

California Department of Public Health  
Tuberculosis Control Branch

Tuberculosis Control Local Assistance Funds  
Standards and Procedures Manual  
Fiscal Year 2016-2017

Base Award: Jurisdictions Reporting  $\geq 6$  TB Cases  
Real-Time Allotment: Jurisdictions Reporting  $< 6$  TB Cases  
Food, Shelter, Incentives and Enablers Funds  
Reimbursement for Civil Detention

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## Part 1 - Standards and General Terms and Conditions

### 1. Overview

The California Department of Public Health (CDPH) Tuberculosis Control Branch (TBCB) sets forth the following standards and procedures. These standards and procedures specify the conditions for receipt of CDPH TBCB local assistance funds.

The purpose of the tuberculosis (TB) local assistance funds is to assist the current efforts of local TB programs to prevent, control, and eventually eliminate TB in California. Financial assistance is provided to local TB programs to augment local support for TB prevention and control activities.

### 2. Authority

California Health and Safety Code (H&SC) Sections 121450, 121451 and 121452 authorize the CDPH TBCB to distribute for the purpose of TB control an annual subvention, paid quarterly, to any local health department that maintains a TB control program consistent with standards and procedures established by the Department and provide guidance on the use of local assistance funds for TB prevention and control activities. The following conditions contained in this manual apply to the local health jurisdictions that have been awarded these funds. The local health jurisdiction is hereinafter referred to as the Contractor.

### 3. Allocation of Local Assistance Funds

Local assistance award funds are allocated using a funding formula (Table 1). A multi-variable funding formula modeled after the national TB allocation formula was developed in 2009 in collaboration with the California TB Controllers Association (CTCA) and revised in FY 2012-2013.

Allocations are re-calculated every two years using five years of surveillance data. Data from 2010-2014 is used to calculate the allocations for FY 2016-2017 awards. FY 2016-2017 is the first year of a two-year funding cycle.

**Table 1. TB Local Assistance Allocation Formula FY 2016-2017**

TB Local Assistance Allocation Formula	
Variable	Weight
Incident cases	32%
Foreign-born persons and U.S.-born minorities	30%
Pulmonary smear-positive	15%
B-1 notification TB evaluations completed	5%
HIV/AIDS co-infection	5%
Substance abuse	5%
Homelessness	5%
Multidrug-resistant (MDR) TB	3%

Local health jurisdictions (LHJs) reporting six or more TB cases annually, based on a five year average, receive an annual Base Award and an allotment for Food, Shelter, Incentives and Enablers (FSIE) expenditures. LHJs reporting on average less than six TB cases per year receive a Real-time Allotment for up to five cases based on current year TB case reporting. Real-time Allotment funds may be used for FSIE expenditures.

#### **4. Tuberculosis Control Branch Priorities and Guidelines for Tuberculosis Prevention and Control Activities**

##### **4.1 Tuberculosis Control Branch Priorities**

The CDPH TBCB priorities include national priorities and strategies established by the Centers for Disease Control and Prevention (CDC). Two of the strategies in the CDC Division of Tuberculosis Control Strategic Plan for 2016-2020 to reduce TB morbidity in the United States are:

- I. Maintain control of TB: Maintain the decline in TB incidence through timely diagnosis of active TB disease, appropriate treatment and management of persons with active TB disease (both drug-susceptible and drug-resistant), investigation and appropriate evaluation and treatment of contacts of infectious TB cases, and prevention of further transmission through infection control
- II. Accelerate the decline: Advance toward TB elimination through targeted testing and treatment of persons with latent TB infection (LTBI), appropriate regionalization of TB control activities, rapid recognition of TB transmission using DNA fingerprinting methods, and rapid outbreak response

##### **4.2 General Guidelines for Local Health Jurisdictions Receiving Local Assistance Funds**

The CDPH TBCB has historically taken a priority-based, graduated approach in conducting TB prevention, control and elimination activities. LHJs are now encouraged to conduct all TB prevention and control activities to both maintain control of TB and to accelerate the decline of TB. In California eighty percent of cases reported each year are due to reactivation of LTBI among individuals with long-standing untreated infection (e.g., contacts to TB cases, immigrants arriving with a class B notification, other high-risk populations). Efforts to prevent future TB cases should include:

- Maximizing treatment initiation and completion for LTBI in high risk populations
- Promoting the use of the shortest effective LTBI treatment regimens
- Increase access to adherence technologies to enhance follow-up and treatment completion

LHJs experiencing success with certain strategies should share best practices with the CDPH TBCB and other TB programs.

#### **5. Contractor's Responsibilities**

The Contractor agrees to:

- Direct activities toward achieving the program objectives set forth by CDPH TBCB

- Use these funds in accordance with CDPH TBCB standards and procedures as set forth in this Standards and Procedures Manual, and with any additional requirements set forth by the TBCB regarding the granting, use and reimbursement of the TBCB local assistance funds
- Use these funds to augment existing funds and not supplant funds that have been locally appropriated for the same purposes. These funds are intended to provide local entities with increased capabilities to address tuberculosis control needs. Supplanting funds is defined (for the purposes of this agreement) as using local assistance award monies to “replace” or “take the place of” existing local funding. For example, reductions in local funds cannot be offset by the use of CDPH TBCB dollars for the same purpose.
- Submit information and reports as requested by the CDPH TBCB
- Abide by the most recent standards of care for TB treatment, control and prevention as promulgated by:
  - California Department of Public Health<sup>1</sup>
  - California Tuberculosis Controllers Association<sup>2</sup>
  - American Thoracic Society<sup>3</sup>
  - Centers for Disease Control and Prevention<sup>4</sup>

## 5.1 Reporting Requirements

### A. Case Reports

All Contractors shall comply with morbidity reporting requirements. All cases are to be reported using the revised Report of Verified Case of Tuberculosis (RVCT).<sup>5</sup>

Contractors will submit complete TB case data within 2 weeks of case confirmation, participate in RVCT trainings, and conduct CDPH TBCB-required quality control procedures, including reconciliation of case counts.

### B. Electronic Reporting

Beginning with cases counted January 1, 2015, all Contractors must enter RVCT case data for their jurisdiction directly into the California Reportable Disease Information Exchange (CalREDIE), the CDPH web-based reporting software for notifiable diseases. Submission of hard copy RVCT for data entry into CalREDIE by CDPH TBCB will not be accepted. Direct entry of

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<sup>1</sup> CDPH TBCB Guidelines can be found on the CDPH TBCB website under Guidelines and Regulations: <http://www.cdph.ca.gov/programs/tb/Pages/GuidelinesRegulations.aspx>

<sup>2</sup> CTCA Guidelines can be found on the CTCA website: [http://www.ctca.org/index.cfm?fuseaction=menu&menu\\_id=2](http://www.ctca.org/index.cfm?fuseaction=menu&menu_id=2)

<sup>3</sup> American Thoracic Society, CDC, Infectious Diseases Society of America. (2003) Treatment of Tuberculosis. MMWR, Vol 52, No. RR-11. Can be found at: <http://www.thoracic.org/statements/resources/tb-opi/rr5211.pdf>

<sup>4</sup> CDC TB Guidelines can be found on the CDC Division of Tuberculosis Elimination website: <http://www.cdc.gov/tb/publications/guidelines/default.htm>

<sup>5</sup> CDC. (2009) Report of Verified Case of Tuberculosis. RVCT, RVCT Follow-up Report 1 and Follow-up Report 2 forms can be found on the CDPH TBCB website under RVCT Reporting: <http://www.cdph.ca.gov/programs/tb/Pages/TBSurvFormsTBCB.aspx>

data into CalREDIE will improve reporting processes including submission of case reports to the CDC and tracking moved patients.

### **C. Data Security and Confidentiality**

Contractors shall comply with recommendations set forth in CDC's "Data Security and Confidentiality Guidelines for HIV, Viral Hepatitis, Sexually Transmitted Disease, and Tuberculosis Programs."<sup>1</sup>

### **D. California Aggregate Report for Program Evaluation (ARPE): Follow-up and Treatment for Contacts of TB Cases**

All Contractors will submit completed Preliminary and Final ARPE-Contact Investigation (CI) forms to CDPH TBCB annually. This is a change from 2015 when only the Final ARPE form was requested. See the TBCB website for the required form, instructions, and ARPE due dates.<sup>2</sup>

### **E. Protocols for People who Move**

All Contractors will use the May 2015 National Tuberculosis Controllers Association (NTCA) protocol and forms for the transfer of patient care between jurisdictions in California or between states.<sup>3</sup>

Patients moving to Mexico or countries of Central America should be referred to CureTB. Instructions and forms for CureTB referrals can be found on their website: [http://www.sdcounty.ca.gov/hhsa/programs/phs/cure\\_tb](http://www.sdcounty.ca.gov/hhsa/programs/phs/cure_tb).

It is recommended that patients moving to countries other than Mexico or Central America be referred through TBNet. Information and contact information for TBNet can be found on their website:

<http://www.migrantclinician.org/services/network/tbnet.html>.

CDC also maintains a list of international contacts to use in referring patients that are moving out of the United States:

<http://www.cdc.gov/tb/programs/international/default.htm>.

Instructions for RVCT reporting of patients who move can be found on the CDPH TBCB website under Interjurisdictional Transfer Recommendations:

<http://www.cdph.ca.gov/programs/tb/Pages/TBSurvFormsTBCB.aspx>.

### **F. Outbreak Reporting**

The California Code of Regulations [Title 17, Section 2502(c)] directs local health officers to immediately report TB outbreaks to CDPH. Reports should be conveyed by calling the CDPH TBCB Outbreak Duty Officer at (510) 620-3000. A confirmed outbreak is defined as four or more TB cases occurring in California with:

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<sup>1</sup> CDC. (2011) Data Security and Confidentiality Guidelines for HIV, Viral Hepatitis, Sexually Transmitted Disease, and Tuberculosis Programs: Standards to Facilitate Sharing and Use of Surveillance Data for Public Health Action. Can be found at: <http://www.cdc.gov/nchhstp/programintegration/Data-Security.htm>

<sup>2</sup> ARPE Forms and Instructions can be found on the CDPH TBCB website under Aggregate Reports for Tuberculosis Program Evaluation: <http://www.cdph.ca.gov/programs/tb/Pages/TBSurvFormsTBCB.aspx>

<sup>3</sup> CDPH TBCB. Transfer Protocols - RVCT Reporting For Tuberculosis Patients that Move. Can be found at: <http://www.cdph.ca.gov/programs/tb/Documents/TBCB-RVCT-Reporting-Instructions-Moved-TB-Patients.pdf>

- Definite epidemiologic links indicating that all four cases are part of the same chain of transmission
- Matching TB genotypes\*
- Case 1 and case 4 counted within three years of each other

\* Exception: a pediatric case less than 5 years of age without genotype results (culture negative) can be included as one of the 4 cases.

Contractors should not delay reporting while genotype results are pending if an outbreak is suspected. A revised “TB Outbreak Reporting Form and TB Outbreak Reporting Form Instructions” were provided to TB Controllers and Program Managers in April 2014 and are available on the CDPH TBCB website.<sup>1</sup>

Jurisdictions are encouraged to report TB occurrences in which CDPH TBCB assistance may be useful (e.g., suspected outbreak, an infectious case in a sensitive population, large or complex contact investigation). For more information about outbreak and investigation-related consultation and assistance available to local health departments, please see the Outbreak Response Team Fact Sheet on the TBCB website.<sup>1</sup>

### **G. Immigrants and Refugees with B-Notifications**

As of January 1, 2014, Contractors are to use the revised “Electronic Disease Notification (EDN) B-notification Follow-up Worksheet”<sup>2</sup> to report the results of U.S. evaluations of immigrants and refugees arriving with A/B-notifications. Reports should be submitted to CDPH TBCB within 90 days of arrival in the U.S., or as soon as the American Thoracic Society TB classification has been assigned. Contractors receiving email notifications should enter the Worksheet results online into EDN. Contractors receiving paper notifications should submit the Worksheet by fax or mail to the TBCB.

## **5.2 Program Evaluation and Program Improvement**

Program evaluation is a systematic and in-depth study of priority program-area performance. Information collected should be used as a tool for program improvement. All Contractors are expected to be familiar with the California TB indicators<sup>3</sup>, California performance objectives<sup>4</sup> and local TB program performance. Local assistance funding should be used to meet local and California TB performance objectives.

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<sup>1</sup> TB Outbreak Reporting Form, TB Outbreak Reporting Form Instructions and TB Outbreak Response Team Fact Sheet can be found on the CDPH TBCB website under Outbreak Response and Reporting: <http://www.cdph.ca.gov/programs/tb/Pages/TBSurvFormsTBCB.aspx>

<sup>2</sup> EDN B-notification Follow-up Worksheet and additional guidance can be found on the CDPH TBCB website under A/B-Notification Reporting: <http://www.cdph.ca.gov/programs/tb/Pages/TBSurvFormsTBCB.aspx>

<sup>3</sup> CDPH TBCB. Tuberculosis Indicators: Quick Reference. Can be found at:

<http://www.cdph.ca.gov/programs/tb/Documents/TBCB-TIP-TBIndicators-Quick-Reference.pdf>

<sup>4</sup> CDPH TBCB. TIP Indicator Reports. Can be found at:

<http://www.cdph.ca.gov/programs/tb/Documents/TBCB-CA-TIP-Reports-All-2015-03-17.pdf>

### A. Local Health Jurisdictions Reporting 55 or more TB Cases Annually

Contractors reporting an average of 55 or more TB cases annually must work with CDPH TBCB on a program evaluation and improvement process (e.g., TB Indicators Project [TIP], cohort review). Local program improvement targets should be established that are time-phased, measurable and attainable. Please see the TBCB website for TIP resources.<sup>1</sup>

### B. Local Health Jurisdictions Reporting 15 to 54 TB Cases Annually

Contractors reporting an average 15 to 54 TB cases annually are expected to review their program performance summary data (provided by CDPH TBCB) on an annual basis and to work in collaboration with TBCB to develop and implement program improvement plans.

### C. Local Health Jurisdictions Reporting less than 15 TB Cases Annually

Contractors reporting fewer than 15 TB cases annually are encouraged to review their TB data in the most recent "Report on Tuberculosis in California."<sup>2</sup>

For consultation regarding program evaluation and program improvement, please contact your assigned Program Liaison and/or Epidemiology Liaison.<sup>3</sup>

## 5.3 Rights of the Tuberculosis Control Branch

- The CDPH TBCB reserves the right to modify the terms and conditions of all awards. Additional information and documentation may be required.
- The CDPH TBCB reserves the right to use and reproduce all reports and data produced and delivered pursuant to the local assistance awards and reserves the right to authorize others to use or reproduce such materials, provided that the confidentiality of patient information and records are protected pursuant to California State laws and regulations.

## 5.4 Cancellation/Termination

- TB local assistance awards may be cancelled by CDPH TBCB **without cause** upon 30 calendar days advance written notice to the Contractor.
- The CDPH TBCB reserves the right to cancel or terminate this agreement immediately for cause. The Contractor may submit a written request to terminate a TB local assistance award only if the TBCB substantially fails to perform its responsibilities as provided herein.
  - The term "for cause" shall mean that the Contractor fails to meet the terms, conditions, and/or responsibilities of a TB local assistance award.
- Agreement termination or cancellation shall be effective as of the date indicated in the CDPH TBCB notification to the Contractor. The notice shall stipulate any final performance, invoicing or payment requirements.

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<sup>1</sup> TIP Information and Resources can be found on the CDPH TBCB website under Tuberculosis Indicators Project: <http://www.cdph.ca.gov/programs/tb/pages/TuberculosisIndicatorsProject.aspx>

<sup>2</sup> CDPH TBCB. Report on Tuberculosis in California, 2013. Can be found at: [http://www.cdph.ca.gov/programs/tb/Documents/TBCB\\_Report\\_2013.pdf](http://www.cdph.ca.gov/programs/tb/Documents/TBCB_Report_2013.pdf)

<sup>3</sup> CDPH TBCB. Program and Epidemiology Liaison Assignments. Can be found at: <http://www.cdph.ca.gov/programs/tb/Documents/TBCB-ProgramLiaison-Epi-Assignments.pdf>

- Upon receipt of a notice of termination or cancellation, the Contractor shall take immediate steps to stop performance and to cancel or reduce subsequent agreement costs.
- In the event of early termination or cancellation, the Contractor shall be entitled to compensation for services performed satisfactorily under this agreement and expenses incurred up to the date of cancellation and any non-cancelable obligations incurred in support of the TB local assistance award.

### **5.5 Avoidance of Conflicts of Interest by Contractor**

The Contractor agrees that all reasonable efforts will be made to ensure that no conflict of interest exists between its officers, agents, employees, consultants or member of its governing body.

- The Contractor shall prevent its officers, agents, employees, consultants or members of its governing body from using their positions for purposes that are, or give the appearance of being , motivated by a desire for private gain for themselves or others such as those with whom they have family, business or other ties.
- In the event that CDPH TBCB determines that a conflict of interest situation exists, any cost associated with the conflict may constitute grounds for termination of the TB local assistance award. This provision shall not be construed to prohibit the employment of persons with whom the Contractor's officers, agents, or employees have family, business or other ties so long as the employment of such persons does not result in increased costs over those associated with the employment of another equally qualified applicants and such persons have successfully competed for employment with other applicants on a merit basis.

### **5.6 Indemnification**

Contractor agrees to indemnify, defend and save harmless the State, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, suppliers, laborers, and any other person, firm or corporation furnishing or supplying work services, materials, or supplies in connection with the project, and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by Contractor in the performance of any activities related to a TB local assistance award.

### **5.7 Other**

- TB Local Assistance Awards are not assignable by the Contractor, either in whole or in part without a formal written amendment by the CDPH TBCB.
- The Contractor shall act in an independent capacity and not as officers/employees/agents of the State.
- The Contractor will notify the CDPH TBCB prior to any public or media event publicizing project data.

## 5.8 Communicating with the Tuberculosis Control Branch

- For local assistance award questions, contact David Beers, Fiscal Analyst, at (510) 620-3012 or via email at [David.Beers@cdph.ca.gov](mailto:David.Beers@cdph.ca.gov).
- For program management or TB control questions, contact your assigned TBCB Program Liaison.<sup>1</sup>

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<sup>1</sup> CDPH TBCB. Program and Epidemiology Liaison Assignments. Can be found at: <http://www.cdph.ca.gov/programs/tb/Documents/TBCB-ProgramLiaison-Epi-Assignments.pdf>

## Part 2 - Guidelines on Use of TB Local Assistance Funds

### 1. Use of Base Award and Real-Time Allotment Funds

Base Award and Real-time Allotment funds must be used exclusively for tuberculosis (TB)-related activities in accordance with the requirements set forth in Part 1, [Section 4](#) and [Section 5](#). Allowable expenses include: salaries and benefits for personnel involved in TB control activities, equipment, supplies, TB-specific training and travel. TB medication expenses are reimbursable from state funds only. See [Table 2](#) for a complete list of allowable expenditures. Local assistance funds should be used to support only licensed professionals to perform services where such services are called for.

#### 1.1 State TB Mandates Funded as of 7/1/2014

In 2012, the Commission on State Mandates determined that Health and Safety Code (H&SC) Sections 121361, 121362 and 121366 imposed a partially reimbursable state mandated program upon local agencies. To address these activities, the H&SC was amended to include Sections 121451 and 121452.

H&SC Section 121451 states that a local entity that receives funding from the state for the purposes of TB control shall first allocate the moneys received for the actual costs of the activities described below before allocating the moneys for any other purposes or activities.

##### A. Local Detention

When a person who has active TB or is reasonably believed to have active TB is discharged or released from a detention facility, the Contractor may reimburse a detention facility for both of the following:

- Drafting and submitting notification to the local health officer
- Submitting the written treatment plan that includes the information required by Section 121362 to the local health officer. This activity does not include drafting the written treatment plan.

When a person who has active TB or is reasonably believed to have active TB is transferred to a local detention facility in another jurisdiction, the Contractor may reimburse the facility for both of the following:

- Drafting and submitting notification to the local health officer and the medical officer of the local detention facility receiving the person
- Submitting the written treatment plan that includes the information required by Section 121362 to the local health officer and the medical officer of the local detention facility receiving the person. This activity does not include drafting the written treatment plan.

##### B. Local Health Officer or Designee

Either of the following activities may be reimbursed with TB local assistance funds if those activities are carried out by a local health officer or his or her designee.

- Receiving and reviewing for approval within 24 hours of receipt only those treatment plans submitted by a health facility. This activity includes all of the following:

- Receiving the health facility's treatment plan
- Sending a request to a health facility for medical records and information on TB medications, dosages, and diagnostic workup; and reviewing records and information
- Coordinating with the health facility on any adjustments to the treatment plan
- Sending approval to the health facility
- Drafting and sending a notice to the medical officer of a parole region, or a physician or surgeon designated by the Department of Corrections and Rehabilitation, if there are reasonable grounds to believe that a parolee has active TB and ceases treatment for the disease.

### **C. Counsel to Non-indigent Tuberculosis Patients**

The Contractor may reimburse costs for cities and counties to provide counsel to non-indigent TB patients who are subject to a civil order of detention issued by a local health officer pursuant to Section 121365 upon request of the patient. Services provided by counsel include representation of the TB patient at any court review of the order of detention required by Section 121366.

#### **1.2 Equipment and Services for Electronic Directly Observed Therapy**

Contractors who choose to use local assistance award funds to purchase video or other electronic equipment or services for electronic directly observed therapy (eDOT) must certify in writing that their TB control program has a written eDOT policy and procedures. Contractors are responsible for ensuring that methods used are in compliance with the Health Insurance Portability and Accessibility Act of 1996 and any other applicable privacy laws.<sup>1</sup> For creating a eDOT policy, please review the "Guidance for Developing a Video Observed Therapy (VOT) Policy and Procedures" and "Certification of Established Video Observed Therapy (VOT) Policy and Procedures" documents<sup>2</sup>, and/or contact your assigned Program Liaison for assistance.<sup>3</sup>

#### **1.3 TB Medication Expenditures**

Base Awards and Real-time Allotments are a combination of state and federal funds. Fund source and dollar amount is included on the Notice of Award. To comply with federal restrictions on fund use, reimbursement of medication expenditures is limited to the amount of the state fund portion of the award.

#### **1.4 Expense Allowability and Fiscal Documentation**

Contractors must maintain records reflecting actual expenditures for FY 2016-2017.

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<sup>1</sup> Health Insurance Portability and Accountability Act of 1996 (HIPAA). Health and Human Services website: <http://www.hhs.gov/hipaa/for-professionals/index.html>

<sup>2</sup> Guidance for Developing a Video Observed Therapy (VOT) Policy and Procedures and the Certification of Established Video Observed Therapy (VOT) Policy and Procedures can be found on the CDPH TBCB website under Certifications and Disclosures:

<http://www.cdph.ca.gov/programs/tb/Pages/LocalAssistanceAward.aspx>

<sup>3</sup> CDPH TBCB. Program and Epidemiology Liaison Assignments. Can be found at:

<http://www.cdph.ca.gov/programs/tb/Documents/TBCB-ProgramLiaison-Epi-Assignments.pdf>

- Invoices, received from a Contractor and accepted for payment by the CDPH TBCB, shall not be deemed evidence of allowable agreement costs.
- Contractors shall maintain for review and audit and supply to CDPH TBCB upon request, adequate documentation of all expenses claimed pursuant to these TB local assistance awards to permit a determination of expense allowability.
- If the allowability of an expense cannot be determined by the CDPH TBCB because invoice detail, fiscal records, or backup documentation is nonexistent or inadequate according to generally accepted accounting principles or practices, all questionable costs may be disallowed and payment may be withheld by the CDPH TBCB. Upon request of adequate documentation supporting a disallowed or questionable expense, reimbursement may resume for the amount substantiated and deemed allowable.

### **1.5 Payment and Recovery of Overpayments**

- The CDPH TBCB reserves the right to question and re-negotiate reimbursement for any expenditure that may appear to exceed a reasonable cost for the service.
- The consideration to be paid Contractor, as provided herein, shall be in compensation for all of Contractor's expenses incurred in the performance hereof, including travel, per diem, and taxes, unless otherwise expressly so provided.
- Federal local assistance award funds may not be used for litigation costs.
- The Contractor agrees that claims based upon a TB local assistance award or an audit finding and/or an audit finding that is appealed and upheld, will be recovered by CDPH TBCB by one of the following options:
  - Contractor's remittance to CDPH of the full amount of the audit exception within 30 days following a CDPH TBCB request for repayment
  - A repayment schedule which is agreeable to both the TBCB and the Contractor.
- The CDPH TBCB reserves the right to select which option will be employed and the Contractor will be notified by the TBCB in writing of the claim procedure to be utilized.
- Interest on the unpaid balance of the audit finding or debt will accrue at a rate equal to the monthly average of the rate received on investments in the Pooled Money Investment Fund commencing on the date that an audit or examination finding is mailed to the Contractor, beginning 30 days after Contractor's receipt of the CDPH TBCB demand for payment.
- If the Contractor has filed a valid appeal regarding the report of audit findings, recovery of the overpayments will be deferred until a final administrative decision on the appeal has been reached. If the Contractor loses the final administrative appeal, Contractor shall repay, to CDPH, the over-claimed or disallowed expenses, plus accrued interest. Interest accrues from the Contractor's first receipt of the CDPH TBCB notice

requesting reimbursement of questioned audit costs or disallowed expenses.

**Table 2. Allowable and Non-allowable Expenditures FY 2016-2017**

<p><b>Allowable:</b> The following expenditures are <u>usually</u> approved when used to support CDC TB Control Priorities 1 and 2. This list is not comprehensive and the presence of an item on the Allowable list does not imply automatic approval. Please contact CDPH TBCB Fiscal Analyst for guidance.</p>	
<p><b>Personnel</b></p> <ul style="list-style-type: none"> <li>• MDs, NPs, Clinical RNs, Radiologists, PHNs, CDIs, Community Workers, Laboratory Staff, Clerks, Social Workers, Financial Screeners, Epidemiologists, Interpreters</li> </ul> <p><b>Public Health Tuberculosis Laboratory</b></p> <ul style="list-style-type: none"> <li>• Costs of culture, smear, drug susceptibility</li> <li>• Rapid diagnostic tests</li> <li>• Specimen transport</li> </ul> <p><b>Patient Incentives &amp; Enablers</b> [applies to Food, Shelter, Incentives and Enablers (FSIE) Allotment and Real-time Allotment]</p> <ul style="list-style-type: none"> <li>• Patient housing</li> <li>• Food vouchers</li> <li>• Other personal products</li> <li>• Transportation tokens or vouchers</li> </ul> <p><b>Purchase of Fixed Assets</b></p> <ul style="list-style-type: none"> <li>• Radiographic equipment</li> <li>• Sputum induction devices (booths or hoods)</li> <li>• In-room air cleaners (HEPA filters)</li> <li>• Laboratory equipment for TB testing</li> </ul> <p><b>Indirect Costs</b></p> <ul style="list-style-type: none"> <li>• Indirect costs are optional. Contractor specific rates are approved each year by CDPH. Rates may not exceed 15% of total allowable direct costs or 25% of total personnel services costs</li> </ul> <p><b>Vehicle Leasing Fees</b></p>	<p><b>Travel (In-State ONLY)</b></p> <ul style="list-style-type: none"> <li>• Within jurisdiction associated with DOT, case management, contact investigation</li> <li>• Out of jurisdiction associated with training</li> </ul> <p><b>Equipment</b></p> <ul style="list-style-type: none"> <li>• Cell phones</li> <li>• Video or eDOT equipment or services*</li> <li>• Printers, scanners, fax machines</li> <li>• Computer hardware</li> <li>• Computer software for data management of cases and contacts</li> </ul> <p><b>Anti-TB Medications</b></p> <ul style="list-style-type: none"> <li>• Reimbursement may not exceed state portion of award</li> </ul> <p><b>Supplies</b></p> <ul style="list-style-type: none"> <li>• Medical clinic supplies</li> <li>• Office supplies</li> <li>• Laboratory supplies</li> </ul> <p><b>TB Training</b></p> <ul style="list-style-type: none"> <li>• CTCA conference expenses</li> <li>• Curry International TB Center training</li> <li>• TB training and educational materials</li> <li>• Respirator fit testing</li> </ul> <p><b>Other</b></p> <ul style="list-style-type: none"> <li>• Local detention activities, only as described in H&amp;SC Section 121451</li> </ul>
<p><b>Non-Allowable:</b> These expenditures will not be approved</p>	
<p><b>Facility Leasing or Rental Fees</b> Building or office space</p> <p><b>General Building Renovation Fees</b></p> <p><b>Laboratory Renovations</b></p> <p><b>TB Clinic Renovations</b></p> <p><b>Desks and Tables</b></p>	<p><b>File Cabinets</b></p> <p><b>Modular Furniture</b></p> <p><b>Out-of-State Travel</b></p> <p><b>Out-of-Country Travel</b></p> <p><b>Promotional Items and Advertising</b> (e.g., TB Program or Health Department labeled pens, coasters, banners)</p>

\* See Part 2, Section 1.2 for video or eDOT equipment and/or service purchase requirements

## **1.6 Additional Guidance for Base Award Use: Jurisdictions Reporting on Average Six or More TB Cases Annually**

Base Awards include Housing Personnel funds. These funds support personnel that work directly with TB patients who are homeless, and/or at risk for homelessness or for defaulting from therapy. The letter announcing the request for application (RFA) identifies the amount of these funds.

### **A. Purpose of Housing Personnel Funds**

These funds are to be used specifically for personnel that work directly with TB patients who are:

- Homeless, or
- At risk of becoming homeless, or
- At risk for defaulting from therapy

The Housing Personnel funds in the Base Award are not intended for expenditures for food, shelter, incentives and enablers (FSIE). Separate funds have been set aside for FSIE expenditures. All jurisdictions receiving a Base Award also receive an FSIE Allotment.

### **B. Eligible Expenditures**

Eligible activities and expenditures for Housing Personnel funds included as part of the Base Award are those that foster the use of less restrictive alternatives to decrease or obviate the need for detention. Some examples are:

- Personnel salaries and benefits for personnel such as outreach workers, social workers, or public health nurses that work with the specified population to attain the desired outcomes
- Local mileage for personnel to perform directly observed therapy (DOT) or other services to ensure completion of therapy

## **1.7 Additional Guidance for Jurisdictions Reporting on Average Less Than Six TB Cases Annually**

### **A. Real-Time Allotment Use for Food, Shelter, Incentives and Enablers Expenditures**

Real-time Allotment funds can be used for FSIE expenditures. FSIE expenditures should provide services that include measures to enhance treatment adherence, prevent homelessness and allow the use of less restrictive alternatives to avoid the need for patients to complete treatment under an order of civil detention. See [Part 2, Section 2](#) for guidance on the use of funds for FSIE expenditures.

## **2. Use of Food, Shelter, Incentives and Enablers (FSIE) Allotment Funds or Real-Time Allotment Funds for FSIE Expenditures**

FSIE funds are to be used to provide services that enhance TB treatment adherence, prevent homelessness and allow the use of less restrictive alternatives to decrease or obviate the need for detention.

- Funds may be used to provide food, shelter, incentives and enablers to:

- Confirmed or suspected TB cases who are homeless (See [Part 2, Section 2.2](#) for definition), at risk of becoming homeless, at risk for civil detention, or at risk for defaulting from therapy
- Contacts of confirmed or suspected TB cases if the contacts are homeless, at risk of becoming homeless, or at risk of defaulting from therapy for latent TB infection (LTBI)

FSIE Allotments are awarded to LHJs reporting on average six or more TB cases annually. Recipients of both a Base Award and an FSIE Allotment receive a single Letter of Award specifying the amounts of the Base Award and the amount of the FSIE Allotment. Jurisdictions that report on average less than six TB cases annually may use Real-time Allotment funds for FSIE expenditures.

### **2.1 Directly Observed Therapy (DOT) and/or eDOT Requirements for Funds Used to Provide Shelter**

All Contractors will provide in-person DOT or eDOT, for confirmed or suspected TB cases that are housed using local assistance award funds. For additional requirements, please see the “Policy for Housing Patients with Confirmed or Suspected Tuberculosis who are Considered Infectious.”<sup>1</sup>

### **2.2 Definition of Homelessness**

This definition is taken from the Report of Verified Case of Tuberculosis Form Completion Instructions, Tuberculosis Registry Guidelines, Version 5.0, December 2012.<sup>2</sup> A homeless person may be defined as:

- An individual who lacks a fixed, regular, and adequate nighttime residence;
- An individual who has a primary nighttime residence that is:
  - A supervised publicly or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters, and transitional housing for the mentally ill); or
  - An institution that provides a temporary residence for individuals intended to be institutionalized; or
  - A public or private place not designated for, or ordinarily used as, a regular sleeping accommodation for human beings

A homeless person may also be defined as a person who has no home (e.g., is not paying rent, does not own a home, and is not steadily living with relatives or friends). Another definition is a person who lacks customary and regular access to a conventional dwelling or residence. Included as homeless are persons who live on streets or in nonresidential buildings. Also included are residents of homeless shelters, shelters for battered women, welfare hotels, and single room occupancy (SRO) hotels that are not designated for permanent long-term housing.

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<sup>1</sup> Policy for Housing Patients with Confirmed or Suspected Tuberculosis who are Considered Infectious can be found on the CDPH TBCB website under Special Needs Resources:

<http://www.cdph.ca.gov/programs/tb/Pages/LocalAssistanceAward.aspx>

<sup>2</sup> CDPH TBCB. (2012) Tuberculosis Registry Guidelines (Poppy Manual). Version 5.0 can be found at: <http://www.cdph.ca.gov/programs/tb/Documents/TBCB-RegGuide-50.zip>

### 2.3 Using FSIE Funds for the Hospitalization of Homeless TB Patients

By providing funds to house homeless TB patients, it was the intent of the 1997-1998 State Budget Initiative to improve completion of therapy for TB, decrease the need for detention of homeless TB patients, and decrease the number of homeless TB patients lost to follow-up. The Initiative was also designed to reduce the need for hospitalization of homeless TB patients. The CDPH TBCB recognizes, however, that when no other form of housing is available, or the patient is acutely ill, there may still be a need to hospitalize a homeless TB patient.

The CDPH TBCB may approve the use of FSIE funds for hospitalization when the following criteria are met:

- The patient is homeless at the time of hospital admission
- The patient is infectious or too ill to place in any other available housing. This must be clearly documented by the health department in the patient's health department chart.
- All other payer sources have been explored and found inadequate or unavailable. Please note that patients otherwise eligible for Medi-Cal except for their immigration status may be eligible for Emergency Medi-Cal services. A description of these efforts must be documented in the patient's health department medical record.
- The patient is not under an order of detention as stated in H&SC Section 121365(d),(e). The CDPH TBCB has a separate reimbursement mechanism for civil detention (See [Part 2, Section 6](#)). Each proposed detention should be discussed with a TBCB Program Liaison and/or Civil Detention Coordinator as soon as the need for detention arises. While both H&SC Section 121365(d) and (g) require the isolation of the patient, H&SC Section 121365(g) does not require that the patient be detained.

Additionally, as required by H&SC Sections 121361 and 121362, the hospital must submit a written treatment plan to the health department and receive approval prior to discharging or transferring the patient. The health department should develop a plan for transferring the patient to a location identified in the LHJ's "Plan for Housing Homeless Tuberculosis Patients."<sup>1</sup>

Local health jurisdictions considering use of the FSIE allotment to cover part or all of the cost of hospitalization should contact the TBCB Fiscal Analyst for approval.

### 3. Requesting Additional FSIE Funds

Additional FSIE funds may be requested by and granted to jurisdictions that exhaust their FSIE or Real-time Allotment in accordance with the following criteria:

- The CDPH TBCB should be the funding source of last resort for additional FSIE funds. The jurisdiction must attempt to find resources that will allow the local TB

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<sup>1</sup> CDPH TBCB. Plan for Housing Homeless Tuberculosis Patients. Can be found at: <http://www.cdph.ca.gov/programs/tb/Documents/TBCB-Special%20Populations-Plan%20for%20Housing%20Homeless%20Tuberculosis%20Patients.doc>

control program to provide the necessary services to the TB patient. The TBCB Fiscal Analyst will assist in identifying appropriate alternate sources of funding.

- Requests for additional funds should be primarily for the purpose of providing housing to suspected and confirmed TB cases. Circumstances warranting exceptions to this will be considered and approval will be made on a case-by-case basis. Exceptions should be in accordance with the prescribed use of these funds as described in [Part 2, Section 2](#) of this manual.
- LHJs should submit requests by email to the TBCB Fiscal Analyst as soon as the need for additional funds is identified. Invoices for additional funds will be reviewed at the end of each quarter and reimbursed, provided that expenses submitted are allowable and sufficient funds are available. Instructions for submitting requests and invoicing for reimbursement are located in [Part 3, Section 3](#).

The CDPH TBCB cannot ensure that sufficient funds will be available to pay every request. However, the CDPH TBCB will endeavor to identify all appropriate available funds. Payment is on a first come, first served basis, and made in accordance with merit of the request and available funds.

#### 4. Requesting Special Needs Funds

Special Needs Funds awards are made available when possible to LHJs that need resources to support acute and non-enduring TB control activities such as extended contact investigations, unexpected cases of multidrug-resistant (MDR) TB and outbreaks. The amount available varies each year. Available funds may be federal, state or both. Allowable expenditures will be based on state and federal guidelines.

Special Needs Funds may be requested by and granted to jurisdictions that have no other funds available in accordance with the following guidance:

- Eligible expenditures include support for additional personnel, benefits, travel, translation services, laboratory testing, supplies and services such as a portable X-ray van to conduct on-site screening of contacts for active TB disease
- Ineligible expenditures include in-patient care, medications, support for routine, on-going TB control activities, “not allowed” expenses on the “Allowable Expenditures” table (see [Table 2](#)) and any expenditure that can be covered by another source of funds
- Jurisdictions that receive funds through a Tuberculosis Cooperative Agreement with the Centers for Disease Control and Prevention are only eligible for state funds, when available
- Requests may be submitted at any time during the fiscal year. Approved requests may be invoiced quarterly up to the amount approved.

For additional information regarding the Special Needs Funds application process and/or the Special Needs Funds Application,<sup>1</sup> please contact the TBCB Fiscal Analyst.

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<sup>1</sup> CDPH TBCB. Special Needs Funds Application. Can be found at:  
<http://www.cdph.ca.gov/programs/tb/Documents/TBCB-SPM-Special-TB-Needs-Funding-Application.docx>

## 5. Local Assistance Award Reimbursement

- The CDPH TBCB reimburses the Contractor in arrears for actual expenditures in accordance with an approved and accepted Base Award budget or an accepted Real-time Allotment
- Reimbursement occurs only after the CDPH TBCB has received a signed original copy of the Acceptance of Award or Acceptance of Allotment form that is provided with the Letter of Award or Letter of Real-time Allotment
- Reimbursement is contingent upon TBCB approval of Contractor expenditures submitted by invoice
- Reimbursement will be withheld if the CDPH TBCB determines that the Contractor is not adhering to the terms and conditions described in the Standards and Procedures Manual
- It is mutually agreed that if the State of California Budget Act of the current year or the federal budget covered under these TB local assistance awards does not appropriate sufficient funds for the TB program, the awards shall be of no further force and effect. In this event, the CDPH TBCB shall have no liability to pay any funds whatsoever to Contractors or to furnish any other considerations under this agreement and Contractors shall not be obligated to perform any provisions of TB local assistance awards.
- If state or federal funding for any fiscal year is reduced or deleted for purposes of this program, the CDPH TBCB shall have the option to either cancel this agreement with no liability occurring to the State, or offer an amendment to Contractor to reflect a reduced amount
- Total reimbursement shall not exceed the sum specified in the Base Award - Letter of Award or Letter of Real-time Allotment, with the exception of approved additional FSIE funds or a Special Needs Funds award. Additional funds may be requested when a jurisdiction has exceeded its designated FSIE Allotment or Real-time Allotment. See [Part 2, Section 3](#) for additional information.
- Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.
- LHJs experiencing events that necessitate acute and non-enduring TB control activities for which no other funds are available, such as extended contact investigations, cases of MDR TB, and outbreaks may request Special Needs Funds (see [Part 2, Section 4](#) for additional information). Reimbursement for Base Award, FSIE Allotment, Real-time Allotment and Special Needs Funds award will not be made more frequently than quarterly unless noted in the Letter of Award.
- A final undisputed invoice shall be submitted for payment no more than forty-five (45) calendar days following the expiration or termination date of a TB local assistance award, unless a later or alternate deadline is agreed to in writing by the CDPH TBCB. Said invoice should be clearly marked "Final Invoice", indicating that all payment obligations of the CDPH TBCB under this agreement have ceased and that no further payments are due or outstanding. The CDPH TBCB may, at its discretion, choose not to honor any delinquent final invoice if

the Contractor fails to obtain prior written approval of an alternate final invoice deadline.

## 6. Reimbursement for Civil Detention of Persistently Non-Adherent Tuberculosis Patients

### 6.1 Reimbursement Standards

- All jurisdictions requesting reimbursement for the civil detention of a persistently non-adherent tuberculosis patient must have a current “Plan for the Detention of Persistently Non-Adherent Tuberculosis Patients”<sup>1</sup> on file with the CDPH TBCB
- Consideration for reimbursement for detention of persistently non-adherent tuberculosis patients is made on a case-by-case basis. H&SC Section 121358(a) prohibits the use of these funds for detentions carried out in correctional facilities. See [Table 3](#) for allowable and non-allowable expenditures.
- Reimbursement of up to \$285 per day is available for the cost of detention for isolation [H&SC Section 121365(d)] and completion of therapy [H&SC Section 121365(e)].
- Reimbursement is available for the cost of counsel provided to a non-indigent TB patient, upon request of the patient who is subject to an order of civil detention issued by the Local Health Officer. Services provided by counsel include representation of the TB patient at any court review of the order of detention required by H&SC Section 121451.
- Reimbursement for detention is a fixed rate per day based on the type of facility. Contact the TBCB Civil Detention Coordinator for information about the current rate ([Table 3](#)).
- Prior to submitting an invoice to the CDPH TBCB, LHJs should seek third party reimbursement for expenses for all eligible detainees.
- The reimbursement process is described in [Part 3, Section 4](#) and in the “Procedure for Requesting Reimbursement of Civil Detention of a Persistently Non-Adherent Tuberculosis Patient.”<sup>2</sup>

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<sup>1</sup> CDPH TBCB. Plan for the Detention of Persistently Non-Adherent Tuberculosis Patients. Can be found at: <http://www.cdph.ca.gov/programs/tb/Documents/TBCB-SPM-CD-Plan-for-Detention-of-Persistently.docx>

<sup>2</sup> Procedure for Requesting Reimbursement of Civil Detention of a Persistently Non-Adherent Tuberculosis Patient can be found on the CDPH TBCB website under Civil Detention Resources: <http://www.cdph.ca.gov/programs/tb/Pages/LocalAssistanceAward.aspx>

**Table 3. Allowable and Non-allowable Civil Detention Expenditures**

<b>Allowable:</b> All civil detention reimbursement requests are reviewed on a case-by-case basis. The CDPH TBCB is the payer of last resort. Proof of third party payer non-eligibility must be provided to the TBCB prior to invoice payment.	
<b>Room Accommodation</b> Including access to toileting and bathing, meals, housekeeping, and laundry, provision of nursing care for administration of TB medication by DOT and visitation procedures.	
<b>Health or Other Treatment Facility</b> <ul style="list-style-type: none"> <li>• Acute Care Hospital (up to \$285 per day)</li> <li>• Skilled Nursing Facility (up to \$285 per day)</li> <li>• Alcohol and Drug Rehabilitation Facility (\$50 per day)</li> <li>• Mental Health Rehabilitation Center (up to \$285 per day)</li> <li>• Other Health Care/Treatment Facility (up to \$285 per day)</li> <li>• Motel with elopement prevention measures (up to \$285 per day)</li> </ul>	
<b>Other Expenditures</b>	
<b>Additional Patient Services</b> <ul style="list-style-type: none"> <li>• Provision of TB clinical services for medical evaluation, monitoring, and follow-up</li> <li>• Mental health, substance abuse and spiritual counseling</li> <li>• Counsel for a non-indigent TB patient, upon request of the patient who is subject to an order of civil detention issued by the Local Health Officer. Services provided by counsel include representation of the TB patient at any court review of the order of detention required by H&amp;SC Section 121451.</li> <li>• Recreation</li> <li>• Elopement prevention <ul style="list-style-type: none"> <li>○ May include: 24 hour security, security guard, closed circuit television, electronic monitoring, alarm on doors, and electronic key pad for entry and exit</li> </ul> </li> </ul>	
<b>Medication</b> The most cost efficient method of purchasing TB medication must be utilized (i.e., third party payer, or a discounted drug purchasing program)	
<b>Transportation</b> Ground transportation to and from a regional civil detention site on a pre-approved case-by-case basis	
<b>Non-Allowable:</b> These expenditures will not be approved for reimbursement:	
<b>Detention in a correctional facility</b>	<b>Detention in a private residence</b>
<b>Personal monitoring devices (unless court-ordered)</b>	<b>Air transportation within the state of California</b>

**6.2 Tuberculosis Control Branch Civil Detention Coordinator**

Jan Young, R.N., M.S.N., Chief, Program Development Section, may be reached at (510) 620-3029 or via email at [Jan.Young@cdph.ca.gov](mailto:Jan.Young@cdph.ca.gov), or contact your designated TBCB program liaison.

## Part 3 - Procedures

### 1. Jurisdictions Reporting On Average Six or More TB Cases Annually

#### 1.1 Completing Your Base Award Application: Required Forms and Information

Applications must be completed in accordance with the instructions given in this document. The application must include:

- Budget
  - Summary Budget
  - Detail Budget
  - Line item justifications
- Funding Matrix
- Personnel Matrix
- Certification of Established Video Observed Therapy (VOT) Policies and Procedures (if applicable)

All required budget forms, certifications and disclosures can be found on the CDPH TBCB website at:

<http://www.cdph.ca.gov/programs/tb/pages/LocalAssistanceAward.aspx>.

For questions regarding the Base Award application process, please contact the TBCB Fiscal Analyst, David Beers, at (510) 620-3012 or via email at [david.beers@cdph.ca.gov](mailto:david.beers@cdph.ca.gov).

#### 1.2 Completing Your Base Award Budget

##### A. Salary Savings and the Contractor's Initial Budget

Submitted budgets should not include projected salary savings. Jurisdictions with local requirements to include salary savings in their application budget should contact the TBCB Fiscal Analyst, David Beers at (510) 620-3012 or by email at [david.beers@cdph.ca.gov](mailto:david.beers@cdph.ca.gov) for additional guidance.

##### B. Medi-Cal Fee-for-Service Reimbursement of Directly Observed Therapy and Directly Observed Preventive Therapy

The CDPH TBCB encourages the use of directly observed therapy (DOT) as a strategy for improving completion of therapy and reducing adverse treatment outcomes. To the extent possible, DOT services should be reimbursed by Medi-Cal on a fee-for-service basis of \$19.23 per encounter.

The following rules apply to claims for Medi-Cal reimbursement for DOT services:

- Medi-Cal fee-for-service reimbursement for DOT or directly observed preventive therapy (DOPT) can only be billed for personnel who are either fully or partially funded with local revenue dollars. Medi-Cal reimbursement is not allowed for services provided by personnel who are fully funded through CDPH TBCB local assistance funds.
- A county or local overmatch is required to claim the Federal Financial Participation reimbursement. Contractors should determine which position(s) will provide Medi-Cal fee-for-service DOT or DOPT, and

structure their local and CDPH TBCB local assistance budgets to maximize this revenue stream. Reimbursement is limited to the amount of county or local overmatch budgeted for the personnel providing the service.

Suggested options for structuring your budget:

Option A

- Identify the number and type of personnel who will provide MediCal reimbursable services
- Budget these positions to be fully funded with local revenue dollars

Option B

- Identify the number and type of positions who will provide MediCal reimbursable services
- Estimate the amount of expected reimbursement for each position identified
- Budget each position identified to be partially funded through local revenue dollars for an amount equal to or greater than the expected amount of MediCal reimbursement
- Budget the remainder of each position to be funded through CDPH TBCB-provided local assistance funds

**C. Personnel Costs (Benefit and Non-Benefit)**

Budget information for CDPH TBCB funded positions is required on the Summary and Detailed Budget forms, and in the Line Item Justification.

Summary Budget

- Personnel (With Benefit) line item category  
Enter the total amount budgeted for benefited personnel
- Personnel (Non-Benefit) line item category  
Enter the total amount budgeted for non-benefited personnel and miscellaneous personnel items

Detailed Budget

- Personnel (With Benefit) line item category  
List and consecutively number each benefited position as a separate line item (Table 4). For each position listed, include the following information:
  - Position Title
  - New or Continuing
  - Number of Full Time Equivalents (FTE)
  - Annual Salary
- Total Line Item Amount

**Table 4. Example of Detailed Budget**

Line Item Category					
Personnel - With Benefits (title, new or continuing, annual salary % FTE, months)					Amount
Title	New/Cont.	Annual	FTE	Months	
1. Medical Doctor	New	\$160,000	.05	12	\$ 8,000
2. Community Worker	Continuing	\$ 35,000	1.0	12	\$ 35,000
3. Community Worker	Continuing	\$ 36,800	0.8	12	\$ 29,440
4. Epidemiologist	New	\$ 60,000	1.0	12	\$ 60,000
Total Personnel (With Benefits)					\$ 132,440
Benefits (rate, actual salary)					
Title		Rate		Actual Salary	
1. Medical Doctor		32%		\$ 8,000	\$ 2,560
2. Community Worker		40%		\$ 35,000	\$ 14,000
3. Community Worker		40%		\$ 29,440	\$ 11,776
4. Epidemiologist		32%		\$ 60,000	\$ 19,200
Total Benefits					\$ 47,536
Personnel – Non-Benefit (title, new or continuing, annual salary, % FTE, months)					
Title	New/Cont.	Annual	FTE	Months	
4. Community Worker	New	\$ 38,000	0.5	12	\$ 19,000
Bilingual bonus: \$80 per month x 12 months x 9 Nurses					\$ 8,640
Total Personnel (Non-Benefit)					\$ 27,640
<b>TOTAL PERSONNEL SERVICES</b>					<b>\$207,616</b>

Line Item Justification

Include the following information for each position listed in the Detailed Budget (Table 5):

- Position Title
- Name(s) of the individual(s) filling the position. State “vacant” if position(s) is/are not filled
- Brief summary of the duties for the position; describe how the position contributes to conducting Priority One and Priority Two activities
- Identify personnel funded with Housing Personnel funds, their activities, and the amount of FTE that match the criteria for the use of these dollars
- If appropriate, identify personnel engaged in Priority 3 Activities (see also [Part 3, Section 1.2 M](#))
- Identify personnel fulfilling the duties of a Correctional Liaison (see also [Part 3, Section 1.2 N](#))

**Table 5. Example of Line Item Justification**

<b>PERSONNEL</b>
1. Medical Doctor Allison Smith (0.05 FTE) Reviews hospital discharge treatment plans, coordinates treatment adjustments and approves discharge.
2. and 3. Community Workers Henry Trevon (1.0 FTE) and Leo Segundo (0.8 FTE) Henry Trevon and Leo Segundo provide DOT along with other patient follow-up services in a public health clinic to ensure completion of therapy.
4. Epidemiologist (Vacant) This individual analyzes Report of Verified Case of Tuberculosis (RVCT) form data and program records to identify disease trends, monitor patient outcomes, and program performance indicators.
5. Community Worker Luther X. Ray (0.5 FTE) Luther X. Ray performs contact investigation follow-up services in the field. He also does DOT which is billed through the Medi-Cal TB Program fee-for-service DOT. He is supported for this portion of his effort by local revenue dollars.

**D. Benefits**

- Benefit rates of greater than 45% must be justified. Submit official documentation of the rate, as well as a breakdown of the benefits
- Benefit information is required on the Summary and Detailed Budget sheets

Summary Budget – Benefits line item category

Enter the benefits rate computed and the total amount budgeted

Detailed Budget – Benefits line item category

Enter the benefit rate, actual salary and the amount of benefits budgeted for each position listed in the Personnel (Benefit) category (Table 4)

**E. Miscellaneous Personnel Line Items**

Budget information for miscellaneous personnel line items, i.e., nurse retention bonus, bilingual bonus, is required on the Summary and Detailed Budget forms, and in the Line Item Justification.

Summary Budget – Personnel (Non-Benefit) line item category

Include in the total amount budgeted for miscellaneous personnel line items

Detailed Budget – Personnel (Non-Benefit) line item category

List any miscellaneous personnel line items as separate line items (Table 4)

Line Item Justification

For each miscellaneous personnel item listed in the Detailed Budget, include the following information in the Line Item Justification:

- Name of the line item (Table 6)
- A brief justification describing how these line items assist your staff in meeting identified program needs

**Table 6. Example of Personnel (non-benefit) Justification****Bilingual Bonus**

These bilingual individuals provide direct services to non-English speaking persons.

**F. Travel and Per Diem**

Allowable Travel and Per Diem Expenses and Reimbursement (In-State travel only):

- Mileage – Private Car: \$0.54 per mile (or current state reimbursement rate)
  - Contractors must maintain a travel log that includes the individual's name, purpose of the trip (e.g., DOT visit), date(s) of travel, and the total mileage for the trip
- Daily Subsistence Rates (when travel exceeds 24 consecutive hours)  
Reimbursement will be made for actual expenditures not exceeding the following maximum allowable amounts:
  - \$ 7.00 Breakfast
  - \$11.00 Lunch
  - \$23.00 Dinner
  - \$ 5.00 Incidentals (reimbursement for fees and tips given to porters, baggage carriers and hotel staff)
- Lodging with a receipt up to \$90.00 plus tax, except for specific counties listed below.

Reimbursement is made on the actual amount of the lodging or expense up to the designated maximum. All expenses invoiced must be for the actual amount of the expense. Local health jurisdiction personnel traveling on Base Award dollars should maintain receipts for all claimed expenses. Lodging without a receipt will not be reimbursed.

Designated reimbursement maximums for lodging are higher for (receipted) hotel stays in the following counties:

- Napa, Riverside and Sacramento Counties: up to \$95 per night, plus tax
- Los Angeles, Orange and Ventura Counties: up to \$120 per night, plus tax
- Alameda, Monterey, San Diego, San Mateo and Santa Clara Counties: up to \$125 per night, plus tax
- San Francisco City and County and City of Santa Monica up to \$150 per night, plus tax

Reimbursement for travel and per diem shall be in accordance with California Department of Human Resources policies for state employees.<sup>1</sup>

Summary Budget – Travel line item category

List the total amount of combined travel and per diem

Detailed Budget – Travel line item category

<sup>1</sup> CalHR website: <http://www.calhr.ca.gov/employees/Pages/travel-reimbursements.aspx>

- List projected within-jurisdiction travel separately from out-of-jurisdiction travel
- For within-jurisdiction travel, indicate the number of miles and mileage rate
- For out-of-jurisdiction travel, indicate travel and per diem expenses separately

#### Line Item Justification

For within-jurisdiction and out-of-jurisdiction travel and per diem, briefly describe the purpose of the travel relative to Priority One and Priority Two activities. If applicable, identify the dollar amount of Housing Personnel funds and how the proposed activities meet the criteria for the use of these funds (see Table 7 and [Part 2, Section 1.5](#) for guidance on the use of Housing Personnel funds).

#### **Table 7. Example of Travel Justification using Housing Personnel Funds**

Within-jurisdiction travel is required for community outreach workers and public health nurses to perform DOT, case interviewing, and contact investigation.

Out-of-jurisdiction travel is required for medical, nursing and other health professional staff to participate in continuing education through the annual CTCA conferences.

#### **G. Equipment**

Whenever the term equipment/property is used, the following definitions shall apply:

- **Major equipment/property:** A tangible or intangible item having a base unit cost of \$5,000 or more with a life expectancy of one (1) year or more and is either furnished by CDPH TBCB or the cost is reimbursed through this Agreement.
- **Minor equipment/property:** A tangible item having a base unit cost of less than \$5,000 with a life expectancy of one (1) year or more and is either furnished by CDPH TBCB or the cost is reimbursed through this Agreement.

Note: The CDPH TBCB requires that major equipment purchased with state funds be documented on the “Contractor Equipment Purchased with CDPH TBCB Funds” form. Return the completed form to the TBCB with the final invoice.

- Approval to purchase equipment is contingent on the Contractor’s ability to demonstrate that the purchase is a cost effective means to meet a need related to the control and prevention of TB. This is best accomplished by clearly stating the purpose of the equipment.
- Equipment procurement shall not exceed an annual (fiscal year) maximum of \$50,000
- All equipment and products purchased should be American-made, to the greatest extent possible

- Contractors using CDPH TBCB local assistance award funds to purchase video observed therapy (VOT) equipment must have a VOT policy and procedures in place and submit a signed “Certification of Established Video Observed Therapy (VOT) Policy and Procedures” prior to equipment purchase

**Summary Budget** – Equipment line category

List the total amount of all equipment purchases

**Detailed Budget** – Equipment line item category

Itemize equipment purchases and include:

- The number of units, cost per unit, and total cost
- Make and model number

**Line Item Justification**

Briefly describe how the equipment will enhance your ability to conduct TB Control Priority 1 and 2 activities.

## H. Supplies

Use this line item for office, clinic and laboratory supplies, such as tuberculin syringes.

**Summary Budget**

List the total amount for all supplies to be purchased

**Detailed Budget**

Itemize projected expenditures into three categories (Table 8):

- Office Supplies: state the total amount to be expended for these supplies. It is not necessary to list all the types of office supplies.
- Clinic Supplies: state the total amount to be expended for these supplies. It is not necessary to list all the types of clinic supplies.
- Laboratory Supplies: itemize all supplies to be purchased with the dollar amount for each type.

**Table 8. Example of Supplies Detailed Budget Justification**

Line Item Category			
Supplies			Amount
Office Supplies			\$ 500
Clinic Supplies			\$ 100
Laboratory Supplies	Unit Price	Number Needed	
Reagents	\$ 75.00 ea	5	\$ 375
Disposable pipets	\$ 40.00 pkg	5	\$ 200
Centrifuge tubes	\$ 35.00 pkg	8	\$ 280
Total Supplies			\$1,455

## I. Anti-TB Medication

To comply with federal restrictions on fund use, reimbursement of medication expenditures is limited to the amount of the state fund portion of the award.

**Summary Budget** – Anti-TB medication line item category  
Include in the total amount budgeted for anti-TB medications

**Detailed Budget** – Anti-TB medication line item category  
Itemize anti-TB medication you will purchase with the dollar amount for each drug (Table 9)

**Table 9. Example of Anti-TB Medication Detailed Budget Justification**

Line Item Category			
Anti-TB Medication	Unit Price	Number Needed	Amount
Rifampin	\$ 30 x 1 month	30 months	\$ 900
Isoniazid	\$ 10 x 1 month	30 months	\$ 300
Pyrazinamide	\$ 50 x 1 month	30 months	\$1,500
Total Anti-TB Medication			\$2,700

### J. Subcontracts

Please ensure that a copy of each subcontract accompanies the application. A final draft is acceptable. A copy of the signed contract must be submitted to the CDPH TBCB as soon as the local approval process is completed.

**Summary Budget** – Contractual line item category  
List the total amount of all subcontracts, e.g., purchase agreements and service contracts.

**Detailed Budget** – Contractual line item category  
Itemize each subcontract on the detailed budget sheet.

- List the name of each subcontract organization
- Indicate the period of service
- Specify total dollar amount of each subcontract
- Specify personnel and/or services, equipment and other costs for each subcontract. Provide the same details for personnel, benefits, travel, equipment, supplies and other costs covered under the subcontract as is required for the Base Award detailed budget section.

#### Line Item Justification

Briefly describe the following:

- Purpose of the subcontract and how the subcontract will enhance your program's ability to conduct Priorities 1 and 2 activities.
- Scope of work: Describe in outcome terms the specific services to be performed. Deliverables should be clearly defined.
- Method of selection: State whether the contact is sole-source or competitively bid. If the organization is the sole source for the contact, include an explanation as to why this institution is the only one able to perform the service.
- Method of Accountability: Describe how the progress and performance of the contractor will be monitored during and on close of the contract

period. Identify who will be responsible for supervising the contract. Include a schedule and description of the types and quantity of the services and/or product(s) to be delivered

- If applicable, identify the dollar amount of Housing Personnel funds and how the subcontract meets the criteria for the use of these funds (see [Part 2, Section 1.5](#) for guidance on the use of Housing Personnel funds)

#### **K. Other Line Items**

Use this line item for:

- Other direct costs that have not been listed elsewhere
- Local detention activities, only as described in Health and Safety Code Section 121451

Summary Budget – Other line item category

Enter the total amount of Other category line items

Detailed Budget – Other line item category

Itemize each type of expenditure

Line Item Justification

Provide a brief justification for all items listed in the Detailed Budget - Other category.

#### **L. Indirect Cost**

Indirect costs are the expenses of doing business not readily identified within a grant or contract, but needed for the general operation of the organization. Reimbursement for indirect costs is generally expressed as a percentage called an indirect cost rate (ICR) and is applied to either the total of Personnel Services (Salary and Benefits) or the total Allowable Direct Cost of the contract.

Each Contractor will submit an application annually to the CDPH Financial Management Branch (FMB) with their proposed ICR percentage based on either the total cost of personnel services or total allowable direct cost. The CDPH FMB will review applications and approve rates for the upcoming fiscal year. For more information regarding approved county indirect cost rates, please contact the FMB by email at [CDPH-ICR-mailbox@cdph.ca.gov](mailto:CDPH-ICR-mailbox@cdph.ca.gov).

Reduced Indirect Costs

Contractors are **not required** to include an ICR in their TB local assistance award budgets. Contractors may choose to not include ICR in their award budget or may elect to include an ICR that is less than their approved rate.

ICR will be capped at the CDPH-approved rate for each individual jurisdiction, but not to exceed 25% of total personnel services costs or 15% of total allowable direct costs.

#### **M. Documentation of and Justification for the Use of Funds for Priority 3 Activities**

Jurisdictions should emphasize TB control activities designed to meet and maintain Centers for Disease Control and Prevention (CDC) Priorities 1 and

2 before directing local assistance funding toward Priority 3 (see [Part 1, Section 4.1](#) of this manual).

In order to receive approval for Local Assistance Award dollars to be directed toward Priority 3, LHJs should ensure that:

- Patients evaluated as part of a designated target population that are identified with latent TB infection (LTBI) are appropriately treated, that a program is established to ensure completion of treatment for LBTI, and
- The local health jurisdiction has met the CDC objectives for Priority 1 and 2, and can sustain these activities while implementing Priority 3

Prepare a separate line item justification, entitled Priority 3, for all funds directed toward Priority 3 activities. The following information must be included:

- For all applicable line items, identify the amount of the FTE budgeted that will be dedicated toward these activities
- A statement that the jurisdiction will continue to maintain Priority 1 and 2 activities
- A description of the population to be targeted for testing and to be treated for LTBI
- A description of the methods for collecting and analyzing testing and treatment data
- A description of the personnel resources available to ensure that the patients identified for treatment complete therapy

#### **N. Designation of a Correctional Liaison**

Ensuring continuity of care for TB patients who transfer between correctional facilities and the community is a TB control priority in California. Each jurisdiction should identify its needs and determine those duties that are most appropriate for their Correctional Liaison. The National TB Controllers Association (NTCA) Public Health TB Corrections Liaison Model Duty Statement<sup>1</sup> and Core Competencies may be useful in determining these duties.

The designee may be your jurisdiction's Correctional Liaison identified in the CTCA Directory,<sup>2</sup> or you may choose to designate someone else.

To identify the designee in your application package:

- If this position is supported through local assistance subvention funds, then include the following statement in the line item justification: "Fulfills the Duties of a Correctional Liaison."
- If the Correctional Liaison is supported through other funds, then indicate in the cover letter included with the submission of your budget the name and position classification of the staff member responsible for fulfilling these duties.

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<sup>1</sup> Public Health TB Corrections Liaison Model Duty Statement can be found on the NTCA website under Model Duty Statements: [http://tbcontrollers.org/?page\\_id=451](http://tbcontrollers.org/?page_id=451)

<sup>2</sup> CTCA Directory can be found at: [http://www.ctca.org/fileLibrary/file\\_672.pdf](http://www.ctca.org/fileLibrary/file_672.pdf)

### 1.3 Submitting Your Base Award Application

Submit electronically to [tbawards@cdph.ca.gov](mailto:tbawards@cdph.ca.gov) or mail by Friday, April 29, 2016 to:

California Department of Public Health  
Tuberculosis Control Branch  
850 Marina Bay Parkway, Building P, Second Floor  
Richmond, CA 94804-6403  
Attention: David Beers – Application for Funding

### 1.4 Notice of Base Award Application Approval Process

The CDPH TBCB issues a Letter of Award to the recipient upon approval of the application package. The Letter of Award will contain the amounts of the Base Award, including Housing Personnel funds, federal funds and the Food, Shelter, Incentives and Enablers (FSIE) allotment. Attached to the letter is an Acceptance of Award page to be completed by the jurisdiction and returned with an authorized signature.

### 1.5 Accepting Your Base Award

As an official acknowledgement of receipt of the award, the Acceptance of Award or Allotment form must be returned to the CDPH TBCB with an authorized signature. By signing the Acceptance of Award or Allotment, the recipient agrees to all the conditions of the award as set forth by the CDPH TBCB. A signed agreement is a prerequisite for reimbursement of invoices. The following signed forms should be sent with the signed Acceptance of Award:

- Contractor Certification Clauses
- Special Terms and Conditions
- Darfur Contracting Act

All required certification and disclosure forms can be found on the CDPH TBCB website at: <http://www.cdph.ca.gov/programs/tb/pages/LocalAssistanceAward.aspx>.

### 1.6 Managing Your Base Award and FSIE Allotment

#### A. Submitting Base Award Invoices

For services satisfactorily rendered, and upon receipt and approval of the invoices, the CDPH TBCB agrees to compensate the Contractor for actual expenditures incurred in accordance with an approved TB local assistance award budget.

Original invoices signed by an authorized representative certifying that the expenditures claimed represent actual expenses should be submitted on the Contractor's letterhead quarterly (see Section Part 3, Section 1.6, A,2 for due dates) in arrears to:

California Department of Public Health  
Tuberculosis Control Branch  
850 Marina Bay Parkway, P-2  
Richmond, CA 94804-6403  
Attention: David Beers

The official signature(s) must be in blue ink.

1. To facilitate timely reimbursement, use the invoice template on the CDPH TBCB website at:

<http://www.cdph.ca.gov/programs/tb/pages/LocalAssistanceAward.aspx>

and include the following information:

- Award period
- Billing period
- Amount to be reimbursed by line item category
  - For Personnel, include name, title, salary and benefit detail
  - Reimbursement for allowable travel and per diem expenses (in-state only) will be reimbursed using state rates. See [Part 3, Section 1.2 F](#) for rate details.
  - For Equipment, include item detail (type and cost for each). For equipment expenditures, the CDPH TB Control Branch reserves the right to request evidence of payment purchase, e.g., official county purchase order, and a brief description of the item(s) purchased including make and model number.
  - Under Supplies, include office, medical and laboratory supplies
  - Anti-TB medications should be included as a separate line item. Request for reimbursement must not exceed the state portion of your Base Award.
  - Provide detail regarding amount to be reimbursed under Other, including local detention activities (as described in Health and Safety Code Section 121451)

Please note that no invoices for the new fiscal year can be processed if there are outstanding invoices from the previous year or if there are unresolved stipulations from the Letter of Award. Also, invoice payment requires that a signed Acceptance of Award is on file with the CDPH TBCB.

## 2. Invoice Due Dates and Requests for Extensions

<u>Quarter</u>	<u>Period Covered</u>	<u>Due Date</u>
First	July 1 through September 30	November 15
Second	October 1 through December 31	February 15
Third	January 1 through March 31	May 15
Fourth	April 1 through June 30	August 15

Invoices must be postmarked by the quarterly due date. If an invoice will not be submitted by the quarterly due date, the Contractor must contact the TBCB Fiscal Analyst in advance to request an extension.

All requests for extensions must be submitted in writing (letter, fax or email) by the invoice due date with an explanation of the barriers to timely submission. Requests for extensions longer than two weeks may not be granted if the date would delay TBCB fiscal closeout.

**Important:** Fiscal closeout begins on the first business day of March and September of each year. Contractors granted a second or fourth quarter

extension must submit a “not to exceed amount” by the last business day in February and August.

## **B. Submitting FSIE Allotment Invoices**

Original invoices signed by an authorized representative certifying that the expenditures claimed represent actual expenses should be submitted on the Contractor’s letterhead quarterly (see Section Part 3, Section 1.6, A,2 for due dates) in arrears to:

California Department of Public Health  
Tuberculosis Control Branch  
850 Marina Bay Parkway, P-2  
Richmond, CA 94804-6403  
Attention: David Beers

The official signature(s) must be in blue ink.

To facilitate timely reimbursement, use the FSIE sample invoice template on the CDPH TBCB website at:

<http://www.cdph.ca.gov/programs/tb/pages/LocalAssistanceAward.aspx> and include the following information:

- Amount to be reimbursed by line item (Shelter and Food, Incentive and Enablers) and the following detail:
  - For shelter: TB case Report of Verified Case of Tuberculosis (RVCT) or California Reportable Disease Information Exchange (CalREDIE) number or the local suspect ID number, name of lodging location, cost per day, number of days, and total cost. Please do not submit any patient identifiers, such as name, address, or birth date.
  - For patients receiving housing assistance and/or shelter: indicate that treatment was administered via DOT during the time housing was provided. Use of VOT is not an approved substitute for DOT when using FSIE funds to provide housing.
  - For food items, meals, incentives, enablers: itemize and cross-foot, e.g., 20 personal hygiene kits @ \$3.50, total \$70; 100 bus vouchers @ \$1.00, total \$100; 50 McDonald’s coupons @ \$3.00, total \$150

It is not necessary to submit evidence of expenditures for food, shelter, incentives and enablers. However, Contractors are required to maintain this documentation. Please contact the TBCB Fiscal Analyst for more information regarding record retention requirements.

The CDPH TBCB will review the balance of unexpended FSIE funds and redistribute these funds to Contractors that have requested additional funds. By failing to contact the TBCB Fiscal Analyst to request a submission extension for second or fourth quarter invoices, Contractors risk not receiving full payment for the invoiced amount if submitted past the deadline. For information about requesting extra FSIE, see [Part 3, Section 3](#).

## C. Budget Revision Process

### 1. General Standards

The CDPH TBCB must confirm in writing approval of modified budget requests. No reimbursements can be made for revised budget expenses until approval has been granted.

The CDPH TBCB does not give verbal approval for budget revisions.

### 2. Requesting a Budget Revision

- General Requirements
  - Submit the Budget Revision Request, a revised Summary Budget, Detailed Budget, and line item justification to the TBCB Fiscal Analyst by email at least four weeks prior to the date of the proposed expenditure. Budget revision requests that are not submitted on the Budget Revision form will be returned. Additional information may be requested.
  - Before preparing the budget revision, review the list of Allowable Expenditures (see Part 2, [Table 2](#))
- Completing the Budget Revision Request
  - Include a complete narrative justification for each revised line item. The justification should clearly describe how each proposed revision to the approved budget would enhance the TB program's ability to achieve stated Priority 1 and 2 goals.
  - The following items, when appropriate, must be included when submitting revisions to the Personnel line item:
    - Itemized salary savings for each benefited and non-benefited personnel line item
    - For changes in employment status, include the employee's title, start date, and termination date (when applicable) in the justification section
    - A revised Personnel Matrix
    - All required signatures

### 3. Notification of Action Taken on a Budget Revision Request

A copy of the approved or disapproved request will be emailed or faxed to the contact person listed on the budget revision form, or on the cover letter accompanying the request, if different than the contact person listed on the form.

#### 1.7 Additional Required Forms

- A "Contractor Equipment Purchased with CDPH TBCB Funds"<sup>1</sup> form must be submitted with the final invoice for major equipment purchased with TB local assistance funds.

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<sup>1</sup> Contractor Equipment Purchased with CDPH TBCB Funds form can be found on the CDPH TBCB website under Fiscal Year 2016-2017 Standards and Procedures Manual and Budget Forms: <http://www.cdph.ca.gov/programs/tb/Pages/LocalAssistanceAward.aspx>.

- A Contractor's Release form for Base Awards and Real-time Allotments must be submitted with the final Base Award or Real-time Allotment invoice.<sup>1</sup>

## 2. Jurisdictions Reporting on Average Less Than Six TB Cases Annually

### 2.1 Receiving Your Real-Time Allotment

An application is not required for receipt of Real-time Allotment funds. The allocation of Real-time Allotment funds is based on the number of TB cases and case characteristics reported in the current calendar year. All LHJs reporting on average less than six cases annually will receive a Letter of Initial Real-time Allotment in July based on verified TB cases reported between January 1 and May 31. A Letter of Revised Real-time Allotment will be issued in December based on TB cases reported between June 1 and October 31. A Letter of Final Real-time Allotment will be issued in February based on TB cases reported between November 1 and December 31. Funds will be issued for up to five TB cases, case characteristics and/or B1-notification evaluations per calendar year. See Table 10 for the Letter of Real-time Allotment schedule.

**Table 10. Letter of Real-Time Allotment Schedule**

TB Cases Reported	Award Letter	Date Issued
January 1 – May 31	Initial	June
June 1 – October 31	Revised	December
November 1 – December 31	Final	March

\*Real-time Allotments will be issued for up to five cases or case characteristics per calendar year

### 2.2 Accepting Your Real-Time Allotment

The Letter of Real-time Allotment will include an Acceptance of Allotment form. The Acceptance of Allotment form is an official acknowledgement of receipt of funds and must be returned to the CDPH TBCB with an authorized signature. By signing the Acceptance of Allotment, the recipient agrees to all the conditions of the award as set forth by the TBCB. A signed Acceptance of Allotment form is a prerequisite for reimbursement of invoices. The following signed forms should be sent with the signed Acceptance of Award:

- Contractor Certification Clauses
- Special Terms and Conditions
- Darfur Contracting Act

All required certification and disclosure forms can be found on the CDPH TBCB website at: <http://www.cdph.ca.gov/programs/tb/pages/LocalAssistanceAward.aspx>.

### 2.3 Managing Your Real-Time Allotment

#### A. Submitting Real-Time Allotment Invoices

For services satisfactorily rendered, and upon receipt and approval of the invoices, the CDPH TBCB agrees to compensate the Contractor for actual expenditures incurred in accordance with "Allowable and Non-allowable Expenditures List FY15-16" ([Table 2](#)).

<sup>1</sup> Contractor's Release form can be found on the CDPH TBCB website under Certifications and Disclosures: <http://www.cdph.ca.gov/programs/tb/Pages/LocalAssistanceAward.aspx>.

Original invoices signed by an authorized representative certifying that the expenditures claimed represent actual expenses should be submitted on the Contractor's letterhead quarterly (see Section Part 3, Section 1.6, A,2 for due dates) in arrears to:

California Department of Public Health  
Tuberculosis Control Branch  
850 Marina Bay Parkway, P-2  
Richmond, CA 94804-6403  
Attention: David Beers

The official signature(s) must be in blue ink.

1. To facilitate timely reimbursement, use the Real-time Allotment sample invoice template on the CDPH TBCB website at:

<http://www.cdph.ca.gov/programs/tb/pages/LocalAssistanceAward.aspx>

and include the following information:

- Award period
- Billing period
- Amount to be reimbursed by line item category (including FSIE)
  - For Personnel, provide name, title and a brief description of duties. For benefit rates of greater than 40%, submit official documentation of the rate, as well as a breakdown of the benefits.
  - Reimbursement for allowable travel and per diem expenses (in-state only) will be reimbursed using state rates. See [Part 3, Section 1.2 F](#) for rate details.
  - For Equipment, include item detail (type and cost for each). For equipment expenditures, the CDPH TB Control Branch reserves the right to request evidence of payment purchase, e.g., official county purchase order, and a brief description of the item(s) purchased including make and model number.
  - Under Supplies, include office, medical and laboratory supplies
  - Anti-TB medications should be included as a separate line item. Request for reimbursement must not exceed the state portion of your Real-time Allotment.
  - For Contractual, a copy of the subcontract must be included with the first invoice for which reimbursement is requested. See [Part 3, Section 1.2 J](#) for guidance on additional information needed.
  - Provide detail regarding amount to be reimbursed under Other, including local detention activities (as described in Health and Safety Code Section 121451)
  - Detail for FSIE detail must include:
    - For Shelter: TB case RVCT or CalREDIE number or the local suspect ID number, name of lodging location, cost per day, number of days, and total cost. Please do not submit any patient identifiers such as name, address, or birth date.
    - For patients receiving housing assistance and/or shelter: indicate that treatment was administered via DOT during the

time housing was provided. Use of VOT is not an approved substitute for DOT when using FSIE funds to provide housing.

- For food items, meals, incentives, enablers: itemize and cross-foot, e.g., 20 personal hygiene kits @ \$3.50, total \$70; 100 bus vouchers @ \$1.00, total \$100; 50 McDonald's coupons @ \$3.00, total \$150

Please note that no invoices for the new fiscal year can be processed if there are outstanding invoices from the previous year or if there are unresolved stipulations from the Letter of Award. Also, invoice payment requires that a signed Acceptance of Award is on file with the CDPH TBCB.

2. Real-time Allotment invoices for TB control expenditures should be submitted quarterly per the schedule below.

<u>Quarter</u>	<u>Period Covered</u>	<u>Due Dates</u>
First	July 1 through September 30	November 15
Second	October 1 through December 31	February 15
Third	January 1 through March 31	May 15
Fourth	April 1 through June 30	August 15

Contractors may invoice for part or all of their Real-time Allotment funds in any given quarter. Invoices should be postmarked by the quarterly due date. If you have a question regarding invoice due dates, please contact the TBCB Fiscal Analyst.

**Important:** Fourth quarter Real-time Allotment invoices must be submitted by August 15 following the award period (e.g., August 15, 2017 for the award period of July 1, 2016 – June 30, 2017). Requests for extensions must be submitted in writing (letter, fax or email) by August 15 with an explanation of the barriers to timely submission. Contractors granted an extension must submit a “not to exceed amount” by the last business day in August. Requests for extensions longer than two weeks may not be granted if the date would delay TBCB fiscal closeout.

### 3. Process for Requesting and Invoicing Additional FSIE Funds: All Jurisdictions

- Requests for additional funds should be submitted by email to the TBCB Fiscal Analyst as soon as the need has been identified. The request should include the amount (by type of expense) needed through the end of the fiscal year.
- Requests must be in accordance with the use of these funds as described in [Part 2, Section 3](#)
- The Contractor will receive approval, denial and/or request for additional information by email from the TBCB Fiscal Analyst.
- Invoices for additional FSIE should be submitted on the same quarterly schedule and format as described in [Part 3, Section 1.6](#) of this manual. Expenditures invoiced must have occurred within the scheduled time period.
- Additional FSIE funds should be invoiced separately using the FSIE Invoice template posted on the CDPH TBCB website. Please include “Additional FSIE” in the invoice title. Calculations for previous expenditures and remaining balance

should be based on the amount of additional FSIE only, not the original FSIE Allotment.

- Fourth quarter invoices for additional FSIE expenditures must be submitted by August 15 following the award period (e.g., August 15, 2017 for the award period of July 1, 2016 – June 30, 2017). Invoices postmarked received after August 15 will not be considered for reimbursement unless the jurisdiction has received approval for an extension from the TBCB Fiscal Analyst.

#### 4. Reimbursement for Civil Detention of Persistently Non-Adherent TB Patients

##### 4.1 Requesting Approval and Submitting Documentation for Reimbursement for Civil Detention

Refer to “Procedure for Requesting Reimbursement for Civil Detention for a Persistently Non-Adherent Tuberculosis Patient”<sup>1</sup> for a complete description of this process and required documentation. Contact the TBCB Civil Detention Coordinator for any needed assistance (see [Section 4.4](#)).

For assistance in completing the required documentation, refer to the CDPH-CTCA “Guidelines for the Civil Detention of Persistently Non-Adherent Tuberculosis Patients in California.”<sup>2</sup>

**Local health jurisdictions must use one of the following options in order to be eligible for reimbursement.**

Option 1 (The CDPH TBCB recommends the use of this option)

- Prior to the detention:
  - Contact your assigned TBCB Program Liaison to discuss the circumstances
  - Submit a completed “Request for Reimbursement of Civil Detention of a Persistently Non-Adherent Tuberculosis Patient” along with the required documentation
- Requests for reimbursement will be reviewed by the TBCB Civil Detention Coordinator; approval or denial will be returned by fax to the requesting Contractor

Option 2

- Within 5 working days of the date the detention began, the Contractor must submit a completed “Request for Reimbursement of Civil Detention of a Persistently Non-Adherent Tuberculosis Patient”<sup>1</sup> along with required documentation
- Requests for reimbursement will be reviewed by the TBCB Civil Detention Coordinator; approval or denial will be returned by fax to the requesting Contractor

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<sup>1</sup> Procedure for Requesting Reimbursement for Civil Detention can be found on the CDPH TBCB website under Civil Detention Resources:

<http://www.cdph.ca.gov/programs/tb/Pages/LocalAssistanceAward.aspx>.

<sup>2</sup> CDPH CTCA. (2011) Guidelines for the Civil Detention of Persistently Non-Adherent Tuberculosis Patients in California. Can be found at: [http://www.ctca.org/fileLibrary/file\\_50.pdf](http://www.ctca.org/fileLibrary/file_50.pdf)

**Please be aware that if a request for reimbursement is denied by the CDPH TBCB, the Contractor is financially responsible for the detention.**

#### **4.2 Invoicing for Civil Detention Once the Request is Approved**

Before submitting an invoice to the CDPH TBCB, Contractors must seek third party payer reimbursement for all eligible services and expenses for all civil detention patients. Proof of denial of third party payer reimbursement or proof of denial of an application for health benefits is required prior to invoice payment. Contractors may request reimbursement for the actual costs of providing counsel for a non-indigent TB patient, upon request of the patient, who is subject to an order of civil detention issued by the Local Health Officer. Services provided by counsel include representation of the TB patient at any court review of the order of detention required by H&SC Section 121451.

Use the "Civil Detention Program Invoice"<sup>1</sup> template for invoicing. The invoice must include the authorized original signature(s) in blue ink. Final invoices for each fiscal year are due no later than 45 days past the end of the fiscal year (August 15).

#### **4.3 Detention Release Date Information**

Within 5 working days of the detention release date, the jurisdiction will fax the release date to the TBCB Civil Detention Coordinator.

#### **4.4 CDPH TBCB Civil Detention Coordinator**

Jan Young, R.N., M.S.N., Chief, Program Development Section may be reached at (510) 620-3029 or via email at [Jan.Young@cdph.ca.gov](mailto:Jan.Young@cdph.ca.gov).

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<sup>1</sup> Civil Detention Program Invoice can be found on the CDPH TBCB website under Civil Detention Resources: <http://www.cdph.ca.gov/programs/tb/Pages/LocalAssistanceAward.aspx>

## Appendix

### List of Abbreviations

ARPE	Aggregate Report for Program Evaluation
CalREDIE	California Reportable Disease Information Exchange
CDC	Centers for Disease Control and Prevention
CDPH	California Department of Public Health
CTCA	California TB Controllers Association
DOPT	Directly Observed Preventive Therapy
DOT	Directly Observed Therapy
EDN	Electronic Disease Notification
eDOT	Electronic Directly Observed Therapy
FMB	Financial Management Branch
FSIE	Food, Shelter, Incentives and Enablers
FTE	Full-time Equivalent
H&SC	Health and Safety Code
ICR	Indirect Cost Rate
LHJ	Local Health Jurisdiction
LTBI	Latent TB infection
MDR TB	Multidrug-Resistant TB
NTCA	National Tuberculosis Controllers Association
RFA	Request for Application
RVCT	Report of Verified Case of Tuberculosis
SRO	Single Room Occupancy
TBCB	Tuberculosis Control Branch
TIP	TB Indicators Project
VOT	Video Observed Therapy