

Title **FY 2013-2014 MHSA Annual Update Instructions**

Background Welfare and Institutions Code Section (WIC §) 5847 states that county mental health programs shall prepare and submit a Three-Year Program and Expenditure Plan (Plan) and Annual Updates for Mental Health Service Act (MHSA) programs and expenditures.

Plans and Annual Updates must be adopted by the county board of supervisors and submitted to the Mental Health Services Oversight and Accountability Commission (MHSOAC) within 30 days after board of supervisor adoption.

These are instructions for the Annual Updates beginning in Fiscal Year (FY) 2013-2014. These instructions are based on WIC and the California Code of Regulations (CCR) in effect at the time of this drafting.

- Purpose** The purposes of these instructions are:
- Assist counties and their stakeholders in developing the FY 2013-2014 Annual Update to include all the necessary elements as required by law and regulation.
 - Provide the essential elements necessary by law in preparing a plan for a county board of supervisor approval. Counties retain every right to include more in their stakeholder process, Plan, or Annual Update than the statutory minimum.
 - Provide the MHSOAC the information it needs to track, evaluate, and communicate the statewide impact of the MHSA.
 - Provide the MHSOAC the information it needs to approve new or amended Innovation program (INN) plans per the established threshold for changes requiring MHSOAC approval issued by the MHSOAC on August 3, 2012.

These instructions do not negate the MHSOAC's authority, pursuant to WIC Section 5845(d)(6), to obtain additional data and information from state or local entities that receive MHSA funds for the commission to utilize in its oversight, review, training and technical assistance, accountability, and evaluation capacity regarding projects and programs supported with MHSA funds.

- Who Should be Involved in the Stakeholder Process** **WIC § 5848** states that each Annual Update shall be developed with local stakeholders, including:
- Adults and seniors with severe mental illness
 - Families of children, adults, and seniors with severe mental illness
 - Providers of services
 - Law enforcement agencies
 - Education
 - Social services agencies
 - Veterans
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Who Should be Involved in the Stakeholder Process (cont.)

- Representatives from veterans organizations
- Providers of alcohol and drug services
- Health care organizations
- Other important interests.

CCR Title 9 Section 3300 further includes:

- Representatives of unserved and/or underserved populations and family members of unserved/underserved populations
 - Stakeholders that represent the diversity of the demographics of the county, including but not limited to, geographic location, age, gender, and race/ethnicity.
 - Clients with serious mental illness and/or serious emotional disturbance, and their family members.
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What Should be Included in the Stakeholder Process

WIC § 5848 states that counties shall demonstrate a partnership with constituents and stakeholders throughout the process that includes meaningful stakeholder involvement on:

- Mental health policy
- Program planning
- Implementation
- Monitoring
- Quality improvement
- Evaluation
- Budget allocations.

CCR Title 9 Section 3300 states that involvement of clients and their family members be in all aspects of the community planning process and that training shall be offered, as needed, to stakeholders, clients, and client's family who are participating in the process.

What Standards Should be Used for the Stakeholder Process

CCR Title 9 Section 3320 states that Counties shall adopt the following standards in planning, implementing, and evaluating programs:

- Community collaboration, as defined in CCR Title 9 Section 3200.060
 - Cultural Competence, as defined in CCR Title 9 Section 3200.100
 - Client Driven, as defined in CCR Title 9 Section 3200.120
 - Wellness, recovery, and resilience focused
 - Integrated service experiences for clients and their families, as defined in CCR Title 9 Section 3200.190
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Public Review

WIC § 5848 states that an Annual Update shall be prepared and circulated for review and comment for at least 30 days to representatives of stakeholder interests and any interested party who has requested a copy.

**Public Review
(cont.)**

Additionally, the mental health board shall conduct a public hearing on the draft Annual Update at the close of the 30-day comment period.

Each Annual Update shall include any substantive written recommendations for revision.

**What to
Include in the
Annual Update
About the
Stakeholder
Process**

This section of the Annual Update shall include:

- A description of the local stakeholder process including date(s) of the meeting(s) and any other planning activities conducted
 - A description of the stakeholders who participated in the planning process in enough detail to establish that the required stakeholders were included
 - The dates of the 30 day review process
 - Methods used by the county to circulate for the purpose of public comment the draft of the plan to representatives of the stakeholder's interests and any other interested party who requested a copy of the draft plan
 - The date of the public hearing held by the local mental health board or commission
 - A summary and analysis of any substantive recommendations
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**What to
Include in the
Annual Update
About
Programs**

WIC § 5847 states the Annual Update shall include updates from the Plan for the following programs:

- Prevention and Early Intervention (PEI)
- Services to children, including a wrap-around program (exceptions apply), that shall include services to address the needs of transition age youth ages 16 to 25 and foster youth. The number of children served and the cost per person must be included.
- Services to adults and seniors, that shall include services to address the needs of transition age youth ages 16 to 25. The number of adults and seniors served and the cost per person must be included.
- Innovation (INN)
- Technological needs and capital facilities
- Identification of shortages in personnel and the additional assistance needs from education and training programs

In addition to the required elements above, counties should include the following information as part of the Annual Update:

- A description of county demographics, such as size of the county, threshold languages, unique characteristics, etc.
 - The number of children, adults, and seniors to be served
 - The cost per person
 - Examples of notable community impact
 - Any challenges or barriers with each of the programs and strategies to mitigate those challenges or barriers
 - Note new, significantly changed, and discontinued programs
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What to Include in the Annual Update About INN

WIC § 5830 states that Counties shall expend funds for their INN programs upon approval by the MHSOAC. Annual updates should include sufficient information described in WIC § 5847 about a new or changed INN program so that the MHSOAC may determine if the program meets statutory requirements and can be approved.

What to Include in the Annual Update About Performance Outcomes

WIC § 5847 states that Plans shall include reports on the achievement of performance outcomes for MHSA services. Please include the results of any evaluations or performance outcomes the county has for Community Services and Supports (CSS) services, PEI programs, or INN programs. Please specify the time period these performance outcomes cover.

What to Include in the Annual Update About County Compliance Certification

WIC § 5847 states that certification by the county mental health director, which ensures that the county has complied with all pertinent regulations, laws, and statutes of the Mental Health Services Act, including stakeholder participation and nonsupplantation requirements must be included in the Annual Update.

Please use the MHSA County Compliance Certification form included with these Instructions.

What to Include in the Annual Update About County Fiscal Accountability Certification

WIC § 5847 states that certification by the county mental health director and the county auditor-controller that the county has complied with any fiscal accountability requirements as directed by the State Department of Health Care Services, and that all expenditures are consistent with the requirements of the MHSA Act shall be included in the Annual Update.

Please use the MHSA County Fiscal Certification form included with these Instructions.

What to Include in the Annual Update About Board of Supervisor Adoption

WIC § 5847 states that the county mental health program shall prepare and submit Annual Updates. Please include evidence that the Board of Supervisors adopted the Annual Update and the date of that adoption.

What to Include in the Annual Update About An Expenditure Plan

WIC § 5847 states that each county shall prepare an expenditure plan for the Annual Update based on available unspent funds and estimated revenue allocations provided by the state.

Please complete the FY 13/14 MHSA Funding Summary included with these Instructions.

**What to
Include in the
Annual Update
About An
Expenditure
Plan (cont.)**

In addition, please include the budgeted amount to be spent on:

- Full Service Partnerships, as defined in CCR, Title 9, Section 3620
 - General System Development, as defined in CCR, Title 9, Section 3630
 - Outreach Engagement, as defined in CCR, Title 9, Section 3640
 - PEI by program
 - INN by project
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**When the
Annual Update
Should be
Submitted to
the MHSOAC**

Please submit your FY 2013-2014 MHSA Annual Update to the MHSOAC within 30 days of adoption by the Board of Supervisors.

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