



# Financial SAPTBG Audit

1. Financial Audit Org SAPTBG (01) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.124) Does the NSPs SAPTBG program treat the family as a unit and, therefore, admit both women and their children into treatment services, if appropriate?
2. Financial Audit Org SAPTBG (02) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.124) Does the NSPs SAPTBG program provide or arrange for primary medical care, including prenatal care, for women who are receiving substance abuse services, including prenatal care?
3. Financial Audit Org SAPTBG (03) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.124) Does the NSPs SAPTBG program provide or arrange for child care while the women are receiving services?
4. Financial Audit Org SAPTBG (04) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.124) Does the NSPs SAPTBG program provide or arrange for primary pediatric care for the women's children, including immunizations, for the women's children?
5. Financial Audit Org SAPTBG (05) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.124) Does the NSPs SAPTBG program provide or arrange 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. Financial Audit Org SAPTBG (06) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.124) Does the NSPs SAPTBG program provide or arrange 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. Financial Audit Org SAPTBG (07) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.124) Does the NSPs SAPTBG program provide or arrange for sufficient case management and transportation services to ensure that the women and their children have access to the services provided by questions (1) through (6) above?
8. Financial Audit Org SAPTBG (08) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.126) Does the NSPs SAPTBG Program notify LSFHS within 7 days of reaching 90% of treatment capacity?
9. Financial Audit Org SAPTBG (09) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.126) Does the NSPs SAPTBG Program admit each individual who requests and is in need of treatment for intravenous drug abuse no later than 14 days after making the request or 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?
10. Financial Audit Org SAPTBG (10) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.126) Does the NSPs SAPTBG Program offer interim services that include, at a minimum the following:  
Counseling and education about HIV and tuberculosis (TB), about the risks of needle sharing, the risks of transmission to sexual partners and infants, and about steps that can be taken to ensure that HIV and TB transmission does not occur, referral for HIV or TB treatment services, if necessary and counseling pregnant women on the effects of alcohol and other drug use on the fetus and referrals for prenatal care?
11. Financial Audit Org SAPTBG (11) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.126) Does the NSPs SAPTBG Program have an established wait list that includes a unique patient identifier for each injecting drug abuser seeking treatment, including patients receiving interim services while awaiting



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admission?

12. Financial Audit Org SAPTBG (12) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.126) Does the NSPs SAPTBG Program have a mechanism that enables it to maintain contact with individuals awaiting admission and 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?

13. Financial Audit Org SAPTBG (13) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.126) Does the NSPs SAPTBG Program take clients awaiting treatment for intravenous substance abuse off the waiting list only when such persons cannot be located for admission into treatment or such persons refuse treatment?

14. Financial Audit Org SAPTBG (14) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.126) Does the NSPs SAPTBG Program carry out activities to encourage individuals in need of treatment services for intravenous drug abuse to undergo such treatment by using scientifically sound outreach models, if no such models are applicable to the local situation, another approach which can reasonably be expected to be an effective outreach method?

15. Financial Audit Org SAPTBG (15) (LSFHS Standard Contract Att. I 2.c.(3)/3.b.(1)(a)-(b) /45CFR96.126) Does the NSPs SAPTBG Program ensure that outreach efforts have procedures including the following:  
Selecting, training, and supervising outreach workers, contacting, communicating, and following up with high-risk substance abusers, their associates, and neighborhood residents within the constraints of Federal and State confidentiality requirements 45 CFR parts 160 & 162 Health Insurance Portability and Accountability Act (HIPPA) and 42 CFR part 2, promote awareness among injecting drug abusers about the relationship between injecting drug abuse and communicable diseases such as HIV, recommend steps that can be taken to ensure that HIV transmission does not occur and encourage entry into treatment?

16. Financial Audit Org SAPTBG (16) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR 96.127) Does the NSPs SAPTBG Program directly, or through arrangements with other public or nonprofit private entities, routinely make available the following TB services to each individual receiving treatment for substance abuse: Counseling the individual with respect to TB, testing to determine whether the individual has been infected with mycobacteria TB to determine the appropriate form of treatment for the individual and providing for and or referring the individuals infected by mycobacteria TB to the appropriate medical center for evaluation and treatment?

17. Financial Audit Org SAPTBG (17) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR 96.127) Does the NSPs SAPTBG Program deny clients admission to the program on the basis of lack of capacity and then refer such clients to other providers of TB services?

18. Financial Audit Org SAPTBG (18) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR 96.127) Does the NSPs SAPTBG Program have implemented infection control procedures that are consistent with those established by the Department to prevent the transmission of TB and address the screening of patients and identifying those individuals who are at high risk of becoming infected, meet all State reporting requirements while adhering to Federal and State confidentiality requirements 45 CFR parts 160 & 162 Health Insurance Portability and Accountability Act (HIPPA) and 42 CFR part 2 and offer case management activities to ensure that individuals receive such services?



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19. Financial Audit Org SAPTBG (19) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR 96.127) Does the NSPs SAPTBG Program report all individuals with active TB as required by State law and in accordance with Federal and State confidentiality requirements 45 CFR Parts 160 & 164, HIPPA, including 42 CFR Part 2?
20. Financial Audit Org SAPTBG (20) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR96.128) Does the NSPs SAPTBG program provide appropriate HIV/AIDS pre- and post-test counseling?
21. Financial Audit Org SAPTBG (21) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR96.128) Does the NSPs SAPTBG Program provide appropriate HIV/AIDS tests to diagnose the extent of the deficiency in the immune system and 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?
22. Financial Audit Org SAPTBG (22) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR96.128) Does the NSPs SAPTBG Program have therapeutic measures that prevent and treat the deterioration of the immune system and prevent and treat conditions arising from the disease?
23. Financial Audit Org SAPTBG (23) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR96.128) Does the NSPs SAPTBG Program establish 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?
24. Financial Audit Org SAPTBG (24) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR96.128) Does the NSPs SAPTBG Program ensure 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?
25. Financial Audit Org SAPTBG (25) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR96.131) Does the NSPs SAPTBG Program give preference in admission to pregnant women who seek or are referred for and would benefit from Block Grant-funded treatment services?
26. Financial Audit Org SAPTBG (26) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR96.131) Does the NSPs SAPTBG Program refer pregnant women to the State when the program has insufficient capacity to provide services to any such pregnant women who seeks the services of the SAPTBG program?
27. Financial Audit Org SAPTBG (27) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR96.131) Does the NSPs SAPTBG Program make interim services available within 48 hours to pregnant women who cannot be admitted because of lack of capacity?
28. Financial Audit Org SAPTBG (28) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR96.132) Does the NSPs SAPTBG Program make continuing education in substance abuse treatment and prevention services available to employees who provide the services?
29. Financial Audit Org SAPTBG (29) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR96.132) Does the NSPs SAPTBG Program have in effect a system to protect patient records from inappropriate disclosure, and the system complies with all applicable State and Federal laws and regulations, 45 CFR Parts 160 & 164, HIPPA, and 42 CFR part 2 and includes provisions for employee education on confidentiality requirements and the fact that disciplinary action may occur upon inappropriate disclosure?



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30. Financial Audit Org SAPTBG (30) (LSFHS Standard Contract Att. I 2.c.(3) /45CFR96.135) Does the NSPs SAPTBG Program expend SAPT Block Grant funds to provide inpatient hospital substance abuse services?

31. Financial Audit Org SAPTBG (31) (LSFHS Standard Contract Att. I 2.c.(3) /45CFR96.135) Does the NSPs SAPTBG Program expend SAPT Block Grant funds to make payments to intended recipients of health services?

32. Financial Audit Org SAPTBG (32) (LSFHS Standard Contract Att. I 2.c.(3) /45CFR96.135) Does the NSPs SAPTBG Program 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?

33. Financial Audit Org SAPTBG (33) (LSFHS Standard Contract Att. I 2.c.(3) /45CFR96.135) Does the NSPs SAPTBG Program 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?

34. Financial Audit Org SAPTBG (34) (LSFHS Standard Contract Att. I 2.c.(3) /45CFR96.135) Does the NSPs SAPTBG Program expend SAPT Block Grant funds to provide financial assistance to any organization other than a public or nonprofit private organization?

35. Financial Audit Org SAPTBG (35) (LSFHS Standard Contract Att. I 2.c.(3) /45CFR96.135) Does the NSPs SAPTBG Program expend SAPT Block Grant funds to provide individuals with hypodermic needles or syringes?

36. Financial Audit Org SAPTBG (36) (LSFHS Standard Contract Att. I 2.c.(3) /45CFR96.135) Does the NSPs SAPTBG Program expend SAPT Block Grant funds to provide treatment services in penal or correctional institutions of the state?

37. Financial Audit Org SAPTBG (37) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR96.137) Does the NSPs SAPTBG Program use SAPT Block Grant funds as the "payment of last resort," for special services for pregnant women and women with dependent children, TB services, and HIV services and therefore, makes every reasonable effort to 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 and secure from patients or clients payments for services in accordance with their ability to pay?

38. Financial Audit Org SAPTBG (38) (LSFHS Standard Contract Att. I 2.c.(3)/45CFR96.31) Does the NSPs SAPTBG Program use SAPT Block Grant funds to pay salaries in excess of Level I of the Federal Executive Pay Scale?

39. Financial Audit Org SAPTBG (39) (42CFR54/ 42CFR54a/45CFR96/45CFR260/45CFR1050) Does the NSPs SAPTBG Program use SAPT Block Grant funds for activities involving worship, religious instruction, or proselytization?

40. Financial Audit Org SAPTBG (40) (42CFR54/ 42CFR54a/45CFR96/45CFR260/45CFR1050) Does the NSPs SAPTBG Program discriminate against current or prospective program participants based on religion, religious belief, refusal to hold a religious belief or refusal to actively participate in a religious practice?



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41. Financial Audit Org SAPTBG (41) (42CFR54/ 42CFR54a/45CFR96/45CFR260/45CFR1050) Does the NSPs SAPTBG Program refer otherwise eligible clients who object to the religious character of SAPT Block Grant-funded services to alternative providers within a reasonable period of time of the objection?
42. Financial Audit Org SAPTBG (42) (42CFR54/ 42CFR54a/45CFR96/45CFR260/45CFR1050) Does the NSPs SAPTBG Program use generally accepted auditing and accounting principles to account for SAPT Block Grant funds?
43. Financial Audit Org SAPTBG (43) (42CFR54/ 42CFR54a/45CFR96/45CFR260/45CFR1050) Does the NSPs SAPTBG Program segregate Federal funds from non-Federal funds?
44. Financial Audit Org SAPTBG (44) (42CFR54/ 42CFR54a/45CFR96/45CFR260/45CFR1050) Does the NSPs SAPTBG Program subject Federal funds to an audit by the government?
45. Financial Audit Org SAPTBG (45) (LSFHS Standard Contract Template 3) Describe how your NSP integrates mental health and primary health care, including services for individuals with co-occurring mental and substance use disorders, in primary care settings or arrangements to provide primary and specialty care services in community -based mental and substance use disorders settings.
46. Financial Audit Org SAPTBG (46) (LSFHS Standard Contract Template 3) Describe how your NSP provides services and supports towards integrated systems of care for individuals and families with co-occurring mental and substance use disorders, including management, funding, payment strategies that foster co-occurring capability.
47. Financial Audit Org SAPTBG (47) (LSFHS Standard Contract Template 3) Do your behavioral health providers screen and refer for the following (check all that apply):  
Prevention and wellness education  
Heart disease  
Hypertension  
High cholesterol  
Diabetes  
Recovery supports
48. Financial Audit Org SAPTBG (48) (LSFHS Standard Contract Template 3) Is your NSP involved in the development of alternative payment methodologies, including risk-based contractual relationships that advance coordination of care?
49. Financial Audit Org SAPTBG (49) ((LSFHS Standard Contract Exhibit K)) Has the NSP conducted a written evaluation of procedures and activities undertaken in this fiscal year to comply with block grant requirements?