

ARKANSAS REGISTER

Transmittal Sheet



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Secretary of State
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Name of Agency Arkansas Department of Health

Department Alcohol and Drug Abuse Prevention

Contact Person Virginia Harper

Statutory Authority for Promulgating Rules A.C.A. 20-64-601 et. seq.

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<u>July 1, 2000</u>	Adopted by State Agency	<u>5/18/00</u>

CERTIFICATION OF AUTHORIZED OFFICER

I Hereby Certify That The Attached Rules Were Adopted
In Compliance with Act 434 of 1967 As Amended

Ray L. Stephens
Signature

501-280-4505
Phone Number

Director
Title

June 13, 2000
Date

FILED
ARK. REGISTER DIV.
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BY SHARON PRIEST
SECRETARY OF STATE
STATE OF ARKANSAS

DEPARTMENT Arkansas Department of Health
 DIVISION Bureau of Alcohol and Drug Abuse Prevention
 PERSON COMPLETING THIS STATEMENT Virginia Harper
 TELEPHONE NO. 501-280-4502 FAX NO. 501-280-4532

FINANCIAL IMPACT STATEMENT

To comply with Act 884 of 1995, please complete the following Financial Impact Statement and file with the questionnaire and proposed rules.

SHORT TITLE OF THIS RULE Bureau of Alcohol and Drug Abuse Prevention – Rules of Practice and Procedure

1. Does this proposed, amended, or repealed rule or regulation have a financial impact?
 Yes _____ No x _____
2. If you believe that the development of a financial impact statement is so speculative as to be cost prohibited, please explain.
3. If the purpose of this rule or regulation is to implement a federal rule or regulation, please give the incremental cost for implementing the regulation.

2000-01 Fiscal Year

General Revenue _____
 Federal Funds _____
 Cash Funds _____
 Specific Revenue _____
 Other _____
 Total None

2001-02 Fiscal Year

General Revenue _____
 Federal Funds _____
 Cash Funds _____
 Specific Revenue _____
 Other _____
 Total None

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4. What is the total estimated cost by fiscal year to any party subject to the proposed, amended, or repealed rule or regulation?

2000-01 Fiscal Year

None

2001-02 Fiscal Year

None

5. What is the total estimated cost by fiscal year to the agency to implement this regulation?

2000-01 Fiscal Year

None

2001-02 Fiscal Year

None

July 28, 1995



ARKANSAS DEPARTMENT OF HEALTH

**BUREAU OF ALCOHOL AND
DRUG ABUSE PREVENTION**

RULES OF PRACTICE AND PROCEDURE

Revised 7/1/2000

FILED
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BY _____

**ARKANSAS DEPARTMENT OF HEALTH
ALCOHOL AND DRUG ABUSE PREVENTION**

RULES OF PRACTICE AND PROCEDURE

CHANGES

The Arkansas Department of Health, Bureau of Alcohol and Drug Abuse Prevention's Rules of Practice and Procedure, effective July 1, 2000, replaces and supercedes the Bureau of Alcohol and Drug Abuse Prevention's Policies and Procedure.

The Bureau updates the Rules of Practice and Procedure on an annual basis to provide clarification and to reflect changes in laws and regulations.

**Revisions to pages are marked with a vertical line in the left margin.
Changes are made to pages:**

1, 2, 3, 4, 5, 6, 7, 8, 9, 11, 12, 13, 14, 15, 17, 18, 19, 20, 23, 24, 25, 27, 28, 32, 34, 35, 41, 42, 43, 44, 45, 47, 48, 50, 51, 52, 53, 55, 56, 58, 59.

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INTRODUCTION

The Arkansas Department of Health, Bureau of Alcohol and Drug Abuse Prevention's Rules of Practice and Procedure replaces and supercedes any and all copies of the "Bureau of Alcohol and Drug Abuse Prevention's Policies and Procedures.

The Arkansas Department of Health, Bureau of Alcohol and Drug Abuse Prevention (ADH/BADAP or BADAP), is the single state agency responsible for developing and promulgating standards, rules and regulations for alcohol and other drug abuse prevention and treatment functions within the State, and operation of a comprehensive management evaluation and community research process for the allocation of resources. It is the primary point of contact in the state for the award of federal funds to be used in alcohol and other drug abuse prevention and treatment programs in the state.

It is determined that, in order to combat the abuse and misuse of alcohol, tobacco and other potentially harmful drugs, a comprehensive prevention and treatment strategy must be developed in Arkansas. This strategy shall include the development and administration of a wide range of activities and campaigns deemed effective and tailored to the needs of Arkansas citizens.

As a response to the rapid increase of youth violence, the Arkansas General Assembly in 1995, created the Common Ground Youth Violence Prevention Program. The administration of the program is located in the ADH/BADAP

BADAP PHILOSOPHY

The philosophies of BADAP recognize that:

1. Even though there are generally accepted solutions to the problems of alcohol, tobacco, other drug abuse, youth violence and youth crime, local communities' problems and needs must be considered when determining successful prevention approaches.
2. Effective alcohol, tobacco, other drug abuse, youth violence and youth crime prevention and treatment activities must have local citizen input, community support, and community involvement.
3. An effective alcohol, tobacco and other drug (ATOD) plan must provide opportunities for persons to become functional and productive citizens, either through prevention, intervention or treatment activities. All components are important in effectively addressing ATOD problems.
4. Effective prevention, intervention and treatment programs cannot rely on a single source of support but must utilize local resources such as existing sources of supportive services, community programs, neighborhood organizations and social services.
5. In order to assist local communities in the development of alcohol, tobacco, other drug abuse, youth violence and youth crime prevention activities, BADAP must first assist the community by generating community awareness of alcohol, tobacco and other drug abuse problems. This includes an understanding of the nature and extent of the alcohol, tobacco and other drug abuse problem, the deeper issues underlying the problem, and the need for efforts to deal with the problem.
6. Alcohol, tobacco, other drug abuse, youth violence and youth crime may reflect or contribute to underlying individual and/or community problems; the most successful measures are those that deal with helping a person in the development of his inner resources (feelings, attitudes, values clarification, communication skills, etc.) so that he can deal more effectively with his role in life.
7. Alcohol, tobacco, other drug abuse, youth violence and youth crime are problems found in rural areas as well as metropolitan areas. Programs should be available to rural and small communities.
8. Information on alcohol and other drugs, youth violence and youth crime should be presented in a clear, unbiased and factual method. BADAP believes "scare tactics" are an inappropriate mechanism for conveying information to the general public.
9. ATOD services are based on the knowledge that alcohol and other drug abuse is a multifaceted, complex problem, and that alcoholism and other drug addiction is a primary, progressive but treatable disease.

10. BADAP supports the development of alcohol and other drug abuse education, conflict resolution and crime prevention in schools. It is the philosophy of BADAP that effective education is dependent upon quality teacher training.

SECTION I

BADAP PROGRAM POLICY

1. Any activity or program funded by BADAP must be consistent with the goals established by BADAP; however, funding requirements must be flexible to allow a responsiveness to individual community needs.
2. State level responsibilities to alcohol, tobacco, other drug abuse and youth violence prevention and treatment activities in Arkansas shall be in management, coordination and technical assistance areas.
3. State level responsibilities to all funded community-based treatment and prevention programs in management, coordination and technical assistance areas shall include financial monitoring, evaluation, training, statewide data retrieval and analysis, licensure and technical assistance.
4. BADAP shall develop a Request for Proposal (RFP), Request for Application (RFA) and a Continuation Application Package-to be used in the awarding of funds.
5. BADAP shall assure that all availability of funding announcements, press releases, RFPs, etc. will include a statement indicating the percentage of federal funds involved in the program.
6. All procurement transactions shall be conducted in a manner to provide, to the maximum extent practicable, open and free competition.
7. An applicant may be afforded an opportunity to appear before the Treatment and Prevention Committee of the Alcohol and Drug Abuse Coordinating Council or the Common Ground Program Committee, whichever is applicable, in matters of the award of funds, review of an application, or adjustment to an existing contract or grant.
8. BADAP shall not enforce or develop a policy or guideline for the awarding of contracts or grants, or to continue to disburse funds, which it knowingly finds to be in conflict with any state or federal rule or regulation.
9. BADAP shall not recommend for funding any application that does not comply with BADAP Rules of Practice and Procedure.
10. BADAP shall present the Rules of Practice and Procedure affecting all contracts and grants to the Arkansas Alcohol and Drug Abuse Coordinating Council for review and approval prior to its implementation. The Rules of Practice and Procedure will be reviewed and updated at least annually.
11. BADAP shall present applications/proposals for service delivery which are recommended for award-to the Arkansas Alcohol and Drug Abuse Coordinating Council for review and

- Use strategies and approaches proven effective on substance abuse and/or violence indicators/measures.
 - Assure adequate measures to recruit and retain participants;
 - Design of project impacts multiple life domains and provides ample dosage, duration, and intensity to create change;
 - Establish action plans necessary to complete outcome objectives;
 - Have adequate evaluation methodology which includes both process and outcome evaluation.
2. BADAP shall encourage all primary prevention programs to become self-sustaining after initial funding.
 3. Prevention programs shall emphasize zero tolerance of youth violence and youth-related crime, illicit drug use by all persons and the use of alcohol and tobacco by youth.

SECTION III **POLICIES AFFECTING TREATMENT**

Mission Statement--Office of Program Compliance and Outcome Monitoring. To assure that quality treatment services are provided to those persons receiving alcohol, tobacco and other drug treatment in the State of Arkansas.

1. BADAP shall develop a plan for each area of the State which shall include the present funding, utilization and need.
2. BADAP shall determine a plan for allocations of funding, (e.g., Federal mandates, special projects and a statewide funding formula, etc.).
3. BADAP will purchase a continuum of alcohol and other drug abuse services within a reasonable rate.
4. BADAP supports the concept that non-medical as well as medical treatment models are viable and effective approaches in providing quality care.
5. Successful treatment and rehabilitation must utilize the total range of services that the individual can appropriately and productively use in the recovery process.
6. While client work may be an important part of the recovery process, the program should develop policies which safeguard the client from inappropriate work, ensure the voluntary nature of work assignments, and meet Department of Labor guidelines.
7. BADAP shall not initiate, encourage, or approve the development nor funding of programs seeking to provide treatment by modifying behavior through the use of psychosurgery, aversion therapy, or chemotherapy as a primary treatment method.

Workplace Act of 1988 and the Governor's Executive Order, EO-89-2.

18. The BADAP has established the following policies affecting special emphasis program development:
 - A. BADAP shall place a high priority on programming for pregnant women and women with dependent children.
 - B. BADAP may plan and develop special emphasis programs for special population groups that include, but are not limited to, the elderly, youth, women and other minorities.
 - C. Any action strategy designed by BADAP will be to expand and coordinate with existing programs to assure that needs of special groups are met.

SECTION IV **POLICIES AFFECTING MONITORING**

1. BADAP will review all contracts and grants for utilization and overall effectiveness and performance. The review will include but not be limited to the following:
 - A. A site visit at least annually.
 - B. Review of ADMIS, audits, program files, incident and expenditure reports, etc.
 - C. A desk audit review of monthly billing may be performed on a random basis. Contract/grant providers may be required to submit documentation to support billing to facilitate the review.
 - D. Licensure reviews will be performed in accordance with the licensure standards. The frequency of licensure reviews will occur as dictated by the program's licensure status.

SECTION V **POLICIES AFFECTING PLANNING AND COORDINATION**

1. BADAP shall develop an annual state plan for the delivery of alcohol and other drug abuse services.
2. BADAP shall do planning on a regional basis or as special needs dictate.
3. BADAP shall involve special interest groups and professions in the planning process.
4. BADAP shall develop formal written coordination agreements with other Bureaus of the Department of Health as appropriate. Agreements may be developed with state governmental units that have some involvement in the areas of alcohol and other drug abuse.

1.00 PURPOSE OF RULES OF PRACTICE AND PROCEDURE

- 1.01 Scope
- 1.02 Where to obtain information and assistance
- 1.03 Availability of Funds
- 1.04 Manual content and organization

1.00 PURPOSE OF RULES OF PRACTICE AND PROCEDURE

This manual provides information on the conduct of programs and activities related to the education, treatment and prevention of alcohol and other drug abuse in the State of Arkansas, and which have funds provided by the Department of Health, Bureau of Alcohol and Drug Abuse Prevention (BADAP). It provides guidance to prospective applicants about the steps in making application for such funds, and guidance to contractors/grantees, hereinafter referred to as "Providers," on their responsibility for accounting for such funds, reporting on progress, and observing applicable laws and regulations.

1.01 SCOPE

The provisions of this manual are applicable to all BADAP operations, including contract and grant applications administered by BADAP.

1.02 WHERE TO OBTAIN INFORMATION AND ASSISTANCE

Persons needing help in using this manual should contact BADAP. The functional Organizational Chart shown on the following page may help in that endeavor. A new applicant should contact the Director, Office of Program Compliance and Outcome Monitoring, the Director, Prevention Services, or that person's designee, for assistance.

1.03 AVAILABILITY OF FUNDS

Although it is the intent of BADAP to address as many of the appropriate approaches to education, prevention and treatment as may be brought to it, applicants and providers should be aware that there is no certainty that funds will be available for every program and every proposed project however worthwhile. Projects selected for funding may be limited geographically and numerically so that the awards will have a measurable impact on the State. Furthermore, it is also possible that funds may not be available for the continuation of every contract/grant, even if approved for the first year.

1.04 MANUAL CONTENT AND ORGANIZATION

The following sections of this manual will cover:

- Contract/grant specifications and the application process
- Financial provisions
- General requirements
- Specific Requirements
- Definitions

2.00 CONTRACT/GRANT SPECIFICATIONS AND THE APPLICATION PROCESS

2.01 PROJECTS CONSIDERED ELIGIBLE FOR FUNDING BY BADAP: Federal and state laws and regulations designate certain categories that BADAP may address. An appropriate Request for Proposal (RFP), Request for Application (RFA), or Continuation Application Package will be developed for each category. The RFP, RFA, or Continuation Application Package will include requirements and instructions for the applicant. The categories are as follows:

- 2.011 Treatment. Any program that delivers alcohol and/or other drug abuse treatment services to a defined client population.

The intent of the program of treatment services is to insure the restoration of a client to the fullest physical, mental, social, vocational, and economic usefulness of which he or she is capable. Rehabilitation may include, but is not limited to, residential and outpatient counseling, medical treatment, psychological therapy, occupational training, job counseling, social and domestic rehabilitation and education.

- 2.012 Primary Prevention. Primary prevention programs are those directed at individuals and families who have not been determined to require treatment for substance abuse or arrested for crimes related to violence. Such programs are aimed at educating and counseling individuals on violent behavior or substance abuse and providing activities to reduce the risk of violent behavior or substance abuse. Primary prevention includes a broad array of prevention activities and services including strategies to discourage the use of violence, alcoholic beverages and tobacco products by minors. These activities and services must be provided in a variety of settings for both the general population, as well as targeted sub groups who are at high risk for violence, committing a crime or substance abuse. A variety of strategies, as appropriate for each target group, shall be used. These include, but are not limited to the following: (1) Information Dissemination; (2) Education; (3) Alternative Activities; (4) Problem Identification and Referral; (5) Community Based Processes; and (6) Environmental Changes. See Definitions, Section 6.15.

- 2.013 Alcohol Safety Education Program (ASEP): A program for persons who plead guilty, nolo contendere or found guilty of Driving While Intoxicated (DWI) or Driving Under the Influence (DUI). The ASEP program provides an investigation, assessment, referral to treatment, or at least ten (10) hours of education. The preliminary investigation will consist of a Presentence Screening Report which will include the offender's driving record, an alcohol problem assessment, a victim impact statement (if applicable), and the blood-alcohol content (BAC) at the time of arrest. Based upon the investigation and assessment, the ASEP will make a recommendation to the court for the offender to complete an ASEP school or an alcohol/drug treatment program approved by the Arkansas Department of Health, Bureau of Alcohol and Drug Abuse Prevention. Completion of one of these programs is required to have the offender's drivers license reinstated.

- 2.014 Data, Research and Analysis. Approaches to and mechanisms for the collection of data on alcohol and other drug abuse in the state or local area; also the development of systems to evaluate the data for use in planning processes for Arkansas alcohol and other drug treatment and prevention services.

projects which include (1) the exchange of sterilized needles for hypodermic injection of any illegal drug, or (2) distribution of bleach.

SAPT Block Grant funds may not be used to (1) provide inpatient services; (2) make cash payments to intended recipients of health services; (3) purchase or improve land, construct or permanently improve (other than minor remodeling) any building or other facility, or purchase major medical equipment; (4) satisfy any requirement for the expenditure of non-Federal funds as a condition for the receipt of Federal funds; or (5) provide financial assistance to any entity other than a public or non-profit private entity, except for subcontractors who may be private for-profit organizations

2.07 APPLICATION SUBMISSION AND PROCEDURES

2.071 BADAP Guidelines. The application must comply with state and federal guidelines and must be consistent with established priorities of BADAP for the prevention and reduction of alcohol and other drug abuse, youth violence and/or crime.

2.072 Assurances and Certifications. The applicant must include assurances and certifications as required by BADAP regarding affirmative action (including persons with disabilities), civil rights, client rights, equal employment opportunities, compliance with the Fair Labor Standards Act, Americans with Disabilities Act (ADA) and other state and federal laws.

The applicant must include assurances and certifications regarding compliance with applicable policies initiated by the Department of Health. BADAP is responsible for notifying all applicants and recipients of funding of these policies.

A. Certification Regarding Lobbying. BADAP and its funded contract/grant providers shall complete the Certification Regarding Lobbying statement for contracts of \$100,000 or more. This certification assures that no federal funds have been paid or will be paid for the purposes of lobbying in connection with the awarding of any Federal contract, grant, loan, cooperative agreement, and the extension, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement.

B. Confidentiality Requirements. The treatment services applicant must certify familiarity and agreement to comply with the confidentiality requirements of 42 CFR, Part 2, which prohibit the unlawful disclosure of client records or any other client identifying information by alcohol or other drug abuse programs which are partially or totally funded by Federal funds, and/or licensed by BADAP.

C. Contract and Grant Disclosure and Certification Form. The applicant must complete the Contract and Grant Disclosure and Certification Form in compliance with the requirements of Executive Order 98-04 .

D. Certification Regarding Environmental Tobacco Smoke. The applicant must complete the requirements of Certification Regarding Environmental Tobacco Smoke.

- d. State Offices are closed due to inclement weather. In the event State Offices are closed on the date specified for receipt of the proposal, proposals may be submitted to the BADAP on the next workday.
2. The only acceptable evidence to establish:
 - a. The date of mailing of a later proposal or modification sent either by registered mail or certified mail is the U. S. Postal Service postmark on the wrapper or on the original receipt from the U.S. Postal Service. If neither postmark shows a legible date, the proposal or modification of proposal shall be deemed to have been mailed late. (The term "postmark" means a printed, stamped, or otherwise placed impression that is readily identifiable without further action as having been supplied and affixed on the date of mailing by employees of the U.S. Postal Service.)
 - b. The time of receipt at BADAP is the time-date stamp on the proposal or other documentary evidence of receipt maintained by BADAP.
3. Proposals may be withdrawn by written notice received at any time prior to award. An applicant or his authorized representative may withdraw proposals in person, provided his identity is made known and he signs a receipt for the proposal prior to award.
4. The normal revisions of proposals by applicants selected for discussion during the usual conduct of negotiations with such applicants will not be considered as late proposals or late modifications. The applicant will be notified by BADAP as to the need for revisions or corrections. Revisions or corrections may be required in response to reviews by BADAP and/or the Treatment and Prevention Committee of the Arkansas Alcohol and Drug Abuse Coordinating Council or the Common Ground Program Committee, whichever is applicable.
5. Proposals submitted in response to an RFP, RFA or Continuation Application Package are subject to the provisions of the Freedom of Information Act.
6. BADAP will evaluate program proposals in accordance with the criteria set forth in the RFP, RFA, or Continuation Application Package instructions.
7. If a Peer Review is utilized in the application review process, non-scored applications, which are not deemed worthy of further consideration for funding, are not forwarded to the Treatment and Prevention Committee of the Arkansas Alcohol and Drug Abuse Coordinating Council.
8. BADAP reserves the right to make an award without further discussion of the proposal received. Therefore, it is important that the proposal be submitted initially on the most favorable terms from both the programmatic and cost standpoints. After submission of proposals and closing thereof, no information will be released until after the award.

volunteers, funding and equipment donations from community groups (e.g., churches, civic organizations), participation by local units of government, participation by private industry or business. BADAP must be assured that services do not duplicate existing effective and efficient programs.

- 2.086 Coordination with Regional Prevention Resource Center. In addition, applicants for community prevention services should have a letter from Regional Prevention Resource Coordinator (RPRC) acknowledging awareness of the proposed services. Applicants for school-based efforts need the letter from the RPRC, and also need to provide a letter from the school district drug coordinator documenting that proposed services are appropriate to the districts Safe and Drug School Schools and Communities (SDFSC) plan.

2.09 CONTINUATION SUPPORT POLICY

Funding of a project does not imply approval for subsequent years.

2.10 AWARD PERIOD

Grant awards are usually made for a twelve-month period, normally coinciding with the state or federal fiscal year. Contracts or grants may be made for shorter periods after the start of the fiscal year. Professional services contracts cannot extend beyond the biennium.

2.11 GRANT APPROVAL PROCESS

1. The Notice of Grant Award is prepared by the Division of Financial and Data Management within forty-five (45) working days of approval by Arkansas-Alcohol and Drug Abuse Coordinating Council or Common Ground Program Committee, whichever is applicable. Additional time may be required due to resolution of all pending program and budget issues.

- 3.142.23 Rental Costs
 - 3.142.24 Subcontracted Services
 - 3.142.25 Subscriptions or Reference Materials
 - 3.142.26 Taxes
 - 3.142.27 Training, Meetings, Conferences
 - 3.142.28 Travel
 - 3.142.29 Utilities
- 3.15 Unallowable Costs
- 3.16 Unduplicated Salaries
- 3.17 Cash Depositories
- 3.18 Program Income
- 3.19 Reimbursement
 - 3.191 Billing
 - 3.192 Billing for Services
 - 3.193 Advance Payment
 - 3.194 Billing Due Dates - Reimbursement Requests
- 3.20 Unexpended Funds
- 3.21 Notification of Change
- 3.22 Termination of Contract/Grant

- B. Failure to adhere to the requirements in the agreement, standard conditions or special conditions.
- C. Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- D. Filing a false certification in the application, report(s) or other document(s).
- E. Late submittal of financial audit.
- F. An unsatisfactory services-to-billing audit or line item budget review.
- G. An unsatisfactory client records review.
- H. Failure to comply with standards necessary to meet licensure requirements.
- I. Failure to accept priority admission clients.
- J. Failure to participate in BADAP research and development or evaluation efforts.

Future applications from either the project director or the recipient institutions are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards as set out in the applicable Grant Award , RFP, RFA or Continuation Application Package.

3.015 For grants/contracts with multiple year commitment, future year funding is contingent upon progress achieved and the availability of funds.

3.02 AWARD INSTRUMENTS

BADAP uses two types of award instruments: Grant - an award of financial assistance to an eligible recipient to be expended in accordance with the approved application or proposal, including amendments and in accordance with the approved budget or service rates. Contract - a binding agreement between BADAP and the provider for the procurement of the services of an individual(s). Contracts, grants and inter-agency agreements are subject to the requirements of the STATE ACCOUNTING PROCEDURES MANUAL. The grant or contract may specify the area for provision of services.

3.03 PAYMENT METHOD

BADAP uses both reimbursement and advance payment. Reimbursement payment is made to all contractors and most grantees according to the specific terms of the agreement subsequent to the actual delivery of goods or services. (See Policies Regarding Federal Funding requirement Section VII, #4). Advance payment refers to instances where payment is made to grantees prior to the actual delivery of goods or services. The decision

Table 2

FEE TABLE

Federal Poverty Guidelines Qualifying Income Level (see Federal Poverty Guidelines)	Maximum Fee that may be charged to the client
Less than or equal to 20% above	0 % (No fee)
Greater than 20% but less than or equal to 40% above	Up to 30 % of maximum service cap
Greater than 40% but less than or equal to 50% above	Up to 40 % of maximum service cap
Greater than 50% but less than or equal to 60% above	Up to 50% of maximum service cap
Greater than 60% but less than or equal to 70%	Up to 60% of maximum service cap
Greater than 70% but less than or equal to 80%	Up to 70% of maximum service cap
Greater than 80% but less than or equal to 90%	Up to 90% of maximum service cap
Greater than 90% less than 100%	Up to maximum service cap

Client's income exceeding 100% of Federal Poverty Guidelines, shall not be eligible for BADAP funding.

3.06 RATE CHARACTERISTICS

All rates of payment or costs must be reasonable and necessary to ensure the provision of quality services. Under no circumstances shall the Department of Health be liable for payment in excess of the maximum contract/grant liability or for payment in excess of BADAP rates where applicable. BADAP does not enter into open-ended agreements with no limitations on the total liability to the State or Federal Government.

Payment to providers is made on a prospective basis. Prospective payment means that the payment for goods or services is final payment regardless of the actual cost to the provider.

3.07 BASIS OF RATE ESTABLISHMENT

Rates of payment for the procurement of goods or services are based on the following:

1. Prospective, BADAP rates: Rates are established solely by reference to the rate schedule approved by BADAP. The method used to determine the rates of payment may be based on an average or on a predetermined percentile of the actual costs of a base year or of estimated costs for the program period. The method may be based on a formula describing historical or estimated cost behavior in the comprehensive program environment. Alternately, the method of rate setting may be any other such method, which yields rates, which are reasonable and necessary to ensure the provision of quality services. The rates may from time to time be adjusted to reflect the effects of inflation by reference to the Consumer Price Index or to an appropriate industry price index.
2. Prospective, budget based: Rates are established on the basis of the provider's estimated costs. This method may be required in the absence of

service allocations if necessary to ensure the achievement of program goals and objectives or if mandated by federal regulation or law.

Providers are encouraged to continue to submit bills for services provided to BADAP-eligible clients even after all BADAP funding is exhausted. BADAP may include unpaid bills on file in awarding certain types of funds.

3.12 AUDIT

- 3.121 Independent Audit: An annual audit for the fiscal period of the provider contract/grant shall be conducted by a Certified Public Accountant and shall be prepared to the generally accepted governmental audit standards as determined by the American Institute of Certified Public Accountants, the Comptroller General of the United States, United States General Accounting Office (GAO), and the United States Office of Management and Budget (OMB).

All subrecipients, regardless of organizational structure, receiving \$25,000 or more in aggregate federal assistance for the contract/grant period will be audited in accordance with the provisions of the Office of Management and Budget (OMB) Circular A-128 and/or A-133.

The Arkansas Department of Health requires that all audit reports include a schedule summarizing receipts and expenditures pertaining to each contract or award. Audit reports must be submitted within ninety (90) days of the completion of the year-end of the subrecipient. In the case of a contract or grant which ends or is terminated prior to the end of the fiscal period a short-period audit is required. Two (2) copies of the audit report should be submitted to the following address: Arkansas Department of Health, Office of Financial Management, Slot 35, 4815 West Markham, Little Rock, Arkansas 72205. One copy should be sent to the Arkansas Department of Health, Bureau of Alcohol and Drug Abuse Prevention, Freeway Medical Center, Suite 907, 5800 West 10th Street, Little Rock, Arkansas 72204, Attention: Director, Division of Financial and Data Management.

The independent audits will be reviewed for compliance with program requirements. If the audit reveals that the program is not in compliance, BADAP will determine the steps necessary for the corrective action, notify the provider accordingly, and advise the provider of available administrative appeal procedures.

- 3.122 Audit/Review Performed By BADAP: There must be maintained within the state agency administering the program the authority and responsibility for overall supervision, control and oversight of program activities. Therefore, in the best interest of the providers and the State, circumstances may indicate a need for various other types of audit activities. Such audits may encompass a variety of procedures including, but not limited to, service to billing reviews, limited financial management audits, management reviews and special investigations.

BADAP audits include, but are not limited to, the review and examination of documents, records, reports, systems, internal controls and accounting and

- 3.134 Deviation from Budget. For contracts awarded as budget based, contract/grant funds cannot be spent in any category other than that specified in the contract/grant. BADAP recognizes, however, that situations may arise which will cause some deviation from the approved budget of a program. If such a situation arises, the provider must submit in writing to BADAP the amounts of funds that are to be transferred between budget categories, and must show the revision by line item amounts.

This must be done before liabilities are incurred. BADAP budget revision forms must be used to show the transfer of funds. Also, any changes in the approved equipment list included in the funding application must have a similar written request made before the change can be made. In no case are changes effective without the written approval of BADAP. Justification for the changes must accompany the budget revision. Approval will not be given retroactively.

- 3.135 Retention of Financial Records. Records of the provider, including books of original entry, source documents, supporting accounting transactions, the general ledger, subsidiary ledgers, personnel and payroll records, canceled checks, and related documents and records, to include electronic files, must be retained for a period of three years, with the following qualifications: (1) the records shall be retained beyond the three-year period if audit findings have not been resolved, (2) if the agency ceases to operate, all records concerning the BADAP funded program shall be available to BADAP, (3) the retention period starts from receipt of the final billing and/or expenditure report.

- 3.136 Third Party Reimbursement - Treatment. Treatment programs supported with funds from BADAP for the delivery of alcohol and other drug abuse services are expected to develop, to the extent possible, independence from BADAP support. Therefore, these projects will be encouraged and assisted in the development and use of alternate funding sources to supplement or replace BADAP support where possible. These funding sources include third-party payers, other available federal, state, local and private funds, and beneficiaries who are able to pay.

Where third-party payers, including government agencies, are authorized or under legal obligation to pay all or a portion of charges for health care services, all such sources must be billed for covered services and every effort must be made to obtain payment. The provider must have an operative procedure for identifying all persons served who are eligible for third party reimbursement.

Where a significant percentage of the cost of care and services provided by the project is to be reimbursed by a third party, there should be a written agreement with such third party.

- 3.137 Third Party Reimbursement - Prevention. BADAP encourages Prevention programs to access additional funding sources; however, full time equivalent prevention staff paid with BADAP contract funds shall not charge for those contracted services. If an honorarium is received, see Section 3.18, Program Income.

approval of BADAP before implementation. All publicity and advertising materials, releases, etc., must identify the program as an affiliate of the Bureau of Alcohol and Drug Abuse Prevention. In addition, programs funded with Federal funds must identify the source of the funds. Treatment programs shall conduct an active publicity campaign for alcohol and other drug abuse treatment utilizing all available public service announcements in the local news media.

- 3.142.03 Bonding and Insurance: The costs of bonding and insurance are allowable if in accordance with sound business practice and the rates are competitive.
- 3.142.04 Building Space and Related Facilities: Costs associated with lease or rental of building space and related facilities used for the benefit of the program are allowable. Funds may not be utilized for the purchase, construction or permanent improvement (other than minor remodeling) of any building. See 3.15, item 4, Capital Payments.
- 3.142.05 Communications: Allowable costs include (1) Telephone costs for local and long-distance calls, service charges, installation costs, and similar expenses. (2) Postage used in the office for communication related to the program.
- 3.142.06 Depreciation and Use Allowance: A depreciation schedule must be provided and supported by adequate records and inventory.
- 3.142.07 Equipment Expenditures: Expenditures for equipment costing less than \$500 or with a useful life of less than one year are allowable. If the total costs of all components of a system (such as for computers or stereos) are \$500 or more, it must be considered a capital expense (see 3.15).

Capital equipment is personal tangible property with a total acquisition price of \$500.00 or more and useful life of at least one year. Only equipment listed in the contract/grant approved budget may be purchased. This must be done at cost equal to or less than the price listed in the original contract/grant. Unexpended funds at the end of a contract/grant period may not be used to purchase or lease items of capital expense such as office furniture and equipment to include typewriters, calculators, adding machines, copy equipment, mimeograph duplication machines, postage meters, VCR, TV's, camcorders, stereo equipment, or films, without special approval from the Director, Division of Financial and Data Management. All requests for reimbursement for capital expenditures must be accompanied by an BADAP inventory form. All equipment purchased with federal and state funds within the contract/grant period must be inventoried and returned to BADAP within 30 days after the contract/grant ends unless special permission has been granted to retain the equipment.

equipment must be returned to BADAP if for any reason the program is terminated or ceases to function as an alcohol or other drug related treatment or prevention program or operate according to the specified guidelines of the grant or contract

BADAP may determine to allow equipment to remain with the provider after the contract or grant period ends. If deemed appropriate, this permission is granted for up to a twelve (12) month period to be reevaluated each January. It is incumbent upon the provider to annually assure in writing that (1) the project will continue during the upcoming year, (2) the project will provide the same or like services to the population designated in the original grant application, and (3) the property will be properly maintained. This assurance is due on January 1 of each calendar year. Failure to submit this by January 30 will result in the return of the property to BADAP. Submissions of such a request, however, does not automatically assure the equipment will remain with the provider as BADAP may have needs for use of the equipment elsewhere.

No Department property may be sold, transferred, or used in another program without the consent of the Department or Bureau. All Department/ Bureau property will be clearly marked, inventoried and properly maintained. All compensation for loss or damage to Department property will be paid to the Department unless the Department directs otherwise. It is the responsibility of the provider to maintain adequate insurance on all property

- C. Inventory Requirements. Under a line item cost reimbursement contract/grant, all equipment purchased with contract/grant funds remain the property of BADAP and must be kept on both the provider's inventory list and the BADAP inventory list. Each item shall be affixed with an identification tag provided by BADAP.

The program should provide BADAP with an inventory list of all equipment costing over \$500.00 purchased with contract/grant funds. The list should include a description of the item and its serial number. This equipment is the property of BADAP and all equipment shall be returned to BADAP within 48 hours of the program's closing,

3.142.08 Equipment Rental: The cost of rental equipment is allowable. Lease-purchase of equipment must be recovered through depreciation.

3.142.09 Field Trips: The cost of educational and recreational outings for clients, including the cost of admission, transportation (if not provided for under another line item), snacks, beverages,

Supplies (classroom materials, etc.). (See Section 5.021 and 5.022 regarding audio-visuals, books, tapes, etc.).

- 3.142.18 Meetings and Conferences: See Training
- 3.142.19 Memberships: The cost of membership in trade, technical, and professional organizations is allowable if: (1) related to the cost of the program; (2) is for provider membership; (3) cost is reasonable; and (4) not for membership in an organization which devotes a substantial part of its activities to influencing legislation.
- 3.142.20. Postage: See Communications
- 3.142.21 Printing and Reproduction: Costs for printing and reproduction services necessary for the program, including but not limited to forms, reports and manuals are allowable.
- 3.142.22 Public Information Costs: Costs for pamphlets, news releases, and other forms of information services are allowable when the primary purpose of such activities is to inform the public about the availability of services. (Prior approval from BADAP is required. See Section 3.142.02 for additional information.)
- 3.142.23 Rental Costs: Rental costs are allowable to the extent they are reasonable and necessary and the provider does not gain a material equity in the property.
- 3.142.24 Subcontracted Services: May be allowable: (1) Based on services rendered in relation to the contract; (2) the necessity of contracting for the services; (3) the past pattern of such costs; (4) whether contracting is more economical than service performed by employee; (5) the qualifications of the individual or firm and fees charged; and (6) written contractual agreement for services. (Also see Section 4.04.)
- 3.142.25 Subscriptions or Reference Materials: The cost of books and subscriptions to trade, business or professional periodicals is allowable when related to and subscribed for the program.
- 3.142.26 Taxes: In general, tax payments that the program is legally required to pay are allowable. (See Section 3.15 - 9).
- 3.142.27 Training, Meetings, Conferences: In-service training is allowable where the primary purpose is the dissemination of technical information of direct benefit to the program. Costs may include meals, transportation, lodging, registration fees, materials, etc. The cost may not exceed allowable limits for State employees on State business.
- 3.142.28 Travel: Applies to line item cost reimbursement contracts/grants only. Reimbursement for travel expenses will be made only if specified in the contract/grant.

1. Require the provider to use a separate bank account for the deposit of grant funds or reimbursement funds.
2. Establish any eligibility requirement for banks or other financial institutions in which providers deposit funds.

3.18 PROGRAM INCOME

Program income means gross income earned from activities part or all of the cost of which is borne as a direct cost by a contract or grant. It includes but is not limited to such income in the form of fees for services performed during the award period, proceeds from sale of tangible or real property, usage or rental fees, and patent or copyright royalties. If income meets this definition, it shall be considered program income regardless of the method used to calculate the amount paid to the provider - whether, for example, by a cost reimbursement method or fixed price arrangement.

Program income may be retained by the provider only if allowed by the federal funding source and specifically authorized in writing by BADAP. If retention of program income is approved it must be deducted from the funded amount or, if approved by BADAP, used for costs which are in addition to allowable costs of the program but support the objectives of the funded program.

3.19 REIMBURSEMENT

No payment can be made until a completed W-9 is on file with the Arkansas Department of Health. The W-9 must reflect the legal name of the entity as shown on the Articles of Incorporation and 501(c) 3. Any change in the name requires the completion and submission of a revised W-9. The address shown on the W-9 will be the address used for mailing the reimbursement. Changes in address for reimbursement must be sent in writing (no fax or e-mail) to the attention of the Director, Division of Financial and Data Management.

- 3.191 Billing All reimbursements must be submitted on the appropriate forms provided by BADAP. These must be for the actual units of service delivered or expenses incurred, if budget based, for the month not to exceed the limits of the contract/grant nor BADAP ceiling rates for the fixed price contracts/grants.
- 3.192 Billing for Services. All reimbursement requests for any treatment service must be reconciled with the Client Logs (BADAP-6) for the particular report month. When the amount requested for these services cannot be reconciled with what appears on BADAP-6 and correction or clarification cannot be made by telephone or Wang Office, the request will be adjusted or returned immediately to the provider for correction and resubmission. If the reimbursement request does correspond with BADAP-6, the Division of Financial and Data Management will forward for payment.
- 3.193 Advance Payment - Only those funds with specially designated programs (such as Common Ground Youth Violence Prevention) may receive payment in advance of services being rendered. Reimbursement requests for advance payment will be initiated by BADAP within time frames specified in individual grants or contracts. Failure to submit required fiscal or programmatic reports or other information as requested or required

4.00 GENERAL REQUIREMENTS

- 4.01 Treatment Requirements
 - 4.011 Basic Requirements
 - 4.012 Client Records
 - 4.013 Retention of Client Records
 - 4.014 Confidentiality
 - 4.015 Client Input
 - 4.016 Client Grievance Procedures
 - 4.017 Treatment Service Capacity
- 4.02 On File Requirements
 - 4.021 Items Required On-File With BADAP
- 4.03 Participation in Conference
- 4.04 Subcontracted Services
 - 4.041 Restriction of Services
 - 4.042 Other Agency Subcontractor
 - 4.043 Subcontract Requirements
- 4.05 Volunteers

request for admission. Interim services (see Definitions Section, 6.07) will be provided for IDU and pregnant clients until the time of admission.

4.02 ON FILE REQUIREMENTS

4.021 Items Required On File with BADAP. As applicable to particular programs, the following items are required to be provided to BADAP for file, prior to approval for funding.

1. A current list of Board of Directors, including names, addresses, telephone numbers, date of appointment, length of term, and identification of officers. The Board should represent the gender, ethnic and economic-level population distribution of the entire geographic area to be served.
2. A copy of the fidelity bond for the bookkeeper, accountant, fiscal officer and other appropriate staff. Note that this must be provided prior to the effective date of the contract/grant.
3. A copy of the Articles of Incorporation
4. A narrative history of the program and current organizational chart.
5. A job descriptions for each position for program personnel.
7. Prevention Evaluation Methodology.
8. Current subcontractors and cooperative agreements.
9. Assurances/Certifications/Questionnaires of Section 504 and Americans with Disabilities Act compliance.
10. W-9.
11. Annual assessment of program progress.

4.03 PARTICIPATION IN CONFERENCE

The provider must participate in local or statewide sponsored coordinating conferences, training seminars, or training workshops as so directed by BADAP.

4.04 SUBCONTRACTED SERVICES

- 4.041 Restriction of Services. Unless subcontracted services are specifically identified in the BADAP approved program contract/grant budget, they may not be purchased with contract/grant funds.
- 4.042 Other Agency Subcontractor. If a subcontractor is employed full-time by another agency or group, a letter of permission must be obtained from the regular employer and approved by BADAP prior to utilization in the funded program.

5.00 SPECIFIC REQUIREMENTS

- 5.01 Alcohol/Drug Treatment Contract/Grant Requirements
 - 5.011 Report Requirements
 - 5.0111 ADMIS Compliance
 - 5.0112 ADMIS Billing Reports
 - 5.0113 ADMIS Client Records
 - 5.0114 Other Reports
- 5.02 Primary Prevention, Education, Problem Identification and Referral Contract/Grant Requirements
 - 5.021 Audio-Visual Materials, Books, Tapes, Films and Other Literature
 - 5.022 Compliance with Funding Criteria
 - 5.023 ADMIS Compliance
 - 5.024 Report Requirements
 - 5.0241 Billing Reports
 - 5.0242 Program Reports
 - 5.0243 Other Reports

- 5.022 Compliance with Funding Criteria. All prospective applicants for the initiation and/or the continuation of a prevention, problem identification and referral or education program must comply with current, applicable state and federal regulations. Specific compliance requirements for each type of program are specified in the RFA, RFA, Continuation Application Package, and/or individual contract/grant and applicable sections of this manual.
- 5.023 ADMIS Compliance. Any program receiving funds for prevention, problem identification and referral or education is required to participate in the Alcohol/Drug Management Information System (ADMIS). A signed Statement of Agreement shall be obtained from each applicant prior to approval of funding. Prevention ADMIS reporting will be in the form of monthly reports, quarterly reports, a final report, or any additional or special reports required by BADAP. Failure to report on ADMIS may result in suspension of the current contract/grant.
- 5.024 Report Requirements
- 5.0241 Billing Reports. All prevention, problem identification and referral and education programs are required to submit their requests for reimbursement or reports of expenditures on a regular basis. The actual time periods are specified in the individual contract or grant.
- 5.242 Program Reports. All prevention, problem identification and referral and education programs are required to submit reports of progress, including level of activity on a regular basis as identified in the individual contract or grant.
- 5.243 Other Reports. The provider shall submit separate additional reports as requested by BADAP.

6.00 APPEAL PROCESS FOR ADVERSE ACTION

An appeal process is available to provide a mechanism by which a provider or grant applicant may appeal adverse action by the Bureau of Alcohol and Drug Abuse Prevention relating to a program/contract/grant. Complaints which solely assert an objection to federal or state laws or regulations are not subject to appeal under this procedure.

- 6.01 Alcohol and Drug Abuse Prevention and Treatment Programs. When a provider or grant applicant wishes to appeal an action by BADAP, he/she may do so by submitting a written request to the Chairperson, Alcohol and Drug Abuse Coordinating Council. The Chairperson must receive the request no later than thirty days from the date of receipt of notification of the adverse action by the provider or grant applicant.

The notice of appeal must contain:

1. A statement of the specified action which is being appealed.
2. The reason the provider/grant applicant believes the action was incorrect.
3. The specific relief requested.

When a request for appeal is received, the Chairperson of the Alcohol and Drug Abuse Coordinating Council will initiate the process by establishing a date for hearing the complaint.

The Council may act on the matter, or it may refer the matter to the Prevention and Treatment Committee for its recommendation. The director of BADAP shall abstain from discussion and voting, either in committee or in a meeting of the Council or both, with respect to any such action, but the director may respond to any factual question posed by another member of the Council. If the matter is referred to the Prevention and Treatment Committee, the Committee shall consider the matter and shall forward its recommendation to the Council. Upon receipt of the recommendation, the Council shall act on the recommendation.

The decision of the Alcohol and Drug Abuse Coordinating Council is final. Those decisions that meet the definition of "adjudication" under the Arkansas Administrative Procedure Act, Ark. Code Ann. § 25-15-201, et. seq, may be appealed in accordance with the Arkansas Administrative Procedure Act.

- 6.02 Common Ground Youth Violence Prevention Programs. When a provider or grant applicant wishes to appeal an action by BADAP, he/she may do so by submitting a written request to the Chairperson, Common Ground Program Committee. The Chairperson must receive the request no later than thirty days from the date of receipt of notification of the adverse action by the provider or grant applicant.

The notice of appeal must contain:

1. A statement of the specified action which is being appealed.

7.00 DEFINITIONS

- 7.01 Alcohol and Drug Abuse Coordinating Council
- 7.02 Alcohol/Drug Management Information System (ADMIS)
- 7.03 Alcohol Safety Education Program (ASEP)
- 7.04 Budget Period
- 7.05 Common Ground Program Committee
- 7.06 Continuation Application Package
- 7.07 Day Care For Children
- 7.08 Intake and Assessment for Substance Abuse
- 7.09 Interim Services
- 7.10 Licensure Standards for Alcohol and/or Other Drug Abuse Treatment Programs
- 7.11 Medical Detoxification
- 7.12 Observation Detoxification
- 7.13 Outpatient Service -Family
- 7.14 Outpatient Service - Group
- 7.15 Outpatient Service - Individual
- 7.16 Partial Day Treatment
- 7.17 Primary Prevention Strategies
 - 7.171 Information Dissemination
 - 7.172 Education
 - 7.173 Alternatives
 - 7.174 Problem Identification and Referral
 - 7.175 Community-Based Process
 - 7.176 Environmental
- 7.18 Project Period
- 7.19 Regional Alcohol and Drug Detoxification Services (RADD Services)
- 7.20 Regional Detoxification Specialist
- 7.21 Request for Application (RFA)
- 7.22 Request for Proposal (RFP)
- 7.23 Residential Service
- 7.24 Residential Services for Adolescents (Comprehensive)
- 7.25 Residential Services at Pregnant and Parenting Women's Living Centers (PPWLC)

7.06 **CONTINUATION APPLICATION PACKAGE** - That process by which current contracted providers of prevention or treatment services are evaluated, and their grant is either renewed, not renewed, or renewed pending contingencies placed by the Arkansas Alcohol and Drug Abuse Coordinating Council or the Common Ground Program Committee, whichever is applicable. This process involves submitting to BADAP, or an outside evaluator, a document that reports the activities of the provider during the current grant period, and outlines a proposed program for the upcoming grant period. Other performance indicators such as licensure visits, service-to-billing audits, case reviews, site visit reports and ADMIS reporting are taken into account during this process.

7.07 **DAY CARE FOR CHILDREN**

Full Time: Care provided in a licensed day care facility for 31 hours or more per week in periods of less than 24-hours per day to enable the parent(s) to attend treatment or treatment-related services.

Part-Time: Care provided in a licensed day care facility for less than six hours a day, five days a week or less to enable the parent(s) to attend treatment or treatment-related services.

A unit of services is one child, per day. The rate is the same whether full-time or part time. Pregnant and Parenting Women Living Centers (PPWLC) facilities may bill for this service.

7.08 **INTAKE AND ASSESSMENT FOR SUBSTANCE ABUSE** - A one time charge per client per admission. Admission is defined as at least a unit of residential service, a unit of Partial Day treatment, or one of outpatient counseling. **The client cannot be admitted and discharged on the same day. Intake and Assessment for Substance Abuse must include** the administration of an interview to provide information on the client's alcohol/drug taking history, employment history, family background, and prior treatment episodes. **The administration of the Addiction Severity Index (ASI) must be included.** Other items that may be included are physical exam, drug testing and other screening or assessment tools for substance abuse and mental health.

7.09 **INTERIM SERVICES** - Interim substance abuse services means services that are provided until an individual is admitted to a substance abuse treatment program. At a minimum, interim services include 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, as well as referral for HIV or TB services if necessary. For pregnant women, interim services also include counseling on the effects of alcohol and drug use on the fetus, as well as referral for prenatal care.

7.10 **LICENSURE STANDARDS FOR ALCOHOL AND/OR OTHER DRUG ABUSE TREATMENT PROGRAMS** - Those Licensure Standards that were developed and revised by BADAP and BADAP Standards Review Committee. They contain criteria by which treatment programs are reviewed in the Licensure process.

available prevention programs and services. Information dissemination is characterized by one-way communication from the source to the audience, with limited contact between the two. Examples of activities conducted and methods used for this strategy include (but are not limited to) the following: (1) clearinghouse/information resource center(s); (2) resource directories; (3) media campaigns; (4) brochures; (5) radio/TV public service announcements; (6) speaking engagements; (7) Health fairs/health promotion; and (8) information lines.

7.172 Education: This strategy involves two-way communication and is distinguished from the Information Dissemination strategy by the fact that interaction between the educator/facilitator and the participants is the basis of its activities. Activities under this strategy aim to affect critical life and social skills, including decision-making, refusal skills, critical analysis (e.g. of media messages) and systematic judgment abilities. Examples of activities conducted and methods used for this strategy include (but are not limited to) the following: (1) classroom and/or small group sessions (all ages); (2) parenting and family management classes; (3) peer leader/helper programs; (4) education programs for youth groups; and (5) children of substance abusers groups.

7.173 Alternatives: This strategy provides for the participation of target populations in activities and the promotion of lifestyles that exclude alcohol, tobacco, other drug use and youth violence. The assumption is that constructive and healthy activities offset the attraction to, or otherwise meet the needs usually filled by alcohol, tobacco, other drugs, youth violence and/or crime and would, therefore, minimize or obviate resort to the latter. Examples of activities conducted and methods used for this strategy include (but are not limited to) the following: (1) drug free dances and parties; (2) youth/adult leadership activities; (3) community drop-in centers; and (4) community service activities.

7.174 Problem Identification and Referral: This strategy aims at identification of those who have indulged in illegal/age-inappropriate use of tobacco or alcohol and those individuals who have indulged in the first use of illicit drugs in order to assess if their behavior can be reversed through education. It should be noted, however, that this strategy does not include any activity designed to determine if a person is in need of treatment. Examples of activities conducted and methods used for this strategy include (but are not limited to) the following: (1) employee assistance programs; (2) student assistance programs; and (3) driving while under the influence/driving while intoxicated education programs.

This strategy assesses whether youth who have been engaged in inappropriate violent behavior would respond favorably to education. If the behavior cannot be corrected through mere education. It should be noted, however, that this strategy does not include any activity designed to determine if a person is in need of treatment or therapy.

7.175 Community-Based Process: This strategy aims to enhance the ability of the community to more effectively provide prevention and treatment services for alcohol, tobacco and drug abuse disorders and youth violence prevention services. Activities in this strategy include organizing, planning, enhancing efficiency and effectiveness of service implementation, inter-agency

- 7.21 **REQUEST FOR APPLICATION (RFA)**: A document that solicits proposals for a program or service to be developed within parameters defined by the BADAP. The RFA may be a competitive process.
- 7.22 **REQUEST FOR PROPOSAL (RFP)**: A document that solicits proposals for a contract or grant to procure or acquire products and/or services. The RFP outlines the terms and conditions of the resulting contract or grant. The RFP may be a competitive process.
- 7.23 **RESIDENTIAL SERVICE** - Includes care provided to a substance abuse client who is not ill enough to need admission to medical detoxification or observation detoxification, but who has need of more intensive care in the therapeutic setting with supportive living arrangements. This service shall include at a minimum, intake, individual and group therapy, case management and room and board. In addition to the minimum services, residential service may include drug testing, medical care other than detoxification, and other appropriate services. A unit of service is a day. Note: Clients must be physically present at the facility for at least a part of any day billed. Exceptions require prior BADAP approval.
- 7.24 **RESIDENTIAL SERVICES FOR ADOLESCENTS (COMPREHENSIVE) (CRSA)** -At facilities designated as a Comprehensive Residential Services for Adolescents (CRSA), a unit of service will be one day for the client. Services at a minimum include: A multidisciplinary treatment staff, including certified/licensed alcohol and drug counselors, licensed mental health counselors, nursing staff, certified service coordinators (case managers), licensed teacher(s), a psychiatrist, daily available nursing care, a licensed school as a component of the program and family therapy. Licensure by BADAP, DCFS, and CARF or JCAHO is required. Programming for dually diagnosed clients is available.
- 7.25 **RESIDENTIAL SERVICES AT PREGNANT AND PARENTING WOMEN'S LIVING CENTERS (PPWLC'S)** - At facilities designated as PPWLC's, a unit of service will be one day for a family. Services at a minimum include case management, alcohol and other drug treatment, child care, transportation, medical treatment, room and board, education/job skills training, parenting skills training, aftercare planning, and family counseling. Payment received from the BADAP covers all services except for day care, which may be billed separately on other BADAP Agreements, if the provider so desires.

Other services may be established as needed and defined in the appropriate RFP/RFA or Continuing Application Package. Progress Report and Program Proposal.

CENTER FOR SUBSTANCE ABUSE PREVENTION (CSAP) GUIDELINES FOR MATERIALS

These (abbreviated) Guidelines were taken from the Message and Material Review Process, OSAP, April 1989. They are available from the NCADI as publication RPO726 if a fuller explanation is necessary.

SCIENTIFIC REVIEW GUIDELINES:

- The material is scientifically significant, based on valid assumptions, supported by accurate citations, and appropriately used.
- The scientific methods and approaches used are adequate, appropriate, and clearly described.
- Findings reported are accurate, current, applicable to the subject matter, and appropriately interpreted. The findings follow from the methods and approach used. For instance, facts should not be exaggerated nor purposely understated.

POLICY REVIEW GUIDELINES:

- Material makes clear that illegal and unwise drug use (including alcohol for those under 21) is unhealthy and harmful for all persons.
- Material gives a clear message that risk is associated with using any form or amount of alcohol or other drugs.
- Material gives a clear message of no alcohol use for persons under 21 years of age, pregnant women, recovering alcoholics and drug addicts, and persons taking prescription or non-prescription drugs.
- Material states clearly that pregnant women must not use any drugs (prescription or nonprescription) without first consulting their physicians.
- Material does not glamorize or glorify the use of alcohol and other drugs.
- Prevention material does not contain illustrations or dramatizations that could teach people ways to prepare, obtain, or ingest illegal drugs, and whenever feasible, materials for youth contain no illustrations of drugs. Intervention material does not contain illustrations or dramatizations that may stimulate recovering addicts or alcoholics to use drugs.