NC DHHS, DIVISION OF MH/DD/SAS

OVERVIEW OF 2019 LME-MCO SYSTEMS REVIEW

June 17, 2019

Introduction

- **Welcome**

- **Housekeeping Details**
  - ❖ **Webinar is for LME-MCO staff only.**
  - ❖ **Attendance: Email LME.Monitoring@dhhs.nc.gov, subject line: Webinar Attendees; list names of all Attendees from your LME-MCO.**
  - ❖ **Put phones on mute, but not on hold.**
  - ❖ **Two presentations – Programmatic Review and Clinical Services Review.**
  - ❖ **Please ask questions during the presentation or you may send them to the lme.monitoring@dhhs.nc.gov**
  - ❖ **PowerPoint presentation from webinar will be posted on the web in approximately 1 week – some tweaks may be made based on today's session.**

SOURCE:

FB1   Flood, Barbara, 5/21/2019

Federal Programs That Will be Monitored

- **SAPTBG - $44.9 Million**
  - ❖Adult and Child SUD Treatment
  - ❖5% IV Drug Use
  - ❖Women's Set Aside Funding (WSAF)
  - ❖CASAWORKS for Families Residential Initiative
  - ❖Work First/CPS Substance Use Initiative
  - ❖JJSAMHP

- **CMHSBG - $11 Million**
  - ❖Adults with SMI; children and youth with SED
  - **Social Services Block Grant –**
  - **$7.5 Million**

- ▪ **Sample Chosen for SUD/MH Clinical Monitoring**
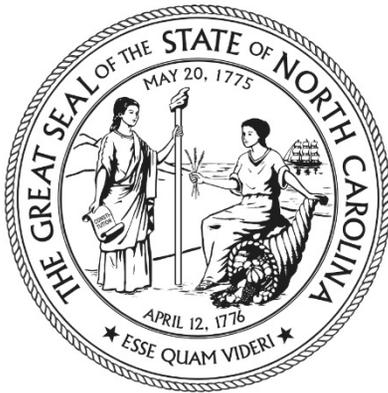
Division of Mental Health, Developmental Disabilities, and Substance Abuse Services

2019 LME-MCO Program Monitoring

Review Team: Barbara Flood, Cynthia Coe, Patricia McNear

June 17, 2019

Overview of SFY 2019 Program Review

- **Collaboration with the program managers for any changes to the review tool and guidelines**

- **Highlights of changes**

- **What documentation needs to be available**

2019 Block Grant Review: Overview of Program and Record Guidelines and Tools

SOURCE:

WHAT TO EXPECT

- **Block Grant Reviewers**
  - 1 Team Lead and 2 Reviewers

- **LME-MCO Staff**
  - A staff person available to assist with providers and program reviews

- **Provider Staff**
  - One provider staff familiar with the area being reviewed

- **Arrive at approximately 8:30 a.m.**

- **Each Reviewer will need a table to sit with provider staff**

- **Each Reviewer will need an electrical outlet**

SAPTBG and CMHSBG REVIEW

- Conducted to ensure compliance with 45 CFR Part 96, Subpart I, SAPTBG and 42 USC Part B, Subpart I, Block Grants for Community Mental Health Services

- Review includes both program and record review for:
  - ❖ SAPTBG IV Drug
  - ❖ SAPTBG Record Review
  - ❖ SAPTBG Women's Set-Aside Fund
  - ❖ SAPTBG CASAWORKS for Families Residential Initiative
  - ❖ SAPTBG Work First / Child Protective Services Substance Use Initiative (Program Review will be a desk review)
  - ❖ JJSAMHP (Program Review will be a desk review)
  - ❖ CMHSBG (Program Review will be a desk review)

SAPTBG IV Program Tool

- **Added a question**
  - There is evidence of policy or procedure of interim services if admission to clinical treatment services cannot occur within the required time frame.

- **Documentation Needed From LME-MCO/Provider:**
  - ❖ Evidence of an outreach program for people who use IV drugs
  - ❖ Evidence of priority admission for people who use IV drugs
  - ❖ Evidence of policy or procedure for the provision of interim services
  - ❖ Evidence of strategies implemented to promote a drug-free workplace, according to policy
  - ❖ Evidence of a contract between LME-MCO and provider for services rendered
  - ❖ Evidence provider was informed of the Block Grant requirements

SAPTBG IV Record Review

- **No major changes**

- **Documentation Needed From LME-MCO/Provider:**
    - ❖ **Evidence of eligibility**
    - ❖ **Evidence of TB Screening**
    - ❖ **Evidence of referral, if TB symptoms were present**
    - ❖ **Evidence to support ASAM level of care**
    - ❖ **Signed authorization to release information with all the required elements**
    - ❖ **Evidence of timely admission or appropriate referral**
    - ❖ **Evidence of completion of NC-TOPPS within required timeframes**

SAPTBG Record Review

- **No major changes**

- **Documentation Needed From LME-MCO/Provider**
  - Evidence of eligibility
  - Evidence of TB Screening
  - Evidence of referral if TB Symptoms were present
  - Evidence to support ASAM Level of Care
  - Signed authorization to release information with all the required elements
  - Evidence of completion of NC TOPPS within required timeframes
  - Evidence the LME-MCO contracts with the provider for these services
  - Evidence the LME-MCO notified/informed the provider of the block grant requirements

SAPTBG Women's Set-Aside Program Tool

- **One question added**
  - **There is evidence of policy or procedure for the provision of interim services for pregnant women with SUD within the required timeframe**

- **Documentation Needed From LME-MCO/Provider:**
  - ❖ **Written Program Description with all required elements**
  - ❖ **Evidence of priority admission to pregnant women who have substance use disorder diagnosis**
  - ❖ **Evidence of policy or procedure for the provision of interim services for pregnant women with SUD**
  - ❖ **Evidence of established and implemented strategies that promote a drug-free workplace**
  - ❖ **Evidence of a contract between LME-MCO and provider for services rendered**
  - ❖ **Evidence provider was informed of the Block Grant requirements**

SAPTBG Women's Set-Aside Record Review

- **One question added**
  - If services required for the pregnant woman were not available within 48 hours, there is evidence interim services were offered or provided.

- **Documentation Needed From LME-MCO/Provider:**
  - ❖ Evidence of eligibility
  - ❖ Needs were addressed, as required
  - ❖ Evidence to support ASAM level of care
  - ❖ Evidence of timely admission or a referral for services for pregnant women
  - ❖ Evidence that interim services were offered or provided for pregnant women
  - ❖ Evidence of completion of NC-TOPPS within required timeframes

Acceptable Interim Services for SAPTBG IV AND WSAF

- **Referral for Interim Services**
  - **Acceptable Services Include:**
    - **Counseling and education about HIV and TB**
    - **Counseling about the risks of needle sharing**
    - **Counseling about the risks of transmission to sexual partners and infants**
    - **Counseling about steps to take to ensure that HIV and TB transmission does not occur**
    - **Referral for HIV or TB treatment services, if necessary**
  - **Additional interim services for pregnant women**
    - **Counseling on the effects of alcohol and drug use on the fetus**
    - **Referral for prenatal care**

CASAWORKS™ for Families Residential Initiative Program Tool

- **No major changes on this tool**

- **Documentation Needed From LME-MCO/Provider:**
  - ❖ **Evidence of signed/current MOA between provider and county DSS**
  - ❖ **Evidence of Advisory Group meetings**
  - ❖ **Evidence that all the required elements of the CASAWORKS for Families Model have been implemented, contracted for and/or a current MOA is in place.**
  - ❖ **Evidence of a contract between LME-MCO and provider for services rendered**
  - ❖ **Evidence the provider was informed of Block Grant requirements**

CASAWORKS™ for Families Residential Initiative Record Review Tool

- **No major changes to tool**

- **Documentation Needed From LME-MCO/Provider:**
  - ❖ **Evidence of eligibility**
  - ❖ **Evidence to support ASAM level of care**
  - ❖ **Evidence a Person-Centered Plan (PCP) was initiated upon admission to the program**
  - ❖ **Evidence of current (PCP) or Employment Self-Sufficiency Plan (ESSP) was reviewed monthly**
  - ❖ **Signed Authorization to Release Information with all required elements**
  - ❖ **Evidence of completion of NC-TOPPS within required timeframes**

SAPTBG Work First / Child Protective Services Substance Use Initiative Program Tool

- **No major changes**

- **Documentation Needed From LME-MCO/Provider:**
  - ❖ Signed MOA between LME-MCO/provider and each county DSS with all required elements
  - ❖ Evidence MOA has been reviewed in the past 12 months
  - ❖ Evidence the LME-MCO contracted with the provider for these services
  - ❖ Evidence the LME-MCO notified/informed the provider of the Block Grant requirements

SAPTBG Work First / Child Protective Services Substance Use Initiative Record Review Tool

- **No major changes**

- **Documentation Needed From LME-MCO/Provider:**
  - ❖ Signed authorization to release information that includes all required elements
  - ❖ SUDDS or pre-approved alternate assessment for Work First Referrals
  - ❖ Evidence of participant's disposition after meeting with QPSA, (i.e., communication with DSS)
  - ❖ Evidence of a contract between LME-MCO and provider for services rendered

JUVENILE JUSTICE SUBSTANCE ABUSE MENTAL HEALTH PARTNERSHIP (JJSAMHP) PROGRAM MONITORING

- **Documentation Needed From LME-MCO/Provider:**
  - ❖ **Signed Memoranda of Agreement between local team members**
  - ❖ **Juvenile Justice's invitation to participate in the LME-MCO's Gaps and Needs Analysis reporting**
  - ❖ **JJSAMHP Gaps and Needs identified in the LME-MCO's report**
  - ❖ **Activities conducted by the Partnership for the fiscal year**
  - ❖ **Evidence of a contract between LME-MCO and provider for services rendered**
  - ❖ **Provider informed of the Block Grant requirements**

JUVENILE JUSTICE SUBSTANCE ABUSE MENTAL HEALTH
PARTNERSHIP (JJSAMHP) RECORD REVIEW

- **Documentation Needed From LME-MCO/Provider:**
  - ❖ **Approved evidence-based screening tool**
  - ❖ **Evidence of completion of NC-TOPPS within required timeframes**
  - ❖ **Signed authorization to release information to juvenile court and the JJSAMHP**
  - ❖ **Child and family participation in the service planning process**
  - ❖ **Activities within the JJSAMHP 5 Domains included in individual's service record**

Community Mental Health Services Block Grant (CMHSBG) –Program Monitoring

- Homeless youth, youth in rural communities, children and youth in military families were added to target population

- Documentation Needed From LME-MCO/Provider:
  - ❖ There is that funds are used to provide access to mental health services to target populations.
  - ❖ There is evidence that services are provided to adults with Serious Mental Illness (SMI) regardless of ability to pay.
  - ❖ There is evidence that services are provided to children with Severe Emotional Disturbance (SED) regardless of ability to pay.
  - ❖ There is evidence of a system in place to prevent inappropriate disclosure of individual records.
  - ❖ There is evidence that the LME-MCO supports and promotes evidenced-based treatment
  - ❖ There is evidence of recipient and family member in the community mental health system of care.
  - ❖ There is evidence of activities to increase and diversify participation of youth and families in the local System of Care (SOC) community collaborative. (Child Only)
  - ❖ There is evidence the LME-MCO has a process for gathering and submitting SOC Coordinator activity data.

Community Mental Health Services Block Grant, Record Review

- **Homeless youth, youth in rural communities, children and youth in military families were added to target population**

- **Documentation Needed From LME-MCO/Provider:**
  - ❖ **Evidence the person meets eligibility**
  - ❖ **Evidence of individual and/or family involvement in treatment planning**
  - ❖ **Evidence NC TOPPS was completed within required timelines**
  - ❖ **Evidence there is a signed release with all required elements**
  - ❖ **Evidence informal/natural support persons were identified**
  - ❖ **Evidence of treatment for trauma (referral and service transition)**

GUIDELINES

- **Will be Posted on the Division Web Site**
- **Provides examples of acceptable documentation for each question**
- **Provides citations for each question**

SAMPLE

- **UCR**
  - ❖ **Sample is pulled from NC Tracks**
  - ❖ **From the sample pulled, 10 records are chosen**
  - ❖ **The sample will be forwarded to the LME-MCO 10 business days prior to the scheduled review**

- **NON-UCR (JJSAMHP, Work First, CASAWORKS,)**
  - ❖ **A request was sent to the LME-MCOs for a list of providers and individuals in the programs above during the fiscal year.**
  - ❖ **Ten records will be randomly chosen from the list**
  - ❖ **Ten business days prior to the review, the sample will be sent to the LME-MCO**

SAMPLE (con't)

- **The following program reviews will be desk reviews. Requested information is to be submitted by July 1, 2019 to barbara.flood@dhhs.nc.gov**
  - **Work First Program**
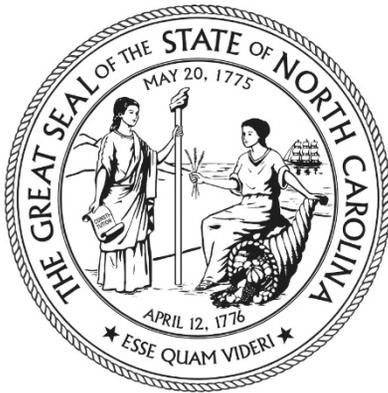 - **JJSAMHP Program**
  - **CMHSBG Program**

Program Monitoring and Program Sample Questions

Barbara Flood, LME-MCO Systems Review Coordinator

barbara.flood@dhhs.nc.gov

919-218-3872

- **QUESTIONS??**

2019 LME-MCO Clinical Monitoring

Starleen Scott Robbins, MSW, LCSW, Women's Services Coordinator
Stacy Smith, LPC-S, LCAS, Adult MH Team Lead
Eric Harbour, MPH, LCSW, Child MH Team Lead
LaToya Chancey, LPC-A, I/DD Team Lead

June 17, 2019

LME-MCO Clinical Monitoring

Services/Policies to be included:

- ❑ **Adult Mental Health Services**
- ❑ **Adult Substance Use Disorder Services**
- ❑ **Child MH & SUD Policies & Procedures**
- ❑ **Adult and Child I/DD Services**

LME-MCO Clinical Monitoring

Funding to be included:

- ❑ **State Funds**
- ❑ **Substance Abuse Prevention & Treatment Block Grant**
- ❑ **Community Mental Health Services Block Grant**
- ❑ **Social Services Block Grant**

Adult MH/SUD Clinical Monitoring

Focus of Monitoring:

I.   SFY 2019 clinical monitoring will focus on the review of persons identified in the current LME-MCO contract as high priority/high risk populations to determine if those individuals:

❑   Received care coordination based on parameters set forth in the current contract.

❑   Received referrals to approved follow up services.

❑   Follow-up within 30 days of discharge.

II.   Review of policies, procedures and/or protocols submitted in response to SFY 18 clinical monitoring POC and/or TA to verify implementation & determine if policies, procedures & protocols effectively addressed the compliance issue.

Adult MH/SUD Clinical Monitoring

Sample Selection & LME-MCO Record Review for Adult MH and SUD:

I. Sample Selection: Adults with a substance use disorder (SUD) or with mental health (MH) disorder who were discharged from a state psychiatric hospital, ADATC, community psychiatric hospital, facility based crisis program, or non-hospital medical detoxication service with paid claims between February 1, 2019 and May 31, 2019.

Sample Size:
- ❑ **5 LME-MCO records will be reviewed for both MH & SUD, respectively, from NC TRACKS paid claims**

AND
- ❑ **5 LME-MCO records will be reviewed for both MH & SUD, respectively, from HEARTS.**

Adult MH/SUD Clinical Monitoring

LME-MCO-Record Review: The records will be reviewed to determine the outcome for individuals 30 calendar days following discharge.

- ☐ Care coordination during admission and after discharge
- ☐ Follow-up appointments within 7 days of discharge
- ☐ Follow-up for missed appointment within 5 days
- ☐ Service authorizations for approved services
- ☐ Follow-up after discharge

Adult MH/SUD Clinical Monitoring

II. Review of policies, procedures and/or protocols submitted in response to SFY 18 clinical monitoring POC and/or TA to verify implementation & determine if policies, procedures & protocols effectively addressed the compliance issue.

Evidence of Implementation:
- Staff training
- New software to identify care coordination function and needs
- Updated/revised job descriptions
- Minutes from clinical and/or management meetings re: care coordination policy/procedure/protocol implementation
- Other LME-MCO documentation that indicates implementation of POC

Implementation Verification:

LME-MCO Care Coordination record review

Who & What To Expect

❑ **Division Adult MH/SUD Clinical Monitoring Staff:**

    o   **1 Team Lead & 2 reviewers**

❑ **LME-MCO Staff:**

    o   **3 LME-MCO staff familiar with MH/SUD**

❑ **LME-MCO Record Documentation To Be Reviewed:**

    o   **Comprehensive Clinical Assessment (CCA)**

    o   **Psychiatric Evaluation**

    o   **PCP or Service Plan**

    o   **Crisis Plan, when applicable**

    o   **SAR/TARs**

    o   **Care Coordination Plan**

    o   **Care Coordination Notes**

    o   **Discharge Plan for each Inpatient/FBC/Detox stay**

    o   **Any other supporting documentation**

Child & Adolescent MH/SUD Clinical Monitoring

Purpose of Monitoring:

The purpose of clinical monitoring for child services is to verify if the LME-MCO followed it's established written policies and procedures in the execution of the access, screening, triage and referral function.

Child & Adolescent MH/SUD Clinical Monitoring

Sample Selection & LME-MCO Record Review for Child/Youth MH and SUD:

❑ **Sample Selection:**
- ○ **LME-MCOs will send a list of uninsured child/youth who called STR and were served during the period of 7/1/18-3/30/19 <u>by May 31, 2019</u>.**

❑**<u>Sample Size</u>: a sample of 8 STR calls from what was sent (3 of which will be complaints – if there were no complaints – we will take the full 8 from the regular STR calls)**

Child & Adolescent MH/SUD Clinical Monitoring

Informational Questions (not part of clinical monitoring):

o **How is your LME-MCO preparing for the impact of the DSS Families First federal legislation on your child service system?**

o **How is your LME-MCO preparing for the impact of the Juvenile Justice Raise the Age legislation on your child service system?**

❑ **Please submit a narrative response via email to Eric Harbour at Eric.Harbour@dhhs.nc.gov by May 31, 2019.**

Who & What To Expect

❑ **Division Clinical Monitoring Staff:**

  o **1 Team Lead & 1 reviewer**

❑ **LME-MCO Staff:**

  o **2 LME-MCO staff familiar with MH/SUD Child/Youth STR Encounters**

❑ **LME-MCO Record Documentation To Be Reviewed:**

  o **STR Policies, Procedures & Protocols (effective date: 7/1/18-3/30/19)**

  o **LME-MCO case notes, summaries, and dispositions for uninsured child/youth related consumer calls to STR**

  o **Any other supporting documentation provided by the LME-MCO**

I/DD Clinical Monitoring

Focus of Monitoring:

☐ **Adults and children who received the following services funded by Social Service Block Grant (SSBG) and/or State dollars under the ADSN and CDSN benefit plans will be reviewed:**

- o **Supported Employment**
- o **Long Term Vocational Supports**
- o **Developmental Day**
- o **Day Activity**
- o **Day Supports**
- o **CAET-Community Activity and Employment Transitions (if applicable)**

I/DD Benefit Plan & Service Eligibility Monitoring Review

Sample Selection & LME-MCO Record Review for I/DD:

❑ **DMH/DD/SAS will generate a sample of paid claims between 3/1/18-02/28/19 for expenditures of State-funded and Social Services Block Grant (SSBG) funds reviewing the following for all services:**

   ○ **Benefit Plan Eligibility Criteria**

   ○ **Initial Service Criteria or Concurrent Service Criteria**

❑ **LME-MCO Record Review: Records will be monitored based on the approved DMH/DD/SAS Benefit Plan and service definition eligibility criteria.**

I/DD Benefit Plan & Service Eligibility Monitoring Review

Sample Selection & LME-MCO Record Review for I/DD:

❑ The sample to be reviewed will include up to 8 claims across all of the services paid for with SSBG or state funds.

❑ The LME-MCO must ensure that sufficient documentation to adequately respond to the questions on the LME-MCO Clinical Monitoring tool is present at the review site.

❑ The LME-MCO may have paper or electronic records available for review.

I/DD Benefit Plan & Service Eligibility Monitoring Review

Sample Selection & LME-MCO Record Review for I/DD:

❑ **Any services that eligibility was only verified by the LME-MCO during the post-payment review will require the following:**

- o **Copy of the most recent LME-MCO post-payment review policy**
- o **Copy of the most recent LME-MCO post-payment review of the specific service (e.g., supported employment) and**
- o **The service records or sufficient documentation to adequately respond to the questions on the LME Clinical Monitoring tool available on-site for review.**

Who To Expect

❑ **Division I/DD Clinical Monitoring Staff:**
  o **1 Team Lead & 2 Reviewers**

❑ **LME-MCO Staff:**
  o **3 LME-MCO Staff familiar with I/DD services & records**

What To Expect

❑ **Documentation for Benefit Plan & Service Eligibility Review:**
- o SAR/TARs
- o NC SNAP and/or SIS
- o Psychological Evaluation
- o Level of Care Form
- o PCP or Service Plans
- o Comprehensive Clinical Assessment (CCA), when applicable
- o Progress notes
- o Crisis plan, when applicable
- o Behavior Intervention Plans, when applicable
- o Any other supporting documents

Pre-Site Visit Call Information

❑ **The LME-MCO will receive the MH, SUD, SAIOP and I/DD claims samples 10 business days prior to the agreed upon onsite review date.**

❑ **Pre-Site Visit Conference Calls:**
- o **4-5 days prior to onsite visit**
- o **Lead LME-MCO Clinical Monitoring Staff and all others**
- o **Any questions or concerns related to the monitoring or process**
- o **Any housekeeping issues (i.e. location, space, staffing, timeframes, etc.)**

Clinical Monitoring Questions

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➢**Adult MH & SUD Clinical Monitoring**

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➢**I/DD Benefit Plan & Service Eligibility Monitoring**

Petra Mozzetti

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Child & Youth MH/SUD Clinical Monitoring

Contact Information

Claims Sample Questions:

LME.Monitoring@dhhs.nc.gov