### APPENDIX C10

# STATE OF NEVADA DEPARTMENT OF HEALTH AND HUMAN SERVICES DIVISION OF MENTAL HEALTH AND DEVELOPMENTAL SERVICES SUBSTANCE ABUSE PREVENTION AND TREATMENT AGENCY (SAPTA)

# CERTIFICATION POLICIES AND PROCEDURES WITH CENTER FOR THE APPLICATION OF SUBSTANCE ABUSE TECHNOLOGIES (CASAT)

**OVERVIEW:** Nevada Revised Statutes (NRS) 458.025 requires that any alcohol and drug abuse program that receives state and/or federal funds through the Substance Abuse Prevention and Treatment Agency (SAPTA) must be certified by SAPTA. Nevada Administrative Code (NAC) 458.260-620 outlines the requirements necessary to obtain program certification, and NAC 458.260 (8) allows SAPTA to inspect each program that is certified to determine if state certification should be continued. In addition to NAC 458, programs funded by SAPTA sign grant award documents which specify the type of services to be provided and place specific requirements upon those programs receiving funding. The following briefly identifies the relationship between certification, funding, and non-funded programs.

• State Certification is available to any alcohol and drug abuse program, which meets the requirements for certification identified in NAC 458. Certification can be for a period of up to two years. State Certification determines if a program has met minimum requirements related to service delivery. Certification is mandatory for all programs receiving SAPTA grant funding. Other than for DUI Evaluation Centers, certification is optional for programs that do not receive SAPTA funding. Certification determines if a program has the necessary organizational structure to provide a specified service.

A. SCHEDULE CERTIFICATION VISIT: The Center for the Application of Substance Abuse Technologies (CASAT) contractor will conduct the designated contact of a program approximately 30 days before the program is scheduled for the certification site visit to determine a mutually acceptable date for the site visit. Depending upon the program the designated contact may be the executive director, programs administrator, or other identified clinical or fiscal staff appointed by the program to be responsible for the certification site visit. The following will be addressed:

- Briefly explain the purpose of the certification visit.
- Describe the components of the certification visit.
- Identify titles of program staff that the CASAT contractor will need to talk with and approximate time requirements for meeting with each staff member.
- Inform the Director of total time requirements. (The amount of time required will depend on the size of the program, number of levels of service to be reviewed, etc.)
- Identify documents that will be reviewed on site.
- Inform the Director of how records will be chosen to review (if non-funded program).
- Ten percent of client case records will be selected from six months prior to site visit for

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- each level of care being reviewed. Ten percent of discharge case records will be selected from six months prior to the site visit for each level of care being reviewed.
- Ten percent of personnel records will be reviewed. There will be a minimum of 5 and a maximum of 10 records that will be selected for each level of care and personnel records reviewed.
- **B. COMPLETE PRE-SITE CERTIFICATION ACTIVITIES:** Prior to the Certification site visit, the CASAT contractor will review the operator's Policy and Procedure Manual and score this section in the instrument. The SAPTA analyst will also review the previous report for the operator to identify any issues documented in the report.
- **C. COMPLETE THE CERTIFICATION INSTRUMENT AND BOILERPLATE:** The Certification Instrument and Boiler Plate will be completed as indicated below:

Within 30 days of the site visit a report will be sent to the program with a boilerplate grid showing the scoring breakdown for each category and overall score. Support documentation will be attached indicating the personnel records reviewed and unique client ID's to indicate what clinical records were reviewed.

Measurement for compliance is determined by using Nevada Administrative Code (NAC) 458 and Nevada Revised Statutes (NRS) 458 related to operations of prevention, intervention, clinical and treatment programs.

There are four types of findings for each compliance statement reviewed in the instrument. Yes (meets the standard), No (did not meet the standard), Partial (meets a portion of the standard), and Non-Applicable.

A point system will be utilized to determine the percentage of each section of the instrument and an overall score.

There are four categories that will be reviewed:

- General
- Organizational Protocols & Operations
- Personnel Protocols & Operations
- Clinical & Treatment Protocols and Operations (including requirements for specific levels of care)

There are four possible outcomes to a Certification site review.

- State Certified, 2 years: 80% and above in each category with an overall weighted score of 90% and above
- State Certified, 1 year: 75% and above in each category with an overall weighted score of 75% - 89% overall
- State Certified, 1- 6 months: 65% 75% in each category and an overall score of 65% 75% overall

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Major Non-Compliance: If an Operator of a service(s) receives a score under 65% in any category and/or an overall weighted score of 65% or below, this will result in a full review from the SAPTA Director on how to proceed on a case-by-case basis.

- If a level of care being reviewed does not have any current active clients or less than five clients at the time of the site visit, a 6-month certification can be awarded, depending on the evaluation of records/services by the certification specialist or the following options may be utilized.
- If the program has multiple service locations providing the level(s) to be certified, records can be reviewed at other sites for the record review.
- If a 6-month certification is issued, records may be reviewed and scored per the Nevada Health Information Provider Performance System (NHIPPS) for re-certification if the other three categories and organization has not changed.
- SAPTA may combine smaller locations under one certification, if services are provided by the same organization.
- All options recommended must be approved by the Agency Director.
- If after 6 months there have been an insufficient number of clients in a level of care, or if the evaluation of records/services is scored below the acceptable level for continued certification that level of care will be revoked within 30 days of the site visit. Program Director must submit a waiver request to the SAPTA Agency Director to justify the continuation of the certification.
- **D. CONDUCT THE CERTIFICATION EXIT MEETING:** The program's designated contact will determine participants in the exit meeting. The following topics may be discussed during the meeting:
  - The CASAT contractor should summarize the process and recognize the cooperation and assistance of program staff.
  - All exceptions to compliance will be reviewed at the exit meeting and report that each exception will be put in writing and will be included as an appendix to the agency report.
  - The agency will be able to correct and/or add policies and procedures to the manual within (30) days of the site visit. If the corrections are approved for meeting compliance by the governing board and the agency, the agency will be given credit for the corrections.
  - The Certification Analyst at SAPTA should assist the program in determining methods to resolve any noncompliance issues, but it is the program's responsibility to determine the method of resolution.
  - An offer of technical assistance should be made for any area where the program may be in need of additional assistance. (Technical assistance can either be provided directly through SAPTA or the Analyst can assist the program in obtaining technical assistance from other sources.)
- **E. CERTIFICATION REPORT:** The CASAT contractor will complete the certification report and submit the report to SAPTA for review within 10 working days. Within 30 days the report and cover letter will be distributed as follows:

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- Original report and original cover letter to program Executive Director
- Copy of report and original letter to Board President
- Copy of report for Carson City grant files

# SAPTA AND CASAT RESPONSIBILITIES, TIMELINES, AND DELIVERABLES

## **SAPTA Responsibilities**

- 90-day notice to programs of certification expirations
- Collection of fees and applications
- Mail certification to program within 20 days
- New applications will be the responsibility of SAPTA

## **CASAT Responsibilities**

- Review program Policy and Procedure manual
- Conduct site visit to funded and nonfunded programs prior to expiration
- Complete narrative on deficient sections
- Complete scoring instrument within 10 working days and submit to SAPTA
- Review NHIPPS records for <u>funded</u> programs and complete scoring instrument sections

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