



February 28, 2024

THIS LETTER SENT VIA EMAIL TO: vkelly@ochca.com

Ms. Veronica Kelley, Behavioral Health Director
Orange County Health Care Agency
405 W. 5th Street, Ste. 212
Santa Ana, CA 92701

SUBJECT: ANNUAL COUNTY COMPLIANCE SECTION DMC-ODS FINDINGS REPORT

Dear Director Kelley:

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

The County Compliance Section (CCS) within Audits and Investigations (A&I) of DHCS 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 Orange County's Fiscal Year (FY) 2023-24 DMC-ODS compliance review. The report identifies deficiencies, advisory recommendations, and referrals for technical assistance.

Orange County is required to submit a Corrective Action Plan (CAP) addressing each compliance deficiency (CD) to DHCS' Medi-Cal Behavioral Health – Oversight and Monitoring Division (MCBH-OMD), County/Provider Operations and Monitoring Branch (CPOMB) Liaison by 4/29/2024. Please use the enclosed CAP form to submit the completed CAP and supporting documentation via the MOVEit Secure Managed File Transfer System. For instructions on how to submit to the correct MOVEit folder, email 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 Kelley,

Cc: Mateo Hernandez, Audits and Investigations, Contract and Enrollment Review
Division Chief
Catherine Hicks, Audits and Investigations, Behavioral Health Review Branch
Chief
Ayesha Smith, Audits and Investigations, County Compliance Section Chief
Michael Bivians, Audits and Investigations, County Compliance Monitoring II
Chief
Cindy Berger, Audits and Investigations, Provider Compliance Section Chief
Sergio Lopez, County/Provider Operations and Monitoring Section I Chief
Tony Nguyen, County/Provider Operations and Monitoring Section II Chief
MCBHOMDMonitoring@dhcs.ca.gov, County/Provider Operations and
Monitoring Branch
Azahar Lopez, Quality Management Services Interim Assistance Deputy Director
Chiyo Matsubayashi, Quality Management Services Health Services Manager

COUNTY REVIEW INFORMATION

County:

Orange

County Contact Name/Title:

Chiyo Matsubayashi, LMFT, Health Services Manager

County Address:

400 W. Civic Center Drive
Santa Ana, CA 92701

County Phone Number/Email:

(714) 796-0537
cmatsubayashi@ochca.com

Date of DMC-ODS Implementation:

7/01/2018

Date of Review:

11/14/2023

Lead CCM Analyst:

Michael Bivians

Assisting CCM Analyst:

N/A

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-ODS 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 WebEx on 11/14/2023. The following individuals were present:

- Representing DHCS:
Michael Bivians, County Compliance Monitoring 2 (CCM2) Unit Chief
- Representing Orange County:
Chiyo Matsubayashi, Mental Health and Recovery Services (MHRS), Quality Management Services (QMS), Health Services Manager
Azahar Lopez, MHRS, QMS, Interim Assistant Deputy Director
Mark Lawrenz, MHRS, Substance Use Disorder (SUD), Interim Assistant Deputy Director
Patricia De Marco, MHRS Medical Director
Charles Huffman, MHRS, SUD, Associate Medical Director
Adil Siddiqui, MHRS, Information Technology (IT), Chief Information Officer
Glenda Aguilar, MHRS, SUD, Health Services Manager
April Thornton, MHRS, SUD, Health Services Manager
Carolyn Secrist, MHRS, SUD, Health Services Manager
Diane Holley, MHRS, SUD, Health Services Manager Senior
Esmerelda Carroll, MHRS, QMS, Behavioral Health Clinician II
Dolores Casteneda, MHRS, QMS, Service Chief II
Christy Read-Gomez, MHRS, SUD, Service Chief II
David Castellanos, MHRS, IT, Information Security Officer
Kindra Dimitriadis, MHRS, IT, Administrative Manager II
Elaine Estrada, MHRS, QMS, Behavioral Health Clinician II
Jennifer Fernandez, MHRS, QMS, Behavioral Health Clinician I
Elizabeth Fraga, MHRS, QMS, Staff Specialist
Michelle Glinski, MHRS, SUD, Health Program Specialist
Hilary Peralta, MHRS, QMS, Service Chief II
Marisela Ibarra, MHRS, QMS, Business Services Administrator
Juan Corral, Health Care Agency (HCA) Procurement and Contract Services
Kelly Sabet, HCA Office of Compliance, County Compliance Officer / Civil Rights Coordinator
Kristine Mariscal, HCA Procurement and Contract Services, Administrative Manager I

Anthony Le, MHRS, Administration and Finance, Administrative Manager II
Rebekah Radomski, MHRS, QMS, Service Chief II
Sarah Nguyen, MHRS, SUD, Behavioral Health Clinician II
Sherylove Saavedra, MHRS, QMS, Health Program Specialist
Susan Weidhaas, MHRS, QMS, Health Services Administrator
Susie Choi, MHRS, QMS, Health Program Specialist
Annette Tran, MHRS, QMS, Health Services Administrator
Wendy Elliott, MHRS, SUD, Service Chief II
Elizabeth Bausman, MHRS, QMS, Health Services Analyst
Nicole Duplesse, MHRS, SUD, Health Program Specialist
Maria Linares, MHRS, SUD, Behavioral Health Clinician II
David Rodriguez, HCA Procurement and Contract Services, Administrative
Manager I
Claudette Serrano, HCA Accounting, Business Services Manager

During the Entrance Conference, the following topics were discussed:

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

Exit Conference:

An Exit Conference was conducted via WebEx on 11/14/2023. The following individuals were present:

- Representing DHCS:
Michael Bivians, CCM2 Unit Chief
- Representing Orange County:
Chiyo Matsubayashi, Mental Health and Recovery Services (MHRS), Quality Management Services (QMS), Health Services Manager
Azahar Lopez, MHRS, QMS, Interim Assistant Deputy Director
Mark Lawrenz, MHRS, Substance Use Disorder (SUD), Interim Assistant Deputy Director
Patricia De Marco, MHRS Medical Director
Charles Huffman, MHRS, SUD, Associate Medical Director
Adil Siddiqui, MHRS, Information Technology (IT), Chief Information Officer
Glenda Aguilar, MHRS, SUD, Health Services Manager
April Thornton, MHRS, SUD, Health Services Manager
Carolyn Secrist, MHRS, SUD, Health Services Manager
Diane Holley, MHRS, SUD, Health Services Manager Senior
Esmerelda Carroll, MHRS, QMS, Behavioral Health Clinician II
Dolores Casteneda, MHRS, QMS, Service Chief II
Christy Read-Gomez, MHRS, SUD, Service Chief II
David Castellanos, MHRS, IT, Information Security Officer
Kindra Dimitriadis, MHRS, IT, Administrative Manager II
Elaine Estrada, MHRS, QMS, Behavioral Health Clinician II
Jennifer Fernandez, MHRS, QMS, Behavioral Health Clinician I
Elizabeth Fraga, MHRS, QMS, Staff Specialist
Michelle Glinski, MHRS, SUD, Health Program Specialist
Hilary Peralta, MHRS, QMS, Service Chief II
Marisela Ibarra, MHRS, QMS, Business Services Administrator
Juan Corral, Health Care Agency (HCA) Procurement and Contract Services
Kelly Sabet, HCA Office of Compliance, County Compliance Officer / Civil Rights Coordinator
Kristine Mariscal, HCA Procurement and Contract Services, Administrative Manager I
Anthony Le, MHRS, Administration and Finance, Administrative Manager II
Rebekah Radomski, MHRS, QMS, Service Chief II

Sarah Nguyen, MHRS, SUD, Behavioral Health Clinician II
Sherylove Saavedra, MHRS, QMS, Health Program Specialist
Susan Weidhaas, MHRS, QMS, Health Services Administrator
Susie Choi, MHRS, QMS, Health Program Specialist
Annette Tran, MHRS, QMS, Health Services Administrator
Wendy Elliott, MHRS, SUD, Service Chief II
Elizabeth Bausman, MHRS, QMS, Health Services Analyst
Nicole Duplesse, MHRS, SUD, Health Program Specialist
Maria Linares, MHRS, SUD, Behavioral Health Clinician II
David Rodriguez, HCA Procurement and Contract Services, Administrative
Manager I
Claudette Serrano, HCA Accounting, Business Services Manager

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-ODS Services	0
2.0 Care Coordination	0
3.0 Quality Assurance and Performance Improvement	0
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	1

CORRECTIVE ACTION PLAN (CAP)

Pursuant to the Intergovernmental Agreement, Exhibit A, Attachment I, Part III, Section QQ 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 2023-24 CAP:

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

The CPOMB liaison will monitor progress of the CAP completion.

Category 7: PROGRAM INTEGRITY

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

COMPLIANCE DEFICIENCY:

CD 7.2.4:

DMC-ODS Contract, Exhibit A Attachment I, Section II Federal Requirements, H, 5, ii, h

Provision for the Contractor's suspension of payments to a network provider for which the Department determines there is a credible allegation of fraud in accordance with 42 CFR §455.23.

Findings: The Plan did not provide evidence it ensures it suspends payments to a network provider for which the Department determines there is a credible allegation of fraud in accordance with 42 CFR §455.23.

TECHNICAL ASSISTANCE

Orange County requested Technical Assistance regarding subcontracting treatment services and ensuring proper reporting of data with DHCS' systems.