

**UTAH DIVISION OF SUBSTANCE ABUSE AND MENTAL HEALTH
SUBSTANCE ABUSE PREVENTION AND TREATMENT (SAPT) BLOCK
GRANT **FINANCIAL** MONITORING CHECKLIST**

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|--------------------------|--|
| Program Name | |
| Reviewer Name | |
| Date(s) of Review | |

§ 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, 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 the 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; purchases, 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 extend 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: _____

§ 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 XVII 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: _____

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.

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.