

DOH PROGRAM 3 – ALCOHOL SAFETY ACTION PROGRAM

I. **PROGRAM OBJECTIVES**

The objective of this program is to provide screening and evaluation of court referred individuals involved in alcohol related offenses, provide appropriate referral to treatment or educational programs, and monitor compliance with court orders as well as some alcohol/drug testing for the Sobriety Monitoring Program.

II. **PROGRAM PROCEDURES**

Funds are appropriated annually to the Department of Health (DOH), Division of Behavioral Health (DBH) by the State Legislature. These funds are distributed by a grant mechanism to nonprofit or local government agencies. These agencies become service providers for specific geographic locations.

Funds are provided through an initial advance comprised of 25% of the award amount; a second quarter advance is paid up to 25%, less any unexpended funds from the previous advance in response to an approved Quarterly Cumulative Fiscal Report and a Program Narrative Report; a third quarter advance up to 25% of the award amount, less any unexpended funds from the previous advance in response to an approved Quarterly Cumulative Fiscal Report and a Program Narrative Report; and a fourth quarter advance of 20%, with a final payment of up to 5%, if applicable, issued upon approval of fourth quarter year-end reporting.

Funding is a combination of general fund and federal SAPT Block grant (CFDA 93.959).

III. **COMPLIANCE REQUIREMENTS AND SUGGESTED AUDIT PROCEDURES**

A. **TYPES OF SERVICES ALLOWED OR UNALLOWED -**

1. **Compliance Requirements:** Each Alcohol Safety Action Program (ASAP) is to function as the central agency for court referrals for the identification of problem drinkers, alcohol education/treatment/rehabilitation referral from the court, and feedback to the court regarding client progress. This includes acting as a connecting link between treatment agencies and the court.

Suggested Audit Procedures: Test financial and related records to determine that funds expended were for purposes specified in the grant.

- a) Review final Grant Agreement (GA) including all conditions;
- b) Review Grant revisions and related transmittal letters;
- c) Review Licenses, certifications, approvals, status of private nonprofit corporation if applicable;
- d) Review budget documents including final revised budget and budget narrative.

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2. **Compliance Requirement:** Costs allowed or unallowed under this program are determined by grant regulation 7 AAC 78 as well as budget documents and special conditions.

Suggested Audit Procedures:

- a) Review Department of Health's grant regulations 7 AAC 78 and budget documents;
- b) Test financial and related records to determine the appropriateness of costs per 7 AAC 78; and
- c) Determine whether expenditures are within the budget limits prescribed by 7 AAC 78.260(f)(1).

B. ELIGIBILITY -

Compliance Requirement: Recognized local governments and nonprofit corporations registered in the State of Alaska are eligible for grants.

Suggested Audit Procedures: Review the articles of incorporation or other appropriate documentation, licenses certifications and approvals to determine status of the agency.

C. MATCHING, LEVEL OF EFFORT AND/OR EARMARKING REQUIREMENTS -

Compliance Requirement: This program received a waiver from the Division of Behavioral Health in FY05 to reduce the required match of 25% to 10%. Grantees are required to meet a minimum match requirement of 10% of the amount awarded. This match may include funds available through federal grants or contracts as well as locally generated funds. Other state funds, with the exception of state revenue sharing funds, are not allowable as cash match. In-kind contribution should qualify under AS 47.30.475.

Suggested Audit Procedures: Confirm compliance with matching requirement.

D. REPORTING REQUIREMENTS -

1. **Compliance Requirement:** Programs are required to participate in Grants Electronic Managements Systems (GEMS) and submit quarterly written program narratives and cumulative fiscal expenditure reports no later than thirty days after close of each quarter.

Suggested Audit Procedures:

- a) Confirm that reports are being filed timely;
- b) Reported revenues and expenditures agree with the agency's general ledger; and
- c) Expenditures are within the budget limits or contract provisions.

2. **Compliance Requirement:** The agency's audit report must present a statement of revenue and expenses, budget and actual, for each state

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grant. Such statements must show, for each state fiscal year grant, the final approved budget by line item category, actual revenues and expenditures and variance between budgeted and actual revenues and expenditures. Disallowed or questioned costs must be clearly disclosed.

Suggested Audit Procedures:

- a) Review grants regulation 7 AAC 78.230.
- b) Review audit report for compliance with the above.

3. **Compliance Requirement:** The agency must clearly show on their audit report any outstanding liability to the State as payable to the State. This includes unspent grant funds and disallowed costs.

Suggested Audit Procedures:

- a) Determine whether or not the agency has any outstanding liability to the State.
- b) Review grants regulation 7 AAC 78.230.
- c) Review audit report to ensure proper presentation.

E. SPECIAL TESTS AND PROVISIONS -

Compliance Requirement: The agency must act upon any recommendations made by program site review.

Suggested Audit Procedures:

- a) Obtain copy of program site review; and
- b) Determine if recommendations in the site review are being implemented.