

**SANTA CRUZ COUNTY
Behavioral Health Services**

POLICY AND PROCEDURE MANUAL

Subject: SUD Contract Provider Monitoring

Policy Number: 2662

Date Effective: 10/11/2017

Pages: 4

Replaces: 6/15/2017

Responsible for Updating:
Chief of SUDS

Approval: 
Behavioral Health Director

10-13-17
Date

POLICY:

Santa Cruz County Substance Use Disorder Services (SUDS) shall monitor contract service providers at least annually (see policy **2661: SUD Program: Contract Services**) in accordance with requirements as stated in California Code of Regulations, Title 9, Articles 2 & 3, CCR Title 22, Federal Substance Abuse Prevention and Treatment (SAPT) Block Grant, and in the State County Contract.

PURPOSE:

To describe the procedures by which the County SUDS Program monitors contracted services.

PROCEDURES:

1. Notifications

a. Contact Contract Providers

- i) Contract providers to be monitored are contacted by County SUDS UR staff to arrange dates for the monitoring.
- ii) Contract providers may be selected annually based upon the date of their last monitoring episode but no later than a year.
- iii) Under direction of the SUDS Chief, specific providers may be selected for targeted monitoring based on suspicion or evidence of fiscal, clinical or administrative problems.

b. Written Notice

- i) County SUDS UR follows up the initial contact by sending written notice to the contract provider, outlining the procedures that will be followed.
- ii) A copy of the monitoring instruments that will be used is included with the notice.

2. Pre-monitoring Activities

Prior to the monitoring visit, SUDS UR staff shall review the following:

- a. Last monitoring report.
- b. Action plans.
- c. Most recent contract performance report.
- d. Information regarding any other issues or concerns from County SUDS staff that need to be reviewed.

3. Areas for Review

a. County Contract

County SUDS staff will review Provider's contract to determine which service modalities will be reviewed. The modalities may include:

- Prevention
- Outpatient
- Residential
- Withdrawal Management (detoxification)
- Methadone Maintenance
- Perinatal Services.

b. The County SUD Monitoring Instrument should be used as a guide to determine specific areas of the Provider's general management to be reviewed. These areas may include:

- Administrative Management
- Program Management
- Personnel Management
- Volunteer Program Management
- Fiscal Management
- County Contract Management
- Facility Management, including disabled accessibility requirements
- CalOMS Prevention and/or CalOMS Treatment data submission compliance.
- DATAR
- As applicable, State Perinatal Services Network Guidelines and/or State Youth Treatment Guidelines.

4. Monitoring Visit

a. Entrance Conference:

- The Entrance Conference is conducted by SUDS UR staff with the Contract Provider's Executive Director, other designated managers and/or staff, Contractor's Board members and their SUDC liaison.
- The monitoring process is reviewed with an opportunity for questions from the provider, and a tentative Exit Interview date is set.
- During the interview, County SUDS UR staff request required documentation (or its location) such as Policy and Procedure manuals, Board Meeting Minutes and membership, current organization chart and list of staff, and personnel files.

b. Monitoring Activities:

- Using the appropriate portions of the Santa Cruz County monitoring instrument, County SUDS UR staff completes each of the monitoring activities.
- May include making requests to clarify or provide additional information from the Executive Director or designee.
- All activities are recorded for entry on the monitoring instrument and report.
- Should any documentation or information be missing, a date is set with the Executive Director to submit it to County SUDS UR.

5. Prepare Report

- a. The initial draft of the Monitoring Report is prepared by County SUDS UR staff and submitted to the SUDS Chief for review.
- b. Final Report produced.
- c. A copy is sent to the Contract Provider within two (2) weeks of review completion.
- d. A request for the Contract Provider's written response to any deficiencies within 30 days of the Exit Conference is included.
- e. A copy is sent to DHCS' Performance Management Branch within two (2) weeks of review completion either by secure, encrypted email to:
SUDCountyReports@dhcs.ca.gov or by mail to:

Substance Use Disorder – Prevention, Treatment and Recovery Services
Division, Performance Management Branch
Department of Health Care Services
PO Box 997413, MS-2621
Sacramento, CA 95899-7413

6. Conduct Exit Conference

- a. County SUDS UR staff summarize the general findings and review deficiencies while providing opportunities for clarification or additional information/documentation from Contract Provider.
- b. In the event that the additional information/documentation significantly changes the findings or conclusions, a revised report will be prepared and sent to the Contract Provider once reviewed by the SUDS Chief.
- c. In addition, technical assistance is provided and/or offered, as appropriate.
- d. If Contract Provider does not agree with final report, County SUDS UR staff will outline the appeal process.

7. Corrective Action Response

- a. The written response from Contract Provider will include corrective actions for each finding.
- b. Depending upon the severity of the deficiencies, County SUDS UR staff may monitor the actions through targeted reviews.

PRIOR VERSIONS: 7/20/2015, 7/25/2005, 6/15/2017

REFERENCES: CCR, Title 9, Articles 2 & 3; CCR Title 22; SAPT Block Grant and State & County Contract

FORMS: SUD Monitoring Tools