



MHSA Program Reviews:

Lessons from the field on how to prepare for a review and implement changes afterward

August 19, 2020

Nevada County: Priya Kannall


Sonoma County: Melissa Ladrech, LMFT

Riverside County: David Schoelen





Agenda

- Overview of Reviewed Counties
 - Preparation for Review
 - DHCS Review
 - Findings
 - Implementing Changes
 - Lessons Learned
- 

Nevada County Overview



- ▶ Priya Kannall – MHSA Coordinator since May 2018
- ▶ Population: 99,000
- ▶ Average annual MHSA funding: \$5 – 6 million
- ▶ Program Review Date: April 8th, 2020
- ▶ MHSA dedicated staff: 1.5 FTE (on a good day)

Riverside County Overview



- David Schoelen, MHSAs Administrator since 2017
- Lead Staff: PEI; WET; INN. WET and PEI have own teams
- Estimated Population: 2,423,266 (U.S. Census Bureau report, 2017)
- **4th largest county in California by population and by land area**
Riverside County is roughly the size of the State of New Jersey, containing frontier, rural, and metropolitan population areas
- **Riverside County ranked 3rd in population growth in counties nationwide; the only California county to make the list of "Top 10 Gainers" in the last US Census Bureau report**
- Riverside County MHSAs Budget FY 20/21: \$169M
- Program Review dates: June 11-13, 2019

Sonoma County Overview



- Melissa Ladrech, LMFT, MHSA Coordinator since Feb 2019
- Population: 504,000
- Average Annual MHSA Funding: \$22M
- DHCS MHSA Program Review Date: February 10 & 11, 2020
- MHSA Dedicated Staff: 1.75 FTE

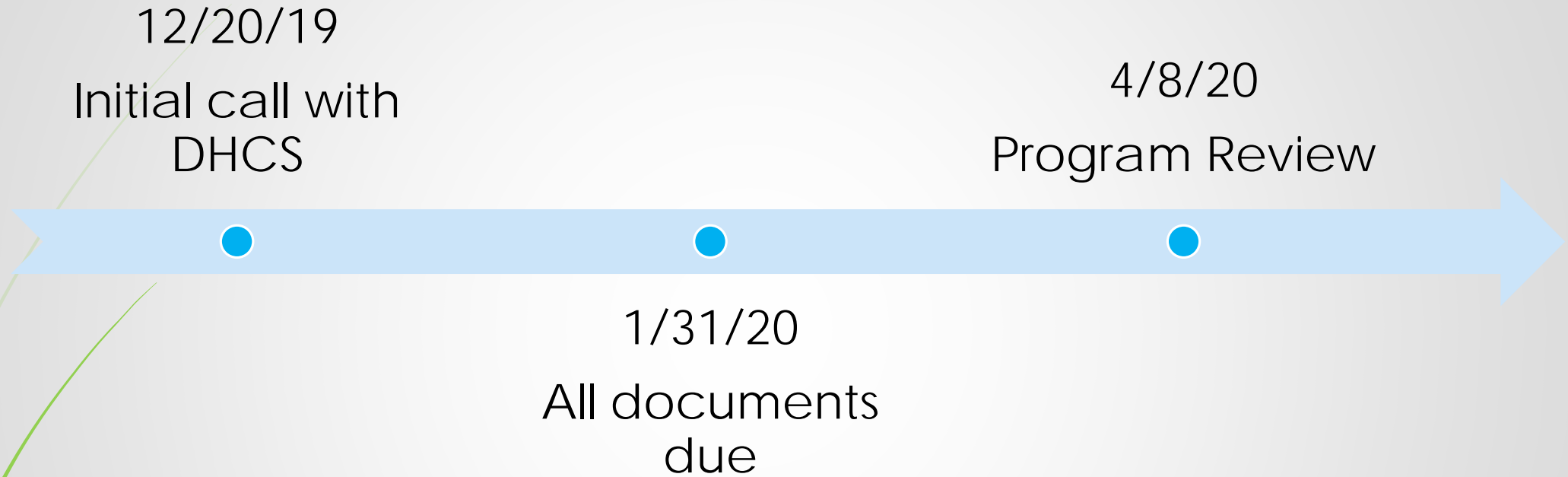
Preparation

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“I think my spell-checker is broken. It keeps changing l-u-c-k to p-r-e-p-a-r-a-t-i-o-n.”

Preparation for Review: **Nevada County**



➤ About 1 month to gather documents

Preparation for Review: Nevada County

- Strong documentation of activity throughout the year (i.e. meeting attendance, screenshots of plan posted on website, saving email distribution of plan, public comment period, public hearing notice, etc.)
- Gathered majority of documents based on other counties' required documents lists **well before** our initial call with DHCS (about 6 - 8 months prior to our initial call) – 138 docs submitted
- Developed new policies where needed (i.e. MHSA Coordinator role description, FSP policies)
- Let key contractors know the review was coming, and what to potentially expect
- Staff trainings on key areas such as grievance process and MHSA funding
- Updated our budget program names for our FY 19/20 Annual Plan Update and FY 18/19 RER based on feedback from other counties



Preparation for Review

Riverside County (Dates 6/11-13/2019)

- ▶ Reviewed materials provided by other counties (12/2018 – 3/2019)
- ▶ Created a MHPA Program Review binder using the State proposed MHPA Program Review Protocol document and added code sections for every regulation citation (1/19)
- ▶ Had my lead staff review their related component Review Protocol and begin to catalog related evidence as suggested in protocols (2/2019)
- ▶ Notified of Review (end of 3/2019); instructions on upload procedures provided 4/16/19; “suggested documents” due by 5/2/19



Riverside County Prep: Continued

- ▶ Coached program managers/supervisors on documents needs and coordinated receipt and organized them by upload categories provided
 - ▶ Fiscal Year 17/18 but also wanted some current CPPP
 - ▶ Little time to edit; some programs sent a lot. I reviewed for “problem” documents.
- ▶ FSP: Submit 7-10 clients per age group and they would then randomly choose 5 from each group to review
- ▶ Created document index/crosswalk that matched the Suggested Documents list and included rationale for submitted document
- ▶ Created MHSA Orientation and Program Review prep PowerPoint for all programs participating in the review and held training
- ▶ Created the Program Review schedule and coordinated with site program staff; Negotiated and finalized with Program Reviewers

DHCS: Riverside Suggested Documents

Section	#	Suggested Documents: <i>Some examples of Suggested Documents would include policy & procedures, job descriptions, training documents, all MHPA contracts for programs/services, and the following section suggestions:</i>
RER	1	MHPA Revenue and Expenditure Report
CPPP	1	P&P's: Community Program Planning Process (CPPP)
	2	List of Stakeholder Participants
	3	Evidence of Stakeholder Notification
	4	Evidence of Outreach to Clients/Families with SMI and SED re: CPPP
	5	Training Documents on CPPP (Staff, stakeholders, clients/families)
	6	Sign-In Sheets for Training
	7	Job Descriptions for staff responsible for CPPP
3-Year Program & Expenditure Plan & Annual Update (3YrP&P/AU)	1	Approved MHPA 3-Yr Program & Expenditure Plan and Annual Update (AU)
	2	Evidence of 30-day Public Review
	3	Evidence of Public Hearing
	4	Public Hearing Minutes
	5	Board of Supervisor Minutes-approval of 3-Yr Program & Expenditure Plan and AU
	6	Written Summary & analysis of Substantive Recommendations
Capacity Assessment (CA)	1	P&P's: MHPA Capacity Assessment
	2	County Assessment of Capacity to Implement MHPA programs
	3	List of Contracted Service Providers and Services Provided
PSC	1	P&P's: FSP Personal Service Coordinator/Case Manager
	2	Job Description of PSC/Case Manager
	3	P&P's Individual Services and Supports Plan (ISSP)
	4	Random Sample Individual Services and Supports Plan (ISSP) (small county=10 samples, med/lrg county=20 samples)
	5	FSP Client List with assigned PSC/Case Manager
	6	Training-Linguistic/Cultural Competence for PSC/Case Manager
FSP	1	P&P's FSP Programs
	2	FSP target #'s by age group
	3	List of CSS programs by name with target #'s by all age groups
PEER	1	P&P's: CSS Peer Support and Family Education Programs
	2	Peer Support and Family Education Program Description
	3	List of Peer designated Individuals/Staff

Riverside Document Crosswalk

Document Checklist Index and Crosswalk

May 2, 2019

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Section	#	Document
RER	1	<ul style="list-style-type: none">• ARER Fiscal Year 2017/18• MHSAs Fiscal Accountability Certificate• MHSAs Fiscal Meeting Agendas: Communication and operations meetings for MHSAs Fiscal, Admin, and Program units to share knowledge and establish continuity within reporting requirements
CPPP	1	<ul style="list-style-type: none">• Stakeholder Partnership Education Materials: Provides diagram and structure of the different avenues of stakeholder participation including the meetings schedules
	2	<ul style="list-style-type: none">• See CPPP 1• (Draft) Stakeholder Representation System: Partially implemented. MHSAs program leadership wanted greater standardization among stakeholder representation across MHSAs components. This draft outlines the basic structure for an interactive process that includes incentives and training

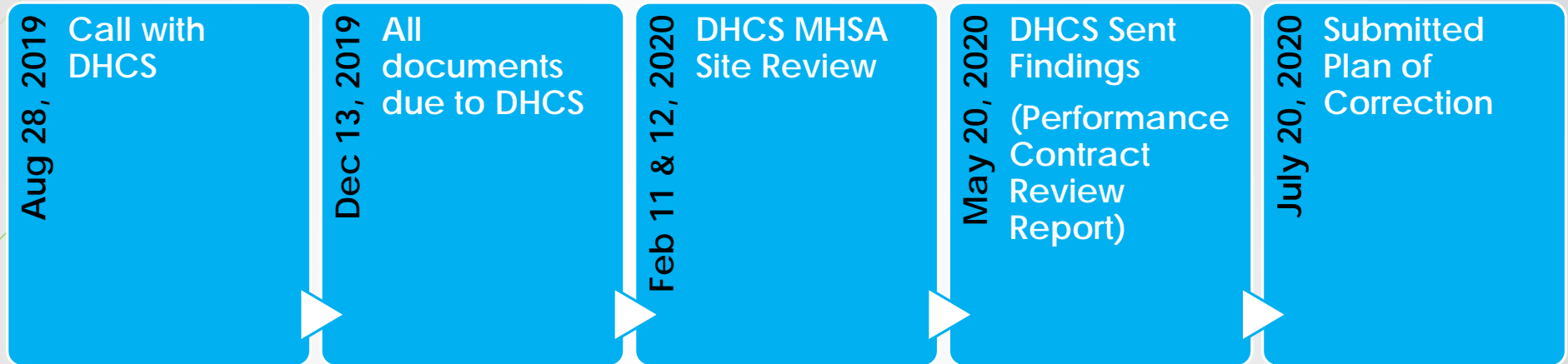
Riverside Program Review Schedule 1

Riverside County Behavioral Health & Recovery Services		
2085 Rustin Avenue, Riverside, CA 92507		
MHSA Program Site Visit Schedule		
June 11 (Tues) - 13 (Thurs), 2019		
Team Lead: Fiona		Team: LaNia*/Fiona/Tom
<i>Note: Tentative schedule and subject to change</i>		
Time	Agenda	Participants
Day 1 - June 11 (Tues) 2019		
8:30am-9:15am	Introductions - 2085 Rustin Avenue, Riverside, CA 92507	David Schoelen, MHSA Coordinator; Diana Brown, PEI Manager; Sheree Summers, WET Manager; DHCS Team
		David, Diana, Sheree
9:15am-10:30pm	Reporting / CPPP / CSS	Team (L*, F, T)
		Suzanna, Shannon, Ric
10:30am-10:45am	BREAK	
10:45pm-12:00pm	CSS / PEI	Team
		Shannon, Rick, Lorie, S
12:00pm-1:00pm	LUNCH	
1:00pm-2:30pm	INN / WET / CFTN	Team
		Beverly, Bill, David, Suz
2:30pm- 2:45pm	BREAK	
2:45pm- 3:30pm	Contracts	Team
		AMF, Victoria, David, D
3:30pm-4:00pm	Review Team Meeting	DHCS Team

Riverside Program Review Schedule 2

Day 2 - June 12 (Wed) 2019			
8:30am -10:45am	ISSP Review, <i>The Journey</i> - TAY FSP, 2085 Rustin Ave, Riverside	Team	TAY West, Adult West, ME
10:45a -11:00am	BREAK		
11:00am -11:10am	Travel Time - <i>Stepping Stones</i> , 1820 N. University Ave, Riverside		
11:10am -11:50am	INN: TAY Drop-In Center	Team	Scott, Paul Baum, PSS, C
11:50am - 12:00pm	Travel Time - <i>Address Needed</i>		
12:00pm - 12:30pm	Western Region Housing	Team	Marcus, Housing Support
12:30pm - 1:30pm	LUNCH		
1:30pm - 2:00pm	PEI: Triple P, <i>Wylie Center</i> , 4164 Brockton Ave, Riverside	Team	Diana, Mindy, Wylie Staff,
2:00pm - 2:15pm	BREAK		
2:15pm - 2:30pm	Travel Time - <i>2085 Rustin Avenue, Riverside</i>		
2:30pm-3:15pm	WEST Region Children's FSP: Multi-Dimensional Family Therapy	Team	Patty, Clinician, BHS II, Pa
3:15pm- 4:00pm	WEST Region Adult FSP	Team	Kristin, PSS, Clinician, Me
4:00pm-4:30pm	Review Team Meeting	DHCS Team	
Day 3 - June 13 (Thurs) 2019			
8:30am - 9:15 am	GSD: <i>Crisis Campus</i> 9980 County Farm Rd, Bldg. 2, Riverside	Team	Rod, Evette, Mobile Team P
9:15am - 9:45am	CSS: <i>Navigation Center</i> , 9990 County Farm Rd, Suite 5, Riverside - FSP Outreach	Team	Natalie, Veronica, PSS, Cons
9:45 am - 10:15 am	WET: Lehman Center Teaching Clinic	Team	Sheri, Field Instructor, Stud
10:15am - 10:30am	BREAK		
10:30am-10:45am	Travel Time - <i>Mental Health Administration Building</i> , 4095 County Circle Dr., Riverside		
10:45am-11:15am	Closing Discussion	Dr. Chang, BHD; David Schoelen, MHSA Coordinator; DHCS Team	Dr. Chang, Ms. Johnson, J
* = Performance Contract Review Report			












Sonoma County Timeline



Preparation for Review: Sonoma County

- ▶ Reviewed Suggested Documents and 2019 Protocol for Napa
 - ▶ Talked to 2 other counties, Napa and San Luis Obispo
 - ▶ Drafted 2 policies: Capacity Assessment and CPPP
- ▶ Collected and submitted over 300 documents

ATA (S:) > BH > QI > DHCS > DHCS REVIEWS > 2020-DHCS MHSA Review > Document Submission > 2_CPPP > _PDFs for upload

Name	Date modified	Type	Size
 Sonoma_CPPP_1_Draft Community Planning Pr...	12/12/2019 10:57 AM	Chrome HTML Docu...	121 KB
 Sonoma_CPPP_2_List of Stakeholder Participant...	12/12/2019 2:06 PM	Chrome HTML Docu...	87 KB
 Sonoma_CPPP_2a_MHSA 3 Year Committee Me...	12/12/2019 1:41 PM	Chrome HTML Docu...	136 KB
 Sonoma_CPPP_2b_MHSA 3 Year Committee Inv...	12/12/2019 1:42 PM	Chrome HTML Docu...	162 KB
 Sonoma_CPPP_2c_Description of the Stakehold...	12/12/2019 2:14 PM	Chrome HTML Docu...	151 KB
 Sonoma_CPPP_2d_Stakeholder Input on MHSA ...	12/12/2019 1:52 PM	Chrome HTML Docu...	142 KB
 Sonoma_CPPP_2e_List of Stakeholder Participan...	12/12/2019 2:05 PM	Chrome HTML Docu...	129 KB
 Sonoma_CPPP_3_Evidence of Stakeholder Notifi...	12/12/2019 3:24 PM	Chrome HTML Docu...	142 KB
 Sonoma_CPPP_3a_Distribution of the Draft Thre...	12/12/2019 11:22 AM	Chrome HTML Docu...	73 KB
 Sonoma_CPPP_3b_Email & Newsletter Notificati...	12/12/2019 11:28 AM	Chrome HTML Docu...	10,781 KB
 Sonoma_CPPP_3c_Distribution of the Draft Ann...	12/12/2019 11:31 AM	Chrome HTML Docu...	73 KB

Preparation for Review: Sonoma County



- ▶ Placed all docs in binders organized by sections on Suggested Documents
- ▶ Created PowerPoint for opening session
- ▶ Schedule for Review
- ▶ Gathered Files from Records Room and Contractors
 - ▶ Reviewed Files
- ▶ Held meetings with teams and contractors that were included in site visits on what to expect
 - ▶ Brief description of program
 - ▶ Discuss strengths and challenges of program with staff



DHCS SITE REVIEW



DHCS MHSA Site Review

Overview of Review:

- ▶ Large counties 2 ½ to 3 days
- ▶ Medium counties 2 – 3
- ▶ Small Counties 2 Days
 - ▶ **Day One:**
 - ▶ Opening Session
 - ▶ Opportunity for County PPT
 - ▶ Q & A of submitted documents
 - ▶ **Day Two and Three:**
 - ▶ Site Visits: FSPs, Access Team, Wellness/Peer Centers, Whole Person Care, Mobile Support Team
 - ▶ Findings

DHCS Review Nevada

- ▶ Due to COVID-19, our review was changed from a site review to a desk/phone review
 - ▶ 2 hour phone review solely based on our submitted documents
 - ▶ No site visits, chart audits
 - ▶ Discussion about successes and challenges in normal and COVID-19 times
- ▶ Budget Questions:
 - ▶ Budget Tables/RER/Plan Program Names not matching
 - ▶ Questions about discrepancies between plan budgets and RER
- ▶ FSP
 - ▶ Policies and Procedures from providers
 - ▶ Questions about 24/7 coverage

DHCS Review Nevada

- ▶ Questions about Plan/Progress Report Structure
 - ▶ Annual Plan Update and Annual Progress Report are separate documents
 - ▶ Liked the structure of our Annual Progress Report and client stories
- ▶ Discussion about Innovation Projects (more just interest in the programs, not necessarily any concerns)
- ▶ Genuine interest in our programs and how things work in our rural county; clear that the team had read our submitted documents in great detail
- ▶ Appreciated that we highlighted our rural nuances as strengths versus weaknesses

DHCS Review: Riverside County

- ▶ Total 2.5 days
- ▶ Reviewers provided site visit preferences: Housing, 2 PEI Programs, FSP
 - ▶ My assistant became central coordinator for all: reviewers, me, program supervisors
- ▶ Wanted limited travel: Kept programs to West Riverside within no more than 20 minutes travel between each
- ▶ “Stacked” MHSA Components when possible: TAY Center (Inn), included client, supervisor, staff, and PSS (CSS), 20/20 employee-intern (WET)
- ▶ 1st or last day wanted to meet Director
- ▶ 1st day was all administrative review – no site visits
 - ▶ PowerPoint orientation to Riverside
 - ▶ Day of: Requested evidence of contract monitoring
- ▶ Final day included verbal review of findings
- ▶ Site visits included conversations with staff and consumers (pre-identified)
- ▶ FSP review included chart review: Good to have program supervisors
 - ▶ Longer than expected. Required schedule modification.


DHCS Review

Sonoma County Feb 10-11

Areas of focus:

- ▶ Community Program Planning Process
 - ▶ Evidence of all meetings from FY16-17, 17-18
 - ▶ Demographic information about all participating stakeholders
 - ▶ Difficult because I was not the coordinator then, and didn't know all the answers
- ▶ Capacity Assessment:
 - ▶ the strengths of the county to meet the needs of racially and ethnically diverse populations is with prevention services and programs.
 - ▶ The limitation being population specific programs and services that are focused on treatment.
 - ▶ What are the percentages of diverse cultural, racial/ethnic and linguistic groups represented among direct service providers, as compared to the percentage of the total population needing services and the total population being served?
- ▶ PEI Contractors:
 - ▶ Asked for verbal descriptions of some programs
- ▶ Program Visits
 - ▶ Very interested in talking to staff





Findings and Suggested Improvements



Findings and Suggested Improvements Nevada County

- ▶ **Received Findings on 7/24/20** (audit date was 4/8/20)
- ▶ Plan of Correction is due **within 60 calendar days** of receipt of report
- ▶ Appeal regarding finding or suggested improvement is due **within 15 business days**



Findings and Suggested Improvements

Nevada County

Findings

1. Lacked documentation of performance outcomes in the approved FY 18/19 Plan
 - ▶ We have disputed this finding and are waiting to hear back from DHCS
 - ▶ We had submitted our FY 16/17 Annual Progress Report in the audit docs, and believe that there may have been misunderstanding from DHCS about which fiscal year outcomes are reported on by counties
2. Lacked description of Innovation projects in plan update
 - ▶ We had previously made reference to the approved plans in our annual plan updates. Moving forward, we will include the ENTIRE approved Innovation plan in all of our plan updates so long as the INN plan is active

Findings and Suggested Improvements

Nevada County

Suggested Improvements

1. Program names in Plan should exactly match the ARER
2. If program did not occur, report program on ARER with \$0 expenditures
 - ▶ We have already worked to align our ARER with our plan names, and will implement the \$0 expenditure feedback moving forward
3. Recommend updating P&P around Individual Treatment Plan to identify specific staff member(s) responsible for helping develop the treatment plan with the client and/or family member
 - ▶ We plan to update our P&P accordingly



Findings: **Riverside County**

- ▶ Received written findings: February 10, 2020 (Review June 2019)
- ▶ Matched the verbal finding from last day of review (no surprises)

- ▶ Themes
 - ▶ All reporting documents (3 Year Plan, AREA, Annual Update) need to match in program title and order
 - ▶ Training for stakeholders and staff
 - ▶ Better documentation of CPPP
 - ▶ Contract monitoring needs to be the same for CSS and PEI (really liked the PEI contract and fidelity monitoring)
 - ▶ Finite regulatory requirements: submission dates; spending percentages

- ▶ Had 60 days to submit Plan of Correction (submitted 4/10/2020)
- ▶ Accepted as written on 5/28/2020

Findings and Recommendations

Sonoma County

DHCS provided findings verbally at the closing session, and the official findings were the same!

Findings:

- ▶ Capacity Assessment for FY 17-20 Three Year Plan was insufficient
- ▶ Did not report the # of clients the county plans to serve in each targeted age group in each FSP in Plan and Update
- ▶ Lacked evidence of a validated method used to measure changes in attitudes, knowledge, and/or behavior related to mental illness of seeking mental health services for each PEI Stigma and Discrimination Reduction Program in the approved FY 17-20 Plan and FY 18-19 Update



Findings and Suggested Improvements

Sonoma County

Suggested Improvements

- ▶ Program names and service categories detailed in the approved Plan and Update match the program names and service categories in the ARER
- ▶ Update CPP procedure to include CPP training of County staff and stakeholders and compare stakeholder and County demographics to ensure desired participation of target populations and include in Plans & Updates
- ▶ Develop FSP specific policies and procedures
- ▶ IRP training for all behavioral health employees and service providers involved in MHSA funded programs and maintain documentation of training



Implementing Changes and Lessons Learned



Implementing Changes Nevada County

- ▶ Ensure that contractors have necessary policies and procedures and submit them when requested
- ▶ Have FSP providers document how they are meeting the 24/7 requirements
- ▶ Ensure alignment between APU budget tables and RER for program names



Lessons Learned Nevada County

- Be flexible 😊
- Continue strong documentation of CPPP process; organization and documentation is key!
- Gather all documents well ahead of time; otherwise you only have about 1 month to get everything together
- Develop strong understanding of existing P&Ps both within your organization and your key contracted providers
- Make sure you have your major providers (like FSP providers) on the call to speak to specific programmatic questions if you contract services out
- Brag about your programs! Reviewers are genuinely interested in how we are serving clients creatively in our communities



Implementing Changes Riverside County

- ▶ Plan of Correction necessitates a timeline for implementation
 - ▶ We had already started some changes based on verbal findings
- ▶ COVID has delayed implementation of corrections
 - ▶ But has opened up new ideas/opportunities to enhance future CPPP
- ▶ Service system not used to MHSA Coordinator directing these changes
 - ▶ “All the responsibility but none of the authority.”
 - ▶ I can only recommend
 - ▶ Fiscal/program understanding, integration, and agreement
 - ▶ Silos create experts but also barriers to integration
 - ▶ QI familiar with Medi-Cal regs, need me to orient to MHSA regs



Lessons Learned: Riverside County

- ▶ Stacking component site reviews: “At first the idea was overwhelming, but having all the pieces present at the same time gave us a great understanding of the program.”
- ▶ Important to orient reviewers to uniqueness of your County: size, pace of population growth, demographics, plan implementation barriers
- ▶ Partner with key program staff to manage related section of review: FSP supervisors took lead on managing the FSP review
- ▶ Have key staff available and orient them: Research, contracts development, component leadership, Cultural Competency, Lived Experience leadership, Housing Manager, site program supervisors
- ▶ Having a single point as a “coordinator” on day of site reviews ensured that all parties were informed of changes or problem solving
- ▶ Have restaurant list available for nearby lunch recommendation (keeping service/wait times in mind). They had 30 minutes for lunch.
- ▶ MHSA Coordinator be present at all site reviews
- ▶ Be prepared to modify schedule based on time delays



Implementing Changes and Lessons Learned **Sonoma County**

- ▶ Excellent overview of MHSA – Deeper understanding of how it all fits together
- ▶ Learned what documents to collect and store for evidence:
 - ▶ Saving all the evidence from FY 20-23 Three-Year Plan/CPPP in consolidated file
 - ▶ Adding demographic surveys to staff and contractor meetings/evaluations
- ▶ Ensuring Sonoma meets Requirements/Recommendations and Spirit of MHSA:
 - ▶ Additional training for FSP Staff and newer staff on DCR Forms and staying current on DCR form submission and Working on FSP Policy with program managers
 - ▶ Additional recruitment for MHSA Steering Committee to broaden diversity and include more members with lived experience
 - ▶ Started a CPP Subcommittee of Steering Committee to focus on getting more meaningful engagement of diverse stakeholders
 - ▶ Added annual MHSA and IRP training for staff and contractors



QUESTIONS

Contact info

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