

Local Stakeholder Process

Issues

At the time of the initial adoption of the first three spending plans for Community Services and Supports, Prevention and Early Intervention and Innovations each county was required to follow extensive state requirements for stakeholder participation in the development of those spending plans. Since that time counties have been making amendments to those plans and there is no clear and consistent guidance on how and when the stakeholder participation requirements apply. In addition, even when counties have complied with the state requirements there are many instances in which stakeholders have perceived that major decisions are made without considering stakeholder views. Moreover, while the planning requirements only apply to Mental Health Service Act expenditure plans these decisions are directly tied to other county mental health budget decisions for which no state requirements currently apply.

To address all of these concerns we recommend that there be a consistent annual process in each county.

Template for Development of County Mental Health Policies and Expenditure Plans under MHSA and Related funds

Guidelines for an Annual transparent process for decision making

General Timelines

Late Summer distribute information of final adopted budget and preliminary data for following year

Fall develop preliminary plans – three year plan and one year expenditures (all sources not just MHSA)

Winter - Stakeholder process to review and revise preliminary plan

Spring – Prepare updated estimates of resources and prepare proposed final plan for stakeholder review and revise plan before submitting for adoption to reflect suggested revisions or to explain reasons for rejecting any recommended changes

At least once every five years conduct a long term five or more year long term forecast and analysis and vision for the future of the system.

Required Actions (all submitted to Local MH Commission and noticed to email subscribers) to be set forth in updated guidelines to be adopted by Oversight and Accountability Commission and incorporated into DHCS Performance Contract

Background Information to present to stakeholders before planning process

1. Detailed Summary of adopted budget- allocations of each category of funds including amounts of MHSA funds and other funds for administration, planning, each program funded and each type of service and numbers of people served by each program
2. Estimate of current numbers of people in Welfare and Institutions Code Target Population and subpopulations (age and ethnicities) who are unserved and underserved and estimated costs to fully serve all needs and cost offsets (primarily reduced hospitalizations)
3. Preliminary Estimates of available funds for following year from all sources and relationship to current year funding (increases and decreases)
4. Estimates of changes in costs of service and population increases
5. *(Not possible at this time but once an outcomes system is in place there would be a report that documents county staff perspective on relative performance*
 - a. *Which of our programs appear to be among the most effective in the state*
 - b. *Which of our services appear to be among the most efficient in the state*
 - c. *Are there changes to consider in how funds or allocated or services delivered*
 - d. *Are there successes from innovations projects from any county to consider adopting)*
6. Amount of reserves and analysis of whether it is considered adequate and if not adequate amount of needed increase
7. Analysis of adequacy of technological capabilities of county and its contract providers and if not then recommended improvements, cost and priorities
8. Analysis of adequacy of workforce and if there are shortages what are they in
9. If budget estimates are for increased funds sufficient to expand services what are options for how to allocate
10. If budget estimates decreased funds requiring reductions in services what are options on how to allocate cuts
11. Prevention and early Intervention Analysis
 - a. Are there measurable results from current and past expenditures
 - b. Are there other indicators as to the effect of current and past expenditures
 - c. Are there indicators from statewide or other counties that suggest one or more programs should be expanded or eliminated
 - d. Are there funds to expand programs
 - e. Is there a need to reduce programs
 - f. What are options for expansion or reduction
 - g. Obtain comments from stakeholders
12. Innovations Analysis
 - a. Are there programs that have been completed

- b. For completed programs is analysis complete to determine whether program become part of ongoing system
 - c. Are there funds available for new programs
 - d. If yes need process to solicit ideas to consider
13. In years in which a long term vision is being developed also include the following information:
- a. Vision of what the system should be in the future
 - b. Unmet needs that cannot be addressed in next three years and strategies for possible solutions
 - c. Workforce capacity and estimated workforce needs
 - d. Expected gaps in continuum of care and ideas to address
 - e. Quality improvement
 - f. Primary long term goals and strategies to address issues set forth in a through e
 - g. For the second and following long term visions a report on the status of the accomplishment of the goals from the previous vision report

Decision Making Process

1. Outreach to ensure meaningful participation including unserved and underserved populations and to utilize planning funds to provide stipends to enable participation for those requiring it
 - a. Encourage counties to also provide stipends for known stakeholders to outreach to other potential stakeholder participants
 - b. Ensure that communication is in a method that stakeholder can receive and respond to
 - c. Include active engagement of representatives of underserved communities to establish trust and relationship
 - d. Include annual reports on amounts expended for planning and how such funds were allocated
2. Meet with stakeholders to identify major issues to consider in developing update and any specific stakeholder objectives or concerns
3. Draft preliminary update of MHSA three year plan and one year expenditures and include all funds relevant to accomplishing MHSA objectives (including other funds)
4. Stakeholder Process to Review and comment on preliminary Plan
5. Revise plan based upon stakeholder review and comment and update to reflect more accurate estimates of available funds

6. Establishment of special work groups to get more in depth key stakeholder comment and to develop major new initiatives or make major changes
7. Second round of stakeholder review
8. Preliminary Final Plan for final stakeholder and local Commission Review
9. Adoption with responses to all suggested changes to preliminary plan showing recommendations that were not adopted and why

Midyear Revisions – quarterly – two step process- (non- Emergency amendments)

1. Present proposed change and reasons and alternatives considered
2. Solicit stakeholder comments (30 days)
3. Present final recommendations for action noting any objections or alternatives recommended by stakeholders not adopted and reasons for not adopting

Emergency amendments-

must be consistent with and include written findings showing compliance with state criteria for emergencies (part of OAC Guidelines)

Only effective for 90 days until Mid Year Revision Process is completed

Enforcement and Oversight

All Expenditures must comply with process of transparency and three stakeholder processes- review of issues and analysis, review of preliminary draft plan, review of final plan.

Any expenditure not adopted in this manner is unlawful. Certify by county auditor. Submit to OAC- OAC can recommend state action

OAC should review final plans and hold hearings where there have been significant recommendations not adopted and can recommend other state actions

Other state actions includes DHCS discretion to direct Controller to temporarily withhold a portion of MHSA funds which do not impact current services where a county's plan significantly violates one or more state requirements either in content or in the process of adoption and a county needs to submit a revised plan.

OAC Guidelines on content of initial analysis and elements to be included in three year plan and one year expenditures – not just limited to MHSA but must include all other relevant county expenditure