

REPORTING REQUIREMENTS MATRIX

County Submission Requirements Matrix for the Department of Health Care Services – Document 1F(a)

Division/Branch/Section	Name of Document/ Report/ Date	Due Dates(s) to DHCS	Authority for DHCS Requesting Document/Report/Data	Purpose of Document/Report /Data
Division of Audits and Investigations, Financial Audits Branch	A-133 Audit Report	3/31 (Annually)	OMB Circular A-133 Single Audit Act.	Requirement of Single Audit Act for audits of federal funds
Substance Use Disorder (SUD) Compliance Division (CD) – Driving Under the Influence	DUI Programs Compliance	Counties are required to monitor DUI programs every 6 months and submit a compliance report to DHCS.	HSC Section 11837.6(b)	To monitor program compliance with statutes and regulations
Information Technology Services Division (ITSD)- Data Management Services Section	CalOMS Treatment Data Files	45 days after the end of the reporting month (Monthly)	HSC Sections 11755(o) 42 USC, Chapter 6A 42 CFR 2, Subpart A, Part 2,	Meet federal requirements for reporting client treatment data and to provide data needed by state

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			Subpart B, Section 2.12b 45 CFR 96, Sections <u>96.17, 96.74</u>	and counties for planning, budgeting and reporting
ITSD - Data Management Services Section	Drug and Alcohol Treatment Access Report (DATAR) Data Files	10 days after the end of the reporting month (Monthly)	45 CFR 96, Sections 96.126 and 96.131	Meet federal capacity/waiting list requirements and to provide data needed for capacity management
SUD CD – Narcotic Treatment Program Branch	Annual License Renewal for Narcotic Treatment Programs (NTPs)	5/31 (Annually)	HSC Section 11839.3(a)(6) CCR, Title 9, Section 10055(b)(2)	Recommendation for each NTP license renewal
SUD CD	Application for Certification and/or Licensure	Prior to Review and Approval (Continuous until approval as well as at renewal either annually or biannually)	Title 9, Section 11834.01 for Residential Licensure. Title 9, Section 10010 for Narcotic Treatment Programs. Policy For Certification.	To apply for licensure or certification

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Substance Use Disorder (SUD) Program, Policy and Fiscal Division (PPFD) – Prevention Branch	Primary Prevention Data Collection Service	Refer to the Primary Prevention Data Collection Service Data Quality Standards for details	Data required for SAPT Block Grant application Contract requirement	Data is used to complete SAPT Block Grant reporting tables
SUD PPFD Branch - Prevention	County Prevention Strategic Plans	Plans may cover multiple years. Must be current and must be uploaded into the Primary Prevention Data Collection Service	Contract requirement	Prevention plans must demonstrate the use of SAMHSA's Strategic Prevention Framework and include problem statements, goals and objectives.
SUD PPFD Branch – Prevention	Primary Prevention Mid-Year Budget	January 31 for each current SFY	Contract requirement	Used as a monitoring tool
SUD PPFD Branch – Prevention	Progress Reports on Goals and Objectives	Refer to the Primary Prevention Data Collection Service Data Quality Standards for details	Contract requirement	Used as a monitoring tool
SUD PPFD – Fiscal Management and Accountability Branch	Quarterly Federal Financial	For the State fiscal year, December 1 for the July through	SAPT Block Grant requirement	Quarterly collect and track SAPT block grant

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	Management Report (QFFMR)	September quarter; March 1 for the		expenditures by grant award;
		October through December quarter; June 1 for the January through March quarter; and September 1 for the April through June quarter.		assess county spending; redirect funds to and from counties to maximize the expenditure of each grant award.
SUD PPFDD – Program Management Branch	County Monitoring Instrument	30 days from receipt of request (Annually)	45 CFR Part 96, Contract Requirement	SAPT BG & DMC reporting requirement.
SUD PPFDD – Management Program Branch	Monitoring reports of subcontractors	30 days from date report (Annually) of	Contract Requirement	Ensure Contractor monitors subcontractors
SUD PPFDD – Management Program Branch	Charitable Choice Regulation	October 1 (Annually)	42 U.S.C. 300x-65, 42 CFR Part 54, 45 CFR Part 96	SAPT BG reporting requirement.
SUD PPFDD – Fiscal Management and Accountability Branch	Cost Reports including applicable Drug Medi-Cal (DMC) forms	November 1 (Annually)	W&I Code 14124.24, Health and Safety Code Section 11818.5(a) Requirement	Ensure expenditures meet Federal and State requirements

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SUD PPFD – Program Support and Grants Management Branch	Contract	Within 60 days after notification of final allocation	HSC Section 11758.10	To encumber funds
SUD PPFD – Fiscal Management and Accountability Branch	DMC claims	Within 30 days from the end of the service month	Contract Title 22, Section 51490.1	To bill for SUD DMC services to Medi-Cal beneficiaries
SUD PPFD – Fiscal Management and Accountability Branch	DMC Form = Multiple Billing Override (DHCS Form MC 6700)	As Required Instructions Per Form	Title 22, Section 51490.1	To report DMC services that have been provided for the same client on the same day
SUD PPFD – Fiscal Management and Accountability Branch	DMC Forms = Good Cause Certification (DHCS Forms MC 6065A or MC 6065B)	As Required Instructions Per Form	Title 22, Section 51490.1	To report the reason for late submission of DMC claims
SUD PPFD – Management Program Branch	Monitoring reports of subcontractors	30 days from date report (Annually) of	Contract Requirement	Ensure Contractor subcontractors monitors
SUD PPFD – Management Program Branch	Charitable Choice Regulation	October 1 (Annually)	42 U.S.C. 300x-65, 42 CFR Part 54, 45 CFR Part 96	SAPT BG reporting requirement.

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SUD PPF – Fiscal Management and Accountability Branch	Cost Reports including applicable Drug Medi-Cal (DMC) forms	November 1 (Annually)	W&I Code 14124.24, Health and Safety Code Section 11818.5(a) Requirement	Ensure expenditures meet Federal and State requirements
SUD PPF – Program Support and Grants Management Branch	Contract	Within 60 days after notification of final allocation	HSC Section 11758.10	To encumber funds
SUD PPF – Fiscal Management and Accountability Branch	DMC claims	Within 30 days from the end of the service month	Contract Title 22, Section 51490.1	To bill for SUD DMC services to Medi-Cal beneficiaries
SUD PPF – Fiscal Management and Accountability Branch	DMC Form = Multiple Billing Override (DHCS Form MC 6700)	As Required Instructions Per Form	Title 22, Section 51490.1	To report DMC services that have been provided for the same client on the same day
SUD PPF – Fiscal Management and Accountability Branch	DMC Forms = Good Cause Certification (DHCS Forms MC 6065A or MC 6065B)	As Required Instructions Per Form	Title 22, Section 51490.1	To report the reason for late submission of DMC claims

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SUD PPF – Fiscal Management and Accountability Branch	DMC Forms = Certified Public Expenditure Form (DHCS 100224A)	At the time the claim file is submitted to ITWS processing for	Contract, ADP Bulletin #11-17	To issue reimbursement of Federal Medicaid funding to counties.
SUD PPF – Fiscal Management and Accountability Branch	DMC Forms = DMC Claim Submission – County Operated Providers (DHCS Form MC 100187)	To be Retained by County = At the time claim data is submitted the county to	Contract	For county's certification of claims to be true and accurate of county operated services in order for reimbursement to be issued
SUD PPF – Fiscal Management and Accountability Branch	DMC Forms – DMC Claim Submission – County Contracted Providers (DHCS Form MC 100186)	To be Retained by County = At the time claim data is submitted the county to	Contract	For county's certification of claims to be true and accurate for county
				contracted provider services in order for reimbursement to be issued
SUD PPF – Fiscal Management and Accountability Branch	Drug Medi-Cal Services Quarterly Claim for	Once through Cost Report Settlement Process (mandatory)	Contract, Information Notice #14-033 dated 10-7-14	To reimburse counties for Drug Medi-Cal county

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	Reimbursement of County Administrative Expenses (DHCS Form MC 5312)	60 days from the end of the quarter (optional)		administrative expenses