



September 10, 2024

THIS LETTER SENT VIA EMAIL TO: <Lisa.Lewis@co.kings.ca.us>

Ms. Lisa Lewis Ph.D., Director
Kings County Behavioral Health
1222 W. Lacey Blvd.
Hanford, CA 93230

SUBJECT: ANNUAL COUNTY COMPLIANCE SECTION DMC FINDINGS REPORT

Dear Director Lewis:

The Department of Health Care Services (DHCS) is responsible for monitoring compliance to requirements of the Drug Medi-Cal (DMC) Intergovernmental Agreement operated by Kings County.

The County Compliance Section (CCS) within DHCS' Audits and Investigations (A&I) conducted a review of the County's compliance with Federal and State regulations, program requirements and contractual obligations based on supporting documentation and interviews with County staff. Enclosed are the results of Kings County's Fiscal Year (FY) 2023-24 DMC compliance review. The report identifies deficiencies, advisory recommendations, and referrals for technical assistance.

Kings County is required to submit a Corrective Action Plan (CAP) addressing each compliance deficiency (CD) noted to DHCS Medi-Cal Behavioral Health – Oversight and Monitoring Division (MCBH-OMD), County/Provider Operations and Monitoring Branch (CPOMB). For questions regarding the CAP process and submitting documentation, email your questions to MCBHOMDMonitoring@dhcs.ca.gov.

If you have any questions, please contact me at michael.bivians@dhcs.ca.gov.

Sincerely,

Michael Bivians | Unit Chief

Distribution:

To: Director Lewis,

Cc: Mateo Hernandez, Chief
Contract and Enrollment Review Division - Audits and Investigations

Catherine Hicks, Chief
Behavioral Health Review Branch
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MCBHOMDMonitoring@dhcs.ca.gov, County/Provider Operations and
Monitoring Branch

Christi Lupkes, Deputy Director
Kings County Behavioral Health

Stephanie Corona, Office Assistant II
Kings County Behavioral Health

COUNTY REVIEW INFORMATION

County:

Kings

County Contact Name/Title:

Stephanie Corona / Office Assistant II

County Address:

1222 W. Lacey Blvd. 2nd Floor
Hanford, CA 93230

County Phone Number/Email:

(559) 852-2238
Stephanie.Corona@co.kings.ca.us

Date of Review:

4/22/2024

Lead CCS Analyst:

Michael Bivians

Assisting CCS Analyst:

Jade Liu

Report Prepared by:

Michael Bivians

Report Approved by:

Ayesha Smith

REVIEW SCOPE

- I. Regulations:
 - a. California Code of Regulations, Title 22, section 51341.1, 51490.1 and 51516.1 – Drug Medi-Cal Substance Use Disorder Services
 - b. California Code of Regulations, Title 9, Division 4: Department of Alcohol and Drug Programs
 - c. Health and Safety Code, Division 10.5, Section 11750 – 11970: Alcohol and Drug Programs
 - d. Welfare and Institutions Code, Division 9, Part 3, Chapter 7, Sections 14000, et seq.; 14100.2, 14021, 14021.51-14021.53, 14021.6, and 14124.20-14124.25, 14184.402, 14059.5: Basic Health Care – Drug Medi-Cal Treatment Program

- II. Program Requirements:
 - a. Fiscal Year (FY) 2022-23 DMC Intergovernmental Agreement (IA)
 - b. State of California *Adolescent Best Practices Guidelines October 2020*
 - c. DHCS' *Perinatal Practice Guidelines FY 2018-19*
 - d. DHCS' *Minimum Quality Drug Treatment Standards (Document 2F(a))*
 - 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 Teams on 4/22/2024. The following individuals were present:

- Representing DHCS:
Michael Bivians, County Compliance Monitoring 2 (CCM2) Unit Chief
Jade Liu, CCM2 Health Program Specialist I (HPSI)
Jasmine Jackson-Forrest, County/Provider Operations and Monitoring Branch (CPOMB) Liaison
- Representing Kings County:
Lisa Lewis, Kings County Behavioral Health Director
Christi Lupkes, Kings County Behavioral Health Deputy Director
Ana Lopez, Kings County Behavioral Health Program Specialist
Laura Tafolla, Kings County Behavioral Health Fiscal Analyst
Polo Ortiz, Kings County Behavioral Health Program Manager
Susie Nava, Kings County Behavioral Health Quality Assurance Specialist
Jeanette Barajas, Kings County Behavioral Health Quality Assurance Specialist
Stephanie Corona, Kings County Behavioral Health Office Assistant II

During the Entrance Conference, the following topics were discussed:

- Introductions
- Overview of review process
- Overview of services provided

Exit Conference:

An Exit Conference was conducted via Teams on 4/22/2024. The following individuals were present:

- Representing DHCS:
Michael Bivians, CCM2 Unit Chief
Jade Liu, CCM2 HPSI
Jasmine Jackson-Forrest, CPOMB Liaison

- Representing Kings County:
Lisa Lewis, Kings County Behavioral Health Director
Christi Lupkes, Kings County Behavioral Health Deputy Director
Ana Lopez, Kings County Behavioral Health Program Specialist
Laura Tafolla, Kings County Behavioral Health Fiscal Analyst
Polo Ortiz, Kings County Behavioral Health Program Manager
Susie Nava, Kings County Behavioral Health Quality Assurance Specialist
Jeanette Barajas, Kings County Behavioral Health Quality Assurance Specialist
Stephanie Corona, Kings County Behavioral Health Office Assistant II

During the Exit Conference, the following topics were discussed:

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

SUMMARY OF FY 2023-24 COMPLIANCE DEFICIENCIES (CD)

<u>Category</u>	<u>Number of CDs</u>
1.0 Availability of DMC Services	0
2.0 Care Coordination	0
3.0 Quality Assurance and Performance Improvement	1
4.0 Access and Information Requirements	0
5.0 Coverage and Authorization of Services	0
6.0 Beneficiary Rights and Protections	0
7.0 Program Integrity	0

CORRECTIVE ACTION PLAN (CAP)

Pursuant to the DMC Contract, Exhibit A, Attachment I A1, Part I, Section 4, B, 6 a-b each CD identified must be addressed via a CAP.

Your CPOMB liaison manages the progress of CAP completion.

For questions regarding the CAP form and instructions on how to complete the FY 2023-24 CAP, please email MCBHOMDMonitoring@dhcs.ca.gov.

Category 3: QUALITY ASSURANCE AND PERFORMANCE IMPROVEMENT

A review of the County's Quality Assurance and Performance Improvement program was conducted to ensure compliance with applicable Federal and State regulations, program requirements, and contractual obligations. The following deficiency was identified:

COMPLIANCE DEFICIENCY:

CD 3.2.3:

DMC Contract, Exhibit A, Attachment I, Part I, Section 3 DMC Certification and Continued Certification, A, 4, c

The Contractor's subcontracts shall require that providers comply with the following regulations and guidelines, including, but not limited to:

Minimum Quality Treatment Standards, (Document 2F(a))

Minimum Quality Drug Treatment Standards Document 2F(a), A, 3 a-j

Written code of conduct for employees and volunteers/interns shall be established which addresses at least the following:

- a. Use of drugs and/or alcohol;
- b. Prohibition of social/business relationship with beneficiary's or their family members for personal gain;
- c. Prohibition of sexual contact with beneficiary's;
- d. Conflict of interest;
- e. Providing services beyond scope;
- f. Discrimination against beneficiary's or staff;
- g. Verbally, physically, or sexually harassing, threatening, or abusing beneficiary's, family members or other staff;
- h. Protection beneficiary confidentiality;
- i. The elements found in the code of conduct(s) for the certifying organization(s) the program's counselors are certified under; and
- j. Cooperate with complaint investigations.

Findings: The County did not provide evidence it ensures County staff sign a Code of Conduct that includes all required elements according to the Minimum Quality Drug Treatment Standards. The following required elements are missing, specifically:

- Prohibition of sexual contact with beneficiaries.
- Providing services beyond scope.
- Discrimination against beneficiaries or staff.
- Verbally, physically, or sexually harassing, threatening, or abusing beneficiaries, family members or other staff.
- Protection of beneficiary confidentiality.
- The elements found in the code of conduct(s) for the certifying organization(s) the program's counselors are certified under.
- Cooperation with complaint investigations.

TECHNICAL ASSISTANCE

Kings County did not request technical assistance during this review.