



Children's Administration

Targeted Case Review

Outcome 4: Annual Screening for Mental Health and Substance Abuse

July 1, 2010 – June 30, 2011

This is a report of the results of a targeted case review of the Annual Screening for Mental Health and Substance Abuse. This case review is required by the Revised Settlement and Exit Agreement related to the Braam lawsuit.

The Agreement states:

***Outcome 4:** Children in out-of-home care will be screened for mental health and substance abuse needs every 12 months.*

I. Background and Purpose

This is the first report of results from the targeted case review concerning children screened for mental health and substance abuse needs every 12 months. Previously, this outcome was only measured using administrative data from FamLink, Medicaid billing data, and Regional Support Network data. The case review process will be repeated annually.

Before the case review occurs, administrative data from FamLink, Regional Support Networks, as well as Medicaid billing and encounter data was matched to determine whether a child received a qualifying screening within 12 months.

For FY 2011, 85% of the 5655 children included in this analysis received a mental health/substance abuse screen or services in the 12 months measured, as documented in administrative data.

Items in *Italics* are pursuant to the Braam v. State of Washington Revised Settlement and Exit Agreement.

This case review focused on cases determined “non-compliant” in the data match which showed Children’s Administration’s performance to be 85%. This case review was used to determine Children’s Administration’s performance on the 15% of cases determined to be non-compliant in the administrative data match.

The department achieved an overall compliance for this measure of 91% after combining the administrative data with the case review results. The case review is described in Sections II-V, and the calculation of overall compliance is described in Section VI.

II. Measure Definition

The Department’s performance will be based on the percentage of *children who remain in out-of-home care for 365 consecutive days or longer will have an annual Early Periodic Diagnosis and Treatment (EPSDT) exam or other valid mental health screen during the measurement year. Both administrative data and case review results will determine the Department’s compliance with this outcome.*

Full Compliance Measure: 90% of children who remain in out-of-home care for 365 consecutive days or longer will have an annual Early Periodic Screening, Diagnosis, and Treatment (EPSDT) exam or other valid mental health screen during the measurement year.

III. Sample Methodology

A. Size

The sample size consisted of *100 cases determined by administrative data to be non-compliant. Case review will determine whether an annual EPSDT exam or other valid mental health screening occurred during the measurement year.*

B. Sample Definition

Cases reviewed were randomly selected from the “non-compliant” population identified in the administrative data match. The sample only included cases which met the following criteria:

Child Information: On date evaluated – all these were true:

1. Child was in out-of-home care at least 365 consecutive days.
2. At least one of the 365 days occurred during the reporting period.
3. Child’s age on report date is less than 18.0 years.

IV. Review Process

This targeted case review was led by Children’s Administration headquarters staff and conducted by both headquarters and regional staff. Regional staff did not review cases from their own region. Webinars were held with the review team to orient them to the review tool and criteria. Bi-weekly inter-rater reliability phone meetings were conducted with Children’s Administration Headquarters and regional reviewers.

Part 1 of the review consisted of the HQ Health Program Manager conducting an electronic review of Medicaid billing data in the PRISM and ProviderOne systems for all 100 cases. As a result of the PRISM and ProviderOne review, some of the sample cases were identified as compliant.

Part 2 of the review was completed by the regional reviewers when there was no Medicaid billing data available to indicate compliance. This portion of the case review was completed by looking at various places in FamLink, including case notes, and contacting social workers to obtain the results of the completed screening or assessment to corroborate compliance.

V. Results

Cases Reviewed by Region				
	State Total	Region 1	Region 2	Region 3
# of Cases Reviewed	100	31	19	50

A. Outcome Compliance by State and Region

Outcome	Case Review – Annual ESDT or Other Valid Mental Health/Substance Abuse Screening			
	Statewide	Region 1	Region 2	Region 3
Total Applicable Cases	100	31	19	50
% Full Compliance	38% <i>(38 out of 100)</i>	42% <i>(13 out of 31)</i>	10% <i>(2 out of 19)</i>	46% <i>(23 out of 50)</i>
% Total Non-Compliant	62% <i>(62 out of 100)</i>	58% <i>(18 out of 31)</i>	90% <i>(17 out of 19)</i>	54% <i>(27 out of 50)</i>
Indicators of Progress	36% <i>(22 out of 62)</i>	6% <i>(1 out of 18)</i>	65% <i>(11 out of 17)</i>	20% <i>(10 out of 50)</i>
No Indicators of Progress	64% <i>(40 out of 62)</i>	94% <i>(17 out of 18)</i>	35% <i>(6 out of 17)</i>	80% <i>(40 out of 50)</i>

Summary

- The case review found that in 38 of the 100 cases reviewed there was an EPSDT or other valid mental health/substance abuse screen completed during the review period.
- Overall statewide performance for this case review is 38% in full compliance.
 - Region 3 had the highest performance.
 - Region 2 had the lowest performance.
- Sixty-two percent of the cases were found non-compliant. However, 36% of these cases were determined non-compliant with indicators of progress.
- Cases were marked as non-compliant with indicators of progress when reviewers found information in a case note that the child received an exam, screen, assessment, or was receiving treatment that could not be corroborated with billing or hard-copy documentation. The information in the case notes indicated that:
 - 19 children received an EPSDT exam
 - 2 children received mental health treatment
 - 1 child received a mental health screening or assessment
- Cases were determined non-compliant with no indicator of progress when reviewers were unable to find any indication that an EPSDT or other valid assessment occurred.

B. Case Review Question

The only question considered in this case review was:

Did the child receive an annual EPSDT or other valid mental health/substance abuse screening during the measurement year – July 1, 2010 – June 30, 2011?

Question	Compliant by EPSDT, Mental Health/Substance Abuse Services , or Other Valid Assessment			
	Statewide	EPSDT	MH/SA Services	Other
Total Compliant Cases by Evaluation Received	38	14	18	6

Summary

In analyzing the cases that were determined fully compliant for this case review (38 out of 100) during this review period:

- Fourteen children had a completed EPSDT.
- Eighteen children were already receiving mental health/substance abuse services.
- Six of the children reviewed were screened for mental health/substance abuse services. (See table below for further details.)

	Compliant by Other Valid Assessment			
	Statewide	In-patient Hospitalization for MH	MH/SA screening or evaluation	Other Developmental Assessments for Children 0 - 5
Total Compliant Cases by Evaluation Received	6	1	2	3

Summary

- As stated in the above table, six of the cases reviewed were found to have a completed mental health/substance abuse screening during the review period in the “other valid assessment” category.
- Reviewers found cases where “other valid assessments” were determined as compliant:
 - One child was hospitalized for psychiatric services
 - Two children had a completed mental health/substance abuse screening or evaluation

- Three children, age birth to 5 years old, had a completed developmental assessment

VI. Overall Results

As previously stated, full compliance for this outcome is based on both administrative and case review results.

DSHS Medicaid billing records, CA administrative data, and case review of a sample of 100 cases determined by administrative data to be non-compliant every 12 months for the fiscal year. Case review will determine whether an annual EPSDT exam or other valid mental health screening occurred during the measurement year. Both administrative data and case review results will determine the Department's compliance with this outcome. The Department will issue data on its performance for this outcome nine months after the end of the reporting period.

After completing the case review process and combining the results with the results of the match of administrative data, the department's overall performance for this outcome is 91%. The department concludes that full compliance has been met on this outcome for this review period.

Compliance for this Outcome was calculated as follows:

Total number of children in the FY 2011 data match	5,655
Total COMPLIANT cases in the FY 2011 data match	4,833
Total NON-COMPLIANT cases in FY 2011 data match	822
Number of NON-COMPLIANT cases randomly selected for case review	100
Number of cases found COMPLIANT via case review process	38
NON-COMPLIANT cases (822) X percent COMPLIANT via case review (38%)	312
312 + Total COMPLIANT cases in case count (4,833)	5,145
New total COMPLIANT cases after case review	5,145
Total number of children in the FY 2011 data match	<u>÷ 5,655</u>
Percent of overall compliance	91%

VII. Strategies for Improvement

Strategies for improvement on this outcome can be found in the July-December 2011 Braam Revised Settlement and Exit Agreement Semi-Annual Performance Report.

Items in *Italics* are pursuant to the Braam v. State of Washington Revised Settlement and Exit Agreement.

VIII. APPENDIX A

Following is the tool used during the case review to ensure consistency among reviewers. As a result of a phone call with the Plaintiff's counsel on March 7, 2012, additional decision rules were agreed to which were applied in making final determinations (Appendix B). These decision rules will be incorporated into a revised tool for the next review period.

OUTCOME 4 CASE REVIEW QUESTIONS

Goal

Children in the custody of the Department shall receive timely, accessible, individualized and appropriate mental health assessments and treatment by qualified mental health professionals consistent with the child's best interest.

Outcome Being Reviewed

Outcome 4: *Children in out-of-home care will be screened for mental health and substance abuse needs every 12 months.*

How often and when will the Case Review Occur?

The first target date for this case review is January 2012 and every 12 months thereafter until determined otherwise.

Population from Which the Sample Will Be Selected

DSHS Medicaid billing records, CA administrative data, and case review of a sample of 100 cases determined by administrative data to be non-compliant. Case review will determine whether an annual EPSDT exam or other valid mental health screening occurred during the reporting period. Both administrative data and case review results will determine the Department's compliance with this outcome.

This targeted case review will be a random sample consisting of 100 cases determined as "non-compliant" for having a completed Annual Mental Health or Substance Abuse Screen. The data pull should consist of:

- One hundred children using the population in the Annual Mental Health Report identified as "non-compliant."
- All of the data elements will be the same as that in the Annual Mental Health Report.

Sample Size

The sample size will consist of 100 children who were in out-of-home care for 365 consecutive days or longer for whom billing and administrative data indicated that they did not have an EPSDT or other valid mental health and substance abuse screening during the reporting period.

Specific Questions and Criteria

Did the child who remained in out-of-home care for 365 consecutive days or longer have an annual Early Periodic Screening, Diagnosis, and Treatment (EPSDT) exam or other valid mental health/substance abuse screen completed **during the review period**?

Full Compliance:

There is documentation that the child had one or more of the following **during the review period**:

- An annual Early Periodic Screening, Diagnosis, and Treatment (EPSDT) exam, **or**
- Other valid mental health/substance abuse screen during the measurement year as evidenced by other billing information, including FamLink payment data, or evidence that a valid screen occurred may include one or more of the following uploaded in FamLink:
 - CHET report contains EPSDT or a completed emotional/behavioral screening
 - Mental Health/Substance Abuse screening, diagnosis or treatment

Items in *Italics* are pursuant to the Braam v. State of Washington Revised Settlement and Exit Agreement.

- Psychiatric/Psychological evaluations
- In-patient hospitalization for mental health or behavioral health
- The Global Appraisal of Individual Needs – Short Screener (GAIN-SS)
RCW 71.05.027 requires all DSHS Administrations to use the same screening tool for substance abuse, mental health and co-occurring disorders. The Global Appraisal of Individual Needs – Short Screener (GAIN-SS) version 2.0.1 is the identified tool.
- Other types of mental health/psychological/substance abuse evaluations (i.e., psycho sexual)

Reviewer Guidance: Reviewers will identify and set aside any screenings or assessments that fall into this category for review by HQ PM before determining compliance

- Juvenile Rehabilitation intake screening
- Sexually Aggressive Youth evaluation
- Birth to three evaluations (e.g., Early Support for Infants and Toddler evaluation)
- Other developmental assessments on young children, birth to age five

Reviewer Guidance: Reviewers will identify and set aside any screenings or assessments that fall into this category for review by HQ PM before determining compliance

- Other:

Reviewer Guidance: Reviewers will identify and set aside any screenings or assessments that fall into this category for review by HQ PM before determining compliance

- Child received mental health, substance abuse, or BRS services during the review period.

Reviewer Guidance: Documentation may include: Billing/payment information, reports by a provider, GAL/CASA report, ISSP supported by screening or evaluation attachments. Review may find indication that a mental health or substance abuse screening or evaluation was completed; Reviews should follow-up with social worker for the results of the completed screening or assessment which must then be documented in FamLink before counting as compliant.

Reviewer Guidance: Information located through the sources listed above will be documented in FamLink.

Other Indicators of Progress:

There is indication the child received an exam, screen, assessment, or treatment in a case note, but the case note information cannot be corroborated by one of the resource documents above.

Reviewer Guidance: These cases are considered non-compliant with the full compliance measure.

Non-Compliance:

No documentation can be located to indicate the child had an annual Early Periodic Screening, Diagnosis, and Treatment (EPSDT) exam or other valid mental health or substance abuse screen during the reporting period (screens meets the criteria as described above).

Not Applicable:

There are documented efforts that the social worker made to schedule and have the youth screened for the required mental health and substance abuse during the reporting period, however the youth refused to have the screening completed.

Reviewer Guidance: Reviewers will describe efforts to complete the screening.

The youth was on the run at time of scheduled exam or during the time period when the screening would have been required.

Reviewer Guidance: Reviewers need to specifically identify these cases during the case review. HQ program manager will review these cases to determine their overall impact on this Outcome.

IX. APPENDIX B

Decision Rules

The following additional decision rules were agreed to during a phone call with the Plaintiff's counsel on March 7, 2012, which were applied in making final determinations. These decision rules will be incorporated into a revised tool for the next review period.

Outcome 4 – Annual Screening for Mental Health & Substance Abuse

#	Decision Rules for Measuring Compliance
4-A	<p>Circumstance: ProviderOne shows an EPSDT examination or valid mental health/substance abuse screening billing claim as "denied." Claim was denied based on provider billing error, however the service was rendered.</p> <ul style="list-style-type: none"><li data-bbox="285 720 1422 884">▪ The data match from ProviderOne consists of "paid" or "accepted" billing claims. During the review, several situations were found indicating the EPSDT examination or other valid mental health or substance abuse screening was completed. However, the provider submitted an incomplete billing (e.g. did not include "sex" of the child, did not include correct billing provider number) and therefore the billing was "denied." Provider One works with providers to correct billing errors, however there is no time limit as to when they must be resolved. <p>Decision: Case counted as compliant because CA verified that the service was provided.</p>
4-B	<p>Circumstance: A diagnosis/procedure code in Provider One indicates the child received an EPSDT or other valid mental health or substance abuse screening but was not included in the compliant data match.</p> <ul style="list-style-type: none"><li data-bbox="285 1077 1409 1186">▪ The data match from Provider One only looks at the "primary" diagnosis/procedure code billed on the date of service. In several situations, the reviewer found an EPSDT examination or other valid mental health or substance abuse screening/services billed as secondary coding in conjunction with other services that were not included in the compliant data match. <p>Decision: Case counted as compliant because CA verified that the service was provided.</p>