

## Substance Abuse Prevention and Treatment (SAPT) Block Grant Monitoring Checklist

<b>Program Name</b>	
<b>Reviewer Name</b>	
<b>Date(s) of Review</b>	

**Instructions:** Use the key below to complete all applicable sections of this checklist:

**Y** = "Yes," the program meets all the conditions of the requirement.

**N** = "No," the program does not meet any of the conditions of the requirement.

**P** = The program is in "Partial" compliance but does not meet all the conditions of the requirement.

**N/A** = This requirement is "Not Applicable" to the program.

### Part I: Requirements for All SAPT Block Grant-funded Programs

#### § 96.127 Requirements Regarding Tuberculosis

1. The program directly, or through arrangements with other public or nonprofit private entities, routinely makes available the following TB services to each individual receiving treatment for substance abuse:
  - a) Counseling the individual with respect to TB
  - b) Testing to determine whether the individual has been infected with mycobacteria TB to determine the appropriate form of treatment for the individual
  - c) Appropriate medical evaluation and treatment for individuals infected by mycobacteria TB
  
2. For clients denied admission to the program on the basis of lack of capacity, the program refers such clients to other providers of TB services.
  
3. The program has implemented infection control procedures that are consistent with those established by **FILL IN NAME OF STATE AGENCY RESPONSIBLE FOR TB SERVICES** to prevent the transmission of TB and that address the following:
  - a) Screening patients and identifying those individuals who are at high risk of becoming infected
  - b) Meeting all State reporting requirements while adhering to Federal and State confidentiality requirements, including 42 CFR part 2
  - c) Case management activities to ensure that individuals receive such services
  
4. The program reports all individuals with active TB to **FILL IN THE NAME OF THE STATE AGENCY TO WHICH TB CASES ARE REPORTED** as required by State law and in accordance with Federal and State confidentiality requirements, including 42 CFR part 2.

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**§ 96.131 Treatment Services for Pregnant Women**

- 5. The program gives preference in admission to pregnant women who seek or are referred for and would benefit from Block Grant-funded treatment services.
- 6. If the program is an SAPT Block Grant-funded program that serves an injecting drug abusing population, the program gives preference to treatment in the following order:
  - a) Pregnant injecting drug users
  - b) Other pregnant substance abusers
  - c) Other injecting drug users
  - d) All others
- 7. The program refers pregnant women to the State when the program has insufficient capacity to provide services to any such pregnant women who seek the services of the program.
- 8. The program makes interim services available within 48 hours to pregnant women who cannot be admitted because of lack of capacity.
- 9. When appropriate, the program offers interim services that include, at a minimum<sup>1</sup>, the following:
  - a) Counseling and education about HIV and TB, the risks of needle-sharing, the risks of transmission to sexual partners and infants, and steps that can be taken to ensure that HIV and TB transmission does not occur
  - b) Referral for HIV or TB treatment services, if necessary
  - c) Counseling pregnant women on the effects of alcohol and other drug use on the fetus and referrals for prenatal care for pregnant women

Comments: \_\_\_\_\_  
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<sup>1</sup> Interim services may also include federally approved interim methadone maintenance.

**§ 96.132 Additional Requirements**

- 10. The program makes continuing education in substance abuse treatment and prevention services available to employees who provide the services.
- 11. The program has in effect a system to protect patient records from inappropriate disclosure, and the system:
  - a) Complies with all applicable State and Federal laws and regulations, including 42 CFR part 2
  - b) Includes provisions for employee education on confidentiality requirements and the fact that disciplinary action may occur upon inappropriate disclosure

Comments: \_\_\_\_\_  
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**§ 96.135 Restrictions on the Expenditure of the Grant**

- 12. The program does not expend SAPT Block Grant funds to provide inpatient hospital substance abuse services, except in cases when each of the following conditions is met:
  - a) The individual cannot be effectively treated in a community-based, nonhospital, residential program
  - b) The daily rate of payment provided to the hospital for providing the services does not exceed the comparable daily rate provided by a community-based, nonhospital, residential treatment program
  - c) A physician makes a determination that the following conditions have been met:
    - i. The primary diagnosis of the individual is substance abuse, and the physician certifies that fact
    - ii. The individual cannot be safely treated in a community-based, nonhospital, residential treatment program
    - iii. The service can reasonably be expected to improve the person's condition or level of functioning
    - iv. The hospital-based substance abuse program follows national standards of substance abuse professional practice
  - d) The service is provided only to the extent that it is medically necessary (e.g., only for those days that the patient cannot be safely treated in a residential, community-based program)

- 13. The program does not expend SAPT Block Grant funds to purchase or improve land; purchase, construct, or permanently improve (other than minor remodeling) any building or other facility; or purchase major medical equipment.
- 14. The program does not expend SAPT Block Grant funds to satisfy any requirement for the expenditure of non-Federal funds as a condition for the receipt of Federal funds.
- 15. The program does not expend SAPT Block Grant funds to provide financial assistance to any entity other than a public or nonprofit, private entity.
- 16. The program does not expend SAPT Block Grant funds to make payments to intended recipients of health services.
- 17. The program does not expend SAPT Block Grant funds to provide individuals with hypodermic needles or syringes.
- 18. The program does not expend SAPT Block Grant funds to provide treatment services in penal or correctional institutions of the State (THIS STIPULATION CAN BE CHANGED IF THE STATE IS ABLE TO DETERMINE THAT IT SPENT BLOCK GRANT FUNDS TO PROVIDE TREATMENT SERVICES IN PENAL OR CORRECTIONAL INSTITUTIONS OF THE STATE IN AN AMOUNT THAT DID NOT EXCEED AN AMOUNT PRESCRIBED BY SECTION 1931(A)(3) OF THE PUBLIC HEALTH SERVICES ACT).

Comments: \_\_\_\_\_  
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**§ 96.137 Payment Schedule**

- 19. The program uses SAPT Block Grant funds for special services for pregnant women and women with dependent children, TB services, and HIV early intervention services as the “payment of last resort,” and the program makes every reasonable effort to do the following:
  - a) Collect reimbursement for the costs of providing such services to persons entitled to insurance benefits under the Social Security Act, including programs under title XVIII and title XIX; any State compensation program, any other public assistance program for medical expenses, any grant program, any private health insurance, or any other benefit program
  - b) Secure from patients or clients payments for services in accordance with their ability to pay

Comments: \_\_\_\_\_  
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**Single State Audit**

- 20. If the program has \$500,000 or more in Federal expenditures during the program's fiscal year, the program receives a single State audit.
- 21. If the program is a non-Federal entity with \$500,000 or more in Federal expenditures, the program had a program-specific audit only when both of the following conditions were met:
  - a) The expenditures are under only one Federal program
  - b) The Federal program does not require an A-133 audit
- 22. If the program is a non-Federal entity that expends less than \$500,000 during the program's fiscal year, the program retains records to support expenditures, and the program makes those records available for review or audit by appropriate officials of the Federal Agency, the pass-through entity, and the General Accounting Office.

**Salary Limitation**

- 23. The program does not use the SAPT Block Grant to pay salaries in excess of Level I of the Federal Senior Executive pay scale.

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**Part II: Charitable Choice Requirements**

If the program is a religious organization/faith-based program, check items (24.) through (29.).

- 24. The organization does not use SAPT Block Grant funded for activities involving worship, religious instruction, or proselytization.
- 25. In delivering Block Grant-funded services, including outreach activities, the organization does not discriminate against current or prospective program participants based on:
  - a) Religion
  - b) Religious belief
  - c) Refusal to hold a religious belief
  - d) Refusal to actively participate in a religious practice
- 26. Otherwise eligible clients who object to the religious character of SAPT Block Grant-funded services are referred to alternative providers within a reasonable period of time of the objection.
- 27. The organization uses generally accepted auditing and accounting principles to account for SAPT Block Grant funds.
- 28. The organization segregates Federal funds from non-Federal funds.
- 29. The organization subjects Federal funds to an audit by the government.

Comments: \_\_\_\_\_  
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### Part III: § 96.126 Capacity of Treatment for Intravenous Drug Abusers

If the program treats injecting drug users, complete items (30.) through (37).

- 30. Within 7 days of reaching 90 percent of its treatment capacity, the program notifies the State.
- 31. The program admits each individual who requests and is in need of treatment for intravenous drug abuse:
  - a) Not later than 14 days after making the request or
  - b) Within 120 days of the request if the program has no capacity to admit the individual, the program makes interim services available within 48 hours, and the program offers the interim services until the individual is admitted to a substance abuse treatment program
- 32. When appropriate, the program offers interim services that include, at a minimum<sup>2</sup>, the following:
  - a) Counseling and education about HIV and TB, the risks of needle sharing, the risks of transmission to sexual partners and infants, and steps that can be taken to ensure that HIV and TB transmission does not occur
  - b) Referral for HIV or TB treatment services, if necessary
  - c) Counseling pregnant women on the effects of alcohol and other drug use on the fetus and referrals for prenatal care for pregnant women
- 33. The program has established a waiting list that includes a unique patient identifier for each injecting drug abuser seeking treatment, including patients receiving interim services while awaiting admission.
- 34. The program has a mechanism that enables it to:
  - a) Maintain contact with individuals awaiting admission
  - b) Consult with the State's capacity management system to ensure that waiting list clients are admitted or transferred to an appropriate treatment program within a reasonable geographic area at the earliest possible time
- 35. The program takes clients awaiting treatment for intravenous substance abuse off the waiting list only when such persons:
  - a) Cannot be located for admission into treatment or
  - b) Refuse treatment
- 36. The program carries out activities to encourage individuals in need of treatment services for intravenous drug abuse to undergo such treatment by using scientifically sound outreach models such as those outlined below or, if no such models are applicable to the local situation, another approach which can reasonably be expected to be an effective outreach method:

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<sup>2</sup> Interim services may also include federally approved interim methadone maintenance.

- a) The standard intervention model as described in *The NIDA Standard Intervention Model for Injection Drug Users: Intervention Manual*, National AIDS Demonstration Research (NADR) Program, National Institute on Drug Abuse, (Feb. 1992)
- b) The health education model as described in Rhodes, F., Humfleet, G.L. et al., *AIDS Intervention Program for Injection Drug Users: Intervention Manual*, (Feb. 1992)
- c) The indigenous leader model as described in Wiebel, W., Levin, L.B., *The Indigenous Leader Model: Intervention Manual*, (Feb. 1992)

37. The program ensures that outreach efforts (have procedures for):

- a) Selecting, training, and supervising outreach workers
- b) Contacting, communicating, and following up with high-risk substance abusers, their associates, and neighborhood residents within the constraints of Federal and State confidentiality requirements
- c) Promoting awareness among injecting drug abusers about the relationship between injecting drug abuse and communicable diseases such as HIV
- d) Recommending steps that can be taken to ensure that HIV transmission does not occur

Comments:

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**Part IV: § 96.124 Certain Allocations: (Required Services for Programs Receiving SAPT Block Grant Funds Set Aside for Pregnant Women and Women with Dependent Children)**

If the program receives SAPT Block Grant funds set aside for special services for pregnant women and women with dependent children (including women attempting to regain custody of their children), complete items (38.) through (44.).

- 38. The program treats the family as a unit and, therefore, admits both women and their children into treatment services, if appropriate.<sup>3</sup>
- 39. The program provides or arranges for primary medical care, including prenatal care, for women who are receiving substance abuse services.
- 40. The program provides or arranges for child care while the women are receiving services.
- 41. The program provides or arranges for primary pediatric care, including immunizations, for the women's children.
- 42. The program provides or arranges for gender-specific substance abuse treatment and other therapeutic interventions for women that may address issues of relationships, sexual abuse, physical abuse, and parenting.
- 43. The program provides or arranges for therapeutic interventions for children in custody of women in treatment which may, among other things, address the children's developmental needs and their issues of sexual abuse, physical abuse, and neglect.
- 44. The program provides or arranges for sufficient case management and transportation services to ensure that the women and their children have access to the services provided by (39.) through (43.) above.

Comments: \_\_\_\_\_  
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<sup>3</sup> Such an admission may not be appropriate; however, if for example, the father of the child(ren) is able to adequately care for the child(ren).

**Part V: Optional Service Requirements for All SAPT Block Grant-funded Programs that Provide (Substance Abuse) Services to Women**

If the State requires, the program provides pregnant women, women with dependent children, and their children, either directly or through linkages with community-based organizations, a comprehensive range of services that includes the following:

- 45. Case management to assist in establishing eligibility for public assistance programs provided by Federal, State, or local governments
- 46. Employment and training programs
- 47. Education and special education programs
- 48. Drug-free housing for women and their children
- 49. Prenatal care and other health care services
- 50. Therapeutic day care for children
- 51. Head Start
- 52. Other early childhood programs

Comments: \_\_\_\_\_  
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**Part VI.: § 96.128 Requirements Regarding HIV<sup>4</sup>**

If the program is an SAPT Block Grant-funded HIV early intervention program, the program makes the following services available at the sites at which individuals are undergoing treatment for substance abuse:

- 53. Appropriate HIV/AIDS pre- and post-test counseling.
- 54. Appropriate HIV/AIDS tests:
  - a) To diagnose the extent of the deficiency in the immune system
  - b) To provide information on appropriate therapeutic measures for preventing and treating the deterioration of the immune system and for preventing and treating conditions arising from the disease
- 55. Therapeutic measures for preventing and treating the deterioration of the immune system and for preventing and treating conditions arising from the disease.

The program also:

- 56. Has established linkages with a comprehensive community resource network of related health and social services organizations to ensure a wide-based knowledge of the availability of these services and to facilitate referral.
- 57. Ensures that HIV early intervention services are undertaken voluntarily, provided with patients' informed consent, and are not required as a condition of receiving substance abuse treatment or any other services.

Comments:

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<sup>4</sup> Section 96.128 should be deleted if your State is not an HIV-Designated State.