



C A L I F O R N I A D E P A R T M E N T O F

Mental Health

1600 9th Street, Room 151, Sacramento, CA 95814
(916) 654-2309

September 1, 2009

DMH INFORMATION NOTICE NO.: 09-17

TO: LOCAL MENTAL HEALTH DIRECTORS
LOCAL MENTAL HEALTH PROGRAM CHIEFS
LOCAL MENTAL HEALTH ADMINISTRATORS
COUNTY ADMINISTRATIVE OFFICERS
CHAIRPERSONS, LOCAL MENTAL HEALTH BOARDS

SUBJECT: FY 09-10 COMPLIANCE PROTOCOL FOR CONSOLIDATED
SPECIALTY MENTAL HEALTH SERVICES AND OTHER FUNDED
SERVICES

SUPERCEDES: DMH Information Notice No.: 08-22

REFERENCE Retain until rescinded

This information Notice provides the specifics of the Department of Mental Health's (DMH) compliance review of Mental Health Plans (MHPs) in Fiscal Year (FY) 2009-2010. Enclosed are the following:

- Review Protocol for FY 2009-2010 – Enclosure Number 1
 - County Mental Health Plan Annual Attestation – Enclosure Number 2
 - Reasons for Recoupment in FY 2009-2010 – Enclosure Number 3
 - Medi-Cal Oversight Review Schedule for FY 2009-2010 – Enclosure Number 4
- 1) Review Protocol for FY 2009-2010: DMH will review approximately one third of the MHPs in FY 09-10. In addition to the usual MHP personnel involved in the oversight review process, the MHP must also include direct service staff in the protocol review process in order to confirm that policies match practices. No specific number of direct service staff need be present, but there should be a sufficient number present during the course of the review process to demonstrate their knowledge of MHP policies, procedures, and processes related to items on the protocol.
 - 2) County Mental Health Plan Annual Attestation: The County MHP Annual Attestation certifies and attests that the MHP processes, policies and procedures

listed in the attestation are in place and maintained in accordance with regulation(s), and shall be available upon request by the Department. The first Annual Attestation is due on October 1, 2009 and annually, thereafter, on July 15 of each year and is to be sent to:

California State Department of Mental Health
Community Services Division
Chief, Division Operations Support Section
1600 9th St., Room 140
Sacramento, CA 95814

- 3) Reasons for Recoupment in FY 2009-2010: DMH will review a random sample of adult beneficiary charts and recoup Federal Financial Participation (FFP) dollars per the FY 09-10 Reasons for Recoupment. The Reasons for Recoupment remain unchanged from FY 08-09.

- a. Non-Hospital Services: Depending on the size of your county (large or small), DMH will review the documentation of services provided to 10 or 20 adult beneficiaries. This review includes all charts associated with their care during the review period. The review period will be a floating three-month period commencing twelve months prior to the month of the review. MHPs will be provided the beneficiary names a week before the review.

In addition to recouping FFP, when applicable, a Plan of Correction will be required for items found out of compliance with Section J, Chart Review—Non-Hospital Services, of the protocol for FY 09-10.

- b. Short-Doyle/ Medi-Cal (SD/MC) Hospital Services: DMH will review a sample of adult and/or children's charts. The sample will be drawn from paid claims from the twelve month period prior to the date of the review.

In addition to recouping FFP, when applicable, a Plan of Correction will be required for items found out of compliance with Section K, Chart Review—SD/MC Hospital Services and Section L, Utilization Review—SD/MC Hospital Services, of the protocol.

- 4) Review Schedule for FY 2009-2010: The schedule includes both MHP system reviews and SD/MC hospital reviews.

MHPs will receive an "Announcement" letter approximately 30 days in advance of its scheduled system review or hospital review.

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This protocol was developed in collaboration with the Compliance Advisory Committee, which includes representatives from the California Mental Health Director's Association, the California Mental Health Planning Council, the California Healthcare Association, the National Alliance for the Mentally Ill, Consumer/Family Member Representatives, Disability Rights California, and other stakeholders.

If you have any questions, please contact Carol Sakai, LCSW, Chief, Medi-Cal Oversight-South at Carol.Sakai@dmh.ca.gov or (916) 651-3837.

Sincerely,

Original signed by

STEPHEN W. MAYBERG, Ph.D.
Director

Enclosures

cc: California Mental Health Planning Council
Patricia Ryan, Executive Director CMHDA
Compliance Advisory Committee