



Utah Department of
Health & Human Services
Integrated Healthcare

Office of Substance Use and Mental Health (SUMH)



**Audit Corrective Action Plan (CAP) Report of:
Utah County Prevention
Contract #A03080**

**Audit Review Date: January 6, 2026
Final Report**

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Executive Summary

In accordance with Section 26B-5-102, the Office of Substance Use and Mental Health (SUMH) conducted a local authority (LA) audit of Utah County Prevention. The official date of the review was December 4, 2025 for FY25 (July 1, 2024 - June 30, 2025).

The focus of this examination was to evaluate the LA's compliance with contract requirements, SUMH Directives, mandated mental health services, and Preferred Practice Guidelines. During the examination, the review teams evaluated the reliability and integrity of the LA's data and its compliance with established programmatic and operational objectives. Additionally, the review included an examination, through sampling, of the LA's use of financial resources.

This corrective action plan (CAP) report will be due back with input and responses from the LA within 14 calendar days from receipt of the signed audit report. For additional information about this process, please review the [FY26 Office Directives G&O Monitoring Process #4-5 pages 3-4](#).

If you have questions regarding this audit, please address them to Kelly Ovard by email at kovard@utah.gov or by phone at 385-310-5118.

Table of Findings

Program Reviewed	Finding Number	Page(s)
Programming	2.1	4
	2.2	5

Governance & Fiscal Findings

None

Program Findings

Finding 2.1 - Utilization of Block Grant funds

The [FY25 SUMH Office Directives](#) (B. Prevention Services, d.) indicate “Each LA must spend a minimum of 30% of SAPT Block Grant funds on prevention policies, programs, strategies, and administration.” During FY25, the LA spent 27% of Block Grant funds on prevention, and according to the program management team this was a shortage of approximately \$100,000.

Criteria:

The [FY25 SUMH Office Directives](#) (B. Prevention Services, d.) requires each LA to spend a minimum of 30% of SAPT Block Grant funds on prevention policies, programs, strategies and administration.

Condition:

The LA spent 27% of SAPT Block Grant funds on prevention, which does not fulfill the requirement that 30% of Block Grant funds must be spent on prevention.

Cause:

The LA did not adequately budget expenditures during FY25.

Effect:

The LA didn’t fulfill the requirement to spend 30% of SAPT Block Grant funds on prevention, therefore prevention services that should have been provided by the LA were not provided.

Recommendations:

While the LA cannot retroactively spend FY25 funds in order to fulfill the requirement, it is recommended that the LA evaluate utilization of FY26 funds to ensure that 30% of SAPT Block Grant funds will be spent on prevention.

Local Authority Action Plan:

See responses on page 7.

Timeline for follow-up or completion:

The LA should send an update regarding their assessment of FY26 expenditures to Becky Johnson (beckyljohnson@utah.gov) and David Watkins (dwatkins@utah.gov) no later than March 31, 2026.

Local Authority personnel responsible for the action plan:

Utah County Health Promotion Director and Utah County Prevention Manager

Tracked at SUMH by:

Becky Johnson

Finding 2.2 - Data User Gateway System (DUGS) data entry

The [FY25 SUMH Office Directives](#) (H. Service, Satisfaction and Outcome Data, vi. Prevention Data Requirements) indicate that the LA must enter prevention data into the SUMH approved system, Data User Gateway System (DUGS), within 45 calendar days of the delivery of service. During FY25, the LA entered DUGS data within the required 45 day timeframe 48% of the time. While this is an improvement from the FY24 finding that none of the data was entered on time, the requirement was still not adequately met.

Criteria:

According to the [FY25 SUMH Office Directives](#) (H. Service, Satisfaction and Outcome Data, vi. Prevention Data Requirements), the LA is required to enter DUGS data within 45 calendar days of the delivery of service.

Condition:

During FY25, the LA entered DUGS data within the required timeframe 48% of the time.

Cause:

Some of the Prevention personnel did not complete DUGS data entry within the required timeframe.

Effect:

Data entry was not submitted timely, which impacts federal data reporting.

Recommendations:

SUMH has transitioned from having Prevention data reported in the Date User Gateway System (DUGS) to having it reported in the State Prevention Activity Recording Query System (SPARQS) spreadsheet. It is recommended that the Prevention Manager develop a tracking system regarding SPARQS data entry, and conduct spot checks of data entry on a

monthly basis to ensure data is being entered within the required timeframe. The LA indicated consideration is being given to adding language to the Communities That Care (CTC) contracts re: data entry, and it is recommended that this occur.

Local Authority Action Plan:

Timeline for follow-up or completion:

The LA should send an update regarding their progress with improving SPARQS data entry deadlines to Becky Johnson (beckyljohnson@utah.gov) and David Watkins (dwatkins@utah.gov) no later than March 31, 2026.

Local Authority personnel responsible for the action plan:

Utah County Health Promotion Director and Utah County Prevention Manager

Tracked at SUMH by:

Becky Johnson

Utah County Prevention Responses

Finding 2.1 - Utilization of Block Grant funds

The Utah County Health Department acknowledges the unspent funds during the previous fiscal year and the recommendations provided by DHHS. Grant monitoring processes have been strengthened this year, and adjustments to how staff track and oversee funds have been implemented. As a result of these improvements, Utah County anticipates fully expending its allocated funds in FY26.

Finding 2.2 - Data User Gateway System (DUGS) data entry

The Utah County Health Department acknowledges the reporting not being reported within 45 days of delivery of service during the previous fiscal year and the recommendations provided by DHHS. Prevention leadership has worked with program staff to develop an internal tracking form on a Sharepoint site that will be shared with the CTC coordinators. The CTC coordinators have received training as of the beginning of February 2026 by DHHS on the new SPARQS data entry process. UCHD will also provide a CTC coordinator training on February 26, 2026 to go over deliverable expectations including the SPARQS data entry requirements as part of the funding.

Signature Page

We appreciate the cooperation afforded SUMH monitoring teams by the management, staff and other affiliated personnel of Tooele County and for the professional manner in which they participated in this review.

If there are any questions regarding this report please contact Kelly Ovard at 385-310-5118.

The Office of Substance Use and Mental Health

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Utah County Prevention FY26 Final Audit CAP Report

Final Audit Report

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