



**DEPARTMENT OF HEALTH CARE SERVICES
REVIEW OF SAN LUIS OBISPO MENTAL HEALTH PLAN
NOVEMBER 7 – 8, 2018
CHART REVIEW FINDINGS REPORT**

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 Luis Obispo 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 470 claims submitted for the months of January, February, and March of **2018**.

Contents

| | |
|--|----|
| <i>Assessment</i> | 2 |
| <i>Client Plans</i> | 7 |
| <i>Progress Notes</i> | 12 |
| <i>Documentation of Cultural and Linguistic Services</i> | 17 |

Assessment

| REQUIREMENTS |
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| The MHP must establish written standards for (1) timeliness and (2) frequency of the Assessment documentation. (MHP Contract, Ex. A, Att. 9) |
| Reasons for Recoupment (RR): Refer to the enclosed Recoupment Summary for additional details about disallowances. |
| RR2. Services, except for Crisis Intervention and/or services needed to establish medical necessity criteria, shall be provided, in accordance with the State Plan, to beneficiaries who meet medical necessity criteria, based on the beneficiary's need for services established by an Assessment. The MHP did not submit documentation substantiating the beneficiary's need for services was established by an Assessment. |
| (MHSUDS IN No. 17-050, Enclosure 4) |

FINDING 2A:

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

- 1) The MHP did not furnish evidence for completing Assessments timely, on an annual basis or at a shorter interval as appropriate, for those beneficiaries receiving targeted case management services, to determine the need for continuation of targeted case management services. (State Plan, Supplement 1 to Attachment 3.1-A);
- 2) One or more assessments were not completed within the timeliness and/or frequency requirements specified in the MHP's written documentation standards which cover the review period.

The MHP is required to set a timeliness and frequency standard for assessments; it is unclear how frequently assessments are required to be completed.

The following are specific findings from the chart sample:

- **Line number(s) 1:** The MHP did not submit updated assessments as requested. *During the pre-review and on-site review, MHP staff were given the opportunity to locate the missing assessment but could not locate the document in the medical record.*
 - **Line number 2:** The medical record contained a Diagnosis Form dated ³, with very little Assessment information, which is being used as the current assessment for the review period . The beneficiary was last fully assessed for meeting criteria of medical necessity in 1996.
 - **Line number 4:** The MHP did not submit an updated assessment as requested. There was no updated Assessment found for 2016 (Missing assessment information to be linked with the ⁵ Diagnosis Form) and for

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2017 (no assessment documentation), and Targeted Case Management continued as a service intervention on the plan.

- **Line number 6:** There was no updated Assessment found for 2017, and Targeted Case Management is a service intervention on the plan.
- **Line number 7:** There was no updated Assessment found for 2017, and Targeted Case Management is a service intervention on the plan.
- **Line number 8:** The initial assessment was completed late per the MHP documentation standards.
- **Line number 9:** The updated assessment was completed late by MHP documentation standards and/or because targeted case management is on the plan and requires at minimum, an annual assessment.

PLAN OF CORRECTION 2A:

The MHP shall submit a POC that:

- 1) Provides evidence that the MHP has written documentation standards for assessments, including required elements or timeliness and frequency as required in the MHP Contract with the Department and in keeping with the State Plan.
- 2) Describes 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.

| REQUIREMENTS | |
|--|---|
| The MHP shall ensure that the following areas are included, as appropriate, as part of a comprehensive beneficiary record when an assessment has been performed: | |
| a) | Presenting Problem. The beneficiary’s chief complaint, history of the presenting problem(s), including current level of functioning, relevant family history and current family information; |
| b) | 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; |
| c) | 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; |
| d) | 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 |

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- developmental history. If possible, include other medical information from medical records or relevant consultation reports;
- e) 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 shall include documentation of the absence or presence of allergies or adverse reactions to medications, and documentation of an informed consent for medications;
 - f) Substance Exposure/Substance Use. Past and present use of tobacco, alcohol, caffeine, CAM (complementary and alternative medications) and over-the-counter, and illicit drugs;
 - g) 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;
 - h) Risks. Situations that present a risk to the beneficiary and/or others, including past or current trauma;
 - i) A mental status examination;
 - j) A complete diagnosis from the most current DSM, or a diagnosis from the most current ICD-code shall be documented, consistent with the presenting problems, history, mental status examination and/or other clinical data; and,
 - k) Additional clarifying formulation information, as needed.
- (MHP Contract, Ex. A, Att. 9)

FINDINGS 2B:

One or more of the assessments reviewed did not address all of the elements specified in the MHP Contract. Below are the specific findings pertaining to the charts in the review sample:

- Mental Health History: **Line number(s)** ¹⁰.
- Medical History: **Line number(s)** ¹¹.
- Medications: **Line number(s)** ¹².
- Substance Exposure/Substance Use: **Line number(s)** ¹³.
- Client Strengths: **Line number(s)** ¹⁴.
- A mental status examination: **Line number(s)** ¹⁵.
- A full diagnosis from the current ICD code: **Line number(s)** ¹⁶.
Specifically: the medical record associated with Line Number ¹⁷, established a diagnosis in 2015, for a disorder that met DSM-5 criteria with a duration of up to 6 months. An assessment conducted in 2016 maintained the same diagnosis, which no longer met DSM-5 criteria for the presenting disorder.

PLAN OF CORRECTION 2B:

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¹⁵ Line Number(s) removed for confidentiality
¹⁶ Line Number(s) removed for confidentiality
¹⁷ Line number(s) removed for confidentiality

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

Medication Consent

The provider obtains and retains a current written medication consent form signed by the beneficiary agreeing to the administration of each prescribed psychiatric medication.
(MHP Contract, Ex. A., Att.9)

FINDING 3A:

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:

- **Line number(s)**¹⁸: Although there was a written medication consent form in the medical record, there was no medication consent for each of the medications prescribed. *The MHP did not submit all required medication consent documentation, as requested.*
 - **Line number**¹⁹: On the one consent form, there is no indication the conservator refused to sign the medication consent and there is no reason provided for not obtaining the conservator’s signature.
 - **Line number**²⁰: One consent form states, “Your signature constitutes your acknowledgement...” and verbal consent is noted without an explanation for refusal or unavailability to sign consent form. Additionally, consent was not found for one prescribed medication.
 - **Line number**²¹: Consent forms were not found for two prescribed medications.

PLAN OF CORRECTION 3A:

The MHP shall submit a POC 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.

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¹⁹ Line Number(s) removed for confidentiality

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²¹ Line Number(s) removed for confidentiality

REQUIREMENTS

Medication consent for psychiatric medications shall include the following required elements:

- 1) The reasons for taking such medications.
- 2) Reasonable alternative treatments available, if any.
- 3) Type of medication.
- 4) Range of frequency (of administration).
- 5) Dosage.
- 6) Method of administration.
- 7) Duration of taking the medication.
- 8) Probable side effects.
- 9) Possible side effects if taken longer than 3 months.
- 10) Consent once given may be withdrawn at any time.

(MHP Contract, Ex. A, Attachment 9)

FINDING 3B:

Written medication consents did not contain all of the required elements specified in the MHP Contract with the Department. The following required elements were not documented on the medication consent form, and/or documented to have been reviewed with the beneficiary, and/or provided in accompanying written materials to the beneficiary:

- Type of medication: **Line number(s)** ²².
- Method of administration (oral or injection): **Line number(s)** ²³.
- Duration of taking the medication: **Line Number** ²⁴.

Medication Consent for Remeron signed ²⁵ – “Initial length of treatment is: 12 months and may be continued if clinically indicated [or patient desires].”

- Possible side effects if taken longer than 3 months: **Line number(s)** ²⁶.
Some of the medication consent forms note, “Tardive Dyskinesia was specifically discussed as a possible long term side effect, when applicable.” When applicable implies that this side effect may or may not apply to the medication on the consent form, or to the beneficiary being prescribed the medication. Also, there are other possible side effects, if psychotropic medications taken longer than 3 months.
- Consent once given may be withdrawn at any time: **Line number(s)** ²⁷.

PLAN OF CORRECTION 3B:

The MHP shall submit a POC that describes how the MHP will ensure that every medication consent process addresses all of the required elements specified in the MHP Contract with the Department.

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Client Plans

| REQUIREMENTS |
|---|
| <p>Services shall be provided, in accordance with the State Plan, to beneficiaries, who meet medical necessity criteria, based on the beneficiary’s need for services established by an assessment and documented in the client plan. Services shall be provided in an amount, duration, and scope as specified in the individualized Client Plan for each beneficiary.</p> <p>(MHP Contract, Ex. A, Attachment 2)</p> |
| <p>The client plan shall be updated at least annually, or when there are significant changes in the beneficiary’s condition.</p> <p>(MHP Contract, Ex. A, Attachment 9)</p> |
| <p><u>Reasons for Recoupment (RR): Refer to the enclosed Recoupment Summary for additional details about disallowances.</u></p> <p>RR4. Services shall be provided, in accordance with the State Plan, based on the beneficiary’s need for services established by an Assessment and documented in the Client Plan. Services were claimed:</p> <ul style="list-style-type: none"> a) Prior to the initial Client Plan being in place; or b) During the period where there was a gap or lapse between client plans; or c) When the planned service intervention was not on the current client plan. <p>(MHSUDS IN No. 17-050, Enclosure 4)</p> |

FINDING 4A:

Client Plans were not completed prior to the delivery of planned services and/or were not updated at least annually or reviewed and updated when there was a significant change in the beneficiary’s condition (as required in the MHP Contract with the Department and/or as specified in the MHP’s documentation standards). Below are the specific findings pertaining to the charts in the review sample:

- **Line number(s)²⁸:** There was a **lapse** between the prior and current client plans. However, this occurred outside of the audit review period.
 - **Line number²⁹:** Lapse between plans (³⁰).
 - **Line number³¹:** Lapse of one day (³²).

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³¹ Line Number(s) removed for confidentiality

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- **Line number** ³³: Per the Initial treatment plan document dated ³⁴, the current plan was to be completed within 60 days of intake. The plan was signed by the adolescent client ³⁵ and by qualified staff on ³⁶.
- **Line number** ³⁷: Lapse between plans (³⁸⁻³⁹)
- **Line number** ⁴⁰: The prior client plan was **late** per the MHP’s written documentation standards. However, this occurred outside the audit review period.
- **Line number(s)** ⁴¹: The medical record indicated a significant change in the beneficiary’s mental health status (e.g. pregnancy,). However, no evidence was found in the medical record that the client plan was reviewed and/or updated in response to the change.
 - **Line number** ⁴²: The ⁴³ signed plan with qualified staff signature ⁴⁴ and the ⁴⁵ signed plan are **identical**. Any significant change with regard to the beneficiary in response to treatment has not been reflected on the plan (i.e. updating the goals/objectives and interventions). It is unclear that the plan meets the current needs of the beneficiary.
 - **Line number** ⁴⁶: The Psychiatric Evaluation dated ⁴⁷ noted a significant change in the client’s health status (i.e. pregnancy). The client had discontinued taking her medications and was working with the Psychiatrist regarding options. These changes necessitate an update to the medication support goal on the treatment plan. These significant changes were also discussed in Individual Therapy session ⁴⁸, prior to the program supervisor finalizing the current plan.
 - **Line number** ⁴⁹: The current plan was not updated to reflect that the client is receiving In Home Based Services and Child and Family Team Services, due to significant factors in the child’s life situation. These services are referenced in the client plan under Rehabilitative Services (claimed correctly with the appropriate identifier code for IHBS) and Targeted Case Management services. (Note: TCM should be claimed as ICC/CFT when the service performed is ICC or CFT meeting). These services should also be reflected on the treatment plan.

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⁴⁹ Line number(s) removed for confidentiality

PLAN OF CORRECTION 4A:

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

- 1) Ensure that client plans are completed prior to planned services being provided.
- 2) Ensure that client plans are updated 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.
- 3) Ensure that planned services are not claimed when the service provided is not included in the current client plan.
- 4) Ensure that client plans are reviewed and updated whenever there is a significant change in the beneficiary’s condition.

| REQUIREMENTS | |
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| The MHP shall ensure that Client Plans: | |
| a) | Have 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. |
| b) | Identify the proposed type(s) of intervention/modality including a detailed description of the intervention to be provided. |
| c) | Have a proposed frequency of intervention(s). |
| d) | Have a proposed duration of intervention(s). |
| e) | Have interventions that focus and address the identified functional impairments as a result of the mental disorder (from Cal. Code Regs., tit. 9, § 1830.205(b). |
| f) | Have interventions that are consistent with the client plan goals. |
| g) | Be consistent with the qualifying diagnoses. |
| (MHP Contract, Ex. A, Attachment 9) | |

FINDING 4C:

Client Plans did not include all of the required elements specified in the MHP Contract. Below are the specific findings pertaining to the charts in the review sample:

- 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(s)** ⁵⁰.
- One or more of the proposed interventions did not include a detailed description. **Line number(s)** ⁵¹.
 - **Example: Line number** ⁵²
 Intervention: MH MD E&M Office Visit-Compre
 Frequency: Monthly
 Duration: 1:00
 BH will provide this service.

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⁵¹ Line number(s) removed for confidentiality

⁵² Line number(s) removed for confidentiality

- One or more of the proposed interventions did not indicate an expected frequency. **Line number(s)** ⁵³.
- One or more of the proposed interventions did not indicate an expected duration. **Line number(s)** ⁵⁴.
In the charts in the review sample, the Intervention duration has been documented as the time spent in each service session or as the number of service sessions per week/month, and not documented as the duration of the service as a whole.
- One or more of the proposed interventions did not address the mental health needs and functional impairments identified as a result of the mental disorder. **Line number(s)** ⁵⁵.

Due to the lack of specificity in the service descriptions, it is unclear how the interventions are being applied, and how they will specifically address the beneficiary’s functional impairments. For example, Line number ⁵⁶- The same interventions and service descriptions are copied under each objective on the client plan.

- One or more of the proposed interventions were not consistent with client plan goals/treatment objectives. **Line number(s)** ⁵⁷.
 - **Example: Line number** ⁵⁸: The interventions listed under each of the Objectives are the same and are written exactly the same, without differentiation. Also, the intervention does not appear to be consistent with the first Objective and appears consistent with the second Objective.

Example: ⁵⁹ plan

- 1.1 Goal: Improve Independent Living Skills
 - 1.1.1 Objective: Identify/Use Health Lifestyle Habits to Support Well
 - 1.1.1.3 Intervention: MH Individual Therapy
FCNI Therapist will utilize TF-CBT techniques, along with mindfulness and a solution focused approach to process trauma history.
 - 1.2.1 Objective: Acknowledge Trauma and Impact on Life
 - 1.2.1.4 Intervention: MH Individual Therapy
FCNI Therapist will utilize TF-CBT techniques, along with mindfulness and a solution focused approach to process trauma history.

PLAN OF CORRECTION 4C:

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

- 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.

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⁵⁶ Line Number(s) removed for confidentiality
⁵⁷ Line number(s) removed for confidentiality
⁵⁸ Line Number(s) removed for confidentiality
⁵⁹ Date(s) removed for confidentiality

- 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) All mental health interventions proposed on client plans indicate both an expected frequency and duration for each intervention.
- 4) All mental health interventions/modalities proposed on client plans address the mental health needs and identified functional impairments of the beneficiary as a result of the mental disorder.
- 5) All mental health interventions proposed on client plans are consistent with client plan goals/treatment objectives.
- 6) All client plans are consistent with the qualifying diagnosis.

| REQUIREMENTS |
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| The MHP shall ensure that Client Plans include documentation of the beneficiary’s participation in and agreement with the Client Plan. (MHP Contract, Ex. A, Att. 9; CCR, title 9, § 1810(c)(2).) |
| The MHP shall ensure that Client Plans include the beneficiary’s signature or the signature of the beneficiary’s legal representative when: 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. (CCR, title 9, § 1810.440(c)(2)(A).) |
| 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, the client plan includes a written explanation of the refusal or unavailability of the signature. (CCR, title 9, § 1810.440(c)(2)(B).) |

FINDING 4E:

There was no documentation of the beneficiary’s or legal representative’s refusal or unavailability to sign the plan, if signature was required by the MHP Contract with the Department and/or by the MHP’s written documentation standards:

- **Line number** ⁶⁰: The beneficiary or legal representative was required to sign the client plan per 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.
 - The treatment plan was signed by qualified clinical staff on ⁶¹; however the beneficiary’s legal representative’s signature was not found. There is a Plan Development progress note dated ⁶², which states, “Writer met again with conservator to review treatment plan, received conservators signature, and

⁶⁰ Line number(s) removed for confidentiality

⁶¹ Date(s) removed for confidentiality

⁶² Date(s) removed for confidentiality

provided a copy.” During the pre-review and the on-site, MHP staff were given the opportunity to locate the Conservator signature in question but were unable to locate it in the medical record.

PLAN OF CORRECTION 4E:

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

- 1) Ensure that the beneficiary’s / legal representative’s signature is obtained 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 when the beneficiary’s / legal representative’s signature is not obtained, there is documentation of the reason for refusal.

| REQUIREMENTS |
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| There is documentation in the Client Plan that a copy of the Client Plan was offered to the beneficiary. |

FINDING 4G:

There was no documentation that the beneficiary or legal guardian was offered a copy of the client plan for the following: **Line number(s)** ⁶³.

PLAN OF CORRECTION 4G:

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

- 1) Ensure that there is documentation substantiating that the beneficiary was offered a copy of the client plan.
- 2) Submit evidence that the MHP has an established process to ensure that the beneficiary is offered a copy of the client plan.

Progress Notes

| REQUIREMENTS |
|---|
| <p>The MHP shall ensure that progress notes describe how services provided reduced impairment, restored functioning, or prevented significant deterioration in an important area of life functioning outlined in the client plan. Items that shall be contained in the client record related to the beneficiary’s progress in treatment include:</p> <ul style="list-style-type: none"> a) Timely documentation of relevant aspects of beneficiary care, including documentation of medical necessity; b) Documentation of beneficiary encounters, including relevant clinical decisions, when decisions are made, alternative approaches for future interventions; c) Interventions applied, beneficiary’s response to the interventions and the location of the interventions; |

⁶³ Line number(s) removed for confidentiality

- d) The date the services were provided;
 - e) Documentation of referrals to community resources and other agencies, when appropriate;
 - f) Documentation of follow-up care, or as appropriate, a discharge summary; and
 - g) The amount of time taken to provide services; and
 - h) The signature of the person providing the service (or electronic equivalent); the person’s type of professional degree, licensure, or job title.
- (MHP Contract, Ex. A, Attachment 9)

FINDING 5A:

Progress notes did not include timely documentation of relevant aspects of beneficiary care, including documentation of medical necessity, as required in the MHP Contract. One or more progress notes was not completed within the timeliness and/or frequency standards in accordance with the MHP Contract and the MHP’s written documentation standards. Below are the specific findings pertaining to the charts in the review sample:

- Progress notes associated with the following line number(s) did not include 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). **Line number(s)** ⁶⁴.
- **Line number** ⁶⁵: The MHP allows for “bundling” multiple sessions of the same service activity, within a short timeframe (72 hours), to be documented together on one progress note (e.g., Plan Development, Assessment and Targeted Case Management). Plan Development services for ⁶⁶, ⁶⁷, and ⁶⁸ were rolled into one progress note and signed by provider on 3/28/18. However, in doing so, the notes associated with ⁶⁹ and ⁷⁰ were deemed late, per the MHP standards of completing “bundled” progress notes .
- One progress note did not document the *beneficiary’s response to the intervention*. **Line number** ⁷¹.
- The progress note provided did not match the claim in terms of date of service. **Line number** ⁷². The MHP reported a data entry error in the claiming process and that the

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⁷² Line number(s) removed for confidentiality

identified claim should reflect date ⁷³ and match the progress note dated ⁷⁴. *The MHP will submit evidence to support actions taken to correct the claim error.*

- The provider’s professional degree, licensure or job title. **Line number(s)** ⁷⁵.
 - **Line number(s)** ⁷⁶: The credential for the co-facilitator was not found on the progress note and the co-facilitator’s time is being claimed.
 - **Line number** ⁷⁷: TMHA is being used as a credential on progress notes, instead of a credential, degree or job title specific to the service provider.
 - **Line number(s)** ⁷⁸: The provider credential is not present on the progress note.

PLAN OF CORRECTION 5A:

- 1) The MHP shall submit a POC that describes how the MHP will ensure that progress notes document:
 - Timely completion by the person providing the service and relevant aspects of client care, as specified in the MHP Contract with the Department and by the MHP’s written documentation standards.
 - The beneficiary’s response to the interventions, as specified in the MHP Contract with the Department.
 - Ensure progress note matches the date the services were provided and claimed.
 - The provider’s/providers’ professional degree, licensure or job title.
- 2) Speciality Mental Health Services claimed are the services actually provided to the beneficiary.

| REQUIREMENTS | |
|---|--|
| <p>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:</p> <ol style="list-style-type: none"> 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. <p>(CCR, title 9, § 1840.314(c).)</p> | |

FINDING 5C:

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(s)** ⁷⁹: Progress note(s) did not document the number of group participants. *The MHP provided additional Electronic Health Record supporting documentation to identify the number of group participations for each progress note reviewed.*

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⁷⁵ Line number(s) removed for confidentiality

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⁷⁹ Line number(s) removed for confidentiality

PLAN OF CORRECTION 5C:

The MHP shall submit a POC that describes how the MHP will ensure that: All group progress notes document the date of service, the type of service, the units of time, the number of clients in the group, and the number of staff, including contribution, involvement or participation of each staff member as it relates to the identified functional impairment and mental health needs of the beneficiary.

| REQUIREMENTS | |
|---|--|
| Progress notes shall be documented at the frequency by type of service indicated below: | |
| a) | Every Service Contact: <ul style="list-style-type: none"> i. Mental Health Services; ii. Medication Support Services; iii. Crisis Intervention; iv. Targeted Case Management; |
| b) | Daily: <ul style="list-style-type: none"> i. Crisis Residential; ii. Crisis Stabilization (1x/23hr); iii. Day Treatment Intensive; |
| c) | Weekly: <ul style="list-style-type: none"> i. Day Treatment Intensive: a clinical summary reviewed and signed by a physician, a licensed/waivered psychologist, clinical social worker, or marriage and family therapist; or a registered nurse who is either staff to the day treatment intensive program or the person directing the service; ii. Day Rehabilitation; iii. Adult Residential. |
| (MHP Contract, Ex. A, Attachment 9) | |
| Reasons for Recoupment (RR): Refer to the enclosed Recoupment Summary for additional details about disallowances. | |
| RR8. The MHP did not submit a progress note corresponding to the claim submitted to DHCS for reimbursement, as follows: | |
| a) No progress note submitted | |
| b) The progress note provided by the MHP does not match the claim submitted to DHCS for reimbursement in terms of the following: <ul style="list-style-type: none"> 1) Specialty Mental Health Service claimed. 2) Date of service, and/or 3) Units of time. | |
| (MHSUDS IN No. 17-050, Enclosure 4) | |

FINDING 5D:

The MHP did not submit a progress note corresponding to the claim submitted to DHCS for reimbursement. Below are the specific findings pertaining to the charts in the review sample:

- **Line number(s)**⁸⁰: The type of specialty mental health service (SMHS) (e.g., Rehabilitation, Targeted Case Management) documented on the progress note was not the same type of SMHS claimed. **RR8b1, refer to Recoupment Summary for details.**
 - **Line number**⁸¹: On ⁸² the Provider claimed Case Management for linking to a park setting appointment, but then performed Rehabilitation as a service intervention. **RR 8b1, refer to Recoupment Summary for details.**
 - **Line number**⁸³: On ⁸⁴ the provider claimed Case Management for four intervention activities which were primarily Rehabilitative activities. **RR 8b1, refer to Recoupment Summary for details.**

PLAN OF CORRECTION 5D:

The MHP shall submit a POC that describes 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 billing code, and units of time.
- 2) Ensure that all progress notes:
 - a) Describe the type of service or service activity, 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) Are completed within the timeline and frequency specified in the MHP Contract with the Department.

⁸⁰ Line number(s) removed for confidentiality

⁸¹ Line number(s) removed for confidentiality

⁸² Date(s) removed for confidentiality

⁸³ Line number(s) removed for confidentiality

⁸⁴ Date(s) removed for confidentiality

| REQUIREMENTS |
|--|
| <p>Claims for ICC must use the following:</p> <ol style="list-style-type: none"> 1) Procedure code T1017 2) Procedure modifier "HK" 3) Mode of service 15 4) Service function code 07 |
| <p>Each participating provider in a CFT meeting may claim for the time they have contributed to the CFT meeting, up to the length of the meeting, plus documentation and travel time, in accordance with CCR, tit. 9, § 1840.316(b)(3).</p> <p>(Medi-Cal Manual for Intensive Care Coordination, Intensive Home Based Services, and Therapeutic Foster Care Services for Medi-Cal Beneficiaries, 3rd Edition, January 2018)</p> |

FINDING 6C:

One or more claim was submitted for Targeted Case Management (Service Function "01") but the progress note(s) associated with the date(s) and time(s) claimed indicated that the service provided was actually for participation in an ICC "team" meeting, or for providing another ICC-specific service activity, and should have been claimed as an ICC case management service.

- **Line number** ⁸⁵: On ⁸⁶, the provider claimed Case Management without the claim modifier for ICC, for a CFT meeting activity.

PLAN OF CORRECTION 6E:

The MHP shall submit a POC that describes how it will ensure that the service activity described in the body of all progress notes is consistent with the specific service activity claimed - i.e., all claims submitted must be accurate and consistent with the actual service provided in terms of type of service, date of service and time of service.

Documentation of Cultural and Linguistic Services

| REQUIREMENTS |
|---|
| <p>The MHP shall make oral interpretation, available and free of charge for any language. (42 C.F.R. § 438.10(d)(2), (4)-(5).)</p> |
| <p>Items that shall be contained in the client record (i.e., progress notes) related to the beneficiary's progress in treatment include:</p> <ol style="list-style-type: none"> a) Timely documentation of relevant aspects of beneficiary care, including documentation of medical necessity; |

⁸⁵ Line number(s) removed for confidentiality

⁸⁶ Date(s) removed for confidentiality

b) Documentation of beneficiary encounters, including relevant clinical decisions, when decisions are made, alternative approaches for future interventions;

(MHP Contract, Ex. A, Attachment 9)

FINDING 7A:

The medical record did not include evidence that oral interpretation services were made available to the beneficiary and/or the beneficiary’s parent(s)/legal guardian(s). Progress notes lacked relevant aspects of beneficiary care. Below are the specific findings pertaining to the charts in the review sample:

- **Line number(s)** ⁸⁷: There was no evidence in the that interpretation services were offered or provided to the beneficiary and/or the beneficiary’s parent or legal guardian.
 - **Line number** ⁸⁸: The caretaker language preference is Spanish. There was one medication support service provided (family in session with the client) without supporting documentation for language accommodation.
 - **Line number** ⁸⁹: The caretaker language preference is Spanish. There were two collateral services performed with the caregiver without supporting documentation for language accommodation.

PLAN OF CORRECTION 7A:

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

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

⁸⁷Line number(s) removed for confidentiality

⁸⁸ e number(s) removed for confidentiality

⁸⁹ e number(s) removed for confidentiality