

REPORTING REQUIREMENT MATRIX

Document 1F(a)

COUNTY SUBMISSION REQUIREMENTS FOR THE DEPARTMENT OF HEALTH CARE SERVICES (DHCS)

Fiscal Year 2017-2020

Division/Branch/Section	Name of Document, Report, or Data	Due Date(s) to DHCS	Authority for DHCS Requesting Document/Report/Data	Purpose of Report/Document/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, Subpart B, Section 2.12b 45 CFR 96, Sections 96.17, 96.74	Meet federal requirements for reporting client treatment data and to provide data needed by state 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

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SUD CD – Narcotic Treatment Program Branch	Initial Licensure for NTPs	Once before DHCS reviews	HSC Section 11839.3(a)(6) CCR, Title 9, Section 10040	A certification of need for the proposed NTP, a certification that all local ordinances, fire regulations, and local planning agency requirements have been complied with, and a recommendation for program licensure
SUD CD – Narcotic Treatment Program Branch	Relocation for NTPs	Once before DHCS reviews	HSC Section 11839.3(a)(6)	Recommendation for new program address
SUD CD – Narcotic Treatment Program Branch	NTP County Certification Form	Once before DHCS approves	HSC Section 11839.3(a)(6)	Recommendation <ul style="list-style-type: none"> - patient slot increase - patient slot decrease - to allow NTPs to enter patients into maintenance treatment without two year history of opiate addiction and without two failed detoxes.
SUD CD	Adolescent Waiver	Every time an adult program wants to serve adolescents (Only Once)	Title 9, Section 10605	To demonstrate need for adolescent services
SUD CD	Alcohol and Other Drug (AOD) Program Certification	Prior to Certification (Once and if relocation occurs)	Alcohol and/or Other Drug Certification Standards 3035(c)	Zoning approval

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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
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 - Prevention Branch	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 – Prevention Branch	Primary Prevention Mid-Year Budget	January 31 for each current SFY	Contract requirement	Used as a monitoring tool
SUD PPFD – Prevention Branch	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 Management Report (QFFMR)	For the State fiscal year, December 1 for the July through September quarter; March 1 for the October through December quarter; June 1 for the January	SAPT Block Grant requirement	Quarterly collect and track SAPT block grant expenditures by grant award; assess county spending; redirect funds to and from counties to maximize the expenditure of each grant award.

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		through March quarter; and September 1 for the April through June quarter.		
SUD PPF – Program Management Branch	County Monitoring Instrument	30 days from receipt of request (Annually)	45 CFR Part 96, Contract Requirement	SAPT BG & DMC reporting requirement.

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SUD PPF – Program Management Branch	Monitoring reports of subcontractors	30 days from date of report (Annually)	Contract Requirement	Ensure Contractor monitors subcontractors
SUD PPF – Program Management 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 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 Per Form Instructions	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 Per Form Instructions	Title 22, Section 51490.1	To report the reason for late submission of DMC claims

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SUD PPFDF – Fiscal Management and Accountability Branch	DMC Forms = Certified Public Expenditure Form (DHCS 100224A)	At the time the claim file is submitted to ITWS for processing	Contract, ADP Bulletin #11-17	To issue reimbursement of Federal Medicaid funding to counties.
SUD PPFDF – 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 to the county	Contract	For county's certification of claims to be true and accurate of county operated services in order for reimbursement to be issued
SUD PPFDF – 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 to the county	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 PPFDF – Fiscal Management and Accountability Branch	Drug Medi-Cal Services Quarterly Claim for Reimbursement of County Administrative Expenses (DHCS Form MC 5312)	Once through Cost Report Settlement Process (mandatory) <hr/> 60 days from the end of the quarter (optional)	Contract, Information Notice #14-033 dated 10-7-14	To reimburse counties for Drug Medi-Cal county administrative expenses