

Santa Clara Valley Health and Hospital System  
Mental Health Department  
**Quality Improvement Program**

FY 2007-08 CLINICAL RECORDS REVIEW: ANNUAL REPORT

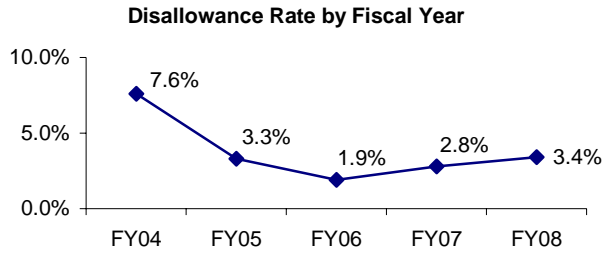
The Quality Improvement Program, based on policy # 175, completed its review of outpatient mental health clinical records for 14 County-operated programs and 23 Short/Doyle contractors.

<b>County Programs</b>	<b>Short/Doyle Contractors</b>
Bascom Mental Health	Achievekids
Central Mental Health	Asian Americans for Community Involvement
Downtown Mental Health	Bill Wilson Center
East Valley Mental Health	Catholic Charities
Fairoaks Mental Health	Chamberlain's Mental Health Services
Kidscope	Children's Health Council
Las Plumas Mental Health	Community Solutions
MH Clinic at the Children's Shelter	Eastern European Service Agency
MH Clinic at Juvenile Hall	EMQ Children & Family Services
MH Clinic at the Ranches	Family and Children Services
Narvaez Mental Health	Gardner Family Care Corporation
North County Mental Health	Grace Community Center
South County Mental Health	Hope Services
Urgent Care	Indian Health Center
	Kidango
	Mekong Community Center
	Momentum for Mental Health
	Oasis Care, Inc.
	Opportunity Health
	Rebekah Children's Services
	Starlight Adolescent Center
	Ujima Adult and Family Services
	Unity Care

The 3-month audit period was August – October 2007. A total of **764 records** were audited (351 County records and 413 contractor records), representing 1.85 million dollars worth of services.

**Disallowance**

The disallowance percentage for all programs/agencies combined was **3.4%**, which is an increase from last year.



The Quality Improvement Committee has established two different cutoffs based on the disallowance rate: 1% or less = excellent; greater than 5% = unsatisfactory. There were 9 programs with an “unsatisfactory” rating, which is an increase from the 4 unsatisfactory programs in FY07.

The programs with an “**excellent**” rating (listed below) serve as role models in the system.

**County Programs**

Bascom Mental Health  
 MH Clinic at the Ranches  
 South County Mental Health

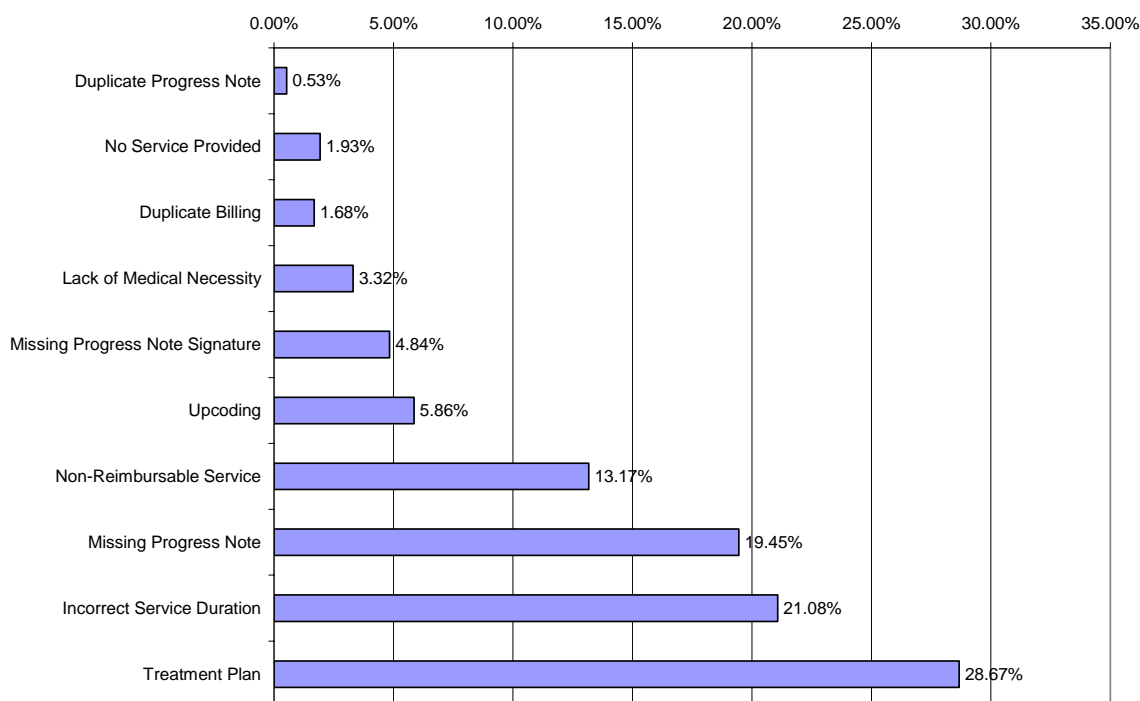
**Short/Doyle Contractors**

Asian Americans for Community Involvement  
 Bill Wilson Center  
 Chamberlain’s Mental Health Services  
 EMQ Children & Family Services  
 Family and Children Services  
 Gardner Family Care Corporation  
 Grace Community Center  
 Hope Services  
 Oasis Care, Inc.  
 Rebekah Children’s Services

**Disallowance Type**

About \$63,000 was disallowed during this year’s review. The most common type of disallowance involved the **Treatment Plan**, which was either missing or lacked a licensed professional’s signature. The second most common type was when a service was entered in Unicare and the number of minutes entered into Unicare exceeded the amount documented in the clinical record. (i.e., **Incorrect Service Duration**).

### FY08 Disallowance Types



### Disallowance Type (Cont.)

The other disallowance types were as follows:

- **Missing Progress Note** - a service was entered in Unicare but a corresponding progress note was not found in the clinical record
- **Non-Reimbursable Service** – such as clerical tasks, leaving messages, etc.
- **Upcoding** - when a service was billed at a higher rate (either Case Management billed as Mental Health Service or the latter billed as Crisis Intervention).
- **No Service Provided** - usually when the progress note indicated this but the billing was still entered into Unicare.
- **Lack of Medical Necessity** – the diagnosis is not on the included list.
- **Missing Progress Note Signature** – provider did not sign progress note.
- **Duplicate Billing** – a service was billed twice.

### Non-Entry in Unicare

About \$14,500 of billable services was recorded in the clinical records but was not entered into Unicare. This figure is larger than FY06 (\$2,000) and FY07 (\$10,000), but smaller than FY05 (\$44,000).

## Compliance

Six compliance items were reviewed during this audit. The results reflect the percentage of clinical records that were in compliance with the expectations for that item. The results were similar to the previous fiscal year. Completion of the consumer's cultural background continues to be a problematic item.

Item	FY06	FY07	FY08
The consent for treatment was found in the clinical record.	95.1%	96.7%	96.2%
The diagnosis on the assessment was supported by the symptoms/behaviors listed.	88.5%	90.6%	88.3%
The assessment included a description of the consumer's strengths.	95.2%	93.9%	96.3%
The assessment included a description of the consumer's cultural background.	84.1%	84.2%	86.8%
The treatment plan included appropriate problems, goals, objectives and interventions.	93.5%	93.1%	97.7%
The treatment plan included the consumer's signature.	96.6%	94.4%	96.5%

## Recommendations

1. As a system, the department continues to perform well in terms of meeting the documentation requirements. There were 13 (out of 37) programs/agencies that received a disallowance of 1% or less. Nevertheless, there are still some programs/agencies who continue to have difficulty in this area. Agencies with a disallowance greater than 5% will be subject to the following: 1) an additional external audit and 2) add quarterly internal audits as part of their plan of correction.
2. Continued training and oversight is needed to ensure that treatment plans are completed and reviewed by licensed professionals and to ensure that a progress note accompanies each service entered into Unicare.
3. Further training is still needed regarding assessing the consumer's cultural background.