

REPORTING REQUIREMENT MATRIX

Document 1F(a)

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

Fiscal Year 2017-2020

| Division/Branch/Section | Name of Document, Report, or Data | Due Date(s) to DHCS | Authority for DHCS Requesting Document/Report/Data | Purpose of Report/Document/Data |
|---|---|--|--|--|
| Division of Audits and Investigations, Financial Audits Branch | A-133 Audit Report | 3/31 (Annually) | OMB Circular A-133 Single Audit Act. | Requirement of Single Audit Act for audits of federal funds |
| Substance Use Disorder (SUD) Compliance Division (CD) – Driving Under the Influence | DUI Programs Compliance | Counties are required to monitor DUI programs every 6 months and submit a compliance report to DHCS. | HSC Section 11837.6(b) | To monitor program compliance with statutes and regulations |
| Information Technology Services Division (ITSD) - Data Management Services Section | CalOMS Treatment Data Files | 45 days after the end of the reporting month (Monthly) | HSC Sections 11755(o) 42 USC, Chapter 6A 42 CFR 2, Subpart A, Part 2, Subpart B, Section 2.12b 45 CFR 96, Sections 96.17, 96.74 | Meet federal requirements for reporting client treatment data and to provide data needed by state and counties for planning, budgeting and reporting |
| ITSD - Data Management Services Section | Drug and Alcohol Treatment Access Report (DATAR) Data Files | 10 days after the end of the reporting month (Monthly) | 45 CFR 96, Sections 96.126 and 96.131 | Meet federal capacity/waiting list requirements and to provide data needed for capacity management |
| SUD CD – Narcotic Treatment Program Branch | Annual License Renewal for Narcotic Treatment Programs (NTPs) | 5/31 (Annually) | HSC Section 11839.3(a)(6) CCR, Title 9, Section 10055(b)(2) | Recommendation for each NTP license renewal |

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| SUD CD – Narcotic Treatment Program Branch | Initial Licensure for NTPs | Once before DHCS reviews | HSC Section 11839.3(a)(6) CCR, Title 9, Section 10040 | A certification of need for the proposed NTP, a certification that all local ordinances, fire regulations, and local planning agency requirements have been complied with, and a recommendation for program licensure |
| SUD CD – Narcotic Treatment Program Branch | Relocation for NTPs | Once before DHCS reviews | HSC Section 11839.3(a)(6) | Recommendation for new program address |
| SUD CD – Narcotic Treatment Program Branch | NTP County Certification Form | Once before DHCS approves | HSC Section 11839.3(a)(6) | Recommendation <ul style="list-style-type: none"> - patient slot increase - patient slot decrease - to allow NTPs to enter patients into maintenance treatment without two year history of opiate addiction and without two failed detoxes. |
| SUD CD | Adolescent Waiver | Every time an adult program wants to serve adolescents (Only Once) | Title 9, Section 10605 | To demonstrate need for adolescent services |
| SUD CD | Alcohol and Other Drug (AOD) Program Certification | Prior to Certification (Once and if relocation occurs) | Alcohol and/or Other Drug Certification Standards 3035(c) | Zoning approval |
| SUD CD | Application for Certification and/or Licensure | Prior to Review and Approval (Continuous until approval as well as at renewal either annually or biannually) | Title 9, Section 11834.01 for Residential Licensure. Title 9, Section 10010 for Narcotic Treatment Programs. Policy for Certification. | To apply for licensure or certification |

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| Substance Use Disorder (SUD) Program, Policy and Fiscal Division (PPFD) – Prevention Branch | Primary Prevention Data Collection Service | Refer to the Primary Prevention Data Collection Service Data Quality Standards for details | Data required for SAPT Block Grant application Contract requirement | Data is used to complete SAPT Block Grant reporting tables |
| SUD PPF - Prevention Branch | County Prevention Strategic Plans | Plans may cover multiple years. Must be current and must be uploaded into the Primary Prevention Data Collection Service | Contract requirement | Prevention plans must demonstrate the use of SAMHSA's Strategic Prevention Framework and include problem statements, goals and objectives. |
| SUD PPF - Prevention Branch | Primary Prevention Mid-Year Budget | January 31 for each current SFY | Contract requirement | Used as a monitoring tool |
| SUD PPF - Prevention Branch | Progress Reports on Goals and Objectives | Refer to the Primary Prevention Data Collection Service Data Quality Standards for details | Contract requirement | Used as a monitoring tool |
| SUD PPF - Fiscal Management and Accountability Branch | Quarterly Federal Financial Management Report (QFFMR) | For the State fiscal year, December 1 for the July through September quarter; March 1 for the October through December quarter; June 1 for the January through March quarter; and September 1 for the April through June quarter. | SAPT Block Grant requirement | Quarterly collect and track SAPT block grant expenditures by grant award; assess county spending; redirect funds to and from counties to maximize the expenditure of each grant award. |
| SUD PPF - Program Management Branch | County Monitoring Instrument | 30 days from receipt of request (Annually) | 45 CFR Part 96, Contract Requirement | SAPT BG & DMC reporting requirement. |

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| SUD PPF – Program Management Branch | Monitoring reports of subcontractors | 30 days from date of report (Annually) | Contract Requirement | Ensure Contractor monitors subcontractors |
| SUD PPF – Program Management Branch | Charitable Choice Regulation | October 1 (Annually) | 42 U.S.C. 300x-65, 42 CFR Part 54, 45 CFR Part 96 | SAPT BG reporting requirement. |
| SUD PPF – Fiscal Management and Accountability Branch | Cost Reports including applicable Drug Medi-Cal (DMC) forms | November 1 (Annually) | W&I Code 14124.24, Health and Safety Code Section 11818.5(a) Requirement | Ensure expenditures meet Federal and State requirements |
| SUD PPF – Program Support and Grants Management Branch | Contract | Within 60 days after notification of final allocation | HSC Section 11758.10 | To encumber funds |
| SUD PPF – Fiscal Management and Accountability Branch | DMC claims | Within 30 days from the end of the service month | Contract Title 22, Section 51490.1 | To bill for SUD DMC services to Medi-Cal beneficiaries |
| SUD PPF – Fiscal Management and Accountability Branch | DMC Form = Multiple Billing Override (DHCS Form MC 6700) | As Required Per Form Instructions | Title 22, Section 51490.1 | To report DMC services that have been provided for the same client on the same day |
| SUD PPF – Fiscal Management and Accountability Branch | DMC Forms = Good Cause Certification (DHCS Forms MC 6065A or MC 6065B) | As Required Per Form Instructions | Title 22, Section 51490.1 | To report the reason for late submission of DMC claims |

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| SUD PPFDF – Fiscal Management and Accountability Branch | DMC Forms = Certified Public Expenditure Form (DHCS 100224A) | At the time the claim file is submitted to ITWS for processing | Contract, ADP Bulletin #11-17 | To issue reimbursement of Federal Medicaid funding to counties. |
| SUD PPFDF – Fiscal Management and Accountability Branch | DMC Forms = DMC Claim Submission – County Operated Providers (DHCS Form MC 100187) | To be Retained by County = At the time claim data is submitted to the county | Contract | For county's certification of claims to be true and accurate of county operated services in order for reimbursement to be issued |
| SUD PPFDF – Fiscal Management and Accountability Branch | DMC Forms – DMC Claim Submission – County Contracted Providers (DHCS Form MC 100186) | To be Retained by County = At the time claim data is submitted to the county | Contract | For county's certification of claims to be true and accurate for county contracted provider services in order for reimbursement to be issued |
| SUD PPFDF – Fiscal Management and Accountability Branch | Drug Medi-Cal Services Quarterly Claim for Reimbursement of County Administrative Expenses (DHCS Form MC 5312) | Once through Cost Report Settlement Process (mandatory) <hr/> 60 days from the end of the quarter (optional) | Contract, Information Notice #14-033 dated 10-7-14 | To reimburse counties for Drug Medi-Cal county administrative expenses |