

CAPACITY BUILDING INITIATIVE OVERVIEW

SAPC CONTRACT SERVICES DIVISION
Contract Compliance and Monitoring



CAPACITY BUILDING INITIATIVE

OBJECTIVES

- Understand the purpose and goals of the Capacity Building Initiative and related statements of work.
- Understand what specific capacity building and infrastructure development efforts can be funded.
- Understand the contract requirements and expectations, and associated deliverables such as work plans and budgets.
- Understand key components of the SAPC recommended organizational capacity building assessment tool to help identify provider-level priority investment areas.




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

Two Statements of Work have been added to GPS contracts and are effective **January 17 to June 30, 2017** ONLY: 

1. **Organizational Capacity (OC)**- Support contracted agencies, particularly those with least access to other resources, in developing and strengthening their organizational capacity to expand and sustain effective treatment and recovery services
2. **Strengthening Residential Facility Infrastructure (SRFI)** - Support SAPC-contracted residential treatment providers in improving or maintaining the quality, efficiency, accessibility, and reach of their residential facilities.



CAPACITY BUILDING INITIATIVE

FUNDABLE ORGANIZAITONAL CAPACITY AND INFRASTRUCTURE



ORGANIZATIONAL CAPACITY SOW ALLOWABLE ACTIVITIES

- 1. Organizational Leadership and Planning** – capacity to address organizational leadership and planning challenges.
- 2. Strategic Relationships** – effectively develop and cultivate alliances and partnerships.
- 3. Internal Operations and Management** – capacity to manage operations and improve efficiencies and practices to enhance service delivery.
- 4. Technology Infrastructure Development/Improvement** – capacity to meet technological needs required under the START–ODS.
- 5. Clinical Practices and Workforce Development** – capacity to meet the clinical standards under START ODS and implement systems which ensure a strong clinical workforce.



STRENGTHENING RESIDENTIAL FACILITY INFRASTRUCTURE

SOW ALLOWABLE ACTIVITIES

Repairs or improvements can **ONLY** be conducted to an existing SAPC-contracted agency's residential facility space currently or expected to be used for direct program services.

1. General Repairs and Improvements

2. Health and Safety Repairs and Improvements

3. Accessibility Improvements to comply with the Americans with Disabilities Act (ADA)

UNALLOWABLE ACTIVITIES:

- Purchasing furniture or renovating employee offices
- Ongoing or routine maintenance of existing accessibility components
- Projects/repairs that have already been started prior to this amendment
- Any repairs or improvements that cannot be completed within the term of this amendment
- Repairs or improvement to buildings used for religious worship
- New construction including additions or extensions that add square footage beyond the existing footprint of the building



OTHER UNALLOWABLE COSTS

- ✓ Hiring new permanent personnel other than as outlined above for clinical staff
- ✓ Costs related to other SAPC-funded programs
- ✓ Utilities
- ✓ Facility/Lease payments
- ✓ Acquisition of real property
- ✓ Repairs or upgrades to publicly –owned buildings
- ✓ Development of a new or maintenance of an existing electronic health record system
- ✓ Software maintenance fees
- ✓ Any accounting and legal costs potentially applicable to a capital improvement
- ✓ Leasehold improvements to homes rented under an operating lease
- ✓ Deductibles on insurable events
- ✓ Other non-capital costs as determined by County



CAPACITY BUILDING INITIATIVE

REQUIREMENTS AND DELIVERABLES



CBI REQUIREMENTS & DELIVERABLES

- Priority Requirements:
 - Organization Capacity Building Assessment (CBA) – ORGANIZATIONAL CAPACITY ONLY
 - Work Plan (based on priorities identified in CBA)
 - Budget (template and narrative)

| • Organizational Capacity | Strengthening Residential Facility Infrastructure Same as Organizational Capacity AND |
|--|---|
| Monthly and Final Reports | Primary Benefit to Contractor |
| Invoicing | Evidence of Site Control |
| Subcontracts/Consulting | Site Modification, when applicable |
| Attend SAPC meetings & work with CIBHS | Bids and Subcontracts |
| Identify a Program Manager | |



PROGRAM MANAGER

- **Required:** For both Statements of Work
- **Identify:** Either one person or two, depending on the number of SOW
- **Responsibility:** Oversight of capacity building activities and communicating with SAPC.
- **Submit:** Identified program manager name to your Capacity Building CPA
- **Include:** the Program manager's name and contact on all reports, invoices, and other documents as needed.
- **Notify:** your assigned Capacity Building CPA when there is a change in the Program Manager



ORGANIZATIONAL CAPACITY BUILDING ASSESSMENT TOOL

- **User-friendly:** with the Organizational Capacity Building Assessment (OC ONLY).
- **Nine Elements:** each element focuses on an area of organizational management
- **Available at:**
<http://publichealth.lacounty.gov/sapc/HealthCare/CapacityBuilding.htm>
- **Time Efficient:** the tool does not require a significant amount of time to complete
- **Time Sensitive:** it must be completed before the work plan and budget.

Deadline is **February 15, 2017!** BUT....consider completing sooner.

- **Submission:** submit the completed assessment with the results page to SAPC_Compliance@ph.lacounty.gov
- **Review:** this will only be reviewed and compared with the work plan(s). After submitting, you do not need SAPC wait for SAPC to approve to continue working on the work plan.

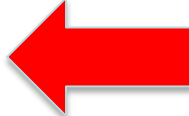


WORK PLAN

- **Aligns** with the Organizational Capacity Building Assessment (for organizational capacity SOW ONLY).
- **Contents:** There are two different work plans for each SOW:
 - Organizational Capacity SOW: capacity building needs, activities, timeline, expected outcomes and evaluation
 - Strengthening Residential Infrastructure SOW: Problems to be addressed, work to be conducted, timeline, and photos/drawings
- **Submit:** One work plan for each SOW
- **Sample:** In your packet are samples of the work plan; blank templates are available on the website
- **Review:** Work Plans will be reviewed by a multidisciplinary team within 5-7 business days of submission
- **Deadline: February 28, 2017**, but sooner is better



BUDGET

- **Aligns:** Budgets must align with the activities in the work plan
- **Cost Reimbursement:** reimbursement is based on ACTUAL costs
- **Billing:** SAPCs Electronic Billing System, but...
- **Invoicing:** Payment is based on approval of invoices
- **Cost Reporting:** Remember this is based on actual costs, so there should be no variances at the end of the term
- **Submission:** The sooner the better in order to start billing 
- **Budget and Narrative Review:** Please pull out the budget and narrative templates located in your folders
- **Review/Approve:** Capacity Building Contract Program Auditor



SCHEDULE C-1 – ORGANIZATIONAL CAPACITY

COST REIMBURSEMENT:

Period of (Board Approval)
through 06/30/17

- | | |
|----------------------------|----------|
| 1. Salaries | \$ _____ |
| 2. Facility Rent/Lease | \$ _____ |
| 3. Equipment Lease | \$ _____ |
| 4. Services and Supplies | \$ _____ |
| 5. Administrative Overhead | \$ _____ |
| 6. Gross Budget | \$ _____ |

NOTE: COSTS FOR FACILITY RENT/LEASE ARE NOT ALLOWABLE UNDER THIS STATEMENT OF WORK



SCHEDULE C-2 – STRENGTHENING RESIDENTIAL FACILITY INFRASTRUCTURE

STRENGTHENING RESIDENTIAL FACILITY INFRASTRUCTURE

COST REIMBURSEMENT:

Period of (Board Approval)
through 06/30/17

- | | |
|----------------------------|----------|
| 1. Salaries | \$ _____ |
| 2. Equipment Lease | \$ _____ |
| 3. Services and Supplies | \$ _____ |
| 4. Repairs & Maintenance | \$ _____ |
| 5. Administrative Overhead | \$ _____ |
| 6. Gross Budget | \$ _____ |



INVOICES

- **Format:** must use the invoice template provided, also available on <http://publichealth.lacounty.gov/sapc/HeathCare/HealthCareReform.htm>
- **Include:** supporting documentation, where warranted (e.g. consultant invoice, bids/quotes, specifications, designs, photos, etc.)
- **Separate:** one invoice submitted per capacity building SOW
- **Submission:** submit the 10th of each month to SAPC_Compliance@ph.lacounty.gov
- **Review/Approved:** by Capacity Building Contract Program Auditor.



MONTHLY REPORTS

- **Format:** will be based primarily on your work plans, templates are being developed and will be available on the webpage
- **Contents:**
 1. Period covered by the report
 2. Summary of project status for the report period, including:
 - ✓ Description of work plan objectives, and other work during the reporting period
 - ✓ Unresolved issues resulting in non-completion of work plan objectives and the plan of action
 - ✓ Documentation and progress on subcontractor/consultant activities
 - ✓ Staff changes
 - ✓ Any other information, as required
- **Submission:** submit the 10th of each month to SAPC_Compliance@ph.lacounty.gov
- **Review:** by Capacity Building Contract Program Auditor.



SUBCONTRACTORS/CONSULTANTS

- All subcontracts or agreements between your agency and another company or individual **must** be reviewed and approved by SAPC.
- Use the subcontractor/consultant checklist sheet to ensure you include the following, in advance, as a part of their subcontractor/consultant packets:
 - ✓ 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 SRFI only where applicable
- Submit with the monthly report or on its own
- Subcontractor/consultant activities not approved, in writing, by SAPC in advance may not being reimbursed.



SRFI REQUIREMENTS

- **Primary Benefit to Contractor:** Repairs and improvements to leased property 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 HVAC system or roofing an entire building that contains other businesses besides your agency.



SRFI REQUIREMENTS

- **Site Control:** SAPC requires that all SRFI providers submit evidence that they maintain site control of the facility(ies) where activities will take place.
 - ❑ To demonstrate site control, agencies should submit:
 - copy of the deed (if owned),
 - lease (if leased/rented),
 - 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 AND
 - a lease that extends to at least the year 2020 (three [3] years from this SOW).
 - ❑ Determination of appropriate site control is at the discretion of SAPC
 - ❑ Deadline: **February 28, 2017**



SRFI REQUIREMENTS

- **Site Visits:** Site visits will be conducted by SAPC at various stages
- **Statement of Work Modifications:** A Statement of Work Modification must be submitted that describes the reason for the delay and the revised target completion dates, and this must be approved by SAPC in advance of proceeding with the project. A template will be provided on the webpage.
- **Bids and Subcontracts:** For all projects over \$1,500, agencies must submit the bid information sheet identifying the three (3) bids/quotes. For subcontracted services \$1,000 or above, must use a company or individual that is appropriately licensed and bonded.



SRFI REQUIREMENTS

- **Regulations:** It is expected that agencies will 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:** Agency must 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.



“Assessments helps organizations move beyond old thinking, enables them to ask the hard questions and go deeper than they may typically be inclined to do.”

Create the Future

CAPACITY BUILDING INITIATIVE

ORGANIZATIONAL CAPACITY BUILDING ASSESSMENT



CAPACITY BUILDING ASSESSMENT TOOL

For all Organizational Capacity Statements of Work, a capacity building assessment must be completed prior to beginning activities:

- Use your own capacity building assessment tool approved by SAPC (it must have been completed within the last 12 months)

OR

- Use the SAPC-identified organizational capacity building assessment tool
 - developed by The Center for Public Skills
 - part of a larger capacity building toolkit for non-profit organizations
 - very user-friendly
 - Uses excel spreadsheet with pre-existing formulas
 - based on knowledge amassed over many years, from the practices of other nation-wide capacity building efforts



CAPACITY BUILDING ASSESSMENT TOOL

Nine Primary Elements

1. Mission, Vision and Strategy

== The driving forces behind your agency's purpose and direction.

2. Board Governance
3. Executive Staff Leadership

== The lubricant that keeps all the parts aligned and moving

4. Service Delivery and Impact

== The primary reasons for your agency's existence.

5. Strategic Relationships
6. Management & Development of HR
7. Revenue & Resource Development
8. Financial and Legal Management
9. Operations and Infrastructure

== The necessary mechanisms to achieve your agency's ends.



OVERVIEW OF CAPACITY BUILDING ASSESSMENT TOOL

| Mission Vision Strategy | | | | | |
|---------------------------------------|--|--|--|---|--|
| Assessment Categories (7) | LEVEL 1: Clear need for increased capacity | LEVEL 2: Basic level of capacity in place | LEVEL 3: Moderate level of capacity in place | LEVEL 4: High level of capacity in place | Select the level that reflects the organization |
| <i>1. Mission</i> | The organization's mission not known or understood; not referred to or used. | The organization's mission known and understood by only a few; broad agreement lacking; rarely referred to or used. | Clear expression of the organization's mission; held by many within organization (by both board and staff) and often referred to but may not always drive programming and other organizational decisions and strategies. | Clear expression of the organization's mission; universally held within organization (by both board and staff) and used to drive programming and other organizational decisions and strategies. | 2 |
| <i>2. Shared Beliefs & Values</i> | No common set of basic beliefs and values held within the organization. Differences among and within board and staff may stem from conflicting beliefs and values. | Common set of basic beliefs aligned with mission seems to exist or is assumed among some within the organization but is not clearly articulated or shared broadly. | Common set of basic beliefs held by many people within the organization (board and staff); values clearly aligned with the organization's mission, emphasizing positive social change; helps provide members a sense of identity; beliefs are aligned with organization purpose and often harnessed to produce impact. | Common set of basic beliefs and values exists and is widely shared within the organization (board and staff); provides members sense of identity and clear direction for behavior; beliefs embodied by leader but nevertheless timeless and stable across leadership changes; beliefs clearly support overall purpose of the organization and are consistently harnessed to produce impact. | 2 |



CAPACITY BUILDING ASSESSMENT TOOL

- Completing the Capacity Building Assessment as a team is highly recommended.
- Team can consist of the Executive Director, at least one other staff member, and at least two board members, one being in key leadership position.
- Submit completed tool with summary sheet to
SAPC_Compliance@ph.lacounty.gov
- Deadline for submission is

February 15, 2017



PRIORITIZING CAPACITY BUILDING FOCUS

Work with your team to analyze and prioritize the capacity building focus area.

- You are NOT required to follow these steps, but they may be helpful in completing your work plan
- Typically, this will be the categories with the lowest scores (1 or 2)
- We recommend you start by selecting 6 out of the 55 elements, which most influence the organization AND can be accomplished in the next 5-6 months.
- List them on a sheet of paper, computer, or projector
- Look for the categories that are the “driving forces” right now. Those that have the greatest, fundamental impact on the organization’s capacity to be successful under the START ODS.



EXAMPLE OF SELECTED FOCUS AREAS

Six CB Focus Areas

1. Fund/Revenue Model
2. Use of Technology
3. Service Planning, Relevance & Integration
4. Incorporating Effective Practices and Models
5. Operational Policies and planning
6. CEO/Executive Staff Succession Planning



PRIORITIZING CAPACITY BUILDING FOCUS

Work with your team to analyze and prioritize the capacity building focus area.

- Once the 6 focus areas have been identified, discuss with your team to further prioritize.
- A maximum three (3) priority areas is recommended to include in your work plan
- These steps are NOT required, but may assist you in completing your work plan

REMINDER: Look for the areas that have the greatest, fundamental impact on the organization's capacity to be successful under the START ODS.



EXAMPLE OF SELECTED FOCUS AREAS

Six CB Focus Areas

1. Fund/Revenue Model
2. Use of Technology
3. Service Planning, Relevance & Integration
4. Incorporating Effective Practices and Models
5. Operational Policies and planning
6. CEO/Executive Staff Succession Planning



INCORPORATING PRIORITY AREAS INTO WORK PLAN

Work with your team to incorporate this information into your work plan.

- Will you need Education and training? Or Do you need more focused technical assistance?

Possible sources: staff and capacity building consultants, local United Way, state association of nonprofits, university-based training resources, etc.

- Would peer exchanges with other nonprofits be helpful?

e.g. Meeting with Executive Director that has developed an exemplary staff orientation program.

- Are there print, audio, web, and/or video resources?

e.g. staff and capacity building consultants or others assemble package of resources on leadership succession planning



EXAMPLE – ORGANIZATIONAL CAPACITY WORK PLAN

| Series | CAPACITY BUILDING NEEDS | PROPOSED ACTIVITIES | TIMELINE | EXPECTED OUTCOME |
|-------------------|--|--|--|--|
| <i>Example: A</i> | <i>Example: Need to improve financial capacity of organization</i> | Retain skilled CPA, bookkeeper or other financial management expert Convene a workgroup to assist in planning Develop permanent financial management protocols | By 2/28/17 By 3/15/17 By 3/1/17 By 4/1/17 | Operationalization of a permanent financial management system |
| E | Example: Increase clinical workforce to assess medical necessity and treatment appropriateness. | Hire full time clinical program director Develop clinical protocol for establishing medical necessity Ensure staff trained on ASAM | By 3/31/17 By 5/30/17 By 6/30/17 | increase patient capacity, improved patient placement in most appropriate level of care |
| C & E | 3. Example: Increase success at engaging monolingual Spanish/Limited-English proficient patients. | Establish protocols for instituting CLAS standards. Send 2 bilingual staff to attend the PAL interpreter training Develop more culturally and linguistically appropriate marketing materials | By 4/1/17 By 6/1/17 By 6/30/17 | Increase capacity to engage and retain monolingual Spanish/ Limited-English proficient patients. |



SUPPORT AND RESOURCES



CAPACITY BUILDING INITIATIVE WEBPAGE

<http://publichealth.lacounty.gov/sapc/HeathCare/HealthCareReform.htm>

The screenshot shows a web browser displaying the Substance Abuse Prevention and Control (SAPC) website. The browser's address bar shows the URL: <http://publichealth.lacounty.gov/sapc/HeathCare/HealthCareReform.htm>. The website header includes a search bar, a navigation menu with "Program Home" and "About", and social media icons. The main content area is titled "START-ODS Capacity Funds" and features a large graphic with the text "START-ODS SYSTEM TRANSFORMATION TO ADVANCE RECOVERY AND TREATMENT". Below the graphic, the text reads: "Los Angeles County's Substance Use Disorder Organized Delivery System". The page provides information about California's Medi-Cal 2020 1115(a) Drug Medi-Cal (DMC) Organized Delivery System (ODS) Waiver Demonstration Project. It states that the project aims to expand access to substance use disorder (SUD) treatment benefits to all Medi-Cal-eligible youth and adults. The page lists two goals: 1. Enable SUD contractors with General Program Services (GPS) contracts, in particular those with the least access to other financial resources, to develop and strengthen their organizational capacity to expand and sustain effective treatment and recovery services. 2. Enable contracted residential treatment providers to improve or maintain the quality, efficiency, accessibility, and reach of their residential facilities. The page also provides links to the [SAPC Provider Letter](#) and the [List of Eligible Agencies](#) (Coming Soon). Under the heading "Contract Related Documents", there are links to: [Capacity Building Initiative Provider Information Sheet](#), [Organizational Capacity Building Assessment and Benchmarking Tool Template](#), [Budget Template](#) (Coming Soon), and [Work Plan Template](#) (Coming Soon). Under the heading "Capacity Building Resources", there are links to: [California State University Northridge \(CSUN\), College of Social and Behavioral Sciences, Valley Nonprofit Resources](#); Technical assistance resources, including the [Resource Directory for Nonprofit Capacity Building in Los Angeles County](#); and [California Institute for Behavioral Health Solutions](#); Provides training, technical assistance and consulting services in the mental health and substance use fields.

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Public Health

Program Home About

SUD Provider Locator
Find the LA County SAPC SUD facilities serving your area.
Enter City or ZIP: GO

Substance Abuse Prevention and Control

AVRC Residential and Outpatient Treatment Programs
Commission on Alcohol and Other Drugs
Safe Med LA
SAPC Strategic Plans
START: LA County Treatment System Transformation
Medical Director's Report and Other Fact Sheets
Media/Recorded Trainings
Provider Newsletter
SAPC White Papers/Policy Briefs
Important State and County Links
Prop. 64 and Responsible Adult Use of Marijuana

PROVIDER INFORMATION AND SAPC PROGRAM RESOURCES

UPCOMING PROVIDER TRAININGS, CONFERENCES, AND IMPORTANT EVENTS

START-ODS
SYSTEM TRANSFORMATION TO ADVANCE RECOVERY AND TREATMENT

Los Angeles County's Substance Use Disorder Organized Delivery System

California's Medi-Cal 2020 1115(a) Drug Medi-Cal (DMC) Organized Delivery System (ODS) Waiver Demonstration Project paves the way for Los Angeles County (LAC) to expand access to a broader range of substance use disorder (SUD) treatment benefits to all Medi-Cal-eligible youth and adults. With the new benefits and rates, however, comes the requirement to improve access and availability of all levels of care (LOC) across LAC, and make placement decisions based on uniform clinical standards and medical necessity.

To support SUD network providers in successfully making this transition, Substance Abuse Prevention and Control (SAPC) will provide funding to select contracts to help achieve the following two goals:

1. Enable SUD contractors with General Program Services (GPS) contracts, in particular those with the least access to other financial resources, to develop and strengthen their organizational capacity to expand and sustain effective treatment and recovery services
2. Enable contracted residential treatment providers to improve or maintain the quality, efficiency, accessibility, and reach of their residential facilities.

To find out if your agency is eligible to receive these funds and at what amount, see the [SAPC Provider Letter](#) and the [List of Eligible Agencies](#) (Coming Soon).

Contract Related Documents

- [Capacity Building Initiative Provider Information Sheet](#)
- [Organizational Capacity Building Assessment and Benchmarking Tool Template](#)
- [Budget Template](#) (Coming Soon)
- [Work Plan Template](#) (Coming Soon)

Capacity Building Resources

- [California State University Northridge \(CSUN\), College of Social and Behavioral Sciences, Valley Nonprofit Resources](#); Technical assistance resources, including the [Resource Directory for Nonprofit Capacity Building in Los Angeles County](#).
- [California Institute for Behavioral Health Solutions](#); Provides training, technical assistance and consulting services in the mental health and substance use fields.



CAPACITY BUILDING

CONTRACT PROGRAM AUDITORS

- Each agency is assigned only ONE Capacity Building CPA
 - In most cases, this will be different from you normal CPA
- Each CB CPA:
 - Supports agencies in reaching their capacity building goals
 - Provides ongoing project monitoring and management
 - Serves as the initial point of contact for capacity building activities
 - Provides resources and information
 - Reviews/approves invoices, work plans, reports, and other documentation
 - Offers ongoing provider preparedness and support



CALIFORNIA INSTITUTE FOR BEHAVIORAL HEALTH SOLUTIONS

- CIBHS will be available to assist agencies in preparing for the START ODS Implementation.
- Contact your CB CPA if there are particular requests for assistance



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 CB 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?

