

QA KNOWLEDGE ASSESSMENT - SURVEY #3 – Responses

TREATMENT PLAN DOCUMENTATION SAMPLE

Objective #1:

Client will reduce depressive symptoms from a PHQ-9 score of 17 (moderately severe) to less than 4 (minimal)

Intervention (for Objective #1):

MHS Services, individual therapy, 1time/week

Therapist will use CBT techniques to assist client to identify triggers to depression, discuss process of change, increase positive coping skills, manage negative self-attributions, and improve communications skills

Objective #2:

Client will access community resources (housing, employment services, education, basic needs, and supportive services)

Intervention (for Objective #2):

Targeted Case Management, as needed

Therapist will provide client with referral and linkage to community resources, housing, employment, supportive services, and basic needs in efforts to promote self-sufficiency

Question 1: Which of the following is true? (Choose only one option)

- a) Objective #2 is specific and measurable
- b) There must be a separate “TCM Objective” under which TCM interventions are listed
- c) Multiple interventions, including TCM interventions, can be listed under one objective if they all address the objective
- d) The Intervention for Objective # 2 meets County/State requirements

Answer: C

Rationales:

Option A

According to the Organizational Provider’s Manual, treatment plan objectives must be “specific observable and/or specific quantifiable...related to the client’s mental health needs and functional impairments as a result of the mental health diagnosis”. Objective #2, “Client will access community resources (housing, employment services, education, basic needs, and supportive services)”, includes vague terms to describe

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what the client will be accessing (i.e. “community resources”, “basic needs”, and “supportive services) and did not include how client’s progress would be measured/quantified.

Option B

We often hear practitioners refer to an objective as “the TCM Objective” or “the MHS Objective” or the “Medication Objective”. Types of Service such as TCM, MHS or MSS are actually associated with interventions, which are the actions or ways in which the practitioner will be assisting the client in reaching their treatment objective(s). Treatment plan objectives are based on the symptoms, behaviors and impairments identified in the assessment and about what the client is going to do or the sought after change in the client as related to their mental health diagnosis. Interventions addressing the treatment plan objectives are about what the practitioner is going to do, specifically the services they will provide (e.g. TCM, MSS, MHS) to assist the client in reaching their objectives. A TCM intervention can be the sole intervention addressing an objective or one of multiple interventions addressing the same objective.

Option C

There may be more than one type of service that will assist the client in reaching the same treatment objective. Therefore, it may be appropriate to document multiple interventions on the treatment plan addressing the same objective. Although some Electronic Health Record systems may have technical limitations that inform how the providers’ treatment plan forms are set up, there are no federal, State or County requirements that limit the number of interventions/types of service that can address (be listed under) a treatment plan objective.

Option D

Two of the required elements for treatment plans per State/County requirements (i.e. a detailed description of the interventions to be provided and a proposed (specific) frequency for the interventions) are not included in the Intervention for Objective #2. *“Therapist will provide client (as needed) with referral and linkage to community resources, housing, employment, supportive services, and basic needs in efforts to promote self-sufficiency”*. Vague terms such as “community resources”, “supportive services” and “basic needs” do not provide a detailed description of what the client will be linked to. Also, identifying that interventions will be provided “as needed” does not meet State requirements for a specific proposed frequency in treatment plan interventions.

Question 2: Which of the following is true? (Choose only one option)

- a) An example of an acceptable TCM intervention to address Objective #1 would be: *“1-2 times/week will provide client with referral and linkage to service animal program to access a service pet in order to assist with reducing Depression”*
- b) Identifying on the treatment plan that (TCM) interventions will be provided “as needed” meets County/State requirements
- c) A TCM intervention must always have its own “TCM Objective”
- d) None of the above

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Answer: A

Rationales:

Option A

Objective #1 focuses around reducing client's depressive symptoms. The suggested TCM intervention example, "*1-2 times/week will provide client with referral and linkage to service animal program to access a service pet **in order** to assist with reducing Depression*", is aimed at assisting with reducing depression. This intervention addresses Objective #1 and would fit as an additional intervention. Please note that to meet requirements, an Objective and its associated interventions needs to tie back to the mental health symptoms behaviors and impairments documented in the assessment.

Option B

Use of terms such as "as needed" or "ad hoc" do not meet the State requirement that the treatment plan contain a proposed frequency for interventions. The proposed frequency for delivery of an intervention must be stated specifically (e.g., daily, weekly, etc.), or as a frequency range (e.g., 1-4 x's monthly).

Option C

*See Question # 1's rationale for Option B.

Option D

Since Option A is the correct answer, this option "None of the above" is incorrect.

Question 3: In order for the (TCM) Intervention associated with Objective #2 to be consistent with State/County requirements, which of the following is needed? (Choose only one option)

- a) Only the specific services to be accessed (e.g. housing, employment, primary medical care) are identified in the intervention
- b) The services identified in the intervention need to tie back to impairments described in the assessment
- c) A specific frequency (e.g. 1 time/week, 2 times/month) must be included in the intervention to be provided (as needed is not acceptable)
- d) All of the above
- e) None of the above

Answer: D

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Rationales:

Option A

According to the Organizational Provider's Manual, all interventions (including TCM interventions) must include a detailed description of the interventions to be provided. For TCM that would include identifying the specific service(s), resource(s) or need(s) the Specialty Mental Health Service provider will be assisting the client with accessing.

Option B

According to Organizational Provider's Manual, the client treatment plan must include *"Interventions that focus and address the identified functional impairments as a result of the mental disorder; have interventions that are consistent with the client plan goal [objective];"* Impairments resulting from the mental disorder are identified/documented in the client's assessment.

Option C

*See Question # 2's rationale for Option B.

Option D

Options A, B and C are correct statements, therefore this option, "All of the above" is the correct answer.

Option E

Options A, B and C are correct statements, therefore this option, "None of the above" is an incorrect response.

Question 4: Which of the following statements is true regarding the TCM Intervention associated with Objective #2 in the documentation sample? (Choose only one option)

- a) The terms "Community resources", "supportive services", and "basic needs" are specific enough to meet requirements as long as there is documentation in the assessment to support the need for these services
- b) Providing specific documentation in the Assessment, Assessment Addendum, or a needs evaluation supporting the need for housing and employment is not necessary since the purpose of TCM is to link the client to community resources in general, as needed
- c) Terms such as "community resources", "supportive services", or "basic needs are not specific enough to describe the services to be accessed when documenting a TCM intervention in the treatment plan
- d) The TCM intervention does not have to be as specific as the MHS intervention because it involves accessing community resources rather than implementing clinical techniques

Answer: C

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Rationales:

Option A

According to the Organizational Provider's Manual, all interventions (including TCM interventions) must include a detailed description of the interventions to be provided. For TCM that would include identifying the specific service(s), resource(s) or need(s) the Specialty Mental Health Service provider will be assisting the client with accessing. Terms such as "community resources", "supportive services", or "basic needs" are not specific enough to describe the services to be accessed when documenting a TCM intervention in the treatment plan and do not meet requirements.

Option B

Like all proposed interventions in the treatment plan, TCM interventions must focus and address the identified functional impairments as a result of the mental disorder. Therefore the ancillary needs/services identified in the interventions must tie back to an assessed need documented in the Assessment or Needs Evaluation.

Option C

*See Option A rationale above for this question.

Option D

*See Option A rationale above for this question.

Question 5: Indicate which of the following is true about the TCM intervention in the Treatment Plan documentation sample: (choose one option)

- a) It's ok to document TCM interventions in progress notes that are not identified in the Treatment Plan, as long as it is clear that these interventions will help the client reach his/her clinical goals
- b) As it's written, the TCM intervention of the Treatment Plan documentation sample will pose no risk of any disallowances of services provided, because the targeted issues in the intervention are clear
- c) MHS interventions in the Treatment Plan must be supported by impairments documented in the Assessment/Assessment Addendum (and clearly be the basis for the interventions documented in the Progress Notes). These requirements do not apply to TCM interventions
- d) Because the TCM intervention in the Treatment Plan documentation sample does not include a specific frequency and includes vague terms to describe the services the client will be linked to, there will be a high risk of disallowance for the TCM services provided and documented in the progress notes

Answer: D

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Rationales:

Option A

Although there are some components/activities of TCM that do not require that a treatment plan be in place prior to providing them in order to be reimbursable (i.e. Assessment of TCM needs, TCM Plan Development, and linkage/referral if a need of immediate concern exists within the first 60 days for newly active clients), there must be a treatment plan in place prior to providing linkage and referral after the first 60 days, and for monitoring and follow-up of a linkage. Just because a service or activity may be helpful or benefit the client does not mean that it meets requirements for provision and reimbursement under Medi-Cal Specialty Mental Health Services.

Option B

The intervention for the Objective #2 example, *“Therapist will provide client with referral and linkage to community resources, housing, employment, supportive services, and basic needs in efforts to promote self-sufficiency”* could pose risk of audit disallowance if TCM activities are provided and claimed for that are not specifically identified. Vague terms such as “community resources”, “supportive services” and “basic needs” cannot be used as a catch-all to cover any possible service/resource needs that may come up for a client. All interventions, including TCM interventions, must address a specific assessed need related to the client’s mental health diagnosis.

Option C

Like all proposed interventions in the treatment plan, TCM interventions must focus and address the identified functional impairments resulting from the mental disorder as documented in the Assessment/Assessment Addendum. This requirement does not differ based on type of service.

Option D

*See Option A rationale above for this question.