



MICHELLE BAASS  
DIRECTOR

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



GAVIN NEWSOM  
GOVERNOR

April 1, 2022

Sent via e-mail to: [Luke.Bergmann@sdcounty.ca.gov](mailto:Luke.Bergmann@sdcounty.ca.gov)

Luke Bergmann, Director  
San Diego County Behavioral Health Services  
3255 Camino Del Rio South  
San Diego, CA 92108  
SUBJECT: Annual SABG County Compliance Unit Findings Report

Dear Director Bergmann:

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 San Diego 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 San Diego County's Fiscal Year 2021-22 SABG compliance review. The report identifies deficiencies, required corrective actions, advisory recommendations, and referrals for technical assistance.

San Diego 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 6/1/2022. Please use enclosed CAP form and submit the completed CAP and supporting documentation by email to the PMFS analyst at [SABGcompliance@dhcs.ca.gov](mailto:SABGcompliance@dhcs.ca.gov).

If you have any questions, please contact me at [susan.volmer@dhcs.ca.gov](mailto:susan.volmer@dhcs.ca.gov).

Sincerely,

Susan Volmer  
(916) 713-8677

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:

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Michael Blanchard, San Diego County Behavioral Health Program Coordinator, Quality Management

## COUNTY REVIEW INFORMATION

**County:**

San Diego

**County Contact Name/Title:**

Michael Blanchard, Behavioral Health Program Coordinator, Quality Management

**County Address:**

3255 Camino Del Rio South  
San Diego, CA 92108

**County Phone Number/Email:**

619-606-6535  
michael.blanchard@sdcountry.ca.gov

**Date of Review:**

1/20/2022

**Lead CCU Analyst:**

Susan Volmer

**Assisting CCU Analyst:**

N/A

**Report Prepared by:**

Susan Volmer

**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 1/20/2022. The following individuals were present:

- Representing DHCS:  
Susan Volmer, Associate Governmental Program Analyst (AGPA)  
Suarna Allen, AGPA
- Representing San Diego County:  
Luke Bergmann, Director, Behavioral Health Services.  
Cecily A. Thornton-Stearns, Assistant Director and Chief Program Officer  
Aurora Kiviat Nudd, Assistant Director and Chief Operations Officer  
Nadia Privara Brahms, BHS Acting Assistant Director, Chief Strategy & Finance Officer  
Nilanie Ramos Chief, Agency Operations, Clinical Director's Office  
Yael Koenig, Deputy Director, Dept. Ops, Children, Youth, and Families System of Care  
Pie dad Garcia, Deputy Director, Dept. Ops, Adult and Older Adult Systems of Care  
Raul Loyo Rodriguez, Dept. Budget Manager, Administrative Services  
Alfie Gonzaga, Program Coordinator, Clinical Director's Office  
Cara Evans Murray, Asst. Med Services Admin, Adult and Older Adult Systems of Care  
Michael Blanchard, Behavioral Health Program Coordinator, Quality Management – Substance Use Disorders Unit  
Shannon Jackson, Behavioral Health Program Coordinator, Children, Youth, and Families System of Care  
Stacey Kneeshaw, Behavioral Health Program Coordinator, Adult and Older Adult Systems of Care  
Terri Kang, Behavioral Health Program Coordinator, Children, Youth, and Families System of Care  
Danyte Mockus-Valenzuela, Health Planning & Program Specialist  
Alfie Valdes, Utilization Review Quality Improvement Supervisor  
Diana Daitch, Utilization Review Quality Improvement Supervisor  
Erin Shapira, Administrative Analyst III  
Kimberly Pauly, Chief, Agency Ops, Program and Operations

During the Entrance Conference, the following topics were discussed:

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

**Exit Conference:**

An Exit Conference was conducted via WebEx on 1/20/2022. The following individuals were present:

- Representing DHCS:  
Susan Volmer AGPA  
Suarna Allen AGPA
  
- Representing San Diego County:  
Luke Bergmann, Director, Behavioral Health Services.  
Cecily A. Thornton-Stearns, Assistant Director and Chief Program Officer  
Aurora Kiviat Nudd, Assistant Director and Chief Operations Officer  
Nadia Privara Brahms, BHS Acting Assistant Director, Chief Strategy & Finance Officer  
Nilanie Ramos Chief, Agency Operations, Clinical Director's Office  
Yael Koenig, Deputy Director, Dept. Ops, Children, Youth, and Families System of Care  
Pie dad Garcia, Deputy Director, Dept. Ops, Adult and Older Adult Systems of Care  
Raul Loyo Rodriguez, Dept. Budget Manager, Administrative Services  
Alfie Gonzaga, Program Coordinator, Clinical Director's Office  
Cara Evans Murray, Asst. Med Services Admin, Adult and Older Adult Systems of Care  
Michael Blanchard, Behavioral Health Program Coordinator, Quality Management – Substance Use Disorders Unit  
Shannon Jackson, Behavioral Health Program Coordinator, Children, Youth, and Families System of Care  
Stacey Kneeshaw, Behavioral Health Program Coordinator, Adult and Older Adult Systems of Care  
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Danyte Mockus-Valenzuela, Health Planning & Program Specialist  
Alfie Valdes, Utilization Review Quality Improvement Supervisor  
Diana Daitch, Utilization Review Quality Improvement Supervisor  
Erin Shapira, Administrative Analyst III  
Kimberly Pauly, Chief, Agency Ops, Program and Operations

During the Exit Conference, the following topics were discussed:

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

## SUMMARY OF FY 2021-22 COMPLIANCE DEFICIENCIES (CD)

<u>Section</u>	<u>Number of CD's</u>
1.0 Administration	2
2.0 Prevention	0
3.0 Perinatal	0
4.0 Adolescent/Youth Treatment	0
5.0 Data/CalOMS	0
6.0 Program Integrity	1
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 deficiencies in regulations, standards or protocol requirements were identified:

### COMPLIANCE DEFICIENCIES:

#### **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.

#### **CD: 1.5.4:**

SABG Application, Enclosure 2, II, 13

#### 13. Trafficking Victims Protection Act of 2000

County and its subcontractors that provide services covered by this Contract shall comply with the Trafficking Victims Protection Act of 2000 (USC, Title 22, Chapter 78, Section 7104) as amended by section 1702 of Pub. L. 112-239.

SABG Application, Enclosure 2, II, 23

#### 23. Subcontract Provisions

County shall include all of the foregoing provisions in all of its subcontracts.

**Findings:** The County did not make available evidence demonstrating County and subcontractor compliance with the Trafficking Victims Protection Act of 2000 (USC, Title 22, Chapter 78, Section 7104) as amended by section 1702 of Pub. L. 112-239 provision.

## Category 6: PROGRAM INTEGRITY

A review of the SABG monitoring, privacy, and program integrity was conducted to ensure compliance with applicable regulations and standards. The following deficiency in regulations, standards or protocol requirements was identified:

### COMPLIANCE DEFICIENCY:

#### **CD 6.1.2:**

#### SABG Application Enclosure 2, I, 3, A, 1, e

1. County's performance under the County Performance Contract and the SABG County Application shall be monitored by DHCS during the term of the County Performance Contract. Monitoring criteria shall include, but not be limited to:
  - e. Whether the County conducted annual onsite monitoring reviews of services and subcontracted services for programmatic and fiscal requirements. County shall submit copy of its monitoring and audit reports to DHCS within two weeks of issuance. Reports shall be sent via a Secure Managed File Transfer system specified by DHCS.

**Findings:** The County did not provide evidence demonstrating it conducted onsite monitoring reviews of each subcontracted program providing SABG funded services.

- The County monitored 61 of 74 SABG funded programs.
- The County submitted 60 of 61 annual monitoring reports secure and encrypted to DHCS.
- The County submitted 55 of 61 annual monitoring reports within two weeks of completion to DHCS.

## **TECHNICAL ASSISTANCE**

San Diego did not request Technical Assistance during this review.