



HEALTH SYSTEM

Behavioral Health

Substance Abuse Prevention
and Treatment Program

Practice Requirements Manual

Contract Providers

SUBSTANCE ABUSE AND PREVENTION TREATMENT PRACTICE REQUIREMENTS PAGE

APPROVAL SIGNATURE PAGE..... 1

1. MANUAL INTRODUCTION

100 PRACTICES AND PROCEDURE MANUAL INTRODUCTION 2

100.1 Practice Guidelines..... 2

100.2 Adherence to State, Federal, County Laws and Regulations 2

101 SUBSTANCE USE DISORDER TREATMENT SERVICES PROGRAM OVERSIGHT 2

101.1 Conflicts between DMC-ODS and Title 22..... 3

101.2 AOD and DMC Licensed and Certification Requirement..... 3

102 THE DISEASE CONCEPT OF ADDICTION 3

103 CONSUMER CENTERED CARE, INTEGRATION AND COORDINATION OF CARE 3

103.1 Evidenced Based Practices..... 3

103.2 Integrated and Coordinated Care..... 4

103.3 Consumer Choice of Network..... 4

103.4 Charitable Choice and Funding Restrictions..... 4

104 SPECIAL POPULATIONS 4

104.1 Pregnant and Post-Partum Services..... 4

104.2 Perinatal Services Certification and Perinatal Services Network..... 5

104.3 Early Periodic Screening, Diagnostic and Treatment (EPSDT)..... 5

104.4 [Adolescent Substance Use Disorder Best Practices Guideline](#)..... 5

104.A [Perinatal Services Network Guidelines](#) 5

104.B [Adolescent Substance Use Disorder Best Practices Guideline](#)..... 5

105 MISSION STATEMENT 5

106 VISION STATEMENT 5

107 CULTURAL COMPETENCY STATEMENT 5

DMC-ODS AND COUNTY CLINICAL REQUIREMENTS

	PAGE
200 ACCESS	6
200.1 Hours of Operation Parity.....	6
200.2 CARES Access Information	6
200.3 SUD Screening.....	6
200.4 Schedule Appointments	6
200.5-6 SU CARES Withdrawal Management and Residential Referrals.....	6
200.7 Medi-Cal Services Pre-assessment.....	6
200.8 Consumer Preferences.....	6
200.9 Urgent Conditions.....	6
201 SCREENING	7
201.1 Riverside County Resident Admissions.....	7
201.2 Screening Tool.....	7
201.3 Screening Components.....	7
201.4 Medi-Cal Eligibility.....	7
201.5 Documentation and Placement.....	7
201.6 Medically Necessary Services Parity.....	7
201.7 Priority Populations.....	7
201.8 Waitlist.....	8
201.A 42 CFR 431.201	8
202 PLACEMENT	8
202.1-4 Discrimination.....	8
202.6 MD or LPHA Full Assessment.....	8
202.7 Medical Clearance.....	9
202.8 Assessment Requirements.....	9
202.9 MD or LPHA Recommendations of Another Level of Care.....	9
202.10 Denial of Service Consumer Notification (NOABD).....	9
Withdrawal Management and Residential.....	9
202.11 Residential Placement.....	9
202.12 Reporting Bed Availability.....	9

202.14	Care Coordinator Assignment.....	9
202.15	Collaboration with Care Coordinators.....	10
	202.A DHCS Information Notice 21-021.....	10
203	ASSESSMENT.....	10
203.1	Consumer History Documentation Timeline	10
203.2	Assessment Dimensions.....	10
204	RE-ASSESSMENT (CONTINUING SERVICES).....	10
204.2	Re-Assessment Timeframes.....	10
204.3	Re-Assessment Medical Necessity.....	11
205	MEDICAL NECESSITY.....	11
205.1	MD or LPHA Responsibilities.....	11
205.2	MD or LPHA Face-to-Face.....	12
205.3	MD or LPHA Narrative Summary.....	12
205.4	MD or LPHA ASAM Level of Care.....	12
205.5	MD or LPHA Diagnosis – DSM-5.....	12
205.6	At Risk Adolescents Definition.....	12
205.7	ASAM Six Dimensions.....	13
	205.A DHCS Title 22 Diagnosis Medical Necessity FAQ	13
	205.B Title 22 Drug Medi-Cal Frequently Asked Questions 2022	13
	205.C DHCS DSM-5 Information Notice 16-051	13
206	PHYSICAL EXAMINATION REQUIREMENTS.....	13
206.1	Physical Documentation Not Obtained.....	13
206.2	Performing Physical Exam.....	13
206.3	Physical Exam Goal.....	13
	206.A BHIN 22-019.....	13
207	CONSUMER ADMISSION.....	14
207.1	Minimum Documentation Criteria.....	14
207.3	Consent to Treatment.....	14
207.6	Share of Cost Notification.....	14
207.7	Consumer Notifications.....	14
207.8	Drug Screening.....	15

207.9	Full Capacity Referrals.....	15
207.10	Interim services for pregnant and parenting women.....	15
207.11	Pregnant women referrals for TB testing.....	15
208	CARE COORDINATOR	15
208.3	Tuberculosis Treatment	16
209	PERSONNEL SPECIFICATIONS	16
209.1	Licensed Practitioner of Healing Arts (LPHA) Defined.....	16
209.4	LPHA Continuing Education Requirements.....	17
209.5	AOD Counselor Certification Requirements	17
209.7	NPI and Certification Status.....	17
209.8	Documented Mandated Training.....	17
209.10	Paid Personnel Requirement.....	17
209.11	CPR Trained Staff.....	17
209.12	Background Check Requirements.....	17
209.13	Excluded Individuals Federal Database Checks (OIG).....	17
209.14	Personnel File Requirements.....	18
209.15	Job Description Requirements.....	18
209.16	Code of Conduct Requirements.....	18
209.17	Volunteer and Intern Requirements.....	19
209.18	MD Role and Responsibilities Requirements.....	19
209.19	Compliance Officer Requirement	19
	209.A Title 9, Chapter 8 Reference	19
210	SUBSTANCE USE DISORDER MEDICAL DIRECTOR.....	19
	Riverside County Continuum of Care	20
211	OUTPATIENT DRUG FREE.....	20
211.7	Adolescent Program Staffing.....	21
211.8	Adolescent Case Manager Qualifications.....	21
211.9	Outpatient Treatment Services	22
212	INTENSIVE OUTPATIENT TREATMENT	22
	Perinatal, Post-Partum Services.....	23
212.13	Outreach to perinatal.....	23

212.14	Publicize to target population.....	23
212.18	IOT Services	24
	212.A DHCS Intensive Outpatient Treatment FAQ	24
	212.B Perinatal Services Network Guidelines	24
213	PARTIAL HOSPITALIZATION.....	24
214	RESIDENTIAL TREATMENT.....	25
214.1	Pre-Authorization for Withdrawal Management and Residential Treatment.....	25
214.6	Length of Stay Adults.....	26
214.7	Extensions – Adults.....	26
214.8	Extensions – Adolescents.....	26
214.9	Length of Stay – Perinatal and Post-Partum	26
214.10	Extensions – Perinatal.....	26
	214.A DHCS Information Notice ASAM Levels of Residential	26
	214.B DHCS Information Notice Medically Managed Residential and Withdrawal Management 3.7 and 4.0	26
	214.C DHCS Information Notice Residential Authorizations.....	26
215	ASAM LEVEL 3.1 RESIDENTIAL.....	27
216	ASAM LEVEL 3.3 RESIDENTIAL.....	27
217	ASAM LEVEL 3.5 RESIDENTIAL.....	28
218	ASAM LEVEL 3.7 RESIDENTIAL.....	28
219	ASAM LEVEL 4.0 RESIDENTIAL.....	29
220	WITHDRAWAL MANAGEMENT.....	29
	220.A DHCS Information Notice Withdrawal Management 3.7 and 4.0.....	30
	220.B DHCS Information Notice Withdrawal Management Additional	30
	220.C DHCS Information Notice Residential Authorizations.....	30
221	ASAM LEVEL WM 1.0 WITHDRAWAL MANAGEMENT.....	30
222	ASAM LEVEL WM 2.0 WITHDRAWAL MANAGEMENT.....	30
223	ASAM LEVEL WM 3.2 WITHDRAWAL MANAGEMENT.....	30
224	ASAM LEVEL WM 3.7 WITHDRAWAL MANAGEMENT.....	31
225	ASAM LEVEL WM 4.0 WITHDRAWAL MANAGEMENT.....	31
226	ASAM LEVEL 1.0 OPIOID TREATMENT PROGRAM.....	32

226.4	OTP and MAT Medications.....	32
	226.A DHCS Information Notice MAT Rates.....	32
	226.B DHCS Information Notice MAT Rates Attachment.....	32
	226.C Title 9, Chapter 4.....	32
227	ADDITIONAL MEDICATION ASSISTED TREATMENT (MAT).....	32
227.2	MAT Protocol Approval.....	33
227.8	Non-OTP Facility MAT Medications.....	33
	Naltrexone Treatment Services	34
	227.A DHCS Information Notice MAT.....	34
228	RECOVERY SERVICES.....	34
228.1	Components.....	34
228.2	Access.....	34
228.3	Personnel.....	34
	228.A DHCS Information Notice Peer Support.....	35
	228.B Peer Support Information Notice Guide BHIN 22-026	35
	228.C DHCS FAQ Recovery Services.....	35
229	EVIDENCED BASED PRACTICES.....	35
229.2	Evidenced Based Practices Requirement.....	35
229.3	Motivational Interviewing.....	35
229.4	Cognitive-Behavioral Therapy.....	35
229.5	Relapse Prevention.....	35
229.6	Trauma Informed Treatment.....	35
229.7	Psycho-Education.....	35
229.8	Contingency Management	35
	SERVICE DESCRIPTIONS.....	36
230	GROUP COUNSELING.....	36
231	INDIVIDUAL COUNSELING.....	37
	Adolescent Treatment	38
231.6	Adolescent Family Interventions and Support Systems.....	38
231.7	Family Engagement.....	38
231.8	Developing Support Systems.....	39

231.9	Adolescent Placement.....	39
231.10	Adolescent Treatment Planning.....	39
231.11	Adolescent Continuing Care	40
231.12	Detoxification Services	40
231.15	Structured Recovery Related Activities	40
	231.A DHCS Information Notice Face to Face.....	40
232	SUD CRISIS INTERVENTION	40
233	FAMILY THERAPY	41
234	PEER SUPPORT SERVICES	41
	234.A Peer Support Services BHIN 22-026	42
235	CARE COORDINATION	42
	Care Coordination Perinatal	43
236	DRUG TESTING PROCESS	43
	236.6 Documentation.....	44
	236.7 Positive Drug Test Follow-up.....	44
237	RELAPSE PROCEDURE.....	44
238	CHARTING DOCUMENTATION	46
	238.1-4 Consumer Record.....	46
	OTP Treatment Plan.....	47
	238.6 Individualized Treatment Plan	47
	238.7 Treatment Plan Components.....	47
	238.9 Consumer Review and Signature.....	48
	238.10 MD or LPHA Review and Approval.....	48
	238.11-13 Updating a Treatment Plan.....	48
	Progress Notes	49
	238.14 Progress Notes and Individual Narrative Content	49
	238.15 ODF, IOT, Naltrexone, and Recovery Services Requirements.....	49
	238.16 Residential Requirements.....	50
	238.17 Case Management Requirements.....	51
	238.18 Physician Consultation Services Requirements.....	51
	Sign in Sheets.....	51

238.19	Groups.....	51
238.20	Individuals.....	52
	238.A 22 CCR 51476(a)	52
	238.B BHIN 22-019.....	52
239	CONTINUING SERVICES.....	52
239.1	Case Management, ODF, IOT, and Naltrexone guidelines.....	52
239.2	MD or LPHA Review and Approval for Medical Necessity.....	52
239.3	MD or LPHA Review and Unapproved Continued Services.....	53
239.4	OTP/NTP Annual Re-evaluations	53
240	DISCHARGE TRANSITION	53
240.2	Discharge Plan.....	53
240.3-4	Discharge Plan Components.....	53
240.6	Discharge-No Services in 30 days.....	54
240.7	Discharge Summary Components.....	54

QUALITY ASSURANCE AND MONITORING

	PAGE
300 ADVERSE INCIDENTS	55
301 CULTURAL COMPETENCY AND ACCESS TO SERVICES	55
301.1 Delivery of Service	55
301.2 Policy and Procedures Requirement	55
301.3 ADA Compliance	55
301.4 CLAS Standards	55
301.5 TTY and TDY Access	55
301.6 Interpretation Services	55
301.7 No Cost to Consumer	55
301.8 Written Materials Requirement	56
301.9 Charitable Choice	56
302 CONTRACTING	56
302.1 County Bulletins	56
303 HIPAA AND 42 CFR PART 2 COMPLIANCE	56
303.A HIPAA Confidentiality – Sensitive Information Manual	56
303.B County Policies: Personal Identifiable Information (PII) #239, #239 Attachment, #298, and #299	57
<u>303.C</u> 42 CFR Part 2 Confidentiality Forms	57
304 MONITORING	57
304.3 State Monitoring Period Window	57
304.5 County Triannual Monitoring	57
304.7 Corrective Action Plans (CAP)	57
304.8 New Provider Technical Assistance	58
304.9 Compliance Officer	58
305 NON-DISCRIMINATION IN EMPLOYMENT	58
306 NON-DISCRIMINATION OF PROVIDERS	58
307 CONSUMER GRIEVANCES AND APPEALS	59
308.A Consumer/Consumer Problem Resolution Process	59
308 CONSUMER RIGHTS	59

309	CONSUMER SATISFACTION	60
	309.A DHCS Information Notice Treatment Perceptions Survey.....	60
	309.B DHCS Info Notice Attachment Treatment Perceptions Survey.....	60
310	PROVIDER/CONSUMER COMMUNICATIONS.....	60
311	PROVIDER GRIEVANCE APPEALS	60
	311.A Service Denial Letter	60
	311.B Provider Denied Service Report Example.....	61
	311.C QI Provider Appeal Form	61
	311.D Substance Use Waiver Denial and Appeal Flow Chart	61
312	QUALITY IMPROVEMENT PLAN.....	61
	312.A QI FY 19-20 Plan.....	61
	312.B DHCS Quality Management FAQ	61
313	TRAINING.....	61
	313.A CalOMS Web Training.....	61
	313.B CIBHS ASAM and Waiver Trainings	61
314	CREDENTIALING	61
315	NOTICE OF ADVERSE BENEFIT DETERMINATION (NOABD).....	63
316	PROVIDER ADEQUACY REPORTING	63
317	PRACTICE REQUIREMENTS MANUAL	64
	317.1 Update Frequency.....	64
	317.3 Participation.....	64
	317.4 Posting Location.....	64
	317.5 Notice, instruction and monitoring.....	64
	317.6 Consumer informing materials access.....	64
318	REGULATORY COMPLIANCE.....	62
	318.1 Restriction on Distribution of Sterile Needles.....	62
	318.2 No Unlawful Use or Unlawful Use Messaging	62
	318.3 Funds prohibited to promote legalization of drugs	62
	318.4 Byrd Anti-Lobbying Amendment (31 USC 1352)	62

SAPT ADMINISTRATIVE OVERSIGHT

	PAGE
400 RESIDENTIAL CONSUMER AUTHORIZATION.....	66
400.1 Administration Authorization Approval Process.....	66
400.3 Unit Authorizations by Modality.....	66
400.4 Extension Requests.....	67
400.5 Authorized Lengths of Stay.....	67
400.6 Service Authorization Denials.....	67
400.A DHCS Information Notice Residential Authorizations.....	67
401 BILLING INSTRUCTION.....	67
401.1 No Charge to DMC Consumers.....	67
401.2 Practitioner Documentation Requirements.....	68
401.3 Medi-Cal Eligibility Verification.....	68
401.4 Aid Code Verification.....	68
401.5 County of Residence.....	68
401.6 Service Codes and HCPCs.....	68
401.7 Youth Service Codes.....	69
401.7 Perinatal Service Codes.....	69
401.7 Perinatal Youth Service Codes.....	69
401.8 Same Day Multiple Billing.....	69
401.9 EHR Billing Requirements.....	69
401.10 PIF Billing Deadline.....	69
401.11 Other Health Care (OHC) Billing Denials.....	69
401.12 OHC Priority Billing.....	70
401.13 OHC Partial Payment Reporting.....	70
401.14 OHC OTP Exclusion.....	70
401.15 Residential Room and Board.....	70
401.16 Share of Costs (SOC).....	70
401.17 Obligated SOC Payments.....	70
401.18 SOC Clearance.....	70
401.19 ACH Steps for Providers.....	70

	401.A	ACH Enrollment Forms.....	71
	401.B	Aid Code Master Chart.....	71
	401.C	SAPT Provider User Guide.....	71
	401.D	DHCS DMC Billing Manual.....	71
	401.E	DHCS Information Notice County of Responsibility.....	71
	401.F	DHCS Information Notice Procedure Code Modifiers.....	71
	401.G	DHCS Information Notice Same Day Billing.....	71
	401.H	DHCS Information Notice OHC Requirement.....	71
	401.I	County of Residence Eligibility Guide.....	71
	401.J	PIF Letterhead Template.....	71
	401.K	OHC Insurance Providers Contact Information.....	71
	401.L	ODF and IOT Group Billing Instructions.....	72
	401.M	Procedure Code Manual.....	72
	401.N	Program Integrity Form (PIF).....	72
	401.O	Understanding Aid Code Master Chart.....	72
402		CERTIFICATION REQUIREMENTS	72
	402.1	AOD Certification Details.....	72
	402.2	DMC Certification Details.....	72
	402.3	AOD DMC Certification Posting.....	72
	402.4	Changes in Certification Status.....	72
	402.5	Certification Renewals.....	72
	402.6	Providing Services During Recertification.....	72
	402.7	DHCS Unannounced Onsite Visits.....	72
	402.A	AOD Facility Licensing.....	72
	402.B	DMC Provider Enrollment Certification.....	72
403		CONTRACTING WITH RUHS-BH SAPT	72
	403.1	Provider Selection.....	73
	403.2-5	Prohibitive Relationships.....	73
	403.6	Monthly Acknowledgement Form.....	74
	403.9	SAPT Monitoring First Year.....	74
	403.10	System Access Forms.....	74

403.11	NPI Documentation.....	74
403.12	Practitioner Documentation.....	74
403.13	DMC Eligibility Site PIN.....	74
403.14	Not Selected Provider Appeal.....	74
403.A	ADA Checklist.....	72
403.B	Competitive Bid Appeal Process	72
403.C	Medi-Cal Website	75
403.D	CARF Template.....	75
403.E	New Provider Information Form and Checklist.....	75
403.F	NPI Registry	75
403.G	Practitioner Enrollment Application.....	75
403.H	SFTP Application.....	75
403.I	VPN Request Form Agreement.....	75
403.J	VPN Account Request Form.....	75
404	DATA ENTRY-PROVIDER AND SAPT ADMINISTRATION.....	75
404.1	Admission Data Entry.....	75
404.2	Admission Email Confirmation Information.....	75
404.3	Provider Admission Data Entry.....	75
404.4	Provider Caseload Reports.....	75
404.A	Annual Updates Data Entry.....	76
404.B	ASAM Data Collection Instructions.....	76
404.C	Contract Provider Report Access.....	76
404.D	DAS Discharge Data Entry Instructions.....	76
405	PROVIDER PROGRAM ADDITIONS OR CHANGES NOTIFICATIONS.....	76
405.2	Provider Contractual Requirements for Additions or Changes.....	76
406	SAPT MANAGED REPORTS.....	76
406.1	CalOMS Compile Error Report.....	77
406.2	DAS 1000 Open Caseload Report.....	77
406.3	DATAR Oversight.....	77
406.4	Void and Replace Report.....	78
406.5	Annual Updates Administration Steps.....	78

	406.A Contract Provider Report Access.....	78
407	STATE REPORTING	78
	407.1 CalOMS Annual Update.....	79
	407.2 Open Caseload Reporting.....	79
	407.3 DATAR Reporting.....	79
	407.A CalOMS Collection Guide.....	79
	407.B CalOMS Data Dictionary.....	79
	407.C DATAR Log-in	79
	407.D DATAR State Instruction.....	79
408	TERMINATING CONTRACT WITH COUNTY	79
	408.1 Consumer Notification.....	79
	408.2 County Notification to DHCS.....	79
	408.3 Consumer Records Possession.....	80
	408.4 Consumer Record Retention.....	80
409	TRAINING AND INFORMATION UPDATES-ADMINISTRATION	80
	409.2 DMC Eligibility Training.....	80
	409.4 Provider Meetings.....	80
	409.A Aid Code Manual	80
	409.B CalOMS Web Training.....	80
	409.C Medi-Cal Eligibility Website.....	80

PRIMARY PREVENTION

500	PRIMARY PREVENTION.....	81
501	STRATEGIC PREVENTION PLANNING	81
502	PRIMARY PREVENTION QUALITY STANDARDS	82
	502.2 Data Quality Standards	82
	502.3 Timeliness.....	83
	502.4 Logical	83
	502.5 Accuracy	84
	502.6 Completeness	84
	502.7 Valid.....	84
503	PREVENTION QUALITY IMPROVEMENT MONITORING	84
504	OUTREACH TO ADOLESCENTS	85

RESOURCES

	PAGE
600 LAWS AND REGULATIONS	87
FEDERAL	
600.1 Patient Records.....	87
600.2 Managed Care.....	87
600.3 Health Insurance Portable and Accountability Act (HIPAA).....	87
600.4 Civil Rights Act of 1964.....	87
600.5 Title 9 – Education.....	87
600.6 Civil Rights Act of 1968.....	87
600.7 Age Discrimination Act 1975.....	87
600.8 Age Discrimination in Employment.....	87
600.9 Title 1 Americans with Disabilities Act.....	87
600.10 Americans with Disabilities Act 28 CFR Part 35.....	87
600.11 Americans with Disabilities Act 28 CFR Part 36.....	87
600.12 Rehabilitation Act of 1973.....	87
600.13 Non-Discrimination in Employment Executive Order.....	87
600.14 Access to Federal Services for Persons with Limited English Executive Order.....	87
600.15 Drug Abuse Office Treatment Act of 1975.....	87
600.16 Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment & Rehabilitation Act of 1970.....	88
600.17 Americans with Disabilities Act of 1990.....	88
600.18 Section 1557 Consumer Protection Affordable Care Act.....	88
600.19 Record Keeping Requirements.....	88
STATE	
600.20 DHCS Counselor Certification.....	88
600.21 Counselor Certification Title 9, Division 4, Chapter 8.....	88
600.22 Title 22 Regulations.....	88
600.23 Sobky vs. Smoley.....	88
600.24 Employment Housing Act.....	88
600.25 California Non-Discrimination.....	88

AGENCY – DHCS

600.26 DHCS Drug Medi-Cal Special Terms and Conditions (Pg.s 89-122 and 335-363)..... 88

600.27 DHCS Perinatal Services Network Guidelines..... 88

600.28 DHCS Youth Treatment Guidelines..... 88

600.29 DHCS Alcohol and Other Drug Certification Standards..... 88

600.30 SABG Standards..... 88

COUNTY

600.31 Riverside DMC-ODS Implementation Plan..... 88

600.32 Riverside and State DMC-ODS Contract..... 88

600.33 Individual Provider-County Agreement..... 88

600.34 Riverside SAPT Bulletins..... 88

601 SAPT LICENSED CERTIFIED PROGRAMS 89

601.1 DEA Medication Control Regulations..... 89

601.2 Drug Medi-Cal Claim Submission Regulations..... 89

601.3 Title 9 NTP Regulatory References..... 89

601.4 Title 22 Provider Enrollment Regulations..... 89

602 NETWORK COVERAGE..... 89

602.A Riverside Network Coverage Map 89

602.B Provider Directory and Modalities PENDING 89

602.C County Clinic Locations 89

603 TERMINOLOGY..... 89

603.1 Abuse..... 89

603.2 Adolescents..... 89

603.3 Administrative Costs..... 89

603.4 Appeal..... 89

603.5 Authorization..... 89

603.6 Available Capacity..... 90

603.7 Consumer..... 90

603.8 Consumer Handbook..... 90


603.9 Calendar Week..... 90

603.10	Case Management.....	90
603.11	Certified Provider.....	90
603.12	Collateral Services.....	90
603.13	Complaint.....	90
603.14	Corrective Action Plan (CAP).....	90
603.15	County.....	90
603.16	Crisis Intervention.....	90
603.17	Delivery System.....	90
603.18	Discharge Services.....	91
603.19	Drug Medi-Cal Organized Delivery System Services.....	91
603.20	Drug Medi-Cal Program.....	91
603.21	Drug Medi-Cal Termination Certification.....	91
603.22	Early and Periodic Screening, Diagnosis, and Treatment Program (EPSDT).....	91
603.23	Education and Job Skills.....	91
603.24	Emergency Medical Condition.....	91
603.25	Emergency Services.....	92
603.26	Excluded Services.....	92
603.27	Face to Face.....	92
603.28	Family Support.....	92
603.29	Family Therapy.....	92
603.30	Fair Hearing.....	92
603.31	Final Settlement.....	92
603.32	Fraud.....	92
603.33	Grievance.....	92
603.34	Grievance and Appeal System.....	93
603.35	Group Counseling.....	93
603.36	Hospitalization.....	93
603.37	Individual Counseling.....	93
603.38	Intake.....	93
603.39	Intensive Outpatient Treatment.....	93
603.40	Licensed Practitioners of the Healing Arts.....	93


603.41	Medical Necessity and Necessary Services.....	93
603.42	Medical Necessity Criteria.....	94
603.43	Medical Psychotherapy.....	94
603.44	Medication Services.....	94
603.45	Opioid Treatment Program (OTP) aka NTP.....	94
603.46	Naltrexone Treatment.....	94
603.47	Network.....	94
603.48	Network Provider.....	94
603.49	Non-Perinatal Residential Program.....	94
603.50	Notice of Adverse Benefit Determination.....	95
603.51	Observation.....	95
603.52	Outpatient Services.....	95
603.53	Overpayment.....	95
603.54	Consumer Education.....	95
603.55	Participating Provider.....	95
603.56	Perinatal DMC Services.....	95
603.57	Physician.....	95
603.58	Physician Services.....	95
603.59	Postpartum.....	95
603.60	Post service Post payment (PSPP) Utilization Review.....	95
603.61	Pre-authorization.....	95
603.62	Prescription Drugs.....	96
603.63	Primary Care.....	96
603.64	Primary Care Physician (PCP).....	96
603.65	Primary Care Provider.....	96
603.66	Projected Units of Service.....	96
603.67	Provider.....	96
603.68	Re-Certification.....	96
603.69	Recovery Monitoring.....	96
603.70	Recovery Services.....	97
603.71	Rehabilitation Services.....	97

603.75	Relapse.....	97
603.73	Relapse Trigger.....	97
603.74	Residential Treatment Services.....	97
603.75	Safeguarding Medications.....	97
603.76	Service Authorization Request.....	97
603.77	Short-Term Residential.....	97
603.78	State.....	97
603.79	Subcontract.....	97
603.80	Subcontractor Provider.....	97
603.81	Substance Abuse Assistance.....	98
603.82	Substance Use Disorder Diagnosis.....	98
603.83	Support Groups.....	98
603.84	Support Plan.....	98
603.85	Telehealth Between Provider and Consumer.....	98
603.86	Telehealth Between Provider and Provider.....	98
603.87	Temporary Suspension.....	98
603.88	Threshold Language.....	98
603.89	Transportation Services.....	98
603.90	Unit of Service Description.....	98
603.91	Urgent Care.....	99
603.92	Utilization.....	99
603.93	Withdrawal Management.....	99
603.A	Riverside County Acronyms.....	99

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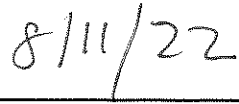
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Date



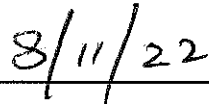
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Date

1. SUBSTANCE ABUSE AND PREVENTION TREATMENT PRACTICES AND PROCEDURE MANUAL INTRODUCTION

100 PRACTICES REQUIREMENTS MANUAL INTRODUCTION

The Riverside University Health System – Behavioral Health Substance Abuse Prevention and Treatment (RUHS-BH SAPT) Practices Requirements Manual offers user friendly guidance to all County of Riverside contracted SUD treatment providers, including Drug Medi-Cal (DMC) certified providers, in complying with all Federal, State and County SUD treatment requirements and standards. The Practices and Procedure Manual reflects “best practice” standards and seeks to prevent program deficiencies that can ultimately lead to disallowances and recoupment of monies. This manual has been developed in partnership with SUD treatment providers in the spirit of collaboration and transparency.

Required information to both the consumers and contracted providers will be provided in a manner and format that may be easily understood and is readily accessible.

The Practices and Procedure Manual is available to providers on RUHS-BH website and will be managed to provide required and necessary updates.

100.1 Practice guidelines will meet the following requirements:

- Are based on valid and reliable clinical evidence or a consensus of providers in a particular field.
- Consider the needs of the consumers.
- Are adopted in consultation with contracting health care professionals. and
- Are reviewed and updated periodically as appropriate.

The practices and procedure manual is specifically designed to be used by all administrative and direct service staff to ensure understanding of core values for the SUD system of care and adherence to the clinical and business expectations within Riverside County.

100.2 This document, along with other federal, state and local regulations govern the delivery of SUD treatment services in Riverside County. An extensive list of [laws and regulations](#) that are to be followed are listed in Section 5 – Resources.

101 SUBSTANCE USE DISORDER TREATMENT SERVICES PROGRAM OVERSIGHT

The Department of Health Care Services (DHCS) is responsible for administering SUD Treatment in California. RUHS-BH SAPT contracts with DHCS to fund local SUD treatment services. As part of the contract with DHCS, RUHS-BH SAPT ensures that state SUD treatment requirements and standards are met by maintaining fiscal management systems, monitoring provider billing, conducting compliance visits, processing claims for reimbursement, and offering training and technical assistance to SUD treatment providers.

- 101.1 In the event of conflicts between the Drug Medi-Cal Organized Delivery System (DMC-ODS) Waiver and Title 22, provisions of Title 22 shall control if they are more stringent.
- 101.2 Riverside Provider SAPT programs shall be licensed, registered, AOD (as applicable) licensed and DMC certified and approved in accordance with applicable laws and regulations. Providers shall comply with the regulations and guidelines as outlined in Section 6-Resources.

102 THE DISEASE CONCEPT OF SUBSTANCE USE DISORDER

Substance use disorders are often chronic, relapsing conditions of the brain that affect behavior by reinforcing compulsive drug seeking and use, despite catastrophic consequences to individuals, their families, and others around them (National Institute on Drug Abuse). Although most diseases cannot be cured, they can be monitored and managed over time. Examples of manageable chronic diseases include diabetes, HIV infection, asthma, and heart disease. While there is no cure for these diseases, when managed and monitored properly, individuals with such diseases are able to live a fairly normal life. While some individuals may develop a substance use disorder and achieve recovery after minimal intervention over a brief time, others will succumb to an intensified and relapsing course.

Approaching substance use disorders as a disease, assists with framing interventions aimed at managing the condition through a model of care that provides a continuum of services tailored to an individual's needs. As individuals progress through their recovery journey, the type and intensity of treatment services they receive should change and reflect the severity and nature of the person's substance use disorder. This approach also highlights the need for person centric care coordination to ensure that service delivery matches consumer need. Effective and efficient care for chronic conditions requires productive interactions between consumers, their families, and allied health providers including Substance Abuse counselors and other health professionals.

103 CONSUMER CENTERED CARE, INTEGRATION AND COORDINATION OF CARE

Retention in treatment is one of the most important factors that lead to successful outcomes of SUD care. In order to engage and retain consumers in treatment, it is paramount that care be delivered in a consumer-centered manner. In consumer-centered care, respect for the consumer is the guiding principle that ensures care is responsive to the consumer's individual needs, preferences, and values. Consumer preferences and values are considered and used as a guide in any decision making process.

- 103.1 Consumers accessing services through RUHS-BH and its providers are entitled to receive services that meet industry standards and are of the highest quality. RUHS-BH's SAPT Clinics and contracted providers make available services that are based on peer-reviewed Evidence Based Practices (EBP) that have undergone stringent evaluation and meet clinical standards. Such practices

include, but are not limited to, Motivational Interviewing (MI), Cognitive Behavior Therapy (CBT) and curriculum based concepts such as Matrix Model and Living in Balance.

- 103.2 Additionally, RHUS-BH strives to provide integrated care and care coordination. Efforts are made to ensure that primary care, mental health services are easily accessible, and that connections or referrals to social services are available. Case management of consumers is also of great importance. Our clinics and providers will organize consumer care activities and coordinate the sharing of information to ensure that the needs of the consumers are addressed.
- 103.3 Providers shall allow each consumer to choose his or her network provider to the extent possible and appropriate.
- 103.4 For a counseling or referral service that the provider does not cover because of moral or religious objections, the provider shall provide information to the consumer about where and how to obtain the service.
- The Provider for sectarian worship, instruction, and/or proselytization shall use no State or Federal funds. The provider to provide direct, immediate, or substantial support to any religious activity shall use no State funds.

104 SPECIAL POPULATIONS

RUHS-BH and its contractors shall comply with federal and state mandates to provide SUD treatment services deemed medically necessary for Medi-Cal eligible: (1) pregnant and post-partum women, and (2) adolescents under age 21 who are eligible under the EPSDT program.

- 104.1 SUD services are provided to pregnant and post-partum women. Coverage for post-partum women begins the day after termination of pregnancy, plus sixty (60) days, then until the end of the month if the 60th day falls mid-month.
- 104.2 Providers who offer perinatal DMC services are required to be properly certified to provide these services and shall comply with the [Perinatal Services Network Guidelines](#).

104 SPECIAL POPULATIONS

RUHS-BH and its contractors shall comply with federal and state mandates to provide SUD treatment services deemed medically necessary for Medi-Cal eligible: (1) pregnant and post-partum women, and (2) adolescents under age 21 who are eligible under the EPSDT program.

- 104.1 SUD services are provided to pregnant and post partum women. Coverage for post partum women begins the day after termination of pregnancy, plus sixty (60) days, then until the end of the month if the 60th day falls mid-month.

- 104.2 Providers who offer perinatal DMC services are required to be properly certified to provide these services and shall comply with the [Perinatal Services Network Guidelines](#).
- 104.3 Individuals under age 21 are eligible to receive Medi-Cal services pursuant to the Early Periodic Screening, Diagnostic and Treatment (EPSDT) mandate. Under the EPSDT mandate, consumers under the age of 21 are eligible to receive all appropriate and medically necessary services needed to correct and ameliorate health conditions that are coverable under section 1905(a) Medicaid authority. No provisions in the DMC-ODS will override any EPSDT requirement. Medical necessity for an adolescent individual (an individual under the age of 21) is determined using the following criteria:
- The adolescent shall be assessed to correct or ameliorate screened health conditions. Services need not be curative or completely restorative to ameliorate a health condition, including substance misuse and SUDs. Services that sustain, support, improve, or make more tolerable substance misuse or an SUD are considered to ameliorate the condition. The adolescent shall meet the American Society of Addiction Medicine (ASAM) adolescent treatment criteria.
- 104.4 Contracting providers shall follow the [Adolescent Substance Use Disorder Best Practices Guide](#) in developing and implementing adolescent treatment programs funded through the DMC-ODS Waiver.
- 104.A [Perinatal Services Network Guidelines](#)
- 104.B [Adolescent Substance Use Disorder Best Practices Guide](#)

105 RUHS-BH MISSION STATEMENT

Improve the health and well-being of our consumers and communities through our dedication to exceptional and compassionate care, education, and research.

106 SAPT VISION STATEMENT

We are the passionate guides that will help individuals navigate a journey of understanding and healing.

107 RUHS-BH CULTURAL COMPETENCY STATEMENT

Riverside University Health System – Behavioral Health is proud of its commitment to cultural competency – the acceptance and valuing of people from all ethnic and religious backgrounds, regardless of their age, gender, sexual orientation, or disability. Embracing diversity will make us stronger mental health professionals for the benefit of our consumers. We do not discriminate.

DMC-ODS AND COUNTY CLINICAL REQUIREMENTS

200 ACCESS

- 200.1 Provider will have hours of operation during which services are provided to Medi-Cal consumers that are no less than the hours of operation during which the provider offers services to non-Medi-Cal consumers.
- 200.2 Provider shall post and record the Substance Use Community Access Referral Evaluation and Support (SUCARES) 24-hour phone line (800) 499-3008 during hours of non-operation.
- 200.3 All consumers requesting SUD screening services shall be screened for need and ASAM level of care the same day or given an appointment for screening the next business day. The consumer shall complete the SUD 6-dimension screening during the initial phone call, initial face-to-face interaction, or during the scheduled appointment.
- 200.4 Once the ASAM predetermination level of care is made through the screening tool, the consumer shall be scheduled for an appointment with a County clinic or Provider for a complete intake and assessment to determine diagnosis and medical necessity.
- 200.5 If the provider determines the consumer requires residential or withdrawal management services, they will contact the SU CARES personnel to coordinate the consumer's appointment with a contracted residential provider.
- 200.6 If the clinician determines the consumer requires residential or withdrawal management services, they will contact the CARES personnel to coordinate the consumer's placement for residential or withdrawal management services.
- 200.7 Outpatient consumers shall receive appropriate Medi-Cal reimbursable services prior to the assessment for up to 30 days for adults 21 and over or 60 days for documented homeless and adolescents 20 and younger following the first visit with an LPHA or registered/certified counselor.
- 200.8 Consumer preferences shall be considered such as cultural, geographical, gender, language and personal schedule. These preferences and special circumstances shall be documented in the consumer chart if applicable.
[CFR 42 431201](#).
- 200.9 Urgent conditions shall be addressed by the counselor while in contact with the consumer. Counselor shall reach out to police, a 24-hour crisis behavioral health team, or emergency personnel as the need arises. Additionally, the SU CARES will be informed of the emergency and details about how the consumer accessed any services.

201 SCREENING

- 201.1 Providers shall only admit Riverside County residents directly for County funded programs and work cooperatively with RUHS-BH SAPT and the Substance Abuse Program Administrator (or designee) to form an integrated network of care for individuals experiencing substance abuse problems. The Provider shall maintain close communication with RUHS-BH SAPT program in the coordination of consumer admission and transition so that contracted treatment services can be accessed in a timely manner.
- 201.2 Provider shall use the County initial screening tool for [the American Society of Addiction Medicine \(ASAM\)](#) consumer placement criteria.
- 201.3 The process for walk-in screenings and call-in screenings shall be identical. When a consumer calls by telephone, they will receive a complete County approved SUD screening. Once the predetermination of the ASAM level of care is made, the consumer shall be scheduled with a County clinic or a Provider for a complete assessment to determine diagnosis and medical necessity. The SUD screening and predetermination level of care will be entered into the Provider's Electronic Health Record (EHR) at that time and the consumer shall be linked to an appointment before the call or appointment is terminated.
- 201.4 The Provider must verify Medi-Cal eligibility of the individual. When the Provider conducts the initial eligibility verification, that verification shall be reviewed and approved by the County prior to payment for services.
- 201.5 A registered/certified substance abuse counselor, or licensed clinician shall be available to screen consumers, enter consumer information into the EHR system and place the consumer in an appropriate ASAM level of care, including pre-treatment education classes and individual prevention services.
- 201.6 Providers shall furnish medically necessary services in an amount, duration, and scope that is no less than the same services furnished to consumers under FFS Medicaid, as set forth in 42 CFR §550.340, and for consumers under the age of 21, as set forth in 42 CFR Section 440, subpart B.
- 201.7 Providers shall admit on a priority basis, pregnant women who are using or misusing substances, women who are using or abusing substances and who have dependent children, injecting drug users, and substance abusers infected with HIV or who have tuberculosis. Consumers shall not be required to disclose whether they are HIV positive. Priority admissions shall be given in the following order:
- Pregnant women who are using or abusing substances
 - Adolescents under age 21 who are eligible under the EPSDT program

- Women who are using or abusing substances who have dependent children
- Injecting drug users,
- Substance abusers infected with HIV or who have tuberculosis.
- All others

201.A [42 CFR 431.201](#)

201.8 Outpatient and OTP Providers shall establish a waiting list that includes a unique patient identifier for each injecting drug abuser seeking treatment including those receiving interim services, while awaiting admission to treatment. For individuals who cannot be placed in comprehensive treatment within 14 days, the provider shall ensure that they provide individuals interim services as defined in 45 CFR § 96.121 and ensure that a mechanism is developed for maintaining contact with the individuals awaiting admission. Residential providers shall work with CARES to coordinate treatment.

- Providers shall also ensure that they consult the waitlists so that patients on waiting lists are admitted at the earliest possible time to a program providing such treatment within reasonable geographic area.
- When a SUD treatment provider cannot admit a pregnant and parenting woman because of insufficient capacity, the provider will provide or arrange for interim services within 48 hours of the request, including a referral for prenatal care.

202 PLACEMENT

- 202.1 Enrollment discrimination is prohibited.
- 202.2 The Provider accepts individuals eligible for enrollment in the order in which they apply without restriction.
- 202.3 The Provider will not, on the basis of health status or need for health care services, discriminate against individuals eligible to enroll.
- 202.4 The Provider will not discriminate against individuals eligible to enroll under the laws of the United States and the State of California, and will not use any policy or practice that has the effect of discriminating. See Section 6 – Resources for Laws and regulations.
- 202.5 Outpatient placement may be conducted by either the Provider or the SU CARES team. Residential/Withdrawal Management placement may only be conducted by the SU CARES team.
- 202.6 When a predetermination of placement is conducted and the ASAM level of care is decided, the Provider's MD and/or LPHA must then complete a full assessment to determine a diagnosis and confirm medical necessity. The

Provider's MD and LPHA are responsible for confirming consumers have been appropriately placed and shall redirect consumer to another level of care when appropriate. Outpatient consumers shall receive appropriate Medi-Cal reimbursable services prior to the assessment for up to 30 days for adults 21 and over or 60 days for documented homeless and adolescents 20 and younger following the first visit with an LPHA or registered/certified counselor.

- 202.7 When applicable, a medical and/or psychiatric clearance will be obtained and noted.
- 202.8 Assessments shall consist of a completed screening, diagnosis, and ASAM Level of Care. This assessment will include an in-person appointment within the time frame required to determine diagnosis and assess if ASAM level of placement was appropriate. If the ASAM level is determined to be different by the Medical Director, Licensed Physician, or LPHA, the consumer will be assisted by the Provider, SU CARES and Care Coordination team to access a higher or lower level of care.
- 202.9 If MD or LPHA determines the consumer should be in another level of care, they will:
- Contact the consumer's assigned Care Coordinator and notify the SU CARES placement counselor to transition the consumer to the appropriate level of care. Provider is responsible for completing the additional paperwork, which shall be processed to transition the consumer to the appropriate level of care.
- 202.10 Providers are required to provide written notice of action (NOABD) to a Medi-Cal consumer of any decision to deny a service authorization request or to authorize a service in an amount duration, or scope that is less than the request made by a health care professional who has appropriate clinical expertise in treating the consumer's condition or disease at least ten (10) days before the date of action.
- Withdrawal Management and Residential Providers
- 202.11 SU CARES personnel are the only staff authorized to place a consumer in withdrawal management or residential treatment. This is in accordance with Department of Health Care Services (DHCS) [information notice 21-001](#), withdrawal management or residential placement guidelines.
- 202.12 Withdrawal Management and Residential Providers are required to submit Bed Availability daily to identify available bed slots for the day.
- 202.13 SU CARES personnel will complete the SAPT Placement Referral Form and forward it to the Provider through SFTP file when the bed has been secured.
- 202.14 County Care Coordinators will be assigned to a consumer when determined the consumer requires Withdrawal Management and/or Residential Treatment.

- 202.15 Providers are to collaborate and work closely with Care Coordinators to ensure engagement, re-engagement and warm hand-offs are present as the consumer proceeds through treatment.
- 202.16 Providers shall ensure that each consumer has an ongoing source of care appropriate to his or her needs and have the information needed to contact their designated Care Coordinator.
- 202.A [DHCS Information Notice 21-001](#)

203 ASSESSMENT

- 203.1 The Provider shall assure a counselor or LPHA completes a personal, medical, and substance use history for each outpatient consumer within 30 days for adults 21 and over or 60 days for adolescents 20 and younger and documented homeless. If the consumer withdraws from treatment prior to completing the assessment, and later returns, the time period starts over. Review the BHSIII and CT workflow for more information. For residential levels of care the assessment is done within 10 days, and for NTP day one.
- 203.2 Assessment for all consumers shall include at a minimum:
- Drug/Alcohol use history,
 - Medical history,
 - Family history,
 - Psychiatric/psychological history,
 - Social/recreational history,
 - Financial status history,
 - Educational history,
 - Employment history,
 - Criminal history, legal status, and
 - Previous SUD treatment history.
- 203.3 The Medical Director or LPHA shall review each consumer's personal, medical, and substance use history if completed by a counselor.

204 RE-ASSESSMENT (CONTINUING SERVICES)

- 204.1 Continuing services shall be justified for care coordination, outpatient services, intensive outpatient, and Naltrexone treatment.
- 204.2 For each consumer, no sooner than five (5) months and no later than six (6) months after the consumer's admission to treatment date or the date of completion of the most recent justification for continuing services, the LPHA or counselor shall review the consumer progress and eligibility to continue to

receive treatment services, and recommend whether the consumer should or should not continue to receive treatment services at the same level of care.

204.3 For each consumer, no sooner than five months and no later than six months after the consumer's admission to treatment date or the date of completion of the most recent justification for continuing services, the Medical Director or LPHA shall determine medical necessity for continued services for the consumer. The determination of medical necessity shall be documented by the Medical Director or LPHA in the consumer's individual consumer record and shall include documentation that all of the following have been considered:

- The consumer's personal, medical, and substance use history.
- Documentation of the consumer's most recent physical examination.
- The consumer's progress notes and treatment plan goals.
- The LPHA's or counselor's recommendation pursuant to the consumer's progress or lack of progress.
- The consumer's prognosis
- The MD or LPHA shall type or legibly print their name, and sign and date the documentation. The signature shall be adjacent to the typed or legibly printed name.

204.4 If the MD or LPHA determines that continuing treatment services for the consumer is not medically necessary, the provider shall discharge the consumer from treatment and arrange for the consumer to proceed to an appropriate level of treatment services.

204.5 Residential Providers shall adhere to the guidelines set forth in Section 214 Residential Treatment.

205 MEDICAL NECESSITY

Medical necessity refers to the applicable evidence based standards applied to justify the level of services provided to a consumer so the services can be deemed reasonable, necessary and/or appropriate. It is imperative that medical necessity standards are consistently and universally applied to all consumers.

205.1 Physician (or LPHA) shall:

- Review personal, medical, and substance use history.
- Evaluate each consumer and diagnose using DSM-5.
- Document basis for diagnosis within seven (7) days of admission via face-to-face session with the counselor and consumer.
- Exceptions: Withdrawal Management and OTP/NTP must be documented on day 1.

- 205.2 The Medical Director or LPHA shall evaluate each consumer’s assessment and intake information if completed by a counselor through a face-to-face review or telehealth with the counselor and consumer to establish whether the consumer meets medical necessity criteria or not. A telephone interview is not acceptable for establishing medical necessity.
- 205.3 The Medical Director or LPHA shall document, in narrative format, separately the basis for the diagnosis in the consumer’s record within three (3) calendar days of each consumer’s assessment date for outpatient, and seven (7) days of admission for residential.
- The basis for the diagnosis shall be a narrative summary based on DSM-5 criteria, demonstrating the Medical Director or LPHA evaluated each consumer’s assessment and intake information, including their personal, medical and substance use history.
- The Medical Director or LPHA shall type or legibly print their name, sign and date the diagnosis narrative documentation. The signature shall be adjacent to the typed or legibly printed name.
- 205.4 After establishing a diagnosis and documenting the basis for diagnosis, the ASAM criteria shall be applied by the diagnosing LPHA to determine or confirm placement into the appropriate modality or level of assessed services.
- 205.5 The Diagnostic and Statistical Manual of Mental Disorders, Version 5 (DSM-5) will be utilized by Providers for all consumers accessing SUD services.
- DSM-5 diagnosis
 - Youth (ages 11 – 17) and Young Adults (ages 18 – 20)
 - Either meet criteria for the DSM-5 specification for adults. OR
 - Be determined to be at-risk for developing a SUD
 - Adults (ages 21+)
 - Meet criteria for at least one diagnosis from the current DSM-5 for Substance- Related and Addictive Disorders, with the exception of Tobacco-Related Disorders and Non-Substance-Related Disorders.
- 205.6 Definition of At-Risk for Individuals up to Age 21 (*LA County Provider Manual 2017*)
- Youth (ages 11 – 17) and Young Adults (ages 18 – 20) in the specialty SUD system are eligible for Early and Periodic Screening, Diagnostic and Treatment (EPSDT) services. Eligibility for EPDST broadens the definition of medical necessity for youth to include individuals who are deemed “at-risk” for SUDs, and also makes the full SUD benefit package available to all individuals up to age 21 without any caps or limitations, assuming medical necessity is established.

Importantly, these federal EPSDT requirements supersede state Medi-Cal requirements, and the Drug Medi-Cal Organized Delivery System (DMC-ODS) Waiver does not override EPSDT.

205.7 Medical necessity encompasses all six (6) ASAM dimensions and takes into consideration the extent and biopsychosocial severity of the various dimensions within the full ASAM assessment. Medical necessity must not be restricted to acute care and narrow medical concerns. The six dimensions are:

- Acute Intoxication and/or Withdrawal Potential,
- Biomedical Conditions and Complications,
- Emotional, Behavioral, or Cognitive Conditions and Complications,
- Readiness to Change,
- Relapse, Continued Use, or Continued Problem Potential, and
- Recovery/Living Environment.

205.A [DHCS Title 22 Diagnosis Medical Necessity FAQ](#)

205.B [Title 22 Drug Medi-Cal Frequently Asked Questions 2022](#)

205.B [DHCS DSM-5 Information Notice 16-051](#)

206 PHYSICAL EXAMINATION REQUIREMENTS

206.1 If a consumer has a physical examination within a twelve month period prior to the consumer's admission to treatment date, the physician or registered nurse practitioner or physician's assistant (physician extenders) shall review documentation of the consumer's most recent physical examination within thirty (30) calendar days of the consumer's admission to treatment date. This review shall be documented in the individual consumer record progress notes.

- If a Provider is unable to obtain documentation of a consumer's most recent physical examination, the Provider shall describe the efforts made to obtain this documentation in the consumer's individual progress notes.

206.2 As an alternative to the above, the physician or physician extender may perform a physical examination of the consumer within thirty (30) days of the consumer's admission to treatment date.

206.3 If the physician or a physician extender has not reviewed the documentation of the consumer's physical examination, the LPHA or counselor shall document the referral to get a physical and follow up efforts in the consumer's progress notes until the physician has reviewed the physical examination results. The physician shall type or legibly print their name, sign, and date documentation to support they have reviewed the physical examination results. The signature shall be adjacent to the typed and legibly printed name.

206.A [BHIN 22-019](#)

207 CONSUMER ADMISSION

Each Provider shall include in its policies, procedures, and practice, written admission and readmission criteria for determining consumer's eligibility and the medical necessity for treatment.

207.1 Minimum documentation criteria shall include:

- DSM-5 Diagnosis,
- Use of alcohol/drugs of abuse,
- Physical health status
- Documentation of social and psychological problems.

207.2 If a potential consumer does not meet the admission criteria, the consumer shall be referred to an appropriate service provider as described in Section 202.9.

207.3 If a consumer is admitted to treatment, the consumer shall sign the consent to treatment form.

207.4 The Medical Director or LPHA shall document the basis for the diagnosis in the consumer record.

207.5 All referrals made by the provider staff shall be documented in the consumer record.

207.6 Copies of the following documents shall be provided to the consumer upon admission:

- Consumer rights
- Share of cost if applicable
- Notification of DMC funding accepted as payment in full
- Consent to treatment

207.7 Information of the following shall be provided to the consumer or posted in a prominent place accessible to all consumers:

- A statement of nondiscrimination by race, religion, sex, ethnicity, age, disability, sexual preference, and ability to pay.
- Complaint process and grievance procedures. The Contractor shall report complaints to DHCS by secure, encrypted e-mail to MCBHDmonitoring@dhcs.ca.gov within two business days of completion.
- Complaints for Residential Adult Alcoholism or Drug Abuse Recovery or Treatment Facilities, and counselor complaints may be made by using: The [Complaint Form](#) which is available and may be submitted online
- Appeal process for involuntary discharge.

- Patient's Rights
 - Notice of Privacy Practices HIPAA
 - Program rules and expectations.
 - Pursuant to 42 CFR 438.100, Providers shall be responsible for making available the Member Benefits Brochure to each consumer upon initial contact. The Member Benefits Brochure, provided by the County, contains information to enable consumers to understand how to use effectively utilize and navigate through DMC-ODS.
- 207.8 Where drug screening by urinalysis is deemed medically appropriate, the Providers shall:
- Establish procedures that protect against the falsification and/or contamination of any urine sample.
 - Document urinalysis results in the consumer's file.
- 207.9 If any person requests services but cannot be admitted immediately by the Provider due to full capacity status, the Provider shall notify the closest County facility and direct the person to the nearest County SAPT Outpatient facility for treatment.
- 207.10 Providers will make interim services available for pregnant and parenting women awaiting admission into treatment. The purpose of providing interim services is to reduce the adverse health effects of substance use, promote the health of the woman, and reduce the risk of disease transmission.
- 207.11 If a SUD treatment provider has insufficient capacity to provide treatment services to pregnant and parenting women using drugs intravenously, and a referral to treatment has been made, the provider must:
- At a minimum, interim services include the following:
 - Counseling and education about the risks and prevention of transmission of HIV and TB;
 - Referral for HIV or TB services.

208 CARE COORDINATION

- 208.1 Services provided to the consumer will be coordinated as follows:
- Between settings of care, including appropriate discharge planning for short term and long-term hospital and institutional stays.
 - With the services, the consumer receives from any other managed care organization.
 - With the services, the consumer receives in FFS Medicaid.
 - With the services, the consumer receives from community and social support providers.

- Providers shall assist Riverside county residents in filling out any applicable applications for Welfare, Medi-Cal, and/or any other social services needed or requested.
- 208.2 Provider will work closely with County Care Coordinators, County Clinics and other County Providers to ensure consumers remain engaged, are re-engaged or are transitioned to another level of care efficiently and successfully.
- 208.3 Providers shall ensure the following related to Tuberculosis (TB):
- Routinely make available TB services to each individual receiving treatment for AOD use and/or abuse.
 - Reduce barriers to patients' accepting TB treatment.
 - Develop strategies to improve follow-up monitoring, particularly after patients leave treatment, by disseminating information through educational bulletins and technical assistance.

209 PERSONNEL SPECIFICATIONS

The following requirements shall apply to Provider and Provider staff.

- 209.1 The professional staff shall be licensed, registered, certified or recognized under California scope of practice statutes. Professional staff shall provide services within their individual scope of practice and receive supervision required under their scope of practice laws. Licensed Practitioners of the Healing Arts (LPHA) include:
- Physician,
 - Nurse Practitioners,
 - Physician Assistants,
 - Registered Nurses,
 - Registered Pharmacists,
 - Licensed Clinical Psychologists,
 - Licensed Clinical Social Worker,
 - Licensed Professional Clinical Counselor,
 - Licensed Marriage and Family Therapists, and
 - License Eligible Practitioners working under the supervision of Licensed Clinicians.
- 209.2 Non-professional staff shall receive appropriate onsite orientation and training prior to performing assigned duties. A professional and/or administrative staff shall supervise non-professional staff.

- 209.3 Professional and non-professional staff are required to have appropriate experience and any necessary training at the time of hiring. Documentation of trainings, certifications and licensure shall be contained in personnel files.
- 209.4 Professional staff Medical Director or (LPHAs) shall receive a minimum of five (5) hours of continuing education related to addiction medicine each year.
- 209.5 Registered and certified AOD counselors shall adhere to all requirements in [Title 9, Chapter 8](#).
- 209.6 Providers will ensure personnel are competent, trained and qualified to provide any services necessary.
- 209.7 Providers will maintain records of current certification and NPI registration and fidelity reviews for all staff providing EBP interventions.
- 209.8 Providers shall maintain proof of participation in all County and State mandated training.
- 209.9 Providers shall employ and utilize staff who are culturally and ethnically representative of the population being served.
- 209.10 Providers will ensure all primary staff members are paid personnel. Volunteers and interns may be used on a limited basis.
- Providers will ensure consumers of the program are not substituted for paid personnel.
- 209.11 Providers will ensure a sufficient number of staff members are certified in Cardiopulmonary Resuscitation (CPR) and basic First Aid to provide coverage at all times.
- 209.12 Before a member of the workforce may access Department PHI or PI, a background screening of that worker must be conducted. The screening should be commensurate with the risk and magnitude of harm the employee could cause, with more thorough screening being done for those employees who are authorized to bypass significant technical and operational security controls. The Contractor shall retain each workforce member's background check documentation for a period of three (3) years.
- Providers will ensure that all staff members working with individuals receiving services are fingerprinted (LiveScan), and pass Department of Justice (DOJ), and Federal Bureau of Investigations (FBI) background checks. Additionally, Federal exclusion database check and credentialing protocols shall be followed.
- 209.13 Provider shall be responsible for checking, on a monthly basis, the [Office of the Inspector General \(OIG\) website](#) to validate that none of the Provider's officers, board members, employees, associates, and agents providing services are on the OIG or Medi-Cal list of excluded individuals to provide direct services to

County consumers. Providers shall notify, in writing within thirty (30) calendar days, if and when any Provider's personnel are found listed on this site and what action has been taken to remedy the matter.

Additional exclusion databases to check monthly are as follows:

[HTTPS://FILES.MEDI-CAL.CA.GOV/PUBSDOCO/SANDILANDING.ASP](https://files.medi-cal.ca.gov/pubsdoco/sandilanding.asp)
[HTTPS://WWW.CMS.GOV/REGULATIONS-AND-GUIDANCE/ADMINISTRATIVE-SIMPLIFICATION/NATIONALPROVIDENTSTAND/DATADISSEMINATION.HTML](https://www.cms.gov/regulations-and-guidance/administrative-simplification/nationalprovidentstand/datadissemination.html)
[HTTPS://WWW.SAM.GOV/SAM/](https://www.sam.gov/sam/)
[HTTPS://CLASSIC.NTIS.GOV/PRODUCTS/SSA-DMF/#](https://classic.ntis.gov/products/ssa-dmf/#)

- 209.14 Personnel files shall be maintained on all employees and volunteers/interns and shall contain the following:
- Application for employment and/or resume,
 - Signed employment confirmation statement/duty statement,
 - Job description,
 - Performance evaluations,
 - Health records/status as required by Provider, AOD certification or Title 9.
 - Other personnel actions (e.g., commendations, discipline, status change, employment incidents and/or injuries),
 - Training documentation relative to substance use disorders and treatment.
 - Current registration, certification, intern status, or licensure,
 - Proof of continuing education required by licensing or certifying agency and program, and
 - Provider's Code of Conduct and for registered, certified, and licensed staff, a copy of the certifying/licensing body's code of conduct as well.
- 209.15 Job descriptions shall be developed, revised as needed and approved by the Provider's governing body. The job descriptions shall include:
- Position title and classification,
 - Duties and responsibilities,
 - Lines of supervision, and
 - Education, training, work experience, and other qualifications for the position.
- 209.16 Written Provider code of conduct for employees and volunteers/interns shall be established which addresses the following:
- Use of drugs and/or alcohol.

- Prohibition of social/business relationship with consumer's or their family members for personal gain.
- Prohibition of sexual conduct with consumers'.
- Conflict of interest.
- Providing services beyond scope.
- Discrimination against consumer's or staff.
- Verbally, physically, or sexually harassing, threatening, or abusing consumers, family members or other staff.
- Protection consumer confidentiality.
- The elements found in the code of conduct(s) for the certifying organization(s) the program's counselors are certified under.
- Cooperate with complaint investigations.

209.17 If a Provider utilizes the services of volunteers and or interns, procedures shall be implemented which addresses:

- Recruitment,
- Screening,
- Selection,
- Training and orientation documentation relative to substance use disorders and treatment.
- Duties and assignments,
- Scope of practice,
- Supervision,
- Evaluation, and
- Protection of consumer confidentiality.

209.18 Written roles and responsibilities and a code of conduct for the Medical Director shall be clearly documented, co-signed and dated by the physician and program representative.

209.19 Provider shall designate a Compliance Officer who is responsible for developing and implementing policies, procedures, and practices designed to ensure compliance with the requirements of County Agreement and who reports directly to the Chief Executive Officer and the board of directors.

209.A [Title 9, Chapter 8](#)

210 SUBSTANCE USE DISORDER MEDICAL DIRECTOR

The substance use disorder Medical Director's responsibilities shall, at a minimum, include all of the following:

- 210.1 Ensure that medical care provided by physicians and physician extenders meets the applicable standard of care.
- 210.2 Ensure that physicians do not delegate their duties to non-physician personnel.
- 210.3 Develop and implement medical policies and standards for the provider and sign off.
- 210.4 Ensure that physicians, registered nurse practitioners, and physician assistants follow the provider's medical policies and standards.
- 210.5 Ensure that the medical decisions made by physicians are not influenced by fiscal considerations.
- 210.6 Ensure that provider's physicians and LPHAs are adequately trained to diagnose substance use disorders for consumers and determine the medical necessity of treatment for consumers.
- 210.7 Ensure that physicians are adequately trained to perform other physician duties, as outlined.
- 210.8 The substance use disorder Medical Director may delegate his/her responsibilities to a physician consistent with the Provider's medical policies and standards. However, the substance use disorder Medical Director shall remain responsible for ensuring all delegated duties are properly performed.

RIVERSIDE COUNTY CONTINUUM OF CARE

RUHS-BH offers a full continuum of care. The appropriate level of care modality is initially determined by completion of the ASAM criteria in conjunction with approved screening tools. After the initial assessment, admissions, and transitioning from modalities is based on successful completion of and referral to another level of service, until discharge. There are times that consumers may need a higher level of care as a result of continued use or in need of increased support. Consumers will continue to be assessed and if needed, assisted by staff in transitioning to the level of care necessary to increase potential consumer success.

211 OUTPATIENT-ODF (ASAM LEVEL 1.0)

Outpatient counseling services are provided to consumers (**up to 9 hours per week for adults and less than 6 hours per week for adolescents**) when determined by a Medical Director or LHPA to be medically necessary. Services are designed to treat the individual who meets the diagnostic criteria for SUD and presents with the ability and stability to participate in low-intensity, professionally directed SUD treatment. Medication-assisted treatment, (MAT) medications are required to either be offered directly for addiction treatment or the program is to have an effective referral mechanism in place to the most clinically appropriate MAT services. Providing contact information for a treatment program is insufficient. Ultimately the SUD treatment will assist in achieving permanent change in

using behaviors and improve mental functioning for the consumer. Group size is limited to no less than two (2) and no more than twelve (12) consumers.

- 211.1 Services can be provided by a licensed behavioral health professional or a certified counselor in any appropriate setting in the community. Services can be provided in-person, by telephone, or by telehealth, and in any appropriated setting in the community.
- 211.2 Providers will address personal lifestyles, attitudes and behaviors that can affect or prevent accomplishing the goals of treatment.
- 211.3 Level 1 may be the initial phase of treatment, a step down, or for the individual who is not ready or willing to commit to a full recovery program. The consumer may be in the pre-contemplation stage of the Stages of Change.
- 211.4 Level 1 is an excellent way to engage resistant individuals.
- 211.5 A consumer shall be provided a minimum of two (2) counseling sessions per thirty (30) day period except when the physician determines that:
 - Fewer consumer contacts are clinically appropriate.
 - The consumer is progressing toward goals.
- 211.6 Outpatient Treatment Services include: assessment, care coordination, counseling (individual and group), family therapy, medication services, MAT for OUD, MAT for AUD and non-opioid SUDs, patient education, recovery services, SUD crisis intervention services.

Adolescent Program Staffing

- 211.7 Each youth treatment program should have at least the following core staff:
 - a program or clinical supervisor, who should have management experience (i.e., staff supervision, fiscal operations, or business administration), and education and experience in AOD addiction counseling;
 - an AOD counselor, who should be certified by an AOD addiction counselor credentialing organization; and,
 - a family therapist, who should be licensed as either a marriage and family therapist, clinical social worker, psychologist, or a registered intern under the supervision of a licensed therapist. The family therapist may be a contracted employee.
- 211.8 When providing care coordination with an adolescent, the case manager should have training and skills in the following areas:
 - AOD treatment, an understanding of addiction, and the intergenerational nature of AOD abuse;
 - familiarity with community resources and other youth service systems (education, child welfare, juvenile justice, mental health, etc.);

- physical and sexual abuse;
- Skilled at reaching and communicating with adolescents and their families, presenting information in ways adolescents can understand and benefit from.
- Should be knowledgeable about adolescent health and safety, signs of child abuse, sexual orientation and gender identity, co-occurring mental health disorders, and adolescent development (including age-appropriate activities, sexuality, maturation and development, risk-taking, and identity development).
- legal issues (informed consent for minors, disclosure of confidential information, child abuse/neglect reporting requirements, and duty-to-warn issues).
- Continuing education should be available to all providers to maintain and further develop their skills in working with adolescents and their licensure or certification.

211.9 OT services include: assessment, care coordination, individual and group counseling, family therapy, medication services, MAT for OUD, MAT for AUD and non-opioid SUDs, patient education, recovery services, and SUD crisis intervention services.

212 INTENSIVE OUTPATIENT TREATMENT-IOT (2.1)

When determined by a Medical Director or an LPHA to be medically necessary, Intensive Outpatient Services are provided to consumers for a **minimum of 9 hours with a maximum of 19 hours per week for adults** and a **minimum of 6 hours with a maximum of 19 for adolescents**. More than 19 hours may be provided to adults and adolescents when determined by a Medical Director or an LPHA to be medically necessary. The length of stay may be extended when determined by a Medical Director or an LPHA to be medically necessary. Medication-assisted treatment, (MAT) medications are required to either be offered directly for addiction treatment or the program is to have an effective referral mechanism in place to the most clinically appropriate MAT services. Providing contact information for a treatment program is insufficient. Group size is limited to no less than two (2) and no more than twelve (12) consumers.

- 212.1 Intensive outpatient services can be provided during the day, in evenings, during weekdays, or on weekends. Services may be provided in-person, by telephone, or by telehealth, and in any appropriate setting in the community in accordance with HIPAA and 42 CFR Part 2.
- 212.2 IOT is designed to have the capacity to treat consumers who have more complex co-occurring mental and substance-related conditions.
- 212.3 Providers will ensure specific populations are offered IOT services when and where applicable.
- 212.4 A consumer shall be provided a minimum of two (2) counseling sessions per thirty (30) day period except when the physician determines that:

- Fewer consumer contacts are clinically appropriate.
- The consumer is progressing toward goals.
- Perinatal and Postpartum Services

An IOT program for pregnant and parenting substance abusing women shall have a child-learning laboratory as part of treatment, where women learn hands-on parenting skills. Groups will cover a variety of topics specific to pregnant and parenting mothers. Special speakers are also used to provide information and referrals to other community programs available for women.

- 212.5 Perinatal services shall address treatment and recovery issues specific to pregnant and postpartum women, such as relationships, sexual and physical abuse, and development of parenting skills.
- 212.6 Perinatal services shall include Mother/child IOT (i.e. development of parenting skills, training in child development, which may include the provision of cooperative childcare pursuant to Health and Safety Code Section 1596.792).
- 212.7 Provision of arrangement for transportation for mother and children to and from medically necessary treatment.
- 212.8 Provider shall offer education regarding the reduction of harmful effects of alcohol and drugs on the mother and fetus or the mother and infant.
- 212.9 Provider shall make available coordination of ancillary services such as assistance in accessing and completing dental services, social services, community services, educational/vocational training and other services that are medically necessary to prevent risk to fetus or infant.
- 212.10 Medical documentation that substantiates the consumer’s pregnancy and the last day of pregnancy shall be maintained in the consumer record.
- 212.11 Provider shall follow [Perinatal Services Network Guidelines](#).
- 212.12 Intensive outpatient services shall include: assessment, individual and group counseling, family therapy, patient education, medication services, collateral services, and SUD crisis intervention services.
- 212.13 Outreach efforts are especially crucial in educating pregnant and parenting women on the harmful effects of drug use and the services available.
- Providers that serve pregnant and parenting women using injection drugs must use the following research-based outreach efforts:
 - Select, train, and supervise outreach workers;
 - Contact, communicate, and follow-up with high risk individuals with SUDs, their associates, and neighborhood residents, within the Federal and State confidentiality requirements;

- Promote awareness among women using injection drugs about the relationship between injection drug use and communicable diseases, such as Human Immunodeficiency Virus (HIV), Hepatitis B, Hepatitis C, and Tuberculosis (TB);
 - Recommend steps to ensure that HIV transmission does not occur; and Encourage entry into treatment.
- 212.14 Providers delivering treatment services to pregnant and parenting women must publicize the availability of such services. It is important for women to be aware of the services available to them within their community. In addition to increasing the likelihood for individuals to seek treatment, outreach services also aim to promote awareness about drug use and diseases such as HIV.
- To publicize the availability of services, providers may consider the following methods:
 - Public services announcements;
 - Advertisements;
 - Posters placed in targeted areas; and
 - Notification of treatment availability distributed to the network of community-based organizations, health care providers, and social service agencies. Information shall include hours of operation, staff credentials, and Levels of Care.
- 212.15 In addition, the provider shall complete a personal, medical, and substance use history within 30 calendar days of admission to treatment.
- 212.16 Pregnant women who are dependent on opioids and have a documented history of addiction to opioids, may be admitted to maintenance treatment without documentation of a 2-year addiction history or two prior treatment failures.
- 212.17 Physicians shall reevaluate the pregnant woman no later than 60 days postpartum to determine whether continued maintenance treatment is appropriate.
- 212.18 IOT services include: assessment, care coordination, individual and group counseling, family therapy, medication services, MAT for OUD, MAT for AUD and non-opioid SUDs, patient education, recovery services, and SUD crisis intervention services.
- 212.A [DHCS Intensive Outpatient Treatment FAQ](#)
- 212.B [Perinatal Services Network Guidelines](#)

213 PARTIAL HOSPITALIZATION (ASAM LEVEL 2.5)

Services feature twenty (20) or more hours of clinically intensive programming per week when determined by a Medical Director or LPHA to be medically necessary. Services are clinically intensive programming designed to address the treatment needs of consumers

with severe SUD requiring more intensive treatment services than can be provided at lower levels of care. Level 2.5 partial hospitalization programs typically have direct access to psychiatric, medical, and laboratory services, and are to meet the identified needs which warrant daily monitoring or management but can be appropriately addressed in a structured outpatient setting. Services may be provided in person, telehealth, or by telephone. This service is a contracted service.

- Partial Hospitalization Services include the following service components: assessment, care coordination, individual and group counseling, family therapy, medication services, MAT for OUD, MAT for AUD and non-opioid SUDs, patient education, recovery services, SUD crisis intervention services.
- The contractor shall either offer MAT directly, or have effective referral mechanisms to the most clinically appropriate MAT services in place. Providing a consumer the contact information for a treatment program is insufficient.

214 RESIDENTIAL TREATMENT

Facilities are short-term residential programs that provide rehabilitation services to consumers with a substance use disorder diagnosis when determined by a Medical Director or LPHA as medically necessary. These services are intended to be individualized to treat the functional deficits identified in the ASAM Criteria. The daily regimen and structured patterns of activities are intended to restore cognitive functioning and build behavioral patterns within a community.

- 214.1 The contracting Provider must receive prior authorization for residential services before admitting a consumer into a withdrawal management or residential services as described in Placement Section 202.
- 214.2 Residential services are provided to non-perinatal (male and female), perinatal and adolescents and include assessment, care coordination, counseling (individual and group), family therapy, medication services, MAT for OUD, MAT for AUD and non-opioid SUDs, patient education, recovery services, and SUD crisis intervention services.
- 214.3 Services are intended to be individualized to treat the functional deficits identified in the ASAM Criteria. In the residential treatment environment, an individual's functional cognitive deficits may require treatment that is primarily slower paced, more concrete and repetitive in nature.
- 214.4 Each consumer shall live on the premises and shall be supported in their efforts to restore, maintain and apply interpersonal and independent living skills and access community support systems.
- 214.5 Providers and residents work collaboratively to define barriers, planning for the provision of services for all persons including those with a disability, set priorities,

establish goals, create individualized treatment plans, and solve problems. Goals include sustaining abstinence, preparing for relapse triggers, improving personal health and social functioning, and engaging in continuing care.

- 214.6 Adults, ages 21 and over, may receive medically necessary continuous short-term residential regimens. A short-term residential regimen is defined as one (1) residential stay in a DHCS licensed facility for a maximum of sixty (60) days.
- 214.7 An adult consumer may receive one thirty (30) day extension, if that extension is medically necessary.
- 214.8 Adolescent consumers, under the age of 21, may receive a thirty (30) day extension if that extension is determined to be medically necessary. Adolescent consumers receiving residential treatment shall be stabilized as soon as possible and moved down to a less intensive level of treatment. Nothing in the DMC-ODS or in this paragraph overrides any EPSDT requirements. EPSDT adolescent consumers may also receive a longer length of stay based on medical necessity.
- 214.9 Perinatal consumers may receive lengths of stay up to the length of the pregnancy and postpartum period (60 days after the pregnancy ends.)
- 214.10 If determined to be medically necessary, perinatal consumers may receive a longer length of stay than those described above.
- 214.11 See [Perinatal and post-partum services](#) for more information.
- 214.A [DHCS ASAM Levels Residential Info Notice](#)
- 214.B [DHCS Medically Managed Residential and WM 3.7 & 4.0 Info Notice](#)
- 214.C [DHCS Residential Authorization Info Notice](#)

215 CLINICALLY MANAGED, LOW INTENSITY RESIDENTIAL SERVICES (ASAM LEVEL 3.1)

Level 3.1 is a 24-hour structure with available trained personnel and **at least five (5) hours of clinical service/week.**

- 215.1 Services are to improve the ability to structure and organize tasks of daily living and recovery.
- 215.2 Planned clinical program activities (at least five (5) hours/week) are directed to stabilize the consumer's SUD symptoms, increase motivation, and develop recovery skills.
- 215.3 Counseling and clinical monitoring are to support involvement in productive daily living activities.
- 215.4 Drug screening and monitoring of medication adherence will be utilized in a therapeutic manner.
- 215.5 Recovery support services, including support for the affected family shall be made available.

215.6 Addiction pharmacotherapy shall be made available.

216 CLINICALLY MANAGED, POPULATION SPECIFIC HIGH INTENSITY RESIDENTIAL SERVICES (ASAM LEVEL 3.3)

Level 3.3 is a 24-hour structured living environment in combination with high-intensity clinical services for individuals with significant cognitive impairment. The cognitive impairments are so significant that outpatient motivational and/or relapse prevention strategies are not feasible or effective and it is unlikely he/she could benefit from other levels of residential care. The impairments may be permanent or temporary and generally result in problems in interpersonal relationships, emotional coping, and/or comprehension.

216.1 Daily clinical services shall be provided to improve consumer's ability to structure and organize adult daily living tasks and succeed in productive daily activities such as work or school.

216.2 Clinical programming to stabilize consumer's addiction symptoms and develop recovery skills: may include a range of cognitive and/or behavioral therapies administered on an individual and group basis.

216.3 Drug Screening and monitoring of medication adherence shall be utilized in a therapeutic manner.

216.4 Recovery support services, including support for the affected family shall be made available.

217 CLINICALLY MANAGED HIGH-INTENSITY RESIDENTIAL SERVICES (ASAM LEVEL 3.5)

Level 3.5 is a 24-hour residential care for consumers who require a 24-hour supportive treatment environment in order to develop sufficient recovery skills to avoid relapse or continued AOD use. Consumers typically have multiple challenges in addition to addiction (trauma history, criminal/legal issues, psychological problems, etc.).

217.1 Planned, evidence-based clinical program activities and professional services to stabilize addiction symptoms and develop recovery skills shall be provided.

217.2 Daily organized programming shall be provided to improve consumer's ability to structure and organize tasks of daily living and recovery.

217.3 Counseling and clinical monitoring are to support involvement in productive daily living activities.

217.4 Drug Screening and monitoring of medication adherence shall be utilized in a therapeutic manner.

217.5 Planned community reinforcement designed to foster pro-social values and community living skills shall be offered.

217.6 Recovery support services, including support for the affected family shall be made available.

- 217.7 Addiction pharmacotherapy shall be made available.
- 217.8 An assessment shall be conducted to include an initial withdrawal assessment including a medical evaluation or referral within 48-hours of admission. If consumer is experiencing detoxification, the provider will make available daily withdrawal monitoring and ongoing screening for medical and nursing care needs (Adolescent Care).

218 MEDICALLY MANAGED INTENSIVE INPATIENT SERVICES (ASAM LEVEL 3.7)

Level 3.7 is a 24-hour professionally directed evaluation, observation, medical monitoring, and addiction treatment service in an in consumer setting. These programs operate under a defined set of policies, procedures that are appropriate for consumers whose sub-acute biomedical and emotional, behavioral, or cognitive problems are so severe that they require medical management in an inpatient setting. Inpatient 3.7 level of care includes assessment, care coordination, counseling (individual and group), family therapy, medication services, MAT for OUD, MAT for AUD and other non-opioid SUDs, patient education, recovery services, and SUD crisis intervention services.

- 218.1 Daily clinical services to assess and address the consumer's individual treatment needs shall be provided. Services may include daily nursing services and medical services as required.
- 218.2 Providers will make available planned clinical program activities utilizing best-practice interventions to stabilize the consumer's SUD symptoms and/or psychiatric symptoms and develop recovery skills.
- 218.3 Counseling and clinical monitoring are to support involvement in productive daily living activities.
- 218.4 Drug Screening and monitoring of medication adherence shall be utilized in a therapeutic manner.
- 218.5 Recovery support services, including support for the affected family shall be made available.
- 218.6 Addiction pharmacotherapy shall be made available.

219 MEDICALLY MANAGED INPATIENT SERVICES (ASAM LEVEL 4.0)

Services in a Level 4 program are appropriate for consumers who have severe, unstable mental health and substance use disorders, which at times may be complicated by significant medical issues. These disorders require a range of medical, nursing, and other clinical interventions delivered in a 24-hour, medically managed care setting.

- 219.1 The Provider will make available all necessary acute care services, specialty consultation, and intensive care with initial withdrawal management and daily nursing observation, evaluation, and monitoring.

- 219.2 Daily assessment and clinical services shall be provided to address the consumer's individual treatment needs, to include pharmacological, cognitive-behavioral, motivational enhancement, and health education services.
- 219.3 Daily treatment shall be provided to manage acute biomedical symptoms.
- 219.4 Drug Screening and management of medication adherence shall be utilized in a therapeutic manner.
- 219.5 Recovery support services, including support for the affected family shall be made available.
- 219.6 Addiction pharmacotherapy shall be made available.
- 219.7 A physician shall be made available as medically necessary.
- 219.8 Additional medical specialty consultation and lab/toxicology services are available on-site or through consultation.
- 219.9 Psychiatric services are available on-site or through consultation-available within eight (8) hours by telephone or 24-hours in person.

220 WITHDRAWAL MANAGEMENT

Withdrawal Management (WM) services are provided in a continuum of WM services as per the five levels of WM in the ASAM Criteria when determined by a Medical Director or LPHA as medically necessary. Each consumer shall reside at the facility if receiving a residential service and will be monitored during the detoxification process. Medically necessary rehabilitative services are approved and authorized according to the State of California requirements. Withdrawal Management Services include assessment, care coordination, medication services, MAT for OUD, MAT for AUD and non-opioid SUDs, observation, and recovery services. Providers shall either offer MAT directly or have effective referral mechanisms to the most clinically appropriate MAT services in place (defined as facilitating access to MAT off-site for Consumers while they are receiving withdrawal management services if not provided on-site). Providing a consumer the contact information for a treatment program is insufficient.

Withdrawal management services are urgent and provided on a short-term basis. When provided as part of withdrawal management services, service activities, such as the assessment, shall focus on the stabilization and management of psychological and physiological symptoms associated with withdrawal, engagement in care and effective transitions to a level of care where comprehensive treatment services are provided.

A full ASAM Criteria assessment shall not be required as a condition of admission to a facility providing Withdrawal Management. To facilitate an appropriate care transition, a full ASAM assessment, brief screening, or other tool to support referral to additional services is appropriate.

220.A [DHCS Medically Managed Residential and WM 3.7 & 4.0 Info Notice](#)

220.B [DHCS Additional Withdrawal Management Info Notice](#)

220.C [DHCS Residential Authorizations \(and WM\) Info Notice](#)

221 AMBULATORY WITHDRAWAL MANAGEMENT WITHOUT EXTENDED ON-SITE MONITORING (ASAM LEVEL 1.0-WM)

This level of withdrawal management is an organized outpatient service, which may be delivered in an office setting, healthcare or addiction treatment facility or in a consumer's home by trained clinicians who provide medically supervised evaluation, detoxification, and referral services according to a predetermined schedule. Providers will ensure the following are available:

- 221.1 All necessary services for assessment.
- 221.2 Medication or non-medication withdrawal management.
- 221.3 Physician or nurse monitoring.
- 221.4 Clinical support and education.
- 221.5 Referral for ongoing support or transfer planning.

222 AMBULATORY WITHDRAWAL MANAGEMENT WITH EXTENDED ON-SITE MONITORING ASAM (LEVEL 2.0-WM)

This level of withdrawal management is an organized outpatient service, which may be delivered in an office setting, a health care or addiction treatment facility or in a consumer's home by trained clinicians who provide medically supervised evaluation, withdrawal management, and referral services according to a predetermined schedule. Providers will ensure the following are available:

- 222.1 All necessary services for assessment and medication or non-medication withdrawal management.
- 222.2 Clinical support, best practices and evidenced based therapies, and education designed to enhance the consumer's health.
- 222.3 Education and understanding of addiction.
- 222.4 Assessment of progress through withdrawal management.
- 222.5 Services to families and significant others.
- 222.6 Referral for ongoing support or transfer planning.

223 CLINICALLY MANAGED RESIDENTIAL WITHDRAWAL MANAGEMENT (ASAM LEVEL 3.2 WM)

Clinically Managed Residential Withdrawal Management (sometimes referred to as “social setting detoxification”) is an organized service that may be delivered by an appropriately trained staff member who provides 24-hour supervision, observation, and support for consumers who are intoxicated or experiencing withdrawal. This level is characterized by

its emphasis on peer and social support rather than medical and nursing care. This level provides care for consumers whose intoxication/withdrawal signs and symptoms are sufficiently severe to require 24-hour structure and support. Providers will follow [DHCS Information Notice 21-001](#) and ensure the following are available:

- 223.1 The clinical components of Level 3.2 WM include all necessary services for assessment and medication or non-medication withdrawal management.
- 223.2 Clinical support, best-practices therapies, and education designed to enhance the consumer's health education and understanding of addiction.
- 223.3 Daily assessment of progress through withdrawal management.
- 223.4 Services to families and significant others.
- 223.5 Referral for ongoing support or transfer planning.

224 MEDICALLY MONITORED INPATIENT WITHDRAWAL MANAGEMENT (ASAM LEVEL 3.7-WM)

This level of detoxification is provided to consumers whose withdrawal symptoms are sufficiently severe to require 24-hour inpatient care and medical monitoring. Providers will ensure the following are available:

- 224.1 Cognitive, behavioral, medical, mental health and other therapies designed to enhance the consumer's understanding of addiction and completion of the withdrawal.
- 224.2 Multidisciplinary individualized assessment and treatment.
- 224.3 Health Education.
- 224.4 Services for families and significant others.
- 224.5 Referral for ongoing support or transfer planning.

225 MEDICALLY MANAGED INTENSIVE INPATIENT WITHDRAWAL MANAGEMENT (ASAM LEVEL 4.0-WM)

This level of detoxification is provided to consumers whose withdrawal symptoms are sufficiently severe to require 24-hour inpatient care and medical management. Providers will ensure the following are available.

- 225.1 Cognitive, behavioral, medical, mental health and other therapies designed to enhance the consumer's understanding of addiction and completion of the withdrawal.
- 225.2 Multidisciplinary individualized assessment and treatment.
- 225.3 Health Education.
- 225.4 Services for families and significant others.

225.5 Referral for ongoing support or transfer planning.

226 OPIOID TREATMENT PROGRAM - OTP - (ASAM LEVEL 1.0)

Narcotic Treatment Program (NTP) is an outpatient program that provides Food and Drug Administration (FDA)-approved medications and biological products to treat SUDs when ordered by a physician as medically necessary. NTPs shall administer, dispense, or prescribe medications to Consumers covered under the DMC-ODS formulary including methadone, buprenorphine (transmucosal and long-acting injectable), naltrexone (oral and long-acting injectable), naloxone and disulfiram. Counseling services provided in the NTP modality can be provided in person, by telehealth, or by telephone. However, the medical evaluation for methadone treatment (which consists of a medical history, laboratory tests, and a physical exam) shall be is conducted in person. Providers will ensure the following are available:

226.1 Assessment

226.2 Counseling

226.3 Patient Education

226.4 Medication Services that will be offered at OTP sites will be Methadone, Buprenorphine, Naloxone, and Disulfiram.

226.5 Care Coordination

226.6 SUD Crisis Intervention Services

226.7 Individualized Treatment Planning

226.8 Medical Psychotherapy: Type of counseling services consisting of a face- to-face discussion conducted by the Medical Director of the NTP/OTP on a one- on-one basis with the consumer.

226.9 Recovery Services.

226.10 Family Therapy

226.11 OTP/NTP providers shall provide a minimum of fifty (50) minutes per calendar month of counseling.

226.12 Consumers may be simultaneously participating in OTP services and other ASAM levels of care.

226.13 Additional criteria as describe in Title 9 Section 10350:

- The program physician shall administer or supervise administration of the initial dose of a medication used in replacement narcotic therapy.

- The new patient shall be observed to ingest this initial dose and shall continue to be observed for a period of time prescribed by the medical director or program physician.
- If the requirements contained in Subsection (b) of this regulation are delegated to a staff member as authorized by Section 11215 of the Health and Safety Code to administer or dispense medications, that staff member shall notify the medical director or program physician immediately of any adverse effects, and document in the patient's record the length of time he/she observed the new patient and the outcome of the observation.
- The initial dose shall be sufficient to control symptoms of withdrawal but shall not be so great as to cause sedation, respiratory depression, or other effects of acute intoxication.
- Programs shall specify in their protocols details of planned initial doses.
- If a program admits a patient who was receiving replacement narcotic therapy from another program the previous day, the initial dosage level requirement provided in Section 10355 and the observation requirement contained in Subsections (b) and (c) of this regulation do not apply.

226.A [DHCS MAT Rates Info Notice](#) (2022 rate notice.)

226.B [DHCS MAT Rates Info Notice Attachment](#) (2022 rate notice.)

226.C [Title 9, Chapter 4](#)

227 ADDITIONAL MEDICATION ASSISTED TREATMENT (MAT)

RUHS-BH recognizes the expansion of MAT services is crucial, and is actively pursuing both contracted providers and private providers to enroll in DMC to offer these services. Medications for addiction treatment includes all FDA-approved drugs and biological products to treat Alcohol Use Disorder (AUD), Opioid Use Disorder (OUD), and any SUD. MAT may be provided in clinical or non-clinical settings and can be delivered as a standalone service or as a service delivered as part of a level of care.

- 227.1 Providers will have procedures for linkage/integration for consumers requiring medication-assisted treatment.
- 227.2 Providers must submit MAT protocols to County for approval prior to providing services.
- 227.3 Provider staff will regularly communicate with physicians of consumers who are prescribed these medications unless the consumer refuses to consent to sign a 42 CFR Part 2 compliant release of information for this purpose.

- 227.4 These services are expanded services under the DMC-ODS and shall be reimbursed by DHCS under Drug Medi-Cal (DMC).
- 227.5 Additional Medication Assisted Treatment includes the ordering, prescribing, administering, and monitoring of all medications for substance use disorders.
- 227.6 Consumers needing or utilizing MAT shall be served and cannot be denied treatment services or be required to decrease dosage or be tapered off medications as a condition of entering or remaining in the program.
- 227.7 RUHS-BH will require Providers to have procedures for linkage and integration of consumers requiring MAT.
- 227.8 MAT service providers including clinics will offer Naltrexone (tablets or injection), Disulfiram (tablets), Acamprosate Calcium (tablets), Buprenorphine (tablets), and Vivitrol (injection).
- Naltrexone Treatment Services
- 227.9 For each consumer, the provider shall confirm and document that the consumer meets all of the following conditions:
- Has a documented history of opiate or alcohol addiction.
 - Is at least 18 years of age.
 - Has been opiate or alcohol free for a period of time to be determined by a physician based on the physician's clinical judgment. The provider shall administer a body specimen test to confirm the opiate or alcohol free status of the consumer.
 - Is not pregnant and is discharged from the treatment if she becomes pregnant.
 - The physician shall certify the consumer's fitness for treatment based upon the consumer's physical examination, medical history, and laboratory results.
 - The physician shall advise the consumer of the overdose risk should the consumer return to opiate or alcohol use while take Naltrexone and the ineffectiveness of opiate and alcohol pain relievers while on Naltrexone.
 - Residential and outpatient facilities cannot deny a consumer utilizing or needing MAT from program participation.
- 227.A [DHCS MAT Info Notice](#)

228 RECOVERY SERVICES (AFTERCARE)

Recovery Services can be delivered and claimed as a standalone service, concurrently with the other levels of care of a covered DMC-ODS service, or as a service delivered as part of these levels of care. Consumers may receive Recovery Services based on self-assessment or provider assessment of relapse risk. Linkages to these recovery services are provided in each RUHS-BH clinic by certified substance abuse counselors, licensed

clinicians, and peer support specialists, as well as through contracted providers. Recovery Services may be provided in person, by telehealth, or by telephone.

Linkages to these recovery services are provided in each RUHS-BH clinic by certified substance abuse counselors, licensed clinicians, and peer support specialists, as well as through contracted providers.

228.1 Components of Recovery Services

- Assessment
- Care coordination: Including linkages to housing assistance, transportation, and individual services coordination.
- Counseling (individual and group)
- Family Therapy
- Recovery monitoring (which includes recovery coaching and monitoring designed for the maximum reduction of the consumer's SUD)
- Relapse prevention (which includes interventions designed to teach consumers with SUD how to anticipate and cope with the potential for relapse)

228.2 Access to Recovery Services

- Consumers do not need to be diagnosed as being in remission to access Recovery Services.
- Consumers may receive Recovery Services while receiving MAT services, including NTP services.
- Consumers may receive Recovery Services immediately after incarceration with a prior diagnosis of SUD.

228.3 Who Can Provide Recovery Services

- Licensed Practitioner of the Healing Arts (LPHA)
- Certified/Registered Substance Abuse Counselor
- Peers (when provided as substance abuse assistance services as a component of recovery services)

228.4 Recovery-Oriented System of Care (ROSC)-Adolescent

- ROSC for adolescent support, adolescent-guided, and self-directed approaches to care that build on the strengths and resilience of adolescents, their families, and communities to take responsibility for their sustained health, wellness, and recovery from SUDs (SAMHSA, 2009). A ROSC for adolescents emphasizes the importance of adolescent-guided and family-centered care; employs a broad definition of family; is culturally, age, and gender appropriate; reflects the developmental stages of adolescence; acknowledges the nonlinear nature of recovery; promotes resilience; is strengths based and proactive; and identifies recovery capital (SAMHSA, 2011b). Among the most important elements of treatment is provision for supporting or building relationships that promote recovery.

- Providers should offer developmentally, culturally, and gender-appropriate care and a choice of services that can be used in recovery efforts and in supporting or building relationships that promote recovery.
- Providers should be guides rather than directors of services in treatment planning and service provision.
- Providers should assist the adolescent in defining what wellness in recovery means for them and supporting the attainment of wellness.
- A range of recovery services should be available that allows the adolescent to choose support services that can be adjusted and combined based on his or her needs and stage of recovery.
- Providers should encourage the use of peer recovery groups and mentors/coaches, which enhance development of skills and reasoning abilities and assist in establishing new drug refusal skills, relapse prevention techniques, and anger management skills.
- Providers should promote a greater responsibility on the part of adolescents for their own treatment and encourage them to practice decision-making skills and roles, thereby enhancing self-confidence and self-efficacy.
- Treatment and recovery planning should be adolescent guided and adolescent centered to the extent that is developmentally appropriate, building on the adolescent's priorities and interests. Providers should give adolescents choices to assist in their self-directed care.
- Peer recovery groups and mentors should be an option for adolescents to assist in supporting their recovery.
- Providers should give adolescents the ability to check in with peer mentors/recovery coaches and administrative staff to access support or additional care.
- Programs should address lapse and relapse as learning opportunities for adolescents in treatment and recovery services. To the extent possible, adolescents should not be dismissed from programs as a result of lapse or relapse, which is often a part of recovery.

228.A [DHCS information notice on Peer Support](#)

228.B [Peer Support Info Notice Guide](#) (BHIN 22-026)

228.C [DHCS Recovery Services FAQ](#)

229 EVIDENCED BASED PRACTICES (EBP)

- 229.1 The County will monitor the implementation and regular training of EBPs towards staff during reviews.
- 229.2 Providers will implement at least two of the following EBPs based on the timeline established in the county implementation plan. Provider should use two EBPs for each modality.

- 229.3 Motivational Interviewing: A consumer-centered, empathic, but directive counseling strategy designed to explore and reduce a person’s ambivalence toward treatment. This approach frequently includes other problem solving or solution-focused strategies that build on consumers’ past successes.
- 229.4 Cognitive-Behavioral Therapy: Based on the theory that most emotional and behavioral reactions are learned and that new ways of reacting and behaving can be learned.
- 229.5 Relapse Prevention: A behavioral self-control program that teaches individuals with substance addiction how to anticipate and cope with the potential for relapse. Relapse prevention may be used as a stand-alone substance use treatment program or as an aftercare program to sustain gains achieved during initial substance use treatment.
- 229.6 Trauma-Informed Treatment: Services shall take into account an understanding of trauma, and place priority on trauma survivors’ safety, choice and control.
- 229.7 Psycho-Education: Psycho-educational groups are designed to educate consumers about substance abuse, and related behaviors and consequences. Psycho-educational groups provide information designed to have a direct application to consumers’ lives. to instill self-awareness, suggest options for growth through change, identify community resources that can assist consumers in recovery, develop an understanding of the process of recovery, and prompt people using substances to take action on their own behalf.
- 229.8 Contingency Management (CM): CM is an EBP that recognizes and reinforces individual positive behavior change consistent with meeting treatment goals, including medication adherence, as well as substance and stimulant nonuse. Under California’s initial design, CM provides motivational incentives for nonuse of stimulants as evidenced by negative drug tests. The motivational incentives are an inherent and central element of CM treatment. The immediate delivery of the incentive helps tip decision-making toward avoiding stimulant use to manage difficult periods. CM repeatedly has demonstrated robust outcomes, including reduction or cessation of drug use and longer retention in treatment.

SERVICE DESCRIPTIONS

The following are descriptions of various treatment services available to consumers served within the RUHS-BH system of care. These services are available to consumers receiving outpatient, intensive outpatient, residential, withdrawal management and opioid treatment services. See the sections above pertaining to additional services including screening, assessment, and recovery support services.

230 GROUP COUNSELING

Group counseling sessions are designed to support discussion among consumers, with guidance from the facilitator to support understanding and encourage participation, on

psychosocial issues related to substance use. Group counseling sessions need to utilize one of the multiple Evidence Based Practices curriculums that RUHS-BH offers to consumers.

A consumer who is seventeen years of age or younger cannot participate in group counseling with a consumer that is eighteen (18) years of age or older **unless** the counseling occurs at a DMC certified program's school site **or** the consumer is receiving Perinatal Services.

- 230.1 Group counseling sessions are available at all levels of care and are defined as face-to-face contact between up to two (2) registered or certified SUD counselors, peers or LPHAs, and between two (2) and no more than twelve (12) consumers at the same time.
- 230.2 A separate Progress Note must be written for each consumer and documented in the consumer's chart. Residential shall adhere to their established standard of Option one or Option two described as follows:
- Option One: Document each service with an individualized progress note. Services requiring a progress note include Intake, Individuals, Group Counseling, Patient Education, Family Therapy, Collateral Services, Crisis Interventions, Treatment Planning, Discharge Services, and Case Management.
 - Use a transportation log including; Date of transportation, time out and in, purpose of trip and signature with printed name and date of person logging the transportation.
 - Option Two: Develop a group and Patient Education daily note template to include:
 - Type of each service, topic, time in and time out.
 - Daily summary progress note for listed services relating progress or lack of progress towards individual's specific treatment plan problems, goals, action steps, objectives, and/or referrals.
 - Use a transportation log including; Date of transportation, time out and in, purpose of trip and signature with printed name and date of person logging the transportation.
 - Document all other services including Intake, Individuals, Collateral Services, Crisis Interventions, Treatment Planning, Discharge Services and Case Management with an individual progress note recorded by the LPHA or counselor who performed the service.
- 230.3 Group sign-in sheets will be established and maintained for every group counseling session and include the following:

- The LPHA(s) and /or counselor(s) conducting the counseling session shall type or legibly print their name(s), sign, and date the sign-in sheet on the same day of the session. The signatures(s) must be adjacent to the typed or legibly printed names(s). By signing the sign-in sheet, the LPHA(s) and /or counselor(s) attest that the sig-in sheet is accurate and complete.
 - The date of the counseling session.
 - The topic of the counseling session
 - The start and end time of the counseling session.
 - A typed or legibly printed list of the participants' names and the signature of each participant that attended the counseling session.
 - The participants shall sign the sign-in sheet at the start of or during the counseling session.
- 230.4 The frequency of group counseling sessions in combination with other treatment services shall be based on medical necessity and individualized consumer needs rather than a prescribed program required for all consumers.
- 230.5 In an effort to provide flexible group times, consumers may attend any outpatient modality that is offered as long as the consumer attends the proper hours per week for the modality they are enrolled in. The exception to this would be gender specific or age specific groups.

231 INDIVIDUAL COUNSELING

- 231.1 Individual counseling sessions are designed to support direct communication and dialogue between the staff and consumer. Sessions will focus on psychosocial issues related to substance use and goals outlined in the consumer's problem list. If a consumer has not had a physical examination within the 12-month prior to the consumer's admission to treatment date, a referral that the consumer has a physical examination should be present on the progress note.
- 231.2 Individual counseling sessions are available at all levels of care and are defined as face-to-face or telephone contact between one (1) registered counselor, certified counselors or LPHA, and one (1) consumer at the same time.
- 231.3 An individualized progress note, which includes progress or lack of progress, must be written for each session and documented in the consumer's chart.
- 231.4 Each consumer is required to record his or her attendance at individual sessions. The provider shall implement a sign-in process for individual sessions.
- 231.5 The frequency of individual counseling sessions, in combination with other treatment services shall be based on medical necessity and individualized consumer needs rather than a prescribed program required for all consumers.

Adolescent Treatment

231.6 Family Interventions and Support Systems

Research has found that effective treatment for youth almost always involves the family, and the effectiveness of family therapy has been documented extensively, especially among those youth who are normally the most difficult to treat. Therefore, whenever possible, parents/caregivers should participate in all phases of their child's treatment. However, it makes no ethical or legal sense to insist on the involvement of estranged parents in decision-making regarding their child's treatment. Instead, the program should create new opportunities for youth to develop supportive relationships with appropriate adults who will remain involved in their lives, both during treatment and recovery, and beyond.

231.7 Providers shall make efforts to:

- Provide transportation as needed: Access to safe, affordable transportation for adolescents with SUDs can increase their engagement and retention in treatment, aid in accessing other treatment-related services, and assist in achieving treatment and recovery plan goals. Transportation assistance may be accomplished in a variety of ways, such as provision of public transportation passes; and identification of and access to other community transportation resources (NASADAD, 2014).
- identify family dynamics, engage and include the family in the youth's treatment as early as possible (as part of the intake and assessment process), if clinically appropriate and specified in the treatment plan; and, provide individual family counseling, multi-family groups, and parental education sessions as clinically appropriate and specified in the treatment plan.
- Programs should integrate a youth development philosophy as the foundation of treatment for youth. Youth development approaches include the following:
 - assessment and treatment planning processes that are strength- based rather than deficit-based;
 - uncovering what is unique about the youth and building on his/her individual abilities and strengths;
 - frequent expressions of support and consistent, clear and appropriate messages about what is expected of the youth; and,
 - encouragement and assistance in developing multiple supportive relationships with responsible, caring adults.

- advise and made decisions related to program policies and procedures that impact them;
 - plan, organize, and lead program activities and projects;
 - develop social skills and decision-making abilities;
 - learn values and marketable skills for adulthood; and,
 - contribute to their community and serve others.
- 231.8 The provider shall assist the youth in developing a support system to help reinforce behavioral gains made during treatment, and provide ongoing support to prevent relapse.
- 231.9 Placement: Individuals and agencies making placement decisions for youth needing treatment should do the following:
- Take into consideration the age, developmental stage, gender, culture, and behavioral, emotional, sexual or criminal problems of the youth and existing clientele, to ensure that the youth and other clients would not be adversely impacted by their interaction.
- 231.10 Treatment Planning: Services and therapeutic approaches identified in the treatment plan should reflect the youth’s gender, and chronological, emotional, and psychological age.
- 231.11 Continuing Care: Providers shall provide or arrange for continuing care services to youth after the completion of formal treatment, and whenever professional intervention is needed, to prevent relapse and support the youth’s transition into recovery. Continuing care services may include, but are not limited to, coordination of goals, identification of signs of relapse and a plan to respond to such signs, family involvement, linkages to other services as necessary, aftercare sessions, transition and emancipation options, and, self-help and peer support groups.
- 231.12 The initial treatment plan should be completed at least within 30 days of admission. Progress in treatment should be regularly monitored and treatment plans modified as needs arise or change during treatment, at various stages of the youth’s development and recovery, or at least every six months
- 231.11 Continuing Care: Providers shall provide or arrange for continuing care services to youth after the completion of formal treatment, and whenever professional intervention is needed, to prevent relapse and support the youth’s transition into recovery. Continuing care services may include, but are not limited to, coordination of goals, identification of signs of relapse and a plan to respond to such signs, family involvement, linkages to other services as necessary,

aftercare sessions, transition and emancipation options, and, self-help and peer support groups.

231.12 Detoxification Services: Youth in need of detoxification services should be placed in the most appropriate site for the provision of services.

231.13 When indicated, appropriately trained personnel under the direction of a physician or other health care professional should monitor medical detoxification with specific expertise in management of alcohol and drug detoxification and withdrawal.

231.14 Written protocols should be developed and staff trained to ensure that all programs have the capacity to adequately manage and/or make referral arrangements for youth that appear at the program site under the influence.

231.15 Structured Recovery-Related Activities: Intensive outpatient and residential programs should provide or arrange for both therapeutic and diversionary recreation. Therapeutic activities include art therapy, journal writing, and self-help groups. Diversionary recreation activities include sports, games, and supervised outings.

231.16 Co-Occurring Substance Use and Mental Health Disorders

- Of those adolescents who are in treatment for SUDs, more than half may have co-occurring mental health disorders (e.g., depression, anxiety, conduct disorder, posttraumatic stress disorder). Given the high prevalence of co-occurring substance use and mental health disorders, programs need to be equipped to screen adolescents' mental health issues and demonstrate an understanding of how identified mental illnesses interact with SUDs (Drug Strategies, 2003). Programs provide developmentally appropriate and trauma-informed co-occurring substance use and mental health services on site or address them through collaboration with nearby qualified adolescent-serving agencies with which linkages have been established (CSAT, TIP 42, 2008).
- SUD treatment settings should include screening of co-occurring mental health disorders at the time of intake and provide referrals for assessments for adolescents who screen positive.
- As a result of the prevalence of co-occurring mental health disorders in adolescents with SUDs, the providers should conduct ongoing assessments for mental health disorders.
- Comprehensive co-occurring treatment should address other contributing factors that may be implicated in the etiology of, treatment of, and recovery from co-occurring disorders. These factors include gender; sexual orientation; abuse, neglect, and domestic violence; familial substance and mental health

issues; neighborhood, community, and peer factors; and legal, school, and vocational issues.

- Providers should support and encourage participation in integrated treatment and coordinated care for co-occurring disorders and work collaboratively among systems and services and family or other supportive adults as much as possible.

231.A [DHCS Face-to-Face Info Notice](#)

232 SUD CRISIS INTERVENTION

- 232.1 These sessions are immediate and short-term encounters that focus on (1) stabilization and immediate management of the crisis, often by strengthening coping mechanisms and (2) alleviating a consumer's biopsychosocial functioning and well-being after a crisis.
- 232.2 Crisis interventions are provided when there is a relapse or an unforeseen event or circumstance causing imminent threat of relapse.
- 232.3 A component of this service includes linkages to ensure ongoing care following the alleviation of the crisis. Crisis Intervention sessions are available at all levels of care and are defined as face-to-face or telephone contact between one (1) registered counselor, certified counselors or LPHA, and one (1) consumer at the same time. Services may, however, involve a team of care professionals.
- 232.4 An individualized progress note, which includes progress or lack of progress, must be written for each session and documented in the consumer chart.
- 232.5 Crisis intervention sessions are not scheduled events, but need to be available to the consumer as needed during the agency's normal operating hours or in alignment with afterhours crisis procedures.

233 FAMILY THERAPY

- 233.1 Family therapy is a form of psychotherapy that involves both consumer and their family members, and uses specific techniques and evidence-based approaches (e.g. family systems theory, structural therapy, etc.) to improve the psychosocial impact of substance use and the dynamics of a social/family unit.
- 233.2 Family therapy sessions are available at all levels of care and are defined as face-to-face contact between one (1) therapist level LPHA, one (1) consumer and family members.
- 233.3 An individualized progress note, which includes progress or lack of progress, must be written for each session and documented in the consumer's chart.
- 233.4 The frequency of family therapy sessions, in combination with other treatment services shall be based on medical necessity and individualized consumer needs, rather than a prescribed program required for all consumers.

234 PEER SUPPORT SERVICES

- 234.1 Peer Support Services are defined as culturally competent individual and group services that promote recovery, resiliency, engagement, socialization, self-sufficiency, self-advocacy, development of natural supports, and identification of strengths through structured activities such as group and individual coaching to set recovery goals and identify steps to reach the goals. Services aim to prevent relapse, empower Consumers through strength-based coaching, support linkages to community resources, and to educate Consumers and their families about their conditions and the process of recovery.
- 234.2 Peer Support Services are based on an approved plan of care that includes specific individualized goals.
- 234.3 Peer Support Services may be provided with the consumer or significant support person(s) and may be provided in a clinical or non-clinical setting. Peer Support Services can include contact with family members or other collaterals (family members or other people supporting the consumer), if the purpose of the collateral's participation is to focus on the treatment needs of the consumer by supporting the achievement of the consumer's goals.
- 234.4 Peer Support Services include the following service components:
- **Educational Skill Building Groups** means providing a supportive environment in which Consumers and their families learn coping mechanisms and problem-solving skills in order to help the Consumers achieve desired outcomes. These groups promote skill building for the Consumers in the areas of socialization, recovery, self-sufficiency, self-advocacy, development of natural supports, and maintenance of skills learned in other support services.
 - **Engagement** means Peer Support Specialist led activities and coaching to encourage and support Consumers to participate in behavioral health treatment. Engagement may include supporting Consumers in their transitions between levels of care and supporting Consumers in developing their own recovery goals and processes.
 - **Therapeutic Activity** means a structured non-clinical activity provided by a Peer Support Specialist to promote recovery, wellness, self-advocacy, relationship enhancement, development of natural supports, self-awareness and values, and the maintenance of community living skills to support the consumer's treatment to attain and maintain recovery within their communities. These activities may include, but are not limited to, advocacy on behalf of the consumer; promotion of self-advocacy; resource navigation; and collaboration with the Consumers and others providing care or support to the consumer, family members, or significant support persons.
- 234.A [Peer Support Services BHIN 22-026](#)

235 CARE COORDINATION

- 235.1 Care coordination consists of activities to provide coordination of SUD care, mental health care, and medical care, and to support the consumers with linkages to services and supports designed to restore the consumer to their best possible functional level. Care coordination shall be provided to a consumer in conjunction with all levels of treatment. Care coordination may also be delivered and claimed as a standalone service. Care Coordination can be provided in clinical or non-clinical settings and can be provided in person, by telehealth, or by telephone.
- 235.2 Examples of care coordination include, but are not limited to:
- Coordinating with medical and mental health care providers.
 - Discharge planning, including coordinating with SUD treatment providers to support transitions between levels of care.
 - Coordinating with ancillary services, including individualized connection, referral and linkages to community-based services and supports.
- 235.3 Care coordination is a method to help consumers achieve their goals throughout treatment. Case management will begin as soon as a consumer engages in the RUHS-BH screening process and shall be provided to all consumers.
- 235.4 Consumers shall be guided through the system of care, linkages will be made to ancillary services, and consumers will be assisted in connecting the next needed ASAM level of care from detoxification through recovery services (aftercare).
- 235.5 Care coordination will be utilized as a method to provide thorough discharge planning through implementation of aftercare plans that include access to on-going Recovery Support Services, vocational rehabilitation, sober living housing, and access to childcare and parenting services to enhance the capacity of each consumer to achieve long-term recovery.
- 235.6 Care coordination is available at all levels of care and is defined as a face-to-face or telephone contact between one (1) registered counselor, certified counselors or LPHA, and one (1) consumer at the same time.
- 235.7 A progress note must be written for each care coordination interaction and documented in the consumer's chart.
- 235.8 Providers may use case management services as an adjunct to outpatient and intensive outpatient treatment services to improve the consumer's ability to navigate their active treatment episode.

CARE COORDINATION-PERINATAL

- 235.9 Care coordination allows for efficient use of resources, skills, and services across systems. Case management services are provided by a single point of contact who ~~also~~ coordinates, and monitors the services to meet the needs of pregnant

and parenting women and their families. Furthermore, care coordination offers cultural sensitivity and advocacy for each client.

235.10 Providers must provide or arrange for care coordination to ensure that pregnant and parenting women, and their children, have access to the following services:

- Primary medical care, including prenatal care;
- Primary pediatric care, including immunizations;
- Gender-specific treatment; and
- Therapeutic interventions for children to address developmental needs, sexual and psychological abuse, and neglect.

236 DRUG TESTING PROCESS

Drug testing should be viewed and used as a therapeutic tool. A punitive approach to drug testing generally does not facilitate a productive relationship with consumers and should be avoided. Consequences to drug testing should also be communicated in a therapeutic manner.

- 236.1 Alcohol and drug testing is the examination of biological specimens (e.g., urine, blood, hair) to detect the presence of specific drugs and determine prior drug use. Drug testing is best utilized when administered randomly as opposed to being scheduled, and the method of drug testing (e.g., urine, saliva) should ideally vary as well.
- 236.2 If body fluids testing (urinalysis) is performed, the consumer's emission of the urine must be collected and observed by an employee with the same gender to protect against the falsification and/or contamination of the urine sample.
- 236.3 Drug testing is a useful tool to monitor engagement and provide an objective measure of treatment efficacy and progress to inform treatment decisions.
- 236.4 The frequency of alcohol and drug testing should be based on the consumer's progress in treatment, and the frequency of testing should be higher during the initial phases of treatment when continued alcohol and/or drug use has been identified as happening higher in frequency.
- 236.5 Alcohol and drug testing is allowable at all levels of care.
- 236.6 Documentation must be completed for all alcohol and drug tests in consumer's chart.
- 236.7 Positive Drug Tests: Decisions about effective responses to positive drug tests and relapses should take into account:
- The chronic nature of addiction.

- That relapse is a manifestation of the condition for which people are seeking SUD treatment.
- That medications or other factors may at times lead to false or inappropriately positive drug test results.

237 RELAPSE PROCEDURE

237.1 Recovery and psychosocial crisis cover a variety of situations that can arise while a consumer is in treatment. Examples include, but are not limited as described below:

- Slip/using alcohol or other drugs while in treatment.
- Suicidal and the individual is feeling impulsive or wanting to use alcohol or other drugs.
- Loss or death, disrupting the person's recovery and precipitating cravings to use or other impulsive behavior.
- Disagreements, anger, frustration with fellow consumers or therapist.

237.2 The following procedures provide steps to assist in implementing the principle of re-assessment and modification of the problem list and peer care plan:

- Counselors or LPHAs should set up a face-to-face appointment as soon as possible. If an appointment is not possible in a timely fashion, counselors or LPHAs should follow the next steps via telephone.
- Counselors or LPHAs should convey an attitude of acceptance. Counselors or LPHAs should listen and seek to understand the consumer's point of view rather than lecture or enforce "program rules." Counselors or LPHAs should avoid authoritarian or dismissive perspectives and be mindful of any counter transference or reactivity towards the consumer.
- Counselors or LPHAs should assess the consumer's safety for current intoxication/withdrawal or potential. Counselors or LPHAs should also assess for any imminent risk of impulsive behavior and/or harm to self, others, or property. The six ASAM assessment dimensions shall be utilized to screen for severe problems and identify any new issues in all biopsychosocial areas.
- If no immediate needs are present, counselors or LPHAs shall discuss the circumstances surrounding the crisis and develop a sequence of events including precipitants leading up to the crisis. If the crisis is a slip, counselors or LPHAs will utilize the ASAM six dimensions as a guide to assess causes.
- Counselors or LPHAs will explore what Dimension four (4), Readiness to Change motivational strategies may be effective in re-engaging the consumer into treatment.
- Counselors or LPHAs should determine if the modified strategies can be accomplished in the current level of care, or a more or less intensive level

of care in the continuum of services or different services such as Co-Occurring Disorder (COD) enhanced services are warranted.

- If such behavior is a willful disruption to the treatment milieu and not an overwhelming ASAM Dimension five (5) issue, then discharge or criminal justice sanctions are appropriate to promote a recovery oriented environment.
- If the consumer is invested in treatment as evidenced by a willingness to change or update his/her goals in a positive direction, treatment should continue. To discharge or suspend a consumer for an acute reoccurrence of signs and symptoms breaks continuity of care at a crisis time when the consumer needs support to continue treatment. For example, if the consumer is not acutely intoxicated and has alcohol on his/her breath from a couple of beers, such an individual may come to group to explore what went wrong to cause a recurrence of use and to gain support and direction to change his/her goals. Concerns about “triggering” others in the group are handled no differently from if a consumer was sharing trauma issues, sobbing and this triggered identification and tearfulness in other group members. Such a consumer with Posttraumatic Stress Disorder would not be excluded from group or asked to leave for triggering others. Group members and/or other consumers in a residential setting are best helped to deal with such “triggering” with the support of peers and a trained clinician. To protect fellow consumers from exposure to relapse or recurrence of signs and symptoms excludes the opportunity to learn new coping skills. In addition, it jeopardizes the safety of the consumer at the very time he or she needs more support and guidance in such a crisis, rather than rejection, discharge, or transfer.
- Document the crisis and modified Care Plan or discharge the medical record.

Mee-Lee, David (2017), Improving Skills and Systems to Implement The ASAM Criteria.

238 CHARTING AND DOCUMENTATION

Clinical documentation refers to anything in the consumer’s EHR that describes the care provided to that consumer and the reasoning for any services delivered. All progress notes are to be observational and narrative in content as they tell the story of the consumer that is being served. County Clinics use Activity, Consumer Progress and The Next Steps (ACT) charting format.

Clinical documentation is a critical component of quality care delivery and serves multiple purposes including but not limited to helping to ensure comprehensive and quality care, ensures an efficient way to organize and communicate with other providers, protects against risk and minimizes liability, complies with legal, regulatory and institutional requirements and helps to facilitate quality improvement and application of utilization management. Clinic Supervisors shall ensure quality and timely charting occurs.

- 238.1 The Provider shall establish, maintain, and update as necessary, an individual consumer record for each consumer admitted to treatment and receiving services.
- 238.2 Each consumer’s individual record shall include documentation of personal information.
- 238.3 Documentation of personal information shall include all of the following:
Information specifying the consumer’s identifier (i.e., name, number).
Date of consumer’s birth, the consumer’s sex, race and/or ethnic background, the consumer’s address and telephone number, the consumer’s next of kin or emergency contact.
- 238.4 Documentation of treatment episode information shall include documentation of all activities, services, sessions and assessments, including but not limited to all of the following:
- Date of the original treatment service was provided
 - SUD Screening;
 - Intake and admission data, including, if applicable, a physical examination;
 - Problem List
 - Treatment Plan (OTP)
 - Progress notes;
 - Continuing services justifications;
 - Laboratory test orders and results;
 - Referrals;
 - Counseling notes; which include start and end times of sessions
 - Discharge plan;
 - Discharge summary;
 - Contractor authorizations for residential services;
 - Monthly Medi-Cal eligibility print-outs; and
 - Any other information relating to the treatment services rendered to the consumer.
 - OTP Treatment Plan
- 238.5 The initial treatment plan serves as a guide and must be individualized and based on the information obtained during the intake and assessment process. The initial treatment plan must be completed within 28 days of admission.

- 238.6 For each consumer admitted, the LPHA or counselor shall prepare an individualized written initial treatment plan based upon the information obtained in the intake and assessment process.
- 238.7 The LPHA or counselor shall attempt to engage the consumer to meaningfully participate in the preparation of the initial or updated treatment plan. The initial and subsequent treatment plans shall include:
- A statement of problems identified through the SUD Screening, other assessment tool(s) or intake documentation.
 - Goals to be reached which address each problem.
 - Action steps that will be taken by the Provider and/or consumer to accomplish identified goals.
 - Target dates for accomplishment of actions steps and goals.
 - A description of services, including the type of counseling, to be provided and the frequency thereof.
 - Assignment of a primary therapist and counselor.
 - The consumer's DSM-5 diagnosis language as documented by the Medical Director or LPHA.
 - The treatment plan shall be consumer driven.
 - If a consumer has not had a physical examination within the 12-month prior to the consumer's admission to treatment date, a goal that the consumer have a physical examination should be present on the treatment plan.
 - If documentation of a consumer's physical examination, which was performed during the prior twelve months, indicates a consumer has a significant medical illness, a goal that the consumer obtains appropriate treatment for the illness shall be included on the treatment plan.
- 238.8 The Provider shall ensure that the LPHA or counselor types or legibly prints their name, signs and dates the initial treatment plan within twenty-eight (28) calendar days of the admission to treatment date. The signature shall be adjacent to the typed or legibly printed name.
- 238.9 The consumer shall review, approve, type or legibly print their name, sign and date the initial treatment plan within twenty-eight (28) calendar days of the admission to treatment date. The signature shall be adjacent to the typed or legibly printed name.
- If the consumer refuses to sign the treatment plan, the provider shall document the reason for refusal and the provider's strategy to engage the consumer to participate in treatment in a progress note.

- 238.10 If a counselor completes the initial treatment plan, the Medical Director or LPHA shall review it to determine whether services are a medically necessary and appropriate for the consumer.
- If the Medical Director or LPHA determines the services in the initial treatment plan are medically necessary, the Medical Director or LPHA shall type or legibly print their name, sign and date the treatment plan within fourteen (14) days of the counselor's signature. The signature shall be adjacent to the typed or legibly printed name.
- 238.11 For OTP providers, updated plans are revised at least every (3) months from the date of admission or when a change in problem or focus of treatment occurs. The signature shall be adjacent to the typed or legibly printed name. The updated treatment plan shall reflect the current treatment needs of the consumer.
- For OTP providers, the supervising counselor shall review the initial maintenance treatment plan, along with the corresponding needs assessment, and all updated maintenance treatment plans within fourteen (14) calendar days from the effective dates and shall countersign these documents to signify concurrence with the findings. The medical director shall review the initial maintenance treatment plan, along with the corresponding needs assessment, and all updated maintenance treatment plans within fourteen (14) calendar days from the effective dates and shall record the following:
 1. Countersignature to signify concurrence with the findings; and
 2. Amendments to the plan where medically deemed appropriate.
- 238.12 The consumer shall be encouraged to review, approve, type or legibly print their name and, sign and date the updated treatment plan. The signature shall be adjacent to the typed or legibly printed name.
- If the consumer refuses to sign the updated treatment plan, the Provider shall document the reason for refusal and any strategies used to engage the consumer to participate in treatment.
- 238.13 After the counselor and consumer complete the updated treatment plan, the Medical Director or LPHA shall review each plan to determine whether continuing services are a medically necessary and appropriate for the consumer.
- If the Medical Director or LPHA determines the services in the updated treatment plan are medically necessary, he or she shall type or legibly print their name, sign and date the updated treatment plan, within fifteen (15) calendar days of the counselor's signature. The signature shall be adjacent to the typed or legibly printed name.
 - Progress Notes
- 238.14 Progress notes and individual narrative summaries shall contain the following:
- The type of service rendered.

- A narrative describing the service, including how the service addressed the consumer’s behavioral health need (e.g., symptom, condition, diagnosis, and/or risk factors).
- Information on the consumer’s attendance shall be documented including the date, start/end times, travel and documentation time of each individual and group counseling session or treatment service.
- Documentation shall identify if services were provided in-person, by telephone, or by telehealth.
- If services were provided in the community, documentation shall identify the location and how the provider ensured confidentiality was upheld.
- Next steps including, but not limited to, planned action steps by the provider or by the consumer, collaboration with the consumer, collaboration with other provider(s) and any update to the problem list as appropriate.

238.15 Progress notes for outpatient, Naltrexone, and recovery treatment services requires a minimum of one progress note for each consumer participating in structured activities including counseling sessions.

- The Peer, LPHA or counselor must type or legibly print their name, sign and date (to include electronic signatures) within three (3) business days of the provided service. The signature shall be adjacent to the typed or legibly printed name.
- All individual services must be documented by the staff providing the service within three (3) business days of the service being provided.

238.16 Progress notes for residential services require at a minimum, all notes be written in Data Assessment Plan (DAP) format. The physician, LPHA, or counselor is to type or legibly print their name, sign and date (to include electronic signatures) the progress note. Each note shall be recorded within three (3) calendar days of the session. The signature shall be adjacent to the typed or legibly printed name.

- The LPHA or counselor shall document individual services within three (3) calendar days of the service being provided.
- At a minimum, the LPHA or counselor shall document group services weekly.
- Residential Provider Option One: Document each service with an individualized progress note.
- Progress notes shall be legible and completed as follows:
- For each individual and group session, the LPHA or counselor who conducted the counseling session or provided the service shall record a progress note for each consumer who participated in the counseling session or treatment service.
- The LPHA or counselor shall type or legibly print their name, and sign and date the progress note within seven calendar days of the counseling session. The signature shall be adjacent to the typed or legibly printed name.

- Progress notes are individual narrative summaries and shall include all of the following:
 - The topic of the session or purpose of the service.
 - A description of the consumer’s progress or lack of progress on the consumer’s problems, goals, action steps, objectives, and/or referrals.
 - Information on the consumer’s attendance, including the date, start and end times of each individual and group counseling session or treatment service.
 - Identify if services were provided in-person, by telephone, or by telehealth.
 - If services were provided in the community, identify the location and how the provider ensured confidentiality.
 - Relate what (if any) evidenced based practice was utilized.
- Residential Provider Option Two: Develop a group and Patient Education daily note.
- Daily Progress Notes are to be legible and completed as follows:
 1. The LPHA or counselor shall type or legibly print their name, and sign and date progress notes within three calendar days of the session. The signature shall be adjacent to the typed or legibly printed name.
 2. Progress notes are individual narrative summaries and shall include all of the following:
 - A description of the consumer’s progress or lack of progress on the Care Plan problems, goals, action steps, objectives, and/or referrals.
 - A record of the consumer’s attendance at each counseling session including the date, start and end times and topic of the counseling session.
 - Identify if services were provided in-person, by telephone, or by telehealth.
 - If services were provided in the community, identify the location and how the provider ensured confidentiality.
 - Relate what (if any) evidenced based practice was utilized.

238.17 Progress notes for case management services shall be documented by the LPHA, peer or counselor who provided the treatment service as follows:

- Consumer’s name.
- The purpose of the service.
- A description of how the service relates to the consumer’s problems, goals, action steps, objectives, and/or referrals.
- Contain the date, start and end times of each service.
- Identify if services were provided in-person, by telephone, or by telehealth.
- If services were provided in the community, the note shall identify the location and how the provider ensured confidentiality was upheld.

- Next steps including, but not limited to, planned action steps by the provider or by the consumer, collaboration with the consumer, collaboration with other provider(s) and any update to the problem list as appropriate.

238.18 For physician consultation services, additional MAT, and withdrawal management, the Medical Director or LPHA working within their scope of practice, which provided the treatment service, shall ensure documentation is present in a progress note in the consumer's file.

- The Medical Director of LPHA shall type or legibly print their name, and sign and date the progress note within seven calendar days of the service. The signature shall be adjacent to the typed or legibly printed name.

• Sign-In Sheets

238.19 Group Sign-in Sheet Requirements:

- A sign-in sheet is required for every group counseling session.
- The typed or legibly printed name and signature of the LPHA(s) and/or counselor(s) conducting the counseling session. By signing the sign-in sheet, the LPHA(s) and/or counselor(s) attest that the sign-in sheet is accurate and complete. LPHA or counselor will sign and date the sign-in sheet on the same day of the session.
- Must include date, topic, and start and end time of the counseling session.
- A typed or legibly printed list of the participants' names and the signature of each participant that attended the counseling session. The participants shall sign the sign-in sheet at the start of or during the counseling session.

238.20 Individual Sign-in Sheet Requirements:

- Effective March 13, 2017, each consumer is to record their attendance at individual sessions.
- At a minimum, confirmation of attendance in one-on-one services will be available for review as requested by County Monitors.

238.A [22 CCR § 51476\(a\)](#)

238.B [\(BHIN 22-019\)](#)

239 CONTINUING SERVICES

239.1 For case management, intensive outpatient treatment, Naltrexone treatment, and outpatient services each consumer, no sooner than five (5) months and no later than six (6) months after the consumer's admission to treatment date or the date of completion of the most recent justification for continuing services, the LPHA or counselor shall review the consumer's progress and eligibility to continue to receive treatment services, and recommend whether the consumer should or should not continue to receive treatment services at the same level of care.

- 239.2 For each consumer, no sooner than five (5) months and no later than six (6) months after the consumer's admission to treatment date or the date of completion of the most recent justification for continuing service, the Medical Director or LPHA shall determine medical necessity for continued services for the consumer. The determination of medical necessity shall be documented by the Medical Director or LPHA in the consumer's individual record and shall include documentation that all of the following have been considered:
- The consumer's personal, medical and substance use history.
 - Documentation of the consumer's most recent physical examination.
 - The consumer's progress notes and treatment plan goals.
 - The LPHA's or counselors recommendation pursuant to the first bullet point above.
 - The consumer's prognosis.
 - The Medical Director or LPHA shall type or legibly print their name, sign and date the continuing services information when completed. The signature shall be adjacent to the typed or legibly printed name.
- 239.3 If the Medical Director or LPHA determines that continuing treatment services for the consumer is not medically necessary, the Provider shall discharge the consumer from the current level of care and arrange for the consumer to an appropriate level of treatment services. For more information on re-assessment see Section 204.
- 239.4 For OTP/NTP, annually the Medical Director or LPHA shall reevaluate and document in the consumer record the facts justifying the decision to continue treatment. The justification shall include:
- A summary of the progress or lack of progress on each goal identified on the most recent treatment plan.
 - A statement that failure to continue treatment would lead to a return to opiate addiction.

240 DISCHARGE AND TRANSITION

Discharge or transition planning is available at all levels of care and is the process of preparing the consumer for referral into another level of care. This ensures consumer continuum of care, post-treatment return, reentry into the community, and/or other linkages necessary for greater success with long-term recovery.

- 240.1 Consumers should always be referred to recovery services at the very least when transitioning through RUHS-BH systems of care or its providers.
- 240.2 Discharge planning is openly discussed between staff and consumer at the onset of treatment services to ensure sufficient time to plan for the consumer's transition to additional levels of care if determined medically necessary.

- 240.3 A discharge plan is a planned discharge that takes place while the consumer is still in treatment and must be completed within thirty (30) days prior to the final face-to-face service. A transitional SUD screening shall be completed within 14 days prior to the final face-to-face service.
- If a consumer is transferred to a higher or lower level of care based on the ASAM criteria within the same DMC certified program, they are not required to be discharged unless there has been more than a thirty (30) calendar day lapse in treatment services.
 - During the LPHA's or counselor's last face-to-face treatment with the consumer, the LPHA or counselor and the consumer shall type or legibly print their names, sign and date the discharge plan. A copy of the discharge plan shall be provided to the consumer and documented in the consumer record. The signatures shall be adjacent to the typed or legibly printed name.
- 240.4 A discharge plan must, at minimum, include a description of each relapse triggers, a specific plan to assist the consumer to avoid relapse when confronted with each trigger, and a support plan.
- 240.5 A discharge summary is to be completed for all consumers regardless of level of care or successful/unsuccessful completion.
- 240.6 For a consumer with whom a provider has lost contact or who does not attend treatment for more than thirty (30) days, Providers must discharge the consumer and complete a discharge summary within thirty (30) calendar days of the date of the Provider's last face-to-face treatment contact with the consumer.
- 240.7 The discharge summary must include:
- The duration of the consumer's treatment, as determined by dates of admission to and discharge from treatment.
 - The reason for discharge.
 - A narrative summary of the treatment episode. and
 - The consumer's prognosis.
- 240.8 Discharge of a consumer from treatment may occur on a voluntary or involuntary basis. For outpatient services, intensive outpatient services and residential services, a Notice of Adverse Benefit Determination, (NOABD) shall be sent for an involuntary discharge.
- 240.9 Providers offering MAT shall not deny access to medication or administratively discharge a consumer who declines counseling services.
- 240.10 Recovery support services for pregnant and parenting women who had a SUD are important for her continued health. Once completing treatment and discharged from a treatment provider, it is imperative for pregnant and parenting

women to continue receiving support services to encourage continued health and wellness.

- 240.11 A therapist or counselor shall complete a discharge plan for pregnant and parenting women being discharged. This does not include those of whom the provider loses contact with. A copy of the discharge plan shall be provided to the woman. The discharge plan shall include the following:
- A description of each of the beneficiary's relapse triggers and a plan to assist the beneficiary to avoid relapse when confronted with each trigger;
 - And a support plan

3.0 QUALITY ASSURANCE AND MONITORING

Quality assurance and monitoring will adhere to the larger framework established by RUHS-BH Agency, and DHCS SABG, DMC-ODS, policies, procedures, and regulations of governing agencies, and EQRO oversight. The following documentation contains guidelines to follow within each of these overseeing bodies and requirements.

300 ADVERSE INCIDENTS

- 300.1 In the event an adverse incident occurs involving consumers, Providers will report incidents through the established process found in County Policy #248.

301 CULTURAL COMPETENCY AND ACCESS

- 301.1 The Providers shall promote the delivery of services in a culturally competent manner to all consumers, including those with limited English proficiency and diverse cultural and ethnic backgrounds, disabilities, and regardless of gender, sexual orientation of gender identity.
- 301.2 Providers are responsible to make available culturally competent services. Providers shall ensure that their policies, procedures, and practices are consistent with the principles outlined and are embedded in the organizational structure, as well as being upheld in day-to-day operations.
- 301.3 The Providers shall provide physical access, reasonable accommodations, and accessible equipment for Medicaid consumers with physical or mental health challenges.
- 301.4 To ensure equal access to quality care by diverse populations, each Provider shall adopt the federal Office of Minority Health Culturally and Linguistically Appropriate Service (CLAS) national standards and comply with 42 CFR 438.206(c)(2).
- Provider shall submit a cultural competency plan annually at the request of the county.
- 301.5 The Providers shall make interpretation services available free of charge to each consumer. This includes oral interpretation and the use of auxiliary aids such as TTY/TDY and American Sign Language. Oral interpretation requirements apply to all non-English languages, not just those that the County identifies as prevalent.
- 301.6 The Providers shall notify consumers that oral interpretation is available for any language and written translation is available in prevalent languages. Riverside County's threshold language is Spanish.
- 301.7 The Providers shall notify consumers that auxiliary aids and services are available upon request and at no cost for consumers with disabilities and how to access the services.

- 301.8 The Providers shall provide all written materials for potential consumers and consumers consistent with the following:
- Use easily understood language and format.
 - Use a font size no smaller than 12 point.
 - Be available in alternative formats and through the provision of auxiliary aids and services in an appropriate manner that takes into consideration the special needs of consumers or potential consumers with disabilities of limited English proficiency.
 - Include a large print tagline and information on how to request auxiliary aids and services, including the provision of the materials in alternative formats. Large print means printed in a font size no smaller than 18 point.
- 301.9 If a beneficiary or prospective beneficiary objects to the religious character of an organization that provides services under the program, that organization must promptly undertake reasonable efforts to identify and refer the beneficiary to an alternative provider to which the beneficiary has no objection. A referral may be made to another faith-based or religious organization, if the beneficiary has no objection to that provider. But if the beneficiary requests a secular provider, and a secular provider is available, then a referral must be made to that provider. Except for services provided by telephone, internet, or similar means, the referral must be to an alternative provider that is in reasonable geographic proximity to the organization making the referral and that offers services that are similar in substance and quality to those offered by the organization. The alternative provider also must have the capacity to accept additional beneficiaries.

302 CONTRACTING

Contracts with contracted Providers are issued once a year. The term of the agreement is Fiscal year July 1 XXXX through June 30, XXXX. New contracted Providers may be added through a competitive bid process as described in Section 4, "Contracting with RUHS-BH SAPT."

- 302.1 Bulletins: Periodically, bulletins will be issued by SAPT Administration during a contract fiscal year. Changes are mandatory and are monitored for compliance by QI monitoring.

Provider may contact SAPT Administration for a complete library of bulletins.

303 HIPAA AND 42 CFR PART (2) COMPLIANCE

Biennial training is mandatory for Providers. Resources are available and listed below.

- 303.1 County policies pertaining to Personal Identifiable Information (PII) are available to review and comply with.

303.A HIPAA – Confidentiality-Sensitive Information Manual DRAFT

303.B County Policies pertaining to Personal Identifiable Information (PII) #239, #239 Attachment, #298, #299

303.C [42 CFR Part 2 Confidentiality Forms](#)

304 MONITORING

304.1 Providers are monitored by DHCS for SABG compliance, DMC compliance and by the PSPP unit.

304.2 The Providers will make available, for the purposes of an audit, evaluation, or inspection, its premises, physical facilities, equipment, books, clinical and fiscal records, operational, fiscal, and clinical policies and procedures, contracts, computer or other electronic systems relating to its Medicaid consumers.

Building and Grounds:

All residential facilities must be licensed in accordance with applicable state licensing statutes and regulations and remain in compliance with such requirements.

All facilities should be clean, sanitary, and in good repair at all times for the safety and well-being of youth, staff, and visitors.

304.3 DHCS, CMS, the HHS Inspector General, the Comptroller General, or their designees' right to audit the Provider will exist through ten (10) years from the final date of the contract period or from the date of completion of any audit, whichever is later.

304.4 If DHCS, CMS or the HHS Inspector General determines that there is reasonable possibility of fraud or similar risk, DHCS, CMS or the HHS Inspector General may inspect, evaluate and audit the Provider at any time.

304.5 The County shall monitor all contracted Provider's performance on a triannual basis and subject Providers at a minimum, to an annual onsite review, consistent with statutes, regulations and service delivery requirements under the SABG Standards and DMC-ODS Waiver.

QI Outpatient shall contact county providers to schedule annual reviews. Tri-annual reviews may be drop-ins. Providers within and out of county shall be monitored equally.

304.6 The County will identify deficiencies or areas for improvement, Providers shall take corrective actions and the County will ensure the implementation of these corrective actions.

304.7 Corrective Action Plans (CAP) will be required from Providers for State and County Monitoring findings.

304.8 New Providers shall receive technical assistance the first year under contract with County.

304.9 Provider shall designate a Compliance Officer who is responsible for developing and implementing policies, procedures, and practices designed to ensure compliance with the requirements of County Agreement and who reports directly to the Chief Executive Officer and the board of directors.

305 NON-DISCRIMINATION IN EMPLOYMENT

Providers shall not unlawfully discriminate against any person as defined under the laws of the United States and the State of California. Refer to Section Five: References for applicable laws.

306 NON-DISCRIMINATION OF PROVIDERS

During the procurement process for SAPT Contracted Providers, RUHS-BH will adhere to the criteria outlined in the DMC-ODS 1115 Waiver Intergovernmental Agreement:

- 306.1 RUHS-BH cannot limit consumer access in any way when selecting Contracted Providers. Standards for access include:
- Timeliness
 - Geographic distribution of care
 - Threshold language and cultural competence
 - Physical access for disabled consumers
 - Coordination of physical and mental health services
 - Access to Medication Assisted Treatment services
- 306.2 RUHS-BH will apply policies and procedures equally to all providers regardless of public, private, for-profit or non-profit status, and without regard to whether a provider treats persons who require high-risk or specialized services.
- 306.3 RUHS-BH will not discriminate against persons who require high-risk or specialized services.
- 306.4 RUHS-BH will select only providers that have a license and/or certification issued by the state that is in good standing (documentation of license/certification required)
- 306.5 RUHS-BH will select only providers that, prior to the furnishing of services, have enrolled with, or revalidated their current enrollment with, DHCS as a DMC provider under applicable federal and state regulations, have been screened in accordance with 42 CFR 455.450(c) as a “high” categorical risk prior to furnishing services, have signed a Medicaid provider agreement with DHCS as required by 42 CFR 431.107, and have complied with the ownership and control disclosure requirements of 42 CFR 455.104.
- 306.6 RUHS-BH will select only providers that have a Medical Director who, prior to the delivery of services under RUHS-BH contract, has enrolled with DHCS under

applicable state regulations, has been screened in accordance with 42 CFR 455.450(a) as a “limited” categorical risk within a year prior to serving as a Medical Director under RUHS-BH contract, and has signed a Medicaid provider agreement with DHCS as required by 42 CFR 431.107

- 306.7 RUHS-BH will not discriminate in the selection, reimbursement, or indemnification of any provider who is acting within the scope of their certification.
- 306.8 It is the policy of the RUHS-BH to maintain a provider selection and retention criteria. The selection procedure for Substance Abuse contracted providers does not discriminate against particular providers that serve high-risk populations or specialize in conditions that require costly treatments. RUHS-BH may not discriminate in the selection, reimbursement, or indemnification of any provider who is acting within the scope of his or her license or certification under applicable state law, solely on the basis of that license or certification.
- 306.9 RUHS-BH will not select providers who are under investigation for Medi-Cal fraud, RUHS-BH will ask provider to attest to not being under investigation during the procurement process.

307 CONSUMER GRIEVANCES AND APPEALS

Forms may be requested from QI-Outpatient.

306.A [Consumer/Consumer Problem Resolution Process](#)

306.B [DHCS Information Notice Grievances IN 18-010E](#)

308 CONSUMER RIGHTS

Providers will adhere to Consumer Rights as outlined by [42 CFR 438.100](#).

- 308.1 Consumers have the right to be treated with respect and with due consideration for his or her dignity and privacy.
- 308.2 Consumers have the right to receive information on available treatment options and alternatives, presented in a manner appropriate to the consumer’s condition and ability to understand. (The information requirements for services that are not covered under the Agreement because of moral or religious objections are set forth in [42 CFR §438.10\(g\)\(2\)\(ii\)\(A\) and \(B\)](#).)
- 308.3 Consumers have the right to participate in decisions regarding his or her health care, including the right to refuse treatment.
- 308.4 Consumers have the right to be free from any form of restraint or seclusion used as a means of coercion, discipline, convenience, or retaliation, as specified in other Federal regulations on the use of restraints and seclusion.
- 308.5 Consumers have the right if the privacy rule, as set forth in 45 CFR parts 160 and 164 subparts A and E, applies, request, and receive a copy of his or her medical

records, and request that they be amended or corrected, as specified in [45 CFR §164.524](#) and [164.526](#).

308.6 Each consumer is free to exercise his or her rights, and that the exercise of those rights does not adversely affect the way the Provider treats the consumer. Documents may be requested from SAPT Administration.

308.A [SU Consumer Protection](#)

308.B [Consumer Rights Flyer](#)

309 CONSUMER SATISFACTION

309.1 Quarterly Treatment Perception Surveys will be conducted for all consumers in County Clinics and Provider facilities. RUHS-BH Research and Evaluation department will send surveys to all facilities and manage data collection and submittal to UCLA.

309.2 Pursuant to [42 CFR 438.3\(l\)](#), Providers will allow each consumer to choose his or her health professional to the extent possible and appropriate.

309.A [DHCS Treatment Perceptions Survey Info Notice](#)

309.B [DHCS Treat Perceptions Survey Info Notice](#)

310 PROVIDER CONSUMER COMMUNICATIONS

310.1 The Providers may advise or advocate on behalf of the consumer who is their consumer regarding:

- The consumer's health status, medical care, or treatment options, including any alternative treatment that may be self-administered.
- Any information the consumer needs to decide among all relevant treatment options.
- The risks, benefits, and consequences of treatment or non-treatment.
- The consumer's right to participate in decisions regarding his or health care, including the right to refuse treatment.
- To express preferences about future treatment decisions.

311 PROVIDER GRIEVANCE AND APPEALS

311.1 Service denials and appeals may occur through the course of Providers billing for services. Services may be denied for various reasons. Steps for County processing and Provider feedback and appeals are available by request from SAPT Administration or QI.

311.A Service Denial Letter

311.B Provider Denied Service Report (Example)

311.C QI Provider Appeal Form

311.D SU Waiver Denial and Appeal Flow Chart

312 QUALITY IMPROVEMENT PLAN

312.A QI FY 19-20 Plan

312.B [DHCS Quality Management FAQ](#)

313 TRAINING

Providers will ensure personnel attend required State and County trainings at onset of contracting with County and throughout contractual period.

313.1 Required clinical trainings are [State CalOMS](#), Annual DMC Waivered County Compliance, and prior to providing services, ASAM Multi-dimensional Assessment (ASAM B) and From Assessment to Service Planning and Level of Care (ASAM C), two evidenced based practice trainings and annual DMC-ODS training must be completed. It is strongly recommended clinicians attend SUD Adult and/or Adolescent Screening Tune-up training.

Evidence of training or lack thereof shall be documented in Provider's annual monitoring reports which are sent to DHCS.

- MDs and LPHAs shall provide proof of at least five (5) continuing education credits in addiction medicine annually. Documentation shall be filed in personnel file.
- Certified counselors shall maintain documentation of all continuing education credits for recertification in their personnel files.

313.2 With respect to other trainings, Providers shall provide proof of completion in personnel files of, MAT Training, 42 CFR Part (2) and HIPAA (every two years), Human Trafficking, Cultural Competency (annually), and annual health and safety training (Residential facilities only).

313.3 Periodic, ongoing training is provided by the County throughout the year. Some training may be mandatory to satisfy monitoring deficiencies.

313.4 Annual Cost Report Training shall be attended by Provider's fiscal personnel.

313.A [CalOMS Web Training](#)

313.B [CIBHS ASAM and Waiver Trainings](#)

314 CREDENTIALING

314.1 Providers are responsible for adhering to [DHCS credentialing requirements](#) through primary sources. QI shall verify Provider policy of the following information from each network provider, as applicable:

- Work history;
- Hospital and clinic privileges in good standing;

- History of any suspension or curtailment of hospital and clinic privileges;
- Current Drug Enforcement Administration identification number;
- National Provider Identifier number;
- Current malpractice insurance in an adequate amount, as required for the particular provider type;
- History of liability claims against the provider;
- Provider information, if any, entered in the National Practitioner Data Bank, when applicable. See <https://www.npdb.hrsa.gov/>;
- History of sanctions from participating in Medicare and/or Medicaid/Medi-Cal: providers terminated from either Medicare or Medi-Cal, or on the Suspended and Ineligible Provider List may not participate in the Plan's provider network. This list is available at: <http://files.medi-cal.ca.gov/pubsdoco/SandILanding.asp>; and
- History of sanctions or limitations on the provider's license issued by any state's agencies or licensing boards.

314.2 Attestation – County shall obtain from all network providers who deliver covered services, a signed and dated statement attesting to the following:

- Any limitations or inability that affect the provider's ability to perform any of the position's essential functions, with or without accommodation;
- A history of loss of license or felony conviction;
- A history of loss or limitation of privileges or disciplinary activity;
- A lack of present illegal drug use; and
- The application's accuracy and completeness.

314.3 County shall verify and document at a minimum every three years that each contracted provider that delivers covered services continues to possess valid credentials, including verification of each of the credentialing requirements listed above. The County shall require each contracted provider to submit any updated information needed to complete the re-credentialing process, as well as a new signed attestation. In addition to the initial credentialing requirements, re-credentialing shall include documentation that the County has considered information from other sources pertinent to the credentialing process, such as quality improvement activities, beneficiary grievances, and medical record reviews.

314.4 Providers are responsible for adhering to [DHCS credentialing requirements](#) through primary sources. QI shall verify documentation of the following information from each network provider, as applicable:

- The appropriate license and/or board certification or registration, as required for the particular provider type;

- Evidence of graduation or completion of any required education, as required for the particular provider type;
- National Provider Identifier number;
- Current malpractice insurance in an adequate amount, as required for the particular provider type
- Proof of completion of any relevant medical residency and/or specialty training, as required for the particular provider type; and
- Satisfaction of any applicable continuing education requirements, as required for the particular provider type.

315 NOTICE OF ADVERSE BENEFIT DETERMINATION

315.1 Adverse Benefit Determination is defined to mean any of the following actions taken by a Plan:

- The denial or limited authorization of a requested service, including determinations based on the type or level of service, medical necessity, appropriateness, setting, or effectiveness of a covered benefit;
- The reduction, suspension, or termination of a previously authorized service;
- The denial, in whole or in part, of payment for a service;
- The failure to provide services in a timely manner;
- The failure to act within the required timeframes for standard resolution of grievances and appeals; or
- The denial of a beneficiary's request to dispute financial liability.

315.2 Providers shall follow steps and criteria as outlined in DHCS Information Notice 18-010E. Additionally, an NOABD log shall be maintained by Provider and all documentation shall be submitted to QI-Outpatient department within 24 hours of determination and notification to consumer. QI Outpatient fax (951) 955-7503.

316 PROVIDER ADEQUACY REPORTING

316.1 Provider shall submit to RUHS-BH documentation verifying it has the capacity to serve the expected enrollment in its service area in accordance with the network adequacy standards developed by DHCS. Documentation shall be submitted no less frequently than the following:

- At the time it enters into this Contract with the COUNTY;
- On a monthly basis; and
- At any time there has been a significant change, as defined by RUHS-BH, in the Provider's operations that would affect the adequacy capacity of services, including the following:
 1. A decrease of twenty-five percent (25%) or more in services or providers available to beneficiaries;

2. Changes in benefits;
 3. Changes in geographic service area; and
 4. Details regarding the change and CONTRACTOR's plans to ensure beneficiaries continue to have access to adequate services and providers
- Providers shall be held accountable for adhering to this reporting requirement. Compliance shall be tracked and reported on monitoring reports.

317 PROVIDER REQUIREMENTS MANUAL

- 317.1 Two Practice guidelines and procedure manual (P&P) shall be updated every two years by QI Outpatient. One shall address all program, clinical, administrative and quality controls required for contracted providers and the other shall address similar practices for county clinic as required by county structure.
- 317.2 Existing manuals shall be reviewed for currency and updated according to changes and new protocols defined by DHCS intergovernmental agreement, regulations, DHCS information notices and best practices.
- 317.3 QI Outpatient shall enlist the Medical Director/clinic physician, SAPT administration, program support, CARES, Compliance Officer, and clinical personnel to review and update manuals as they relate to contracted providers and county clinics.
- 317.4 P&P manuals shall be saved on the County intranet policies and procedures website and Substance Abuse website for county personnel and contracted provider access respectively.
- 317.5 Notice to both county clinic personnel and contracted providers, senior management and compliance officer shall occur after every update with instruction about how to locate the documents. Subsequent monitoring of both county clinics and contracted providers will verify personnel understand how to access and instruct on the purpose of manuals.

Additionally, notice of updates and instruction will be shared at contracted provider quarterly meetings and monthly county clinic staff meetings.

- 317.6 In addition to previously mentioned website postings, provider's P&P will be posted on the consumer informing materials webpage. Instructions for access to the P&P shall be added to provider's other informing materials process currently in place. e.g. program rules, client rights, beneficiary handbook, grievance and appeals, network provider directory etc.

QI Outpatient shall monitor provider and clinics in the same manner as all other informing materials checks.

318 REGULATORY COMPLIANCE

Provider is expected to understand governing body's requirements to operate a SUD program. Federal, State and County regulations, Standards, policies and contracts define the operating structure. Providers shall be monitored for compliance.

- 318.1 Monitors shall confirm provider's acknowledgement and adherence of restriction on distribution of sterile needles.
 - No SABG funds may be used through provider's contract with the County shall be used to carry out any distribution of sterile needles or syringes for the hypodermic injection of any illegal drug.
- 318.2 Provider agrees that information produced through SABG funding that pertains to alcohol and drug programs shall contain a clearly written statement that there shall be no unlawful use of drugs or alcohol associated with the program. Additionally, no aspect of a drug or alcohol related program shall include any message on the responsible use, if the use is lawful, of drugs and alcohol.
- 318.3 Provider agrees that None of the funds made available through this Contract may be used for any activity that promotes the legalization of any drug or other substance included in Schedule I of Section 202 of the Controlled Substances Act (21 USC 812).
- 318.4 Provider shall develop a conflict of interest policy as defined by Title 9, Div 4, Ch 1.
- 318.5 Provider shall develop a comprehensive Patient Health Information policy as defined by Title 42, Part 2 Confidentiality of Substance Use Disorder Patient Records. Patient information is protected under Federal or Federally assisted substance use programs as well as the conditions that patient records may be used or disclosed.
- 318.6 Provider 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.

4. SAPT ADMINISTRATIVE OVERSIGHT

400 AUTHORIZATION TO ADMIT CONSUMERS INTO PROVIDER FACILITIES

The SU CARES staff is responsible for all residential placements and coordinating intake date with Contract Providers. Once placement is approved, the SU CARES department will fax a placement authorization and applicable documentation to the Contract Provider. Upon intake, the Contract Provider shall complete the admissions process and submit admission documentation to SAPT Administration.

For transitions to a lower level of care and outpatient services, placement is not required to be processed by the SU CARES department. Contract Providers will ensure placement criteria is met, enroll the consumer in appropriate level of care, and submit admission documentation to SAPT Administration.

400.1 Per County Contract Exhibit A, Contract Providers are to submit admission documentation for individuals admitted prior to 1:00 p.m. on holidays or weekends to SAPT Administration office prior to 1:00 p.m. the next working day via fax or secure file transfer. Contract Provider's documentation will be reviewed for accuracy and validity. Admissions placed and approved by the SU CARES will be submitted on the DAS SAPT 6027 Placement Referral form. Admissions completed by the Contract Provider (transitions and outpatient services) shall be submitted on the SAPT Contractor Admission- Service Authorization Request. Admissions must be accompanied by proof of Drug Medi-Cal eligibility (as applicable). All admissions for the month must be received from the Contract Provider no later than the 5th of the following month.

Corrections to admission documents that are incomplete or invalid will be requested via email from SAPT Administration clerical staff. Emails will be sent to Contract Provider line staff. Corrections are due within twelve (12) hours of a sent email.

400.2 SAPT Administration clerical staff shall complete a service authorization in the EHR for all admissions. The service authorization is unique to specific consumer, date(s) of episode, program and level of care. Each service authorization indicates consumer length of stay and approved amount of billing units per episode. Also, refer to sections 404.1 through 404.4.

400.3 Unit authorizations vary by modality:

- Withdrawal management ten (10) days.
- Withdrawal management for Co-Occurring fourteen (14) days.
- Residential treatment adults ninety (90) days, adolescents thirty (30) days.
- ODF and IOT six (6) months.
- OTP 365 days.

- MAT varies by provider.

- 400.4 Extension requests are reviewed by SAPT Administration and approved based on medical necessity. Contract Providers are required to submit extension requests to SAPT Administration as soon as need is established. Extension requests are required to be submitted prior to rendering services exceeding initial authorization. Approved extensions will be entered in the EHR. Refer to section 400.6 for denial process.
- 400.5 Residential Services for adults may be authorized for up to ninety (90) days in one continuous period and Residential Services for adolescents may be authorized for up to thirty (30) days in one continuous period. Reimbursement will be limited to two (2) non-continuous regimens in any one-year period (365 days). One extension of up to thirty (30) days beyond the maximum length of stay may be authorized for one (1) continuous length of stay in a one (1) year period (365 days) for both adults and adolescents. In keeping with the EPSDT mandate, consumers under the age of 21 are eligible to receive services needed to correct and ameliorate health conditions that care coverable under section 1905(a) Medicaid authority. Refer to DHCS Information Notice 16-042 regarding EPSDT residential requirements. Perinatal consumers shall receive a length of stay for the duration of their pregnancy, plus thirty (30) days post-partum. Adolescent consumers shall receive a longer length of stay if medically necessary.
- 400.6 Any decision to deny a service authorization request or to authorize a service in an amount, duration or scope, that is less than requested, shall be made by an individual who has appropriate expertise in addressing the consumer's medical and behavioral health issues. SAPT Administration shall notify Contracted Provider, and give the consumer written notice of any decision to deny a service authorization request or to authorize a service in an amount, duration or scope that is less than requested. The consumer's notice shall meet the requirements of 42 CFR §438.404.

400.A DHCS Information Notice 16-042 Residential Treatment Services and Residential Authorizations

401 BILLING

Contract Providers will treat and bill the majority of consumers under DMC-ODS guidelines. Billing staff shall be expected to understand the rules and regulations to bill for treatment services through RUHS-BH SAPT.

- 401.1 DMC-ODS services shall be available as a Medi-Cal benefit for individuals who meet the medical necessity criteria and reside in Riverside County. Determination of who may receive the DMC-ODS benefit shall be performed in accordance with DMC-ODS Special Terms and Conditions (STC) 128(d), Article

II.E.4. Providers shall not charge DMC consumers for covered services under the DMC-ODS Waiver.

- 401.2 Contract Providers are responsible for ensuring that any of its staff members or personnel in which they employ, is licensed or certified to practice and is in possession of a valid, current license or certificate to practice or to provide mental health or other required services, to consumers. Contract Providers who receive Medi-Cal funds are required to validate and submit a signed statement to RUHS-BH with their monthly invoice to confirm that their staffs are not on either the [OIG Exclusion List](#) and/or the Medi-Cal list of [Suspended or Ineligible Providers list](#). In addition, Contract Providers providing Medi-Cal billable services must have, and provide in writing to SAPT Administration, pursuant Section XLVI, NOTICES, of Contract Agreement, a valid rendering site and/or individual provider NPI and taxonomy code that corresponds with the work they are performing. Any updates or changes must be made by the Contract Provider to the [National Plan & Provider Enumeration System \(NPPES\)](#) within thirty (30) days. Contract Providers shall establish their own procedures to ensure adherence to these requirements.
- 401.3 Contract Providers will be required to obtain access to verify Medi-Cal eligibility via the state system. Contract Providers must verify Medi-Cal eligibility determination of an individual. When Contract Providers conduct the initial eligibility verification, it shall be reviewed and approved by SAPT Administration prior to payment for services. Contract Providers shall verify Medi-Cal eligibility on all consumers at time of admission, and every month thereafter while the consumer remains in treatment.
- 401.4 In addition to verifying Medi-Cal Eligibility, Contract Providers shall review the Aid Code indicated on all eligibility verifications to ensure the Aid Code is DMC reimbursable.
- 401.5 County Residence Requirement: Contract Providers shall adhere to providing services to consumers who reside in Riverside County. DMC eligibility documentation must also reflect Riverside County as the County of Responsibility. Consumers who live in other counties and have out of county DMC shall be referred back to their respective county of residence.
- 401.6 Contract Providers shall utilize RUHS-BH developed service codes for billing submissions. Service codes are detailed in the SAPT Procedure Code Manual. During the RUHS-BH claiming process, the designated service codes are translated to the required Healthcare Common Procedure Coding System (HCPCS) codes including appropriate modifiers and unit designation, aligning with [DHCS MHSUDS Information Notice 17-045](#) and DHCS DMC Billing Manual.

- 401.7 As indicated in the SAPT Procedure Code Manual, certain consumer categories will be assigned specific service codes. These categories include Youth, Perinatal, and Perinatal-Youth:
- Youth service codes will be utilized for eligible EPSDT consumers up to the age of 21. In keeping with the ESPDT mandate, consumers under the age of 21 are eligible to receive services needed to correct and ameliorate health conditions that care coverable under section 1905(a) Medicaid authority. EPSDT regulatory guidelines take precedence over DMC-ODS.
- Perinatal service codes will be utilized for pregnant or post-partum consumers receiving treatment in a Perinatal-Certified DMC Provider. Medical documentation that substantiates the consumer's pregnancy and the last day of pregnancy shall be maintained in the consumer's record. Contract Providers are required to submit notification to SAPT Administration that proof of pregnancy is on file. Post-partum covers the first day after the termination of pregnancy; sixty (60) days post-partum and the end of the month the sixty (60) days falls in.
- Perinatal-Youth service codes will be utilized for those consumers that meet both the Youth and Perinatal category.
- 401.8 As part of the DMC-ODS Waiver State-County contract, the State will permit a consumer to receive more than one (1) service per calendar day by various providers. There will be no requirement to use the Multiple Billing Override (MBO) code for multiple services on the same date. Services will be allowed to have a [multiple billing in the same day](#) when the combination of services does not have a conflict.
- 401.9 Upon contract execution, Contract Providers are trained by SAPT Administration in RUHS-BH's EHR system. All billing service entry is submitted through the EHR system. In addition to instructions provided in the Contract Provider EHR User Guide, there are specific rules for submitting service line entry for group services. These guidelines ensure the group prorating formula is captured accurately, consistent with guidelines set by [DHCS DMC Billing Manual](#).
- 401.10 Contract Providers must submit final billing entries by the fifth calendar day of every month for prior month services. Contract Providers shall submit PVD 2003 ELMR Invoice Summary Report, Letterhead, and Program Integrity Form (PIF) to ELMR_PIF@rcmhd.org.
- 401.11 Other Healthcare Coverage: Pursuant to California Code of Regulations ([CCR](#)), [Title 22, Section 51005\(a\)](#) and [Title 42 CFR 433.138](#), if a consumer has Other Healthcare Coverage (OHC), then the Contract Provider shall bill that OHC prior to billing DMC to receive payment from the OHC, or a notice of denial from the OHC indicating that: a) The recipient's OHC coverage has been exhausted, or b) The specific service is not a benefit of the OHC.

- 401.12 Each consumer is required to utilize their OHC prior to Medi-Cal when the same service is available under the recipient's private health coverage. Providers are not allowed to deny Medi-Cal services based upon potential third party liability. If the recipient elects to seek services not covered by Medi-Cal, Medi-Cal is not liable for the cost of those services. To establish Medi-Cal's liability for a covered Medi-Cal service, the Provider must obtain an acceptable denial letter from the OHC entity.
- 401.13 If the Contract Providers submit a claim to an OHC and receives partial payment of the claim, the Contract Providers shall submit a copy of Explanations of Benefits (EOB) to SAPT Administration. RUHS-BH will submit any claim to DMC and the Contractor is eligible to receive payment up to the maximum DMC rate for the service, less the amount of the payment made by the OHC. Contract Providers are required to submit documentation of OHC denials to SAPT Administration.
- 401.14 [OTP Contract Providers are excluded](#) from the OHC regulation.
- 401.15 Residential Services: Room and board units shall not be a covered expenditure under the DMC-ODS. Room and board units will be billed under SAPT Block Grant as identified on the Provider's Agreement Schedule I.
- 401.16 Share of Cost: Some Medi-Cal recipients must pay, or agree to be obligated to pay, a monthly dollar amount toward their medical expenses before they qualify for Medi-Cal benefits. This dollar amount is called the Share of Cost (SOC). Consumers are not eligible to receive Medi-Cal benefits until their monthly SOC dollar amount has been certified. SOC is certified once the verification system shows the consumer has paid, or has become obligated to pay for the entire monthly dollar SOC amount.
- 401.17 Obligated payments mean the Contract Providers will allow the consumer to pay for the services at a later date or through an installment plan. Obligated payments may be used to clear SOC. RUHS-BH is not responsible for obligated payments. This agreement is with the Contract Provider and the consumer.
- 401.18 Providers should perform a SOC clearance transaction immediately upon receiving payment or accepting obligation from the consumer for the service rendered. Delays in performing the SOC clearance transaction may prevent the consumer from receiving other medically needed services. SOC clearance transactions are completed via the state website. Once SOC is cleared, Contract Providers are to submit printouts/copies of SOC transactions to SAPT Administration.
- 401.19 ACH Steps County of Riverside offers Automated Clearing House (ACH) Deposits for Providers. See County of Riverside ACH Enrollment Form.
- Complete the ACH form and mail it to the address provided on the form.

- Vendor Number: If the Provider does not have a vendor number, e-mail SAPT Administration to assist with requesting one.
- ACH Coordinator: If it does not apply or the Provider does not have this information, type or write in “Not Applicable”.
- Ensure that the appropriate person with signature authority signs the form.
- A business card for the person with signature authority must be attached to the form.
- Attach a “voided” blank check to the form; Auditor Controller’s Office has the correct banking institutional information.
- Processing should take approximately four (4) weeks to complete. If the Provider has any issues, contact the Auditor Controller’s Office at the email address or phone number listed on the form. It is a message only phone number. A representative will return the call.
- Once the ACH Deposit is completed, and if the Provider is banking information changes, the Provider must submit a new ACH Enrollment Form and select the “Change” box.
- Should the Auditor Controller’s Office suspect fraudulent activity, it will stop ACH Deposits for the financial safety of both the Provider and the County of Riverside and revert to issuing warrants by mail.

Contact SAPT Administration for copies of current forms.

401.A ACH Enrollment Form

401.B Aid Codes

401.C SAPT Provider User Guide

401.D DHCS DMC Billing Manual:

401.E DHCS Information Notice No 17-036 County of Responsibility Transition

401.F DHCS Information Notice No 17-045 Drug Medi-Cal Organized Delivery System Healthcare Common Procedure Coding System and Modifiers

401.G DHCS Information Notice No 17-039 Same Day Billing

401.H DMC OHC Requirement and OTP

401.I County of Residence Eligibility Guide

401.J PIF Letterhead Template

401.K Other Health Care Providers Contact Information

401.L ODF and IOT Group Billing Instructions

401.M Procedure Code Manual – Post Waiver

401.N Program Integrity Form

401.O Understanding Aid Code Master Chart

402 CERTIFICATION REQUIREMENTS

SAPT requires Contracted Providers and County clinics to obtain a DMC certification and an AOD (if a residential/WM program) certification from DHCS. It is the responsibility of the Clinic Supervisor to assist SAPT Administration in submitting timely and appropriate information to DHCS prior to certification expiration date. At no time should certifications lapse.

- 402.1 Renewable AOD certifications will designate the modalities approved at the location under RUHS-BH contract. Residential providers will also have identified ASAM levels of service, Withdrawal Management, and/or Incidental Medical Services (IMS) approvals.
 - 402.2 DMC certifications and DHCS supplemental certification letters shall contain, at a minimum, a four-(4) digit DMC number, an NPI number, a California Outcomes Measurement System (CalOMS) number, Effective date, Service Location address, modalities and special populations identified.
 - 402.3 Current AOD certification shall be posted in a public space. Current DMC certification shall be available to review as requested.
 - 402.4 Providers shall notify the County immediately upon notification from DHCS that its license, registration, certification or approval to operate an SUD program or a covered service is revoked, suspended, modified, or not renewed by DHCS.
 - 402.5 All DMC certified Providers shall be subject to continuing certification requirements at least once every five (5) years.
 - 402.6 DHCS may allow the Providers to continue delivering covered services to consumers at a site subject to on-site review by DHCS as part of the recertification process prior to the date of the on-site review, provided the site is operational, the certification remains valid, and has all required fire clearances.
 - 402.7 DHCS shall conduct unannounced certification and recertification on-site visits at clinics pursuant to W&I Code, Section 14043.7.
 - Providers are encouraged to contact QI Outpatient to be present for any DHCS monitoring visit.
- 402.A AOD Facility Licensing
- 402.B DMC Provider Enrollment Certification

403 CONTRACTING WITH RUHS-BH SAPT

Providers are selected through a [competitive bidding process](#) pursuant to policies set forth by the County of Riverside Purchasing and Fleet Department. Proposals are reviewed, evaluated and scored. Quality of proposal response, modalities of service, location and need are a few factors considered. Selected providers are required to maintain a DMC

certification and, as applicable AOD license/certification as described in section 402. By contracting with the County, Provider understands they must provide Alcohol and Drug treatment according to the DMC and SABG standards and regulations.

- 403.1 It is the policy of the RUHS-BH to maintain a provider selection and retention criteria. The selection procedure for RUHS-BH contracted providers does not discriminate against particular providers that serve high-risk populations or specialize in conditions that require costly treatments. RUHS-BH may not discriminate in the selection, reimbursement, or indemnification of any provider who is acting within the scope of his or her license or certification under applicable state law, solely on the basis of that license or certification.
- 403.2 Provider shall not knowingly have any prohibited type of relationship with the following:
- An individual or entity that is debarred, suspended, or otherwise excluded from participating in procurement activities under the Federal Acquisition Regulation or from participating in non-procurement activities under regulations issued under Executive Order No. 12549 or under guidelines implementing Executive Order No. 12549 [42 C.F.R. § 438.610(a)(1)].
 - An individual or entity who is an affiliate, as defined in the Federal Acquisition Regulation at 48 CFR 2.101, of a person described in this section [42 C.F.R. § 438.610(a)(2)]
- 403.3 Provider shall not have a prohibited type of relationship by employing or contracting with providers or other individuals and entities excluded from participation in Federal health care programs (as defined in section 1128B(f) of the Social Security Act) under either Section 1128, 1128A, 1156, or 1842(j)(2) of the Social Security Act [42 C.F.R. §§ 438.214(d)(1), 438.610(b); 42 U.S.C. § 1320c-5].
- 403.4 Provider shall not have any types of relationships prohibited by this section with an excluded, debarred, or suspended individual, provider, or entity as follows:
- A director, officer, agent, managing employee, or partner of the Provider [42 U.S.C. § 1320a-7(b)(8)(A)(ii); 42 C.F.R. § 438.610(c)(1)].
 - A subcontractor of the County, as governed by 42 C.F.R. § 438.230. [42 C.F.R. § 438.610(c)(2)].
 - A person with beneficial ownership of 5 percent (5%) or more of the Provider equity [(42 C.F.R. § 438.610(c)(3)].
 - An individual convicted of crimes described in section 1128(b)(8)(B) of the Act [42 C.F.R. § 438.808(b)(2)].
 - A network provider or person with an employment, consulting, or other arrangement with the Provider for the provision of items and services that are significant and material to the Provider's obligations under this Contract [42 C.F.R. § 438.610(c)(4)].

- 403.5 Provider shall not employ or contract with, directly or indirectly, such individuals or entities for the furnishing of health care, utilization review, medical social work, administrative services, management, or provision of medical services, or the establishment of policies or provision of operational support for such services [42 C.F.R. § 438.808(b)(3)].
- 403.6 County also requires a monthly signed acknowledgement from contracted providers when submitting their monthly billing that they performed their due diligence in verifying compliance with the above.
- 403.7 County monitors excluded parties reports annually.
- 403.8 Additional information is requested at the onset of initial contract and subsequent contract renewals.
- 403.9 SAPT monitoring will conduct an initial review of a new Provider and regular onsite technical assistance visits throughout the first year. Renewed Providers are monitored as described in Section IV- “Program Supervision, Monitoring and Review” of the Provider Agreement, as well as the Exhibit A of each contract. Training occurs after contract execution.
- 403.10 Access to RUHS-BH requires that Providers submit a completed CARF, Provider enrollment documents for each practitioner, VPN request and SFTP application.
- 403.11 Provider practitioners are required to submit copies of valid certifications and printouts of individual [NPI](#) numbers before practitioners provide any service. Individual practitioner’s NPI will reflect the address of employing Provider. It is the responsibility of Provider to ensure timely updates of active practitioners by contacting SAPT Administration. See 401.2 for more information.
- 403.12 SAPT Administration shall track all practitioners using the Practitioner Required Information form.
- 403.13 DMC eligibility access will be required to bill for DMC recipients. Application to access [State website](#) is also required. PIN is assigned when DMC certification is issued by DHCS.
- 403.14 Providers who are not selected for a contract, full or partial after completing the competitive bid process, may protest the decision through [Riverside County Purchasing](#).
- 403.15 Providers shall comply with the regulations and guidelines listed in Section 6-Resources.

Documentation may be requested through SAPT Administration.

403.A ADA Checklist

403.B [Competitive Bid Appeal Process](#)

- 403.C [Medi-Cal Website](#)
- 403.D CARF Template
- 403.E New Provider Information Form and Document Checklist
- 403.F [NPI Registry](#)
- 403.G Practitioner Enrollment Request Form
- 403.H SFTP Application
- 403.I VPN Request Agreement
- 403.J VPN Request Form

404 DATA ENTRY- CONTRACT PROVIDER AND SAPT ADMINISTRATION

Provider is contractually obligated to reporting, responding and following all reporting requirements. Adherence to reporting requirements shall be monitored and reported on QI monitoring reports.

- 404.1 SAPT Administration and Contract Providers are both involved in the data entry process on each consumer's record. Data is entered into the RUHS-BH EHR System via VPN and EHR account login. Every Contract Provider is required to submit, at minimum, one (1) VPN request to obtain access to the RUHS-BH EHR System. Contract Providers obtain an EHR account during the initial contract process, as detailed in section 403.
- 404.2 SAPT Administration clerical staff shall complete preliminary admissions data entry. Data entry includes consumer demographic information, financial eligibility, and assigned Contractor program and location. Admissions are assigned to Provider caseload in the EHR, which gives the Contract Providers access to enter consumer data into the EHR. Residential episodes are to be entered into the EHR by SAPT Administration within twenty-four (24) hours of receiving admission documentation from Contract Providers.
- 404.3 Daily, assigned SAPT Administration clerical staff shall send email notifications to the Contract Provider's line staff indicating admissions have been entered into the EHR. Email includes medical record number, last name, authorization number, program ID, level of care, and the consumer's admission date.
- 404.4 Once the consumer is available on Provider caseload in the EHR, Contract Providers are required to enter the following data as completed:
 - Diagnosis.
 - [CalOMS Admission](#).
 - [ASAM Data Collection](#).
 - [CalOMS Discharge](#).

- [CalOMS Annual Update](#) (as applicable).

404.5 Two (2) reports are available to Contract Providers to assist with maintaining updated and current data on the Provider caseload:

- PVD Provider Open Caseload Report: All open consumers assigned to specific provider, sorted by Program ID.
- PVD 2010 CalOMS and Diagnosis Data Entry Validation: Report generates a list of any consumers assigned to a caseload that are missing CalOMS Admission form and/or Diagnosis entry.

Documentation may be requested through SAPT Administration.

404.A Annual Updates after Initial Instructions- Data Entry

404.B ASAM Data Collection Instructions

404.C Contract Provider Report Access

404.D DAS Discharge Data Entry Instructions

405 PROVIDER ADDING/CHANGE NOTIFICATIONS

County Administration and AOD and DMC Certified Providers are responsible for maintaining accurate records with DHCS. Administration will update any State Analyst and report through DHCSMPF@dhcs.ca.gov to update the Master Provider File (MPF) when changes occur with Contracted Providers. Providers will assist County with adhering to these requirements.

405.1 Providers will notify the County when the Provider applies for any new or additional services by location.

405.2 Providers will notify the County if there is any change in status to its AOD or DMC certification status by the State.

405.3 Providers shall notify the County after any change in ownership or executive management.

405.4 Providers shall notify the County if there is any change in Medical Director or their DMC approved status.

406 REPORTS MANAGED BY SAPT ADMINISTRATION

SAPT Administration manages quality assurance for billing, contractual compliance and adherence to state certification and CalOMS requirements. Reports are run weekly, monthly and annually, to verify Contract Providers are meeting expectations in the above-mentioned areas. Provider is contractually obligated to reporting, responding and following all reporting requirements. Adherence to reporting requirements shall be monitored and reported on QI monitoring reports.

406.1 CalOMS treatment data is due to DHCS by the 15th of each month. CalOMS Compile Error Reports reveal errors that must be corrected prior to submission.

SAPT Administration reviews errors and then sends email(s) to Contract Provider's line staff and Supervisors detailing incorrect or missing CalOMS data. Outstanding data is due within three (3) days of email request. Compliance with CalOMS reporting is mandatory.

- 406.2 The DAS 1000 Open Caseload Report is run every other week to identify consumers who have not received a service in thirty (30) days. SAPT Administration sends reports to Contract Providers monthly via email.
- 406.3 The Drug and Alcohol Treatment Access Report ([DATAR](#)) tracks capacity and waitlists for each location. It is a State requirement for all facilities to submit statistics monthly. An email reminder is sent to all providers the fifth of every month from SAPT Administration. If the fifth falls on a weekend, notification will be sent the Friday prior. If DATAR is not completed by the specified deadline, Contract Providers will appear on the DHCS County Non- Compliance Report. Any Provider appearing on this report will be notified via email. Providers are required to submit late DATAR submissions within one (1) day of any non-compliance email.
- When a SUD treatment provider serving intravenous substance users reaches or exceeds 90 percent of its treatment capacity, the provider must report this information to the Drug and Alcohol Treatment Access Report (DATAR) on a monthly basis. The DATAR system is DHCS's capacity management program used to collect data on SUD treatment capacity and waiting lists
 - A provider and/or county must also notify DHCS upon reaching or exceeding 90 percent of its treatment capacity within seven days.
 - When provider has insufficient capacity to provide treatment services to a pregnant and/or parenting woman, the provider must provide a referral.
 - Providers shall establish, maintain, and update individual patient records for pregnant and parenting women, which shall include referrals.
 - If no treatment facility has the capacity to provide treatment services, the provider will make available or arrange for interim services within 48 hours of the request, including a referral for prenatal care
 - Providers and/or counties must notify DHCS by emailing DHCSPerinatal@dhcs.ca.gov. The subject line in the email must read "Capacity Management."
- 406.4 The Patient Accounts Department sends the Void and Replace Report to SAPT Administration monthly. This report identifies all denied Medi-Cal services and the reason for denial. SAPT Administration reviews reports, corrects any internal errors, and will contact Contract Providers requesting supporting documentation on services that may be eligible for rebilling.

406.5 [Annual updates](#) are required for those Provider participants in treatment for twelve (12) months or more, continuously in one provider and one service modality with no break in services exceeding thirty (30) days. The Provider must collect the CalOMS Treatment data approximately one (1) year from the day the individual was admitted to that specific provider and service modality. Annual updates are required for all treatment program participants. New admissions entered on or after January 1, 2006 will require an annual update on the admission anniversary date in 2007 and each year thereafter that the consumer is in the same program and modality continuously. First and all subsequent annual updates should be collected no later than the anniversary date of the admission. Annual update information can be collected earlier than twelve (12) months, as early as sixty (60) days prior to the individual’s admission date anniversary as well.

SAPT Administration generates the Annual Update Due Report. This report identifies consumers that are due, past due for annual updates, or may need review for discharge. Updates or past due discharges from Provider staff are due within one (1) week of report generation.

Documentation may be requested through SAPT Administration.

406.A Contract Provider Report Access

407 STATE REPORTING COMPLIANCE

All certified facilities are required to adhere to mandated reporting by DHCS. “Any Provider that receives any public funding for SUD treatment services and all Opioid Treatment Program (OTP) Providers must report CalOMS Treatment data for all of their consumers receiving treatment, whether those individual consumer services are funded by public funds or not.

Providers will collect consumer data at admission and at discharge or administrative discharge from the same treatment program. Data will also be collected annually as an annual update for consumers in treatment for over twelve (12) months” ([CalOMS Treatment Data Dictionary, 2014](#)).

Additionally, “Treatment Providers that receive state or federal funding through the State or the County, as well as all licensed Opioid Treatment Programs (OTP), must send DATAR information to DHCS each month” (Department of Healthcare Services). Provider is contractually obligated to reporting, responding and following all reporting requirements. Adherence to reporting requirements shall be monitored and reported on QI monitoring reports.

407.1 [CalOMS Annual Update reporting](#). All Providers and County clinics are required to adhere to [CalOMS guidelines](#) pertaining to proactively extending consumers who will be in a treatment episode for twelve (12) months or longer.

- 407.2 Open Caseload reporting. All Providers and County clinics are required to adhere to [CalOMS guidelines](#) pertaining to discharging consumers who have not participated in a service within thirty (30) days.
- 407.3 DATAR Reporting and Compliance. Facility must log in to [DATAR website](#) and submit a DATAR capacity report to the State by the tenth (10) of every month. The report tracks capacity and waitlist information. Every site must be reported. Contact SAPT Administration for log-in user ID assistance for [DATAR training](#) and system log-in.
- When a SUD treatment provider serving intravenous substance users reaches or exceeds 90 percent of its treatment capacity, the provider must report this information to the Drug and Alcohol Treatment Access Report (DATAR) on a monthly basis. 54 The DATAR system is DHCS’s capacity management program used to collect data on SUD treatment capacity and waiting lists
 - A provider and/or county must also notify DHCS upon reaching or exceeding 90 percent of its treatment capacity within seven days.
 - Providers and/or counties must notify DHCS by emailing DHCSPerinatal@dhcs.ca.gov. The subject line in the email must read “Capacity Management.”
- 407.A [CalOMS Collection Guide](#)
- 407.B [CalOMS Data Dictionary](#)
- 407.C [DATAR Log-in](#)
- 407.D [DATAR State Instruction](#)

408 TERMINATING CONTRACT WITH COUNTY

- 408.1 In the event of contract termination as described in County Agreement Section XXIX Termination Provisions, County will notify current consumer’s treated by Provider within fifteen (15) days of written notice of termination of options for continuing treatment.
- 408.2 The County will notify DHCS (SUDCountyReports@dhcs.ca.gov) of Provider termination and basis for termination of the Provider within two (2) business days of termination notification.
- 408.3 The County is the owner of all patient care/client records. In the event that the Agreement is terminated, the Provider is required to prepare and box the client medical records so that the County, according to the procedures developed by the County, can archive them. The County is responsible for taking possession of the records and storing them according to regulatory requirements. The County is required to supply the Provider with a copy of any medical record that is requested by the Provider, as required by regulations, at no cost to the Provider, and in a timely manner.

- 408.4 At the time of termination, the window of time relevant to 408.3 above shall be client records within ten (10) years following discharge of the client, with the exception of un-emancipated minors, which shall be kept at least ten (10) years after such minor has reached the age of eighteen (18) years.
- Provider is mandated to keep and maintain records for each service rendered, to whom it was rendered, and the date of service, pursuant to WIC 14124.1 and 42 CFR 438.3(h) and 438.3(u).

409 TRAINING AND INFORMATION UPDATES-ADMINISTRATION

- 409.1 Administrative training for RUHS-BH's EHR, including billing and [CalOMS data entry](#) (CARF form required), will be immediately scheduled after contract execution.
- 409.2 Administration will train Providers on [checking DMC eligibility](#) fundamentals and understanding [Aide Codes](#).
- 409.3 Periodic, ongoing training is provided by the County throughout the year.
- 409.4 Contracted Provider executives and/or managers are required to attend County Provider meetings held every other month on the second Thursday of the month from 12:00 p.m. -2:00 p.m. and lunch will be served. Topics may include updates from the Program Administrator about Statewide changes, industry topics and from SAPT personnel pertaining to compliance, administrative changes and an interactive question and answer period.
- 409.A [Aid Code Manual](#)
- 409.B [CalOMS Web Training](#)
- 409.C [Medi-Cal Eligibility Website](#)

5. PRIMARY PREVENTION

500 PRIMARY PREVENTION

500.1 The SABG regulation defines “Primary Prevention Programs” as those programs “directed at individuals who have not been determined to require treatment for substance abuse” (45 CFR 96.121), and “a comprehensive prevention program which includes a broad array of prevention strategies directed at individuals not identified to be in need of treatment” (45 CFR 96.125). Primary prevention includes strategies, programs, and initiatives which reduce both direct and indirect adverse personal, social, health, and economic consequences resulting from problematic Alcohol and Other Drug (AOD) availability, manufacture, distribution, promotion, sales, and use. The desired result of primary prevention is to promote safe and healthy behaviors and environments for individuals, families, and communities. The County shall expend not less than its allocated amount of the SABG Primary Prevention Set-Aside funds on primary prevention activities as described in the SABG requirements (45 CFR 96.125).

501 STRATEGIC PREVENTION PLAN

County is required to have a current and DHCS approved County Strategic Prevention Plan (SPP). The SPP must demonstrate that the County utilized the Substance Abuse and Mental Health Services Administration’s Strategic Prevention Framework (SPF) in developing the plan as described online at:

<https://www.samhsa.gov/sites/default/files/20190620-samhsa-strategic-prevention-framework-guide.pdf>.

501.1 DHCS will only approve SPP’s that demonstrate that the County utilized the SPF. County shall:

- Follow DHCS guidelines provided in the Strategic Training and Education for Prevention Planning (STEPP) Project utilizing the SPF
- Begin preparing a new SPP 18 months prior to the expiration date of the current SPP.
- Submit a timeline, no later than 18 months prior to the expiration date of the current SPP, for approval to DHCS Prevention Analyst that includes proposed dates for submitting each chapter of the SPP (outlined in STEPP).
- Submit drafts of each SPP chapter to DHCS Prevention Analyst for review and approval according to the approved timeline.
- Submit a completed draft of the SPP to DHCS Prevention Analyst no later than May 31st that includes the previously approved chapters for final review and approval.
- Provide an electronic copy of the final SPP to DHCS Prevention Analyst within 10 business days of approval and input planning data from the

approved SPP into the Primary Prevention Substance Use Disorder Data Service (PPSDS) according to the PPSDS Data Quality Standards. (http://www.dhcs.ca.gov/provgovpart/Documents/Substance%20Use%20Disorder-PPFD/PPSDS_Data_Quality_Standards.pdf).

502 PRIMARY PREVENTION DATA QUALITY STANDARDS

502.1 The purpose of this policy is to align Riverside County’s prevention program’s data quality standards for the Primary Prevention Substance Use Disorder (SUD) Data Service (PPSDS) with that of DHCS. All county programs and contracted providers funded with Substance Abuse Prevention and Treatment Block Grant (SABG) dollars for primary prevention services are required to report data that meet the terms of the SABG Contract. Exhibit A, Attachment I A1 Program Specifications, Part III, Section C, paragraph 1 states, in part, “Contractor shall comply with the data quality standards”. Data quality standards are intended to provide counties and providers with clear expectations about the quality of data submitted to the California Department of Health Care Services (DHCS). In order for the State to assess the quality and consistency of data, data standards are necessary. The Prevention Administrative Services Assistant assigned to the Prevention Program is solely responsible for insuring the quality of data submitted by Riverside County Prevention Providers. DHCS Data Quality Standards for PPSDS can be found at:

https://www.dhcs.ca.gov/provgovpart/Documents/Substance%20Use%20Disorder-PPFD/PPSDS_Data_Quality_Standards.pdf

502.2 Adhering to data quality standards is critical for the following reasons:

- The data Riverside County submits is used to complete the annual reporting requirements for the State of California for the SABG application as required by the Code of Federal Regulations (CFR) 45 Part 96, Subpart B, (96.17).
- The SABG application includes quantitative data tables that collect:
 1. number of persons served;
 2. demographics of the persons served;
 3. risk levels of persons served (Institute of Medicine [IOM] categories);
 4. underrepresented populations served;
 5. Center for Substance Abuse Prevention (CSAP) Strategies utilized;
 6. number of evidence-based programs being implemented; and,
 7. the dollar amount of SABG funds utilized for each of the CSAP Strategies.
- 45 CFR Part 96.133 requires the State submit an assessment of the need in the state for authorized activities, both by locality and by the State in general.

- The data must be reliable with real-time data as it is extracted for other uses such as national, state, and local reports, and statistical information to support local prevention efforts and funding.
- The PPSDS data quality standards require that:
 1. Quality data is timely.
 2. Quality data is logical.
 3. Quality data is accurate.
 4. Quality data is complete.
 5. Quality data is valid.

502.3 **Timely:** All providers are encouraged to record data entries into the PPSDS system as soon as possible after services are provided. All providers are expected to have PPSDS entries for the month entered no later than the 5th day following the end of the month. State deadline for service entry is the 10th day following the end of the month. Each provider’s entries are then reviewed by the Administrative Services Assistant for Prevention Services to make sure both deadlines are met. All services are submitted to DHCS by the 10th of the following month by the Administrative Services Assistant. Any corrections recommended by the DHCS analyst assigned to Riverside County are submitted within 30 days of receipt of the recommendation. This responsibility falls on the Administrative Services Assistant.

Furthermore, all data will be accurately reported to DHCS for each quarter by the following deadlines:

Quarter	Date Due to DHCS
Q1 (July 1 to September 30)	October 31
Q2 (October 1 to December 31)	January 31
Q3 (January 1 to March 31)	April 30
Q4 (April 1 to June 30)	July 31

502.4 **Logical:** The Administrative Services Assistant in his monthly review of data submissions checks how the data is input and that it follows the hierarchical system that aligns with SAMHSA’s Strategic Prevention Framework and that the following fields are covered by each entry into PPSDS:

- Goals (substances, target populations, baseline measures)
- Objectives (risk and protective factors)
- Planned Strategies (program name, socio-ecological domain, service population, EBP type, IOM category, geo-type, CSAP strategy, Risk category)

- Strategy Implementation (strategy frequency, demographics, CSAP activities, service date and duration)

Any corrections that are needed are sent back to the clinic or contracted provider and are required to be completed within the timelines indicated above

- 502.5 **Accurate:** The Administrative Services Assistant in his monthly review of data submissions reviews that all entries align with the correct CSAP activity and Duration of Service. His review includes making sure the implementation strategy profile accurately describes the activity, risk category, and target population. His review also includes that strategy implementations are correctly identified as being one-time, recurring, or session-based.

Any corrections that are needed are sent back to the clinic or contracted provider and are required to be completed within the timelines indicated above.

- 502.6 **Complete:** The Administrative Services Assistant in his monthly review of data submissions reviews that all entries align with guidelines set forth by DHCS for aggregating non-demographic data and that all fields in PPSDS are populated, including baseline measures and demographic fields when appropriate.

Any corrections that are needed are sent back to the clinic or contracted provider and are required to be completed within the timelines indicated above

- 502.7 **Valid:** The Administrative Services Assistant in his monthly review of data submissions reviews that all entries are for primary prevention services only and that no other types of services are included. Additionally, he reviews that the Agency Profiles include all county-operated clinics and programs as well as all contracted primary prevention providers. Review will also insure that all data entered into narrative fields is clear and written appropriately and that no names of participants and county staff are included.

Any corrections that are needed are sent back to the clinic or contracted provider and are required to be completed within the timelines indicated above

503 PREVENTION QUALITY IMPROVEMENT MONITORING

- 503.1 All prevention programs and contracted providers will be monitored by the BHS-IV assigned to the prevention program on a periodic basis. Each program and provider will be monitored at minimum twice per year, but ideally quarterly. The following programs will be monitored:

- FNL program – Moreno Valley and Desert Offices
- IPS program at each clinic site (currently 10 clinics)
- IPS program at each contracted provider site (currently 2 providers)
- Community Prevention Program at each provider site (currently 1 provider)

503.2 All contracted providers will be monitored using the Riverside County Primary Prevention Monitoring Tool (see attached). The monitoring tool created by the County is designed to monitor all prevention programs, including county-operated in-house programs as well as contracted provider programs. This tool is designed to make sure that PPSDS data elements are entered properly and timely, that periodic reports are generated and submitted on time (quarterly reports, annual reports, evaluation reports, work plans, etc), that contractual elements are addressed, and that funding is used appropriately. Any deficiency found during one of the quarterly or semi-annual audits will result in a formal report to the provider and will require a corrective action plan (CAP) be submitted within 30 days outlining the steps that the provider will take to correct the deficiency. Failure to respond or to correct a deficiency within the prescribed timeline can result in the cancellation of the provider contract.

504 OUTREACH TO ADOLESCENTS

- 504.1 Counties should provide or arrange for outreach services that identify AOD-abusing youth and encourage them to take advantage of treatment services.
- 504.2 Outreach efforts should target youth in at-risk environments.
- 504.3 High priority should be placed on linking with public systems already serving youth with AOD problems, such as schools, child welfare, public health, mental health, and juvenile justice.
- 504.4 Outreach activities should also include educating professionals and policymakers in these systems so that they become referral sources for potential clients.
- 504.5 Treatment services for intravenous drug abuse carry out activities to encourage individuals in need of such treatment to undergo such treatment. The County shall require outreach models that are scientifically sound, or which reasonably can be expected to be an effective outreach method. The model shall require that outreach efforts include the following:
- Selecting, training and supervising outreach workers;
 - Contacting, communicating and following-up with high risk substance abusers, their associates, and neighborhood residents, within the constraints of Federal and State confidentiality requirements, including 42 CFR part 2;
 - Promoting awareness among injecting drug abusers about the relationship between injecting drug abuse and communicable diseases such as HIV;
 - Recommend steps that can be taken to ensure that HIV transmission does not occur; and
 - Encouraging entry into treatment.

6. RESOURCES

600 LAWS AND REGULATIONS

This Practices and Procedures document, along with other federal, state and local regulations govern the delivery of SUD treatment services in Riverside County. Below is an extensive listing of laws and regulations that are to be followed. For a comprehensive and detailed listing, please refer to the [DHCS and Riverside County Agreement](#):

FEDERAL

- 600.1 [42 Code of Federal Regulation \(CFR\) Part 2 of Substance Use Disorder Consumer Records](#)
- 600.2 [42 CFR Part 428 Managed Care](#)
- 600.3 [Health Insurance Portability and Accountability Act \(HIPAA\)](#)
- 600.4 Title VI of the Civil Rights Act of 1964, Section 2000d, as amended, prohibiting discrimination based on race, color, or national origin in federally funded programs.
- 600.5 Title IX of the Education Amendments of 1975 (Regarding education programs and activities).
- 600.6 [Title VIII of the Civil Rights Act of 1968](#) (42 USC 3601 et seq.) prohibiting discrimination on the basis of [ability to pay], race, color, religion, sex, handicap, familial status or national origin in the sale or rental of housing.
- 600.7 The Age Discrimination Act of 1975 ([45 CFR Part 90](#)), as amended ([42 USC Sections 6601-6107](#)), which prohibits discrimination on the basis of age.
- 600.8 [Age Discrimination in Employment Act](#) (29 CFR Part 1625).
- 600.9 [Title I of the Americans with Disabilities Act](#) (29 CFR Part 1630).
- 600.10 [Americans with Disabilities Act](#) (28 CFR Part 35) prohibiting discrimination against the disabled by public entities.
- 600.11 [Title III of the Americans with Disabilities Act](#) (28 CFR Part 36) regarding access.
- 600.12 [The Rehabilitation Act of 1973, as amended](#) (29 USC Section 794), prohibiting discrimination on the basis of individuals with disabilities.
- 600.13 [Executive Order 11246](#) (42 USC 2000(e) et seq. and 41 CFR Part 60) regarding nondiscrimination in employment under federal contracts and construction contracts greater than \$10,000 funded by federal financial assistance.
- 600.14 [Executive Order 13166](#) (67 FR 41455) to improve access to federal services for those with limited English proficiency.
- 600.15 The Drug Abuse Office and Treatment Act of 1975, as amended, relating to nondiscrimination on the basis of drug abuse.

- 600.16 The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism.
- 600.17 [The Americans with Disabilities Act of 1990 as amended.](#)
- 600.18 [Section 1557 of the Consumer Protection and Affordable Care Act.](#)
- 600.19 [Record keeping requirements](#) for providers are to retain, as applicable, the following information: consumer grievance and appeal records in 42 CFR §438.416, and the data, information, and documentation specified in 42 CFR §§438.604, 438.606, 438.608, and 438.610 for a period of no less than 10 years.

STATE

- 600.20 [California Code of Regulations \(CCR\) Title 9 Counselor Certification](#)
- 600.21 Title 9, Division 4, Chapter 8, commencing with Section 10800.
- 600.22 [CCR Title 22 Drug Medi-Cal](#)
- 600.23 [Sobky v. Smoley](#) (Document 2A), 855 F. Supp. 1123 (E.D. Cal 1994),
- 600.24 Fair Employment and Housing Act (Government Code Section 12900 et seq.) and the applicable regulations promulgated thereunder (California Administrative Code, Title 2, Section 7585.0 et seq.).
- 600.25 [California non-discrimination act.](#) Title 2, Division 3, Article 9.5 of the Government Code, commencing with Section 11135.

Agency - DHCS

- 600.26 [Drug Medi-Cal Special Terms and Conditions](#) (Note: Refer to pages 96-128 and 384-415 for the DMC-ODS system. (Updated June 7, 2018))
- 600.27 Department of Health Care Services (DHCS) [Perinatal Services Network Guidelines, 2018-19](#)
- 600.28 [DHCS Youth Treatment Guidelines, 2002](#)
- 600.29 DHCS [Alcohol and/or Other Drug Program Certification Standards, 2017](#)
- 600.30 [Minimum Quality Drug Treatment Standards SABG](#)

COUNTY

- 600.30 [Riverside County DMC-ODS Implementation Plan](#)
- 600.31 [Riverside County Organized Delivery System Contract for Substance Use Disorder \(SUD\) services.](#)
- 600.32 Individual Provider Agreement's with County.
- 600.33 Riverside SAPT bulletins. (May be requested from SAPT Administration)

601 SAPT LICENSED AND CERTIFIED PROGRAMS

Providers shall be licensed, registered, AOD licensed and DMC certified and approved in accordance with applicable laws and regulations. Providers shall comply with the following regulations and guidelines:

- 601.1 [Title 21, CFR Part 1300, et seq.](#) [Title 42, CFR, Part 8](#)
- 601.2 [Title 22, Sections 51490.1\(a\)](#)
- 601.3 [Title 9, Division 4, Chapter 4, Subchapter 1, Sections 60000, et seq. References and](#)
- 601.4 [Title 22, Division 3, Chapter 3, Sections 56000 et. seq.](#)

602 NETWORK COVERAGE

County shall provide adequate coverage for network services. Documentation may be requested through SAPT Administration.

- 502.A Substance Abuse Network Coverage Map.
- 502.B Provider Directory and Modalities.
- 502.C County Clinic Locations.

603 TERMINOLOGY

- 603.1 Abuse: means provider practices that are inconsistent with sound fiscal, business, or medical practices, and result in an unnecessary cost to the Medicaid program, or in reimbursement for services that are not medically necessary or that fail to meet professionally recognized standards for health care. It also includes consumer practices that result in unnecessary cost to the Medicaid program.
- 603.2 Adolescents: means consumers between the ages of twelve and under the age of twenty-one.
- 603.3 Administrative Costs: means the Provider's direct costs, as recorded in the Provider's financial records and supported by source documentation, to administer the program or an activity to provide service to the DMC program. Administrative costs do not include the cost do not include the cost of treatment or other direct services to the consumer. Administrative costs may include, but are not limited to, the cost of training, programmatic and financial audit reviews, and activities related to billing. Administrative costs may include Provider's overhead per approved indirect cost rate proposal pursuant to OMB Omni-Circular and the State Controller's Office Handbook of Cost Plan Procedures.
- 603.4 Appeal: is the request for review of an adverse benefit determination.
- 603.5 Authorization: is the approval process for DMC-ODS Services prior to providing Detoxification or Residential services.

- 603.6 Available Capacity: means the total number of units of service (bed days, hours, slots, etc.) that a Provider actually makes available.
- 603.7 Consumer: means a person who. a) has been determined eligible for Medi-Cal. b) is not institutionalized. c) has a substance-related disorder per the current “Diagnostic and Statistical Manual of Mental Disorders (DSM) criteria. and d) meets the admission criteria to receive DMC covered services.
- 603.8 Consumer Handbook: is the state developed model enrollee handbook.
- 603.9 Calendar Week: means the seven-day period from Sunday through Saturday.
- 603.10 Case Management: means a service to assist a consumer to access needed medical, educational, social, prevocational, vocational, rehabilitative, or other community services.
- 603.11 Certified Provider: means a substance use disorder clinic location that has received certification to be reimbursed as a DMC clinic by the state to provide services as described in Title 22, California Code of Regulations, Section 51341.1.
- 603.12 Collateral Services: means sessions with therapists or counselors and significant persons in the life of a consumer, focused on the treatment needs of the consumer in terms of supporting the achievement of the consumer’s treatment goals. Significant persons are individuals that have a personal, not official or professional, relationship with the consumer.
- 603.13 Complaint: means requesting to have a problem solved or have a decision changed because you are not satisfied. A complaint is sometimes called a grievance or an appeal.
- 603.14 Corrective Action Plan (CAP): means the written plan of action document which the Provider develops and submits to County and/or DHCS to address or correct a deficiency or process that is non-compliant with contract, laws, regulations, or standards.
- 603.15 County: means the county in which the provider physically provides covered substance use treatment services.
- 603.16 Crisis Intervention: means a contact between a therapist or counselor and a consumer in crisis. Services shall focus on alleviating crisis problems. Crisis means an actual relapse or an unforeseen event or circumstance, which present to the consumer an imminent threat of relapse. Crisis intervention services shall be limited to stabilization of the consumer’s emergency situation.
- 603.17 Delivery System: DMC-Organized Delivery System is a Medi-Cal benefit in counties that choose to opt into and implement the Pilot program. DMC-ODS shall be available as a Medi-Cal benefit for individuals who meet the medical necessity criteria and reside in a county that opts into the Pilot program. Upon

approval of an implementation plan, the state shall contract with the county to provide DMC-ODS services. The county shall, in turn contract with DMC certified providers or provide county-operated services to provide all services outlined in the DMC-ODS. Counties may also contract with a managed care plan to provide services. Participating counties with the approval from the state may develop regional delivery systems for one or more of the required modalities or request flexibility in delivery system design or comparability of services. Counties may act jointly in order to deliver these services.

- 603.18 Discharge Services: means the process to prepare the consumer for referral into another level of care, post treatment return or reentry into the community, and/or the linkage of the individual to essential community treatment, housing and human services.
- 603.19 DMC-ODS Services: means those DMC services authorized by Title XIX or Title XXI of the Social Security Act. Title 22 Section 51341.1. W&I Code, Section 14124.24. and California’s Medicaid State Plan, including the DMC ODS 1115 Demonstration Waiver special terms and conditions.
- 603.20 Drug Medi-Cal Program: means the state system wherein consumers receive covered services from DMC-certified substance use disorder treatment providers.
- 603.21 Drug Medi-Cal Termination of Certification: means the provider is no longer certified to participate in the Drug Medi-Cal program upon the state’s issuance of a Drug Medi-Cal certification termination notice.
- 603.22 Early and Periodic Screening, Diagnosis, and Treatment Program (EPSDT): means the federally mandated Medicaid benefit that entitles full-scope Medi-Cal-covered consumers less than 21 years of age to receive any Medicaid service necessary to correct or ameliorate a defect, mental illness, or other condition, such as a substance-related disorder, that is discovered during a health screening.
- 603.23 Education and Job Skills: means linkages to life skills, employment services, job training, and education services.
- 603.24 Emergency Medical Condition: means a medical condition manifesting itself by acute symptoms of sufficient severity (including severe pain) that a prudent layperson, who possesses an average knowledge of health and medicine, could reasonably expect the absence of immediate medical attention to result in the following:
- Placing the health of the individual (or, for a pregnant woman, the health of the woman of her unborn child) in serious jeopardy.
 - Serious impairment to bodily functions.
 - Serious dysfunction of any bodily organ or part.

- 603.25 Emergency Services: means covered inpatient and outpatient services that are as follows:
Furnished by a provider that is qualified to furnish these services under this Title.
Needed to evaluate or stabilize an emergency medical condition.
- 603.26 Excluded Services: means services that are not covered under the DMC-ODS Waiver.
- 603.27 Face-to-Face: means a service occurring in person.
- 603.28 Family Support: means linkages to childcare, parent education, child development support services, and family and marriage education. Family support is only available under Recovery services.
- 603.29 Family Therapy: means including a consumer's family members and loved ones in the treatment process, and education about factors that are important to the consumer's recovery as well as their own recovery can be conveyed. Family members may provide social support to consumers, help motivate their loved one to remain in treatment, and receive help and support for their own family recovery as well.
- 603.30 Fair Hearing: means the state hearing provided to consumers upon denial of appeal pursuant to 22 CCR 50951 and 50953 and 9 CCR 1810.216.6 Fair hearings shall comply with 42 CFR 431.220(a)(5), 438.408(f), 438.414, and 438.10(g)(1).
- 603.31 Final Settlement: means permanent settlement of the Provider's actual allowable costs or expenditures as determined at the time of audit, which shall be completed within three years of the date the year-end cost settlement report was accepted for interim settlement by the state. If the audit is not completed within three years, the interim settlement shall be considered as the final settlement.
- 603.32 Fraud: means an intentional deception or misrepresentation made by a person with the knowledge that the deception could result in some unauthorized benefit to himself or some other person. It includes any act that constitutes fraud under applicable Federal or state law.
- 603.33 Grievance: means an expression of dissatisfaction about any matter other than an adverse benefit determination. Grievances may include, but are not limited to, the quality of care or services provided, and aspects of interpersonal relationships such as rudeness of a provider or employee, or failure to respect the enrollee's rights regardless of whether remedial action is requested. Grievance includes an enrollee's right to dispute an extension of time proposed by the County to make an authorization decision.

- 603.34 Grievance and Appeal System: means the processes the County implements to handle appeals of an adverse benefit determination and grievances, as well as the processes to collect and track information about them.
- 603.35 Group Counseling: means contacts in which one or more therapists or counselors treat two or more consumers at the same time with a maximum of 12 in the group, focusing on the needs of the individuals served. A consumer that is 17 years of age or younger shall not participate in-group counseling with any participants who are 18 years of age or older. However, a consumer who is 17 years of age or younger may participate in group counseling with participants who are 18 years of age or older when the counseling is at a provider's certified school site.
- 603.36 Hospitalization: means that a consumer needs a supervised recovery period in a facility that provides hospital inpatient care.
- 603.37 Individual Counseling: means contact between a consumer and a therapist or counselor. Services provided in-person, by telephone or by telehealth qualify as Medi-Cal reimbursable units of service, and are reimbursed without distinction.
- 603.38 Intake: means the process of determining a consumer meets the medical necessity criteria and a consumer is admitted into a substance use disorder treatment program. Intake includes the evaluation or analysis of the cause or nature of mental, emotional, psychological, behavioral, and substance use disorders. And the assessment of treatment needs to provide medically necessary services. Intake may include a physical examination and laboratory testing (e.g. body specimen screening) necessary for substance use disorder treatment and evaluation.
- 603.39 Intensive Outpatient Treatment: means (ASAM Level 2.1) structured programming services consisting primarily of counseling and education about addiction-related problems a minimum of nine (9) hours with a maximum of 19 hours per week for adults, and a minimum of six (6) hours with a maximum of 19 hours per week for adolescents. Services may be provided in any appropriate setting in the community. Services may be provided in-person, by telephone or by telehealth.
- 603.40 Licensed Practitioners of the Healing Arts (LPHA) includes: Physicians, Nurse Practitioners, Physician Assistants, Registered Nurses, Registered Pharmacists, Licensed Clinical Psychologist (LCP), Licensed Clinical Social Work (LCSW), Licensed Professional Clinical Counselor (LPCC), and Licensed Marriage and Family Therapist (LMFT) and licensed-eligible practitioners working under the supervision of licensed clinicians.
- 603.41 Medical Necessity and Medical Necessary Services: means those SUD treatment services that are reasonable and necessary to protect life, prevent

significant illness or significant disability, or alleviate severe pain through the diagnosis or treatment of a disease, illness or injury consistent with and 42 CFR 438.210(a)(4) or, in the case of EPSDT, services that meet the criteria specified in Title 22, Sections 51303 and 51340.1.

- 603.42 **Medical Necessity Criteria:** means adult consumers must have one diagnosis from the Diagnostic and Statistical Manual of Mental Disorders (DSM) Fifth Edition for Substance-Related and Addictive Disorders with the exception of Tobacco-Related Disorders and Non-Substance-Related Disorders, and must meet the ASAM Criteria definition of medical necessity for services based on the ASAM Criteria. Youth under 21 may be assessed to be at risk for developing a substance use disorder, and if applicable, must meet the ASAM adolescent treatment criteria. Consumers under age 21 are eligible to receive Medicaid services pursuant to the Early Periodic Screening, Diagnostic and Treatment (EPSDT) mandate. Under the EPSDT mandate, consumers under age 21 are eligible to receive all appropriate and medically necessary services needed to correct and ameliorate health.
- 603.43 **Medical Psychotherapy:** means a type of counseling service that has the same meaning as defined in 9 CCR § 10345.
- 603.44 **Medication Services:** means the prescription or administration of medication related to substance use disorder treatment services, or the assessment of the side effects or results of that medication conducted by staff lawfully authorized to provide such services.
- 603.45 **Opioid (Narcotic) Treatment Program:** means an outpatient clinic licensed by the state to provide narcotic replacement therapy directed at stabilization and rehabilitation of persons who are opiate-addicted and have a substance use diagnosis.
- 603.46 **Naltrexone Treatment Services:** means an outpatient treatment service directed at serving detoxified opiate addicts by using the drug Naltrexone, which blocks the euphoric effects of opiates and helps prevent relapse to opiate addiction.
- 603.47 **Network:** means the group of entities that have contracted with the County to provide services under the DMC-ODS Waiver.
- 603.48 **Network Provider:** means any provider, group of providers, or entity that has a network provider agreement with the County and receives Medicaid funding directly or indirectly to order, refer or render covered services.
- 603.49 **Non-Perinatal Residential Program:** services are provided in DHCS licensed residential facilities that also have DMC certification and have been designated by DHCS as capable of delivering care consistent with ASAM treatment criteria. These residential services are provided to the non-perinatal population and do not require the enhanced services found in the perinatal residential programs.

- 603.50 Notice of Adverse Benefit Determination: means a formal communication of any action and consistent with 42 CFR 438.404 and 438.10.
- 603.51 Observation: means the process of monitoring the consumer's course of withdrawal. It is to be conducted as frequently as deemed appropriate for the consumer and the level of care the consumer is receiving. This may include but is not limited to observation of the consumer's health status.
- 603.52 Outpatient Services: means (ASAM Level 1.0) outpatient service directed at stabilizing and rehabilitating persons up to nine hours of service per week for adults, and less than six hours per week for adolescents.
- 603.53 Overpayment: means any payment to a network provider by County to which the network provider is not entitled to under Title XIX of the Act or any payment to County by State to which the County is not entitled to under Title XIX of the Act.
- 603.54 Consumer Education: means providing research based education on addiction, treatment, recovery and associated health risks.
- 603.55 Participating Provider: means a provider that is engaged in the continuum of services under this Agreement.
- 603.56 Perinatal DMC Services: means covered services as well as mother/child habilitative and rehabilitative services. Services access (i.e., provision or arrangement of transportation to and from medically necessary treatment). Education to reduce harmful effects of alcohol and drugs on the mother and fetus or infant. And coordination of ancillary services (Title 22, Section 51341.1(c)(4).
- 603.57 Physician: as it pertains to the supervision, collaboration, and oversight requirements. A doctor of medicine or osteopathy legally authorized to practice medicine or surgery in the State in which the function is performed.
- 603.58 Physician Services: means services provided by an individual licensed under state law to practice medicine.
- 603.59 Postpartum: as defined for DMC purposes, means the 60-day period beginning on the last day of pregnancy, regardless of whether other conditions of eligibility are met. Eligibility for perinatal services shall end on the last day of the calendar month in which the 60th day occurs.
- 603.60 Post service Post payment (PSPP) Utilization Review: means the review for program compliance and medical necessity conducted by the state after service was rendered and paid. DHCS may recover prior payments of Federal and State funds if such a review determines that the services did not comply with applicable statutes, regulations, or terms under the DMC-ODS Waiver.
- 603.61 Preauthorization: means approval by County that a covered service is medically necessary.

- 603.62 Prescription Drugs: means simple substances or mixtures of substances prescribed for the cure, mitigation, or prevention of disease, or for health maintenance that are:
- Prescribed by a physician or other licensed practitioner of the healing arts within the scope of this professional practice as defined and limited by Federal and State law.
- Dispensed by licensed pharmacists and licensed authorized practitioners in accordance with the State Medical Practice Act. and
- Dispensed by the licensed pharmacist or practitioner on a written prescription that is recorded and maintained in the pharmacist's or practitioner's records.
- 603.63 Primary Care: means all health care services and laboratory services customarily furnished by or through a general practitioner, family physician, internal medicine physician, obstetrician/gynecologist, pediatrician, or other licensed practitioner as authorized by the State Medicaid program, to the extent the furnishing of those services is legally authorized in the State in which the practitioner furnishes them.
- 603.64 Primary Care Physician (PCP): means a Physician responsible for supervising, coordinating, and providing initial and Primary Care to consumers and serves as the medical home for members. The PCP is a general practitioner, internist, pediatrician, family practitioner, or obstetrician/gynecologist.
- 603.65 Primary Care Provider: means a person responsible for supervising, coordinating, and providing initial and Primary Care to consumers. For initiating referrals. And, for maintaining the continuity of consumer care. A Primary Care Provider may be a Primary Care Physician or Non-Physician Medical Practitioner.
- 603.66 Projected Units of Service: means the number of reimbursable DMC units of service, based on historical data and current capacity, the Provider expects to provide on an annual basis.
- 603.67 Provider: means any individual or entity that is engaged in the delivery of services, or ordering or referring for those services, and is legally authorized to do so by the state in which it delivers the services.
- 603.68 Re-Certification: means the process by which the DMC certified clinic is required to submit an application and specified documentation, as determined by DHCS, to remain eligible to participate in and be reimbursed through the DMC program. Re-certification shall occur no less than every five years from the date of previous DMC certification or re-certification.
- 603.69 Recovery Monitoring: means recovery coaching, monitoring via telephone and internet. Recovery monitoring is only available in Recovery services.

- 603.70 Recovery Services: are available after the consumer has completed a course of treatment. Recovery services emphasize the consumer’s central role in managing their health, use effective self-management support strategies, and organize internal and community resources to provide ongoing self-management support to consumers.
- 603.71 Rehabilitation Services: includes any medical or remedial services recommended by a physician or other licensed practitioner of the healing arts, within the scope of his practice under state law, for maximum reduction of physical or mental disability and restoration of a consumer to his best possible function level.
- 603.75 Relapse: means a single instance of a consumer’s substance use or a consumer’s return to a pattern of substance use.
- 603.73 Relapse Trigger: means an event, circumstance, place or person that puts a consumer at risk of relapse.
- 603.74 Residential Treatment Services: means a non-institutional, 24-hour non-medical, short-term residential program of any size that provides rehabilitation services to consumers. Each consumer shall live on the premises and shall be supported in their efforts to restore, maintain, and apply interpersonal and independent living skills, and access community support systems. Programs shall provide a range of activities and services. Residential treatment shall include 24-hour structure with available trained personnel, seven days a week, including a minimum of five (5) hours of clinical service a week to prepare consumer for outpatient treatment.
- 603.75 Safeguarding Medications: means facilities will store all resident medication and facility staff members may assist with resident’s self-administration of medication.
- 603.76 Service Authorization Request: means a consumer’s request for the provision of a service.
- 603.77 Short-Term Resident: means any consumer receiving residential services pursuant to DMC-ODS, regardless of the length of stay, is a “short-term resident” of the residential facility in which they are receiving the services.
- 603.78 State: means the Department of Health Care Services or DHCS.
- 603.79 Subcontract: means an agreement between the County and its subcontractors (Providers). A subcontractor shall not delegate its obligation to provide covered services or otherwise subcontract for the provision of direct consumer/consumer services.
- 603.80 Subcontractor (Provider): means an individual or entity that is DMC certified and has entered into an agreement with the County to be a provider of covered services. It may also mean a vendor who has entered into a procurement agreement with the County to provide any of the administrative functions related to fulfilling the County’s DMC-ODS Waiver obligations.

- 603.81 Substance Abuse Assistance: means peer-to-peer services and relapse prevention. Substance abuse assistance is only available in Recovery Services.
- 603.82 Substance Use Disorder Diagnosis: are those set forth in the Diagnostic and Statistical Manual of Mental Disorders Fifth Edition, published by the American Psychiatric Association.
- 603.83 Support Groups: means linkages to self-help and support, spiritual and faith-based support.
- 603.84 Support Plan: means a list of individuals and/or organizations that can provide support and assistance to a consumer to maintain sobriety.
- 603.85 Telehealth Between Provider and Consumer: means office or outpatient visits via interactive audio and video telecommunication systems.
- 603.86 Telehealth between Providers: means communication between two providers for purposes of consultation, performed via interactive audio and video telecommunications systems.
- 603.87 Temporary Suspension: means the provider is temporarily suspended from participating in the DMC program as authorized by W&I Code, Section 14043.36(a). The provider cannot bill for DMC services from the effective date of the temporary suspension.
- 603.88 Threshold Language: means a language that has been identified as the primary language, indicated on the Medi-Cal Eligibility System (MEDS), of 3000 consumers or five percent of the consumer population whichever is lower, in an identified geographic area. Riverside County's threshold language is Spanish.
- 603.89 Transportation Services: means provision of or arrangement for transportation to and from medically necessary treatment.
- 603.90 Unit of Service Description:
- For case management, intensive outpatient treatment, outpatient services, Naltrexone treatment services, and recovery services contact with a consumer in 15-minute increments on a calendar day.
- For additional medication assisted treatment, physician services that includes ordering, prescribing, administering, and monitoring of all medications for substance use disorders per visit or in 15-minute increments.
- For narcotic treatment program services, a calendar month of treatment services provided pursuant to this section and Chapter 4 commencing with 9 CCR § 10000.
- For physician consultation services, consulting with addiction medicine physicians, addiction psychiatrists or clinical pharmacists in 15-minute increments.

For residential services, providing 24-hour daily service, per consumer, per bed rate.

For withdrawal management per consumer per visit/daily unit of service.

- 603.91 Urgent Care: means a condition perceived by a consumer as serious, but not life threatening. A condition that disrupts normal activities of daily necessary, treatment within 24-75 hours.
- 603.92 Utilization: means the total actual units of service used by consumers and participants.
- 603.93 Withdrawal Management: means detoxification services provided in either an ambulatory or non-ambulatory setting consistent with the ASAM level of care criteria to DMC ODS consumers.

Document may be requested from QI Outpatient.

603.A Riverside County Acronyms