93.959

BLOCK GRANTS FOR PREVENTION AND TREATMENT OF
SUBSTANCE ABUSE
MAJORS SUBSTANCE ABUSE / JUVENILE JUSTICE
INITIATIVE

State Project/Program

COMMUNITY BASED PROGRAMS / SUBSTANCE ABUSE –
MAJORS SUBSTANCE ABUSE AND JUVENILE JUSTICE
INITIATIVE

U. S. Department of Health and Human Services

Federal Authorization: Public Health Service Act, Title XIX, Part B, Subpart II, as amended,

State Authorization: General Statutes 122C-117; 122C-141, and NCAC T10.1159

N. C. Department of Health and Human Services
Division of Mental Health, Developmental Disabilities, and Substance Abuse Services

Agency Contact Person – Program
Antonio Coor, Project Administrator
Community Policy Management
NC Division of MH/DD/SAS
3008 Mail Service Center
Raleigh, NC 27699-3008
(919) 715-2771
Antonio.Coor@ncmail.net

Agency Contact Person – Financial
Katrina Blount
Budget and Finance
NC Division of MH/DD/SAS
3012 Mail Service Center
Raleigh, NC 27699-3012
(919) 881-2446
Katrina.Blount@ncmail.net

N. C. DHHS Confirmation Reports:
SFY 2009 audit confirmation reports for payments made
to Local Management Entities/Area Authorities
[LME/AA], Councils of Government and District Health
Departments will be available by around late August to
early September at the following web address:
http://www.dhhs.state.nc.us/control/
At this site, page down to “Letters/reports/forms for
ALL Agencies” and click on “Audit Confirmation
Reports (State Fiscal Year 2008-2009)”. Additionally,
audit confirmation reports for Nongovernmental entities
receiving financial assistance from the DHHS are found
at the same website except select “Non-Governmental
Audit Confirmation Reports (State Fiscal Years 2007-
2009)”.

The auditor should not consider the Supplement to be “safe harbor” for identifying audit
procedures to apply in a particular engagement, but the auditor should be prepared to justify
departures from the suggested procedures. The auditor can consider the Supplement a “safe
harbor” for identification of compliance requirements to be tested if the auditor performs
reasonable procedures to ensure that the requirements in the Supplement are current. The
grantor agency may elect to review audit working papers to determine that audit tests are
adequate.
I. PROGRAM OBJECTIVES

The MAJORS Program (Managing Access for Juvenile Offender Resources and Services) is piloting the development, implementation, and evaluation of an innovative model of specialized substance abuse community treatment, transitional care, and coordination services for adjudicated delinquent, adjudicated undisciplined and diversion contracts, with the highest service priority for those youth on aftercare supervision with the Juvenile Court who are returning to the community from training school or residential treatment programs. The Program involves a joint planning effort between the Division of Mental Health, Developmental Disabilities, and Substance Abuse Services (DMH/DD/SAS), the Juvenile Services Division of the Administrative Office of the Courts (AOC), and the NC Department of Juvenile Justice and Delinquency Prevention (DJJDP).

II. PROGRAM PROCEDURES

In February 1998 the MAJORS Program funded thirty-four (34) Community Planning Grants in Local Management Entities/Area Authorities and contract agencies, which demonstrated high levels of need, collaboration, expertise, and commitment. Following a period of community planning and competitive proposal submission, approximately 10 to 12 project sites were funded in FY 98-99 for pilot program implementation in local communities.

The Program will coordinate the development, adoption, and implementation of statewide juvenile justice substance abuse protocols for screening and clinical assessment, and measures of program performance and client outcomes for use by AOC and DMH/DD/SAS. As a critically needed linkage in the continuum of services for substance abusing juvenile offenders, the MAJORS Program will provide opportunities for youth to receive accessible, responsive, and coordinated community substance abuse treatment services directed towards changing client behaviors and sustaining positive gains made in treatment. It is anticipated that this program will also have a measurable impact with this population on rates of relapse and recidivism.

A major impetus for the development of the MAJORS Program has been the need to provide the critical linkage of community transition and continuing care coordination and services for juvenile offenders receiving substance abuse services in the Department of Juvenile Justice and Delinquency Prevention facilities. The Program is intended to provide necessary linkages, community transition, and continuing care services with cooperation with other residential treatment programs. Improvements in the system of care will include improved coordination among all agencies involved in providing a seamless system of substance abuse treatment services for substance abusing juvenile offenders through enhancement in community services access and coordination.

In summary the MAJORS Program is a comprehensive partnership between the Juvenile Justice System involving the courts, probation, local law enforcement, and State juvenile justice facilities and LME/AA and Contract Agency Substance Abuse Programs. This initiative involves developing a system that combines court requirements, sanctions and rewards, and community services with substance abuse treatment for juvenile offenders. The recipient agency will manage and provide and/or coordinate such activities as screening, assessment, and treatment services, and will facilitate alternative activities and substance abuse care coordination.

These programs participated in a competitive “Request for Proposals” (RFP) process and were awarded grants based on their approved grant proposals. The RFP process was opened to any LME/AA or public or private non-profit agency that was awarded a MAJORS Program.
Community Planning Grant. Proposals were submitted to the Division and grants awarded based on the RFP criteria. Funds may be paid to LME/AA based on a Financial Status Report (FSR). Unit cost will be determined using a consistently applied methodology approved by the Division. Funds paid may also be settled based on expenditures.

The amount of these funds may be found in the Division of MH/DD/SAS Final Allocation Letter under MAJORS Account Numbers 536969 and 536970 in Funds 1491/1490.

Eleven sites were funded to provide these services based on the guidelines set forth in the RFP. Each recipient submitted a budget to support the proposed project as well as a Statement of Assurances agreeing to required conditions for program development and operation. Funded programs are as follows:

1. Piedmont Behavioral Healthcare, Concord, NC
2. Alamance-Caswell-Rockingham MH/DD/SA, Burlington, NC
3. The Durham Center, Durham, NC
4. Guilford Center for Behavioral Health and Disability Services, Greensboro, NC
5. Sandhills Center for MH/DD/SA Services, West End, NC
6. Wake County Human Services, Raleigh, NC
7. East Carolina Behavioral Health
8. Cumberland County Mental Health Center, Fayetteville, NC
9. CenterPoint Human Services, Winston-Salem, NC

New Majors Programs started during Fiscal Year 05-06 were as follows:
1. Albemarle MH/DD/SA, Elizabeth City, NC
2. Eastpointe MH/DD/SA, Kenansville, NC
3. Five County MH/DD/SA, Henderson, NC
4. Western-Highlands, Asheville, NC
5. O-P-C MH/DD/SA, Chapel Hill, NC
6. Onslow/Carteret MH/DD/SA, Jacksonville, NC
7. Southeastern Regional MH/DD/SA, Lumberton, NC
8. Southeastern Center MH/DD/SA, Wilmington, NC
9. Crossroads MH/DD/SA, Elkin, NC

Participants in the MAJORS Program will be enrolled for a minimum length of program participation of six (6) months and an average length of participation of twelve (12) months.

For the first three months of community-based program participation, MAJORS Program participants shall receive a minimum of 9 to 12 hours per week of Program Services. Of the 9 to 12 hours per week of these services, no less than 3 to 4 hours per week shall be for Core Program Services or Auxiliary Services, and the remaining hours per week shall be for Core Program Services, Auxiliary Services, and/or Alternative Activities.

After the initial three months of community-based program participation, MAJORS Program participants shall receive Program Services at a level of intensity, which is consistent with the participant’s needs as outlined in the participant’s Treatment Plan.

Transitional Services shall be provided for institution-based MAJORS Program participants who have been placed in training school or residential treatment services consistent with the participant’s needs as outlined in the participant’s Treatment Plan.

MAJORS Program Substance Abuse Counselors shall carry an average active caseload of between 10 and 15 MAJORS Program participants.

Program supervision of the MAJORS Program shall be provided by a mental health or substance abuse supervisory professional who has at least two years of experience in providing substance abuse treatment services to the juvenile justice population. Core Program Services shall be provided by one or more Substance Abuse Counselors who are designated as a Qualified Substance Abuse Professional (QSAP) or a Certified Substance Abuse Counselor (CSAC).
Clinical supervision of the MAJORS Program Substance Abuse Counselor(s) shall be provided by an appropriately privileged Substance Abuse Clinical Supervisor. The MAJORS Program shall be designed as a partnership between the recipient agency, the Chief District Court Judge, and the Chief Court Counselor representing the local Juvenile Services Division of the Administrative Office of the Court.

All youth enrolled in the MAJORS Program shall be referred by the local Chief Court Counselor or his/her designee. The MAJORS Program shall have a current Performance Contract between the recipient agency and the local Chief Court Counselor representing the Juvenile Services Division of the Administrative Office of the Court. This Performance Contract shall clearly outline each agency’s role, responsibilities, and activities, and shall address joint mechanisms for cooperative decision-making and problem-solving, program oversight, and evaluation. The recipient agency shall work collaboratively with the Department of Juvenile Justice and Delinquency Prevention in the development and implementation of joint mechanisms for communication and problem solving, treatment planning, service delivery, and transitional planning.

Each recipient agency shall establish and maintain a broad-based MAJORS Program Project Advisory Group made up of representatives of various community agencies and consumers. This Advisory Group shall meet at least quarterly to offer advice and consultation on program policies and operation.

III. COMPLIANCE REQUIREMENTS

Crosscutting Requirements

The DHHS/Division of Mental Health, Developmental Disabilities and Substance Abuse Services (DMHDDSAS) mandates that all the testing included within the crosscutting section be performed by the local auditors. Please refer to that section, which is identified as “DMH-0” for those mandated requirements.

A. ACTIVITIES ALLOWED OR UNALLOWED

- **Core Program Services:** The recipient agency of a MAJORS Program Implementation Grant shall offer Core Program Services to all community-based MAJORS Program participants. Core Program Services are those regular Division approved Substance Abuse Periodic and Day/Night Services that are provided by MAJORS Program staff. These services shall be provided in accordance with the recipient agency’s approved practices for ordering, supervising, and providing services by privileged substance abuse treatment professionals.

- **Alternative Activities:** The recipient agency of a MAJORS Program Implementation Grant shall offer appropriate Alternative Activities to all MAJORS Program participants. Alternative Activities are those non-treatment activities that are provided by MAJORS Program staff or provided by designated personnel from other agencies or community volunteers. These activities include but are not limited to mentoring, tutoring or other supplemental educational or vocational training, recreation, community service, volunteer activities, etc.

- **Auxiliary Services:** The recipient agency of a MAJORS Program Implementation Grant shall facilitate the receipt of Auxiliary Services to MAJORS Program participants on an as needed basis. Auxiliary Services are those periodic, day/night, and 24-hour services that are not provided by the MAJORS Program Substance Abuse staff. These services may be provided directly by the recipient agency, or may be contracted through another agency providing substance abuse treatment services. Auxiliary Services include, but are not limited to, substance abuse day treatment services, supervised living, respite care, residential treatment, or hospitalization.
• **Transitional Services:** The recipient agency of a MAJORS Program Implementation Grant shall offer Transitional Services to all institution-based MAJORS Program participants. Transitional Services are those regular Division approved Substance Abuse Periodic Services that are provided by MAJORS Program staff. These services shall be provided in accordance with the recipient agency’s approved practices for ordering, supervising, and providing services by privileged substance abuse treatment professionals. Services include, but are not limited to, participation in joint collaborative treatment planning with the Department of Juvenile Justice and Delinquency Prevention (DJJDP) and other agencies, regular contacts with youth and their families, and arrangement of and linkage with needed community-based services.

Allowed activities specifically include:

- Screening
- Evaluation
- Substance Abuse High Risk Intervention Services - Individual and Group
- Substance Abuse Outpatient Treatment Services- Individual and Group
- Case Management
- Family Involvement
- Life/Personal Skills Development
- After-Hours Crisis Services
- Evening and Weekend Services
- Urinalysis
- Alternative Activities including recreation, mentoring, and tutoring
- Supportive services for clients, i.e. transportation stipends, child care vouchers, etc.
- Post-Institutional Care Transitional services

**B. ALLOWABLE COSTS/COSTS PRINCIPLES**

All grantees that expend State funds (including federal funds passed through the NC Department of Health and Human Services) are required to comply with the cost principles described in the NC Administrative Code at 09 NCAC 03M.0201. Services that meet the needs for adjudicated delinquent, adjudicated undisciplined and diversion contract juvenile offenders, with the highest service priority for those youth on aftercare supervision with the Juvenile Court who are returning to the community from training school or residential treatment programs. The Division of MH/DD/SAS has adopted the cost principles set forth in OMB Circular A-87 for the administration of this program.

**C. CASH MANAGEMENT**

These funds are disbursed on a reimbursement basis; therefore, Cash Management should not be tested at the local level.

The DHHS Controller’s Office is responsible for submitting a Financial Status Report 269 to the Federal Grants Management Officer, Child Mental Health Services, for documentation of federal funds expended according to the DHHS Cash Management Policy.

**E. ELIGIBILITY**
In addition to the guidelines and regulations for the Substance Abuse Prevention and Treatment Block Grant funds (refer to the Division’s SAPTBG Supplement # 93.959-CL), the following conditions apply for individuals receiving MAJORS Program Services supported by these funds must meet the following eligibility requirements:

1. Client shall be adjudicated delinquent, adjudicated undisciplined or on a diversion contract by the Juvenile Court.

2. Client shall have a current principal or primary DSM-IV diagnosis of substance abuse or dependence and the main focus of treatment shall be for substance abuse problems.

F. EQUIPMENT AND REAL PROPERTY MANAGEMENT

LME/AA should follow the State’s guidelines for Equipment Management when allocated one-time funds outside Unit Cost Reimbursement (UCR). Guidelines can be found under the DMHDDSAS Crosscutting Requirements Supplement (DMH-0).

G. MATCHING, LEVEL OF EFFORT, EARMARKING

Not applicable at the local level.

H. PERIOD OF AVAILABILITY OF FEDERAL FUNDS

This requirement does not apply at the local level.

I. PROCUREMENT AND SUSPENSION AND DEBARMENT

Procurement

All grantee that expend federal funds (received either directly from a federal agency or passed through the NC Department of Health and Human Services) are required to conform with federal agency codifications of the grants management common rule accessible on the Internet at http://www.whitehouse.gov/omb/grants/chart.html.

All grantees that expend State funds (including federal funds passed through the N. C. Department of Health and Human Services) are required to comply with the procurement standards described in the North Carolina General Statutes and the North Carolina Administrative Code, which are identified in the State of North Carolina Agency Purchasing Manual accessible on the Internet at http://www.doa.state.nc.us/PandC/agpurman.htm#P6_65.

Nongovernmental subrecipients shall maintain written Procurement policies that are followed in procuring the goods and services required to administer the program.

Suspension and Debarment

All grantees awarded contracts utilizing Federal dollars must be in compliance with the provisions of Executive Order 12549, 45 CFR Part 76 and Executive Order 12689.
L. REPORTING

1. In order to document approved services to eligible individuals with these funds, the LME/AA shall maintain individual client records on all individuals admitted to the MAJORS Program.

2. Reporting shall follow guidelines set forth in the annual Performance Contract between the LME/AA and Division and allocation letters from the Division to LME/AA.

3. Submit North Carolina Treatment Outcomes and Program Performance (NC-TOPPS) Initial and Update Assessments on all MAJORS clients as required by DMH/DD/SAS.

4. Programs shall quarterly submit to the Division the Substance Abuse/Juvenile Justice Initiative Quarterly Report of LME/AA Compliance with Division Performance Contract. (Due 1/20, 4/20, 7/20, and 10/20)

M. SUBRECIPIENT MONITORING

1. A regular Client Service Record, as described in the Department’s licensure Rules and the Division’s Service Records Manual and Resource Manual is required on all individuals admitted to the MAJORS Program.

2. Staff of the program will participate in MAJORS Program required meetings and site visits related to training, technical assistance, and program evaluation.

N. SPECIAL TESTS AND PROVISIONS

The agency must comply with any additional requirements specified in the contract or to any other performance-based measures or agreements made subsequent to the initiation of the contract including but not limited to findings requiring a plan of correction or remediation in order to bring the program into compliance.

Suggested Audit Procedures

- Review contract/grant agreement, identify any special requirements; and
- Verify if the requirements were met.

Conflict of Interest and Certification of No Overdue Tax Debts

All non-State entities (except those entities subject to the audit and other reporting requirements of the Local Government Commission) that receive, use or expend State funds (including federal funds passed through the N. C. Department of Health and Human Services) are subject to the financial reporting requirements of G. S. 143C-6 effective July 1, 2007. These requirements include the submission of a Notarized Conflict of Interest Policy (see G. S. 143C-6.23(b) and a written statement (if applicable) that the entity does not have any overdue tax debts as defined by G. S. 105-243.1 at the federal, State or local level (see G. S. 143-6.23(c)). All non-State entities that provide State funding to a non-State entity (except any non-State entity subject to the audit and other reporting requirements of the Local Government Commission) must hold the sub-grantee accountable for the legal and appropriate expenditure of those State grant funds.