

FISCAL YEAR (FY) 2016/2017 ANNUAL REVIEW OF CONSOLIDATED SPECIALTY MENTAL
HEALTH SERVICES AND OTHER FUNDED SERVICES
SAN MATEO COUNTY MENTAL HEALTH PLAN REVIEW
February 27, 2017
FINDINGS REPORT

AMENDED

Section K, “Chart Review – Non-Hospital Services

The medical records of ten (10) adult and ten (10) child/adolescent Medi-Cal specialty mental health beneficiaries were reviewed for compliance with state and federal regulations; adherence to the terms of the contract between the SAN MATEO County Mental Health Plan (MHP) and the California Department of Health Care Services (DHCS), and for consistency with the MHP’s own documentation standards and policies and procedures regarding medical records documentation. The process included a review of **417** claims submitted for the months of **OCTOBER, NOVEMBER, and DECEMBER** of 2015.

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Medical Necessity

| PROTOCOL REQUIREMENTS | |
|-----------------------|---|
| 1. | Does the beneficiary meet all three (3) of the following medical necessity criteria for reimbursement (1a, 1b, and 1c. below)? |
| 1a. | The beneficiary has a current ICD diagnosis which is included for non-hospital SMHS in accordance with the MHP contract? |
| 1b. | The beneficiary, as a result of a mental disorder or emotional disturbance listed in 1a, must have at least one (1) of the following criteria (1-4 below): <ol style="list-style-type: none"> 1) A significant impairment in an important area of life functioning. 2) A probability of significant deterioration in an important area of life functioning. 3) A probability that the child will not progress developmentally as individually appropriate. 4) For full-scope MC beneficiaries under the age of 21 years, a condition as a result of the mental disorder or emotional disturbance that SMHS can correct or ameliorate. |
| | Do the proposed and actual intervention(s) meet the intervention criteria listed below: <ol style="list-style-type: none"> 1) The focus of the proposed and actual intervention(s) is to address the condition identified in No. 1b. (1-3) above, or for full-scope MC beneficiaries under the age of 21 years, a condition as a result of the mental disorder or emotional disturbance that SMHS can correct or ameliorate per No. 1b(4). |
| | 2) The expectation is that the proposed and actual intervention(s) will do at least one (1) of the following (A, B, C, or D): <ol style="list-style-type: none"> A. Significantly diminish the impairment. B. Prevent significant deterioration in an important area of life functioning. C. Allow the child to progress developmentally as individually appropriate. D. For full-scope MC beneficiaries under the age of 21 years, correct or ameliorate the condition. |
| 1d. | The condition would not be responsive to physical health care based treatment. |
| | <ul style="list-style-type: none"> • CCR, title 9, chapter 11, section 1830.205 (b)(c) • CCR, title 9, chapter 11, section 1830.210 • CCR, title 9, chapter 11, section 1810.345(c) • CCR, title 9, chapter 11, section 1840.112(b)(1-4) |
| | <ul style="list-style-type: none"> • CCR, title 9, chapter 11, section 1840.314(d) • CCR, title 22, chapter 3, section 51303(a) • Credentialing Boards for MH Disciplines |

Reasons for Recoupment (RR): Refer to the enclosed Recoupment Summary for additional details concerning disallowances

- RR1. Documentation in the medical record does not establish that the beneficiary has a diagnosis contained in California Code of Regulations, (CCR), title 9, chapter 11, section 1830.205(b)(1)(A-R).
- RR2. Documentation in the medical record does not establish that, as a result of a mental disorder listed in CCR, title 9, chapter 11, section 1830.205(b)(1)(A-R), the beneficiary has, at least, one of the identified functional impairments.
- RR3. Documentation in the medical record does not establish that the focus of the proposed intervention is to address the functional impairment identified in CCR, title 9, chapter 11, section 1830.205(b)(2)
- RR4. Documentation in the medical record does not establish the expectation that the proposed intervention will do, at least, one of the following:
 - a) Significantly diminish the impairment;
 - b) Prevent significant deterioration in an important area of life functioning;
 - c) Allow the child to progress developmentally as individually appropriate; or
 - d) For full-scope Medi-Cal beneficiaries under the age of 21 years, correct or ameliorate the condition.

FINDING 1c-1:

The medical record associated with the following Line number did not meet the medical necessity criteria since the focus of the interventions did not address the mental health condition as specified in the CCR, title 9, chapter 11, section 1830.205(b)(3)(A):

- **Line number ¹.** RR3, refer to Recoupment Summary for details

PLAN OF CORRECTION 1c-1:

The MHP shall submit a POC that indicates how the MHP will ensure that interventions are focused on a significant functional impairment that is directly related to the mental health condition as specified in CCR, title 9, chapter 11, section 1830.205(b)(3)(A).

FINDING 1c-2:

The medical record associated with the following Line numbers did not meet the medical necessity criteria since there was no expectation that the documented intervention would meet the intervention criteria as specified in the CCR, title 9, chapter 11, section 1830.205(b)(3)(B)(1-4):

- **Line numbers ².** RR4, refer to Recoupment Summary for details

PLAN OF CORRECTION 1c-2:

The MHP shall submit a POC that indicates how the MHP will ensure that the interventions provided meet the intervention criteria specified in CCR, title 9, chapter 11, section 1830.205(b)(3)(B)(1-4).

Assessment *(Findings in this area do not result in disallowances. Plan of Correction only.)*

| PROTOCOL REQUIREMENTS | |
|--|---|
| | Regarding the Assessment, are the following conditions met: |
| | 1) Has the Assessment been completed in accordance with the MHP's established written documentation standards for timeliness? |
| | 2) Has the Assessment been completed in accordance with the MHP's established written documentation standards for frequency? |
| <ul style="list-style-type: none"> • CCR, title 9, chapter 11, section 1810.204 • CCR, title 9, chapter 11, section 1840.112(b)(1-4) • CCR, title 9, chapter 11, section 1840.314(d)(e) | <ul style="list-style-type: none"> • CCR, title 9, chapter 4, section 851- Lanterman-Petris Act • MHP Contract, Exhibit A, Attachment I |

FINDINGS 2a:

Assessments were not completed in accordance with regulatory and contractual requirements, specifically:

¹ Line number(s) removed for confidentiality

² Line number(s) removed for confidentiality

- 1) One or more assessments were not completed within the timeliness and frequency requirements specified in the MHP’s written documentation standards. The following are specific findings from the chart sample:
 - **Line number ³:** The initial assessment was completed late.

PLAN OF CORRECTION 2a:

The MHP shall submit a POC that:

- 1) Indicates how the MHP will ensure that assessments are completed in accordance with the timeliness and frequency requirements specified in the MHP’s written documentation standards.

| PROTOCOL REQUIREMENTS | |
|--|---|
| Do the Assessments include the areas specified in the MHP Contract with the Department? | |
| 1) Presenting Problem. The beneficiary’s chief complaint, history of presenting problem(s) including current level of functioning, relevant family history and current family information; | |
| 2) Relevant conditions and psychosocial factors affecting the beneficiary’s physical health and mental health including, as applicable; living situation, daily activities, social support, cultural and linguistic factors, and history of trauma or exposure to trauma; | |
| 3) Mental Health History. Previous treatment, including providers, therapeutic modality (e.g., medications, psychosocial treatments) and response, and inpatient admissions. If possible, include information from other sources of clinical data such as previous mental health records and relevant psychological testing or consultation reports; | |
| 4) Medical History. Relevant physical health conditions reported by the beneficiary or a significant support person. Include name and address of current source of medical treatment. For children and adolescents the history must include prenatal and perinatal events and relevant/significant developmental history. If possible, include other medical information from medical records or relevant consultation reports | |
| 5) Medications. Information about medications the beneficiary has received, or is receiving, to treat mental health and medical conditions, including duration of medical treatment. The assessment must include documentation of the absence or presence of allergies or adverse reactions to medications and documentation of an informed consent for medications; | |
| 6) Substance Exposure/Substance Use. Past and present use of tobacco, alcohol, caffeine, CAM (complementary and alternative medications) and over-the-counter drugs, and illicit drugs; | |
| 7) Client Strengths. Documentation of the beneficiary’s strengths in achieving client plan goals related to the beneficiary’s mental health needs and functional impairments as a result of the mental health diagnosis; | |
| 8) Risks. Situations that present a risk to the beneficiary and/or others, including past or current trauma; | |
| 9) A mental status examination; | |
| 10) A Complete Diagnosis; A diagnosis from the current ICD-code must be documented, consistent with the presenting problems, history, mental status examination and/or other clinical data; including any current medical diagnoses. | |
| <ul style="list-style-type: none"> • CCR, title 9, chapter 11, section 1810.204 • CCR, title 9, chapter 11, section 1840.112(b)(1-4) • CCR, title 9, chapter 11, section 1840.314(d)(e) | <ul style="list-style-type: none"> • CCR, title 9, chapter 4, section 851- Lanterman-Petris Act • MHP Contract, Exhibit A, Attachment I |

³ Line number(s) removed for confidentiality

FINDING 2b:

One or more of the assessments reviewed did not include all of the elements specified in the MHP Contract with the Department. The following required elements were incomplete or missing:

- 1) Relevant conditions and psychosocial factors affecting the beneficiary’s physical health and mental health: **Line number** ⁴.
- 2) Mental Health History: **Line number** ⁵.
- 3) A mental status examination: **Line number** ⁶.
- 4) A full DSM diagnosis or current ICD code: **Line number** ⁷.

PLAN OF CORRECTION 2b:

The MHP shall submit a POC that indicates how the MHP will ensure that every assessment contains all of the required elements specified in the MHP Contract with the Department.

Client Plans

| PROTOCOL REQUIREMENTS | |
|-----------------------|--|
| 4a | 1) Has the client plan been updated at least annually and/or when there are significant changes in the beneficiary’s condition? |
| | <ul style="list-style-type: none"> • CCR, title 9, chapter 11, section 1810.205.2 • CCR, title 9, chapter 11, section 1810.254 • CCR, title 9, chapter 11, section 1810.440(c)(1)(2) • CCR, title 9, chapter 11, section 1840.112(b)(2-5) • CCR, title 9, chapter 11, section 1840.314(d)(e) • DMH Letter 02-01, Enclosure A |
| | <ul style="list-style-type: none"> • WIC, section 5751.2 • MHP Contract, Exhibit A, Attachment I • CCR, title 16, Section 1820.5 • California Business and Profession Code, Section 4999.20 |

Reasons for Recoupment (RR): Refer to the enclosed Recoupment Summary for additional details concerning disallowances

RR6. The client plan was not completed, at least, on an annual basis or as specified in the MHP’s documentation guidelines.

FINDING 4a-2:

The client plan was not updated at least annually (as required in the MHP Contract with the Department and as specified in the MHP’s documentation standards):

- **Line numbers** ⁸: There was a **lapse** between the prior and current client plans. However, this occurred outside of the audit review period.

⁴ Line number(s) removed for confidentiality
⁵ Line number(s) removed for confidentiality
⁶ Line number(s) removed for confidentiality
⁷ Line number(s) removed for confidentiality
⁸ Line number(s) removed for confidentiality

The MHP should review all services and claims identified during the audit that were claimed outside of the audit review period and for which there was no client plan in effect and disallow those claims as required.

PLAN OF CORRECTION 4a-2:

The MHP shall submit a POC that indicates how the MHP will:

- 1) Ensure that client plans are completed at least on an annual basis as required in the MHP Contract with the Department, and within the timelines and frequency specified in the MHP’s written documentation standards.
- 2) Provide evidence that all services identified during the audit that were claimed outside of the audit review period for which no client plan was in effect are disallowed.

| PROTOCOL REQUIREMENTS | |
|--|---|
| | Does the client plan include the items specified in the MHP Contract with the Department? |
| | 1) Specific, observable, and/or specific quantifiable goals/treatment objectives related to the beneficiary’s mental health needs and functional impairments as a result of the mental health diagnosis. |
| | 2) The proposed type(s) of intervention/modality including a detailed description of the intervention to be provided. |
| | 3) The proposed frequency of intervention(s). |
| | 4) The proposed duration of intervention(s). |
| | 5) Interventions that focus and address the identified functional impairments as a result of the mental disorder or emotional disturbance. |
| | 6) Interventions are consistent with client plan goal(s)/treatment objective(s). |
| | 7) Be consistent with the qualifying diagnoses. |
| <ul style="list-style-type: none"> • CCR, title 9, chapter 11, section 1810.205.2 • CCR, title 9, chapter 11, section 1810.254 • CCR, title 9, chapter 11, section 1810.440(c)(1)(2) • CCR, title 9, chapter 11, section 1840.112(b)(2-5) • CCR, title 9, chapter 11, section 1840.314(d)(e) • DMH Letter 02-01, Enclosure A | <ul style="list-style-type: none"> • WIC, section 5751.2 • MHP Contract, Exhibit A, Attachment I • CCR, title 16, Section 1820.5 • California Business and Profession Code, Section 4999.20 |

FINDING 4b:

The following Line numbers had client plans that did not include all of the items specified in the MHP Contract with the Department:

4b-1) One or more of the goals/treatment objectives were not specific, observable, and/or quantifiable and related to the beneficiary’s mental health needs and identified functional impairments as a result of the mental health diagnosis. **Line number ⁹.**

4b-2) One or more of the proposed interventions did not include a detailed description. Instead, only a “type” or “category” of intervention was recorded on the client plan (e.g. “Medication Support Services,” “Targeted Case Management,” “Mental Health Services,” etc.). **Line numbers ¹⁰.**

⁹ Line number(s) removed for confidentiality

¹⁰ Line number(s) removed for confidentiality

4b-3) One or more of the proposed interventions did not indicate an expected frequency. **Line numbers ¹¹.**

PLAN OF CORRECTION 4b:

The MHP shall submit a POC that indicates how the MHP will ensure that:

- 1) (4b-1.) All client plan goals/treatment objectives are specific, observable and/or quantifiable and relate to the beneficiary’s documented mental health needs and functional impairments as a result of the mental health diagnosis.
- 2) (4b-2.) All mental health interventions/modalities proposed on client plans include a detailed description of the interventions to be provided and do not just identify a type or modality of service (e.g. “therapy”, “medication”, “case management”, etc.).
- 3) (4b-3.) All mental health interventions proposed on client plans indicate both an expected frequency and duration for each intervention.

| PROTOCOL REQUIREMENTS | |
|--|---|
| Regarding the beneficiary’s participation and agreement with the client plan: | |
| 1) Is there documentation of the beneficiary’s degree of participation and agreement with the client plan as evidenced by, but not limited to: | |
| <ol style="list-style-type: none"> a. Reference to the beneficiary’s participation in and agreement in the body of the client plan; or b. The beneficiary signature on the client plan; or c. A description of the beneficiary’s participation and agreement in the medical record. | |
| 2) Does the client plan include the beneficiary’s signature or the signature of the beneficiary’s legal representative when: | |
| <ol style="list-style-type: none"> a. The beneficiary is expected to be in long-term treatment, as determined by the MHP, and, b. The client plan provides that the beneficiary will be receiving more than one (1) type of SMHS? | |
| 3) When the beneficiary’s signature or the signature of the beneficiary’s legal representative is required on the client plan and the beneficiary refuses or is unavailable for signature, does the client plan include a written explanation of the refusal or unavailability of the signature? | |
| <ul style="list-style-type: none"> • CCR, title 9, chapter 11, section 1810.205.2 • CCR, title 9, chapter 11, section 1810.254 • CCR, title 9, chapter 11, section 1810.440(c)(1)(2) • CCR, title 9, chapter 11, section 1840.112(b)(2-5) • CCR, title 9, chapter 11, section 1840.314(d)(e) • DMH Letter 02-01, Enclosure A | <ul style="list-style-type: none"> • WIC, section 5751.2 • MHP Contract, Exhibit A, Attachment I • CCR, title 16, Section 1820.5 • California Business and Profession Code, Section 4999.20 |

Reasons for Recoupment (RR): Refer to the enclosed Recoupment Summary for additional details concerning disallowances

RR7. No documentation of beneficiary or legal guardian participation in the plan or written explanation of the beneficiary’s refusal or unavailability to sign as required in the MHP Contract with the Department.

FINDING 4d-1:

There was no documentation of the beneficiary’s or legal representative’s degree of participation in and agreement with the plan, and there was no written explanation of the beneficiary’s refusal or unavailability to sign the plan, as required in the MHP Contract with the Department:

¹¹ Line number(s) removed for confidentiality

- **Line number ¹²:** The beneficiary or legal representative was required to sign the client plan per the MHP’s written documentation standards. However, the signature was missing.
RR7, refer to Recoupment Summary for details

PLAN OF CORRECTION 4d:

The MHP shall submit a POC that indicates how the MHP will:

- 1) Ensure that the beneficiary’s signature is obtained in a timely manner on the client plan as specified in the MHP Contract with the Department and CCR, title 9, chapter 11, section 1810.440(c)(2)(A)(B).
- 2) Ensure that services are not claimed when the beneficiary’s:
 - a) Participation in and agreement with the client plan is not obtained or not obtained in a timely manner and the reason for refusal is not documented.
 - b) Signature is not obtained when required or not obtained in a timely manner and the reason for refusal is not documented.

Progress Notes

| PROTOCOL REQUIREMENTS | |
|---|---|
| | Do the progress notes document the following: |
| | 1) Timely documentation (as determined by the MHP) of relevant aspects of client care, including documentation of medical necessity? |
| | 2) Documentation of beneficiary encounters, including relevant clinical decisions, when decisions are made, alternative approaches for future interventions? |
| | 3) Interventions applied, beneficiary’s response to the interventions, and the location of the interventions? |
| | 4) The date the services were provided? |
| | 2) Documentation of referrals to community resources and other agencies, when appropriate? |
| | 3) Documentation of follow-up care or, as appropriate, a discharge summary? |
| | 4) The amount of time taken to provide services? |
| | 5) The signature of the person providing the service (or electronic equivalent); the person’s type of professional degree, and licensure or job title? |
| <ul style="list-style-type: none"> • CCR, title 9, chapter 11, section 1810.254 • CCR, title 9, chapter 11, section 1810.440(c) • CCR, title 9, chapter 11, section 1840.112(b)(2-6) • CCR, title 9, chapter 11, section 1840.314 | <ul style="list-style-type: none"> • CCR, title 9, chapter 11, sections 1840.316 - 1840.322 • CCR, title 22, chapter 3, section 51458.1 • CCR, title 22, chapter 3, section 51470 • MHP Contract, Exhibit A, Attachment I |

Reasons for Recoupment (RR): Refer to the enclosed Recoupment Summary for additional details concerning disallowances

RR1. Documentation in the medical record does not establish that the beneficiary has a diagnosis contained in California Code of Regulations, (CCR), title 9, chapter 11, section 1830.205(b)(1)(A-R).

¹² Line number(s) removed for confidentiality

- RR2. Documentation in the medical record does not establish that, as a result of a mental disorder listed in CCR, title 9, chapter 11, section 1830.205(b)(1)(A-R), the beneficiary has, at least, one of the identified functional impairments.
- RR3. Documentation in the medical record does not establish that the focus of the proposed intervention is to address the functional impairment identified in CCR, title 9, chapter 11, section 1830.205(b)(2)
- RR4. Documentation in the medical record does not establish the expectation that the proposed intervention will do, at least, one of the following:
 - a) Significantly diminish the impairment;
 - b) Prevent significant deterioration in an important area of life functioning;
 - c) Allow the child to progress developmentally as individually appropriate; or
 - d) For full-scope Medi-Cal beneficiaries under the age of 21 years, correct or ameliorate the condition.
- RR9. No progress note was found for service claimed.
- RR10. The time claimed was greater than the time documented.
- RR13. The progress note indicates that the service provided was solely for one of the following:
 - a) Academic educational service;
 - b) Vocational service that has work or work training as its actual purpose;
 - c) Recreation; or
 - d) Socialization that consists of generalized group activities that do not provide systematic individualized feedback to the specific targeted behaviors.
- RR15. The progress note was not signed (or electronic equivalent) by the person(s) providing the service.
- RR16. The progress note indicates the service provided was solely transportation.
- RR17. The progress note indicates the service provided was solely clerical.
- RR18. The progress note indicates the service provided was solely payee related.
- RR19a. No service was provided.
- RR19b. The service was claimed for a provider on the Office of Inspector General List of Excluded Individuals and Entities.
- RR19c. The service was claimed for a provider on the Medi-Cal suspended and ineligible provider list
- RR19d. The service was not provided within the scope of practice of the person delivering the service.

FINDING 5a:

Progress notes were not completed in accordance with the MHP’s own written documentation standards:

- One or more progress note was not completed within the timeliness and frequency standards in accordance with regulatory and contractual requirements.
- Progress notes did not document the following:

5a-1) Line numbers ¹³: Timely documentation of relevant aspects of beneficiary care as specified by the MHP’s documentation standards (i.e., progress notes completed late based on the MHP’s written documentation standards in effect during the audit period).

¹³ Line number(s) removed for confidentiality

- 5a-4) Line number ¹⁴:** Timeliness of the progress note could not be determined because the note was signed but not dated by the person providing the service. Therefore, the date the progress note was entered into the medical record could not be determined.

- 5a-7) Line numbers ¹⁵:** The amount of time taken to provide services. There was a progress note in the medical record for the date of service claimed. However, the amount of time taken to provide the service was not documented. **RR10, refer to Recoupment Summary for details.**

PLAN OF CORRECTION:

The MHP shall submit a POC that indicates how the MHP will:

- 1) Ensure that progress notes meet timeliness, frequency and the staff signature requirements in accordance with regulatory and contractual requirements.
- 2) The MHP shall submit a POC that indicates how the MHP will ensure that progress notes document:
 - 5a-1)** Timely completion by the person providing the service and relevant aspects of client care, as specified in the MHP Contract with the Department and the MHP’s written documentation standards.
 - 5a-4)** The date the progress note was completed and entered into the medical record by the person(s) providing the service in order to determine the timeliness of completion, as specified in the MHP Contract with the Department.
 - 5a-7)** The amount of taken to provide services.
- 3) The documentation is individualized for each service provided.

FINDING 5a3:

The progress note for the following Line number indicate that the service provided was solely for:

- Clerical: **Line number ¹⁶.** **RR17, refer to Recoupment Summary for details.**

PLAN OF CORRECTION 5a3:

The MHP shall submit a POC that indicates how the MHP will ensure that:

- 1) Each progress note is individualized, and describes how services provided reduced impairment, restored functioning, or prevented significant deterioration in an important area of life functioning, as outlined in the client plan.
- 2) Services provided and claimed are not solely clerical.

¹⁴ Line number(s) removed for confidentiality

¹⁵ Line number(s) removed for confidentiality

¹⁶ Line number(s) removed for confidentiality

- 3) All services claimed are appropriate, relate to the qualifying diagnosis and identified functional impairments and are medically necessary as delineated in the CCR, title 9, chapter 11, sections 1830.205(a)(b).

| PROTOCOL REQUIREMENTS | |
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| | When services are being provided to, or on behalf of, a beneficiary by two or more persons at one point in time, do the progress notes include: |
| | 1) Documentation of each person’s involvement in the context of the mental health needs of the beneficiary? |
| | 2) The exact number of minutes used by persons providing the service? |
| | 3) Signature(s) of person(s) providing the services? |
| <ul style="list-style-type: none"> • CCR, title 9, chapter 11, section 1810.254 • CCR, title 9, chapter 11, section 1810.440(c) • CCR, title 9, chapter 11, section 1840.112(b)(2-6) • CCR, title 9, chapter 11, section 1840.314 | <ul style="list-style-type: none"> • CCR, title 9, chapter 11, sections 1840.316 - 1840.322 • CCR, title 22, chapter 3, section 51458.1 • CCR, title 22, chapter 3, section 51470 • MHP Contract, Exhibit A, Attachment I |

FINDING 5b:

Documentation of services being provided to, or on behalf of, a beneficiary by two or more persons at one point in time did not include all required components. Specifically:

- **Line number** ¹⁷: Progress notes did not document the contribution, involvement or participation of each staff member as it relates to the identified functional impairment and mental health needs of the beneficiary.

PLAN OF CORRECTION 5b:

The MHP shall submit a POC that indicates how the MHP will ensure that:

- 1) Group progress notes clearly document the contribution, involvement or participation of each staff member as it relates to the identified functional impairment and mental health needs of the beneficiary.
- 2) There is medical necessity for the use of multiple staff in the group setting.

| PROTOCOL REQUIREMENTS | |
|------------------------------|--|
| 5c. | Timeliness/frequency as follows: 1) Every service contact for: A. Mental health services B. Medication support services C. Crisis intervention D. Targeted Case Management 2) Daily for: A. Crisis residential B. Crisis stabilization (one per 23/hour period) C. Day treatment intensive 3) Weekly for: A. Day treatment intensive (clinical summary) |

¹⁷ Line number(s) removed for confidentiality

| | |
|---|---|
| B. Day rehabilitation C. Adult residential | |
| <ul style="list-style-type: none"> • CCR, title 9, chapter 11, section 1810.254 • CCR, title 9, chapter 11, section 1810.440(c) • CCR, title 9, chapter 11, section 1840.112(b)(2-6) • CCR, title 9, chapter 11, section 1840.314 | <ul style="list-style-type: none"> • CCR, title 9, chapter 11, sections 1840.316 - 1840.322 • CCR, title 22, chapter 3, section 51458.1 • CCR, title 22, chapter 3, section 51470 • MHP Contract, Exhibit A, Attachment I |

FINDING 5c:

Documentation in the medical record did not meet the following requirements:

- **Line numbers ¹⁸:** There was no progress note in the medical record for the services claimed. **RR9, refer to Recoupment Summary for details.**

During the review, the MHP staff was given the opportunity to locate the documents in question but could not find written evidence of them in the medical record.

- **Line number ¹⁹:** The type of specialty mental health service (SMHS) documented on the progress note was not the same type of SMHS claimed. **RR9, refer to Recoupment Summary for details.**

PLAN OF CORRECTION 5c:

The MHP shall submit a POC that indicates how the MHP will:

- 1) Ensure that all SMHS claimed are:
 - a) Documented in the medical record.
 - b) Actually provided to the beneficiary.
 - c) Appropriate, relate to the qualifying diagnosis and identified functional impairments and are medically necessary as delineated in the CCR, title 9, chapter 11, sections 1830.205(a)(b).
 - d) Claimed for the correct service modality and billing code.
- 2) Ensure that all progress notes are:
 - a) Indicate the type of service, the date the service was provided and the amount of time taken to provide the service as specified in the MHP Contract with the Department.
 - b) Completed within the timeline and frequency specified in the MHP Contract with the Department.

| PROTOCOL REQUIREMENTS | |
|-----------------------|--|
| | Do all entries in the beneficiary's medical record include: |
| | 1) The date of service? |
| | 2) The signature of the person providing the service (or electronic equivalent); the person's type of professional degree, and licensure or job title? |
| | 3) The date the documentation was entered in the medical record? |

¹⁸ Line number(s) removed for confidentiality

¹⁹ Line number(s) removed for confidentiality

| | |
|---|---|
| <ul style="list-style-type: none"> CCR, title 9, chapter 11, section 1810.254 CCR, title 9, chapter 11, section 1810.440(c) CCR, title 9, chapter 11, section 1840.112(b)(2-6) CCR, title 9, chapter 11, section 1840.314 | <ul style="list-style-type: none"> CCR, title 9, chapter 11, sections 1840.316 - 1840.322 CCR, title 22, chapter 3, section 51458.1 CCR, title 22, chapter 3, section 51470 MHP Contract, Exhibit A, Attachment I |
|---|---|

FINDING 5d:

The Progress notes did not include:

- Date of service: **Line number** ²⁰.
- Date the documentation was entered into the medical record: **Line number** ²¹.

PLAN OF CORRECTION 5d:

The MHP shall submit a POC that indicates how the MHP will:

- 1) Ensure that all documentation includes the date the signature was completed and the document was entered into the medical record.

Documentation of Cultural and Linguistic Services

| PROTOCOL REQUIREMENTS | |
|--|--|
| 6. | Regarding cultural/linguistic services and availability in alternative formats: |
| 6a. | Is there any evidence that mental health interpreter services are offered and provided, when applicable? |
| <ul style="list-style-type: none"> CFR, title 42, section 438.10(c)(4),(5) CCR, title 9, chapter 11, section 1810.405(d) | <ul style="list-style-type: none"> CCR, title 9, chapter 11, section 1810.410 |

FINDING 6a:

There was no evidence that mental health interpreter services were offered and provided on every occasion to the following Line numbers/parents/legal guardians of the following: **Line numbers** ²².

PLAN OF CORRECTION 6a:

The MHP shall submit a POC that indicates how the MHP will ensure that:

- 1) All beneficiaries and their parents/legal guardians are offered mental health interpreter services, when applicable.
- 2) There is documentation substantiating that beneficiaries and their parents/legal guardians are offered mental health interpreter services, when applicable.

²⁰ Line number(s) removed for confidentiality

²¹ Line number(s) removed for confidentiality

²² Line number(s) removed for confidentiality

Service Components for Day Treatment Intensive and Day Rehabilitation Programs

| PROTOCOL REQUIREMENTS | |
|---|---|
| Regarding Service Components for Day Treatment Intensive and Day Rehabilitation programs: | |
| 1) Do Day Treatment Intensive and Day Rehabilitation programs include all the following required service components: A. Daily Community Meetings;* B. Process Groups; C. Skill-building Groups; <u>and</u> D. Adjunctive Therapies? | |
| 2) Does <i>Day Treatment Intensive</i> include Psychotherapy? | |
| <ul style="list-style-type: none"> CCR, title 9, chapter 11, section 1810.212 CCR, title 9, chapter 11, section 1810.213 CCR, title 9, chapter 11, section 1840.112(b) CCR, title 9, chapter 11, section 1840.314(d)(e) | <ul style="list-style-type: none"> CCR, title 9, chapter 11, section 1840.318 CCR, title 9, chapter 11, section 1840.360 MHP Contract, Exhibit A, Attachment I DMH Letter No. 03-03 |

Reasons for Recoupment (RR): Refer to the enclosed Recoupment Summary for additional details concerning disallowances

- RR9. No progress note was found for service claimed.
- RR10. The time claimed was greater than the time documented.
- RR15. The progress note was not signed (or electronic equivalent) by the person(s) providing the service.
- RR19a. No service was provided.
- RR19d. The service was not provided within the scope of practice of the person delivering the service.

FINDING 7a:

Documentation for the following Line numbers indicated the required service components for a Day Treatment Intensive program were not included, as specified by the MHP Contract with the Department:

- Line number ²³: Day Treatment Intensive programs did not provide psychotherapy as required. **RR9, refer to Recoupment Summary for details.**

PLAN OF CORRECTION:

The MHP shall submit a POC that indicates how the MHP will ensure that all program requirements for *Day Treatment Intensive* are provided in accordance with regulatory and contractual requirements. For example:

- 1) Ensure that all the required service components including psychotherapy for Day Treatment Intensive are met.

²³ Line number(s) removed for confidentiality