



## **SUBSTANCE USE DISORDER DRUG MEDI-CAL ORGANIZED DELIVERY SYSTEM PRACTICE GUIDELINES**

### **Continuum of Substance Use Disorder Treatment Services**

As part of the DMC-ODS, the benefit package for substance use treatment services include:

- Outpatient Services
- Intensive Outpatient Treatment
- Residential Treatment
  - ASAM Levels 3.1 & 3.5
- Withdrawal Management o ASAM Level 1 Outpatient (Ambulatory)
- Withdrawal Management o ASAM Level 3.2 Residential Withdrawal Management
- Opioid Treatment
- Medication Assisted Treatment
- Recovery Services
- Case Management
- Physician Consultation

Note that Medi-Cal Managed Care Health Plans are responsible for providing Early Intervention (ASAM Level 0.5) and services provided in general acute hospitals are the responsibility of Fee-for-Service Medi-Cal.

A description of substance use treatment services covered as part of San Joaquin's ODS is below:

### **Outpatient Services**

Counseling services are provided to members up to nine hours a week for adults and less than six hours a week for adolescents when determined to be medically necessary and in accordance with an individualized client plan. Services can be provided by a licensed professional or a certified counselor in any appropriate setting in the community.

Outpatient Services includes intake and assessment, treatment planning, individual counseling, group counseling, collateral services, member education, medication services, crisis intervention services, and discharge planning.

### **Intensive Outpatient Treatment**

Intensive Outpatient Treatment services are provided to members (a minimum of nine hours with a maximum of 19 hours a week for adults and a minimum of six hours with a maximum of 19 hours a week for adolescents) when determined to be medically necessary and in

1212 N. California Street | Stockton, California 95202 | T 209 468 8700 | F 209 468 2399

accordance with an individualized client plan. Services consist primarily of counseling and education about addiction-related problems. Services can be provided by a certified counselor in any appropriate setting in the community.

Intensive Outpatient Treatment Services include the same components as Outpatient Services. The increased number of hours of service are the main difference.

### **Residential Treatment**

Residential Treatment is a non-institutional, 24-hour non-medical, short-term residential program that provides rehabilitation services to members with a SUD diagnosis when determined as medically necessary and in accordance with an individualized treatment plan. Each member shall live on the premises and shall be supported in their efforts to restore, maintain and apply interpersonal and independent living skills and access community support systems. Providers and residents work collaboratively to define barriers, set priorities, establish goals, create treatment plans, and solve SUD related problems. Goals include sustaining abstinence, preparing for relapse triggers, improving personal health and social functioning, and engaging in continuing care.

Each authorization for residential services can be for a maximum of 90 days for adults and 30 days for youth. Only two authorizations for residential services are allowed in a one-year-period. It is possible to have one 30-day extension per year based on medical necessity. Pregnant women can receive residential services through the last day of the month that the 60th day after delivery occurs. Early Periodic Screening, Diagnosis, and Treatment (EPSDT) eligible members (under the age of 21) will not have the authorization limits described above as long as medical necessity establishes the need for ongoing residential services.

Residential Services includes intake and assessment, treatment planning, individual counseling, group counseling, family therapy, collateral services, member education, medication services, safeguarding medications (facilities will store all resident medication and facility staff members may assist with resident's self-administration of medication), crisis intervention services, transportation (provision of or arrangement for transportation to and from medically necessary treatment) and discharge planning.

### **Withdrawal Management**

Withdrawal Management services are provided when determined as medically necessary and in accordance with an individualized client plan. Each member shall reside at the facility if receiving a residential service and will be monitored during the detoxification process. Medically necessary habilitative and rehabilitative services are provided in accordance with an individualized client plan prescribed by a licensed physician, or licensed prescriber and approved and authorized according to the State of California requirements.

Withdrawal Management Services include intake and assessment, observation (to evaluate health status and response to any prescribed medication), medication services, and discharge planning.

### **Opioid Treatment**

Opioid (Narcotic) Treatment Program (OTP/NTP) services are provided in NTP licensed facilities. Medically necessary services are provided in accordance with an individualized client plan determined by a licensed physician or licensed prescriber, and approved and authorized according to the State of California requirements. OTPs/NTPs are required to offer and prescribe medications to members covered under the DMC-ODS formulary including methadone, buprenorphine, naloxone, and disulfiram.

A member must receive at minimum 50 minutes of counseling sessions with a therapist or counselor for up to 200 minutes per calendar month, although additional services may be provided based on medical necessity.

Opioid Treatment Services include the same components as Outpatient Treatment Services, with the inclusion of medical psychotherapy consisting of a face-to-face discussion conducted by a physician on a one-on-one basis with the member.

### **Medication Assisted Treatment**

Medication Assisted Treatment (MAT) Services are available outside of the OTP clinic and residential facilities. MAT is the use of prescription medications, in combination with counseling and behavioral therapies, to provide a whole-person approach to the treatment of SUD.

MAT services include the ordering, prescribing, administering, and monitoring of all medications for SUD. Opioid and alcohol dependence, in particular, have well established medication options. Physicians and other prescribers may offer medications to members covered under the DMC-ODS formulary including buprenorphine, naloxone, disulfiram, Vivitrol, Acamprostate, or any FDA approved medication for the treatment of SUD.

### **Recovery Services**

Recovery Services are important to the member's recovery and wellness. The treatment community becomes a therapeutic agent through which members are empowered and prepared to manage their health and health care. Therefore, treatment must emphasize the member's central role in managing their health, use effective self-management support strategies, and organize internal and community resources to provide ongoing self-management support to members.

Recovery Services include individual and group counseling; recovery monitoring/substance abuse assistance (recovery coaching, relapse prevention, and peer-to-peer services); and case management (linkages to educational, vocational, family supports, community-based supports, housing, transportation, and other services based on need).

### **Case Management**

Case Management Services assist a member to access needed medical, educational, social, prevocational, vocational, rehabilitative, or other community services. These services focus on coordination of SUD care, integration around primary care especially for members with a chronic SUD, and interaction with the criminal justice system, if needed.

Case Management Services include a comprehensive assessment and periodic reassessment of individual needs to determine the need for continuation of case management services; transitions to higher or lower levels of SUD care; development and periodic revision of a client plan that includes service activities; communication, coordination, referral and related activities; monitoring service delivery to ensure member access to service and the service delivery system; monitoring the member’s progress; and, member advocacy, linkages to physical and mental health care, transportation and retention in primary care services.

Case management shall be consistent with and shall not violate confidentiality of any member as set forth in Federal and California law.

**Physician Consultation**

Services include DMC physicians’ consulting with addiction medicine physicians, addiction psychiatrists or clinical pharmacists. Physician consultation services are not with DMC-ODS beneficiaries; rather, they are designed to assist DMC physicians with seeking expert advice on designing treatment plans for specific DMC-ODS beneficiaries, and to support DMC providers with complex cases which may address medication selection, dosing, side effect management, adherence, drug-drug interactions, or level of care considerations.

**Eligibility for San Joaquin County Substance Use Services**

**Establishing Eligibility for Services – Step 1**

The benefit package available within San Joaquin County’s Organized Delivery System is for San Joaquin residents who are considered part of the safety net population. Unless otherwise specified in the contract with San Joaquin County, reimbursement shall only be provided to individuals that meet the following criteria:

- Must be a resident of San Joaquin County; and
- Must be a San Joaquin County Medi-Cal Beneficiary;

For individuals eligible for San Joaquin Medi-Cal—but not yet enrolled—Providers shall work with the client to assist in obtaining benefits. Provider staff shall work with the client directly to ensure that the eligibility process commences within 14 calendar days from admission to services.

For individuals not eligible for either San Joaquin Medi-Cal or the San Joaquin County Low Income Uninsured threshold (e.g. individuals that exceed the income threshold for Medi-Cal or have commercial insurance), Providers may serve these individuals and seek sliding scale reimbursement directly from the client. The fee shall be based on the sliding fee scale approved by the County Alcohol and Drug Administrator. SJCBS is not responsible for reimbursement for the services for these clients.

SJCBS is also not responsible for reimbursement for services provided to out-of-county Medi-Cal beneficiaries (excluding courtesy dosing provided in accordance with CCR Title 9). By July 1, 2017, all beneficiaries should have been transitioned to care in their home county

or Providers should have negotiated agreements with the County of Responsibility. Prospective beneficiaries requesting services should be referred to their home county. Additional information can be found at the following links: DHCS Information Notice 17-036.

No one shall be denied service based solely on inability to pay and with the exception of beneficiaries with a Share of Cost, Medi-Cal should be considered payment in full.

**Medical Necessity Criteria for Coverage of Substance Use Treatment Services – Step 2**

In order to claim for services through contracts with the County of San Joaquin, individuals must meet the following criteria:

**Adults (Age 21+ years)**

- Must have at least one diagnosis from the Diagnostic and Statistical Manual of Mental Disorders V (DSM-V) for a Substance-Related and Addictive Disorder with the exception of Tobacco-Related Disorders and Non-Substance-Related Disorders;
- Must meet the American Society of Addiction Medicine (ASAM) definition of medical necessity for services based on the ASAM Criteria

**Youth (12-17 years) and Young Adults (18-20 years)**

- Must have at least one diagnosis from the Diagnostic and Statistical Manual of Mental Disorders V (DSM-V) for a Substance-Related and Addictive Disorder with the exception of Tobacco-Related Disorders and Non-Substance-Related Disorders; or be assessed to be at risk for developing a SUD (for youth under 21).
- If applicable, must meet the ASAM adolescent treatment criteria. Note that beneficiaries under the age of 21 are eligible to receive Medicaid services pursuant to the Early Periodic Screening, Diagnostic and Treatment (EPSDT) mandate.

**Determination of Eligibility will be performed as follows:**

- Providers shall verify the Medi-Cal eligibility of each beneficiary for each month of service prior to billing for Drug/Medi-Cal services to that beneficiary for that month. Medi-Cal eligibility verification should be performed prior to rendering service, in accordance with and as described in the DHCS’s DMC Provider Billing Manual. [State-County Intergovernmental Agreement, Exhibit A, Attachment I]. For additional information, please refer to the DHCS DMC Billing Manual.
- The initial medical necessity determination for the DMC-ODS benefit must be performed through a face-to-face review or telehealth by a Medical Director, licensed physician, or Licensed Practitioner of the Healing Arts (LPHA). After establishing a diagnosis, the ASAM Criteria will be applied to determine placement into the level of assessed services. Note: Staff performing assessments must complete the two e-learning ASAM modules: “ASAM Multidimensional Assessment” and “From Assessment to Service Planning and Level of Care”. For More information, contact County Contract Manager
- Unless otherwise specified, medical necessity qualification for ongoing receipt of DMC-ODS is determined at least every six months through the reauthorization process for individuals determined by the Medical Director, licensed physician or LPHA to be

clinically appropriate; except for NTP services which will require reauthorization annually.

## **Access to Substance Use Treatment Services**

### **How to Access Substance Use Treatment Services**

Beneficiaries may access services in a variety of ways including contacting a network provider, a community partner or contacting the Beneficiary Access Line. San Joaquin County's Beneficiary Access Line is a functional 24/7 County-operated Integrated Mental Health and Substance Use toll free Access Line (1-888-468-9730), is ADA-compliant (TTY) and accessible in prevalent non-English languages.

Beneficiaries are able to locate the Access Line telephone number from a variety of sources, including the County of San Joaquin website and printed outreach materials. Access is staffed with registered/certified counselors and well-trained clinical LPHA staff who conduct an initial screening for substance use disorders and provide direct referrals to DMC-ODS contracted or County-operated providers.

Beneficiaries referred to a Provider or who self-selects a provider without a referral from Access, are screened and if indicated, are assessed by an LPHA—or by a certified/registered alcohol and drug counselor and reviewed by an LPHA—using the ASAM Criteria. Beneficiaries are offered admission to the appropriate ASAM level of care. If after assessing the beneficiary, the provider determines them to be more appropriate for an ASAM level of care not offered by the provider, then the provider will immediately refer the beneficiary to another DMC-ODS service that provides the indicated ASAM level of care, and will document to the referral.

### **Timely Access Standards**

DMC-ODS providers, except for OTP Providers, shall aim to perform a face-to-face assessment with eligible beneficiaries within five (5) business days, but shall be no later than ten (10) business days from the first contact. OTP Providers shall perform a face-to-face assessment for eligible beneficiaries with three (3) business days from the first contact.

Providers shall have a documented system for monitoring and evaluating accessibility of care, including a system for addressing problems that develop regarding waiting times and appointments. Providers shall also have hours of operation during which services are provided to Medi-Cal beneficiaries that are no less than the hours of operation during which the provider offers services to non-Medi-Cal beneficiaries.

In the unlikely event that admission to treatment shall be greater than 10 business days, due to non-budget related capacity issues, DMC-ODS providers shall provide interim services and seek to link the beneficiary with another provider offering the appropriate ASAM Level of Care. In addition to providing interim services within the required timeframe, the program shall also provide the beneficiary with referrals to other programs that have immediate availability.



Timely access data—including date of initial contact, date of first offered appointment and date of scheduled assessment—shall be entered into San Joaquin County Timeliness Application within seven (7) days of the intake.

The Table below outlines applicable performance standards:

Mandatory Performance Measure	Target
<b>Routine:</b> Number of days from initial contact to first face-to-face appointment [should track first offered and first scheduled; should also track time from ASAM Assessment to Admission]	Within 3 business days for OTP; Within 10 business days for other ODS services
<b>Urgent*:</b> First face-to-face visit within 48 hours of the request for urgent conditions.	Within 48 hours
<b>Emergency*:</b> Access to emergency medical care for medical conditions	Immediate
<b>First Dose of NTP:</b> Timeliness of services to the first dose of NTP	Within 3 business days
<b>MAT Evaluation:</b> Number of days for face-to-face Medication Assisted Treatment appointment for beneficiaries with alcohol or opioid disorders	Within 10 business days from identification
<b>After Hours Care:</b> Access to afterhours care	100% Residential Providers
<b>Follow-Up:</b> Number of days to treatment services following an acute level of care (withdrawal management, residential or hospital)	Within 7 calendar days
<b>Transitions Between Levels of Care:</b> Transitions between levels of care for beneficiaries re-assessed as needing a different level of care	Within 10 days of the reassessment
<b>Residential Authorization: takes place after level of care has been established.</b>	Within 24 hours
<b>Satisfaction:</b> Percent of beneficiaries completing the Treatment Perceptions Survey reported being satisfied (3.5 out of 5.0) with the location and time of services	75%

**\*Urgent:** Urgent care means care necessary for a condition that is not life threatening but which requires treatment that cannot wait for a regularly scheduled clinical appointment because of the prospect of the condition worsening without timely medical or behavioral health intervention

**\*Emergency:** An emergency medical condition is present when you have symptoms that cause severe pain or a serious illness or an injury, which a prudent layperson (a careful or cautious nonmedical person) believes, could reasonably expect without medical care could:

- Put your health in serious danger, or
- If you are pregnant, put your health or the health of your unborn child in serious danger, • Cause serious harm to the way your body works, or
- Cause serious damage to any body organ or part.
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**Role of Provider in Beneficiary Protections**

**Beneficiary Informing Materials**

Contractor shall make available at initial contact, and shall notify beneficiaries of their right to request and obtain the all Beneficiary Informing Material at least once a year and thereafter upon request: DMC-ODS Beneficiary Booklet and Provider Directory. The County will produce required beneficiary informational materials in English and Spanish. Contractor shall request materials from the County, as needed.

**Grievance and Appeals**

Contractor shall post notices explaining grievance, appeal and expedited appeal processes in all program sites, as well as make available forms and self-addressed envelopes to file grievances, appeals and expedited appeals without having to make a verbal or written request to anyone. The County will produce required beneficiary informing materials in English and Spanish. Contractor shall request materials from the County, as needed. Refer to 42 CFR 438.10(g) (2) (xi) for additional information about the grievance and appeal system.

Contractor shall maintain, and provide to County upon request, the complaint procedure to be utilized in the event that there is a complaint regarding services provided under this Agreement. Contractor shall ensure that recipients of service under this Agreement have access to and are informed of Contractor’s complaint procedure.

**Notice of Adverse Beneficiary Determination (NOABD)**

A formal communication of any action and consistent with 42 CFR 438.404 and 438.10. Contractor shall have written procedures to ensure compliance with the following:

- Contractor shall request consent from beneficiaries for SJCBS to issue a NOABD to the address on record should covered services be reduced, denied, modified, delayed or terminated. Should a beneficiary refuse to consent, then the Contractor is responsible for issuing any applicable NOABD directly to the beneficiary.



- Contractor shall immediately notify the County in writing of any actions that may require a NOABD be issued, including, but not limited to:
  - not meeting timely access standards;
  - not meeting medical necessity for any substance use disorder treatment services; and
  - terminating or reducing authorized covered services.

## **Service Delivery Regulations and Requirements**

The Practice Guidelines represent a combination of local, State and Federal regulations, standards and guidelines, as well as best practices for effectively treating substance use disorders. Contracted and County-operated providers are expected to adhere to all applicable regulations, standards, guidelines, policies and practices.

### **Overview of Regulations**

#### **Site Certification(s)**

Providers in San Joaquin County’s DMC-ODS are required to obtain and maintain the following, as applicable:

- Drug Medi-Cal Certification
- AOD License (NTP, Residential)
- DHCS ASAM Designation (Residential)

#### **Drug/Medi-Cal: CCR Title 22, CCR Title 9 and DMC-ODS STCs**

Title 22 and Title 9 contain most of the regulatory requirements for delivering services within the substance use treatment system. As San Joaquin County opted in to the Drug/Medi-Cal Organized Delivery System (DMC-ODS) Waiver, providers are also held to the Standard Terms and Conditions (STCs). Where there is conflict between Title 22, Title 9 and the DMC-ODS STCs, the STCs override Title 22 and Title 9. However, Title 22 and Title 9 remain as the regulatory requirements in all other areas that are not in conflict with or are silent in the DMC-ODS STCs.

#### **Managed Care Regulations – 42 CFR Part 438**

As part of opting into the DMC-ODS, San Joaquin County became a managed care plan and subject to applicable Medi-Cal Managed Care Regulations.

### **State/County Contracts**

#### **DHCS/County DMC-ODS Intergovernmental Agreement**

The County receives funding from DHCS pursuant to an annual contracting arrangement whereby the County contractually obligate any of its sub-contractors to also comply with applicable requirements.

#### **Substance Abuse Prevention and Treatment Block Grant (SABG)**

The County receives funding from DHCS pursuant to an annual contracting arrangement whereby the County contractually obligate any of its sub-contractors to also comply with applicable requirements. The SABG contract includes the continuum of prevention, intervention, treatment and recovery support services. Refer to this link for SABG Contract for Substance Use Services <https://www.samhsa.gov/grants/block-grants/sabg>.

## **Required Standards and Guidelines**

### **Alcohol and Drug Program Certification Standards**

SJCBHS requires that all Contracted substance use treatment programs to be certified by the California Department of Health Care Services and comply with applicable Alcohol and Drug Program Certification Standards.

### **Drug/Medi-Cal Certification Standards**

Substance use treatment program participating in the Drug/Medi-Cal program are required to comply with the applicable Drug/Medi-Cal Certification Standards.

### **Minimum Quality Drug Treatment Standards for SABG**

All substance use treatment providers that have any SABG funding are required to comply with the Minimum Quality Treatment Standards.

### **Culturally and Linguistically Appropriate Services (CLAS) Standards**

The national Culturally and Linguistically Appropriate Services (CLAS) Standards which are intended to advance health equity, improve quality, and help eliminate health care disparities by establishing a blueprint for health and health care organizations. It is intended to inform, guide, and facilitate required and recommended practices related to culturally and linguistically appropriate health services (National Standards for Culturally and Linguistically Appropriate Services in Health Care Final report, OMH, 2001).

To ensure access to quality care by diverse populations, each service provider receiving funds from the State-County Contract shall adopt CLAS national standards (2016 version).

### **Perinatal Guidelines**

Perinatal programs shall comply with the Perinatal Services Network Guidelines FY 2018-19 until such time new Perinatal Services Network Guidelines are established and adopted.

### **Adolescent Guidelines**

Contractor shall follow the guidelines in The State of California Youth Treatment Guidelines in developing and implementing adolescent treatment programs until such a time a new Youth Treatment Guidelines are established and adopted. [State-County Contract, Exhibit A, Attachment I, Part 1V; MHSUS-ADP-02]

### **Sober Living Standards**

Sober Living Environments (SLEs) shall comply with all components under the San Joaquin County Health and Human Services Guidelines for Sober Living Environments until such a time a new Sober Living Environment Standards are established and adopted.

## **Residential Guidelines**

Residential programs shall comply with all requirements under DMC-ODS.

## **Primary Prevention – Strategic Prevention Framework**

The Prevention Provider will provide activities and initiatives that follow the guidelines of SABG Prevention Set-aside funds and the guidelines of the Strategic Prevention Framework.

San Joaquin County uses primary prevention funds for individual-level, community-level and environmental prevention strategies and evaluation measures to evaluate all programs. Environmental strategies incorporate prevention efforts aimed at changing or influencing community conditions, standards, institutions, structures, systems, and policies. San Joaquin County Prevention Program selects strategies that lead to long-term outcomes. Increasing fines for underage drinking, moving tobacco products behind the counter, not selling cold, single-serving containers of beer in convenience stores and increasing access to treatment services by providing Spanish-speaking counselors are all examples of environmental strategies.

The Prevention Provider will follow the Strategic Prevention Framework (SPF) with the following elements:

- Assessment: Collect data to define problems, resources, and readiness within a geographic area to address needs and gaps.
- Capacity: Mobilize and/or build capacity within a geographic area to address needs.
- Planning: Develop a comprehensive strategic approach that includes policies, programs, and practices creating a logical, data-driven plan to address problems identified in the assessment.
- Implementation: Implement evidence-based prevention strategies, programs, policies, and practices.
- Evaluation: Measure the impact of the SPF and the implementation of strategies, programs, policies and practices.

SPF also includes two guiding principles:

- Cultural competence: The ability to interact effectively with members of diverse population.
- Sustainability: The process of achieving and maintaining long-term results.

## **Evidence Based and Best Practices**

### **Evidence Based Practices (EBP)**

As a requirement of the San Joaquin County DMC-ODS, each provider must implement—and assess fidelity to—at least two of the following Evidenced Based Practices:

- Motivational Interviewing: A client-centered, empathic, but directive counseling strategy designed to explore and reduce a person's ambivalence toward treatment. This approach frequently includes other problem solving or solution-focused strategies that build on clients' past successes.
- Cognitive-Behavioral Therapy: Based on the theory that most emotional and behavioral reactions are learned and that new ways of reacting and behaving can be learned.
- Relapse Prevention: A behavioral self-control program that teaches individuals with substance addiction how to anticipate and cope with the potential for relapse. Relapse prevention can be used as a stand-alone substance use treatment program or as an aftercare program to sustain gains achieved during initial substance use treatment.
- Trauma-Informed Treatment: Services must take into account an understanding of trauma, and place priority on trauma survivors' safety, choice and control.
- Psycho-Education: Psycho-educational groups are designed to educate clients about substance abuse, and related behaviors and consequences. Psycho-educational groups provide information designed to have a direct application to clients' lives; to instill self-awareness, suggest options for growth and change, identify community resources that can assist clients in recovery, develop an understanding of the process of recovery, and prompt people using substances to take action on their own behalf.

*Tips for Ensuring Fidelity of EBPs*

*Does the program have an EBP treatment fidelity plan? The plan should include:*

- A method for ensuring that treatment “dose” (intensity, frequency, length of contact) is consistent among clients with similar diagnoses.
- A protocol for the delivery of EBP that outlines accurate and consistent delivery.
- A method for determining that the clinicians are adhering to the protocol.
- A method for identifying areas for course correction (drift) and provide an outline for implementation of course correction.
- A training schedule and description of the training for clinicians (through documentation). Required elements to ensure they have been satisfactorily trained to deliver the intervention are:
  - Standardization of training upon hire: ensuring all clinicians are trained in the same manner.
  - Skill acquisition: should include didactic sessions, modeling, use of video materials, training manuals, role plays.
  - Measurement of clinician skill: determining performance criteria that include a rating for a “demonstrated understanding of key concepts” and documentation of review.
  - Maintenance of skill over time: continued training and EBP documented with performance reviews.

*Are regularly and randomly performed, documented, assessments kept by the program and made available to auditors? The assessment should include:*

- A list of current scripted intervention protocols.
- A list of current treatment manuals that are utilized.
- A list of current staff training for each EBP implemented.
- A Performance review rating(s) for each clinician’s understanding of EBP (self-assessment tool).
- A Self-report anonymous questionnaire from client’s (a way to measure a client’s comprehension: understand and perform treatment related behavioral skills and cognitive strategies) also referred to as “Treatment Receipt.”
- Qualitative interviews with clinician and clients alike.
- Direct observation of a clinician from a performance reviewer.

### **American Society of Addiction Medicine Criteria (ASAM)**

To ensure that beneficiaries have access to the full continuum of care for substance use disorder treatment, the array of benefits offered through the DMC-ODS Waiver are modeled after the ASAM criteria, which is the most widely used and comprehensive set of guidelines for placement, continued stay and transfer/discharge of patients with addiction and co-occurring conditions.

### **DMC-ODS Provider Requirements:**

- ASAM Designation: DMC-ODS residential treatment providers must receive a DHCS issued ASAM designation prior to providing services to beneficiaries.
- ASAM Training: At minimum, providers and staff conducting assessments are required to complete the two e-Training modules entitled “ASAM Multidimensional Assessment” and “From Assessment to Service Planning and Level of Care”.
- ASAM Tool: All providers shall use the County-provided ASAM Assessment Tools for Adults and Adolescents, unless another tool has been approved by the County.
- ASAM Level of Care Determinations: The initial medical necessity determination, for an individual to receive a DMC-ODS benefit, shall be performed through a face-to face review or telehealth by a Medical Director or a LPHA. After establishing a diagnosis and documenting the basis for diagnosis, the ASAM Criteria shall be applied by the diagnosing individual to determine placement into the level of assessed services. If the facility does not provide the indicated level of care, then the DMC-ODS provider shall link the beneficiary to another agency that offers that level of care.
- ASAM Re-Assessments: Re-assessments are required to be completed at a minimum of every 30 days for Adolescent Residential, 45 days for Adult Residential, annually for NTP and every 90 days for other DMC-ODS services, unless there are significant changes warranting more frequent re-assessments (ex: achieving treatment plan goals, lack of progress on treatment plan goals, identification or intensification of new problems that cannot be addressed at current level of care, and at the request of the beneficiary).
- ASAM Data: All ASAM data shall be entered into San Joaquin electronic system within seven (7) days of the assessment.

**Performance Standards:**

- 100% of beneficiaries participated in an assessment using ASAM dimensions and are provided with a recommendation regarding ASAM level of care
- At least 70% of beneficiaries admitted to treatment do so at the ASAM level of care recommended by their ASAM assessment
- At least 80% of beneficiaries are re-assessed within 90 days of the initial assessment

**Medication-Assisted Treatment within All Levels of Care**

Research has shown that a combination of FDA-approved medications and behavioral counseling is more effective for treating substance use disorders than either intervention alone. As such, Medication Assisted Treatments (MAT) need to be part of a comprehensive approach to treating substance use disorders and beneficiaries with opioid or alcohol use disorders should be provided options for access MAT, as appropriate.

As noted by SAMHSA, “a common misconception associated with MAT is that it substitutes one drug for another. Instead, these medications relieve the withdrawal symptoms and psychological cravings that cause chemical imbalances in the body. MAT programs provide a safe and controlled level of medication.”

**FDA-Approved MATs for Opioid Use Disorders include\*:**

- Methadone – Methadone is a clinic-based opioid agonist that does not block other narcotics while preventing withdrawal while taking it; daily liquid dispensed only in specialty regulated clinics.
- Naltrexone – Naltrexone is an office-based non-addictive opioid antagonist that blocks the effects of other narcotics; daily pill or monthly injection.
- Buprenorphine – Buprenorphine is an office-based opioid agonist/ antagonist that blocks other narcotics while reducing withdrawal risk; daily dissolving tablet, cheek film, or 6month implant under the skin.

**FDA-Approved MATs for Alcohol Use Disorders include\*:**

- Disulfiram - Disulfiram is a medication that treats chronic alcoholism. It is most effective in people who have already gone through detoxification or are in the initial stage of abstinence. This drug is offered in a tablet form and is taken once a day.
- Acamprosate - Acamprosate is a medication for people in recovery who have already stopped drinking alcohol and want to avoid drinking. It works to prevent people from drinking alcohol, but it does not prevent withdrawal symptoms after people drink alcohol. It has not been shown to work in people who continue drinking alcohol, consume illicit drugs, and/or engage in prescription drug misuse and abuse. The use of Acamprosate typically begins on the fifth day of abstinence, reaching full effectiveness in five to eight days. It is offered in tablet form and taken three times a day, preferably at the same time every day.
- Naltrexone - When used as a treatment for alcohol dependency, naltrexone blocks the euphoric effects and feelings of intoxication. This allows people with alcohol addiction to reduce their drinking behaviors enough to remain motivated to stay in treatment, avoid relapses, and take medications.



### DMC-ODS Provider Requirements

- Providers shall have procedures for linkage/integration for beneficiaries requiring medication assisted treatment for substance use disorders.
- Provider staff will regularly communicate with physicians of beneficiaries who are prescribed these medications unless the beneficiary refuses to consent a 42 CFR, Part 2 compliant release of information for this purpose.
- Providers—including Sober Living Environments—may not discriminate based on a beneficiary’s use of prescribed Medication Assisted Treatment.

### Performance Standard:

- At least 80% of beneficiary records for individuals receiving Medication Assisted Treatment for substance use disorders will have 42 CFR compliant releases in place to coordinate care
- At least 80% of beneficiaries with a primary opioid or alcohol use disorder will be linked to an MAT assessment and/or MAT services

### Coordination of Care

A fundamental premise of the DMC-ODS is that beneficiaries receive whole person client centered care. To achieve this vision, each beneficiary in the DMC-ODS shall have an assigned Care Coordinator, which can be provided through a counselor. Coordination of Care responsibilities focus on:

- Ensuing successful transitions between ASAM levels of care, including linking a beneficiary to services if assessed at a level of care not offered by the provider
- Ensuing beneficiaries are linked to other services, including mental health, primary care and Medication Assisted Treatment
- Ensuring effective communication between treating providers and other systems of care, such as Probation or Social Services
- Providing navigation support for clients and family members
- Facilitating and tracking referrals between systems of care

### DMC-ODS Provider Requirements

- Provide all care coordination responsibilities noted above either directly, or if unable to provide directly, then engage a Recovery Coach/Care Coordinator to oversee all case management and care coordination responsibilities
  - Ensure 42 CFR Part 2 compliant releases are in place in order to coordinate care
  - Link clients with mental health, primary care and MAT, as indicated
  - Provide or arrange for transportation, as needed, to medically necessary services, such as treatment visits and appointments referenced in treatment plans
  - Appropriate Case managers/clinicians from both the discharging and admitting provider agencies shall be responsible to facilitate the transition between levels of

care, including assisting in scheduling an intake appointment, ensuring a minimal delay between discharge and admission at the next level of care, providing transportation as needed, and documenting all information in San Joaquin electronic system.

- Follow-up with beneficiaries within seven (7) days of discharge from DMC-ODS services to ensure successful linkage with the next level of care

**Performance Standard:**

- There is documentation of physical health and mental health screening in 100% of beneficiary records
- At least 80% of beneficiaries have 42 CFR compliant releases in place to coordinate care with physical health providers
- At least 70% of beneficiary records have documentation of coordination with physical health
- At least 80% of beneficiaries engaged for at least 30 days will have an assigned Primary Care Provider
- At least 80% of beneficiaries who screen positive for mental health disorders have 42 CFR compliant releases in place to coordinate care with mental health providers
- At least 70% of beneficiary records for individuals who screen positive for mental health disorders have documentation of coordination with mental health (e.g. referral for mental health assessment or consultation with existing providers).
- Transitions between levels of care shall occur within five (5) and no later than 10 business days from the time of re-assessment indicating the need for a different level of care.
- At least 80% of beneficiaries have a documented follow-up encounter within seven (7) days of discharge from DMC-ODS services

**Staffing Regulations and Requirements**

**Required Staff Trainings**

Providers are required to have all applicable staff adhere to the DMC-ODS STCs, 42 CFR Section 438, Title 22, Title 9, State/County contracts and local policies by participation in following trainings as outlined below:

<b>Training</b>	<b>Timeframe</b>	<b>Attendees</b>
<b>Required Training</b>		
Cultural Competency	Annually	All Providers
Oath of Confidentiality	Sign at Hire and Annually	All Providers
Non-Discrimination	At Hire and thereafter as needed	All Providers
Title 22, Drug/Medi-Ca;	Annually	DMC-ODS Providers

42 CFR Part 2, HIPAA, Law & Ethics, Information Privacy & Security	Annually	DMC-ODS Providers
ASAM E-Modules 1 and 2	Prior to Performing Assessments	DMC-ODS Providers
CPR and First Aid	As outlined in Regulation	DMC-ODS Providers
Five hours of CEU in Addiction Medicine	Annually	DMC-ODS LPHAs
PPSDS – Prevention Data	Prior to Use and thereafter as needed	All Prevention Providers
<b>Recommended Training</b>		
ASAM A, B, C Training	As needed	DMC-ODS Providers
Medication Assisted Treatment	Annually	All Providers

### DMC-ODS Provider Credentialing

In addition to responsibilities outlined in the County/Provider Contract Exhibit I and DHCS Information Notice 18-019, which is based on 42 CFR, Part 438.214 DMC-ODS Providers are responsible for performing and documenting the following to ensure that staff are appropriately licensed, registered, waived and/or certified as required by state and federal law.

### Required Duties and Documents for Licensed and Certified Providers:

- **License Verification**

Contractor shall ensure that all staff and subcontractors providing services will have all necessary and valid professional certification(s) or license(s) to practice the contracted services. This includes implementing procedures of professional license checks, credentialing and re-credentialing, monitoring limitations and expiration of licenses, and ensuring that all providers have a current National Provider Identifier (NPI) through the National Plan and Provider Enumeration System (NPPES). Contractor shall provide evidence of these completed verifications when requested by County, DHCS or the US Department of Health & Human Services.

- **Counselor Certification**

Effective April 1, 2005, any individual providing intake, assessment of need for services, treatment or recovery planning, individual or group counseling to participants, patients, or residents in a DHCS licensed or certified program are required to be certified. In accordance with HSC Section 11833(b)(1), any individual who provides counseling services in a licensed or certified AOD program, except for licensed professionals, must be registered or certified

with a DHCS approved certifying organization. Licensed professionals (LCSW, MFT, Psychologist or interns) are not required to be certified.

[Reference: Adoption of Chapter 8 (commencing with Section 13000), and Amendment of Sections 9846, 10125, and 10564, Division 4, Title 9, California Code of Regulations, Health and Safety Code 11833(b)(1), and MHSUDS Information Notice No. 16-058]

If a Provider's license, certification, or registration has lapsed, then they cannot provide any of the treatment services listed above until such a time as their license, certification, or registration becomes active again.

To verify Licensed and Associate level staff visit: <https://search.dca.ca.gov/> to verify Certified and Registered level staff visit:

CCAPP:<https://ccappcredentialing.org/index.php/verify-credential>

CADTP:<http://www.cadtp.org/counselors/search.php?term=AYALA&submit=Search>

- **Proof of Continuing Education**

As required by Licensing or Certifying Agency and Program

- **Excluded Provider Check**

Contractor shall certify, prior to the execution of the contract, that the Contractor does not employ staff or sub-contractors who are excluded from participation in federally funded health care programs. Providers shall conduct initial and monthly Exclusion & Suspension searches of the following databases and provide evidence of these completed searches when requested by County, CA Department of Health Care Services or the US Department of Health & Human Services.

- [www.oig.hhs.gov/exclusions](http://www.oig.hhs.gov/exclusions) - LEIE Federal Exclusions o [www.Medi-Cal.ca.gov](http://www.Medi-Cal.ca.gov) – Suspended & Ineligible Provider List

Contractor shall certify, prior to the execution of the contract that the Contractor does not employ staff or sub-contractors that are on the Social Security Administration's Death Master File. Contractor shall check the following database prior to employing staff or sub-contractors, and provide evidence of these completed searches when requested by County, CA Department of Health Care Services or the US Department of Health & Human Services.

- Social Security Death Master File

Contractor is required to notify County immediately if they become aware of any information that may indicate their (including employees and subcontractors) potential placement on an exclusions list.

## Eligible DMC-ODS Staff Categories and Definitions

**Licensed Practitioner of the Healing Arts (LPHA) Non-Physician:** Professional staff must be licensed, registered, certified, or recognized under California State scope of practice statutes. Professional staff shall provide services within their individual scope of practice and receive supervision required under their scope of practice laws. Non-Physician LPHAs include: Nurse Practitioners, Physician Assistants, Registered Nurses, Registered Pharmacists, Licensed Clinical Psychologist (LCP), Licensed Clinical Social Worker (LCSW), Licensed Professional Clinical Counselor (LPCC), and Licensed Marriage and Family Therapist (LMFT) and licensed-eligible practitioners working under the supervision of licensed clinicians.

**LPHA Physician:** Physicians are a sub-category of the LPHA definition and must be licensed, registered, certified, or recognized under California State scope of practice statutes. Physicians shall provide services within their individual scope of practice.

**Counselors:** “Certified AOD Counselor” means an individual certified by a certifying organization; as defined in Section 13005(a)(2) or 13005(a)(8) of Title 9 of the California Code of Regulations.

**Peers:** Peer-to-peer services are eligible for reimbursement under the DMC-ODS Pilot Program when provided as substance abuse assistance services, as a component of recovery services. The county must submit a training plan to DHCS for approval prior to providing covered peer support services. See Information Notice 17-008 for more information.

## CLINICAL DOCUMENTATION

### Clinical Documentation Guidelines

#### Overview

Below is an overview of clinical documentation requirements for substance use treatment services. Please refer directly to applicable regulations and STCs for additional detail. Note that if there is a conflict between Title 22 and DMC-ODS STCs, the DMC-ODS STCs prevail. If the DMCODS STCs are silent, then Title 22 prevails. Most documentation requirements outlined below (excluding NTP) are from the DHCS/County DMC-ODS Contract.

#### Beneficiary File Documentation Requirements

In addition to the requirements of 22 CCR § 51476(a), the provider shall:

Establish, maintain, and update as necessary, an individual beneficiary record for each beneficiary admitted to treatment and receiving services. Each beneficiary's individual beneficiary record shall include documentation of personal information.

Documentation of personal information shall include all of the following: Information specifying the beneficiary's identifier (i.e., name, number).; Date of beneficiary's birth, the beneficiary's sex, race and/or ethnic background, beneficiary's address and telephone number, beneficiary's next of kin or emergency contact.

Documentation of treatment episode information shall include documentation of all activities, services, sessions, and assessments, including but not limited to: Intake and admission data, treatment plans, progress notes, continuing services justifications, lab orders and results, referrals, counseling notes, discharge plan, discharge summary, authorizations and other relevant treatment services rendered to the beneficiary.

### Overview from Intake to Discharge

The following outlines requirements for OS, IOS, Recovery Services, Residential Treatment and Withdrawal Management. For NTP, refer to applicable Title 22 and Title 9 requirements.

Step	What to Document	Timeframe	Who Can Document
Referral and Admission	<ul style="list-style-type: none"> <li>• All referrals made by the provider</li> <li>• If appropriate, drug screening results</li> <li>• Date of first contact, date of first offered assessment and date of first assessment</li> <li>• Beneficiary Consent to Treatment</li> <li>• Share of cost, if applicable, notification of DMC funding as payment in full</li> <li>• Review and provision of Beneficiary Informing rights and materials</li> </ul>	As needed	LPHA; Counselor
Assessment/ Intake	<ul style="list-style-type: none"> <li>• Drug/Alcohol History</li> <li>• Medical History</li> <li>• Family History</li> <li>• Psychiatric/Psychological History</li> <li>• Social/recreational History</li> <li>• Financial Status/History</li> <li>• Educational History</li> <li>• Employment History</li> <li>• Criminal History, Legal Status</li> <li>• Previous SUD Treatment History</li> <li>• American Society of Addiction Medicine (ASAM) Criteria</li> <li>• Medical Director or LPHA review of personal, medical and SUD history if completed by a counselor</li> </ul>	OS, IOS, Recovery Services: Within 30 calendar days from the beneficiary's admission to treatment	LPHA; Counselor
		Residential: Within 10 calendar days from the beneficiary's admission to treatment	
		Withdrawal Management: Within 5 days from the beneficiary's admission to treatment	



Physical Exam	<ul style="list-style-type: none"> <li>• Copy of physical examination completed within prior 12 months in beneficiary record, OR</li> <li>• A physical exam is performed within 30 days of admission to treatment, OR</li> <li>• The beneficiary's initial and updated treatment plans include a goal to obtain a physical examination, until this goal has been met.</li> </ul>	Review within 30 calendar days from the beneficiary's admission to treatment	Physician; RNP; PA
Diagnosis	<ul style="list-style-type: none"> <li>• Basis of diagnosis must be based on DSM 5 criteria</li> <li>• Documented separately from the treatment plan</li> </ul>	Within 30 calendar days from the beneficiary's admission to treatment	Medical Director; LPHA
Medical Necessity	<ul style="list-style-type: none"> <li>• The medical director or LPHA evaluated the beneficiary's assessment and intake information.</li> <li>• If the beneficiary's assessment and intake information is completed by a counselor, the medical director or LPHA shall also document they met with the counselor through a face to-face or telehealth review to establish a beneficiary meets medical necessity criteria.</li> <li>• Substance Use Disorder Diagnosis based on the DSM</li> <li>• Identification of level of care based on ASAM</li> </ul>	Within 30 calendar days from the beneficiary's admission to treatment	Medical Director; LPHA

Treatment Planning	<ul style="list-style-type: none"> <li>• Statement of problems</li> <li>• Goals [If applicable, also include goal for obtaining a physical exam and goal of obtaining treatment for an identified significant medical illness]</li> <li>• Action steps</li> <li>• Target dates</li> </ul>	OS, IOS, Recovery Services: Within 30 calendar days from the beneficiary's admission to services	LPHA; Counselor  *Beneficiary signs within same timeframes
		Residential: Within 10 calendar days from the beneficiary's admission to treatment	

	<ul style="list-style-type: none"> <li>• Type &amp; frequency of counseling/services</li> <li>• Diagnosis</li> <li>• Assignment of primary therapist or counselor</li> <li>• Client, Counselor, &amp; LPHA signatures obtained</li> <li>• Physical exam: Goal if not had within 12-months prior to admission or if within 12-months and indicates a significant illness, a goal that the beneficiary obtains appropriate treatment</li> </ul>	<p><b>Withdrawal Management:</b> Within 5 days from the beneficiary's admission to treatment</p>	<p>*If counselor completes, LPHA signs within admission timeframes [and within 15 days from counselor for OS, IOS, NTP, RSS]</p>
<p>Treatment Plan Reviews and Updates</p>	<ul style="list-style-type: none"> <li>• Treatment plan reviews with the beneficiary shall occur every 30 calendar days (14 calendar days for Withdrawal Management) and shall be documented in San Joaquin ELETRONIC SYSTEM.</li> <li>• LPHA/counselor shall complete, type or legibly print name, sign and date the update treatment plan no later than 90 days after signing the initial treatment plan and no later than every 90 calendar days thereafter, or when there is a change in treatment modality or significant event, whichever comes first.</li> <li>• The beneficiary shall review, approve, type or legibly print their name and, sign and date the updated treatment plan, indicating whether the beneficiary participated in preparation of the plan, within 30 calendar days of signature by the LPHA or counselor.</li> <li>• If the beneficiary refuses to sign the initial or updated treatment, plan, the provider shall document the reason for refusal and the provider's strategy to engage the beneficiary to participate in treatment.</li> <li>• If a counselor completes the updated treatment plan, the medical director or LPHA shall review each updated treatment plan to determine whether continuing services are a medically necessary and appropriate for the beneficiary.</li> <li>• If the medical director or LPHA determines the services in the updated treatment plan are medically necessary, they shall type or legibly print their name and, sign and date the updated treatment plan, within 15 calendar days of signature by the counselor.</li> </ul>	<p>No sooner than five (5) months and no later than six (6) months</p>	<p>Medical Director; LPHA</p>
<p>Continuing Services</p>	<p>Review of the following:</p> <ul style="list-style-type: none"> <li>• Beneficiary's personal, medical, substance use history</li> <li>• Most recent physical exam</li> </ul>	<p>Progress notes &amp; treatment plan goals</p> <ul style="list-style-type: none"> <li>• <u>LPHA's/counselor's</u> recommendation</li> <li>• Beneficiary's prognosis</li> </ul>	

<p>Discharge Plan</p> <p><i>[Unless Provider Loses Contact]</i></p>	<ul style="list-style-type: none"> <li>List of relapse triggers</li> <li>Plan for avoiding relapse when faced with triggers</li> <li>Support plan, with People, Organizations</li> <li>A copy must be provided to beneficiary</li> <li>Must be documented</li> </ul>	<p>Within 30 days of last face-to-face service</p> <p>During last face-to-face, LPHA/counselor and beneficiary sign and date plan</p>	<p>LPHA; Counselor</p>
<p>Discharge Summary</p>	<p>Duration of the treatment episode</p> <ul style="list-style-type: none"> <li>Reason for discharge: Narrative summary of the treatment episode</li> <li>Prognosis</li> </ul>	<p>Within 30 days of last face-to-face</p>	<p>LPHA; Counselor</p>

**Sign-In Sheets**

Establish and maintain a sign-in sheet for every group counseling session, which shall include all of the following:

- The typed or legibly printed name and signature of the LPHA(s) and/or counselor(s) conducting the counseling session. By signing the sign-in sheet, the LPHA(s) and/or counselor(s) attest that the sign-in sheet is accurate and complete.
- The date of the counseling session.
- The topic of the counseling session.
- The start and end time of the counseling session.
- A typed or legibly printed list of the participants' names and the signature of each participant that attended the counseling session. The participants shall sign the sign-in sheet at the start of or during the counseling session

**Progress Notes**

<b>Modality</b>	<b>What to Document</b>
<p>Outpatient Services, Naltrexone, Recovery Services</p>	<p>The LPHA or counselor who provided the service shall record a progress note for each beneficiary who participated in the service. The LPHA or counselor shall type or legibly print their name, and sign and date the note within seven days of the session.</p> <p>Individual narrative summaries documented by the LPHA or counselor shall include all of the following:</p> <ul style="list-style-type: none"> <li>The topic of the session or purpose of the service.</li> <li>A description of the beneficiary's progress on the treatment plan problems, goals, action steps, objectives, and/or referrals.</li> </ul>

	<ul style="list-style-type: none"> <li>Information on the beneficiary's attendance, including the date, start and end times of each individual and group counseling session or treatment service.</li> <li>Identify if services were provided in-person, by telephone, or by telehealth.</li> <li>If services were provided in the community, identify the location and how the provider ensured confidentiality.</li> </ul>
<p>Intensive Outpatient and Residential Treatment</p>	<p>The LPHA or counselor shall record at a minimum one progress note, per calendar week, for each beneficiary participating in structured activities including counseling sessions or other treatment services. The LPHA or counselor shall type or legibly print their name, and sign and date progress notes within the following calendar week.</p> <p>Progress notes are individual narrative summaries and shall include all of the following:</p> <ul style="list-style-type: none"> <li>A description of the beneficiary's progress on the treatment plan, problems, goals, action steps, objectives, and/or referrals.</li> <li>A record of the beneficiary's attendance at each counseling session including the date, start and end times and topic of the counseling session.</li> <li>Identify if services were provided in-person, by telephone, or by telehealth.</li> <li>If services were provided in the community, identify the location and how the provider ensured confidentiality.</li> </ul>
<p>Case Management</p>	<p>The LPHA or counselor who provided the treatment service shall record a progress note. The LPHA or counselor shall type or legibly print their name, and sign and date the progress note within seven calendar days of the case management service.</p> <p>Progress notes shall include all of the following:</p> <ul style="list-style-type: none"> <li>Beneficiary's name.</li> <li>The purpose of the service.</li> <li>A description of how the service relates to the beneficiary's treatment plan problems, goals, action steps, objectives, and/or referrals.</li> <li>Date, start and end times of each service.</li> <li>Identify if services were provided in-person, by telephone, or by telehealth.</li> <li>If services were provided in the community, identify the location and how the provider ensured confidentiality.</li> </ul>
<p>Physician Consultation, Additional MAT and Withdrawal Management</p>	<p>The medical director or LPHA working within their scope of practice who provided the treatment service shall record a progress note and keep in the beneficiary's file. The medical director or LPHA shall type or legibly print their name, and sign and date the progress note within seven calendar days of the service.</p> <p>Progress notes shall include all of the following:</p> <ul style="list-style-type: none"> <li>Beneficiary's name.</li> </ul>
	<ul style="list-style-type: none"> <li>The purpose of the service.</li> </ul>

- |  |   |
|--|---|
|  | <ul style="list-style-type: none"> <li>• Date, start and end times of each service.</li> <li>• Identify if services were provided face-to-face, by telephone or by telehealth.</li> </ul> |
|--|---|

### Reimbursement for Documentation Time

If DMC-ODS providers plan to claim for documentation time, they must submit in writing to the Contract Manager the agency’s documentation standards and a plan for how they will internally monitor compliance with documentation time standards, and participate in at least one in person training with the electronic system administrator during office hours.

Following written approval by SJCBS, DMC-ODS providers may submit claims for documentation time for claiming General Outpatient, Intensive Outpatient, Recovery Services and Case Management services as follows:

- The Medical Director, LPHA or counselor shall record their completion of progress notes, treatment plans, continuing services justification and discharge documentation that includes at a minimum the following:
  - Name of beneficiary
  - Date original treatment service was provided
  - Date documentation of progress note, treatment plan, continuing services justification or discharge documentation was completed, which includes start and end time.
- The Medical Director, LPHA or counselor shall type or legibly print their name, and sign and date the record within seven (7) calendar days of the service requiring documentation.

Note that initially, SJCBS is limiting the time that can be claimed as follows:

- Group counseling progress notes – Up to 10 minutes per client
- Individual counseling and case management progress notes – Up to 15 minutes per session, though not to exceed the time of the service [For example, if the case management session was 10 minutes, the time to document the progress note shall not exceed 10 minutes]
- Documentation preparation of treatment plans, discharge documentations and continuing services justifications [Note: this is for any documentation time outside of the face-to-face service with the client] – SJCBS-approved agency-specific standards

\*Reminder: Documentation time claimed must reflect the actual time—up to the approved maximums. Documentation time shall not be rounded.

### Additional Documentation Reminders:

- Assessments shall be face-to-face and performed by qualified staffing. If the face-to-face assessment is provided by a certified counselor, the “face-to-face” interaction must take place, at minimum, between the certified counselor who has completed the assessment for the beneficiary and the Medical Director, licensed physician, or LPHA. This interaction also must be documented appropriately in the medical record to establish the determination of medical necessity for the beneficiary.
- Perform monthly verification of San Joaquin Medi-Cal eligibility prior to rendering services
- Reference all types of services that are being prescribed, including case management and collateral, if appropriate
- LPHA shall document the face-to-face review with the counselor validating/verifying medical necessity
- Document evidence of reviewing and offering beneficiary informing materials
- Enter ASAM data for all assessments and re-assessments into the ASAM section in San Joaquin ELETRONIC SYSTEM within seven (7) days of the assessment or re-assessment
- Enter into San Joaquin ELETRONIC SYSTEM: Timely Access data, including requests for urgent appointments; preferred language and language in which services are provided to the beneficiary; Evidence-based practice(s) used; No show data; documentation of follow-up post discharge from treatment; and documentation of transitions between levels of care.

### Personnel File Documentation Requirements

#### Required Staff Documents

All providers are to maintain the below requirements for each staff member whose salaries, wages, and benefits are reimbursable in whole or in part under this Agreement. All supporting documents shall be kept in personnel files. A formal evaluation shall be completed annually, or as requested by the County, through a Provider Self-Audit and on-site visit. [Reference: California Department of Health Care Services, Alcohol and/or Other Drug Program Certification.

Standards (Section 13000 Personnel Practices), Drug/Medi-Cal Certification Standards, and State/County Intergovernmental Agreement, Exhibit A, Attachment I.]

#### Provider Staff

- Job Description: Contractor shall document staff job descriptions, including but not limited to the minimum qualifications for employment (e.g. education, training, work-experience), duties and responsibilities performed, salary schedule and salary adjustments, title and classification, and lines of supervision.
- Application for Employment and/or Resume
- Signed Employment Confirmation Statement/Duty Statement
- Employee Performance Evaluations



- Other Personnel Actions: Including but not limited to; commendations, discipline, status change, employment incidents and/or injuries
- Health Records: As required by the Provider, AOD Certification or Title 9
- Current registration, certification, inter status, or licensure
- Proof of Continuing Education required by licensing or certifying agency and program
- Code of Conduct: provider's Code of Conduct and for registered, certified and licensed staff, a copy of the certifying/licensing body's code of conduct. The written provider code of conduct for employees and volunteers/interns shall be established which addresses at least the following:
  - a. Use of drugs and/or alcohol;
  - Prohibition of social/business relationship with beneficiary's or their family members for personal gain;
  - Prohibition of sexual contact with beneficiary's;
  - d. Conflict of interest;
  - e. Providing services beyond scope;
  - f. Discrimination against beneficiary's or staff;
  - Verbally, physically, or sexually harassing, threatening, or abusing beneficiary's, family members or other staff;
  - Protection beneficiary confidentiality;
  - The elements found in the code of conduct(s) for the certifying organization(s) the program's counselors are certified under; and
  - Cooperate with complaint investigations.
- New Staff/Provider Orientation: Contractor shall document staff member's participation in applicable New Staff/Provider Orientation.
- Staff/Role Changes: Contractor shall document in the personnel file of any staff role changes
  - Training Documentation

Contractors are required to have all applicable staff adhere to DHCS STCs by participation in following trainings as outlined below:

### **LPHA – Additional Requirements**

Medical Director: Written roles and responsibilities and a code of conduct for the medical director shall be clearly documented, signed and dated by a provider representative and the physician.

LPHA CEU Requirements: All LPHAs shall have at least 5 CEUs annually in Addiction Medicine.

### **Provider Volunteers**

If a provider utilizes the services of volunteers and or interns, procedures shall be implemented which address: a. Recruitment; b. Screening; Selection; c. Training and orientation; d. Duties and assignments; e. Scope of practice; f. Supervision; g. Evaluation; and h. Protection of beneficiary confidentiality.

## **ADMINISTRATIVE GUIDELINES**

### **Contracts**

#### **Contract Selection**

San Joaquin County BHS establishes standards for contract selection and retention, outlines processes for contract denial and appeals, and identifies applicable provider performance requirements for primary prevention, intervention and treatment services. All standards and procedures apply equally to all providers regardless of public, private, for-profit or non-profit status, and without regard to whether a provider treats persons who require high risk or specialized services.

In general, SJCBS selects providers for programs and services through a competitive solicitation process that allows for the selection to be made on an objective and fair basis. Although the term of the award may vary depending on funding source requirements and other factors, the typical contract award term is three years, with the potential to extend to up to five years, depending on contract performance and availability of funding. Despite the term of the award, annual renewals are contingent on successful contract performance, continued need for the service(s), availability of funding and other factors that the County may deem appropriate.

#### **Additional Required Documents for Licensed and Certified Providers Only:**

##### **License Verification**

Contractor shall ensure that all staff and subcontractors providing services will have all necessary and valid professional certification(s) or license(s) to practice the contracted services. This includes implementing procedures of professional license checks, credentialing and re-credentialing, monitoring limitations and expiration of licenses, and ensuring that all providers have a current National Provider Identifier (NPI) through the National Plan and Provider Enumeration System (NPPES). Contractor shall provide evidence of these completed verifications when requested by County, DHCS or the US Department of Health & Human Services.

##### **Counselor Certification**

Effective April 1, 2005, any individual providing intake, assessment of need for services, treatment or recovery planning, individual or group counseling to participants, patients, or residents in a DHCS licensed or certified program are required to be certified. In accordance with HSC Section 11833(b)(1), any individual who provides counseling services in a licensed or certified AOD program, except for licensed professionals, must be registered or certified with a DHCS approved certifying organization. Licensed professionals (LCSW, MFT, Psychologist or interns) are not required to be certified.

If a Provider's license, certification, or registration has lapsed, then they cannot provide any of the treatment services listed above until such a time as their license, certification, or registration becomes active again.

To verify Licensed and Associate level staff visit: <https://search.dca.ca.gov/> to verify Certified and Registered level staff visit:

CCAPP: <https://ccappcredentialing.org/index.php/verify-credential>

### **Unusual Occurrence and Incident Reporting**

Contractor shall report unusual occurrences to the County of San Joaquin Substance Use Services’ Program Manager or designee. An unusual occurrence is any event which jeopardizes the health and/or safety of clients, staff and/or members of the community, including but not limited to physical injury and death.

Unusual occurrences are to be reported to the County within five (5) calendar days of the event or as soon as possible after becoming aware of the unusual event. Reports are to include the following elements:

- Complete written description of event including outcome;
- Written report of Contractor’s investigation and conclusions;
- List of persons directly involved and/or with direct knowledge of the event.

The County and DHCS retain the right to independently investigate unusual occurrences and Contractor will cooperate in the conduct of such independent investigations.

Residential substance use treatment facilities licensed by DHCS shall also comply with reporting unusual incidents as outlined in Title 9 CCR, Chapter 5, Subchapter 3, and Article 1. Contractor shall notify the County Alcohol and Drug Administrator concurrently, which is a telephonic report within one (1) working day of the event, followed by a copy of the written report submitted to DHCS within seven (7) days of the event.

### **Privacy and Security Breach Reporting**

Contractor shall, immediately upon discovery of a breach of privacy and/or security of PII and/or PHI by Contractor, notify County of such breach by telephone and email or facsimile to the following contact: SJCBS Privacy Officer – Ph: (209) 468-8859, e-mail: [cpo@sjcbhs.org](mailto:cpo@sjcbhs.org) or Fax: (209) 468-8485. Contractor further agrees that it shall notify County of any such breaches prior to the time the County is required to notify the State pursuant to the State Contract.

In the event the State Contract requires the County to pay any costs associated with a breach of privacy and/or security of PII and/or PHI, including but not limited to the costs of notification, Contractor shall pay on County’s behalf any and all such costs arising out of a breach of privacy and/or security of PII and/or PHI by Contractor.

### **Reporting of Potential Fraud, Waste or Abuse**

If any provider suspects an overpayment or potential fraud, waste or abuse, promptly report it. You can contact the following:

- San Joaquin County Compliance Hotline (Anonymous): 1 (866) 927-6752
- E-mail at [cpo@sjcbhs.org](mailto:cpo@sjcbhs.org)
- DHCS Medi-Cal Fraud Hotline: 1-800-822-6222 or
- E-mail: [fraud@dhcs.ca.us](mailto:fraud@dhcs.ca.us) or
- Mail: Medi-Cal Fraud Complaint – Intake Unit, Audits and Investigations
  - PO Box 997413, MS 2500 Sacramento, CA 95899-7413

In addition, notify the County Alcohol & Drug Administrator to ensure that the DMC-ODS promptly reports and documents any overpayments.

DHCS, CMS, or the HHS Inspector General determines that there is a reasonable possibility of fraud or similar risk, the Department, CMS, or the HHS Inspector General may inspect, evaluate, and audit the subcontractor at any time.

### **Contract Monitoring**

Below is an overview of the scope of Contract Monitoring. Refer to SJCBS related policies for a detailed description of monthly, annual and ongoing monitoring of County-operated and contracted provider substance use services.

### **Monthly Monitoring – Beneficiary File Reviews**

To ensure the provision of high quality care, compliance with applicable regulations, and submission of accurate claims to DHCS, SJCBS Quality Assessment and Performance Improvement Program (QAPI) performs annual documentation review at all contracted and County-operated treatment facilities. QAPI staff review files for new beneficiaries accessing services, beneficiaries due for a treatment plan update, and beneficiaries discharged from services. The list also includes at least one additional randomly selected beneficiary in order to review progress notes.

Based on the review, SJCBS Quality Management staff will: 1) Issue a report to the provider summarizing the findings, including whether a Plan of Correction is required; 2) Issue a report to the SJCBS Contract Manager identifying whether any claims shall be excluded from submission to DHCS; and 3) Offer technical assistance to providers to improve documentation, as applicable.

### **Ongoing Monitoring – Utilization, Quality and Compliance**

In order to monitor over or underutilization of services, timely access to care, timely identification of quality of care issues, network adequacy and other pertinent information, SJCBS also staff performs the following:

- On a quarterly basis, reviews of units of service for each modality in order to track utilization and move funding/capacity between programs as needed
- On a quarterly basis, reviews UR Report to adjust claims, as applicable, and identify trends and needs for training and technical assistance

- On a quarterly basis, reviews data included in the SJCBS DMC-ODS Quality Improvement Plan in order to identify utilization, capacity, timely access, beneficiary outcomes and areas needing improvement

### **Site Inspection**

The State, through any authorized representatives, has the right at all reasonable times to inspect or otherwise evaluate the work performed or being performed hereunder including subcontract supported activities and the premises in which it is being performed. If any inspection or evaluation is made of the premises of the Contractor or Subcontractor, the Contractor shall provide and shall require Subcontractors to provide all reasonable facilities and assistance for the safety and convenience of the authorized representatives in the performance of their duties. All inspections and evaluations shall be performed in such a manner as will not unduly delay the work.

### **Fiscal Monitoring – Annual Cost Report**

Contractors shall provide County with an annual Cost Report no later than sixty (60) days after the termination of this agreement. In addition to the annual Cost Report, Contractor shall furnish County, within one hundred and eighty (180) days of close of contractor fiscal year, a certified copy of an Audit Report from an independent CPA firm. This Audit Report shall cover Contractor's fiscal year which most nearly coincides with County's fiscal year.

### **Annual Program and Fiscal Monitoring**

Formal fiscal and program monitoring shall take place annually, or more often as needed by the County. The County will issue a written report, which will be forwarded to DHCS within two weeks of issuance. Should any Corrective Actions be required, then Contractor shall submit a written response within the timeframe outlined in the report, and such response shall be part of the official written report provided for in this section.

Annual onsite Program monitoring reviews will include, but are not limited to, the following:

#### **Prevention Providers**

- Certification of Completion of Staff Required Trainings
- Compliance with all required Policies and Procedures
- Adherence to Strategic Prevention Framework
- Objective Obtainment
- Expenditure of SAPT Block Grant Prevention Set-Aside Funding
- PPSDS Quality and Compliance
- Implementation of and Compliance with CLAS Standards

## **DMC-ODS and SABG Providers**

- Certification of Completion of Staff Required Trainings
- Compliance with all required Policies and Procedures
- Adherence to applicable DMC-ODS STCs/IA, Title 22, Title 9, 42 CFR Part 438 and other regulations
- Objective Obtainment
- Expenditure of SABG, DMC-ODS and other Funding
- CalOMS Quality and Compliance
- Implementation of and Compliance with CLAS Standards
- Review of Personnel and Beneficiary Files
- Follow-up from County and DHCS-issued Corrective Action Plans and Grievances and Appeals
- Site Tour for review of cleanliness, Basic or Limited accessibility, and posting of required materials.
- Review of data related to quality, timeliness, access and outcomes, including Treatment Perception Survey data

## **Corrective Action Plan (CAP)**

Corrective Action Plan means the written plan of action document which the Contractor or its subcontracted service provider develops and submits to the County to address or correct a deficiency or process that is non-compliant with laws, regulations or standards.

Where a monitoring report contains findings of non-compliance, a deadline for the agency to submit their correction action plan is provided on the report, typically 30 days from the date of the report. If there are no findings, the monitoring report represents closure of the monitoring cycle.

Additionally, Contractor shall notify the County Alcohol and Drug Administrator within two business days of receipt of any DHCS report identifying non-compliance services or processes requiring a Corrective Action Plan (CAP). Contractor shall submit the CAP to DHCS with the designated timeframe specified by DHCS and shall concurrently send a copy to the County Alcohol and Drug Administrator.

## **Deficiencies vs. Disallowances**

Deficiencies are cited when an agency is non-compliant to federal, State, and County regulations, standards, provisions, and practices.

Disallowances are a type of deficiency that may result in taking back funds for a particular service/activity. This occurs when there is insufficient evidence or documentation that a service/activity took place or met the requirement.

## **Participation in External Reviews**



## **Treatment Perception Survey**

DMC-ODS Providers are required to participate in the annual administration of the Treatment Perception Survey. The target population is every adult (18+) who physically presents and receives face-to-face services at outpatient, residential, NTP, WM/detox providers within the survey period. Surveys are anonymous and direct service staff must not be present when the client completes the survey. Based on the results, all facilities must select and implement at least one Performance Improvement Project annually.

## **External Quality Review**

As required by Title 42, Code of Federal Regulations, Part 438 the Department of Health Care Services contracts with an External Quality Review Organization (EQRO). The EQRO conducts reviews of Drug Medi-Cal Organized Delivery System (DMC-ODS) Plans to analyze and evaluate information related to quality, timeliness, and access to DMC-ODS Services provided by California's opt-in counties and/or their subcontractors to Medi-Cal beneficiaries.

EQRO reviews consist of site visits, consumer (beneficiary) and family member focus groups, DMC-ODS and provider staff focus groups, data analysis and reporting, information system reviews, and the evaluation of DMC-ODS Performance Improvement Projects (PIPs).

Providers are expected to provide requested data and participate in various sessions, as applicable.

## **Finance Management**

### **Financial Records**

The County and Contractors shall maintain books, records, files, documents and evidence directly pertinent to work under this Agreement in sufficient detail to make possible an evaluation of services provided and compliance with DHCS regulations, as applicable, and in accordance with accepted professional practice and accounting procedures for a minimum of ten (10) years after the termination of the Agreement.

Financial records shall be kept so that they clearly reflect the source of funding for each type of service for which reimbursement is claimed. These documents include, but are not limited to, all ledgers, books, vouchers, time sheets, payrolls, appointment schedules, client data cards, and schedules for allocating costs. Fiscal records shall contain sufficient data to enable auditors to perform a complete audit and shall be maintained in conformance with the procedures and accounting principles set forth in the State Department of Health Care Services' Cost Reporting/Data Collection Systems.

### **Client Fees**

The County and its Contractors shall charge participant fees. No one shall be denied services based solely on ability or inability to pay.



The County and its Contractor shall perform eligibility and financial determinations in accordance with a fee schedule approved by the Chief of Alcohol and Drug Programs for this purpose. Individual income, expenses, and number of dependents shall be considered in formulating the fee schedule and in its utilization.

### **Additional SAPT Block Grant (SABG) Funding Requirements**

Prior to expending SABG funding, every reasonable effort should be made to, including the establishment of systems for eligibility determination, billing, and collection: (1) Collect reimbursement of the costs of providing such services to persons who are entitled to insurance benefits under the Social Security Act, including programs under Title XVIII and Title XIX, any State compensation program, any other public assistance program for medical expenses, any grant program, any private health insurance, or any other benefit program; and (2) Secure from patient or clients payments for services in accordance with their ability to pay.

In accordance with Title 45 Code of Federal Regulations, Part 96, Section 96.137, SAPT Block Grant funding is the “payment of last resort” for services for Pregnant and Parenting Women, Tuberculosis, and HIV. [Reference 45CFR, 96.137]