



Operational Policy and Procedure

Policy:	Block Grant Expenditures	
Division:	Disability and Behavioral Health Services	Policy Number: BG 403
Contact:	Addiction and Prevention Services Director	
Status:	Approved	Date Approved: 09/07/11
Date Reviewed/Revised:		Effective Date: 09/07/11
Department:	Addiction and Prevention Services (AAPS)	Page: 1 of 4

POLICY: The Department of Social and Rehabilitation Services/Addiction and Prevention Services (AAPS) shall expend Substance Abuse Prevention and Treatment Block Grant (SAPT BG) funds in accordance with the requirements of 45 CFR Part 96; SAPT BG Interim Final Rule.

PURPOSE: To ensure the State complies with SAPT BG requirements for the purpose of continued funding.

PROCEDURES:

A) States are required to expend the Block Grant on various activities in certain proportions, specifically, as to treatment and prevention, as found in 45 CFR Part 96.124. AAPS shall adhere to the following allocation formula:

- 1) 95% for services to include the following:
 - a) Not less than 20% - Primary Prevention, and
 - b) Not more than 75% - Infrastructure for treatment to include an array of services (assessment, case management, residential, outpatient, etc).
- 2) 5% for administration to include the following:
 - a) Salaries of AAPS Central Office Staff,
 - b) Management Operations Staff, and
 - c) Other administration costs for AAPS (i.e. travel etc.).

B) States are required to maintain a level of expenditures for authorized activities at a level that is not less than the average level of such expenditures maintained by the State for the two year period proceeding the fiscal year for which the State is applying for the grant. The Block Grant shall not be used to supplant State funding of alcohol and other drug prevention and treatment programs as found in 45 CFR 96.134.

- 1) Upon request of a State, the Secretary of Health and Human Services (HHS) may waive all or part of the requirements above if the Secretary of HHS determines that extraordinary economic conditions in the State justify the waiver,
- 2) The Secretary of HHS shall reduce the amount of the allotment for the State for the fiscal year for which the grant is being applied for if it is found that the State failed to maintain compliance,



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- 3) The Secretary of HHS may make a Block Grant for a fiscal year only if the State involved submits sufficient evidence of compliance to include the dollar amount reflecting the aggregate State expenditures by the State for the two previous fiscal years, and
- 4) To meet this requirement, AAPS utilizes budgeted funds including: State General Funds (SGF) including State match of Medicaid funding for Substance Abuse Services, Fee Funds (such as license fees, liquor tax dollars, and DUI administration funds), and Problem Gambling and Other Addictions Fund used for treatment of Substance Abuse.
 - AAPS does not include monies from the Problem Gambling and Other Addictions Fund used for the treatment of Problem Gambling, Federal dollars, Kansas Department of Corrections monies utilized for services, Temporary Aid to Needy Families (TANF) Funds, other Medicaid, or State Prevention Framework State Incentive Grant (SPF SIG) Funds.

C) AAPS receives funding through State owned casinos in the amount of 2% of revenues for the Problem Gambling and Other Addictions Fund. This fund is to be used for Problem Gambling services with portions being used for other addictions treatment. AAPS must:

- 1) Create clear delineation of services provided,
- 2) Identify monies spent on Problem Gambling services, and
- 3) Identify monies spent on other addictions treatment.

D) States are required to spend no less than the amount expended by the State for FY 1994 to establish new programs or expand the capacity of existing programs to make available treatment services designated for pregnant women and women with dependent children, as directed in 45 CFR 96.124.

- 1) AAPS determines what programs are considered Designated Women's Programs (DWP) via departmental designation, and ensures that DWPs meet SAPT BG requirements through on-site audits (*See BG 403 B2b*),
- 2) AAPS ensures that the amount required for expenditures to DWPs is carved out of the treatment dollars,



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- 3) AAPS receives reports from the designated managed care entity regarding the amount spent to monitor monthly expenditures for DWPs, and
- 4) DWPs may receive higher reimbursement rates and payment for overnight boarding of children.

E) States shall require any entity receiving amounts from the grant for operating a program of treatment for substance abuse to follow procedures developed by the principal agency of a State for substance abuse and in cooperation with the State Department of Health/Tuberculosis Control Officer, as found in 45 CFR 69.127, to include:

- 1) AAPS requires all entities receiving Block Grant funds to comply with AAPS policy BG 402 regarding tuberculosis screening and referral to include:
 - a) Ensuring tuberculosis services are available,
 - b) Ensure individuals in need to treatment receive proper referrals,
 - c) Implement infection control procedures, and
 - d) Conduct case management activities to ensure these services are provided,
- 2) AAPS coordinates with the Kansas Department of Health and Environment (KDHE) regarding testing and the number of individuals served that are substance abusers, and
- 3) AAPS receives a yearly report of expenditures from KDHE TB Control Program related to services provided to individuals that are substance abusers.

F) The State shall not expend the Block Grant on activities listed in 45 CFR 96.135, to include:

- 1) Inpatient hospital services,
- 2) Cash payments to intended recipients of health services,
- 3) Purchase or improve land, purchase, construct, or permanently improve any building or other facility, or purchase major medical equipment,
- 4) Satisfaction of any requirement for the expenditure of non-Federal funds as a condition for the receipt of Federal Funds,
- 5) Provision of financial assistance to any entities other than a public or nonprofit private entity,
- 6) Provision of hypodermic needles or syringes to injecting drug users,



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- 7) Utilization of more than 5% of the grant to pay for the costs of administering the grant,
- 8) Use of the Block Grant to pay salaries in excess of Level I of the Federal Senior Executive pay scale, and
- 9) Provision of prison based services at greater than the level than was spent in 1991.
 - These prohibitions shall be made known to all AAPS funded providers and the managed care entity through their respective agreements.

See Attachment Substance Abuse Prevention and Treatment Block Grant Procedure Manual.

Approved by:

A handwritten signature in black ink, appearing to read "Dipshani W. K.", written over a horizontal line. Below the line, the text "Addiction and Prevention Services Director" is printed.

Addiction and Prevention Services Director

Sept. 7, 2011

Date