



**AGENCY SERVICE PLAN
INSTRUCTIONS
Contract Year 2021**

I. General ASP-Budget Process Instructions

- A. Submit ASP-Budget questions via email to aspbudget@adamhfranklin.org.
- B. Email your initial ASP-Budget submission materials to aspbudget@adamhfranklin.org by 12:00 noon on Friday, October 23, 2020. Please note: submissions must be less than 10 megabytes or sent in multiple emails. If you do not receive an acknowledgement of receipt of your submission, please contact Sandra Thompson directly at sthompson@adamhfranklin.org.

Upon ADAMH approval, submit your signed KY21 allocations document via email to aspbudget@adamhfranklin.org.

Please copy your CEO and CFO on all submissions, questions, and responses.

Please include the name of your organization as the first word in the subject line of any email submissions or communications.

MAC Users – please do not use the native viewer/editor software. Download the free Adobe reader to edit your documents.

1. Submit Budget forms via the single Provider Budget Excel workbook provided, following the KY21 Budget Instructions.
2. Submit narrative section of the ASP for cultural competence planning separate Word document.
3. Please submit an individual Program Narrative PDF for each program identified by ADAMH and any block-grant program for which the agency is requesting full or partial KY21 ADAMH funding using the template provided and following the KY21 ASP Instructions provided below.

As a reminder ASP information for Prevention and School Based programs will be submitted via Word document entitled Prevention Program Description Form plus an excel spreadsheet entitled ASP Budget Performance Targets. A late or incomplete ASP and budget submission may result in delayed review, approval, and contracting for KY21 ADAMH services and payment.

- C. The ADAMH-approved ASP-Budget materials, including the CEO-signed allocations documentation are considered deliverables to the provider's KY21 provider services contract. These documents identify the provider's client counts, population and program-specific commitments and are funded by ADAMH.

SECTION A: CRISIS AND HOSPITALIZATION MANAGEMENT

1. Lead providers should submit their Strategic Action Plan for Crisis and Hospitalization Management that is updated annually.
2. The Plan focuses on risk reduction, programmatic efficiency, fiscal management, and achieving clinically sound and satisfying results for consumers and families.
3. The Plan should include defined strategies for the crisis prevention, crisis intervention & resolution, and crisis post-intervention phases identifying the specific clinical, utilization management, technological and fiscal action steps, timelines and lead persons responsible for plan implementation.

SECTION B: PROGRAM NARRATIVES

Each ADAMH funded program should have its own program narrative. Programs (formerly known as allocations) are identified on the attached spreadsheet. General service categories such as MH treatment, SUD treatment, crisis services, recovery supports, etc. should also have a Program Narrative.

Because the same format is used for all ASP documents there may be some fields that do not apply to your specific program. Please fill out only the sections that are appropriate.

Field Descriptions

- A. Provider: Your agency name
- B. Program name: The name of the program or service
- C. System Category: The name of the category chosen from a drop down
 - Crisis*
 - Treatment*
 - Housing*
 - Recovery Supports*
 - Family Supports*
 - Prevention*
- D. ADAMH funded point-in-time program capacity: Enter the number of ADAMH funded persons who can be actively receiving services in a particular program at a particular time. This is a constant, quantifiable number, not impacted by turnover/vacancy.
- E. Average length of stay: The average time in DAYS a person will be serviced in the program.
- F. ADAMH funded annual cumulative target: Total number of ADAMH consumers targeted to be served in KY21 in this program.

- G. Sites addresses: The locations/street addresses where this program operates.
- H. Evidence-based practices (EBP): If applicable to the program, name each EBP used and the informational website or source that guides the practice. In addition, please identify the independent accrediting body or fidelity assessment agency which reviews this EBP for your agency if applicable.
 - Please submit a copy of the most recent fidelity review.
- I. **Annual ADAMH funding: portion of block grant funds designated to this program (formerly known as allocation)**
- J. Annual Medicaid program funding: Total Medicaid funding for the program
- K. Annual total program funding: Overall total funding from all sources (including ADAMH)
- L. Total program direct service FTEs: Number of full-time-equivalent employees for the program
- M. ASAM Level of Care: identify the numerical level by the services associated using the American Society of Addiction Medicine.
- N. Target population: Describe the target population to be served by the program.
- O. Referral process: Describe the referral process and eligibility criteria for the program. Please list any factors that render an ineligible for the program.
- P. Services: Describe the services and activities provided as part of the program. Identify the specific procedure codes being utilized.
- Q. List other Community Partners: Describe any organizations with whom this program collaborates, partners or considers a key stakeholder.
- R. Description: Provide a brief program description.
- S. Outcomes: Describe all outcomes that are tracked as a part of this program.
- T. Evaluation: Describe all evaluation measures that are part of this program (satisfaction, successful closure, graduation, etc.)

SECTION C: PREVENTION PROGRAM DESCRIPTIONS

1. Please submit an individual Program Description Form for School and Community Based Prevention services for each school district, summer camp, HIV, Adult Early Intervention Services, mentoring identified by ADAMH and any block-grant program for which the agency is requesting full or partial KY21 ADAMH funding using the

template provided and following the KY21 ASP Instructions.

2. Please list all prevention services connected to a NOM on the Performance Target Excel Spreadsheet. Refer to the SAMHSA NOM Description for the appropriate categories to include on

SECTION D: CONTINUITY OF OPERATIONS PLAN (DISASTER PLAN)

1. Please submit a copy of the agency's current Continuity Of Operations Plan (COOP)/Disaster Plan.

SECTION E: AGENCY FORMS (EXCEL WORKSHEET)

1. **BOARD CONTACTS (TAB ASP-01):** All providers should list the information requested regarding the legal status of the agency, board, officers, and board chair's direct contact information (per IRS form 990 (tax-exempt information form).
2. **STAFF CONTACTS (TAB ASP-02):** When applicable, provide names, email addresses, and telephone numbers for the positions included on this list.
3. **AGENCY DEMOGRAPHICS (TAB ASP-03):** Complete all requested fields for both full-time and part-time staff at your organization, see section E for definitions.
4. **HOUSING FACILITIES (TAB ASP-04):** Complete all requested fields for all housing facilities operated by your organization, see Section E for definitions.

SECTION F: CULTURAL COMPETENCY

1. Outline two key cultural competency strategies for KY2021. Each should contain quantifiable goals and tools to measure progress (i.e. Internal/External Training planned). Ensure that your strategies/results are responsive to Provider Contract Sections 4.2.6 and 4.2.7 (i.e., Disparities, Linguistic, and Cultural Competence).
2. Based on the strategies outlined above, describe how your organization uses data and/or internal measurement tools to identify disparities in care; and further explain what corrective action steps are taken to address those disparities.
3. Briefly describe any recent changes in the population you are serving relative to diverse communities. What is your organization's plan to adjust service delivery

strategies/methods to address these emerging needs/challenges
or service gaps

ASP-03 Definitions

- Executive/Senior Level Officials and Managers and First/Mid-Level Officials and Managers: These subcategories are intended to mirror the employer's own well-established hierarchy of management positions. Small employers who may not have two well-defined hierarchical steps of management should report their management employees in the appropriate categories. Executive/Senior Level Officials and Managers. Individuals, who plan, direct and formulate policies, set strategy and provide the overall direction of enterprises/organizations for the development and delivery of products or services, within the parameters approved by boards of directors or other governing bodies. Residing in the highest levels of organizations, these executives plan, direct or coordinate activities with the support of subordinate executives and staff managers. They include, in larger organizations, those individuals within two reporting levels of the CEO, whose responsibilities require frequent interaction with the CEO. Examples of these kinds of managers are: chief executive officers, chief operating officers, chief financial officers, line of business heads, presidents or executive vice presidents of functional areas or operating groups, chief information officers, chief human resources officers, chief marketing officers, chief legal officers, management directors and managing partners.
- First/Mid-Level Officials and Managers: Individuals who serve as managers, other than those who serve as Executive/Senior Level Officials and Managers, including those who oversee and direct the delivery of products, services or functions at group, regional or divisional levels of organizations. These managers receive directions from the Executive/Senior Level management and typically lead major business units. They implement policies, programs and directives of executive/senior management through subordinate managers and within the parameters set by Executive/Senior Level management. Examples of these kinds of managers are: vice presidents and directors, group, regional or divisional controllers; treasurers; human resources, information systems, marketing, and operations managers. The First/Mid-Level Officials and Managers subcategory also includes those who report directly to middle managers. These individuals serve at functional, line of business segment or branch levels and are responsible for directing and executing the day-to-day operational objectives of enterprises/organizations, conveying the directions of higher level officials and managers to subordinate personnel and, in some instances, directly supervising the activities of exempt and non-exempt personnel. Examples of these kinds of managers are: first-line managers; team managers; unit managers; operations and production managers; branch managers; administrative services managers; purchasing and transportation managers; storage and distribution managers; call center or customer service managers; technical support managers; and brand or product managers.
- Professionals: Most jobs in this category require bachelor and graduate degrees, and/or professional certification. In some instances, comparable experience may establish a person's qualifications. Examples of these kinds of positions include: accountants and auditors; airplane pilots and flight engineers; architects; artists; chemists; computer programmers; designers; dieticians; editors; engineers; lawyers; librarians; mathematical scientists; natural scientists; registered nurses; physical scientists; physicians and surgeons; social scientists; teachers; and surveyors.
- Technicians: Jobs in this category include activities that require applied scientific skills, usually obtained by post-secondary education of varying lengths, depending on the particular occupation, recognizing that in some instances additional training, certification, or comparable experience is required. Examples of these types of positions include: drafters; emergency medical technicians; chemical technicians; and broadcast and sound engineering technicians.
- Sales Workers: These jobs include non-managerial activities that wholly and primarily involve direct sales. Examples of these types of positions include: advertising sales agents; insurance sales agents; real estate brokers and sales agents; wholesale sales representatives; securities, commodities, and

financial services sales agents; telemarketers; demonstrators; retail salespersons; counter and rental clerks; and cashiers.

- Administrative Support Workers: These jobs involve non-managerial tasks providing administrative and support assistance, primarily in office settings. Examples of these types of positions include: office and administrative support workers; bookkeeping; accounting and auditing clerks; cargo and freight agents; dispatchers; couriers; data entry; computer operators; shipping, receiving and traffic clerks; word processors and typists; proofreaders; desktop publishers; and general office clerks.
- Craft Workers: Most jobs in this category includes higher skilled occupations in construction (building trades craft workers and their formal apprentices) and natural resource extraction workers. Examples of these types of positions include: boilermakers; brick and stone masons; carpenters; electricians; painters (both construction and maintenance); glaziers; pipe layers, plumbers, pipefitters and steamfitters; plasterers; roofers; elevator installers; earth drillers; derrick operators; oil and gas rotary drill operators; and blasters and explosive workers. This category also includes occupations related to the installation, maintenance and part replacement of equipment, machines and tools, such as: automotive mechanics; aircraft mechanics; and electric and electronic equipment repairers. This category also includes some production occupations that are distinguished by the high degree of skill and precision required to perform them, based on clearly defined task specifications, such as: millwrights; etchers and engravers; tool and die makers; and pattern makers.
- Operatives: Most jobs in this category include intermediate skilled occupations and include workers who operate machines or factory-related processing equipment. Most of these occupations do not usually require more than several months of training. Examples include: textile machine workers; laundry and dry cleaning workers; photographic process workers; weaving machine operators; electrical and electronic equipment assemblers; semiconductor processors; testers, graders and sorters; bakers; and butchers and other meat, poultry and fish processing workers. This category also includes occupations of generally intermediate skill levels that are concerned with operating and controlling equipment to facilitate the movement of people or materials, such as: bridge and lock tenders; truck, bus or taxi drivers; industrial truck and tractor (forklift) operators; parking lot attendants; sailors; conveyor operators; and hand packers and packagers.
- Laborers and Helpers: Jobs in this category include workers with more limited skills who require only brief training to perform tasks that require little or no independent judgment. Examples include: production and construction worker helpers; vehicle and equipment cleaners; laborers; freight, stock and material movers; service station attendants; construction laborers; refuse and recyclable materials collectors; septic tank servicers; and sewer pipe cleaners. Jobs in this category include food service, cleaning service, personal service, and protective service activities. Skill may be acquired through formal training, job-related training or direct experience. Examples of food service positions include: cooks; bartenders; and other food service workers. Examples of personal service positions include: medical assistants and other healthcare support positions; hairdressers; ushers; and transportation attendants. Examples of cleaning service positions include: cleaners; janitors; and porters. Examples of protective service positions include: transit and railroad police.

Other Definitions

24/7 Supportive Housing: Permanent housing units with a rent subsidy where the tenant pays no more than 30%-35% of household income towards rent with some form of on-site support service available twenty-four hours per day. This type of housing is appropriate for consumers who need some on-site support to maintain stability in housing. 24/7 Supportive Housing is typically defined by the following features: 1) Tenant households execute leases (or sub-lease) agreements with the same rights and responsibilities as other households renting housing in the community; 2) Supportive services are readily available to tenants, are designed to promote housing stability and include access to crisis services 24 hours a day, seven days a week; 3) Supportive services are flexible and individualized, adjusted to meet the tenants' evolving needs and preferences; 4) On-going participation in supportive services is not required for tenants to retain their housing; and 5) Access to the housing opportunity and the services is not time-limited.

Acute Care: Active but short-term treatment for a severe and urgent medical or behavioral health condition.

Adult: Persons over 18 years of age who receives an ADAMH funded service.

Adult Care Facility: A residential setting that includes room, board and personal care. Depending on resident's level of functioning and care needs, may have staffing 24 hours a day/seven days a week and assistance with activities of daily living. A congregate setting is usually included with this living environment. Services are delivered as defined in license. A resident agreement that includes participation in services may be applicable. May or may not be a long term more permanent housing depending on level of care needed for the individual. Adult Care Facilities are owned and operated by a private owner or provider agency. This type of housing is licensed and is not subject to landlord tenant law.

Criminal Justice: A person utilizing services within the ADAMH system of care who has previously been incarcerated within the county jail system, usually within the previous 12 months or chronically throughout their lifetime.

Criminogenic Risk: Static and dynamic risk factors which correlate with criminal conduct.

Deaf/hard of hearing persons: A person who identifies themselves as having a significant hearing loss that impacts their daily functions.

Developmental/Intellectual Disabilities: A disability characterized by significant limitations both in intellectual functioning (reasoning, learning, problem solving) and in adaptive behavior which manifests itself before age 22.

Dual-diagnosis: Co-occurring disorders of any combination between behavioral, developmental, or addictive type.

Emergency Shelter: A temporary residence of emergency for people to protect them from sleeping outdoors or in other areas not meant for human habitation and must be accessed daily to maintain residency and has a defined short-term length of stay.

Early Intervention: Selective programs that include screening and brief intervention that are aimed at those at risk of engaging in high risk behavior.

Homeless: Any person living on the streets, shelters, on land, or in places not meant for human habitation.

Immigrants/Refugees: Immigrant: a person who comes to live permanently in a foreign country. Refugee: a person who has been forced to leave their country in order to escape war, persecution, or natural disaster.

Independent Housing: Permanent housing units with a rent subsidy where the tenant pays no more than 30%-35% of household income towards rent. There are no on-site services offered, all services are provided by community providers. Sometimes this housing is referred to as scattered sites housing. A housing setting that is voluntary and length of stay is resident-driven, not determined by a program.

Integrated Care: The intentional and systematic coordination of general and behavioral health care in a single setting.

Intravenous/injection Drug Users: A person who uses mind/mood altering drugs by way of intravenous/injection.

LGBTQ Persons: This is a commonly used acronym that stands for Lesbian, Gay, Bisexual, Transgender, and Questioning, and is used to designate a community of people whose sexual or gender identities can create shared political and social concerns. Lesbian, Gay, and Bisexual refer to sexual orientation. Transgender and Questioning refer to gender identity.

Prevention: Universal programs that are aimed at the general population, regardless of the level of risk.

Program: A separate and distinct combination of either treatment or prevention behavioral health care services in which an individual or family can actively participate and expect to achieve results. Programs should have like levels of care, clinical intensity, distinct needs of the target population and relative resource investment. For example, many generalist community treatment teams can be efficiently and effectively described within one program narrative in the ASP. In contrast, multiple program narratives for a single outpatient department may be appropriate if the provider uses one distinct service package for youth and another service package for adults, or distinct service packages for MH and AOD treatment. Use a separate program description for each distinct high-intensity service (e.g. MST, residential).

Recovery Residence: An alcohol- and drug-free living environment with peer support and other addiction recovery aids, including employment assistance. Room and board, and various levels of services based on the level of care needed are included. Rules in program may be applicable. Treatment services are billed separately, if applicable. The residency may be agency or owner-operated with various levels of staff. The residence may have a standard tenant landlord lease or general lease agreement with program rules.

Returning offenders (Re-entry): A person utilizing services within the ADAMH system of care who was previously incarcerated (usually in the previous 12 months) within the state or federal prison system.

Residential Care Facility: A licensed facility that is staffed 24 hours a day/seven days a week that provides room, board, personal care and clinical services on-site as part of the treatment stay. Entrance into facility is determined by clinical/medical need. Facility is owned and

operated by a certified provider agency for the clinical/medical services provided on-site and may be affiliated with or within an inpatient continuum.

Service Enriched Housing: Service Enriched Housing is permanent housing units with a rent subsidy where the tenant pays no more than 30%-35% of household income towards rent. An on-site Resident Manager provides an additional level of security and support. The facility provides space for possible group activities to encourage the development and recovery of the tenants. Service coordination can be provided through in-house resident services staff or an external agency.

Sex Offender: A person who has committed a crime involving a sexual act.

Specialty Court Dockets: Specialized courts that focus on issues related to Behavioral Health to help reduce instances in the legal system.

Support Services: Non-health care related ancillary services that enhance a person's living, coping, and survival skills in context of recovering from behavioral or addictive disorder.

Transition-aged Youth: Individual between the ages of sixteen and twenty-four who are in transition from the youth system of care to the adult system. Once they turn 18 they can no longer receive assistance from the systems of care that previously provided for many of their needs.

Transitional Housing: A short-term setting that can include room, board and/or personal care. A non-permanent setting that provides support needed for residents to return to previous housing setting; to move into a more permanent housing setting or a break from current housing. Most often treatment and/or services are part of facility rules. NOT intended as a permanent housing environment. Program rules include length of stay. This setting is not subject to tenant landlord law.

Treatment: Clinically indicated programs that are aimed at those already engaging in high risk behavior.

Underserved racial or ethnic minorities: may include groups of persons who face economic, cultural or linguistic barriers to access health care and who may reside in a specific geographic area.

Veteran: Individual who has served in the United States Armed Forces.