service Plans of June 2012 reflect that most of the recommendations have been addressed and closed; however, a few individuals who were referred in the spring of 2012 may still have recommendations that have not been completed. These are individuals who initially declined services but through the persistence of the CSI workers agreed to the Columbus assessments, and occasionally individuals who are currently incarcerated were located and evaluated.

In February, 2012 Plaintiffs' counsel requested specific information regarding many of the individuals who are served by CSI. Defendants met with Plaintiffs' counsel on March 2, 2012 to review their requests and to narrow the inquiry. On that date, Plaintiffs' counsel produced 24 Requests for Regional Office Assistance (RORI's). Paragraph 3(a) of the Settlement Agreement did provide Plaintiffs' counsel with the opportunity to submit up to 25 RORI's for individuals on the waiver for whom they had specific concerns. Although the RORI's were submitted 2 years after the Settlement was signed, Defendants did follow up.

The purpose of the RORI's is to address issues for individuals who were already on a waiver and would not be receiving the Columbus Needs Assessment. These individuals are already supported by an Interdisciplinary Team (IDT) of professionals who meet to decide what services would benefit the individual. Teams include the individual, case managers, providers, speech and language therapists, occupational therapists, physical therapists, direct service providers and nurses as required. The IDT teams develop an Individual Service Plan (ISP) which is a plan for the execution of the plans developed with the input of the individual and team members. Teams must follow detailed standards of care propounded by the Department of Health, and the providers who care for the individuals on the waiver are monitored regularly by the Quality Management Bureau of the Division of Health Improvement. The RORI system is an integrated part of the system, utilized for offering assistance to IDT teams.

Of the 24 RORI's submitted by Plaintiffs' counsel, eleven (11) were not on a waiver and therefore not subject to the terms of Paragraph 3(a) of the Settlement Agreement. However, Plaintiffs' counsel's concerns were communicated to the appropriate CSI worker already familiar with the case. For those individuals for whom Plaintiffs' counsel produced a current, valid authorization, information addressing their concerns was delivered to Department of Health Senior Management (DDSD Director Cathy Stevenson) to review the follow-up, as stipulated in the Settlement Agreement, and to Plaintiffs' counsel.

Next Steps

Defendants will continue to meet with the former residents and assist as requested. Although the original Columbus recommendations have been addressed, CSI workers provide a variety of services including tax preparation, assisting with reapplication for other state services such as income support, Medicaid, food stamps, respite, day habilitation, emergency food boxes, social security questions, medical appointments, locating physicians, locating housing, securing housing, and networking with the local community.

Sincerely,

WALZ AND ASSOCIATES

/s/ Jerry A. Walz

Jerry A. Walz

JAW/sch
Enclosure(s): As stated.

cc via email with enclosures:

Peter Cubra, Esq.
John Hall, Esq.
Norm Weiss, Esq.
Kathyleen M. Kunkel, Esq.
Anne Alexander, Esq.
Gabrielle Sanchez-Sandoval, DOH Assistant General Counsel
Cathy Stevenson, DDSD Director
Peggy Jeffers, ALTSD General Counsel
Raymond Mensack, HSD General Counsel
Charles Peifer, Esq.
Nancy Simmons, Esq.
Rachel Higgins, Esq.

CSI Visitation Compliance

7/2/2012

ID	Schedule for 2011	Date Seen 1st Qtr 2011	Date Seen 2nd Qtr 2011	Date Seen 3rd Qtr 2011	Date Seen 4th Qtr 2011	Date Seen 1st Qtr 2012	Date Seen 2nd Qtr 2012
JxN016	JXN	JXN	JXN	JXN	JXN	JXN	JXN
210	Jan, April, July, Oct	3/1/2011	Family has requested that CSI not initiate contact. They request that they be allowed to contact CSI if and when they need something.	Family has requested that CSI not initiate contact. They request that they be allowed to contact CSI if and when they need something.	Family has requested that CSI not initiate contact. They request that they be allowed to contact CSI if and when they need something.	Family has requested that CSI not initiate contact. They request that they be allowed to contact CSI if and when they need something.	Family has requested that CSI not initiate contact. They request that they be allowed to contact CSI if and when they need something.
435 aka 435D	Mar,June, Sept, Dec	1/27/2011	Deceased	Deceased	Deceased	Deceased	Deceased
1000	Jan, April, July, Oct	1/25/2011	4/22/2011	7/28/2011	10/31/2011	1/31/2012	4/18/2012
1009	Jan, April, July, Oct	2/7/2011	4/1/2011	7/18/2011	10/14/2011	1/11/2012	4/13/2012
1024	Mar,June, Sept, Dec	2/10/2011	6/2/2011	7/19/2011; 9/8/2011	12/13/2011	3/28/2012	6/12/2012

Exhibit A

1030	Feb, May, Aug, Nov	2/8/2011	5/17/2011	7/14/2011	11/9/2011	2/28/2012	Guardian has requested phone contact only unless otherwise requested. Phone contact on 6/26/212
1046	Mar,June, Sept, Dec	2/10/2011	Attempted Phone: 6/2/2011; 6/16/2011; 6/20/2011; 6/22/2011; Attempted Home:	7/11/2011: 9/13/2011	12/14/2011	3/22/2012	6/11/2012
1068	Mar,June, Sept, Dec	3/3/2011	6/28/2011	9/26/2011	12/30/2011	3/27/2012	6/28/2012
1133	Mar,June, Sept, Dec	2/17/2011	6/15/2011	9/15/2011	12/15/2011	3/14/2012	6/11/2012
1153	Jan, April, July, Oct	During face to face meeting on 01/19/2011 Individual requested and signed the DNC	DNC	DNC	DNC	Individual signed DNC on 1/19/2011. No guardianship referral-tribal	Individual signed DNC on 1/19/2011. No guardianship referral-tribal
1167	Feb, May, Aug, Nov	2/2/2011	4/4/2011; 04/08/2011	7/11/2011: 7/12/2011	10/04/2011; 10/07/2011	1/12/2012	4/2/2012
1206	Feb, May, Aug, Nov	2/9/2011	04/13/2011; 5/13/2011; 05/19/2011	7/20/2011: 8/19/2011	10/13/2011	1/18/2012	4/5/2012
1234	Feb, May, Aug, Nov	2/10/2011	5/10/2011	8/24/2011	11/29/2011	2/17/2012	5/17/2012

1234DE	D&E has Guardian	D&E has Guardian	D & E has Guardian	D & E has Guardian	D & E has Guardian	D & E has Guardian	D & E has Guardian
1235	Mar,June, Sept, Dec	2/22/2011	5/5/2011	7/19/2011	10/7/2011	2/23/2012	5/17/2012
1240	Mar,June, Sept, Dec	3/25/2011	6/15/2011	9/14/2011	12/1/2011	3/29/2012	6/20/2012
1267	Feb, May, Aug, Nov	2/15/2011	5/5/2011	8/16/2011	11/1/2011	2/29/2012	5/30/2012
1381	Feb, May, Aug, Nov	2/15/2011	4/6/2011; 04/12/2011; 05/19/2011	7/27/2011	11/29/2011	2/28/2012	5/22/2012
1422	Mar,June, Sept, Dec	3/17/2011	6/23/2011	9/29/2011	12/15/2011	3/26/2012	6/13/2012
1498	Jan, April, July, Oct	1/20/2011	4/27/2011	7/15/2011	10/12/2011: 11/29/2011	1/26/2012	4/19/2012
1620	Mar,June, Sept, Dec	3/15/2011	6/22/2011	9/14/2011	12/28/2011	3/7/2012	6/19/2012
1625	Mar,June, Sept, Dec	8/5/2010. Phone contact: 08/26/10, 10/14/10, 11/24/10, 12/28/10, 2/14/11	Attempted home visits: 4/7/2011; 4/21/2011; 4/28/2011; 5/02/2011; 5/3/2011. Client called	Unable to locate	Unable to locate	Unable to locate	Unable to locate
1664	Jan, April, July, Oct	Individual moved out of state.	OOS	OOS	OOS	OOS	OOS

1689	Feb, May, Aug, Nov	2/8/2011	5/10/2011	8/23/2011	11/1/2011	2/2/2012	5/1/2012
1723	Mar,June, Sept, Dec	03/07/2011 During face to face visit individual and guardian requested and signed the DNC.	DNC	DNC	DNC	Individual signed DNC on 3/7/2011. No guardianship referral	Individual signed DNC on 3/7/2011. No guardianship referral
1774	Feb, May, Aug, Nov	2/24/2011	5/17/2011	8/10/2011	11/18/2011	2/20/2012	5/31/2012
1870	Feb, May, Aug, Nov	2/10/2011	4/28/2011	7/27/2011: 8/15/2011	10/25/2011	1/30/2012	4/27/2012
1920	Mar,June, Sept, Dec	2/23/2011	6/20/2011	9/15/2011	12/15/2011	3/26/2012	6/26/2012
1925	Jan, April, July, Oct	2/21/2011	4/20/2011	7/25/2011	10/18/2011: 10/21/2011	1/26/2012	4/12/2012
1948	Jan, April, July, Oct	1/19/2011	4/27/2011	7/25/2011: 8/15/2011	10/17/2011	1/25/2012	4/26/2012
1955	Feb, May, Aug, Nov	3/3/2011	5/25/2011	8/29/2011	11/30/2011	2/24/2012	5/17/2012
1961	Feb, May, Aug, Nov	2/23/2011	4/27/2011	8/31/2011	10/26/2011	3/7/2012	6/14/2012
1986	Mar,June, Sept, Dec	2/23/2011	6/15/2011	9/14/2011	12/16/2011	3/21/2012	6/26/2012

2001	Feb, May, Aug, Nov	2/24/2011	6/1/2011	8/25/2011	11/2/2011	3/8/2012	5/30/2012
2056	Feb, May, Aug, Nov	2/21/2011	4/20/2011	8/17/2011	10/17/2011	1/25/2012	4/26/2012
2059	Feb, May, Aug, Nov	2/21/2011	5/6/2011	8/17/2011	11/15/2011	2/21/2012	5/10/2012
2118	Mar,June, Sept, Dec	2/18/2011	4/20/2011; 04/25/2011; 04/27/2011;	8/24/2011	11/21/2011	2/27/2012	5/22/2012
2168	Jan, April, July, Oct	1/24/2011	4/27/2011	7/15/2011	10/7/2011	1/23/2012	4/13/2012
2212	Jan, April, July, Oct	2/10/2011	Individual, family members, and neice who is also PCA state there was no need for CSI to return to the home. CSI can contact PCA via phone.	Phone contact 7/25/2011. Family stated they want no quarterly visits with CSI. They will contact CSI if they need anything.	Family wishes to initiate contact with CSI if they need something.	Family wishes to initiate contact with CSI if they need something.	Family wishes to initiate contact with CSI if they need something. Phone contact 6/26/12.
2260	Jan, April, July, Oct	1/26/2011	4/28/2011	7/27/2011	10/13/2011	1/5/2012	4/18/2012
2269	Jan, April, July, Oct	1/13/2011	4/4/2011; 4/08/2011	7/11/2011; 7/12/2011	10/04/2011; 10/07/2011	1/12/2012	4/2/2012
2276	Jan, April, July, Oct	1/31/2011	4/27/2011	7/27/2011	10/26/2011: 10/28/2011	1/27/2012	4/13/2012

2288	Mar,June, Sept, Dec	3/21/2011	6/27/2011	Deceased	Deceased	Deceased	Deceased
2315	Mar,June, Sept, Dec	2/23/2011	6/20/2011	8/16/2011	12/16/2011	3/26/2012	6/28/2012
2337	Mar,June, Sept, Dec	3/2/2011	6/8/2011	9/15/2011	12/1/2011	3/28/2012	6/21/2012
2345	Jan, April, July, Oct	2/15/2011	6/13/2011	9/2/2011	12/8/2011	3/14/2012	6/29/2012
2358	Jan, April, July, Oct	1/20/2011	4/7/2011	7/14/2011	10/13/2011	1/12/2012	4/19/2012
2396	Feb, May, Aug, Nov	2/10/2011	5/10/2011	8/24/2011	11/22/2011	2/17/2012	5/17/2012
2398	Jan, April, July, Oct	1/27/2011	Family has requested that DOH only visit one time per year.	Scheduled to be seen In January 2012	Scheduled to be seen In January 2012	1/18/2012	Scheduled to be seen in January 2013
2416	Feb, May, Aug, Nov	Columbus notified CSI that individual and support stated they wanted no further	Referred to Bob Casey. Attempted home visit on 03/31/2011	Investigators and CSI Unable to locate	Investigators and CSI Unable to locate	Investigators and CSI Unable to locate	Investigators and CSI Unable to locate
2444W	DDW	DDW / has Guardian	DDW / has Guardian	DDW / has Guardian	DDW / has Guardian	DDW / has Guardian	DDW / has Guardian

2451	Mar,June, Sept, Dec	2/24/2011	6/14/2011	9/6/2011	12/7/2011	3/20/2012; 3/30/2012	6/25/2012
2474	Jan, April, July, Oct	2/16/2011	Attempted home visit 4/28/2011; 5/4/2011; 5/5/2011; On 5/5/2011 Family called and told	DNC	DNC	DNC	DNC
2481 AKA 2481D	Jan, April, July, Oct	1/6/2011	Deceased	Deceased	Deceased	Deceased	Deceased
2501	Mar,June, Sept, Dec	3/21/2011	6/23/2011	9/27/2011	12/8/2011	3/5/2012	6/7/2012
2503	Jan, April, July, Oct	3/16/2011	4/28/2011	7/7/2011	10/27/2011	1/18/2012	4/11/2012
2525	Jan, April, July, Oct	2/9/2011	4/28/2011	7/26/2011	10/25/2011	1/30/2012	4/30/2012
2543	Jan, April, July, Oct	1/31/2011	4/25/2011	7/6/2011; 7/22/2011	10/12/2011	1/26/2012	4/26/2012
2567	Jan, April, July, Oct	1/21/2011	4/13/2011	7/20/2011; 9/20/2011	11/7/2011	1/31/2012; 2/10/2012; 3/29/2012	5/2/2012
2579	Jan, April, July, Oct	1/26/2011	4/28/2011	7/27/2011	10/13/2011	1/5/2012	4/18/2012
2610	Mar,June, Sept, Dec	2/23/2011	6/15/2011	8/16/2011	12/16/2011	3/21/2012	5/10/2012

2618	Mar, June, Sept, Dec	03/16/2011 Attempted Home visit. Woman who answered the door stated that the individual was out of town and would not tell CSI when individual would return. CSI left contact information and requested that individual contact upon return.	6/13/2011	9/29/2011	Attempted Home visits: 10/12/11: 10/19/11: 10/27/11: 11/8/11: 12/19/11:	Attempted home visits: 1/5/2012: 1/11/2012: 1/18/2012: 2/8/12: 2/20/12:3/7/12:3/20/12	Attempted home visits: 4/04/2012: 4/11/2012: 5/8/2012: 5/23/2012
2654	Feb, May, Aug, Nov	2/24/2011	5/26/2011	8/10/2011	11/8/2011	2/20/2012	5/23/2012
2658	Mar, June, Sept, Dec	3/18/2011	5/19/2011	7/28/2011: 9/23/2011	11/7/2011: 12/04/2011	2/10/2012	5/31/2012
2666 aka 036jxn	Feb, May, Aug, Nov	Jackson Class Member	JXN	JXN	JXN	JXN	JXN
2678	Jan, April, July, Oct	1/19/2011	4/26/2011	7/18/2011	10/13/2011	1/26/2012	4/26/2012
2700	Feb, May, Aug, Nov	2/24/2011	5/25/2011	8/25/2011	11/2/2011	3/8/2012	6/5/2012
2774	Feb, May, Aug, Nov	2/8/2011	04/12/2011; 4/19/2011; 05/11/2011	7/7/2011: 8/3/2011: 8/4/2011;	10/12/2011; 10/24/2011: 10/25/2011:	1/12/2012: 1/23/2012	4/23/2012

2785	Mar,June, Sept, Dec	3/16/2011	6/21/2011	8/8/2011	11/1/2011	2/6/2012	5/1/2012
2813	Feb, May, Aug, Nov	2/22/2011	5/23/2011	8/15/2011	11/30/2011	2/2/2012	5/7/2012
2842	Mar,June, Sept, Dec	03/18/2011 During the face to face meeting the individual requested and signed the DNC	DNC	DNC	DNC	Individual signed DNC on 3/1/2011. Individual declined Columbus assessments.	Individual signed DNC on 3/1/2011. Individual declined Columbus assessments.
2882	Feb, May, Aug, Nov	2/23/2011	5/10/2011	8/23/2011	11/9/2011	2/28/2012	5/30/2012
2980	Mar,June, Sept, Dec	3/10/2011	4/13/2011; 5/13/2011	7/28/2011: 9/20/2011	10/27/2011	1/20/2012	4/12/2012
2994	Feb, May, Aug, Nov	2/28/2011	05/25/2011	8/30/2011: 8/31/2011	11/30/2011	2/9/2012	5/17/2012
3005	Jan, April, July, Oct	1/6/2011	4/5/2011	7/5/2011	10/5/2011	1/10/2012	4/5/2012
3012	Feb, May, Aug, Nov	2/18/2011	6/27/2011	8/3/2011 & 8/18/2011	11/9/2011	2/28/2012	6/29/2012

3018	Feb, May, Aug, Nov	2/08/2011, 2/09/2011, 2/16/2011, - Attempted phone; 2/10/2011, 2/16/2011, 2/21/2011, 3/02/2011, 03/08/11, 03/17/11, 03/21/11, 03/22/11,	Attempted home visit. 5/10/2011. Referred to Bob Casey.	Investigators and CSI Unable to locate	Investigators and CSI Unable to locate	CSI located and met with individual on 3/7/12. Re-referred to Columbus.	5/8/2012
3052	Jan, April, July, Oct	1/18/2011	4/20/2011	7/28/2011 : 8/16/2011	10/12/2011	3/28/2012	Scheduled to be seen in July 2012
3113	Mar,June, Sept, Dec	2/28/2011	5/16/2011; 6/27/2011	7/29/2011 : 8/12/2011	10/14/2011: 10/19/2001	1/25/2012: 2/15/2012	Attempted home visits: 5/18, 5/22, 6/5
3115	Mar,June, Sept, Dec	3/2/2011	6/28/2011	DNC	DNC	Individual signed DNC on 6/28/2011. No guardianship referral from Columbus.	Individual signed DNC on 6/28/2011. No guardianship referral from Columbus.
3121W aka 3121	Mar, June, Sept, Dec		6/14/2011	9/21/2011	12/28/2011	Individual has been reallocated to DDW.	Individual has been reallocated to DDW.
3160	Mar,June, Sept, Dec	2/21/2011	04/04/2011 CSI received DNC via mail	DNC	DNC	Individual signed DNC on 3/30/2011. No guardianship referral from Columbus.	Individual signed DNC on 3/30/2011. No guardianship referral from Columbus.
3204	Jan, April, July, Oct	1/31/2011	04/13/2011; 5/13/2011	7/28/2011: 9/20/2011	10/27/2011: 12/04/2011	1/20/2012	4/12/2012
3222	Mar,June, Sept, Dec	2/16/2011	6/13/2011	9/2/2011	12/8/2011	3/14/2012	6/29/2012

3276	Jan, April, July, Oct	1/5/2011	4/13/2011	7/28/2011	10/27/2011	1/23/2012	4/12/2012
3288	Feb, May, Aug, Nov	2/10/2011	5/20/2011	7/5/2011	11/18/2011	3/13/2012	5/23/2012
3357	Jan, April, July, Oct	1/21/2011	5/13/2011: 5/19/2011	7/28/2011: 8/19/2011	10/13/2011: 10/27/2011	1/18/2012	4/5/2012
3366	Mar,June, Sept, Dec	2/23/2011	6/27/2011	Attempted phone: 7/13/2011: 7/18/2011: 8/9/2011: 8/17/2011: 9/1/2011: 9/8/2011: Phone Contact: 8/17/2011: 8/18/2011: 8/19/2011: 9/9/2011: Attempted Home visit: 8/11/2011: 8/31/2011:	Phone contact individual states they no longer want quarterly visits from CSI. DNC was mailed to them. No response to date.	Phone contact individual states they no longer want quarterly visits from CSI. DNC was mailed to them on 9/12/11 . No response to date as of 3/2012	Phone contact individual states they no longer want quarterly visits from CSI. DNC was mailed to them on 9/12/11 . No response to date as of 5/2012
3375	Feb, May, Aug, Nov	2/9/2011	5/17/2011	8/22/2011	11/29/2011	2/28/2012	5/9/2012
3449	Feb, May, Aug, Nov	2/11/2011	5/10/2011	8/10/2011	11/16/2011	Attempted several visits in Feb. Visit occurred on 3/9/12.	5/22/2012
3475	Feb, May, Aug, Nov	2/14/2011	5/16/2011	Deceased	Deceased	Deceased	Deceased
3509	Feb, May, Aug, Nov	Unable to locate.	Individual's family contacted CSI with new address. Family stated that the individual and family did not want contact with DOH.	DNC	DNC	6/27/2011-DNC. Re-referred to Columbus 3/2012.	6/29/2012

3594	Feb, May, Aug, Nov	3/16/2011	5/12/2011	8/3/2011	11/8/2011	2/20/2012	Attempted home visit 6/11/12: 6/18/12
3606	Feb, May, Aug, Nov	2/15/2011	5/4/2011	8/16/2011	11/2/2011	2/23/2012	5/30/2012
3655	Mar,June, Sept, Dec	1/31/2011, 3/23/2011	6/15/2011	9/15/2011	12/27/2011	3/1/2012	6/18/2012
3666	Mar,June, Sept, Dec	3/21/2011	DNC	DNC	DNC	Individual's guardian signed DNC on 3/21/2011.	Individual's guardian signed DNC on 3/21/2011.
3867	Feb, May, Aug, Nov	2/22/2011	5/23/2011	8/31/2011	11/16/2011	2/1/2012	5/30/2012
3873	Feb, May, Aug, Nov	2/11/2011	Incarcerated	Incarcerated	Incarcerated	Incarcerated	Incarcerated
3904	Jan, April, July, Oct	1/27/2011	4/5/2011	8/15/2011	11/30/2011	2/1/2012	Individual moved. Will be seen in July 2012
3905	Mar,June, Sept, Dec	2/17/2011	4/13/2011	7/20/2011: 9/20/2011	11/7/2011	3/29/2012	5/2/2012

3982	Mar,June, Sept, Dec	3/2/2011	4/28/2011	7/14/2011	10/19/2011	1/5/2012	4/11/2012
4259	Mar,June, Sept, Dec	2/23/2011	6/20/2011	9/14/2011	12/16/2011	3/26/2012	Signed DNC on 3/26/2012
4321	Mar,June, Sept, Dec	3/3/2011	Attempted Phone: 6/14/2011; 6/22/2011; 6/24/2011; Attempted Home: 6/29/2011	9/12/2011	12/29/2011	3/28/2012	Attempted home visit 6/29/12
4352	Feb, May, Aug, Nov	1/20/2011	4/20/2011	7/27/2011	10/12/2011	1/30/2012	4/18/2012
4416	Mar,June, Sept, Dec	3/16/2011	6/1/2011	8/3/2011	11/2/2011	3/19/2012	6/7/2012
4426	Feb, May, Aug, Nov	Attempted face to face: 01/09/11,	Individual told CSI and RCI that the	DNC	DNC	5/26/2011 DNC. No guardianship referral	5/26/2011 DNC. No guardianship referral
4427	Feb, May, Aug, Nov	3/11/2011	Family has requested that DOH not visit until October.	9/15/2011	Family requested not to be seen this quarter	3/30/2012	Scheduled to be seen in July 2012
4502	Jan, April, July, Oct	1/19/2011	4/27/2011	7/20/2011	10/25/2011	1/5/2012	4/18/2012
4587	Feb, May, Aug, Nov	2/24/2011	5/25/2011	8/25/2011	11/2/2011	2/21/2012; 3/8/2012	6/5/2012
4590	Mar,June, Sept, Dec	3/18/2011	6/10/2011	7/20/2011	11/7/2011	1/31/12; 3/29/12	6/27/2012

4650	Jan, April, July, Oct	1/26/2011	4/28/2011	7/27/2011	10/13/2011	1/5/2012	4/18/2012
4666	Mar,June, Sept, Dec	Unable to locate	Attempted phone 03/02/2011; Attempted home visit: 3/10/2011; 3/31/2011 Unable to locate	Unable to locate	Unable to locate	Unable to locate	Unable to locate
4689	Feb, May, Aug, Nov	1/26/2011	4/29/2011 Phone contact with support.Individual has moved from the residence. Support is unaware of new residential location. Individual is currently unable to locate.	Unable to locate	Unable to locate	1/31/2012	4/30/2012
4703	Mar,June, Sept, Dec	3/2/2011	6/21/2011	9/27/2011	12/8/2011	Phone contact on 3/19/12. Scheduled for April per individual and supports request.	4/26/2012
4739	Mar,June, Sept, Dec	Attempted Home visits: 03/24/2011, 03/31/2011. Phone contact: 03/09/2011	4/4/2011 CSI received the DNC	DNC	DNC	Individual's guardian signed DNC on 4/4/2011.	Individual's guardian signed DNC on 4/4/2011.
4772	Feb, May, Aug, Nov	02/24/2011 CSI received the DNC via mail	DNC	DNC	DNC	Individual signed DNC on 2/24/2011. No guardianship referral from Columbus	Individual signed DNC on 2/24/2011. No guardianship referral from Columbus

4785	Mar,June, Sept, Dec	2/23/2011	4/25/2011	9/20/2011	11/7/2011	1/20/12; 2/10/12	4/12/2012
4977	Feb, May, Aug, Nov	2/11/2011	5/12/2011	8/3/2011	12/8/2011	2/8/2012	5/8/2012
4985	Feb, May, Aug, Nov	2/21/2011	5/18/2011	8/8/2011	11/17/2011	2/1/2012	5/11/2012
5006	OOS	OOS	OOS	OOS	OOS	OOS	OOS
5017	Mar, June, Sept, Dec	3/8/2011	6/1/2011	8/3/2011	12/15/2011	3/12/2012	6/7/2012
5024	Feb, May, Aug, Nov	2/16/2011	5/17/2011	7/21/2011	11/9/2011	Individual and supports requested to be seen in April	4/18/2012
5043	Feb, May, Aug, Nov	2/28/2011, 3/25/2011	6/30/2011	7/6/2011: 8/31/2011	10/26/2011: 11/30/2011	2/24/2012	5/18/2012
5066	Feb, May, Aug, Nov	2/23/2011	5/20/2011	9/12/2011	11/29/2011	2/9/2012	5/30/2012
5119	Mar,June, Sept, Dec	DNC	DNC	DNC	DNC	DNC	6/14/2012
5177	Mar,June, Sept, Dec	2/7/2011	5/9/2011	8/3/2011 & 8/10/2011	11/15/2011	2/12/2012	5/24/2012

5301	Jan, April, July, Oct	1/14/2011	4/13/2011	8/3/2011	11/3/2011	2/20/2012	5/4/2012
5344	Mar,June, Sept, Dec	3/21/2011	6/23/2011	9/27/2011	12/8/2011	3/21/2012	6/7/2012
5421	Mar,June, Sept, Dec	3/21/2011	6/23/2011	9/27/2011	12/8/2011	3/13/2012	6/7/2012
5538	Feb, May, Aug, Nov	2/24/2011	5/25/2011	8/11/2011	11/8/2011	2/13/2012	5/22/2012
5579	Feb, May, Aug, Nov	2/11/2011	5/12/2011	8/3/2011	11/18/2011	2/8/2012	5/8/2012
5583	Mar,June, Sept, Dec	1/27/2011	4/26/2011	7/21/2011	10/19/2011	1/23/2012	4/20/2012
5599	Feb, May, Aug, Nov	Guardian signed the DNC on 02/28/2011 Received via mail	DNC	DNC	DNC	On 2/28/11 individual's guardian signed the DNC	On 2/28/11 individual's guardian signed the DNC
5601	Feb, May, Aug, Nov	2/15/2011	5/19/2011	7/27/2011	11/29/2011	Will be seen later in quarter due to family request	Attempted phone contact on 5/17/12 and 5/23/12. Attempted home visit 5/22/12.
5669	Mar,June, Sept, Dec	2/16/2011	6/15/2011	9/15/2011	12/15/2011	3/14/2012	6/11/2012

5682	Jan, April, July, Oct	1/18/2011	4/28/2011	7/28/2011	10/14/2011	1/31/2012	4/17/2012
5763	Jan, April, July, Oct	2/10/2011	4/1/2011	7/20/2011	10/17/2011	1/26/2012 & 3/19/2012	4/27/2012
5837	Feb, May, Aug, Nov	3/1/2011	6/13/2011	7/26/2011	10/24/2011	2/28/2012	6/29/2012
5916	Jan, April, July, Oct	1/27/2011	4/26/2011	7/21/2011	10/19/2011	1/23/2012	4/20/2012
5956	Feb, May, Aug, Nov	3/1/2011	5/31/2011	8/23/2011	10/25/2011	3/13/2012	5/16/2012
5999	Feb, May, Aug, Nov	2/23/2011	4/27/2011	8/31/2011	10/26/2011	2/21/2012	6/14/2012
6009	Feb, May, Aug, Nov		5/23/2011; 06/07/2011; 6/23/2011;	7/18/2011: 7/28/2011: 8/15/2011:	10/21/2011: 10/25/2011: 11/14/2011:	1/9/2012	5/9/2012
6029	Jan, April, July, Oct	1/18/2011	4/28/2011	7/28/2011	10/14/2011	1/31/2012	4/17/2012
6107	Mar,June, Sept, Dec	2/3/2011	5/16/2011	8/22/2011: 9/20/2011: 9/27/2011	12/22/2011	3/10/2012	6/8/2012
6132				Individual contacted CSI. During the face to face visit, individual requested that CSI not visit unless individual contacted us. DNC signed 11/29/2010	DNC	Individual signed DNC on 11/26/2010. Individual referred to Columbus	Individual signed DNC on 11/26/2010. Individual seen by Columbus in March 2012-no recommendations

6178	Feb, May, Aug, Nov	2/10/2011	5/20/2011	8/23/2011	11/18/2011	3/13/2012	5/16/2012
6209	Feb, May, Aug, Nov	2/15/2011	5/10/2011	Unable to locate	Unable to locate	Unable to locate	Unable to locate
6215	Feb, May, Aug, Nov	2/8/2011	5/10/2011	Individual moved out of state.	Individual moved out of state.	Individual moved out of state.	Individual moved out of state.
6228	Feb, May, Aug, Nov	2/9/2011	5/17/2011	8/22/2011	11/28/2011	2/28/2012	5/9/2012
6229	Feb, May, Aug, Nov	2/9/2011	5/17/2011	8/22/2011	11/29/2011	2/28/2012	5/9/2012
6252	Jan, April, July, Oct	1/19/2011	5/4/2011	8/31/2011: 9/21/2011	11/30/2011	2/23/2012	5/16/2012
6311	Mar,June, Sept, Dec	3/10/2011	6/23/2011	9/15/2011	12/15/2011	3/20/2012	6/5/2012
6338	Mar,June, Sept, Dec	3/18/2011	5/19/2011	9/23/2011	11/7/2011	2/10/2012	5/31/2012
6359	Feb, May, Aug, Nov	2/25/2011	05/25/2011	7/22/2011: 8/30/2011	10/14/2011: 10/26/2011	2/24/2012	5/18/2012
6372	Mar,June, Sept, Dec	3/18/2011	5/19/2011	8/19/2011	11/18/2011	3/6/2012	5/31/2012

6407	Mar,June, Sept, Dec	3/22/2011	6/8/2011	DNC	DNC	Individual signed DNC on 3/22/2011. No guardianship referral from Columbus.	Individual signed DNC on 3/22/2011. No guardianship referral from Columbus.
6425	Feb, May, Aug, Nov	2/23/2011	5/4/2011	8/2/2011	11/2/2011	2/7/2012	5/16/2012
6498	Jan, April, July, Oct	1/27/2011	4/12/2011	Unable to locate	10/19/2011: 10/27/2011	1/23/2012	4/10/2012
6509	Feb, May, Aug, Nov	2/15/2011	5/19/2011	8/16/2011	11/4/2011	2/27/2012	5/30/2012
6533	Jan, April, July, Oct	2/28/2011 During a face to face meeting the individual requested and signed the DNC	DNC	DNC	DNC	Individual signed DNC on 2/28/11. Individual declined Columbus on 11/3/10.	Individual signed DNC on 2/28/11. Individual declined Columbus on 11/3/10.
6533 Duplicate	DNC	During face to face meeting 2/28/11, Individual requested and signed a DNC	DNC	DNC	DNC	Individual signed DNC on 2/28/11. Individual declined Columbus on 11/3/10.	Individual signed DNC on 2/28/11. Individual declined Columbus on 11/3/10.
6533 Duplicate			DNC	DNC	DNC	Individual signed DNC on 2/28/11. No guardianship referral from Columbus.	Individual signed DNC on 2/28/11. No guardianship referral from Columbus.

6580	Jan, April, July, Oct	1/6/2011	4/13/2011	7/15/2011	10/7/2011	1/23/2012	4/23/2012
6590	Jan, April, July, Oct	1/6/2011	4/13/2011	8/3/2011: 9/13/2011	11/16/2011	1/10/2012: 3/20/2012	6/20/2012
6598	Mar,June, Sept, Dec	3/16/2011 During face to face individual requested no further contact with CSI or DOH	DNC	DNC	DNC	3/16/2011-DNC. Re-referred to Columbus 3/2012.	Individual refused Columbus in March 2012 and requested no further contact from CSI or DOH
6626	Feb, May, Aug, Nov	03/23/2011 During face to face contact, individual requested and signed the DNC	DNC	DNC	DNC	Individual signed DNC on 3/23/3011. No guardianship referral from Columbus DCA.	Individual signed DNC on 3/23/3011. No guardianship referral from Columbus DCA.
6627	Mar, June, Sept, Dec	3/8/2011	6/21/2011	8/17/2011	10/17/2011	2/16/2012	6/19/2012
6655	Mar,June, Sept, Dec	02/24/2011 CSI received the signed DNC form.	DNC	DNC	DNC	Individual signed DNC on 2/24/2011. Re-referred to Columbus 3/2012 pending assessments.	Individual signed DNC on 2/24/2011. Re-referred to Columbus 3/2012. Individual refused assessments and requested DNC.
6657	Feb, May, Aug, Nov	2/16/2011	4/13/2011; 04/25/2011	7/20/2011: 7/28/2011	10/13/2011	1/20/2012	4/12/2012

6677	Jan, April, July, Oct	Columbus Assessment completed in March	4/13/2011: 4/28/2011: 5/25/2011:	7/7/2011; 7/14/2011: 8/10/2011:	10/13/2011: 10/25/2011: 12/01/2011:	1/12/2012	4/19/2012
6719	Feb, May, Aug, Nov	2/10/2011	Individual and family have requested that visitation not occur until fall.	9/9/2011	Individual requests that CSI visit only 1 time per year.	Individual requests that CSI visit only 1 time per year.	Individual requests that CSI visit only 1 time per year.
6730	Mar,June, Sept, Dec	3/18/2011	Deceased	Deceased	Deceased	Deceased	Deceased
6768	Jan, April, July, Oct	1/4/2011	4/13/2011; 05/19/2011	7/15/2011: 8/19/2011	11/7/2011	1/31/2012; 2/10/2012	5/3/2012
6876	Feb, May, Aug, Nov	2/25/2011	6/1/2011	8/25/2011: 8/29/2011	11/2/2011	Attempted home visits on 3/8/12 and 3/16/12	5/30/2012
6885	Mar,June, Sept, Dec	3/3/2011	6/28/2011	9/26/2011	12/30/2011	3/27/2012	6/28/2012
6943	Feb, May, Aug, Nov	2/23/2011	5/25/2011	7/13/2011: 8/29/2011	10/14/2011	1/11/2011	4/13/2012
7060	Feb, May, Aug, Nov	2/22/2011	5/23/2011	8/30/2011	11/16/2011	2/29/2012	5/30/2012
7090	Mar,June, Sept, Dec	3/8/2011	6/28/2011	9/15/2011	12/1/2011: 12/22/2011	3/29/2012	5/18/2012
7234	Jan, April, July, Oct	1/26/2011 - Attempted phone; 2/15/2011 - Phone Contact; 2/16/2011 - Action for	4/13/2011	9/1/2011	Family asked to postpone visit until sometime	1/18/2012	5/22/2012

7312	Jan, April, July, Oct	1/19/2011	4/6/2011	7/12/2011	10/25/2011	1/11/2012	4/4/2012
7315	Jan, April, July, Oct	2/11/2011	4/26/2011	7/8/2011	10/14/2011	1/11/2012	4/20/2012
7374	Jan, April, July, Oct	3/8/2011	4/20/2011	7/14/2011	10/14/2011	Attempted several times in January. Visit occurred on 2/7/2012	4/10/2012
7433	Jan, April, July, Oct	2/16/2011	4/25/2011	7/20/2011: 7/28/2011	10/13/2011	1/20/2012	4/12/2012
7442	Mar,June, Sept, Dec	3/21/2011	6/23/2011	9/27/2011	Deceased	Deceased	Deceased
7455	Feb, May, Aug, Nov	2/24/2011	6/27/2011	8/10/2011	11/18/2011	3/20/2012	5/23/2012
7495	Mar,June, Sept, Dec	03/14/2011 During the face to face meeting Individual requested and signed the DNC	DNC	DNC	DNC	Individual signed DNC on 3/14/2011. Re-referred to Columbus 3/2012-pending assessments.	Individual signed DNC on 3/14/2011. Re-referred to Columbus 3/2012. Individual refused assessments and requested DNC.
7509	Mar,June, Sept, Dec	2/16/2011	5/13/2011	7/28/2011: 9/20/2011	10/27/2011: 12/01/2011	1/20/12-Scheduled to be seen in March 2012	4/12/2012

7536	Feb, May, Aug, Nov	2/23/2011	5/10/2011	8/2/2011	11/15/2011	2/23/2012	6/5/2012
7590	Feb, May, Aug, Nov	2/17/2011	4/13/2011	7/20/2011	11/7/2011	1/31/2012	5/2/2012
7658	Jan, April, July, Oct	1/18/2011	4/13/2011	7/6/2011: 7/7/2011	10/13/2011	1/24/2012: 1/26/2012	4/5/2012
7676	Jan, April, July, Oct	1/18/2011	4/7/2011: 4/28/2011	8/29/2011: 7/14/2011	10/13/2011	1/12/2012	4/19/2012
7777	Mar,June, Sept, Dec	2/21/2011	6/28/2011	7/21/2011	11/29/2011	3/27/2012	6/12/2012
7784	Jan, April, July, Oct	Unable to locate	RCI located home owner. Individual does not reside at that home.	Unable to locate	Unable to locate	Unable to locate	Unable to locate
7882				7/18/2011	DNC	Individual signed DNC on 10/24/2011. Recently re-referred to Columbus 3/2012.	Individual signed DNC on 10/24/2011. Individual refused Columbus March 2012.
7907	Jan, April, July, Oct	1/18/2011	4/28/2011	7/28/2011	10/14/2011	1/31/2012	4/17/2012

8000	Jan, April, July, Oct	Phone Contact:3/25/11, 3/22/11, 3/18/11, 3/14/11, 3/8/11, 3/2/11	Phone Contact 3/22/11 Family stated that they would not participate with quarterly f / f visits. Family requested that the DNC be mailed to them. 4/1/2011 CSI received the DNC via mail.	DNC	DNC	Individual and guardian signed DNC on 3/22/2011.	DNC
8012	Mar, June, Sept, Dec	3/18/2011	5/20/2011	8/8/2011	Family request that CSI not visit 4th quarter. Family will continue email contact with CSI.	Family continues to request email contact until they request visit from CSI. Last email contact on 2/14/12.	Family continues to request email contact until they request visit from CSI. Last email contact on 6/20/12.
8017	Mar,June, Sept, Dec	2/23/2011	6/15/2011	9/14/2011	12/15/2011	3/26/2012	5/10/2012
8093	Mar,June, Sept, Dec	2/22/2011	Attempted home visits: 5/2/11; 6/1/11; 6/6/11; 6/14/11; 6/15/11; 6/17/11	Attempted home visits: 7/14/2011; 7/19/2011; 7/22/2011;	Attempted home 9/20/11: 10/21/2011:	2/3/2012; 3/9/2012	6/5/2012
8226	Jan, April, July, Oct	1/20/2011	4/28/2011	7/28/2011	10/13/2011	1/12/2012	4/19/2012
8249	Mar,June, Sept, Dec	2/21/2011	04/04/2011 CSI received DNC via mail	DNC	DNC	Individual signed DNC on 3/30/2011. No guardianship referral from Columbus.	Individual signed DNC on 3/30/2011. No guardianship referral from Columbus.
8276	Mar,June, Sept, Dec	3/2/2011	6/8/2011	8/16/2011	12/1/2011	2/20/2012	6/12/2012

8355	Mar, June, Sept, Dec	3/10/2011	5/19/2011	7/28/2011: 9/23/2011	11/7/2011: 12/01/2011	2/10/2012	5/31/2012
8442	Jan, April, July, Oct	1/4/2011	5/19/2011	8/19/2011	11/18/2011	2/10/2012	5/31/2012
8509 aka 8509D	Mar,June, Sept, Dec	2/15/2011	Deceased	Deceased	Deceased	Deceased	Deceased
8523	Jan, April, July, Oct	1/24/2011	4/28/2011	8/11/2011	12/15/2011	3/8/2012	6/27/12 phone contact. Family requested no face to face contact this quarter.
8624	Jan, April, July, Oct	2/1/2011	4/1/2011; 04/19/2011;	7/14/2011: 8/4/2011	10/12/2011	3/2/2012	Phone contact 6/4/12. No face to face contact this month due to CSI safety issues.
8776	Feb, May, Aug, Nov	Incarcerated	Incarcerated	Incarcerated	Incarcerated	Incarcerated	Incarcerated
8787	Feb, May, Aug, Nov	2/23/2011	4/27/2011	8/31/2011	10/26/2011	2/21/2012	6/14/2012
8832	On Hold?	Incarcerated	Incarcerated	Incarcerated	Incarcerated	Incarcerated	Incarcerated
8839	Mar,June, Sept, Dec	2/23/2011	6/15/2011	9/14/2011	12/15/2011	3/26/2012	5/10/2012

8851	Jan, April, July, Oct	1/18/2011	4/26/2011	7/29/2011	Deceased	Deceased	Deceased
8853	Feb, May, Aug, Nov	2/16/2011	4/13/2011	7/15/2011; 9/20/2011	11/7/2011	1/31/2012	5/2/2012
8860	Jan, April, July, Oct	Unable to locate	On 6/7/2011 RCI located individual. Individual and family requested and signed the DNC stating they wanted no contact with or assistance from DOH	On 6/7/2011 RCI located individual. Individual and family requested and signed the DNC stating they wanted no contact with or assistance from DOH	On 6/7/2011 RCI located individual. Individual and family requested and signed the DNC stating they wanted no contact with or assistance from DOH	On 6/7/2011 RCI located individual. Individual and family requested and signed the DNC stating they wanted no contact with or assistance from DOH	DNC
8885	Feb, May, Aug, Nov	2/22/2011	5/25/2011	8/16/2011: 9/16/2011	11/18/2011	2/20/2012	5/16/2012
8907	Feb, May, Aug, Nov	2/10/2011	5/17/2011	8/22/2011	11/29/2011	2/28/2012	5/9/2012
8943	Feb, May, Aug, Nov	1/6/2011	5/13/2011; 05/19/2011	7/22/2011: 7/28/2011: 8/19/2011:	10/13/2011: 10/27/2011	1/12/2012	4/2/2012
8974	Feb, May, Aug, Nov	Home visit 02/10/2011 Individual's brother stated that individual had left home and the family was unaware of his location.	4/11/11 phone call with family who report that individual is living out of state.	8/18/2011	11/3/2011	2/14/2012	5/1/2012
8994	Mar,June, Sept, Dec	3/3/2011	6/28/2011	9/26/2011	12/30/2011	3/27/2012	6/28/2012

8998	Mar,June, Sept, Dec	2/24/2011, 3/21/2011	5/20/2011	8/8/2011	11/21/2011	3/21/2012	6/26/2012
9007	Mar,June, Sept, Dec	3/2/2011	6/8/2011	9/15/2011	12/1/2011	2/20/2012	6/12/2012
9047 aka 9074	Feb, May, Aug, Nov	1/5/2011	6/2/2011	7/15/2011: 7/26/2011	10/6/2011	1/9/2012	4/12/2012
9058	Feb, May, Aug, Nov	2/15/2011	5/9/2011	8/10/2011	11/14/2011	3/2/2012	5/16/2012
9205	Mar,June, Sept, Dec	3/9/2011	6/13/2011	9/20/2011	12/7/2011	3/15/2012	6/14/2012
9255	Jan, April, July, Oct	2/9/2011	5/17/2011	8/3/2011	11/15/2011	2/13/2012	4/26/2012
9367	Feb, May, Aug, Nov	2/7/2011	5/17/2011	8/24/2011	11/21/2011	3/8/2012	6/4/2012
9390	Jan, April, July, Oct	Incarcerated	Incarcerated	Incarcerated	Incarcerated	Incarcerated	Incarcerated
9433	Mar,June, Sept, Dec	1/27/2011	4/14/2011	7/7/2011	10/12/2011	1/5/2012	4/4/2012
9440	Jan, April, July, Oct	1/18/2011	4/5/2011	7/25/2011	10/26/2011	1/19/2012	4/12/2012
9446	Feb, May, Aug, Nov	2/22/2011	5/31/2011	9/7/2011: 10/19/2011	10/19/2011	3/15/2012	5/22/2012

9553W	DDW	DDW / has Guardian	DDW / has Guardian	DDW / has Guardian	DDW / has Guardian	DDW / has Guardian	DDW / has Guardian
9734	Mar,June, Sept, Dec	3/16/2011	6/17/2011	8/18/2011	Family requested visit in January	1/3/2012	6/19/2012
9774	Jan, April, July, Oct	1/18/2011	4/28/2011	7/28/2011	10/14/2011	1/31/2012	4/17/2012
9797	Mar,June, Sept, Dec	3/14/2011	6/16/2011	9/1/2011	12/1/2011	3/14/2012	6/14/2012
9815	Jan, April, July, Oct	1/20/2011	4/28/2011	7/15/2011	10/18/2011	1/12/2012	4/18/2012
9886	Jan, April, July, Oct	3/30/2011	6/20/2011 Family rescheduled visit for 6/28/2011. 6/28/2011 Family left message to cancel visit and would reschedule for another time.	7/27/2011	10/20/2011	2/23/2012	5/22/2012
9906	Feb, May, Aug, Nov	2/8/2011	04/07/2011; 5/10/2011	8/3/2011	11/16/2011	2/22/2012	5/9/2012
9922	Jan, April, July, Oct	1/24/2011	4/20/2011	7/25/2011	10/25/2011	1/26/2012	4/12/2012

9926	Feb, May, Aug, Nov	During the f/f visit on 2/18/2011, Individual signed	DNC	Deceased	Deceased	Deceased	Deceased
9961 aka 9961D	Mar,June, Sept, Dec	Deceased	Deceased	Deceased	Deceased	Deceased	Deceased
9967	Mar,June, Sept, Dec	3/1/2011	6/9/2011	9/21/2011	12/28/2011	3/20/2012; 3/26/2012	6/8/2012
9984 aka 9984D	Jan, April, July, Oct	Deceased	Deceased	Deceased	Deceased	Deceased	Deceased
9999	Mar,June, Sept, Dec	1/24/2011	4/7/2011	Incarcerated	Incarcerated	Incarcerated	Incarcerated

Service Status Report-DDW

ID	DDW Referral	Status	DOH Follow-up	Signed Service Declination Forms
210	1/9/2011	Incomplete	Supports refuse contact with CSI	
1009	12/3/2010	Match for Service 12/30/2009	Completed.	
1024	6/11/2010	Match for Services 04/21/2011	Completed.	
1046	6/17/2010	Match for service on 10/26/2011	Completed.	
1153	7/7/2010	DNC	Completed	DNC signed by individual on 1/19/2011. DCA not completed by Columbus due to tribal jurisdiction.
1206	7/29/2010	Declined Service	Completed.	Guardian submitted letter to Eligibility on 1/05/2011 requesting closure of DDW process
1235	1/3/2011	Match for Service 1/7/2012	Completed	
1267	11/7/2006	TEASC application delivered to family.	CSI delivered a letter to individual and family stating that a TEASC eval was necessary to assist in eligibility. CSI offered assistance with TEASC application. No response from family at this time.	
1422	12/22/2010	Allocation on hold as of 1/19/2005	Completed	Allocation remains on hold at individual's request.
1625	10/27/2010	Unable to locate	Unable to locate	Unable to locate
1689	8/26/2010	Match for Service 02/23/2011	Completed.	
1774	5/1/2007	Match for Service 06/21/2007	Completed.	
1870	7/15/2010	Declined Service	Completed	Individual signed Service Declination form signed on 4/28/2011. DCA completed and guardianship referral made on 6/25/10. As of 5/25/11 closed by OOG.
1920	7/7/2010	Declined Service	Completed	Guardian signed Service Declination form on 6/20/2011.
1925	11/3/2010	Declined Service	Completed	Individual signed Service Declination form on 7/22/2011. DCA completed on 11/2/2010 with no guardianship referral.
1948	12/3/2010	Declined Service	Completed	Signed Service Declination form by POA on 4/27/2011. DCA completed on 11/17/10 with no guardianship referral.
1986	9/19/2011	Declined service	Completed	individual signed SDF on 3/21/2012; DCA completed on 8/30/2011; No Guardianship referral

Service Status Report-DDW

1987 aka 8883 8832	9/30/2010	Need app pkt; dx info	Individual is not currently eligible as he is incarcerated.	Individual is incarcerated.
2059	7/7/2010	Match for Service 01/19/2011	Completed.	
2276	7/7/2010	Declined Service	Completed	Individual signed service Declination form on 7/27/2011. Guardianship referral made by Columbus and later closed by OOG.
2315	7/7/2010	Declined Service	Completed	Guardian Signed Service Declination form on 6/20/2011
2358	12/3/2010	Match for Service 6/27/2011	Completed	
2451	7/15/2010	Match for Service 03/15/2011	Completed	
2503	3/6/2012	Declined service	Completed	Individual signed service declination form on 4/11/12. DCA completed on 5/26/10 with no guardianship referral.
2543	12/22/2010	Declined Service	Completed	Individual signed Service Declination form on 7/6/11. DCA completed on 12/1/2010 with no guardianship referral.
2610	8/30/2011	Registration form submitted on 4/26/2012	6/28/12 - CSI took completed forms to eligibility	
2618	7/19/2010	Individual has requested closure of recommendation	Completed	Guardianship recommendation. Individual and sister (proposed guardian) signed the Service Declination form on 9/29/2011
2654	6/11/2010	Declined Service	Completed	Service Declination signed on 8/10/2011-tribal guardianship no jurisdiction.
2813	8/19/2010	Declined Service	Completed	Individual signed Service Declination Form on 10/11/2011. DCA completed on 4/27/10 with no guardianship referral.
2882	9/8/2010	Match for services 4/17/2012	Completed	
2980	8/19/2010	Declined Service	Completed	Letter to Eligibility signed by guardian on 10/28/2010 requesting closure of application
3052	8/19/2010	Declined Service	Completed	Individual signed Service Declination signed 7/28/2011. DCA completed on 7/29/10 with no guardianship referral.
3115	12/9/2010	Declined service	Completed	individual signed SDF on 6/28/2011; DCA completed on 12/1/2010; no Guardianship ref; also signed DNC 6/28/2011
3204	8/9/2010	Match for Service 4/20/2011	Completed.	
3276	12/29/2008	Match for Service 5/22/2009	Completed.	

Service Status Report-DDW

3475	8/2/2010	Match for Service 03/30/2011	Deceased	Deceased
3509	4/26/2012	Registration form submitted on 4/26/2012	Intake and Eligibility currently in process of sending out DDW application.	
3594	6/11/2010	Declined Service	Completed	Guardian Signed Service Declination form on 8/3/2011.
3666	7/22/2010	DNC	Completed.	DNC signed by guardian on 3/21/2011
3867	8/19/2010	Match for Services 01/11/2011	Completed.	
3904	5/17/2010	Match for Service 4/19/2011	Completed	
3982	6/11/2010	Match for Service 01/21/2011	Completed.	
4352	8/26/2010	Declined Service	Completed	Individual signed Service Declination 7/27/2011. DCA completed on 7/29/2010 with no referral for guardianship.
4426	7/7/2010	No Match 09/21/2010	Completed.	DNC obtained by RCI on 5/26/2011
4587	7/7/2010	Match for Service 02/07/2011	Completed.	
4703	7/15/2010	Match for Service 05/12/2011	Completed.	
4739	8/9/2010	DNC	Completed	DNC signed by individual's guardian on 4/4/11.
4772	7/15/2010	DNC	Completed	DNC signed by individual on 2/24/2011. DCA completed on 6/15/10 with no guardianship referral.
5024	7/7/2010	Match for Service 04/14/2011	Completed.	
5043	8/2/2010	Declined Service	Completed	Individual signed Service Declination form on file. 8/17/2011. DCA completed on 7/13/10 with guardianship referral. 5/25/11 guardianship referral closed by OOG.
5119	4/30/2012	Application sent to intake and eligilbity on 6/14/12.	Pending information from intake and eligiblity.	
5177	10/25/2010	Needs Psych Eval	TEASC evaluation occurred on 5/24/2012. Pending results from TEASC eval.	
5519	8/19/2010	Match for services on 9/11/2008	Completed.	
5601	7/8/2009	Match for services 7/15/2009	Completed.	
5763	7/7/2010	Declined Service	Completed	Guardian signed Service Declination form on 3/19/2012.

Service Status Report-DDW

5837	7/19/2010	Referred to TEASC	Obtained TEASC application packet on 8/22/2011	Individual and supports are aware of recommendation. CSI has discussed the necessity of making an appointment with TEASC. Individual continues to refuse to set TEASC appointment.
6107	7/22/2010	Declined Service	Completed	Individual signed Service Declination form on 4/21/2011. DCA completed on 6/15/10 with no guardianship referral.
6178	8/31/2010	Declined service	Completed	5/16/12-individual and supports do not wish to pursue DDW at this time.
6215	7/7/2010	Match for Service 03/11/2011	Completed	Moved OOS
6359	12/31/2010	Declined service	Completed	individual signed SDF on 7/22/2011; DCA completed on 12/01/2010; no Guardianship ref
6425	8/19/2010	Declined Service	Completed	Individual signed Service Declination form on 8/2/11. DCA completed on 8/4/2010 with no guardianship referral.
6590	8/23/2010	TEASC application mailed.	3/21/12 CSI mailed TEASC application. CSI assisting in scheduling TEASC appointment at individual's home. 5/7/12 TEASC informed CSI that eval will occur in several months.	Guardian appointed on or about 10/19/2011
6730	10/27/2010	Deceased 4/30/2011	Deceased	Deceased
6943	1/10/2011	Declined service	Completed	individual signed SDF on 5/26/2011; DCA completed on 1/5/2011; no Guardianship ref
7090	9/12/2011	DDW application complete 5/18/12	CSI assisted individual in completing DDW application and ROIs to obtain documents to assist in eligibility.	
7312	12/2/2010	Match for Service 12/05/2008	Completed.	
7455	7/7/2010	Declined Service	Completed	Individual signed Service Declination form on 9/22/2011. DCA completed on 5/27/10 with no guardianship referral.
7502	2/27/2007	Match for Service 02/13/2008	Completed.	
7536	9/13/2011	TEASC app has been submitted on 2/29/2012	CSI working with TEASC to schedule appt. On 5/7/12 TEASC informed CSI that eval will not take place for several months.	

Service Status Report-DDW

7658	7/7/2010	Match for Service 11/01/2011	Completed	
7777	12/6/2005	Match for Service 03/14/2006	Completed.	
8012	7/19/2010	Match for services 8/09/2010	Completed.	
8017	7/22/2010	Need app. Packet; dx info	Intake and Eligibliy currently working through CSI to obtain necessary documents to assist in eligibility	CSI continuing to work with NMBHI to get necessary assessments/evaluations completed in order to obtain eligiblity for DDW. NMCHI need Navajo interpretor for assessment.
8093	6/1/2008	Declined Service	Completed	
8509	7/15/2010	Deceased 4/26/2011	Deceased	Deceased
8998	8/19/2010	Match for Service 03/11/2011	Completed	
9074	7/7/2010	Match for Service on 01/07/2011	Completed.	
9205	7/27/2010	Currently being reviewed by intake and eligibility.	TEASC evaluation completed and submitted to intake and eligibility on 4/11/12. TEASC referring the case to the neuropsychiatrist in order to obtain more information about individual's diagnosis.	
9440	3/15/2007	Match for services 10/15/2007	Completed	
9815	12/23/2008	Needs Psych Eval	6/11/12-CSI mailed completed TEASC evaluation to Intake and Eligiblity.	
9906	12/4/2008	Match for Service 12/22/2010	Completed.	
9999	9/21/2010	Individual incarcerated	CSI to assist if situation changes	

Service Status Report-HCDM

ID	HCDM Referral	Status	DOH Follow-up
1046	Yes	Completed	Completed. The individual's mother has been identified as the Health Care Decision Maker.
2276	YES	Completed	Completed. Individual has identified a friend to be the Health Care Decision Maker
2358	YES	Completed	Individual signed Service Declination form on 4/28/11. DCA completed on 11/18/10 with no guardianship referral.
3115	YES	Completed	Individual signed POA naming mother.
3276	Yes	Completed	Completed. Individual has an adult child identified to be the Health Care Decision Maker.
5177	YES	Completed	Completed. Niece has been identified as HCDM.
5301	YES	Completed	Completed. Individual has identified brother as Health Care Decision Maker.
5538	YES	Completed	Completed Individual has identified brother and sister in-law as Health Care Decision Makers.
5837	YES	Completed	Completed.Individual has identified a Health Care Decision Maker.
5916	YES	Completed	Completed. Individual has identified sibling as Health Care Decision Maker.
6509	YES	Completed	Completed. Individual has identified the brother and sister in law as the HCDM
6943	Yes	Completed	Individual has appointed a POA
9446	YES	Completed	Completed. Individual has identified the brother as Health Care Decision Makers.
1265W	YES	Completed	Individual signed POA naming sister.
2296W	YES	Completed	IDT currently pursuing guardianship for individual.
3539W	YES	Completed	IDT met and identified HCDM

5972W	YES	Completed	Completed. Individual has identified brother and aunt as healthcare decision makers under the healthcare decision act.
6498W	YES	Completed	IDT met and identified HCDM
7536W	YES	Completed	Completed. Individual has identified sister and brother as healthcare decision makers under the healthcare decision act.
7951W	YES	Completed	4/26/11 IDT mtg min's rec'd addressing IDT's desire to invoke "HC Decision Act/Decisions by Surrogate" if need should arise.
7980W	YES	Completed	Completed DDSD notified CSI that a plenary legal guardian has been appointed.
8677W	YES	Completed	Completed. Individual has identified brother and aunt as healthcare decision makers under the healthcare decision act.
dec142	YES	Deceased	Deceased
dec395	YES	Deceased	Deceased

Service Status Report-PCO

ID	PCO Referral	Status	DOH Follow-up	Service Declination form status
1000	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 53474864
1009	YES	Completed	Completed.	Approved for PCO on 8/15/2011: Provider 99999998
1024	YES	Completed	Completed.	Approved for PCO on 9/8/2010: Provider 18820573
1030	NO	Individual receives 044QMB and therefore is not eligible for PCO.	Completed.	Individual receives 44QMB and therefore is not eligible for PCO.
1046	YES	Completed	Completed	Approved for PCO on 11/29/2010: Provider 99999998
1153	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 1/1/2009: Provider 000A15.
1206	No	Individual lives in ICF/MR	Completed	N/A
1234	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 99999998
1235	REFERRED PRIOR TO SETTLEMENT	Received PCO services prior to settlement	Completed	N/A
1267	No	Individual receives QMB therefore making him ineligible for PCO services.	Completed	
1422	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 1/1/2009: Provider 000Z8426
1498	YES	Declined Service	Completed.	Individual signed service Declination form on 4/26/11. DCA completed on 8/24/10 with no guardianship referral.
1620	YES	Completed	Completed.	Approved for PCO on 10/05/2010: Provider 99999998
1625	YES	Denied	Completed.	Denied by Molina. Currently unable to locate
1689	No	Individual lives at Fort Bayard.	Completed	N/A
1774	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 000Z7019
1870	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 000G0065
1920	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 29857309
1925	Yes	Declined PCO Service	Completed	Signed Service Declination form 7/25/2011-DCA completed 11/2/10. No guardianship referral

Service Status Report-PCO

1948	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 6/1/2009: Provider 000Z9365
1960	NO	OOS	Completed.	OOS
1961	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 000Z7575
1986	Yes	Completed	Completed	Approved for PCO on 12/14/2010: Provider 99999998
1987	No	Individual is incarcerated.	Completed	N/A
2059	Yes	Declined Service	Completed.	Service Declination Form Signed by individual on 8/17/2011. DCA completed on 5/15/10 with no guardianship referral.
2212	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 57575533
2276	Yes	Declined PCO Service	Completed	Service Declination form signed 7/27/2011-DCA completed 6/16/10. Guardianship referral made but later closed by OOG
2315	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 29857309
2358	YES	Completed	Completed.	Approved for PCO on 4/1/2009: Provider 99999998
2398	YES	Declined Service	Completed	Service declination form signed by tribal guardian 8/3/11. Family requested to be seen one time per year in January.
2416	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 000F1564
2451	YES	Completed	Completed.	Approved for PCO on 9/22/2010: Provider 99999998
2474	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 1/1/2009: Provider 99999998:
2503	YES	Declined Service	Completed.	Individual signed service Declination form on 4/26/11. DCA completed on 5/26/10 with no guardianship referral.
2525	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO 8/1/2008: Provider 99999998
2543	Yes	Pending-individual failing to follow up	CSI continues to visit.	N/A
2610	YES	Completed	Completed	Approved for PCO 11/2011.
2618	YES	Family continues to fail to follow up-pending	CSI continues to visit. Unable to make contact.	
2654	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 1/1/2009: Provider 89772890

Service Status Report-PCO

2700	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 00075285
2785	YES	Declined Service	Completed.	Service Declination Form signed by individual on 8/8/11. DCA completed 5/19/2010 with no guardianship referral.
2813	No	Individual lives in ICF/MR	Completed	N/A
2842	YES	DNC	Completed.	Individual signed DNC on 3/1/11. Individual referred to Columbus. No guardianship referral.
2882	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 99999998
2980	No	Individual lives in ICF/MR	Completed	N/A
3012	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 68650566
3018	YES	Previously receiving PCO. Services dropped. CSI intervened.	6/18/12 United Healthcare completed initial assessment. Individual was informed that PCO services would begin soon.	
3052	YES	Declined Service	Completed.	Individual signed Service Declination signed 7/28/2011. DCA completed on 7/29/10 with no guardianship referral.
3115	Yes	Declined service	Completed	individual signed SDF on 6/28/2011; DCA completed on 12/1/2010; no Guardianship ref; also signed DNC 6/28/2011
3160	YES	Declined Service	Completed.	Individual signed Service Declination form on 7/28/11. DCA completed by Columbus on 7/21/10 with no guardianship referral. Individual also signed DNC on 3/30/11.
3204	No	Individual lives in ICF/MR	Completed	N/A
3276	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 1/1/2009: Provider 99999998
3475	NO	Deceased	Deceased	Deceased
3594	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 1/1/2009: Provider 10374337
3666	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 99999998
3867	No	Individual lives in ICF/MR	Completed	N/A

Service Status Report-PCO

3872	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 11/1/2008: Provider 000G0065
3904	No	Individual lives in ICF/MR	Completed	N/A
3982	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 1/1/2009: Provider 000Z8426
4070	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 000Z9365:
4259	YES	DNC	Completed.	Individual was assessed by Columbus 3/2012. DNC was signed by individual on 3/26/12.
4321	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 000Z9365
4352	YES	Completed	Completed.	Approved for PCO on 9/1/2010: Provider 99999998
4416	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 46635025
4426	YES	Declined Service	Completed	DNC obtained by RCI on 5/26/2011. DCA completed on 6/16/10 with no guardianship referral.
4427	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 1/1/2009: Provider 79382363
4587	Yes	Declined PCO Service	Completed	Individual and guardian verbally declined PCO services on 3/8/12.
4703	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 75208067
4739	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 1/1/2009: Provider 22554254
4772	YES	DNC	Completed.	DNC signed by individual on 2/24/2011. DCA completed on 6/15/10 with no guardianship referral.
4862	Deceased			
4977	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 1/1/2009: Provider 10374337
5006	NO	Moved OOS	Moved OOS	OOS
5017	YES	Completed	Completed.	Approved for PCO on 9/21/2010: Provider 99999998
5024	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 81303611
5043	YES	10/11/2010 - Denied PCO - did not meet level of care 7/6/2011 - Declined Service	Completed.	PCO Denied - Did not meet level of care - 10/11/2010. Individual also signed service Declination form on 7/6/11. DCA completed by Columbus on 7/21/10 with no guardianship referral.

Service Status Report-PCO

5119	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 11/1/2009: Provider 000Z7511
5177	No	Individual lives in a nursing facility.	Completed	N/A
5519	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 000Z7511
5601	YES	Family unavailable for visits.	6/14/12-Caregiver informed CSI that they will be scheduling an appointment with individual's PCP to start PCO process.	
5632	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 000Z9365:
5763	Yes	Declined PCO Service	Completed	Guardian signed service declination form for PCO services on 3/19/12.
5837	YES	Declined Service	Completed.	Individual signed Service Declination form on 8/2/11. DCA completed on 7/8/10 with no guardianship referral.
6107	Yes	Declined PCO Service	Completed	Service Declination form signed by individual on 4/21/2011-No guardianship referral
6215	YES	OOS	Completed.	
6252	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 000Z7511
6359	No	Declined service	Completed	individual signed SDF on 7/22/2011; DCA completed on 12/01/2010; no Guardianship ref
6407	YES	Individual did not complete MAD075 and signed DNC. He continues to make occasional contact with CSI.	Completed.	Individual refused Columbus assessments. No guardianship referral. Do Not Contact. CSI delivered a MAD 075 to the individual. On that visit, the individual signed the DNC. We have no information regarding whether or not the individual followed through with the PCP. On 3/2/12 new MAD379 form with cover letter sent to individual. Letter returned on 3/21/12-unclaimed by individual.
6425	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 81439300
6509	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 99999998

6590	YES	MAD379 form submitted to Molina	On 3/21/12 CSI faxed MAD379 form to Molina to initiate PCO services. CSI gave information regarding PCO process to individual's newly appointed guardian. Guardian states he will be pursuing PCO services and will contact CSI if assistance is needed.	
6626	YES	DNC	Completed.	Individual signed DNC on 3/23/11. DCA completed on 3/1/12 with no guardianship referral.
6655	NO	Completed	Individual no longer qualifies for PCO	Individual no longer qualifies for PCO. Changed from 04 (SSI) to 44 (QMB). Re-referred to Columbus 3/2012. Individual refused Columbus and requested DNC
6730	YES	Deceased	Deceased	Deceased
6749	YES	Declined Service	Completed.	Service Declination Form signed 9/9/2011. DCA completed on 5/11/10 with no guardianship referral.
6876	YES	Declined Service	Completed.	Individual verbally declined PCO services on 6/5/12.
6943	Yes	Completed	Completed	Approved for PCO services 4/2012
7090	Yes	Completed	Completed	Approved for PCO services 12/2011
7234	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 99999998
7312	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 85025038
7455	YES	Completed	Completed.	Approved for PCO on 9/14/2010: Provider 99999998
7495	YES	Declined Service	Completed	Individual signed DNC on 3/14/11. Individual re-referred to Columbus 3/2012 and refused assessments.
7502	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed - Approved for PCO on 4/1/2009. Entered SNF on 6/1/2009. Currently remains in SNF.	Approved for PCO on 4/1/2009. Entered SNF on 6/1/2009. Currently remains in SNF.
7536	YES	Completed	Completed.	Approved for PCO on 1/1/2010: Provider 85025038
7658	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 11/1/2008: Provider 99999998

Service Status Report-PCO

7676	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 000Z7592
7777	No	Individual lives in a nursing facility.	Completed	N/A
8000	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008: Provider 85277304
8012	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009. Provider 000Z7575
8017	No	Individual lives in ICF/MR	Completed	N/A
8093	Yes	Pending-individual failing to follow up	Individual does not qualify for PCO	Individual currently does not receive the proper funding to qualify for PCO
8249	YES	Declined Service	Completed.	Individual signed Service Declination form on 7/28/11. DCA completed by Columbus on 7/21/10 with no guardianship referral. Individual also signed DNC on 3/30/11.
8509	NO	Deceased	Deceased	Deceased
8523	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO 4/1/2009: Provider 00073315
8624	NO	Declined Service	Completed.	Individual signed Service Declination Form on 9/26/11. DCA completed on 9/14/11 with no guardianship referral.
8743	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 8/1/2008. Mi Via services began on 6/1/2009.
8787	YES	Declined Service	Completed.	Service Declination form signed on 4/26/11 by individual and by caregiver who is actively seeking guardianship.
8974	YES	Declined Service	Completed.	Individual signed service declination form on 11/3/2011. DCA completed on 8/25/10 with no guardianship referral.
8998	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 4/1/2009: Provider 99999998
9074	YES	Declined Service	Completed.	Individual and guardian signed service declination form on 7/26/2011
9205	No	Individual lives in a nursing facility.	Completed	N/A
9440	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 11/1/2008: Provider 000Z8484
9446	YES	CSI provided MAD379 and located physician	Completed.	Family has failed to follow up. CSI continues to visit.
9734	YES	Completed	Completed.	Approved for PCO on 11/16/2010: Provider 99999998

Service Status Report-PCO

9797	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO 1/4/2010: Provider 99999998
9815	REFERRED PRIOR TO SETTLEMENT	Completed Receiving Service prior to Columbus	Completed.	Approved for PCO on 1/1/2009: Provider 99999998
9906	YES	Completed	Completed.	Approved for PCO on 9/7/2010: Provider 99999998
9967	Yes	Pending-individual failing to follow up	CSI continues to offer assistance	
9999	Yes	Incarcerated	CSI to assist if situation changes	

Service Status Report-POA

ID	POA Referral	DOH Follow-up	OGC Follow-up letter
1240	YES	Individual has completed the POA on 6/15/11.	N/A
2337	YES	Individual signed Service Declination form on 6/08/11. DCA completed on 5/22/2010 with no guardianship referral.	10/13/2011
2358	YES	Individual signed Service Declination form on 4/28/11. DCA completed on 11/18/10 with no guardianship referral.	5/27/2011
3115	YES	Individual completed POA on 6/28/11.	10/13/2011
5043	YES	Service Declination form signed by individual on 7/6/11. DCA completed on 7/21/10 with no guardianship referral.	10/13/2011
7676	YES	Individual signed Service Declination form on 6/10/11. DCA completed on 6/16/10 with no guardianship referral.	5/27/2011
8276	YES	Individual signed Service Declination form on 6/08/2011. DCA completed on 6/4/2010 with no guardianship referral.	10/13/2011
1265W	YES	Sister is POA for individual.	
7314W	YES	Moved Out of State with sister who was pursuing guardianship.	N/A
7951W	YES	Considered by IDT and declined.	
8224W	YES	Mother is POA for individual.	

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Re: ***JM v. NM DOH, et al.*, No. 07-CV-604 RB/ACT**

Dear Mr. Cubra and Mr. Hall,

This letter is in response to your letter of February 10, 2012.

I. THIRD REPORT

Plaintiffs allege that Defendants have failed to comply with the provision on page 4 of the Arbitrator's January 20, 2011 Order.

Defendants have complied with the following provision on page 4 of the Arbitrator's January 20, 2011 Order through submission of the following:

1. Service Plans for each individual with a list of the recommendation from Columbus for each individual, identification of the actions taken by CSI to follow up with recommendations and other actions taken on behalf of the individual. These Service Plans were provided to Mr. Michael Gross, Arbitrator, and Mr. Peter Cubra on a CD with a cover later dated January 19, 2011 in PDF form, Bates No. 000001-000664. (see Attachment 1, letter of 1/19/2012).
2. Service Status Reports (DDW, PCO, HCDM and Power of Attorney) which identify the actions taken to facilitate the application for the programs and services recommended by Columbus, submitted 2/21/2011 electronically to Michael Gross, Arbitrator, and plaintiffs' counsel, which have been updated and submitted monthly thereafter.(see Attachment 2, email of 2/21/2011)
3. The Power of Attorney (POA) Service Status report provided at the meeting with Peter Cubra and John Hall on 3/2/2012 clarified for each individual whether a Power of Attorney has been identified, or, if the individual chose to decline the recommended service, the date on which a Service Declination Form was signed (FN1). During the March 2nd, 2012 meeting, Plaintiffs' counsel was reminded that Gabrielle Sanchez-Sandoval, Acting General Counsel provided a training to all CSI workers including the appropriate paperwork to provide to individuals in order

1 Whenever possible, Defendants have documented the declination of any service by having the individual or guardian sign a "Declination of Services" form. These documents are retained by the Department of Health. A sample of the Declination of Services form is attached as Attachment 3.

Exhibit B

to have a discussion regarding the POA process and the selection of an appropriate person to serve as the Power of Attorney. Trainings were also provided to CSI with information and appropriate forms regarding the Guardianship process and how to select a Health Care Decision Maker.

II. RELEASE OF DOCUMENTS

Plaintiffs allege that Defendants have failed to comply with the following provision on page 2 of the Arbitrator's November 11, 2010 Order:

1) The New Mexico Department of Health shall provide to Plaintiffs' counsel any documents sought by a release within thirty (30) days of receipt of the release.

Defendants retained a private investigator to catalog all documents stored in Cottage 2 of the LLCP, the storage rooms at the Bank of the West, including the micro fiche which contained the CST documents. Defendants' investigator searched State Archives for documents related to the individuals for whom Plaintiffs' counsel had produced valid releases.

Defendants provided copies of all additional documents for each of the individuals for whom plaintiffs' counsel provided a valid release of information. At the meeting on March 2, 2012, Defendants included a checklist of all previously released documents for each individual for whom Plaintiffs' counsel provided a valid release. Counsel for both the Department of Health and Aging and Long Term Services Department were required to engage in multiple conversations with Plaintiffs' counsel to cure deficiencies in the most of the releases. This resulted in delays. There are no further documents to produce.

III. AFFIDAVIT

Plaintiffs' counsel allege that Defendants have not fully complied with the provision on page 2 of the Arbitrator's November 11, 2010 Order, specifically, "to provide an affidavit to Plaintiffs' counsel and the Arbitrator within thirty (30) days for this Order, verifying that it has confirmed and has documented in writing on file, an explicit refusal to be contacted by the State Agency Defendants by those individuals so noted on Exhibit A."

Plaintiffs' counsel requested a new affidavit, or, in the alternative, a meeting with Plaintiffs' counsel to explain the Affidavit of 12/12/2010. Plaintiffs' counsel further request that DOH "provide us with a new affidavit that addresses all of the deficiencies in the first affidavit, and provides all such information regarding all 25 individuals identified in the January 24, 2012 CSI report as "Do Not Contact". Plaintiffs' counsels go on to request that Defendants' new affidavit include information, inter alia, on who made the refusal, what was their authority and if any refusals were made by guardians whose appointment was facilitated by DOH.

Defendants respond to the allegations as follows:

Defendants produced the required Affidavit on 12/12/2010.

For each individual on the January 24, 2012 CSI Visitation Compliance Report identified as "Do Not Contact" (DNC)(FN 2) the updated CSI visitation report for the month of March 2012 indicates the date on which the individual (or the guardian if appropriate) signed the DNC form. For any refusals made by the individual's guardian, a list of those individuals was sent to Disability Rights of New Mexico in accordance with paragraph 3(f) of the Settlement Outline. The Department continues to respect an individual's right to accept or decline a service or assistance, until the individual has been formally declared to lack capacity.

The Columbus Organization was contracted pursuant to the terms of the Settlement Agreement to provide oral and written notice, conduct assessments and make recommendations to CSI to follow-up regarding services. The Department is in the process of verification that each individual received the required notice. Some individuals were referred to the Columbus Organization despite a DNC on file if the DNC was received prior to January 8th, 2010.

Regarding the 25 individuals identified in the January 24, 2012 CSI Visitation Report:

1. 210 Family has requested that CSI not initiate contact, but will contact CSI if and when they need assistance.
2. 1153 Individual signed DNC on 1/19/2011 received by CSI worker.
3. 1723 Individual signed DNC on 3/7/2011 received by CSI.
4. 2474 Individual and family states he does not want contact from CSI.
5. 2842 Individual signed DNC on 3/1/2011 received by CSI.
6. 3115 Individual signed DNC on 6/28/2011 received by CSI.
7. 3160 Individual signed DNC on 3/30/2011 received by CSI.
8. 3509 Individual verbally requested DNC on 6/27/2011.
9. 3666 Guardian signed DNC 3/21/2011 received by CSI.
10. 4426 Individual verbally requested DNC received 5/26/2011 by RCI.
11. 4739 Guardian signed DNC 4/4/2011 received by CSI.
12. 4772 Individual signed DNC on 2/24/2011 received by CSI.
13. 5599 Guardian signed DNC on 2/28/2011 received by CSI.
14. 6132 Individual signed DNC on 11/26/2010 received by CSI.
15. 6407 Individual signed DNC on 3/22/2011.
16. 6533 Individual signed DNC on 2/28/2011 received by CSI.
17. 6598 Individual verbally requested DNC on 3/16/2011 to CSI.
18. 6626 Individual signed DNC on 3/23/2011.
19. 6655 Individual signed DNC 2/24/2011 received by CSI.
20. 7495 Individual signed DNC 3/14/2011 received by CSI.
21. 7882 Individual signed DNC 10/24/2011 received by CSI.
22. 8000 Individual and proposed guardian signed DNC 3/22/2011.
23. 8249 Individual signed DNC on 3/30/2011 received by CSI.
24. 8860 Individual signed DNC on 6/7/2011 received by RCI.
25. 9926 Individual signed DNC on 2/18/2011 received by CSI worker.

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2 Whenever possible, Defendants have documented the request to cease all contact by having the individual or guardian sign a "Do Not Contact" form. These documents are retained by the Department of Health. A sample of the Do Not Contact Form is attached as Attachment 4.

IV. MONTHLY REPORTS

Plaintiffs' counsel alleges that Defendants have failed to comply with the following provision on pages 2-3 of the Arbitrator's January 20, 2011 Order, which directs Defendants to report to Plaintiffs' Counsel on contact between CSI workers and eligible individuals. The second report requires Defendants to describe the status of the PCO and Waiver application process for every person identified by Columbus as eligible for a waiver, including what Defendants have done, and plan to do, to get the necessary documentation to support such applications. Defendants were ordered to report to Plaintiffs' counsel on the progress every thirty days.

Defendants have submitted five monthly updated Service Status Reports (DDW, PCO, POA, HCDM and CSI Visitation Compliance) every month, beginning on February 21, 2011. These monthly updated reports list the status of the relevant application process for each individual and include what CSI has done, and intends to do, to assist the individuals in gathering the necessary documentation to support such applications.

Subsection A

According to paragraph 3(c) of the Agreement, each individual who receives Waiver referral shall "simultaneously apply for PCO services". As was related to plaintiffs' counsel during the meeting on March 2, 2012, a decision was made by the Department to refer all individuals for PCO services. As plaintiffs' correctly noted, 21 individuals listed on the DDW report were inadvertently not listed on the PCO report, however these 21 individuals were in fact referred for PCO services, and CSI workers provided and continue to provide information and assistance. The status of the PCO application process for each of the 21 individuals indentified by Plaintiffs' counsel is listed below, and these individuals will be included in the March 2012 Service Status Report.

1. 1206 N/A; Individual lives in ICF/MR
2. 1235 Receives PCO services
3. 1267 Individual not eligible for PCO; receives QMB
4. 1689 N/A; Individual lives at Ft. Bayard Medical Center
5. 1925 Individual signed Service Declination form 7/25/2011
6. 1987 Individual not currently eligible – currently incarcerated
7. 2276 Individual signed Service Declination form 7/27/2011
8. 2543 Individual has expressed frustration to CSI worker about PCO application process, CSI worker offered to accompany individual to PCP appointment to explain PCO benefits to doctor; no guardianship
9. 2813 N/A; Individual lives in ICF/MR
10. 2980 N/A; Individual lives in ICF/MR
11. 3204 N/A; Individual lives in ICF/MR
12. 3867 N/A; Individual lives in ICF/MR
13. 3904 N/A; Individual lives in ICF/MR
14. 4587 Guardian and Individual declined PCO services on 3/08/2012
15. 5177 Individual lives in nursing facility
16. 5763 Guardian signed Service Declination Form 3/19/2012

17. 6107 Service Declination form signed by individual 4/21/11
18. 7777 Individual lives in nursing facility
19. 8017 N/A; Individual lives in ICF/MR
20. 8093 Individual was provided with MAD 379 form on 2/3/12
21. 9205 N/A; Individual lives in ICF/MR

Subsection B

As noted above, it was the decision of the Department of Health to refer all individuals to the PCO program. However, the determination to refer individuals for waiver services was only made by the Columbus reviewer. For this reason there will be a discrepancy between the number of individuals referred to PCO and the number of individuals referred to DDW.

Subsection C

In response to questions based upon the January 24, 2012 DDW Report, information on each declination follows, as requested:

"Declined Service"

1. 1206 Guardian sent letter to Eligibility requesting closure of DDW app 1/5/11
2. 1267 Individual signed Service Declination on 5/05/11
3. 1780 Service Declination Form signed by individual 4/28/11
4. 1920 Guardian signed service declination form on 6/20/11
5. 1925 Individual signed service declination form on 7/22/11
6. 1948 Individual with PoA signed service declination form on 4/27/11
7. 2276 Individual signed service declination form 7/27/11
8. 2315 Guardian signed service declination form 6/20/11
9. 2543 Individual signed service declination form 7/6/11
10. 2654 Individual signed service declination form 8/10/11
11. 2813 Individual signed service declination form 10/11/11
12. 2980 Guardian sent letter to Eligibility requesting closure of DDW app 10/28/10
13. 3052 Individual signed service declination form 7/28/11
14. 3594 Guardian signed service declination form 8/3/11
15. 4352 Individual signed service declination form 7/27/11
16. 5043 Individual signed service declination form 8/17/11
17. 5763 Guardian signed service declination form 3/19/12
18. 6107 Individual signed service declination form 4/21/11
19. 6425 Individual signed service declination form 8/2/11
20. 7455 Individual signed service declination form 9/22/11

"Do Not Contact"

1. 1153 Individual signed Do Not Contact form on 1/19/11
2. 3666 Tribal guardian signed Do Not Contact form on 3/21/11
3. 4739 Guardian signed Do Not Contact form on 4/4/11
4. 4772 Individual signed Do Not Contact form on 2/24/11

"Unable to Locate"

1. 1625 Last contact 5/3/11 by telephone individual would not give current address. Attempts to contact since that time have been unsuccessful.

"Individual Requested Closure of Recommendation/Individual and Supports Not Interested in DD Waiver Services"

1. 2618 Individual and sister signed Service Declination form 9/29/11
2. 6590 CSI sent DDW application to intake and eligibility; TEASC application mailed on 3/21/12
3. 8093 Individual states he is not interested in DDW services.

"TEASC"

1. 1235 Match for services 1/7/2012
2. 2882 TEASC evaluation scheduled for 3/22/12
3. 5177 TEASC evaluation to be scheduled
4. 5837 Individual refuses to set TEASC appointment for evaluation
5. 9205 TEASC evaluation scheduled for 3/29/12
6. 9815 TEASC evaluation scheduled for 4/26/12

"No Match for Services for Other Reasons"

1. 1422 (allocation on hold as of 1/19/05) Allocation on hold at individual's request.
2. 1987 (need app packet, dx info, individual not currently eligible for DDW or PCO services) Individual is currently incarcerated
3. 4426 (no match) Eligibility determined no match for DDW services
4. 8017 Documents submitted on 3/26/12 to Eligibility to support application

Subsection (D)

Information has been updated from the comprehensive letter submitted by Gabrielle Sanchez-Sandoval, Acting General Counsel to John Hall dated November 2, 2011 (Attachment 5). Please note that the application MAD075 is now referred to as MAD379. In response to questions based upon the January 24, 2012 DDW Report, information on each individual follows, as requested:

"Now pursing PCO"

1. 2610 Receiving PCO
2. 4259 Delivered MAD 379 on 12/16/11; individual assessed by Columbus 3/2012; DNC signed 3/26/2012
3. 5601 CSI delivered MAD 379 to guardian on 11/29/11
4. 6407 Individual signed DNC 3/22/11
5. 6876 CSI delivered MAD 379 to individual on 9/9/11; CSI to support physician contact; multiple attempts by CSI to contact in March were unsuccessful

"Pending MAD 075 per Molina"

1. 6590 MAD 379 submitted by Guardian; CSI faxed MAD 379 to Molina on 3/21/12 to initiate PCO services
2. 9446 Individual states no interest in PCO services at this time

"Denied"

1. 1030 Not eligible for PCO
2. 1625 Not eligible for PCO

"Unable to Locate per Evercare"

1. 2618 MAD 379 delivered to home on 9/29/11; multiple attempts by CSI to contact have been unsuccessful

"Do Not Contact"

1. 2842 Individual signed Do Not Contact form on 3/1/11
2. 4772 Individual signed Do Not Contact form on 2/24/11
3. 6626 Individual signed Do Not Contact form on 3/23/11

"Declined Service"

1. 1046 Individual signed Service Declination Form 1/11/12
2. 1498 Individual signed Service Declination Form 4/26/11
3. 2059 Individual signed Service Declination Form 8/17/11
4. 2398 Individual signed Service Declination Form 8/3/11
5. 2503 Individual signed Service Declination Form 4/28/11
6. 2785 Individual signed Service Declination Form 8/8/11
7. 3052 Individual signed Service Declination Form 7/28/11
8. 3160 Individual and PoA signed Service Declination Form 7/28/11
9. 4426 Individual verbally declined to CSI 4/6/11
10. 5043 Individual signed Service Declination Form 7/6/11
11. 5837 Individual signed Service Declination Form 7/30/11
12. 6749 Individual signed Service Declination Form 9/9/11
13. 7495 Individual signed Do Not Contact 3/14/11
14. 8249 Individual and PoA signed Service Declination Form 7/28/11
15. 8624 Individual signed Service Declination Form 9/26/11
16. 8787 Individual signed Service Declination Form 4/27/11
17. 9074 Guardian and Individual signed Service Declination Form 7/26/11

Subsection (E)
In response to your questions based upon the January 24, 2012 CSI Visitation Compliance Report, information regarding each individual follows:

"Unable to Locate"

1. 1625 Last contact 5/3/11 by telephone, individual would not give current address. Attempts to contact since that time have been unsuccessful. Six attempted phone contacts; messages left each time. CSI contact information left at son's home. Most recent telephone contact attempt on 3/6/2012; message left with CSI contact information. Individual receives SSI with son's mailing address.
2. 2416 Multiple attempts to contact; no one will answer the door. CSI contact information has been left multiple times. Receives PCO and SSI.
3. 3018 Individual was seen by CSI in March 2012; re-referred to Columbus for assessment.
4. 4666 CSI has not been able to contact this individual. Attempts by RCI to locate have been unsuccessful.
5. 4689 Attempts by CSI to contact individual at last known address unsuccessful throughout 2011; phone contacts and letter sent 6/2011. CSI made face-to-face contact with individual in October 2011 and again in January 2012.
6. 6209 Multiple attempts to contact; no one will answer the door; CSI contact information left at the door, attempt on 8/24/2011 mailbox labeled vacant.
7. 7784 During attempted home visit on January 21, 2011, the home was boarded up and vacant. On January 28, 2011, RCI located individual. All attempts by CSI to contact have been unsuccessful. CSI contact information left at the home. Referred again to RCI to locate. Individual signed DNC; received by RCI.

Of the seven individual's listed above, three were assessed by Columbus, one was referred to Columbus for assessment, but Columbus was unable to make contact with the individual, and one individual refused the assessment. The Department recognizes that an individual's life is not static, and for that reason the CSI workers continue to attempt to make contact with individuals for whom they have contact information, even though attempts at contact have been unsuccessful. The Department continues to respect an individual's right to accept or decline a service or assistance, until the individual has been formally declared to lack capacity.

"Do Not Contact"

Plaintiffs' counsel asks "for 25 individuals, Do Not Contact" information. This appears to be the same list submitted by Plaintiffs' counsel under "Affidavit" supra.

For each individual on the January 24, 2012 CSI Visitation Compliance Report identified as "Do Not Contact" (DNC) the updated CSI visitation report for the month of March 2012 indicates the date on which the individual (or the guardian if appropriate) signed the DNC form. If any refusals were made by the individual's guardian, a list of those individuals was sent to Disability Rights of New Mexico in accordance with paragraph 3(f) of the Settlement Outline. The Department continues to respect an individual's right to accept or decline a service or assistance, until the individual has been formally declared to lack capacity. In response to your questions based upon the January 24, 2012 CSI Visitation Compliance Report, information regarding each individual follows:

1. 210 Family has requested that CSI not initiate contact, but will contact CSI if and when they need assistance.
2. 1153 Individual signed DNC on 1/19/2011 received by CSI worker.
3. 1723 Individual signed DNC on 3/7/2011 received by CSI.
4. 2474 Individual and family states he does not want contact from CSI.
5. 2842 Individual signed DNC on 3/1/2011 received by CSI.
6. 3115 Individual signed DNC on 6/28/2011 received by CSI.
7. 3160 Individual signed DNC on 3/30/2011 received by CSI.
8. 3509 Individual verbally requested DNC on 6/27/2011.
9. 3666 Guardian signed DNC 3/21/2011 received by CSI.
10. 4426 Individual verbally requested DNC received 5/26/2011 by RCI.
11. 4739 Guardian signed DNC 4/4/2011, received by CSI.
12. 4772 Individual signed DNC on 2/24/2011 received by CSI.
13. 5599 Guardian signed DNC on 2/28/2011 received by CSI.
14. 6132 Individual signed DNC on 11/26/2010 received by CSI.
15. 6407 Individual signed DNC on 3/22/2011.
16. 6533 Individual signed DNC on 2/28/2011 received by CSI.
17. 6598 Individual verbally requested DNC on 3/16/2011 to CSI.
18. 6626 Individual signed DNC on 3/23/2011.
19. 6655 Individual signed DNC 2/24/2011 received by CSI.
20. 7495 Individual signed DNC 3/14/2011 received by CSI.
21. 7882 Individual signed DNC 10/24/2011 received by CSI.
22. 8000 Individual and proposed guardian signed DNC 3/22/2011.
23. 8249 Individual signed DNC on 3/30/2011 received by CSI.
24. 8860 Individual signed DNC on 6/7/2011 received by RCI.
25. 9926 Individual signed DNC on 2/18/2011 received by CSI worker.

"Other"

Plaintiffs' counsel allege that seven (7) individuals did not receive the level of CSI visitation required by the Agreement.

The Department respects the rights of individuals and families to decline visitation or request specific scheduling of visits. This information is included in the monthly Service Status Reports.

For seven (7) individuals, the following information is in response to your request for explanation in greater detail why these individuals have not received quarterly visitation by CSI:

1. 2212 (family does not want quarterly visits, and wishes to contact CSI if need something)
2. 2398 (family requested one visit per year)
3. 3366 (Individual stated over the phone that he wants no contact with the State; DNC mailed to individual, but no response)
4. 4427 (Individual requested two visits per year; seen 9/15/11; scheduled to be seen in March, 2012; phone contact made 3/19/2012, individual requested the visit be made at a later date)
5. 6719 (Seen 9/09/11; individual requests CSI visit one time per year)
6. 8012 (family requests email contact only)
7. 8093 (Seen 3/9/12; individual is inconsistent with permitting CSI to assist; CSI has contact with caregiver)

Subsection (F)

In response to your questions based upon the January 24, 2012 Healthcare Decision-Maker Report, information regarding each individual follows. Each of these 8 individuals is already on the DD Waiver. CSI submitted a Request for Regional Office Intervention (RORI) with a request that the Columbus recommendation be discussed by the team. When the Regional Office received the information below, the Regional Office closed the Recommendation per RORI policy.

1. 1265W Individual signed PoA appointing sister
2. 2296W IDT currently pursuing guardianship for individual
3. 3539W IDT met and identified HCDM
4. 5972W Individual has identified brother and aunt as HCDM
5. 6498W IDT met and identified HCDM
6. 7536W Individual's sister has been identified as HCDM, alternate is brother HCDM
7. 7951W 4/26/11 IDT minutes received addressing IDT's desire to invoke UHCDM if needs should arise
8. 8677W Individual has identified brother and aunt as HCDM

Subsection (G)

In response to your questions based upon the January 24, 2012 Power of Attorney Report, information regarding each individual follows. In response to your questions based upon the January 24, 2012 Power of Attorney Report, information regarding each individual follows. Each of these 8 individuals is already on the DD Waiver. CSI submitted a Request for Regional Office Intervention (RORI) with a request that the Columbus recommendation be discussed by the team. When the Regional Office received the information below, the Regional Office closed the Recommendation per RORI policy.

1. 1265W Sister is PoA for individual
2. 7951W IDT met and declined PoA and decided to invoke UHCDM Act if needs should arise
3. 8224W Mother is PoA for individual

"Service Declination form signed"

The Department continues to respect an individual's right to accept or decline a service or assistance, until the individual has been formally declared to lack capacity.

1. 2337 Individual signed Service Declination Form 6/8/11
2. 2358 Guardian signed Service Declination Form 4/28/11
3. 7676 Individual signed Service Declination Form 6/10/11
4. 8276 Individual signed Service Declination Form 6/8/11

V. INADEQUACY OF CSI SUPPORTS

Plaintiffs' counsel allege that CSI personnel are not providing the needed level of assistance to each eligible individual, that many individuals are experiencing difficulties obtaining or maintaining their public benefits such as PCO or DD Waiver or D&E Waiver services, and that others are having difficulties with their medical care and/or with managing their financial affairs.

The Department continues to respect an individual's right to accept or decline a service or assistance, until the individual has been formally declared to lack capacity. Section 3(d) of the Settlement Agreement provides that individuals will be referred by CSI workers to the appropriate agency or program for processing *in accordance with the program guidelines, eligibility, criteria and available funding, subject to the agency's respective statutory and regulatory responsibilities (italics added).* During the meeting with Peter Cubra and John Hall on 3/2/2012, DDSD Director Cathy Stevenson informed Plaintiffs' counsel that CSI workers would continue to assist individuals in applying for services for which they may be eligible, but CSI workers would not engage in advocacy on behalf of individuals.

During the meeting with Peter Cubra and John Hall on 3/2/2012, DDSD Director Cathy Stevenson informed Plaintiffs' counsel that the CSI workers had been reorganized and were now reporting to supervisors in their geographical area, such as a DDSD Regional Office manager, or to other DDSD leadership who could provide guidance if any questions arose in the final completion of the Settlement Agreement tasks. The detail of each individual CSI worker's chain of command is available as public record. A list of each CSI worker and respective supervisor is included in this formal response to your letter of February 10, 2012, as follows:

CSI	Supervisor
Dave Doyle	Chris Futey
Angela Pacheco	Charlene Cain
Steve Coca	Roberta Duran
Doug Baker	Scott Doan
Sarah Humbard	Phil Moskal
Kathy Baker	Kathleen Linnehan
Shadee Brown	Kathleen Linnehan

VI. NAMES OF 101 INDIVIDUALS

As summarized in Defendants' letter to Plaintiffs' counsel on March 26, 2012, the parties discussed Plaintiffs' counsel request for the names of the 101 individuals who are the subject of the February 10, 2012, letter and currently identified by their unique identifiers, so that Plaintiffs' counsel can "assure themselves" that each individual is receiving the benefits available under the Settlement Agreement. The common goal of both parties, to provide the eligible individuals with the benefits of the Settlement Agreement, was acknowledged, as well as the fact that the individuals visited by Plaintiffs' counsel and the Defendants' agents might not always respond in the same way to the same question. The lives of the individuals are not static, and both needs and desires may change for any number of reasons. The futility of having the parties visit at different times, resulting in different responses, was acknowledged, and Defendants suggested that joint visits might be the most expeditious means of ending the cycle of disparate responses. Plaintiffs' counsel suggested that Defendants enter into an Order similar to the one executed by the DDPC to effectuate the provision of names of individuals for whom Plaintiffs' counsel does not have an effective release of information, and provided Defendants with a copy of the DDPC / Plaintiff Stipulated Protective Order Regarding Confidentiality dated July 15, 2011.

Defense counsel has reviewed the Order and determined that the terms of this document provide redundant reassurances as to the confidentiality of the protected health information of the individuals who would be impacted. As the Order notes, this information is currently protected by the Health Insurance Portability and Accountability Act of 1996. The assurances that the confidential information will not be used for any purposes other than "this litigation" and agreeing to "destroy or return all confidential information within 90 days of the conclusion of the litigation" overlooks the fact that the litigation was concluded in March 2010.

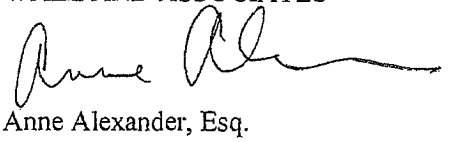
While Defendants understand that both parties have the common goal of offering services to the former residents of the State facilities, divulging the names, locations and protected health information of any individuals who are not represented by Plaintiffs' counsel would violate their federally protected privacy, substantially exceed the terms of the Settlement Agreement, and possibly interfere with the effective relationships established by the CSI workers with many of these individuals over the past several years.

VII. ADDITIONS TO SERVICE STATUS REPORTS

As a result of the thorough review performed by Defendants, individuals who did not previously appear on some of the service status reports are now reported on the updated service status reports. Defendants are confident that although the individuals did not appear on the previous reports, this was an inadvertent error. These individuals are clearly identified on each report.

Sincerely,

WALZ AND ASSOCIATES



Anne Alexander, Esq.
Kathyleen Kunkel, Esq.

ATA/KMK/sch
Attachment(s): As stated.

cc via email with attachments:

Gabrielle Sanchez-Sandoval, DOH Acting General Counsel
Peggy Jeffers, Esq.
Cathy Stevenson, Director of DDSD
Jerry A. Walz, Esq.
Rachel Higgins, Esq.
Nancy Simmons, Esq.
Charles Peifer, Esq.
Cecilia Nunez

Jerry A. Walz, Esq.*
---
*Also Admitted
in Texas & Colorado

Walz and Associates

Attorneys at Law

"Making Legal History"

133 Eubank Blvd NE
Albuquerque, NM 87123

(505) 275-1800
(505) 275-1802 FAX

Alfred D. Creecy, Esq.
Kathyleen M. Kunkel, Esq.
David Dayog Black, Esq.

January 19, 2011

Michael A. Gross, Esq.
Dines & Gross PC
6301 Indian School Road NE, Suite 900
Albuquerque, NM 87110

Peter Cubra, Esq.
2001 Carlisle Blvd NE, Suite E
Albuquerque, NM 87110

Re: Foley v. DOH, et al.

Dear Mr. Gross and Mr. Cubra,

Enclosed please find a disc containing Bates No. documents CSI Service Plan Dec. 16, 2010 Arbitration 000001 through 000664, documenting CSI follow-up on Columbus recommendations.

Please contact our office with any questions.

Sincerely,

WALZ AND ASSOCIATES

Shalada C. Hopper, Legal Assistant

/sch
Enclosure: as stated

Attachment 1

AALEXANDER

From: Anne Alexander
Sent: Monday, February 21, 2011 1:47 PM
To: 'pcubra@qwestoffice.net'; 'mgross@dineslaw.com'; Jerry A. Walz
Cc: Kathy Kunkel; Lauer, Gregory, DOH; Sanchez-Sandoval, Gabrielle, DOH
Subject: updated Service Status spreadsheet Foley Arbitration
Attachments: Service Status Report 02172011.xlsx

Michael and Peter,

Attached please find the updated Service Status Report provided by the New Mexico Department of Health. This report contains the updated status of all Columbus recommendations regarding DDW, PCO, Power of Attorney, and Health Care Decision Maker. Each type of recommendation is identified by tab on the excel spreadsheets.

Sincerely,

Anne Alexander
Walz and Associates
275-1800

Attachment 2

I understand that the Columbus Organization recommended the following Services for me. My CSI caseworker has read and explained each of these services to me and offered to assist me in obtaining them. At this time I choose to:

	PURSUE		NOT PURSUE
	DD Waiver		DD Waiver
	Personal Care Option		Personal Care Option
	Power of Attorney		Power of Attorney

My CSI caseworker has provided me with the necessary forms and offered to or assisted me in completing applicable forms.

I understand that I may change my decision and my CSI worker will renew efforts to assist me in my perusal or will assist me to close existing applications as requested.

Signature of Individual _____ Date _____

Signature of Guardian _____ Date _____

Signature of Witness _____ Relationship of Witness _____

Signature of CSI _____ Date _____

Name of Individual: _____

As a part of an initiative of the New Mexico Department of Health to update the Department's Developmental Disabilities database, we are locating individuals who have previously received services at a New Mexico state facility. We are meeting with you to determine if you are receiving services. We want to learn about your current health, wellness, and any benefits you are receiving. By consenting, you agree to provide information. If you decline to participate, your signature will indicate that you do not want any services from the Department of Health / Developmental Disabilities Supports Division / Community Services Integration Team at this time.

☐ I Consent ☐ I Do Not Consent

_____ _____
Signature of Individual Signature of Person providing assistance

_____ _____
DOH Staff or Contractor Date

Name of Individual: _____

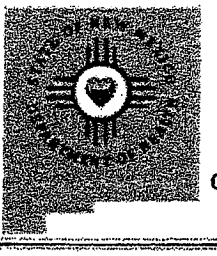
As a part of an initiative of the New Mexico Department of Health to update the Department's Developmental Disabilities database, we are locating individuals who have previously received services at a New Mexico state facility. We are meeting with you to determine if you are receiving services. We want to learn about your current health, wellness, and any benefits you are receiving. By consenting, you agree to provide information. If you decline to participate, your signature will indicate that you do not want any services from the Department of Health / Developmental Disabilities Supports Division / Community Services Integration Team at this time.

☐ I Consent ☐ I Do Not Consent

_____ _____
Signature of Individual Signature of Person providing assistance

_____ _____
DOH Staff or Contractor Date

SUSANA MARTINEZ, GOVERNOR



CATHERINE D. TORRES, M.D., CABINET SECRETARY

November 2, 2011

FACSIMILE
(505) 256-7641

John Hall
3500 Comanche Road NE, Suite H
Albuquerque, New Mexico 87107-4546

RE: *JM v. NM DOH, No. CV-07-604 RB/ACT*

Dear Mr. Hall:

Mr. Hall:

In response to your email related to PCO services, generally I will say that I believe in our efforts to have succinct monthly reports, the brevity of some of the information has caused some confusion; it's a delicate balance trying to create an informative but brief status report. I also believe some of the language that is used, or the inconsistency of some language that is, also created some confusion. We are working to address these issues for future reports.

I must say, however with regard to your use of the word "entitlement", we have to be careful. While making referrals for PCO services is a part of the settlement agreement, considering PCO an entitlement service is not legally accurate. Further, with regard to your comments related to decisional capacity, DOH CSI staff is not in a position to unilaterally assess and make findings as to an individual's decisional capacity. DOH will honor the consent or refusal of an individual as long as they remain their own legal guardian/legally recognized decision maker. It should be noted that we often rely on natural supports as witnesses and as individuals that can assist in explaining issues to the individuals who are part of the Foley group. Natural supports include family and friends.

Many times it can feel like DOH is in between a rock and hard place because we have been criticized or accused of not talking to an individual directly, but in the same breath we are also criticized for relying on the consent of a non adjudicated adult if there is a question in your mind as to their capacity. From our perspective, all individuals retain the right to make their own decisions unless or until a court or other legally recognized process takes that right away (or the individual gives it away). Keeping in mind of course, that if we have concerns about an individual's capacity to consent, we can and do make referrals to the OOG or other appropriate referrals. As previously stated, DOH does work with natural supports as those are the people that the individual trusts and who usually have information about the individual.

OFFICE OF GENERAL COUNSEL
1190 St. Francis Dr., Room N4095 • P.O. Box 26110 • Santa Fe, New Mexico • 87502-6110
(505) 827-2997 • Fax: (505) 827-2930 • http://www.nmhealth.org

Attachment 5

DOH has relied on the agreed upon evaluations completed by Columbus with regard to decisional capacity in their interactions with Foley individuals. If and when CSI has a concern about an individual's decisional capacity they have been trained to make referrals to the OOG. The OOG did a presentation for CSI staff about the type of information the office needs to process such referrals. Additionally, CSI staff has been trained by APS with regard to what APS does and does not do; including their role in guardianship proceedings and how to make a report to them.

I recognize that you have requested contact information in order to assist the individuals you specifically mentioned in your email. By way of this letter I will provide you information of each of the individuals PCO referral status and ask that instead of us "handing over the follow-up" to you that you agree to work with DOH. We have common goals and DOH wants to assist any individual that requests assistance. If we work together, perhaps we can avoid some of the back and forth that can sometimes occur when we don't both have the same information. I trust that this update will clarify some of your questions and also give more information than the monthly reports, thus you may have a clearer picture of each person's PCO referral status. If this update does not suffice; perhaps for any individual that we have inconsistent information for, or experiences with, CSI could make a special visit to address concerns you still have regarding PCO, in addition to their regularly scheduled visits.

In considering the updates below, please be advised that all individuals subject to Foley were referred for PCO before all were contacted to 'get a jump on referrals', so sometimes it looks like they were initially interested and then changed their mind, but actually some of the activity took place before the individual made their wishes directly known.

I have contacted each CSI worker directly to obtain the information below.

Here is the specific information:

1) 1046 - DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. Evercare did an assessment and began services. Evercare reported being sent away and services being declined by family (mother); sisters then told CSI the service was needed and a new application was submitted to HSD. PCO services are being pursued and CSI is working with individual, supports, and Evercare to schedule a new evaluation to determine needs based on new program standards.

2) 6876 – DDSD made a referral for PCO services. Individual is non- adjudicated. Columbus made no recommendation for Guardianship. Individual initially declined

services verbally; individual contacted CSI and indicated they are now open to some limited assistance, CSI provided the MAD form to the individual and instruction for completion. PCO is now being pursued and CSI is working with individual and supports to obtain service.

3) 1009 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. Individual originally declined, but did not sign a declination form. Individual then expressed interest in PCO services. Individual was given MAD form and an appointment was made with PCP. PCO services began in September 2011.

4) 1498 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. Individual signed a Service Declination form for both DD Waiver and PCO.

5) 7495 - DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus did not assess or recommend Guardianship. Molina sent individual a letter saying he qualifies and asking if they could do an assessment; no response from individual to Molina. Individual lives with girlfriend, has continually been a DNC, does not want state assistance. Individual signed the Do Not Contact during the face to face visit and requested that the Department of Health not contact him in the future. He stated that he wants no assistance from the State.

6) 4426 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus did not assess or recommend Guardianship. Individual refused to sign Do Not Contact form for CSI or RCI investigator some time ago, a referral was made on his behalf at the inception of the settlement, but individual has declined service and any requested or required follow-up.

7) 2785 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus did not make a recommendation for guardianship. Individual has signed a Service Declination form. The Columbus assessment stated "If … has been referred for the Personal Care Option, he does not want this service and it is this reviewer's recommendation that he does not need this service at this time."

8) 3052 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. Individual signed a Service Declination form.

9) 2059 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. A referral was made on behalf of the individual initially, individual declined service to Amerigroup. Individual also signed Service Declination form.

10) 8787- DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. Individual signed Service Declination form. A referral was made on behalf of the individual initially, individual also declined services to Evercare.

11) 5837 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. Individual signed a Service Declination form. A referral was made on behalf of the individual initially. Amerigroup indicated the individual also declined services to them.

12) 6749 (6719) – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. A referral was made on behalf of the individual initially, Evercare indicated declination of services. Individual also signed a Service Declination form.

13) 9074 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. Individual signed Service Declination form. A referral was made on behalf of the individual initially. Amerigroup also indicated declination of services.

14) 5601 – DDSD made a referral for PCO services. Individual has been adjudicated. Guardian initially declined PCO, but later indicated an interest. CSI is working with individual and guardian to obtain PCO.

15) 2398 – DDSD made a referral for PCO services. Individual has been adjudicated. Guardian signed Service Declination. Guardian and individual indicate they are not interested in PCO at this time.

16) 3160 - DDSD made a referral for PCO services. Individual is non-adjudicated, relative is POA. Columbus made no recommendation for Guardianship. Both POA and individual signed the Service Declination form.

17) 8249 – DDSD made a referral for PCO services. Individual is non-adjudicated, relative is POA. Columbus made no recommendation for Guardianship. Both POA and individual signed the Service Declination form.

18) 2503 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. Individual signed Service Declination form.

19) 9446 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. This individual rarely opens the door for CSI and if the individual does, won't talk. CSI has provided her with the MAD form and provided detailed instructions on taking it to the PCP to have it completed and signed. Individual will not communicate with us. We do not know if the form was taken to the PCP, though, we know that there is no Medicaid billing for PCO under the individual's name. On 10/19/2011 CSI was allowed in the home because the daughter was there. The daughter did all the talking and stated that her uncle was the caregiver. The daughter knew nothing about the PCO. To date, the individual has not been willing to sign a Service Declination form.

20) 4259 – DDSD made a referral for PCO services. Individual is non-adjudicated. No Columbus assessment or recommendation for Guardianship, as individual declined to participate in assessments. Individual initially declined, but later indicated an interest. CSI is working with individual to obtain PCO services.

21) 6590 – DDSD made a referral for PCO services. Individual has a corporate guardian recently put in place. The Quality of Life has been appointed as Corporate guardian, but they have not yet identified the individual from their agency who will serve as the guardian. The family with whom the individual resides and the individual did not want PCO. They signed a Service Declination form and it was complete. Now, we are waiting to see what services the new guardian wants to put in place.

22) 4772 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. Individual signed a DNC on 2-24-11.

23) 6626 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus was unable to locate and therefore, did not complete assessments; no Columbus recommendation for Guardianship. Individual signed the DNC on 3/23/2011. CSI was able to locate following the completion of the Columbus portion of the project. During that face to face visit, the individual stated that they wanted no further contact with the State or its contractor.

24) 2842 – DDSD made a referral for PCO services. Individual is non-adjudicated. Individual was not seen by Columbus as the individual "declined to set appointment and participate in the assessment; ... stated not interested and 'did not need anything'"; no Columbus referral for Guardianship. Individual signed a DNC. Family insists individual never an inpatient at LLCP. Indications are that the individual attended the summer program through Villa Solano.

25) 8122 (aka 5043) – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no referral for Guardianship. Individual was part of the initial referral to ALTSD for PCO services. On August 6, 2010 the individual received a letter stating that Molina had been assigned as the Personal Care Option (PCO) assessment services. Molina also sent him the MAD 075 form for him to take to his PCP for completion. The MAD 075 was completed and submitted to Molina. In October of 2010, individual received a letter, dated 10/11/2010, from Molina denying services to the individual. As the result of your conversation with Sarah, on 9/21/2011, Sarah contacted Juliette at Utilization Review to request information regarding the PCO Denial. Juliette reported that the PCO criteria had not been met as per review by the Medical Director. The home assessment indicated that the individual only needed assistance with meal preparation and individuals must demonstrate a need in at least two areas of IADLs. The individual and the support system chose not to appeal the denial. CSI continued to discuss the benefits of the PCO program with the individual and supports at each home visit. Individual insisted that he was not interested in additional services. On 7/6/2011 the individual requested and signed the Service Declination form. Therefore, the individual was both "denied" by Molina and "declined" to pursue PCO as indicated by the Service Declination form.

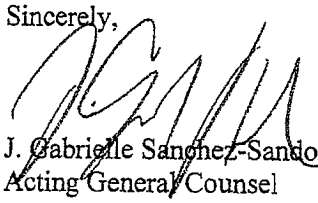
26) 1625 –DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no referral for Guardianship. Individual was denied by Molina. There have been multiple attempts to locate the individual. Individual has reached out to CSI staff in the past, when in need. Until July of 2011 CSI continued to leave voice messages on her phone. Individual failed to respond to any messages. Individual used to live with son but he does not know where the individual is living now.

27) 2618 – DDSD made a referral for PCO services. Individual is non-adjudicated. This person was referred for Guardianship services, no guardianship proceeding has taken place; OOG is working with the family to gather necessary information. The individual and her sister were home on 9/29/2011 and made themselves available to CSI. CSI provided the sister with the information on PCO including a packet of information from the HSD website and the MAD 375. The sister stated that she would make an appointment with the PCP to get form completed.

28) 2610 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus made no recommendation for Guardianship. Amerigroup had difficulty contacting the individual. CSI was able to locate the individual. He was not interested in PCO until recently. CSI is currently working with individual to pursue services.

29) 6407 – DDSD made a referral for PCO services. Individual is non-adjudicated. Columbus did not make a recommendation for Guardianship. Individual initially declined services, but then expressed an interest in obtaining the service. CSI delivered the MAD form to him and explained what he needed from his PCP. The individual then signed a Do Not Contact form. Omnicaid shows no billing for PCO for this individual to date.

Sincerely,



J. Gabrielle Sanchez-Sandoval
Acting General Counsel
New Mexico Department of Health

GSS:cvg
cc: Kathyleen Kunkel, Walz & Associates (via email)
Anne Alexander, Walz & Associates (via email)
Peter Cubra (via email)

DFA CONTRACTS REVIEW BUREAU
Bataan Memorial Bldg. - Rm. 314
Santa Fe, NM 87503

PROFESSIONAL SERVICES CONTRACT BRIEF
CRB 1, Revised 10/06
(CONTRACT BRIEF MUST BE TYPED)

FY	Agency Code	Organization Code	Contract No.	Amend. No.
12	665	0001	13876	01

Vendor Code:
SHARE #: 013876

Contractor Name: Robert Caswell Investigation
Contractor Address: 8400 Menaul NE Ste. A-151 Albuquerque, NM 87112 Phone: 505-797-5661
Agency Contact: Andrea Sisneros Phone: 505-827-2569

Single-Year Contract:	Appropriation Period:	Contract or Amendment Amount:	
$ 42,499.60 Total Contract Amount	2012	General Fund	$32,500.00
Multi-Year Contract:		Other State Funds	0.00
$ Total Contract Amount		Federal Funds	0.00
		Total	$32,500.00

Contract Term: From: / / To: 06/30/2012
(DFA Approval date to be filled in by Contracts Review Bureau) (Termination Date)

Retroactive: Y/N Date: / /

Documents Enclosed: (check one or more of the following:)

- [ ] Contract/Agreement
- [ ] Sole Source Determination
- [x] Purchase Document
- [ ] Retroactive Justification
- [x] Contract Amendment
- [ ] Other
- [ ] Purchase Document Mod.
- [ ] Emergency Justification

BRIEF DESCRIPTION OF SERVICES:
Amend scope of work and add compensation for legal consultation.

PROCUREMENT PROCEDURE-Check with X the applicable citation

X Section 13-1-125 NMSA 1978, small purchase contract (does not exceed $30,000 excluding gross receipts tax).
__ Section 13-1-120 NMSA 1978, competitive proposal for architect/engineer/landscape/architect/surveyor.
__ Section 13-1-111 NMSA 1978, competitive sealed proposal (contract over $30,000).
__ Section 13-1-129 NMSA 1978, contract is based upon Price Agreement #
__ Section 13-1-129 NMSA 1978, contract is based upon GSA (please provide all required information)
__ Section 13-1-126 NMSA 1978, sole source procurement (requires written determination and DFA approval).
__ Section 13-1-127 NMSA 1978, emergency procurement.

REQUIREMENTS-Enter Y (yes) to verify the following mandatory requirements:

Y The agency certifies to DFA that all relevant requirements of the Procurement Code have been followed.
Y The agency certifies to DFA that the contractor will perform at all times as an independent contractor for the purpose of IRS tax compliance and is not performing services as an employee of the agency.
Y The agency certifies to DFA that the agency has performed a legal review and the contract is in compliance with all federal and state laws, rules and regulations.

OTHER REQUIREMENTS-Enter Y (yes), N (no) or N/A (not applicable) to each of the following:

Y The agency certifies to DFA that Performance Measures have been outlined as required (attach valid section of strategic plan).
Y The agency certifies to DFA that the contract complies with GSD rules regarding indemnification and insurance.
N/A The agency certifies to DFA that the requirements of the Governmental Conduct Act, Section 10-16-1 NMSA 1978 regarding conflict of interest with public officers or state employees have been followed. The agency certifies to DFA that the Attorney General's review has been obtained because:
[ ] Contract with former state employee [ ] Contract with present state employee
N\A The agency certifies to DFA that any required performance bonds have been obtained, Section 13-1-148 NMSA 1978

Cabinet Secretary, Agency Head or Designee: James W. Lewis Title: CFO Date: 11/2/11

DFA USE ONLY

Category		Date Received CRB		Comments:
Status		Date Approved CRB		
Amendment Type		Staff		
Amendment Type				

PURCHASE DOCUMENT

Number	Amount	Date to FCD	Date from FCD

Exhibit C

STATE OF NEW MEXICO
NEW MEXICO DEPARTMENT HEALTH
PROFESSIONAL SERVICES CONTRACT AMENDMENT No. 1

This Contract is entered into by and between the State of New Mexico, Department of Health, hereinafter referred to as the "Department," and ***ROBERT CASWELL INVESTIGATION***, hereinafter referred to as the "Contractor", and is effective as of the date set forth below upon which it is executed by the Department of Finance and Administration ("DFA").

IT IS MUTUALLY AGREED BETWEEN THE PARTIES THAT THE FOLLOWING PROVISIONS OF THE ABOVE-REFERENCED CONTRACT ARE AMENDED AS FOLLOWS:

Article 1, **Scope of Work**, is hereby adding paragraphs 5, 6, 7, 8, 9, 10 and to read as follows:

1. <u>Scope of Work.</u>

5. Collaborate with Office of General Council and the Developmental Disabilities Supports Division (DDSD), to inventory and catalogue files that are located in the Bank of the West Building(basement and 17th floor), in Cottage Two at LLCP and in a storage facility in the east mountains maintained by Walz and Associates. Determine which files are relevant to the Jackson Law Suit and the Foley Settlement agreement, which are duplicates, and those that can be slated for archiving or destruction keeping in mind all legal mandates.

6. Structure in a format with all client information together for immediate retrieval as needed for litigation and other purposes.

7. Sort and grouped together paper files by client name and re-boxed in preparation for archiving.

8. Provide DOH with an itemized listing of files contained in each box.

9. Locate and store the boxes in a secure environment to avoid damage to the documents pending archiving or other future, more permanent storage as arranged by DOH.

10. Separate out records and documents that are moldy, insect infested or otherwise damaged beyond use or legibility and store them in a separate storage facility until directed by DOH.

Section 3, **Compensation**, Paragraphs A & B is hereby deleted and replaced with the new A & B to read as follows:

3. <u>Compensation.</u>

A. **The total amount payable to the CONTRACTOR under this Agreement, including gross receipts tax and expenses, shall not exceed $42,499.60. This amount is a maximum and not a guarantee that the work assigned to CONTRACTOR under this Agreement to be performed shall equal the amount stated herein.**

Contractor initials RC

B. The DEPARTMENT shall pay to the CONTRACTOR in full payment for services satisfactorily performed, such compensation not to exceed $42,499.60, including gross receipts tax. Payment is subject to availability of funds pursuant to the Appropriations Paragraph 6 set forth below

and to any negotiations between the parties from year to year pursuant to Paragraph 1, Scope of Work, and to approval by the DFA. All invoices MUST BE received by the DEPARTMENT no later than fifteen (15) days after the termination of the Fiscal Year in which the services were delivered. Invoices received after such date WILL NOT BE PAID. Invoices shall be submitted monthly. The CONTRACTOR shall submit to the DEPARTMENT at the close of each month a signed invoice reflecting the total allowable costs incurred during the preceding month. No invoices will be reimbursed unless submitted within thirty (30) days after the last day of the month in which services were performed.

ALL OTHER ARTICLES OF THIS CONTRACT REMAIN THE SAME.

IN WITNESS WHEREOF the parties have executed this CONTRACT at Santa Fe, New Mexico. The effective date is the date of approval by the Department of Finance and Administration set out hereinafter.

STATE OF NEW MEXICO
NEW MEXICO DEPARTMENT OF HEALTH:

By: James W. Green
Catherine D. Torres, M.D.
Cabinet Secretary

Date: 11/2/11

CONTRACTOR: *ROBERT CASWELL INVESTIGATION*

By: [signature] for ROBERT CASWELL

Title: INVESTIGATION

Date: 10/27/2011

CERTIFIED FOR LEGAL SUFFICIENCY:

By: Ramona Schmidt
Department of Health
Assistant General Counsel

Date: 10/27/2011

TAXATION AND REVENUE:

The CONTRACTOR is registered for the payment of gross receipts taxes to the State of New Mexico.

N.M. Tax Identification #: 02-350797-007

By: Danielle Horato
Taxation and Revenue Department

Date: 10·27·11

DEPARTMENT OF FINANCE AND ADMINISTRATION:
This CONTRACT is approved and effective the date shown:

By: Barbara

Date: 11/4/11

Contractor initials RC