



MICHELLE BAASS
DIRECTOR

State of California—Health and Human Services Agency
Department of Health Care Services



GAVIN NEWSOM
GOVERNOR

May 4, 2022

Sent via e-mail to: genevieve.valentine@countyofmerced.com

Genevieve Valentine, LMFT, Director
Merced County Behavioral Health and Recovery Services
P. O. Box 2087
Merced, CA 95344

SUBJECT: Annual SABG County Compliance Unit Findings Report

Dear Director Valentine:

The Department of Health Care Services (DHCS) is responsible for monitoring compliance to requirements of the Substance Abuse Block Grant (SABG) and the terms of the Contract operated by Merced County.

The County Compliance Unit (CCU) within the Audits and Investigations Division (A&I) of DHCS conducted a review of the County's compliance with contract requirements based on responses to the monitoring instrument, discussion with county staff, and supporting documentation provided by the County.

Enclosed are the results of Merced County's Fiscal Year 2021-22 SABG compliance review. The report identifies deficiencies, required corrective actions, advisory recommendations, and referrals for technical assistance.

Merced County is required to submit a Corrective Action Plan (CAP) addressing each deficiency noted to the Community Services Division (CSD), Community Support Branch (CSB), Policy, Monitoring and Financing Section (PMFS) Analyst by 7/5/2022. Please use enclosed CAP form and submit the completed CAP and supporting documentation by email to the PMFS analyst at SABGCompliance@dhcs.ca.gov.

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

Sincerely,

Michael Bivians
(916) 713-8966

Audits and Investigations Division
Medical Review Branch
Behavioral Health Compliance Section
County Compliance Unit
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Sacramento, CA 95814
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Distribution:

To: Director Valentine,

CC: Mateo Hernandez, Audits and Investigations, Medical Review Branch Acting Chief
Lanette Castleman, Audits and Investigations, Behavioral Health Compliance Section Chief
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Cindy Berger, Audits and Investigations, Provider Compliance Unit Chief
Tracie Walker, Community Services Division, Community Support Branch Chief
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Lidia Caza-Burdick, Merced County SUD Services Division Director

COUNTY REVIEW INFORMATION

County:

Merced

County Contact Name/Title:

Lidia Caza-Burdick, LCSW, SUD Services Division Director

County Address:

P. O. Box 2087
Merced, CA 95344

County Phone Number/Email:

(209) 381-6802
lidia.caza-burdick@countyofmerced.com

Date of Review:

3/16/2022

Lead CCU Analyst:

Michael Bivians

Assisting CCU Analyst:

N/A

Report Prepared by:

Michael Bivians

Report Approved by:

Ayesha Smith

REVIEW SCOPE

- I. Regulations:
 - a. California Code of Regulations, Title 22, section 51341.1 – Drug Medi-Cal Substance Use Disorder Services
 - b. Code of Federal Regulations; Title 45, Part 96; Subpart L; section 96.121 through 96.137: Substance Abuse Prevention and Treatment Block Grant
 - c. United States Code, Title 42, Section 300x-21 through 300x-66: Block Grants regarding Mental Health and Substance Use
 - d. Health and Safety Code, Division 10.5, Section 11750 – 11970: Alcohol and Drug Programs

- II. Program Requirements:
 - a. Fiscal Year (FY) 2020-21 Substance Abuse Block Grant (SABG) Application, herein referred to as the SABG Application
 - b. Fiscal Year (FY) 2021-22 Substance Abuse Block Grant (SABG) Application, herein referred to as the SABG Application
 - c. State of California *Youth Treatment Guidelines Revised August 2002*
 - d. DHCS *Perinatal Practice Guidelines FY 2018-19*
 - e. National Culturally and Linguistically Appropriate Services (CLAS)
 - f. Mental Health and Substance Use Disorders Services (MHSUDS) Information Notices
 - g. Behavioral Health Information Notices (BHIN)

ENTRANCE AND EXIT CONFERENCE SUMMARIES

Entrance Conference:

An Entrance Conference was conducted via WebEx on 3/16/2022. The following individuals were present:

- Representing DHCS:
Michael Bivians, County Compliance Monitoring II (CCM II) Unit Chief
Natalia Krasnodemsky, County/Provider Operations & Monitoring Branch (CPOMB) Liaison
Kathryn Sears, CPOMB Unit Chief

- Representing Merced County:
Sharon Mendonca, Assistant Director - Administration
Jacqueline Coulter, LMFT, Assistant Director - Clinical
Lidia Caza-Burdick, LCSW, SUD Services Division Director
Trechann Barber, QPM Director
Tina Machado, Director Administration Services
Jin Soofi, M.D., Medical Director
Carolyn Walters, LMFT, SUD Program Manager
Cara Rupp, LCSW, Program Manager
Manjit Kaur, Fiscal Services Manager
Maria Acevedo, Staff Services Analyst
Yiguo Zhang, Staff Services Analyst
Jose Lopez, Staff Services Analyst
Christina Dupont, Staff Services Analyst
Brian Sterkeson, Staff Services Analyst
Villyginn Morris, Quality Assurance Specialist
Christine Lockerby, Quality Assurance Specialist
Maria Olvera, BHRS Coordination
Sharon Jones, LMFT, MHSA Coordinator

During the Entrance Conference, the following topics were discussed:

- Introductions
- Overview of the review process

Exit Conference:

An Exit Conference was conducted via WebEx on 3/16/2022. The following individuals were present:

- Representing DHCS:
Michael Bivians, CCM II Unit Chief
Natalia Krasnodemsky, CPOMB Liaison
Kathryn Sears, CPOMB Unit Chief

- Representing Merced County:
Sharon Mendonca, Assistant Director - Administration
Jacqueline Coulter, LMFT, Assistant Director - Clinical
Lidia Caza-Burdick, SUD Services Division Director
Trechann Barber, QPM Director
Tina Machado, Director Administration Services
Jin Soofi, M.D., Medical Director
Carolyn Walters, LMFT, SUD Program Manager
Cara Rupp, LCSW, Program Manager
Manjit Kaur, Fiscal Services Manager
Maria Acevedo, Staff Services Analyst
Yiguo Zhang, Staff Services Analyst
Jose Lopez, Staff Services Analyst
Christina Dupont, Staff Services Analyst
Brian Sterkeson, Staff Services Analyst
Villyginn Morris, Quality Assurance Specialist
Christine Lockerby, Quality Assurance Specialist
Maria Olvera, BHRS Coordination
Sharon Jones, LMFT, MHSA Coordinator

During the Exit Conference, the following topics were discussed:

- Follow-up documentation due date
- Feedback on monitoring protocols

SUMMARY OF FY 2021-22 COMPLIANCE DEFICIENCIES (CD)

<u>Section</u>	<u>Number of CD's</u>
1.0 Administration	1
2.0 Prevention	0
3.0 Perinatal	0
4.0 Adolescent/Youth Treatment	0
5.0 Data/CalOMS	0
6.0 Program Integrity	0
7.0 Fiscal	0

CORRECTIVE ACTION PLAN (CAP)

Pursuant to the SABG County Application, Enclosure 2, Part I, Section 3, B, 5-7 each CD identified must be addressed via a CAP. The CAP is due within sixty (60) calendar days of the date of this monitoring report.

Please provide the following within the completed FY 2021-22 CAP:

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

The PMFS analyst will monitor progress of the CAP completion.

Category 1: ADMINISTRATION

A review of the County's Maintenance of Records, service providers, referrals, services, contracts, and general provisions was conducted to ensure compliance with applicable regulations and standards. The following deficiency in regulations, standards or protocol requirements was identified:

COMPLIANCE DEFICIENCY:

CD 1.2.2:

SABG Application, Enclosure 2, I, 3, C

C. Sub-recipient Pre-Award Risk Assessment

County shall comply with the sub-recipient pre-award risk assessment requirements contained in 45 CFR 75.205 (HHS awarding agency review of risk posed by applicants). County shall review the merit and risk associated with all potential subcontractors annually prior to making an award.

County shall perform and document annual sub-recipient pre-award risk assessments for each subcontractor and retain documentation for audit purposes.

Findings: The County did not provide evidence demonstrating the completion of sub-recipient pre-award risk assessments with all potential subcontractors annually prior to making an award in accordance with 45 CFR 75.205.

TECHNICAL ASSISTANCE

Merced County did not request Technical Assistance during this review.