

**SUBSTANCE ABUSE PREVENTION AND TREATMENT (SAPT) BLOCK GRANT
MONITORING CHECKLIST**

Program Name: _____

Reviewer Name: _____

Date(s) of Review: _____

Instructions: Using the key below, please complete all applicable sections of this checklist by placing the letter that best describes the program’s compliance with each SAPT Block Grant requirement:

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.

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

If the program receives Block Grant funds set aside for pregnant women and women with dependent children (including women attempting to regain custody of their children), complete items (1) through (7) If the program does not receive these funds, skip to item (8.)

- 1. The program treats the family as a unit and, therefore, admits both women and their children into treatment services, if appropriate.¹
- 2. The program provides or arranges for primary medical care for women who are receiving substance abuse services, including prenatal care.
- 3. The program provides or arranges for childcare while the women are receiving services.
- 4. The program provides or arranges for primary pediatric care for the women’s children, including immunizations.

- 5. 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.
- 6. 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.
- 7. 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 (2) through (6) above.

How does the agency implement these principles?

Comments:

§ 96.126 Capacity of Treatment for Intravenous Drug Abusers

If the program treats individuals for intravenous substance abuse, complete items (8) through 15) Otherwise, skip to item (16.)

- 8. Within 7 days of reaching 90 percent of its treatment capacity, the program notifies the State that 90 percent of the capacity has been reached.
- 9. The program admits each individual who requests and is in need of treatment for intravenous drug abuse not later than:
 - a. 14 days after making the request *or*
 - b. 120 days if the program has no capacity to admit the individual on the date of the request and, within 48 hours after the request, the program makes interim services available until the individual is admitted to a substance abuse treatment program.

10. When applicable, the program offers interim services that include, at a minimum², the following:
- a. Counseling and education about HIV and tuberculosis (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 occur¹
 - b. Referral for HIV or TB treatment services, if necessary
 - c. Counseling on the effects of alcohol and other drug use on the fetus for pregnant women and referrals for prenatal care for pregnant women

How are all these principles implemented?

11. 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.
12. The program has a mechanism that enables it to:
- a. Maintain contact with individuals awaiting admission
 - b. Admit or transfer waiting list clients at the earliest possible time to an appropriate treatment program within a reasonable geographic area

Explain how this is done:

13. The program takes clients awaiting treatment for intravenous substance abuse off the waiting list only when one of the following conditions exists:
- a. Such persons cannot be located for admission into treatment *or*
 - b. Such persons refuse treatment

Comments:

¹ Interim services may also include federally approved interim methadone maintenance.

§ 96.127 Requirements Regarding Tuberculosis

- 14. 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. Providing for or referring the individuals infected by mycobacteria TB for appropriate medical evaluation and treatment
- 15. 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.
- 16. The program has implemented the infection control procedures that are consistent with those established by the Department to prevent the transmission of TB and that address the following:
 - a. Screening patients and identification of 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
- 17. The program reports all individuals with active TB to County Health Department as required by State law and in accordance with Federal and State confidentiality requirements, including 42 CFR part 2.

§ 96.128 Treatment Services for Pregnant Women

- 18. The program gives preference in admission to pregnant women who seek or are referred for and would benefit from Block Grant-funded treatment services. Further, the program gives preference to clients in the following order:
 - a. To pregnant injecting drug users first
 - b. To other pregnant substance abusers second
 - c. To other injecting drug users third
 - d. To all other individuals fourth
- 19. 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.
- 20. The program makes available interim services within 48 hours to pregnant women who cannot be admitted because of lack of capacity.

Explain the process of identifying and moving the client to the preferences:

§ 96.132 Additional Requirements

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

Comments:

§ Restrictions on the Expenditure of the Grant

- 23. 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, non-hospital 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, non-hospital, 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, non-hospital, 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)

- 24. 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.
- 25. 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.
- 26. The program does not expend SAPT Block Grant funds to provide financial assistance to any entity other than a public or non-profit private entity.
- 27. The program does not expend SAPT Block Grant funds to make payments to intended recipients of health services.
- 28. The program does not expend SAPT Block Grant funds to provide individuals with hypodermic needles or syringes.
- 29. The program does not expend SAPT Block Grant funds to provide treatment services in penal or correctional institutions of the State (exceptions are based on statewide formulas.)

Comments:

- 30. The program uses the Block Grant as the “payment of last resort” for pregnant women and women with dependent children, TB services, and HIV services and, therefore, 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 expense, 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:

I:\AMH-SHARED\UNITS\Operations\RADS-PREVENTION\RADS support\RADS forms\Block grant checklist.doc