



CALIFORNIA DEPARTMENT OF HEALTH CARE SERVICES

FISCAL YEAR 2021/2022

MEDI-CAL SPECIALTY MENTAL HEALTH SERVICES TRIENNIAL REVIEW

OF THE KERN COUNTY MENTAL HEALTH PLAN

CHART REVIEW FINDINGS REPORT

Dates of Review: 6/21/2022 to 6/23/2022

**DEPARTMENT OF HEALTH CARE SERVICES
REVIEW OF Kern MENTAL HEALTH PLAN
6/21/2022 to 6/23/2022
CHART REVIEW FINDINGS REPORT**

Chart Review – Non-Hospital Services

The medical records of ten 10 adult and ten 10 child/adolescent Medi-Cal beneficiaries receiving Specialty Mental Health Services (SMHS) were reviewed for compliance with state and federal regulations; adherence to the terms of the contract between the Kern 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 **309** claims submitted for the months of July, August and September of **2021**.

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Medication Consent

FINDING 8.3.1:

The provider did not obtain and retain a current written medication consent form signed by the beneficiary agreeing to the administration of each prescribed psychiatric medication, and there was no documentation in the medical record of a written explanation regarding the beneficiary's refusal or unavailability to sign the medication consent:

- 1) **Line number**¹: There was no written medication consent form found in the medical record. *During the review, MHP staff were given the opportunity to locate the missing medication consent forms but were unable to locate it in the medical records.*
 - **Line number**². There was no written medication consent form found in the medical record for Asenapine, Buspirone, Paroxetine, and Quetiapine that covered the review period.
 - **Line number**³. There was no written medication consent form found in the medical record for Depakote that covered the review period.

- 2) **Line number**⁴: The written medication consent form in the medical record was not current per the MHP's written documentation standards. *The MHP was able to locate evidence in the medical record; however, the medication consent in question was not completed until well after the beneficiary was prescribed the medications in question. Per Medication Support Progress Note dated*⁵*, the beneficiary was prescribed Cogentin, Lorazepam, Sertraline, and Buspirone; however, there was not a medication consent completed for these specific medications until*⁶.

CORRECTIVE ACTION PLAN 8.3.1:

The MHP shall submit a CAP to address actions it will implement to ensure the following:

- 1) A written medication consent form is obtained and retained for each medication prescribed and administered under the direction of the MHP.
- 2) Written medication consent forms are completed in accordance with the MHP's written documentation standards.

¹ Line number(s) removed for confidentiality

² Line number(s) removed for confidentiality

³ Line number(s) removed for confidentiality

⁴ Line number(s) removed for confidentiality

⁵ Date(s) removed for confidentiality

⁶ Date(s) removed for confidentiality

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Client Plans

FINDING 8.4.6:

There was no documentation of the beneficiary's or legal representative's degree of participation in and agreement with the Client Plan, and there was no written explanation of the beneficiary's refusal or unavailability to sign the Plan, if a signature was required by the MHP Contract with the Department and/or by the MHP's written documentation standards:

- **Line number** ⁷: The beneficiary or legal representative was required to sign the Client Plan completed on ⁸ as required by the MHP Contract with the Department (i.e., the beneficiary is in "long-term" treatment and receiving more than one type of SMHS), and per the MHP's written documentation standards. However, the signature was missing and there was no evidence of a verbal consent. *During the review, MHP staff were given the opportunity to locate the document in question but could not find written evidence of it in the medical record.*

CORRECTIVE ACTION PLAN 8.4.6:

Due to the transition to the new Documentation Standards that will take effect July 1, 2022, a CAP is not required for this item. However, please note that the MHP is expected to continue to ensure compliance with its policies and all current documentation requirements.

⁷ Line number(s) removed for confidentiality

⁸ Date(s) removed for confidentiality