

Psychotropic Medications Compliance Review

December 2008

Summary

- In the area of documentation of medical records, DHS was in full or part compliance with policy over three-quarters of the time. Mental health assessments were completed and contained in the case file for almost 80 percent of the children. However, case records only contained the more detailed daily medication logs 20 percent of the time.
- Children who meet the criteria that necessitate a medication review by a supervisor or registered nurse rarely receive such a review. Only 15.4 percent of children needing a review received one – a level not significantly different than zero.
- DHS communicated a child's health information to the foster care provider at placement roughly half of the time. Foster care providers communicated with caseworkers regarding new medications or changes in medications one-quarter of the time.
- Required notifications about a child's psychotropic medication treatment occurred less than one-third of the time. When the notifications did occur, 80 percent of the notifications included all or most of the required information.
- In most instances, DHS is further out of compliance for children age five or less or on three or more medication than for the rest of the group of children with psychotropic medications.

Process Description

The compliance review was conducted for 50 children in out-of-home foster care on July 31, 2008 who received at least one psychotropic medication prescription during the month of July 2008. The review was conducted by foster care program and field staff between 9/23/08 and 10/27/08. Paper case files were reviewed to determine the level of compliance with DHS policy (I.E.3.3.1) when children are being prescribed psychotropic medications. Reviewers were limited to what was documented in the case file, as no interviews were conducted as part of this review.

The sample method used for this review over-sampled the more vulnerable groups (younger children and children prescribed three or more psychotropic medications) and under-sampled the rest of the population (Table 1). The purpose was to assure an adequate level of representation in the more vulnerable sub-populations. In addition, the Foster Care Program was interested a sampling method that allowed for a more complete representation of the two small sub-populations. The sample results for each sub-population is included in Appendix A.

Table 1.**Psychotropic Medications Compliance Review Population and Sample Information**

Sub-populations	Total Population	Sub-Population %	Sample size	Group % of Sample	Weights
Children >3 Medications (Age >5 years)	128	8.8%	12	24.0%	0.36604896
Children Age <=5 years old	52	3.6%	12	24.0%	0.14870739
Children on <=2 Medications (Age >5 years)	1,277	87.6%	26	52.0%	1.68549707
Entire Population	1,457	100.0%	50	100.0%	

To correct for this sampling method, the survey results were adjusted to reflect the actual probability each case had of being selected in a random sample, using the Weights displayed in Table 1. Using the weighted results permit making generalizations to the general population from which the sample was drawn, which is all children in foster care receiving psychotropic medications in July 2008.

The resulting confidence interval for the total weighted population and each sub-population are displayed in Table 2.

Table 2.

**Sample Confidence Interval
(95% Confidence Level)**

Population	Confidence Interval
Entire Sample	+/-13.6% (n=50); +/-13.8% (n=49); +/-13.9% (n=48)

Case Review ResultsDocumentation

The sample results indicate the DHS is in full or partial compliance with maintaining updated medical records in the child's file 92% of the time (Table 3). An additional four percent of the cases reviewed were not applicable on this question. Four percent of children in the sample did not have his or her medical records updated in the past six months. Mental health assessments (Table 4) for over two-thirds of the reviewed cases were fully or partially in compliance with department policy, with another 4.1 percent not applicable. A copy of the mental health assessment was in the case files in 75.5 percent of the cases and not

applicable in an additional 4.1 percent of cases. Medication logs are maintained in the case file 25.5 percent of the time with an additional 14.9 percent of cases noted as not applicable.

Table 3.

Are there medical records in the child's file and have the medical records been updated within the last 6 months?

	Description	Weighted Frequency	Weighted Percent	Cumulative Percent	Confidence Interval Minimum of Range	Confidence Interval Maximum of Range
Valid	In Compliance	31	62.0%	62.0%	48.4%	75.6%
	Partially in Compliance	15	30.0%	92.0%	16.4%	43.6%
	Not in Compliance	2	4.0%	96.0%	0.0%	17.6%
	Not applicable	2	4.0%	100.0%	0.0%	17.6%
	Total	50	100.0%			

Table 4.

Has a Mental Health Assessment been completed?

	Description	Weighted Frequency	Weighted Percent	Cumulative Percent	Confidence Interval Minimum of Range	Confidence Interval Maximum of Range
Valid	In Compliance	34	69.4%	69.4%	55.8%	83.0%
	Partially in Compliance	4	8.2%	77.6%	0.0%	21.8%
	Not in Compliance	9	18.4%	95.9%	4.8%	32.0%
	Not applicable	2	4.1%	100.0%	0.0%	17.7%
	Total	49	100.0%			
Missing	Data	1				
Grand Total		50				

Table 5.

Is there a copy of a Mental Health Assessment in the case file?

	Description	Weighted Frequency	Weighted Percent	Cumulative Percent	Confidence Interval Minimum of Range	Confidence Interval Maximum of Range
Valid	In Compliance	34	69.4%	69.4%	55.8%	83.0%
	Partially in Compliance	3	6.1%	75.5%	0.0%	19.7%
	Not in Compliance	10	20.4%	95.9%	6.8%	34.0%
	Not applicable	2	4.1%	100.0%	0.0%	17.7%
	Total	49	100.0%			
Missing	Data	1				
Grand Total		50				

Table 6.

If the child is taking medication(s) does the case file contain monthly medication logs and is there evidence that they have been reviewed each month and are currently up to date?

	Description	Weighted Frequency	Weighted Percent	Cumulative Percent	Confidence Interval Minimum of Range	Confidence Interval Maximum of Range
Valid	In Compliance*	4	8.5%	8.5%	0.0%	22.3%
	Partially in Compliance*	8	17.0%	25.5%	3.2%	30.8%
	Not in Compliance	28	59.6%	85.1%	45.8%	73.4%
	Not applicable*	7	14.9%	100.0%	1.1%	28.7%
	Total	47	100.0%			
Missing	Data	2				
Grand Total		49				

*Rounding error resulting in total being off by 1 child

Medication Reviews

DHS has review criteria when children are prescribed psychotropic medications. The results indicate that 28.6 percent of the reviewed cases met the review criteria. Of those children whose circumstances indicated a review was needed, 15.4 percent of the children had a review (actual confidence interval on Table 7 is +/- 25.2 percent).

Table 7.

Does psychotropic medication regimen meet the policy "review criteria"? Review Criteria includes: child(ren) under age 6, more than three medications, more than one from the following classifications; Stimulants, Mood Stabilizers, Anti-depressants, Anti-anxiety, Anti-psychotics. Prescribed medication as PRN or use of PRN medication more than 2 times in a 7 day period.

	Description	Weighted Frequency	Weighted Percent	Cumulative Percent
Valid	Yes	14	28.6%	28.6%
	No	32	65.3%	93.9%
	Not applicable	3	6.1%	100.0%
	Total	49	100.0%	
Missing	Data	1		
Grand Total		50		

Table 8.

Did the caseworker review the child or young adult's psychotropic medication as required with the caseworker's supervisor and notify the Department's Personal Care RN Coordinator or designee when review criteria were met?

	Description	Weighted Frequency	Weighted Percent	Cumulative Percent	Confidence Interval Minimum of Range	Confidence Interval Maximum of Range
Valid	In Compliance	2	15.4%	15.4%	0.0%	40.6%
	Partially in Compliance	0	0.0%	15.4%	0.0%	25.2%
	Not in Compliance	11	84.6%	100.0%	59.4%	109.8%
	Total	13	100.0%			

Communication & Notification

When placing a child in foster care, information about the child's known health information was provided to the placement provide and was at least partially documented in the case file (including prescribed medications) 49.0% of the time. Another 4.1 percent of the reviewed cases were not applicable (Table 8). Foster providers are notifying caseworkers of new or amended psychotropic medication usage of foster children fully or partly 25 percent of the time.

Table 9.

Is there evidence that information of known health information of the child was provided to the placement provider at the time of placement, including information regarding any prescribed and administered psychotropic medication?

	Description	Weighted Frequency	Weighted Percent	Cumulative Percent	Confidence Interval Minimum of Range	Confidence Interval Maximum of Range
Valid	In Compliance	17	34.7%	34.7%	21.1%	48.3%
	Partially in Compliance	7	14.3%	49.0%	0.7%	27.9%
	Not in Compliance	23	46.9%	95.9%	33.3%	60.5%
	Not applicable	2	4.1%	100.0%	0.0%	17.7%
	Total	49	100.0%			
Missing	Data	1				
Grand Total		50				

Table 10.

If the child is taking Psychotropic Medication(s) did the provider provide written or verbal notification to the caseworker or caseworker's supervisor within one working day before administering a new or amended prescription for psychotropic medication to a child or young adult in substitute care?

	Description	Weighted Frequency	Weighted Percent	Cumulative Percent	Confidence Interval Minimum of Range	Confidence Interval Maximum of Range
Valid	In Compliance*	8	16.7%	16.7%	2.9%	30.5%
	Partially in Compliance*	4	8.3%	25.0%	0.0%	22.1%
	Not in Compliance*	26	54.2%	79.2%	40.4%	68.0%
	Not applicable	8	16.7%	95.8%	2.9%	30.5%
	Total	46	100.0%			
Missing	Data	2				
Grand Total		48				

*Rounding error resulting in total being off by 2 children

Policy compliance around notification to other parties occurred fully or partially in 30.6 percent of the cases. For those cases where notification occurred, 80 percent included all or part of the required information (actual confidence interval on Table 12 is +/-25.2 percent)

Table 11.

Did the caseworker provide written notification to the legal parties within a timely manner, not to exceed seven working days of the Department receiving notice of:

- 1- The child or young adult in substitute care beginning psychotropic medication therapy? Or
- 2- Any of the following changes occur in the treatment of a child or young adult in substitute care:

- The prescribed dosage of a psychotropic medication.
- Discontinuation of existing psychotropic medication therapy?

	Description	Weighted Frequency	Weighted Percent	Cumulative Percent
Valid	In Compliance	6	12.2%	12.2%
	Partially in Compliance	9	18.4%	30.6%
	Not in Compliance	25	51.0%	81.6%
	Not applicable	9	18.4%	100.0%
	Total	49	100.0%	
Missing	Data	1		
Grand Total		50		

Confidence Interval Minimum of Range	Confidence Interval Maximum of Range
0.0%	25.8%
4.8%	32.0%
37.4%	64.6%
4.8%	32.0%

Table 12.

Did the notification include the required information; diagnosed condition, name of the medication, dosage, reason why medication was prescribed, expected benefits, most common side effects, notice of the right to petition the court?

	Description	Weighted Frequency	Weighted Percent	Cumulative Percent
Valid	In Compliance	10	66.7%	66.7%
	Partially in Compliance	2	13.3%	80.0%
	Not in Compliance	3	20.0%	100.0%
	Not applicable	0	0.0%	100.0%
	Total	15	100.0%	

Confidence Interval Minimum of Range	Confidence Interval Maximum of Range
41.5%	91.9%
0.0%	38.5%
0.0%	45.2%
0.0%	25.2%

Appendix A – Result Tables of Sub-populations

The confidence interval for each sub-population is different, as the interval is based on the sample size of the sub-population compared to the actual sub-population size. Table A1 displays each sub-population's confidence interval, at 95 percent confidence level.

Table A1.

Sample Confidence Interval (95% Confidence Level)

Sub-Populations	Confidence Interval
Children >3 Medications (age >5)	+/-27.0%
Children Age <=5 years old	+/-25.0%
General (Children on <=2 Medications, Age >5 years)	+/-19.0%

Documentation Data Tables

Table A2.

Are there medical records in the child's file and have the medical records been updated within the last 6 months?

Sub-Population		In Compliance	Partially in Compliance	Not in Compliance	Not Applicable	Total
>=3 Meds	Count	7	4	1	0	12
	% within Sample Group	58.3%	33.3%	8.3%	.0%	100.0%
Age <=5	Count	7	4	1	0	12
	% within Sample Group	58.3%	33.3%	8.3%	.0%	100.0%
General	Count	16	8	1	1	26
	% within Sample Group	61.5%	30.8%	3.8%	3.8%	100.0%

Table A3.

Has a Mental Health Assessment been completed?

Sub-Population		In Compliance	Partially in Compliance	Not in Compliance	Not Applicable	Total
>=3 Meds	Count	8	2	2	0	12
	% within Sample Group	66.7%	16.7%	16.7%	.0%	100.0%
Age <=5	Count	5	4	3	0	12
	% within Sample Group	41.7%	33.3%	25.0%	.0%	100.0%
General	Count	18	1	5	1	25
	% within Sample Group	72.0%	4.0%	20.0%	4.0%	100.0%

Table A4.

Is there a copy of a Mental Health Assessment in the case file?

Sub-Population		In Compliance	Partially in Compliance	Not in Compliance	Not Applicable	Total
>=3 Meds	Count	8	2	2	0	12
	% within Sample Group	66.7%	16.7%	16.7%	.0%	100.0%
Age <=5	Count	6	1	5	0	12
	% within Sample Group	50.0%	8.3%	41.7%	.0%	100.0%
General	Count	18	1	5	1	25
	% within Sample Group	72.0%	4.0%	20.0%	4.0%	100.0%

Table A5.

If the child is taking medication(s) does the case file contain monthly medication logs and is there evidence that they have been reviewed each month and are currently up to date?

Sub-Population		In Compliance	Partially in Compliance	Not in Compliance	Not Applicable	Total
>=3 Meds	Count	2	2	8	0	12
	% within Sample Group	16.7%	16.7%	66.7%	.0%	100.0%
Age <=5	Count	2	2	6	2	12
	% within Sample Group	16.7%	16.7%	50.0%	16.7%	100.0%
General	Count	2	4	14	4	24
	% within Sample Group	8.3%	16.7%	58.3%	16.7%	100.0%

Medication Reviews Data Tables

Table A6.

Does psychotropic medication regimen meet the policy "review criteria"? Review Criteria includes: child(ren) under age 6, more than three medications, more than one from the following classifications; Stimulants, Mood Stabilizers, Anti-depressants, Anti-anxiety, Anti-psychotics. Prescribed medication as PRN or use of PRN medication more than 2 times in a 7 day period.

Sub-Population		Yes	No	Not Applicable	Total
>=3 Meds	Count	10	2	0	12
	% within Sample Group	83.3%	16.7%	.0%	100.0%
Age <=5	Count	6	5	1	12
	% within Sample Group	50.0%	41.7%	8.3%	100.0%
General	Count	5	18	2	25
	% within Sample Group	20.0%	72.0%	8.0%	100.0%

Table A7.

Did the caseworker review the child or young adult's psychotropic medication as required with the caseworker's supervisor and notify the Department's Personal Care RN Coordinator or designee when review criteria were met?

Sub-Population		In Compliance	Partially in Compliance	Not in Compliance	Not Applicable	Total
>=3 Meds	Count	1	0	9	0	10
	% within Sample Group	8.3%	.0%	75.0%	16.7%	100.0%
Age <=5	Count	1	0	5	0	6
	% within Sample Group	8.3%	.0%	41.7%	50.0%	100.0%
General	Count	1	0	4	0	5
	% within Sample Group	4.0%	4.0%	12.0%	80.0%	100.0%

Communication & Notification Data Tables

Table A8.

Is there evidence that information of known health information of the child was provided to the placement provider at the time of placement, including information regarding any prescribed and administered psychotropic medication?

Sub-Population		In Compliance	Partially in Compliance	Not in Compliance	Not Applicable	Total
>=3 Meds	Count	4	1	7	0	12
	% within Sample Group	33.3%	8.3%	58.3%	.0%	100.0%
Age <=5	Count	7	1	4	0	12
	% within Sample Group	58.3%	8.3%	33.3%	.0%	100.0%
General	Count	9	4	11	1	25
	% within Sample Group	36.0%	16.0%	44.0%	4.0%	100.0%

Table A9.

If the child is taking Psychotropic Medication(s) did the provider provide written or verbal notification to the caseworker or caseworker's supervisor within one working day before administering a new or amended prescription for psychotropic medication to a child or young adult in substitute care?

Sub-Population		In Compliance	Partially in Compliance	Not in Compliance	Not Applicable	Total
>=3 Meds	Count	1	3	7	0	11
	% within Sample Group	9.1%	27.3%	63.6%	.0%	100.0%
Age <=5	Count	2	1	6	3	12
	% within Sample Group	16.7%	8.3%	50.0%	25.0%	100.0%
General	Count	5	2	13	5	25
	% within Sample Group	20.0%	8.0%	52.0%	20.0%	100.0%

Table A10.

Did the caseworker provide written notification to the legal parties within a timely manner, not to exceed seven working days of the Department receiving notice of:

- 1- The child or young adult in substitute care beginning psychotropic medication therapy? Or
 2- Any of the following changes occur in the treatment of a child or young adult in substitute care:
- The prescribed dosage of a psychotropic medication.
 - Discontinuation of existing psychotropic medication therapy?

Sub-Population		In Compliance	Partially in Compliance	Not in Compliance	Not Applicable	Total
>=3 Meds	Count	1	1	10	0	12
	% within Sample Group	8.3%	8.3%	83.3%	.0%	100.0%
Age <=5	Count	1	0	7	4	12
	% within Sample Group	8.3%	.0%	58.3%	33.3%	100.0%
General	Count	3	5	12	5	25
	% within Sample Group	12.0%	20.0%	48.0%	20.0%	100.0%

Table A11.

Did the notification include the required information; diagnosed condition, name of the medication, dosage, reason why medication was prescribed, expected benefits, most common side effects, notice of the right to petition the court?

Sub-Population		In Compliance	Partially in Compliance	Not in Compliance	Not Applicable	Total
>=3 Meds	Count	0	0	2	0	2
	% within Sample Group	.0%	.0%	100.0%	.0%	100.0%
Age <=5	Count	1	0	0	0	1
	% within Sample Group	100.0%	.0%	.0%	.0%	100.0%
General	Count	6	1	1	0	8
	% within Sample Group	75.0%	12.5%	12.5%	.0%	100.0%