



MICHELLE BAASS  
DIRECTOR

State of California—Health and Human Services Agency  
Department of Health Care Services



GAVIN NEWSOM  
GOVERNOR

April 22, 2022

Sent via e-mail to: [bruce.copley@hhs.sccgov.org](mailto:bruce.copley@hhs.sccgov.org)

Bruce Copley, Director, AOD Administrator  
Behavioral Health Services Department  
828 S. Bascom Avenue, Suite 200  
San Jose, CA 95128

SUBJECT: Annual SABG County Compliance Unit Findings Report

Dear Director Copley:

The Department of Health Care Services (DHCS) is responsible for monitoring compliance to requirements of the Substance Abuse Block Grant (SABG) and the terms of the Contract operated by Santa Clara County.

The County Compliance Unit (CCU) within the Audits and Investigations Division (A&I) of DHCS conducted a review of the County's compliance with contract requirements based on responses to the monitoring instrument, discussion with county staff, and supporting documentation provided by the County.

Enclosed are the results of Santa Clara County's Fiscal Year 2021-22 SABG compliance review. The report identifies deficiencies, required corrective actions, advisory recommendations, and referrals for technical assistance.

Santa Clara County is required to submit a Corrective Action Plan (CAP) addressing each deficiency noted to the Community Services Division (CSD), Community Support Branch (CSB), Policy, Monitoring and Financing Section (PMFS) Analyst by 6/22/2022. Please use enclosed CAP form and submit the completed CAP and supporting documentation by email to the PMFS analyst at [SABGcompliance@dhcs.ca.gov](mailto:SABGcompliance@dhcs.ca.gov).

If you have any questions, please contact me at [susan.volmer@dhcs.ca.gov](mailto:susan.volmer@dhcs.ca.gov).

Sincerely,

Susan Volmer  
(916) 713-8677

Audits and Investigations Division  
Medical Review Branch  
Behavioral Health Compliance Section  
County Compliance Unit  
1500 Capitol Ave., MS 2305  
Sacramento, CA 95814  
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Distribution:

To: Director Bruce Copley

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Domingo Acevedo, Santa Clara County Program Manager  
Maria Bernardez, Santa Clara County Senior Health Care Program Analyst  
Tammy Ramsey, Santa Clara County Senior Health Care Program Analyst  
Leilani Villanueva, Santa Clara County Administrative Services Manager

## COUNTY REVIEW INFORMATION

**County:**

Santa Clara

**County Contact Name/Title:**

Maria Bernardez/Senior Health Care Program Analyst

**County Address:**

828 S. Bascom Avenue, Suite 200  
San Jose, CA 95128

**County Phone Number/Email:**

408-479-0458  
maria.bernardez@hhs.sccgov.org

**Date of Review:**

2/22/2022

**Lead CCU Analyst:**

Susan Volmer

**Assisting CCU Analyst:**

N/A

**Report Prepared by:**

Susan Volmer

**Report Approved by:**

Ayesha Smith

## REVIEW SCOPE

- I. Regulations:
  - a. California Code of Regulations, Title 22, section 51341.1 – Drug Medi-Cal Substance Use Disorder Services
  - b. Code of Federal Regulations; Title 45, Part 96; Subpart L; section 96.121 through 96.137: Substance Abuse Prevention and Treatment Block Grant
  - c. United States Code, Title 42, Section 300x-21 through 300x-66: Block Grants regarding Mental Health and Substance Use
  - d. Health and Safety Code, Division 10.5, Section 11750 – 11970: Alcohol and Drug Programs
  
- II. Program Requirements:
  - a. Fiscal Year (FY) 2020-21 Substance Abuse Block Grant (SABG) Application, herein referred to as the SABG Application
  - b. Fiscal Year (FY) 2021-22 Substance Abuse Block Grant (SABG) Application, herein referred to as the SABG Application
  - c. State of California *Youth Treatment Guidelines Revised August 2002*
  - d. DHCS *Perinatal Practice Guidelines FY 2018-19*
  - e. National Culturally and Linguistically Appropriate Services (CLAS)
  - f. Mental Health and Substance Use Disorders Services (MHSUDS) Information Notices
  - g. Behavioral Health Information Notices (BHIN)

## ENTRANCE AND EXIT CONFERENCE SUMMARIES

### Entrance Conference:

An Entrance Conference was conducted via WebEx on 2/22/2022. The following individuals were present:

- Representing DHCS:  
Susan Volmer, Associate Governmental Program Analyst (AGPA)
- Representing Santa Clara County:  
Domingo Acevedo, Program Manager  
Lara Alkoraishi, Program Manager  
Peter Antons, Behavioral Health Division Director  
Saakshi Arora, Health Care Compliance Analyst  
Kakoli Naerjee, Director of Research & Outcome  
Maria Bernardez, Senior Health Care Program Analyst  
LouMeshia Brown, Senior Mental Health Program Specialist  
Steve Castro, Mental Health Program Specialist  
Dinh Quang Chu, Senior Mental Health Program Specialist  
Bruce Copley, Director, Alcohol Drug Access Services  
Kimberly C'zatko, Senior Research & Evaluation Specialist  
Robin Daniels-Wilson, Senior Mental Health Program Specialist  
Zelia Faria Costa, Director, CYF System of Care  
Courtney Grey, Behavioral Health Services Department Quality Director  
Tiffany Ho, Behavioral Health Medical Director  
Sheryl Hogan, Senior Health Care Program Analyst  
Michelle Honda, Program Manager  
Linh Hong, Mental Health Program Specialist  
Duy Le, Mental Health Program Specialist  
Leilani Villanueva, Administrative Services Manager  
Angeleah Macatiag, Administrative Services Manager  
Mira Parwiz, Behavioral Health Division Director  
Victoria Phan, Compliance Officer  
Edwin Poon, BHS Department Deputy Director  
Tammy Ramsey, Senior Health Care Program Analyst  
Rachel Talamantez, Behavioral Health Division Director  
Darren Tan, BHS Department Deputy Director  
Sherri Terao, Director Behavioral Health Services  
Lily Vu, Program Manager

During the Entrance Conference, the following topics were discussed:

- Introductions
- County overview of services provided
- DHCS overview of review process

**Exit Conference:**

An Exit Conference was conducted via WebEx on 2/22/2022. The following individuals were present:

- Representing DHCS:  
Susan Volmer, AGPA
  
- Representing Santa Clara County:  
Domingo Acevedo, Program Manager  
Lara Alkoraishi, Program Manager  
Peter Antons, Behavioral Health Division Director  
Saakshi Arora, Health Care Compliance Analyst  
Kakoli Naerjee, Director of Research & Outcome  
Maria Bernardez, Senior Health Care Program Analyst  
LouMeshia Brown, Senior Mental Health Program Specialist  
Steve Castro, Mental Health Program Specialist  
Dinh Quang Chu, Senior Mental Health Program Specialist  
Bruce Copley, Director, Alcohol Drug Access Services  
Kimberly C'zatko, Senior Research & Evaluation Specialist  
Robin Daniels-Wilson, Senior Mental Health Program Specialist  
Zelia Faria Costa, Director, CYF System of Care  
Courtney Grey, Behavioral Health Services Department Quality Director  
Tiffany Ho, Behavioral Health Medical Director  
Sheryl Hogan, Senior Health Care Program Analyst  
Michelle Honda, Program Manager  
Linh Hong, Mental Health Program Specialist  
Duy Le, Mental Health Program Specialist  
Leilani Villanueva, Administrative Services Manager  
Angeleah Macatiag, Administrative Services Manager  
Mira Parwiz, Behavioral Health Division Director  
Victoria Phan, Compliance Officer  
Edwin Poon, BHS Department Deputy Director  
Tammy Ramsey, Senior Health Care Program Analyst  
Rachel Talamantez, Behavioral Health Division Director  
Darren Tan, BHS Department Deputy Director  
Sherri Terao, Director Behavioral Health Services  
Lily Vu, Program Manager

During the Exit Conference, the following topics were discussed:

- Submitting follow-up evidence
- Due date for evidence submission

## SUMMARY OF FY 2021-22 COMPLIANCE DEFICIENCIES (CD)

<u>Section</u>	<u>Number of CD's</u>
1.0 Administration	2
2.0 Prevention	0
3.0 Perinatal	0
4.0 Adolescent/Youth Treatment	0
5.0 Data/CalOMS	0
6.0 Program Integrity	1
7.0 Fiscal	0

## **CORRECTIVE ACTION PLAN (CAP)**

Pursuant to the SABG County Application, Enclosure 2, Part I, Section 3, B, 5-7 each CD identified must be addressed via a CAP. The CAP is due within sixty (60) calendar days of the date of this monitoring report.

Please provide the following within the completed FY 2021-22 CAP:

- a) A statement of the CD.
- b) A list of action steps to be taken to correct the CD.
- c) A date of completion for each CD.
- d) The name of the person who will be responsible for corrections and ongoing compliance.

The PMFS analyst will monitor progress of the CAP completion.



## Category 1: ADMINISTRATION

A review of the County's Maintenance of Records, service providers, referrals, services, contracts, and general provisions was conducted to ensure compliance with applicable regulations and standards. The following deficiencies in regulations, standards or protocol requirements were identified:

### COMPLIANCE DEFICIENCIES:

#### **CD: 1.5.1:**

##### SABG Application Enclosure 2, II, 17

#### 17. Byrd Anti-Lobbying Amendment (31 USC 1352)

County certifies that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 USC 1352. County shall also disclose to DHCS any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award.

##### SABG Application, Enclosure 2, II, 23

#### 23. Subcontract Provisions

County shall include all of the foregoing provisions in all of its subcontracts.

**Findings:** The County did not provide evidence demonstrating County and subcontractor compliance with the Byrd Anti-Lobbying Amendment (31 USC 1352) provision.

#### **CD: 1.5.2:**

##### SABG Application Enclosure 2, II, 22, A

#### 22. Information Access for Individuals with Limited English Proficiency

A. County shall comply with all applicable provisions of the Dymally-Alatorre Bilingual Services Act (Government Code sections 7290-7299.8) regarding access to materials that explain services available to the public as well as providing language interpretation services.

##### SABG Application, Enclosure 2, II, 23

#### 23. Subcontract Provisions

County shall include all of the foregoing provisions in all of its subcontracts.

**Findings:** The County did not provide evidence demonstrating County and subcontractor compliance with the Dymally-Alatorre Bilingual Services Act (Government Code sections 7290-7299.8) provision.

## Category 6: PROGRAM INTEGRITY

A review of the SABG monitoring, privacy, and program integrity was conducted to ensure compliance with applicable regulations and standards. The following deficiency in regulations, standards or protocol requirements was identified:

### COMPLIANCE DEFICIENCY:

#### **CD 6.1.2:**

#### SABG Application Enclosure 2, I, 3, A, 1, e

1. County's performance under the County Performance Contract and the SABG County Application shall be monitored by DHCS during the term of the County Performance Contract. Monitoring criteria shall include, but not be limited to:
  - e. Whether the County conducted annual onsite monitoring reviews of services and subcontracted services for programmatic and fiscal requirements. County shall submit copy of its monitoring and audit reports to DHCS within two weeks of issuance. Reports shall be sent via a Secure Managed File Transfer system specified by DHCS.

**Findings:** The County provided evidence demonstrating it conducted onsite monitoring reviews of each County managed and subcontracted program providing SABG funded services.

- The County monitored 18 of 18 SABG funded programs and submitted audit reports of these annual reviews to DHCS secure and encrypted.
- The County submitted 17 of 18 annual monitoring reports within two weeks of completion to DHCS.

## **TECHNICAL ASSISTANCE**

Santa Clara County did not request Technical Assistance (TA) during this review.