



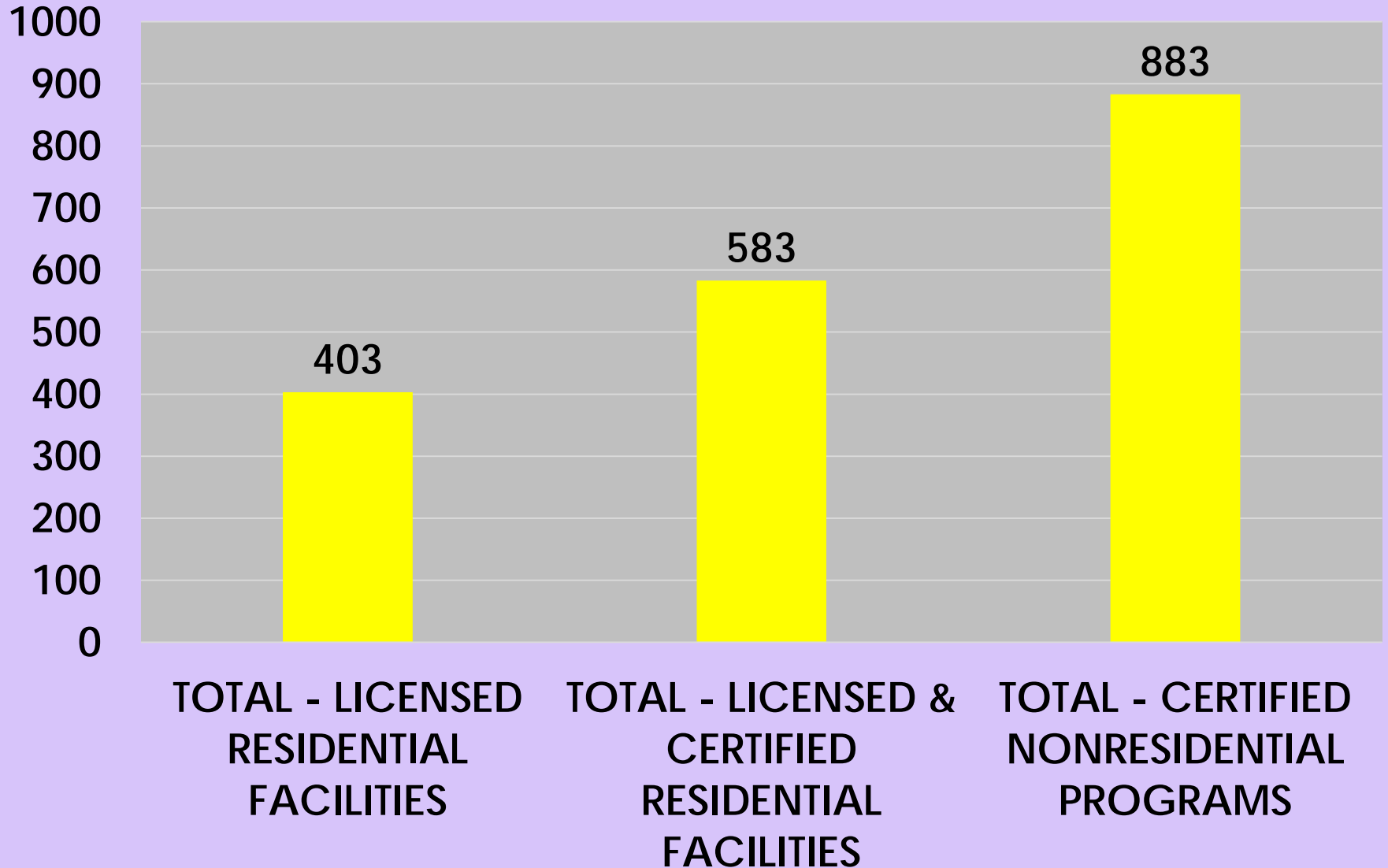
Revised Alcohol and Other  
Drug (AOD) Certification  
Standards  
and  
Incidental Medical Services  
Policy Guidelines  
August 23, 2017



# Summary of Licensing and Certification Section (LCS) Functions

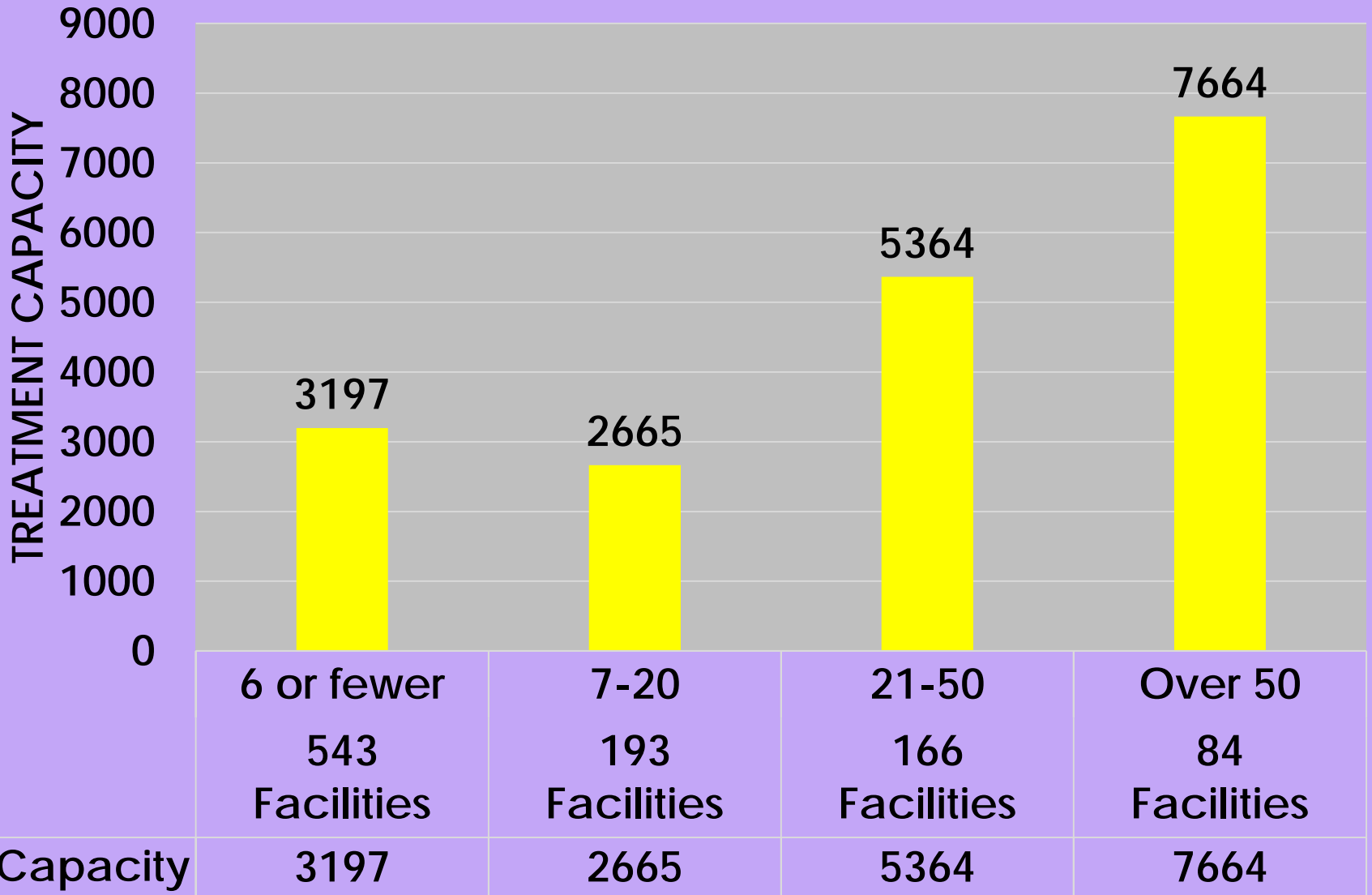
- The Department of Health Care Services (DHCS), has the sole authority in state government to license all facilities that provide 24-hour residential alcohol and other drug (AOD) treatment, detoxification, or recovery services to adults.
- DHCS also offers a voluntary facility certification to programs that exceed minimum levels of service quality and are in substantial compliance with State program standards. Certification is available to both residential and nonresidential programs.
- LCS is responsible for processing initial and renewal applications for residential, outpatient, detoxification, adolescent waivers, incidental medical services, and conducting site visits to ensure compliance with state, federal and local laws, regulations and statutes.

# TOTAL RESIDENTIAL FACILITIES (1,869) (Aug 1, 2017)



# TOTAL TREATMENT CAPACITY(18,890)

(Aug 1, 2017)



■ Capacity

# Revised AOD Standards

- In accordance to Health and Safety Code Section 11830.1 DHCS has the sole authority to implement and develop standards for program certification.
- The AOD Standards were revised and became effective on May 1, 2017. Currently certified programs must be in compliance with the revised standards no later than November 1, 2017.
- Revised AOD Standards and Information Notice posted on DHCS website.

# Revised AOD Standards

The AOD Standards and Information Notice (#17-017) are available on DHCS's website:

[http://www.dhcs.ca.gov/Documents/DHCS\\_AOD\\_Certification\\_Standards.pdf](http://www.dhcs.ca.gov/Documents/DHCS_AOD_Certification_Standards.pdf)

[http://www.dhcs.ca.gov/provgovpart/Documents/MHSUDS\\_Information\\_Note\\_17\\_017\\_AOD\\_Certification\\_Standards.pdf](http://www.dhcs.ca.gov/provgovpart/Documents/MHSUDS_Information_Note_17_017_AOD_Certification_Standards.pdf)

# Summary of AOD Standard Changes

Change	Reason
<b><i>Section 1000 – Definitions</i></b>	
Adult Alcoholism or Drug Abuse Recovery or Treatment Services	New definition to match statutory language
Alcohol and other drug problems	Changed term to Substance Use Disorder
Day Treatment	Changed term to Intensive Outpatient
Detoxification Service	Updated to ASAM language
Participant	Changed to Client
Incidental Medical Services	Added term to definitions

# Change

# Reason

## ***Section 2020 – Contents of Initial Application***

Initial Treatment Provider application (DHCS Form Number 6002)

Removed list of contents needed for initial application and added name of application instead

## ***Section 2070 – Denial of Initial Certification***

Denial of initial application if revoked within the past 5 years

New requirement

Denial of initial application due to program owner's presence on the Medi-Cal exclusion list

New requirement

Denial of initial certification if applicant has been convicted of a crime relating to the operation of a program or has not complied with local, state, federal laws, statute and regulations

New requirement



# Change

# Reason

## *Section 3000 – Application for Renewal of Certification*

Request for License/Certification Extension application (DHCS Form Number 5999)

Removed list of contents needed for renewal application and added name of application instead

120 days prior to the expiration of the certification the program shall submit their application

- DHCS will no longer send out the notification 120 days prior to expiration
- Certification will automatically expire if application and fees are not received 120 days prior

Allows for more time to have application reviewed and have a renewal processed and issued before expiration

30 working days to complete and respond to missing or incorrect documentation

To assist in the timely issuance of the renewal

# Change

# Reason

## ***Section 3010 – Contents of Renewal Application***

Request for License/Certification Extension application (DHCS Form Number 5999)

Removed list of contents needed for renewal application and added name of application instead

## ***Section 4010 – Complaint Investigations***

Added a complaint investigations section

Will match the regulations

## ***Section 6010 – Change in location***

Notification to Department 45 working days prior to move

Previous requirement was 30 days

Change	Reason
Supplemental Application/Request for Additional Services application (DHCS Form Number 5255)	Removed list of contents needed for supplemental application and added name of application instead
Program must submit the local code indicating that a permit is not required	Not previously required
Program may appeal a denial of a change in location request	Added the ability for program to appeal

### ***Section 6020 – Suspension and Revocation***

<p>The Department may revoke a certification when:</p> <ul style="list-style-type: none"> <li>- A program employee is convicted of a crime related to the operation of the program</li> </ul>	Added additional authority for Department to take action
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## Change

## Reason

- Owners of the program are convicted of crimes related to the operation of the program
- Program falsified the application
- Program's license has been revoked
- Program is operating an unlicensed residential treatment program

### ***Section 6030 – Appeal of Certification Decision***

Informal Conference procedure

Procedure was not previously allowed and is now a consistent procedure with the appeal process in the regulations

### ***Section 7040 – Medication Assisted Treatment (MAT)***

Policy and procedure required if going to provide MAT

New requirement

# Change

# Reason

## ***Section 7090 – Treatment Planning***

All treatment plans shall be signed by both the client and the counselor

New requirement

Treatment plans must be completed within:

- 10 calendar days for residential programs
- 30 calendar days for outpatient programs

Added some flexibility for the programs to complete

## ***Section 7100 – Recovery Planning***

Provides requirements for the recovery plan

New requirement and new section

## Change

## Reason

### ***Section 11020 – Levels of Detoxification Services***

Removed “Nonresidential detoxification with extended on-site monitoring”

This level of service is already addressed in “Nonresidential detoxification”

Removed “Medically-monitored inpatient detoxification”

DHCS does not have authority over this level of detoxification

Added “Medically-managed residential detoxification (Incidental Medical Services)”

This level of detoxification was not previously required and requires programs to have IMS if providing this level of detoxification

### ***Section 11030 – Residential Detoxification Practices***

Physical checks must be conducted every 30 min for the first 72 hours

Increased the length of checks for client safety

## Change

## Reason

One staff member must be trained in detoxification services and on duty at all times

Added for client safety

Program can stop detoxification checks after 24 hours with written justification by trained detoxification staff

Added a minimum time frame in which detoxification checks can cease

### ***Section 11040 – Residential Detoxification Staffing***

In a program with more than 15 clients who are in detoxification there must be 1 staff per 15 clients on duty and awake at all times

Added the requirements “per” 15 clients for client safety and monitoring


# Incidental Medical Services(IMS) Summary of Assembly Bill (AB) 848

- AB 848 passed: October 10, 2015
- AB 848 enacted: January 1, 2016
- AB 848 authorizes a Department of Health Care Services (DHCS) licensed drug abuse recovery or treatment facility to allow a licensed physician or surgeon or health care practitioner to provide IMS to a resident of the facility under specified conditions
- New statute Section numbers:
  - Amended Sections 11834.03 & 11834.36
  - Added Sections 11834.025 and 11834.026



# IMS Definitions

- IMS are approved services provided at a licensed residential facility by a health care practitioner which addresses medical issues associated with either detoxification or the provision of alcoholism or drug abuse recovery or treatment services to assist in the enhancement of treatment services.
- IMS does not include provisions of general primary medical care.
- IMS services must be related to a resident's process of moving into long-term recovery.



**Health Care Practitioner** - A person duly licensed & regulated under Division 2 (commencing with Section 500) of the Business and Professions Code, who is acting within the scope of practice of his or her license or certificate.

**Medication Assisted Treatment (MAT)**: MAT includes all drugs approved by the Federal Drug Administration for the treatment of substance use disorders.

**Reasonable Period of Time**: For the purposes of Section 11834.025(a)(1), within 24 hours of admission and prior to IMS being provided to a program participant, facilities must obtain the Health Care Practitioner Client Assessment form. This form must be signed by a health care practitioner for each program participant.




# 6 Categories of IMS

1. Obtaining Medical Histories
2. Monitoring health status to determine whether the health status warrants transfer of the patient in order to receive urgent or emergent care
3. Testing associated with detoxification from alcohol or drugs
4. Providing alcoholism or drug recovery or treatment services
5. Overseeing patient self-administered medications
6. Treating substance abuse disorders, including detoxification

# IMS Reminders

- Licensed residential providers are not permitted to allow any form of surgical procedures at a residential facility.
- Licensed residential providers are not permitted to order or stock bulk prescription medications for utilization during detoxification or treatment nor have them at the facility.
- Licensed residential providers utilizing relapse prevention medications should ensure staff are trained on the use of the medication and may have it available on site for staff use.

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- Physician and/or health practitioner staff are allowed to administer injectable or implantable subdermal MAT with the written consent of the patient.
  - All patients prescribed detoxification or maintenance medication shall be seen face-to-face by the physician or health care practitioner prior to the initiation of medication.
  - For patients receiving methadone, licensed residential providers shall collaborate with Narcotic Treatment Programs to coordinate how the patient will receive their medication.



# Application Process

Prior to providing IMS, the provider must complete and submit the following:

- Application
- Fee
- Floor Plan
- Incidental Medical Protocols and Policies/Procedures
- Health Care Practitioners Acknowledgement (DHCS Form 5256)
- Copy of the Health Care Practitioner License (License must be valid and in good standing)
- Fire Clearance - STD 850 (Initial Application only)
- Current Facility Staffing Data Form (DHCS Form 5050)

# Application Process

Supplemental Application (DHCS Form 5255)

[http://www.dhcs.ca.gov/provgovpart/Documents/Supplemental\\_Application\\_Request\\_for\\_Additional\\_Services\\_\(DHCS%205255\).pdf](http://www.dhcs.ca.gov/provgovpart/Documents/Supplemental_Application_Request_for_Additional_Services_(DHCS%205255).pdf)

Initial Provider Application (DHCS Form 6002)

[http://www.dhcs.ca.gov/provgovpart/Documents/DHCS\\_6002\\_-\\_Initial\\_Provider\\_Application\\_-\\_6\\_29\\_16.pdf](http://www.dhcs.ca.gov/provgovpart/Documents/DHCS_6002_-_Initial_Provider_Application_-_6_29_16.pdf)

Incidental Medical Services – Requirement Guidelines

[http://www.dhcs.ca.gov/Documents/IMS\\_Requirement\\_Guidelines\\_3.29.17.pdf](http://www.dhcs.ca.gov/Documents/IMS_Requirement_Guidelines_3.29.17.pdf)

# Application Process

IMS Certification Form - Health Care Practitioner Client Assessment (DHCS Form 4026)

[http://www.dhcs.ca.gov/provgovpart/Documents/DHCS%20\\_4026.pdf](http://www.dhcs.ca.gov/provgovpart/Documents/DHCS%20_4026.pdf)

Client Health Questionnaire and Initial Screening Questions (DHCS Form 5103)

[http://www.dhcs.ca.gov/provgovpart/Documents/DHCS\\_5103.pdf](http://www.dhcs.ca.gov/provgovpart/Documents/DHCS_5103.pdf)

Health Care Practitioner Incidental Medical Services Acknowledgement (DHCS Form 5256)

[http://www.dhcs.ca.gov/provgovpart/Documents/DHCS\\_5256\\_Health.pdf](http://www.dhcs.ca.gov/provgovpart/Documents/DHCS_5256_Health.pdf)



# Fees

## INITIAL APPLICATIONS

- No Fee – Services included in the initial application fee

## CURRENTLY LICENSED PROVIDERS

- \$1,034 – one time fee provided with Supplemental Application

# Revocation and Suspension

ADDITIONAL AUTHORITY ADDED TO SECTION 11834.36 REGARDING THE DHCS'S AUTHORITY TO SUSPEND AND/OR REVOKE A RESIDENTIAL LICENSE.

- Section 11834.36(a)(6) – *“The licensee’s refusal to allow the department entry into the facility to determine compliance with the requirements of this chapter or regulations adopted pursuant to this chapter.”*
- Section 11834.36(a)(7) – *“Violation by the licensee of Section 11834.026 or the regulations adopted pursuant to that section.”*



# Questions

