# Division of Prevention and Behavioral Health Services

# **Quality Improvement Unit Monitoring Overview**

- Why does DPBHS monitor providers?
  - To be in compliance with
    - DSCYF Policy 105 "Bids and Contracts"
    - DPBHS Policy PI 003 "Provider Monitoring and Evaluation"
    - Medicaid Standards and the State Plan
    - CARF accreditation requirements

AND

to assure that quality services are being provided to all children and families we serve who are receiving direct services for mental health and substance abuse.

# In this presentation we will review

- Notification of Upcoming Monitoring
- The Monitoring Process
  - Clinical Chart Reviews
  - Supervision
  - Incident/Safety Reports
  - Clinical Deliverables
  - Environment of Care
  - Billing Audits
- The Monitoring Report
- Provider Response
  - Performance Improvement Plans (PIPS)
  - Corrective Action Plans (CAPS)
- Follow Up Visits

# Notification of Upcoming Monitoring

- Two weeks prior to the visit, the agency will be notified via email that a visit is pending.
- Those notified include, but are not limited to:
  - Head of agency
  - Program Director
  - Clinical Director

# Notification of Upcoming Monitoring

- The notification will include:
  - Dates of the monitoring visit
  - Items that need to be available for review
  - Contact information should you have questions or concerns
  - A request that you identify a liaison for the monitoring visit

# The Monitoring Process

- On the day of your monitoring visit PBHS staff will:
  - Arrive on site as scheduled and request to meet with the person you identified as the liaison.
  - Expect you to have available all of the requested materials.
    - Typically, this includes a random 10% sample of client charts who were active during the previous fiscal year
  - Conduct an entrance interview
    - The entrance interview will be to gather information about how the program is doing

# The Monitoring Process

- Areas Reviewed
  - Section 1: Clinical Chart Reviews
  - Section 2: Supervision
  - Section 3: Incident/Safety Reports
  - Section 4: Clinical Deliverables
  - Section 5: Environment of Care
  - Section 6: Billing Audits

# Section 1: Clinical Chart Reviews

- In this section we are reviewing clinical charts for compliance with standards established in your contract.
- Clinical chart reviews will be conducted by licensed mental health professionals

# Section 1: Clinical Chart Reviews

- Clinical Chart's are reviewed for appropriate content utilizing standards from:
  - the Provider Manual
  - Recovery Audit Contractors (auditors paid to perform recovery audits of Medicare and Medicaid)
  - Payment Error Rate Measurement (auditors paid to perform error audits for Medicare and Medicaid)

# Section 2: Supervision

- In this section we are verifying that you have documentation to support the requirement that staff providing direct clinical services are receiving the required amount of supervision.

# Section 2: Supervision

- Per the Provider Manual, Section 7 "Consumer Safety and Outcome", agency's are required to have:
  - Case specific supervision notes indicating that the supervisor and the supervisee have discussed the case periodically and decided on a course of action to be taken. Where supervisory recommendations have been made, there should be documentation that the recommended actions have been taken. (This follow-up documentation may be in the form of a modified treatment plan, progress note or supervisory note.)
  - Unlicensed clinical staff providing direct treatment services must document, at minimum, one hour per week of individual supervision. Licensed clinical staff providing direct treatment services must document, at minimum, one hour of individual supervision per month.
  - A log of the dates and times of supervision provided to each staff.

# Section 2: Supervision

- We often use the term "licensed staff" without defining what we mean. A licensed practitioner of the healing arts is an individual who is licensed in the State of Delaware to diagnose and treat behavioral health and/or substance abuse issues acting within the scope of all applicable state laws and their professional licenses. Thus, we are referring to:
  - Those licensed by the Delaware Division of Professional Regulation
  - This would include
    - Licensed psychologists
    - Licensed Clinical Social Workers (LCSWs)
    - Licensed Professional Counselors (LPCMHs)
    - Licensed Marriage and Family Therapists (LMFTs)
    - Licensed Chemical Dependency Professionals (LCDP)
    - Advanced Practice Registered Nurses (must be a nurse practitioner specialist in Adult Psychiatric & Mental Health, and Family Psychiatric & Mental Health, or a Certified Nurse Specialist in Psychosocial, Gerontological Psychiatric Mental Health, Adult Psychiatric and Mental Health, or Child-Adolescent Mental Health and practice within the APRN's scope of practice)
    - Physician