



Operational Policy and Procedure

Policy: SAPT Block Grant Monitoring	
Division: Disability and Behavioral Health Services	Policy Number: BG 404
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) will implement appropriate monitoring procedures and protocols to ensure that the designated managed care entity, other service providers, and contractors comply with all Substance Abuse Prevention and Treatment Block Grant (SAPT BG) and other related State and Federal requirements.

PURPOSE: To ensure AAPS funds (including SAPT BG funds, State General Funds and State Fee funds) which are awarded to the designated managed care entity, other service providers, and contractors are spent in accordance with SAPT BG and other Federal guidelines.

PROCEDURE:

A) Disability and Behavioral Health Services (DBHS) Management Operations Staff shall ensure:

- 1) All payments are made in a timely manner and in accordance with the budget plan,
- 2) Payments do not exceed agreement amounts,
- 3) Payments are appropriately recorded in the State of Kansas accounting system,
- 4) Service provider payments made by the designated managed care entity are within the allotted amounts for each provider and provider-type (i.e. Designated Women’s Providers [DWP]),
- 5) Payments made to DWPs are compared to Maintenance of Effort (MOE) SAPT BG requirements,
- 6) Financial reports from the designated managed care entity are received timely,
- 7) Fiscal reports from the designated managed care entity, grantees or contractors, are analyzed as needed,
- 8) Findings and results of fiscal analysis are reported/communicated to AAPS staff regularly, and
- 9) Cumulative payment totals and agreement balances are reported to AAPS staff regularly.

B) Addiction and Prevention Services (AAPS) staff:

- 1) AAPS Staff shall monitor the designated managed care entity to ensure the following:
 - a) All AAPS required language and SAPT BG requirements are included in



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- b) the treatment provider contract and/or agreement,
 - b) A system is developed to facilitate accounting for DWPs that meet the MOE requirement of the SAPT,
 - c) Providers' expenditures are within the providers' allocations, including DWPs,
 - d) Provider allocations are compared with actual utilization,
 - e) The required administrative performance improvement plan has been implemented,
 - f) Data system validation requirements are met,
 - g) All required reports are submitted in a timely and accurate manner,
 - h) The designated managed care entity has the proper infrastructure to perform contract requirements, and
 - i) Data integrity performance improvement projects are completed
 - i.) The designated managed care entity shall take a sample of all provider claims, request client charts for those claims, review those client charts against the claims, produce a percentage of compliance, relay that percentage to providers, and submit this to the External Quality Review Organization (EQRO) for validation,
 - ii) The EQRO shall review/validate this project culminating in an annual report.
 - iii) The designated managed care entity shall apply interventions, such as trainings, to improve the data integrity in the system.
- 2) AAPS Staff shall monitor the AAPS funded managed care provider network to regarding the following:
- a) On-site monitoring of each provider is completed bi-annually.
 - i) AAPS Program Consultants complete on-site monitoring of these locations to review policies and procedures along with clinical records regarding compliance with AAPS/SAPT BG requirements,
 - ii) Documentation of findings from the on-site monitoring visits is submitted to the designated managed care entity,
 - iii) The designated managed care entity reviews those findings for compliance and notifies the provider and AAPS of the results, and
 - iv) AAPS and the designated managed care entity work together to



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- determine how to best provide technical assistance as needed.
- b) Required fiscal audits are completed as required and submitted to SRS/Office of Audit and Consulting Services (OACS).
 - i) AAPS Staff shall ensure OACS has essential information regarding current sub-recipients,
 - ii) OACS shall review submitted audits,
 - iii) OACS shall contact sub-recipients and AAPS staff regarding delinquent audits or other discrepancies, and
 - iv) AAPS staff shall coordinate with OACS and sub-recipients regarding delinquent audits or other requested documentation.
 - c) Training and communication regarding SAPT BG requirements are provided to AAPS funded providers.
 - i) The designated managed care entity is required by contract to provide training and information to providers as needed,
 - ii) AAPS and the designated managed care entity shall coordinate with Center for Substance Abuse Treatment (CSAT) to provide BG training to providers,
 - iii) AAPS and the designated managed care entity utilize these training documents and coordinate onsite BG training to providers along with the federal regulations,
 - iv) AAPS shall maintain and update written BG policies and procedures to ensure providers are following all BG requirements. These policies and procedures shall be sent to providers and posted on the AAPS website,
 - v) The designated managed care entity is required by contract to include BG requirements in the facility agreement addendum contracts to providers,
 - (1) These agreements must be approved by AAPS before the designated managed care entity offers the agreements to providers, and

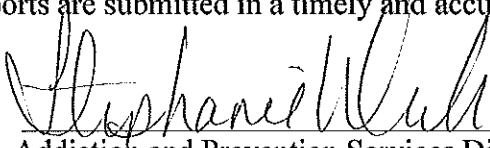


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- (2) Should a provider in the designated managed care entity network be noncompliant, with AAPS approval, the designated managed care entity shall disenroll the provider, and AAPS shall reallocate these funds according to need.

- 3) AAPS Prevention Staff shall monitor the AAPS prevention infrastructure regarding the following:
 - a) Provider expenditures are in accordance with their budgeted line items and the SRS/AAPS prevention direction,
 - b) Provider services are in accordance with grant requirements and deliverables,
 - c) Providers have implemented any required performance adjustments,
 - d) Providers have submitted all required information on the Online Documentation and Support System in a timely fashion and entries are consistent with guidelines related to Center for Substance Abuse Prevention (CSAP) core strategies, National Outcome Measurement System (NOMS) and work plan references, per AAPS requirements, and
 - e) All required reports are submitted in a timely and accurate manner.

Approved by: 
 Addiction and Prevention Services Director

Sept. 7, 2011
 Date