

Behavioral Health is Essential To Health



Prevention Works



Treatment is Effective



People Recover



OVERVIEW OF The Substance Abuse Prevention and Treatment Block Grant



Overview of SAMHSA's Block Grants

The Substance Abuse and Mental Health Services Administration (SAMHSA) administers two block grants:

- The Substance Abuse Prevention and Treatment Block Grant (SABG)
- The Community Mental Health Services Block Grant (MHBG)

The \$1.8-billion SABG is a major source of state substance use disorder (SUD) services funding.

Overview of SAMHSA's Block Grants

This four-part webinar series:

- Will focus on the SABG
- Is designed for organizations to which states allocate SABG funds

Overview of SAMHSA's Block Grants

Thursdays 3pm (Eastern) on	Focus
November 9, 2017	Overview of SABG Requirements
November 16, 2017	Requirements regarding women and their children
December 7, 2017	Requirements regarding access to care for priority populations (pregnant women and individuals who inject drugs)
December 14, 2017	Requirements regarding SABG fiscal tracking and management

Overview of SAMHSA's Block Grants

Today's session will provide a broad overview of:

- The SABG's purpose and funding bases
- Requirements for engaging and providing access to priority populations
- Requirements regarding special services for pregnant women and women with dependent children
- Requirements pertaining to faith-based organizations
- Block Grant-related fiscal requirements
- Other requirements affecting SABG-funded programs

Overview of SAMHSA's Block Grants

- Authorizing legislation for SAMHSA's block grants can be found at 42 U.S. Code Part B – Block Grants Regarding Mental Health and Substance Abuse.
- The implementing regulation for the SABG is found in Title 45—Public Welfare, Subtitle A—Department of Health and Human Services, Subchapter A, Part 96 Block Grants, Subpart L, Substance Abuse Prevention and Treatment Block Grant.

Overview of SAMHSA's Block Grants

The block grants are mandated by Congress to provide funds and technical assistance to:

- Each of the 50 states
- The District of Columbia
- Puerto Rico
- The U.S. Virgin Islands
- The 6 Pacific Jurisdictions

The Red Lake Band of Chippewa Indians is also an SABG recipient.

Overview of SAMHSA's Block Grants

The SABG is awarded to these grantees for the purpose of planning, implementing, and evaluating activities that:

- Prevent substance use disorders
- Treat substance use disorders
- Promote public health



Block Grant Funding Bases

State Technical Assistance Project
Contract No. HHSS283201200002I
Task Order No. HHSS28342002T
Reference No. 283-12-0202



Allocations to States

How Are Block Grant Funds Allocated?

- States apply for these noncompetitive grants.
- SAMHSA uses a formula to allocate Block Grant funds to states.
- States establish their own bases for allocating Block Grant funds to provider and intermediary organizations.
- Allocations must be consistent with SAMHSA statutory requirements and priority populations.



BLOCK GRANT SET-ASIDE REQUIREMENTS



Set-Aside Funds

What Are Set-Aside Funds? What Is Their Purpose?

States must set aside specific percentages of their SABG and MHBG allocations for certain services and populations.

- Primary prevention set-aside (SABG)
- HIV set-aside (SABG)
- Children's set-aside (MHBG)
- Early psychosis set-aside (MHBG)

Set-Aside Funds: SABG Primary Prevention

What is the Primary Prevention Set-aside?

- The SABG's Primary Prevention Set-aside requires each state to expend a minimum of 20% of its annual SABG expenditures on primary prevention-related activities.

SABG Primary Prevention Definition

How does the SABG define Primary Prevention?

“Primary Prevention Programs are those directed at individuals who have not been determined to require treatment for substance abuse.”

Such programs:

- Educate and counsel individuals on such abuse
- Provide for activities to reduce the risk of such abuse

Set-Aside Funds: SABG HIV

What is the HIV Set-aside?

- The SABG requires each *HIV-Designated State* to spend a minimum of 5% of its federal fiscal year SABG award on HIV-related testing, counseling, and outreach.
- HIV Designated States are those with more than 10 cases per 100,000 population as determined by Centers for Disease Control and Prevention data.



BLOCK GRANT MAINTENANCE OF EFFORT REQUIREMENTS



Maintenance of Effort

What Is the Purpose and Intent of Maintenance of Effort?

The SABG and MHBG include maintenance of effort (MOE) requirements to incentivize states to maintain specific expenditure levels:

- Statewide substance use disorder services (SABG)
- Special services for pregnant women and women with dependent children (SABG)
- Statewide mental health services (MHBG)

Maintenance of Effort: SABG State

What is the SABG State MOE?

- The SABG requires each state to maintain aggregate state substance abuse prevention and treatment expenditures at a level no less than the average for the preceding 2 state fiscal years.

Maintenance of Effort: SABG Women's

What is the SABG MOE for special services for pregnant women and women with dependent children?

- The SABG requires states to maintain expenditures for special services for pregnant women and women with children at or above the level established during the base year (1993).

Required Services

What Services Are Required of Programs That Receive SABG MOE Funds for Special Services for Pregnant Women and Women With Dependent Children?

- ✓ Primary medical care, including prenatal care
- ✓ Primary pediatric care, including immunizations for the women's children
- ✓ Gender-specific substance use disorder treatment and other therapeutic interventions for women

Required Services

- ✓ Therapeutic interventions for children in custody of women in treatment
- ✓ Child care while women are receiving services
- ✓ Sufficient case management and transportation to ensure that the women and their children can access the other services
- ✓ Treatment of the family as a unit



SABG CAPACITY MANAGEMENT REQUIREMENTS

State Technical Assistance Project
Contract No. HHSS283201200002I
Task Order No. HHSS28342002T
Reference No. 283-12-0202



Purpose

“***Capacity management***” requirements call for SABG-funded states and programs to:

- Admit priority populations within prescribed time frames
- Offer ***interim services*** when priority populations cannot be admitted within those time frames
- Have systems to effectively track, maintain contact with, and report on priority populations awaiting admission

Priority Populations

Who Are the Priority Populations?

- Pregnant women who are seeking treatment
- Individuals who inject drugs and are seeking treatment



Programs Serving Individuals Who Inject Drugs

SABG-funded programs that serve individuals who inject drugs must give admissions preference as follows:

1. Pregnant women who inject drugs (first preference)
2. Pregnant women who abuse substances in other ways (second preference)
3. Other individuals who inject drugs (third preference)

Waiting List

Uniform Waiting List is defined as a log that identifies individuals who are actively seeking treatment:

- When appropriate treatment slots are not available (i.e., service capacity has been reached) ***and***
- Who meet eligibility criteria

Waiting List

SABG outlines requirements for:

- Required elements of waiting list systems
- Reporting capacity information to the state
- Updating capacity for pregnant women
- Conditions for removing someone from the waiting list

Interim Services

What Are Interim Services?

- SABG-funded programs must offer interim services within 48 hours if priority populations cannot be admitted or referred to programs with sufficient capacity.
- The requirements outline what interim services might entail.





SABG OUTREACH REQUIREMENTS

State Technical Assistance Project
Contract No. HHSS283201200002I
Task Order No. HHSS28342002T
Reference No. 283-12-0202



Outreach Requirements

What Are the SABG Outreach Requirements?

States must ensure that entities that receive SABG funds for treating people who inject drugs use scientifically sound outreach models:

- To contact, communicate with, and follow up with individuals at high risk for abusing substances as well as their associates and neighbors
- To encourage the individuals to enter treatment



CHARITABLE CHOICE

State Technical Assistance Project
Contract No. HHSS283201200002I
Task Order No. HHSS28342002T
Reference No. 283-12-0202



Purpose of Charitable Choice

What Is the Purpose of Charitable Choice?

Charitable Choice is applicable to SABG-funded faith-based programs and:

- Enables the organizations to retain their religious character
- Protects faith-based organizations from discrimination
- Prohibits use of SABG funds for religious activities
- Prohibits discrimination of clients based on their faith



OTHER BLOCK GRANT-RELATED FISCAL REQUIREMENTS



Single Audit Requirements

What Other Fiscal Requirements Apply to SABG-funded Organizations?

- Non-federal entities with \$750,000 or more in federal expenditures during the entities' fiscal year must receive a single state audit. **Or**, they can elect to have a program-specific audit if they meet certain conditions.
- Non-federal entities that expend less than \$750,000 in federal awards in the entities' fiscal year are exempt from federal audit requirements for that year.

Restrictions on Expenditures

What Are the Restrictions on SABG and MHBG Expenditures?

Prohibited Expenditures	Specifically Prohibited Under SABG	Specifically Prohibited Under MHBG
Provide inpatient hospital services except under those conditions outlined in the regulations	X	X
Make cash payments to intended recipients of health services	X	X
Purchase or improve land	X	X
Purchase, construct, or permanently improve buildings or other facilities	X	X
Purchase major medical equipment	X	X
Satisfy any requirement for the expenditure of non-federal funds as a condition for the receipt of federal funds	X	X
Provide financial assistance to any entity other than a public or nonprofit entity	X	X
Provide individuals with hypodermic needles or syringes	X	
Expend more than the amount of block grant funds expended in FFY91 for treatment services provided in penal or correctional institutions of the state	X	

Salary Limitation

- States and subrecipients *cannot* use the block grants to pay salaries in excess of Level I of the federal senior executive service pay scale.



INDEPENDENT PEER REVIEW

State Technical Assistance Project
Contract No. HHSS283201200002I
Task Order No. HHSS28342002T
Reference No. 283-12-0202



Purpose of Peer Review

What Is the Focus of Independent Peer Review?

States must have independent peer review systems that review 5% of Block Grant-funded treatment services each year.

Reviews should focus on:

- *Quality*
- *Appropriateness*
- *Efficacy*



ADDITIONAL AGREEMENTS

State Technical Assistance Project
Contract No. HHSS283201200002I
Task Order No. HHSS28342002T
Reference No. 283-12-0202



Confidentiality Requirements

What Other SABG Requirements Apply to SABG-funded Programs?

Each SABG-funded provider must:

- Have a system in place to protect patient records from inappropriate disclosure, including education on the requirements and disciplinary actions for inappropriate disclosures.
- Offer prevention, treatment and recovery personnel ongoing training in specific matters that would further improve substance use disorder prevention and treatment services in the state.

Upcoming Webinars

Thursdays 3pm (Eastern) on	Focus
November 16, 2017	Requirements regarding special services for pregnant women and women with dependent children
December 7, 2017	Capacity management requirements regarding access to care for priority populations
December 14, 2017	Requirements regarding SABG fiscal tracking and management



THANK YOU

