



**SANTA CRUZ COUNTY  
Behavioral Health Division**



**POLICY AND PROCEDURE MANUAL**

**Subject: DMC-ODS Contract Provider Monitoring**

**Policy Number: 2662**

**Date Effective: 3/1/2024**

**Pages: 4**

**Replaces: 10/11/2017**

**Responsible for Updating:  
Quality Improvement**

**Approval:** DocuSigned by:  
*Karen Kern*  
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Deputy Director on behalf of the  
Behavioral Health Director

3/25/2024

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Date

**BACKGROUND:**

The Behavioral Health Division’s DMC-ODS is responsible to monitor subcontractor’s performance on an ongoing basis via onsite annual review consistent with the DMC-ODS Intergovernmental Agreement with the Department of Health Care Services (DHCS).

**SCOPE:**

This policy applies to Santa Cruz County DMC-ODS and contracted DMC-ODS services providers.

**PURPOSE:**

To describe the procedures by which the DMC-ODS monitors contracted services.

**POLICY:**

Santa Cruz County Drug Medi-Cal Organized Delivery System (DMC-ODS) shall monitor contract service providers at least annually in accordance with requirements as stated in California Code of Regulations, Title 9, Articles 2 & 3, CCR Title 22, Federal Substance Use Prevention and Treatment (SUBG) Block Grant, and in the County- State Intergovernmental Agreement (IA) Exhibit A, Attachment 1.

**PROCEDURES:**

**1. Notifications**

a. Contact Contract Providers

- i) Contract providers to be monitored are contacted by DMC-ODS UR staff to arrange dates for the monitoring.

- ii) Contract providers will be monitored annually based upon the date of their last monitoring episode but no later than a year past their last monitoring episode.
- iii) Under direction of the DMC-ODS Director and or the Quality Improvement Director, specific providers may be selected for targeted monitoring based on suspicion or evidence of fiscal, clinical or administrative problems.

b. Written Notice

- i) County DMC-ODS 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, DMC-ODS UR staff shall review the following:

- a. Last monitoring report.
- b. Corrective action plans from prior reviews.
- c. Most recent contract performance report.
- d. Information regarding any other issues or concerns from DMC-ODS staff that need to be reviewed.

## 3. Areas for Review

a. County Contract

County DMC-ODS staff will review Provider's contract to determine which service modalities will be reviewed. Along with SUBG (Substance Use Block Grant) specific reviews if indicated, the modalities may include:

- i. Prevention
- ii. Outpatient / Intensive Outpatient
- iii. Residential
- iv. Withdrawal Management (detoxification)
- v. Medication Assisted Treatment (MAT)
- vi. Narcotic / Opiate Treatment (NTP / OTP) / Methadone and/or LAAM
- vii. Perinatal Services
- viii. Adolescent Services

b. The County **DMC-ODS 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:

- i. Administrative Management
- ii. Program Management
- iii. Personnel Management
- iv. Volunteer Program Management
- v. Data Management / Submission, including CalOMS
- vi. Drug and Treatment Access Reports (DATAR)
- vii. Facility Management, including disabled accessibility requirements and health and safety physical site review

- viii. Quality Assurance and Client Rights
- ix. Clinical Functions of the Program
- x. Contract Management
- xi. Program Specific Sections as mentioned above such as Perinatal Services and Adolescent Services

#### **4. Monitoring Visit**

- a. Entrance Conference:
  - i. The Entrance Conference is conducted by DMC-ODS UR staff with Contract Provider leadership.
  - ii. The monitoring process is reviewed with an opportunity for questions from the provider, and a time period for the review and tentative Exit Interview date is set.
  - iii. County DMC-ODS UR staff request required documentation such as Policy and Procedure manuals, current organization chart and list of staff, and personnel files.
- b. Monitoring Activities:
  - i. Using the appropriate portions of the Santa Cruz County monitoring instrument, County DMC-ODS UR staff complete each of the monitoring activities.
  - ii. Monitoring may include requests for clarification or additional information from contract partner leadership.
  - iii. All activities and findings are recorded on the monitoring instrument and report.

#### **5. Monitoring Report**

- a. The Monitoring Report is prepared by County DMC-ODS UR staff. A copy is provided to the Contract Provider within two (2) weeks of review completion.
- b. Items requiring corrective action / deficiencies that require the Contract Provider's written response are included in the report.
- c. The Monitoring Report is sent to the Department of Health Care Services (DHCS) within two (2) weeks of review completion and issuance to the Contract Provider.

#### **6. Exit Conference**

- a. County DMC-ODS UR staff meet with Contract Provider leadership to summarize the general findings and review deficiencies while providing opportunities for clarification or additional information/documentation from Contract Provider.
- c. 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 Plan Response**

- a. County DMC-ODS UR staff will communicate the required timeline for response to the any corrective action or deficiencies.

- b. The written response from the Contract Provider is required to include corrective actions for each finding found not in compliance.
  - c. Depending upon the severity of the deficiencies, County DMC-ODS UR staff may monitor the actions through targeted reviews.
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**PRIOR VERSIONS:** 7/20/2015, 7/25/2005, 6/15/2017, 10/11/2017

**REFERENCES:** CCR, Title 9, Articles 2 & 3; CCR Title 22; SAPT Block Grant and State & County Contract, County- State Intergovernmental Agreement (IA) Exhibit A, Attachment 1

**FORMS:** SUD Monitoring Tool / Instrument