

**STATE OF NEVADA  
DIVISION OF PUBLIC AND BEHAVIORAL HEALTH  
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 outlines the requirements necessary to obtain program certification, and allows SAPTA or its designated contractor to inspect each program that is certified to determine if state certification should be continued. In addition to NAC 458, and Division Criteria, programs are eligible to bill SAPTA if approved through the Request for Qualifications (RFQ) process which specifies the type of services to be provided and places specific requirements upon those programs receiving funding. Additionally, Providers who bill Medicaid under Provider Type 17 must be certified by SAPTA. The following briefly identifies the relationship between certification, funding, and non-funded programs.

- State Certification is available to any alcohol and drug use 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 through the RFQ process and programs that bill Medicaid under Provider Type 17. Other than for DUI Evaluation Centers and Opioid Treatment Programs, certification is optional for programs that do not receive SAPTA funding or bill Medicaid under Provider Type 17. Certification determines if a program has the necessary organizational structure and staff to provide a specified service.

**A. APPLICATION:** Any program or provider seeking certification under these rules shall apply to SAPTA for certification on a form provided by SAPTA. Providers must include the required documentation with the application and fee based on the guidelines provided by SAPTA. Upon receipt of a completed application, the materials will be provided to CASAT for review and compliance with these rules. CASAT will review the application materials, develop a new provider report and summary, and submit to SAPTA for review / approval. Renewal applications will be submitted to SAPTA and provided to CASAT upon receipt.

**B. SCHEDULE CERTIFICATION VISIT:** CASAT will contact the program approximately 45-60 days before the program's certification expires 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 and components of the certification visit.
- Identify program staff that CASAT will need to talk with.
- Inform the program staff of anticipated total time requirements. (The 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 (P&P, clinical/personnel records, insurance, over governmental reports, if applicable, etc...).
  - Three open clinical records and three closed clinical record will be selected for each level of service being reviewed. A smaller sample of records will be utilized in order to spend additional time reviewing clinical documentation and providing guidance to program staff.
  - Ten percent of personnel records will be reviewed. With larger programs CASAT will attempt not to re-review the same personnel files. This will be accomplished through collaboration with the program staff in choosing files.

**C. COMPLETE PRE-SITE CERTIFICATION ACTIVITIES:** CASAT will send a confirmation email to the program with the date / time of the site visit and reiterating the preparation information addressed during the scheduling discussion. Prior to the certification site visit, CASAT will review the program's Policy and Procedure Manual and the program's previous report.

**D. CONDUCT THE SITE VISIT:** To begin the site visit, CASAT will lead a brief entrance interview with the program staff covering the following:

- Introductions
- Explain the purpose of certification and the components of the site visit
- Go over the materials prepared for review to ensure all information is available
- Determine which program staff will be the lead for questions during the site visit

CASAT will commence with reviewing the certification materials provided by the program staff for compliance. Measurement for compliance is determined by using Nevada Administrative Code (NAC) 458 and the Division Criteria related to the operations of prevention, intervention, clinical and treatment programs. There are four types of findings for each compliance statement reviewed. Yes (meets the standard), No (did not meet the standard), Partial (meets a portion of the standard), and Not-Applicable.

To end the site visit, CASAT will lead a brief exit meeting with the program staff. The following topics may be discussed during the meeting:

- Summarize the process and recognize the cooperation and assistance of the program
- Review areas of strength
- Review areas of non-compliance and provide suggestions or guidance as applicable

**E. COMPLETE THE CERTIFICATION REPORT PACKET:** The Packet is comprised of the certification report, record report, score report per level of service and summary report for treatment services and the certification/score report and summary report for administrative / prevention / coalition services. The Certification Report Packet will be submitted to SAPTA for review / approval within 15 days of the expiration date.

A point system will be utilized to determine the percentage of each section of the certification report and an overall score. There are four categories that will be reviewed for Treatment services and three categories that will be reviewed for Administrative / Prevention / Coalition services:

### Administrative / Prevention / Coalition Services

- General / Organizational Protocols & Operations
- Policy and Procedure
- Personnel Protocols & Operations

### Treatment Services

- General / Organizational Protocols & Operations
- Policy and Procedure
- Personnel Protocols & Operations
- Clinical & Treatment Protocols and Operations (including requirements for specific levels of service)

**Certification Outcomes:** There are four possible outcomes to a Certification site visit.

- 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
- Major Non-Compliance: If a program receives a score under 65% in any category and/or an overall weighted score of 65% or below, the program will be required to submit a Corrective Action Plan (CAP) within 15 business days of receiving the Certification Report Packet. CASAT will review the CAP with the SAPTA Director on how to proceed on a case-by-case basis.

### Residential / OTS Programs that have HCQC License:

Programs that also have HCQC Licensure will be given an initial 8 month certification. This allows time for completing the certification /licensing requirements and building an initial client base.

### Inactive Levels of Service:

If a level of service to be reviewed does not have any current active clients at the time of the site visit, a 6-month certification can be issued, 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, the expiration dates may be aligned.
- If a level of service remains inactive for 1 consecutive year and the program wants to continue certification of the level, the Executive Director must submit a waiver request to SAPTA to justify the continuation of the certification. SAPTA will review the request with CASAT and make a final determination.

### SAPTA and CASAT Responsibilities

SAPTA Role	CASAT Role
60-day notice to programs of certification expiration date with guidance to submit renewal application / fee	Schedule site visits prior to expiration dates, provide program preparation guidance, review applications / materials
Receive and review new and renewal applications and fees for accuracy and completeness and request updates from programs as necessary	Conduct site visit to certify program: review of program materials, personnel / clinical records utilizing paper and/or EHR
Provide complete application materials to CASAT	Complete certification report packet and submit to SAPTA for review and approval
Close out new applicants that have not provided all requested materials after 90 days	Provide ongoing technical assistance to programs related to certification findings
Review / approve certification reports, send certification report packet and certificates to programs	Provide ongoing support to SAPTA related to certification

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