

## **CAPACITY BUILDING INTIATIVE 2019**

SUBSTANCE ABUSE PREVENTION AND CONTROL All Treatment Provider Meeting Tuesday January 29, 2019





## CAPACITY BUILDING INTIATIVE 2019 OBJECTIVES

By the end of this presentation, it is anticipated that providers will:

- **Discover** the purpose of the Capacity Building Initiative (CBI) statement of work.
- **State** the five (5) primary capacity building categories.
- Appreciate the important deadlines for expenditure of CBI funds.
- Identify the three (3) most critical requirements to quickly access funds under CBI.
- Become familiar with completing the applicable capacity building documents.
- **Identify** the deliverables associated with the CBI.



## **CAPACITY BUILDING**

"Capacity building is not just about the capacity of a nonprofit today -- it's about the nonprofit's ability to deliver its mission effectively now, and in the future. Capacity building is an investment in the effectiveness and future sustainability of a nonprofit." National Center for Nonprofit



## **CAPACITY BUILDING INITIATIVE**

## **PURPOSE**:

To support SAPC-contracted **treatment agencies** in meeting the expectations and requirements under the County's SUD specialty managed care plan to enhance **service provision** and improve the **quality of life** for staff, patients, their families, and the communities in which they reside.

### ELIGIBILITY

- 1) Providers with a **DMC CONTRACT**
- 2) Providers with an SUD CONTRACT FOR CENS (more information at upcoming CENS Director's meeting)



## CAPACITY BUILDING INITIATIVE CAPACITY BUILDING CATEGORIES





**1. Workforce Development** – capacity to meet the clinical and other workforce standards under START-ODS.

**2.** Strategic Relationships – capacity to effectively develop and cultivate alliances and partnerships.

**3. Equipment Acquisition**—capacity to identify and use the necessary equipment, tools, software to implement SUD treatment in a more effective or efficient manner.

**4. Infrastructure Upgrades** – capacity to improve the efficiency of facilities where services are provided.

**5. Regulatory Compliance** – capacity to meet or exceed compliance to mandated regulations, policies, guidelines and laws.



### 1. Workforce Development

Allowable Activities under Workforce Development include:



- Training: Formal instruction meant to increase the knowledge or skill of an individual with the goal to increase their ability to delivery services or execute their functions.
- **Education**: Classroom-like instruction towards a certification, license or degree meant to increase the capacity or quality of care of the provider staff (e.g. continuing education classes, language interpreter proficiency, etc.).
- **Any other activity** with the goal of increasing SUD treatment provider staff capacity and as approved by SAPC





### 2. Strategic Relationships

Allowable activities under Strategic Relationships include:

- Marketing and Communication: patient recruitment, partnerships and collaborations between various organizations.
- **Operationalizing Partnerships:** workflows improving referrals and collaborations.
- **Strategic Restructuring:** continuance of services under a new mission, administrative oversight, or organization (i.e., joint ventures, parent/subsidiary relationships, and mergers).
- **Patient-Related Assessment:** assessment of cultural and linguistic needs of patients, perceptions of care, satisfaction survey.

\*Consultants may be secured to assist in activities under strategic relationships.



#### **3. Equipment Acquisition**

Allowable activities under Equipment Acquisition include:

- **Business Machines/Software**: Any equipment to be used to conduct the daily operations of the SUD treatment provider.
  - Examples: computers, printers, scanners, software, or supplemental equipment such as signature pads or headsets.
- **Treatment Delivery**: Any equipment or software that facilitates the delivery of SUD treatment services.
  - Examples: Telehealth/Telephonic related equipment/software, Audio/Visual equipment, Furniture for group rooms, etc.
- Any other equipment acquisition activity with the goal of allowing the SUD treatment provider to deliver services in a more efficient and effective way and as approved by SAPC.

\* Equipment or software purchased under this category becomes the property of the provider. The provider is solely responsible for the maintenance and replacement of such equipment.



### 4. Infrastructure Upgrades

Allowable activities under the Infrastructure Upgrade category include:

- **Disability Access Improvements**: Improvements to facility that improve access and delivery of services to those with disabilities (e.g. ramp, room reconfiguration, bathrooms, installation of visual or sound equipment, etc.).
- **Increase Capacity**: Light repairs or minor renovations which result in added, increased, or improved use of rooms or office space to conduct SUD treatment related activities.
- Any other infrastructure upgrade activity with the goal of increasing the capacity of the structure where contracted SUD related activities occur.





**5. Regulatory Compliance** – capacity to meet or exceed compliance to mandated SUD governing regulations, policies, guidelines and laws

Allowable activities under Regulatory Compliance include:

- American with Disabilities Act: Ensures compliance with the ADA or improves deliver services (e.g. visual magnification devices, hearing magnification, modifications to curricula or reading materials, etc.). Does not include structural improvements.
- **Policy and Procedures Development:** Ensures that P & P are in alignment with requirements (e.g. timely access to care, CLAS, non-discrimination, etc.)
- Workflow Enhancement: Supports provider's ability to meet state and federal requirements (e.g. intake workflows, reducing time from intake to treatment services, increasing availability of slots or beds, development of monolingual non-English groups, etc.).
- **Trainings:** Ensures critical understanding of requirements, regulations under DMC ODS of staff, Board of Directors, and advisory boards.
- **Any other activity** approved by SAPC with the goal of increasing the SUD treatment provider's compliance with all relevant County, State, or Federal guidelines, regulations or policy.

\*Consultants may be secured to assist in activities under regulatory compliance.



## **EXAMPLE OF UNALLOWABLE COSTS**

### General

- ✓ Utilities
- Facility/Lease payments
- Acquisition of real property
- ✓ Software maintenance fees
- Any accounting/legal costs applicable to a capital improvement
- Leasehold improvements to homes rented under an operating lease
- ✓ Deductibles on insurable events
- Purchasing furniture or renovating employee offices

## Infrastructure Upgrade Specific

- Routine maintenance of existing accessibility components
- Any repairs or improvements that cannot be completed by end of term
- Repairs or improvement to buildings used for religious worship
- ✓ New construction including additions or extensions that add sq. ft beyond the existing footprint of the building
- ✓ Other non-capital costs as determined by County



CAPACITY BUILDING INITIATIVE **Requirements** 





## **CBI REQUIREMENTS**

- <u>Required Document Submission</u>
  - 1) Signed contract documents
  - 2) Work Plan
  - 3) Budget and Budget Narrative
- Other Requirements



- Include signature pad(s) under equipment acquisition criteria (as applicable)
- At least ONE (1) project MUST address Americans with Disability Act
- No more than THREE (3) Capacity Building projects should be undertaken

### Begin immediately, because:

- The sooner required documents are submitted, the sooner SAPC can process!
- All CBI projects MUST be completed by June 30, 2019!



## **CONTRACT DOCUMENTS**

First priority for submission as it takes time to complete amendment process:

- Allocation: \$100,000 (with some exceptions such as CENS, which is \$25,000)
- Received by: Providers should receive documents soon after this meeting
- Submission: ASAP, but no later than February 8th, 2019
- Term: Upon execution to June 30, 2019
- Process: Typical amendment process
  - Complete "verify/specify" (SOW and facility directory)
  - ✓ Complete SOW Exhibit C-2





## SUBSTANCE USE DISORDER TREATMENT SERVICES CONTRACT CAPACITY BUILDING (Date of execution through June 30, 2019)

Exhibit C-2

<u>ITEM</u>	<u>AMOUNT</u>
Salaries	\$
Facility Rent/Lease	\$ <u>NA</u>
Equipment Lease	\$
Services and Supplies	\$
Repairs & Maintenance	\$
Administrative Overhead	\$
Gross Budget*	\$

\* County reserves the right to withhold payments to Contractor for reasons set forth in this Contract, including, but not limited to Paragraph 5, Subparagraph H, and Paragraph 15, Subparagraph I of the CONTRACT.

**WORK PLAN** 

Workplan guides the capacity building projects and **MUST** be approved before engaging in activities

Content:

- General: goal/objective, category, activities, cost, timeline, & evaluation
- For Infrastructure Upgrades: work to be conducted and photos/drawings
- No more than 3 projects due to extremely short timeline
- Number: One workplan per provider (except agencies with CENS).
- Samples: In your packet and available on the website along with blank template <u>http://publichealth.lacounty.gov/sapc/events/events.htm</u>
- Review: Reviewed and approved by a multidisciplinary SAPC team within 5-7 business days of submission.
- Submission: Submit with budget and budget narrative by no later than February 15<sup>th</sup>,
   but sooner is better









#### COUNTY OF LOS ANGELES Public Health

## **TIPS FOR WORK PLAN**

Develop work plan that can be completed in 3-4 months!

- Don't overbook!
  - Consider staff bandwidth, time, and appropriate use of funds when planning.
  - Don't over commit on projects (No more than three projects is ideal)
- What are the things that keep you up at night? Look for the areas that have the greatest, fundamental impact on the organization's success!
  - Not enough referrals to your agency look at ways to increase footprint in the market
  - Difficulty meeting demands of intake/assessment examine existing workflows & focus on 1 item to change that will have the most impact
- Remember:
  - At least one capacity building project in work plan MUST address an ADA need.
  - If you do not have signature pads and are primary Sage User, MUST include in work plan





#### LOS ANGELES COUNTY DEPARTMENT OF PUBLIC HEALTH SUBSTANCE ABUSE PREVENTION AND CONTROL CAPACITY BUILDING INITIATIVE WORK PLAN

CAPACITY BUILDING CATEGORY	GOAL/OBJECTIVE	PROPOSED ACTIVITIES	TIMELINE	COST (examples of cost only)	EVALUATION/ DOCUMENTATION
Workforce Development	Example: Increase success at engaging monolingual/Limited English proficient Spanish and Tagalog speaking patients.	Enroll 2 bilingual staff Interpreter certification training course beginning 4/3/19 to improve healthcare language proficiency.		\$15,000	Registration and course completion
		Develop job description for Bilingual SUD Counselor that includes requirements for providing interpretation services.	5/30/19		Job description on file and approved by Board
	Example: To improve intake/assessment workflows by repurposing unused reception desk area into additional	✓ Obtain 3 bids	5/30/19		Bids on file Pictures of existing space
	intake rooms.	<ul> <li>Select contractor</li> <li>Submit bids &amp; contractor agreement for SAPC approval</li> <li>Oversee room build out</li> </ul>			Pictures of finished space Receipts/invoices
		Install workstations	6/30/19		Receipts/invoices
Equipment Acquisition	Example: To increase the efficiency of information technology for improved patient workflows.	Purchase Microsoft Windows 10 software license		\$15,000	receipts/invoice
			4/1/19		Consultant resume and
			3/15/19 6/1/19		agreement
		Incorporate use of signature pads into workflow	6/30/19		P & P for electronic signatures
	Example: To identify areas where agency is not meeting Americans with Disabilities Act regulations and	Research and identify Certified Access Specialist consultants Obtain SAPC approval on subcontract agreement	4/15/2019 4/30/19	\$30,000	consultant certification Agreement on file
	plan to address.	CASp conducts assessment and provides recommendation	5/15/2019		report of recommendations
		Develop disability access plan with timeline for implementation of prioritized changes	6/30/ 2019		Plan with timelines





## BUDGET

- Content: Budget and narrative must align with work plan & Exhibit C-2
- Format: cost reimbursement contract based on ACTUAL costs
- Billing: SAPC's Electronic Billing System, but...
- Payment Approval: Payment is based on approval of invoices
- Cost Report: Remember this is based on actual costs, so there should be no variances at the end of the term
- Submission: Submit with your work plan by February 15, 2019
- Budget and Narrative Review: Use ONLY templates on website
- Review/Approve: Contract Program Auditor/Finance



#### COUNTY OF LOS ANGELES - DEPARTMENT OF PUBLIC HEALTH SUBSTANCE ABUSE PREVENION AND CONTROL BUDGET SUMMARY FOR CONTRACTED SERVICES FISCAL YEAR 2018-19

												Туре	of Submission	(Choose one):
													Original	
Date:													Amended	
Type of Program:	CAPACI	TY BUILI	DING										Augmentati	ion
Contract/Agency Le	gal Name:								,		D.B.A.:			
Address/City:											Zip Code	e:		
Contract Number :			Contr	act Term:	6 M	onth	_	Contract	Agreement - From:	3/5/	/2019	To:	6/30/2019	
Telephone Number:			Fi	scal Year:	FY 1	8-19		Contact F	Person:					
Fax Number:								Primary E	Email Address:					
								Contact F	Phone Number:					
Total Projected Pr	ogram Exp	ense:			Propose	d Budget		<u>Total Inc</u>	:ome/Revenue:					
1. Salaries/Wages &	z Employee	Benefit						Total Co	ounty Allocation					
2. Facility Rent/Lea	se							7. Participant/Client Fees						
3. Equipment Lease								8. Private Funding						
4. Services and Sup	plies							9. Othe	r Revenue					
5. Repairs & Mainte	nance													
6. Administrative O	verhead													
Total Program Exp	enses				\$		<u>-</u>	Total In	come/Revenue				\$	_



COUNTY OF LOS ANGELES Public Health

## **BUDGET NARRATIVE**





## **BUDGET NARRATIVE – Salaries & Employee Benefits**

- 1. Salaries & Employee Benefit
- a. Salaries.
  - i. Description of each position (including vacant positions).
  - ii. Should relate to CB projects.

#### **Sample Justification**

Project Manager – [Shelley Winters]

This position directs the overall design and operation of the project; responsible for overseeing the implementation of project activities, coordination with contractors and consultants, development of materials, conducting meetings, this incumbent will spend 50% of her time conducting all program

#### Sample Budget

Total \$ -

Title	# of Positions	Monthly Salary	<b>Fotal % of time spent on program</b>
Program Manager	1	45,000	50%



## **BUDGET NARRATIVE – Salaries & Employee Benefit**

#### 1. Salaries& Employee Benefit

- b. Employee Benefits
  - i. List all employment related costs, such as FICA, workers compensation, health insurance, and retirement benefits.
  - ii. If not calculated using percent of total salaries, provide a breakdown of how the computation is done.
  - iii. No other justification required

#### Sample Budget

Project Manager - Salary [22,500] Retirement 5% of \$22,500 = FICA 7.65% of \$22,500 = Insurance = Workman's Compensation, etc. =

[amount] [amount] [amount] [amount] **Total [amount]** 



## **BUDGET NARRATIVE - Equipment**

## 3. Equipment Lease (items with 3+ years of useful life and cost of \$5,000+)

### For each item include:

- Brief description or name
- Cost for the item
- Justification

#### Sample Budget Equipment

## [Item/Description] =

[Item/Description] =
[Item/Description] =

#### [amount] [amount] [amount]

### Justification MUST include:

- How the item relates to specific CB activities
- Dealer or manufacturer quotes
- Attach any relevant specifications
- The source for determining the price (if no quote is available)

### Total <u>\$</u>-

[Justification] [Justification] [Justification]



## **BUDGET NARRATIVE – Services and Supplies**

### 4. Services and Supplies

- **a.** Supplies (e.g. office, printing, maintenance, utilities, software, etc.):
  - i. Include signature pads and Windows 10, as required
  - ii. Include details on any specific item that takes up a significant amount

#### **Sample justification**

Healthcare language interpretation training for two bilingual staff (Spanish and Tagalog). Windows 10 and Topaz<sup>®</sup> SignatureGem<sup>®</sup> LCD; Model: T-LBK462-HSB-R signature pads will be purchased for patient electronic signatures.

10 Signature Pads @ \$400 each =	[amount]
Windows 10 Software Upgrade =	[amount]
Language Interpretation Training =	[amount]



## **BUDGET NARRATIVE – Services and Supplies**

### 4. Services and Supplies

- **Consultant/Subcontractor** (e.g. offers professional advice or services for a fee) b.
  - i. Consultant fees (name, service, hourly or daily fee, and estimated time on the project)
  - ii. Consultant expenses (list all expenses to be paid from the grant to the individual consultant in addition to their fees)
  - iii. Detailed justification and explanation for each subcontractor's expense and list each line item for subcontractor's expenses. If your subcontractor/consultant has not yet been identified, provide a detailed justification and explanation for the anticipated costs for subcontractor/consultant services

#### Sample Budget

Consultant 2. Technology Consultant Subtotal Name of Consultant Organizational Affiliation (if applicable) Nature of Services to be Rendered Relevance of Service to the Project Number of Days of Consultation (Basis for fee) Expected Rate of Compensation (travel, per diem, and other related expenses)

List a subtotal for each consultant in this category.

#### Total: <u>\$</u> -

#### Sample Justification:

Consultant will assist organization by providing technological expertise in navigating, installing and accessing software licensing and upgrades, work with SAPC to ensure proper installation of signature pads, and support staff in transitioning to Windows 10 and use of signature pads.



## **BUDGET NARRATIVE – Services and Supplies**

#### 4. Services and Supplies

- c. Travel (employed by agency).
  - i. purpose of the trip
  - ii. itemize the estimated travel costs to include # of trips, destinations, and # of people
  - iii. Indicate number of nights and amount of each nights lodging and any per diem\* \*per diem rates may not exceed Los Angeles County established reimbursement rate for the budget period.

#### Sample Budget and Justification

National Council for Behavioral Health Conference March 25-27, 2019 Nashville Conference will increase exposure to innovative SUD treatment strategies for 2 staff

1 trip x 2 people @ $800$ airfare =	[amount]
3 days per diem x \$45/day x 2 people =	[amount]
3 nights lodging x $88$ /night x 2 people =	[amount]
Ground transportation 2 people $=$	[amount]
	Total \$ -



## **BUDGET NARRATIVE – Repairs and Maintenance**

### 5. Repairs & Maintenance (only infrastructure upgrade)

- Include detailed explanation and calculation for each item that maintains an asset's life or current condition.
- Additional documentation will be required for approval (e.g. bids, site control, etc.)

### Sample Budget

Installation of wall	\$5,000		
Painting	\$1,000		
Workstations purchase and install	\$24,000	Total	\$ -

<u>Sample Justification</u>: Repurposing of the existing unused reception desk into two intake areas. This includes the combined cost for hiring a contractor to create interior walls, design confidential work space, install workstations for two intake staff, and purchase materials and furniture.



## **BUDGET NARRATIVE – Administrative Costs**

6. Administrative Overhead ( costs associated with general expenses)

Choose one of the following two options:

- <u>Option I:</u> For provider with valid approved Indirect Cost Rate (ICR), multiply the valid approved ICR by total direct costs excluding capital expenditures and provide ICR approval letter.
- <u>Option II:</u> For provider without valid approved ICR, use 10% of MTDC (Modified Total Direct Cost). MTDC including **DIRECT** salary, employee benefits, material, supply and travel.



CAPACITY BUILDING INITIATIVE **Deliverables** 





## **CAPACITY BUILDING DELIVERABLES**

General Deliverable	Infrastructure Upgrades (as needed)
Identify a Program Manager	Primary Benefit to Contractor
Invoicing	Evidence of Site Control
Subcontracts/Consulting Approvals	Bids and Subcontracts



## **PROGRAM MANAGER**

- Identify: Representative to facilitate coordination of CB activities
- Responsibility: Oversight of capacity building activities and communicating with SAPC.
- Submit: Program manager name to your Capacity Building CPA
- Include: Name and contact on all reports, invoices, and other related documents.
- Notify: your assigned Contract Program Auditor when there is a change in the Program Manager



## **INVOICES**

- Format: must use the invoice template provided, also available on <a href="http://publichealth.lacounty.gov/sapc/Event/event.htm">http://publichealth.lacounty.gov/sapc/Event/event.htm</a>
- Include: copies of relevant supporting documents (e.g. consultant invoice, bids/quotes, specifications, designs, photos, etc.)\*
- **Submission:** submit by 10<sup>th</sup> of each month to <u>SAPC Compliance@ph.lacounty.gov</u>
- Review/Approved: Contract Program Auditor.
- **No Expenses**: Submit with information on status

\*NOTE: invoices WILL NOT be approved if needed supporting documents are missing.



## SUBCONTRACTORS/CONSULTANTS

- All subcontracts or agreements between your agency and another company or individual must be reviewed and approved by SAPC, <u>IN ADVANCE</u>. \*
- Format: Use subcontractor/consultant checklist sheet
  - Detailed scope outlining the consultant/subcontract product or services to be provided, estimated time on the project, description of fees and an estimate or detailing of exact costs
  - ✓ Resume, CV, licenses, certifications or other explanation of experience
  - Bid summary sheet, for Infrastructure Upgrade only where applicable
- Submission: submit with invoices on the 10th of each month
- Review: Contract Program Auditor
- \*If not approved, in advance, by SAPC consultant services will not be reimbursed.



## **INFRASTRUCTURE UPGRADE**

- Primary Benefit to Contractor: Repairs and improvements to <u>leased</u> <u>property</u> will be reviewed to ensure that the landlord or property owner is not the primary beneficiary of the SRFI activities.
- This may require a site visit or review of submitted documentation
- EXAMPLE: Installing a new roofing an entire building that contains other businesses besides your agency.



## INFRASTRUCTURE UPGRADE

**Site Control:** SAPC requires Infrastructure Upgrades have evidence of site control for the contracted treatment facility(ies) where treatment activities will take place.

- To demonstrate site control, agencies should submit:
  - copy of the deed (if owned),
  - Current lease (if leased/rented), expired leases will not be considered
  - or other approved evidence of site control.
- If repairs/improvements will take place on leased property, you must submit:
  - written acknowledgement indicating support of the property owner for any improvements
- Determination of appropriate site control is at the discretion of SAPC
- Deadline: February 15, 2019



## **INFRASTRUCTURE UPGRADES**

### Bids and Subcontracts:

- For all projects over \$1,500, providers must submit a "bid information sheet" identifying the three (3) bids/quotes (<u>http://publichealth.lacounty.gov/sapc/events/events.htm</u>)
- For subcontracted services \$1,000 or above, must use a company or individual that is appropriately licensed and bonded.

#### TIPS ON INFRASTRUCTURE UPGRADES:

**Regulations**: ensure any work, including that of subcontractors, complies with all Federal, State, County and City laws, ordinances or regulations controlling the action or operation of those engaged in the work, or affecting materials used, and operate in accordance with them.

**Safety**: ensure all rules of safety under Federal, State, or local code or regulation are carried out AND take proper safety and health precautions to protect the work, employees, residents, the public and the property of others.



#### CAPACITY BUILDING INITIATIVE







### **CAPACITY BUILDING INITIATIVE WEBPAGE**

### http://publichealth.lacounty.gov/sapc/events/events.htm





## **CONTRACT PROGRAM AUDITORS**

- Your existing CPA will be available to assist you in reaching your capacity building goals.
- Your existing CPA will:
  - Support your agency in reaching capacity building goals
  - Provide ongoing project monitoring and management
  - Serve as the initial point of contact for capacity building activities
  - Provide resources and information
  - Review/approve invoices, work plans, reports, and other documentation



## COMMUNICATION

- This initiative **WILL NOT** be successful without it
- We will be in regular communication with you
- We encourage and invite you to contact your CPA whenever there is confusion, questions, or concerns regarding your activities as soon as it arises
- Let us know if there are additional resources you need or have that can be shared
- Take advantage of the resources on the webpage



# **QUESTIONS?**