

Draft Proposed Innovative Project Regulations

CMHDA Comments to the MHSOAC on Draft Innovative Project Regulations – Version 10-8-13

Submitted to the MHSOAC October 22, 2013

~~**Bold Strikethrough**~~ – Deletion of Language

Bold Underline – Addition of Language

CMHDA Comments in RED

General CMHDA Comments

See General Comments to Draft PEI Regulations.

(Note: Actual section numbers will be assigned later to fit within the current MHSA regulations)

Section 1. Innovation Funds

- (a) Innovation funds means the Mental Health Services Fund distributed to the county pursuant to Welfare and Institutions Code Section 5892(a)(6).
- (b) The county shall use Innovation funds only after the Mental Health Services Oversight and Accountability Commission approves the Innovative Project.
- (c) The county shall use Innovation funds only to implement one or more Innovative Projects.

Section 2. Innovative Project Elements

- (a) “Innovation Program” means the component of the Three-year Program and Expenditure Plan that consists of one or more Innovative Projects.
- (b) “Innovative Project” means a project that a county designs and implements for a defined time period and evaluates to develop new best practices in mental health. An Innovative Project does one of the following:
 - (1) Introduces a mental health practice or approach that is new to the overall mental health system, including, but not limited to, prevention and early intervention.
 - (A) ~~A mental health practice or approach that has already demonstrated its effectiveness is not eligible for funding as an Innovative Project.~~
 - (2) Makes a change to an existing practice in the field of mental health, including but not limited to, application to a different **local** population.
 - (A) ~~A mental health practice or approach that has already demonstrated its effectiveness is not eligible for funding as an Innovative Project.~~
 - (3) Applies to the mental health system a promising community-driven practice or approach that has been successful in non-mental health contexts or settings.

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- (4) **A mental health practice or approach that has already demonstrated its effectiveness is not eligible for funding as an Innovative Project.**

CMHDA Comment: Counties found this section confusing as currently drafted. CMHDA offers this amendment for consideration to help provide additional clarity.

(c) Primary Purpose: The county shall select one of the following purposes for developing and evaluating the new or changed mental health practice referenced in subdivision (b) above.

- (1) increase access to mental health services, **including** to underserved groups as defined in Title 9 CCR section 3200.300,
- (2) increase the quality of mental health services, including better outcomes,
- (3) promote interagency and community collaboration related to mental health services or supports,
- ~~(4) increase access to mental health services.~~

CMHDA Comment: Counties found this section confusing as currently drafted. CMHDA offers this amendment for consideration to help provide additional clarity.

(d) Focus on Mental Health and Mental Illness: An Innovative Project may affect virtually any aspect of mental health practices or assess a new or changed application of a promising approach to solve persistent mental health challenges, including but not limited to, administrative, governance, and organizational practices, processes, or procedures; advocacy; education and training for services providers, including nontraditional mental health practitioners; outreach, capacity building, and community development; system development; public education efforts; research; services and interventions, including prevention, early intervention, and treatment.

(e) A “persistent mental health challenge” means ~~a priority an~~ issue related to mental illness or to an aspect of the mental health service system that the county, with ~~meaningful~~ stakeholder involvement decides to address by designing and evaluating as an Innovative Project.

- (1) The challenge addressed must be consistent with one of the four primary purposes for Innovative Projects referenced in subdivision (c) above.

(f) Time-Limited Pilot Project: An Innovative Project shall have a start and an end date that is not more than four years from the start date of the Innovative Project, **unless otherwise approved by the MHSOAC.**

- (1) “Start time” means the date the county begins the implementation of the Innovative Project.
- (2) “End time” means the date the county finalizes the decision whether to continue the Innovative Project.
- (3) The county designates the timeframe to complete the Innovative Project based on the complexity of the evaluation and the approach to be evaluated.
 - (A) If, after the Innovative Project has been approved by the Mental Health Services Oversight and Accountability Commission, the county determines a need to extend the length of the Innovative Project the county shall within 30 days of the decision, notify the Commission of

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the new start date and or end date of the Innovative Project. ~~In no case shall the Innovative Project last longer than five years.~~

CMHDA Comment: CMHDA recommends that flexibility to the four year limitation be provided in case specific circumstances require additional time to complete a project. Since the MHSOAC has approval authority for INN projects, the timeframe would be at the discretion of the MHSOAC to determine based on circumstance and project goals.

- (4) An Innovative Project proven to be successful that a county, with ~~meaningful~~ stakeholder involvement, chooses to continue, in whole or in part, shall not be funded with Innovation funds. To continue a successful Innovative Project, the County shall transition the Project, or successful elements of the Project, if funding is required, to another category of funding. In some instances, the county may be able to incorporate successful practices demonstrated through an Innovative Project into existing mental health programs or services without the need for additional funds.
 - (A) The county shall have a preliminary plan, from the outset, about how it will decide whether to continue an Innovative Project.
 - (B) If applicable, the county shall have a plan about how to protect and provide continuity for individuals with serious mental illness who are receiving services from the Innovative Project at the conclusion of Innovation funding.
 - (C) After completion of the evaluation, the county, with ~~meaningful~~ involvement of stakeholders, shall decide whether and how Innovative Projects or elements of Innovative Projects, will be continued and incorporated into the local mental health delivery system and with what other funding sources, if funding is required.
- (5) The County, with ~~meaningful~~ involvement from stakeholders, may terminate an Innovative Project prior to the planned end date.
 - (A) The County shall notify stakeholders and the Mental Health Services Oversight and Accountability Commission within 30 days of the County's decision to terminate an Innovative Project prior to the planned end date, including the reasons for the decision.
 - (B) If applicable, the county shall take all reasonably necessary steps to protect and provide continuity of services for individuals with serious mental illness.
- (6) The County may, without involvement of stakeholders, terminate an Innovative Project prior to the planned end date, due to unforeseen legal, ethical or other risk-related reasons.
 - (A) The county shall inform stakeholders and the Mental Health Services Oversight Accountability Commission as soon as possible but in no case more than 30 days after the decision to terminate, including the reasons for the termination and for Innovative Projects providing services to individuals with serious mental illness, the steps taken to protect and provide continuity for those individuals or families who are receiving services from the Innovative Project.
- (g) Evaluation: The County shall design a method for evaluating the effectiveness and feasibility of the Innovative Project and shall conduct the evaluation according to the method designed.

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- ~~(1) The evaluation shall measure the achievement of intended mental health outcomes for individuals and families related to a risk of or manifestation of serious mental illness and/or for the mental health system, using appropriate indicators selected by the county.~~
- ~~(2) The evaluation shall include a measurement related to the selected primary purpose. For example, if the primary purpose is to increase access to mental health services, the evaluation must include a measurement of access.~~
- ~~(3) The evaluation must allow the county to assess the impact of whatever element(s) of the Innovative Project were new and /or changed, compared to established practices in the field of mental health.~~
- ~~(4) The evaluation shall use quantitative and qualitative research methods to determine which elements of the Innovative Project contributed to successful outcomes in order to support data-driven decisions about incorporating new and/or revised mental health practices into the county's existing systems and services and disseminating successful practices.~~
- ~~(5) The county shall collect necessary data to complete the evaluation.~~
- ~~(6) The evaluation must be culturally appropriate and must include meaningful involvement by diverse community stakeholders.~~

CMHDA Comment: CMHDA believes this section is overly prescriptive and would not allow for the necessary flexibility for counties to work together with stakeholders and the MHSOAC to identify an appropriate evaluation method. Requiring counties to design a method for evaluating the effectiveness and feasibility of the INN project is sufficiently clear.

- (h) Expenditure Plan: The Innovative Project shall have a budget (expenditure plan) that is consistent with the time-limited, evaluation focus of the project.
- (1) The expenditure plan shall provide the projected cost by fiscal year and for the entire length of the project, including currently available Innovation funds that the county intends to use for the designated Innovative Project and projected Innovation funds that the county intends to use for the designated Innovative Project.
 - (2) The expenditure plan shall include sufficient funds for the development and refinement, piloting, evaluation, decision-making, and dissemination of the Innovative Project results.
 - ~~(3) A county shall not expend Innovation Funds for an Innovative Project beyond the amount of funding approved by the Mental Health Services Oversight and Accountability Commission.~~

CMHDA Comment: Due to the nature of the post AB-100 distribution process, available funding may change month to month depending on revenues received. Since expenditure plans are based on estimates, counties may need to alter expenditures based on available funding without seeking a formal budget change approval from the MHSOAC. Given the distribution process, counties should have a certain amount of flexibility to make minor budget modifications without seeking approval from the MHSOAC.

- (i) Changed Innovative Project: If a county determines a need to change an Innovative Project that was approved by the Mental Health Services Oversight and Accountability Commission in one of the

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following ways, the county shall submit the Innovative Project Change Request pursuant to Section 3(b)(5) to the Commission and receive approval from the Commission before the change may be made.

- (1) Change the primary purpose.
- (2) Change the basic practice or approach that the county is piloting and evaluating. Minor changes in how the approach is being implemented are expected and do not require prior approval from the Commission.
- (3) Increase the amount of Innovation Funds previously approved.

Section 3. Innovative Project Plan

- (a) To request approval to use Innovation funds the county shall submit to the Mental Health Services Oversight and Accountability Commission an Innovative Project Plan for each new Innovative Project to be funded.
- (b) As part of the Three-Year Program and Expenditure Plan or annual update, the county shall include in the Innovative Project Plan the following information for each new Innovative Project:
 - ~~(1) A description of how the county ensured that staff and stakeholders involved in the Community Program Planning process required by Title 9 CCR section 3300, were informed about and understood the purpose and requirements of the MHS Innovation component~~
 - (2) A description of the county's ~~plan to involve~~ community planning process required by Title 9 section 3300 for stakeholders meaningfully in all phases of Innovative Projects, including evaluation of the Innovative Project and ~~decision-making~~ providing recommendations regarding whether to continue the Innovative Project, or elements of the Project, beyond Innovation funding.
 - (3) A description of the Innovative Project including but not limited to:
 - (A) The selected primary purpose as described in Section 2(c) and the reasons that this purpose is a priority for the county for which there is a need for the county to design, develop, pilot, and evaluate approaches not already demonstrated as successful within the mental health system.
 - (B) Whether and how the Innovative Project introduces a new mental health practice or approach; makes a change to an existing mental health practice that has not yet been demonstrated to be effective, including, but not limited to, adaptation for a new **setting population** or community; or introduces a new application to the mental health system of a promising community-driven practice or an approach that has been successful in a non-mental health context or setting.
 - (i) The description shall include the key activities of the Innovative Project.
 - (ii) The description shall address specifically how the Innovative Project is expected to contribute to the development and evaluation of a new or changed practice within the field of mental health.
 - (C) Description of the new or changed mental health approach the county will develop, pilot, and evaluate.

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- (i) Differentiate the elements that are new or changed from existing practices in the field of mental health already known to be effective.
 - (ii) If applicable, describe the population to be served, including demographic information such as age, gender, race, ethnicity, and language spoken if relevant to the specific Project.
 - (iii) If applicable, describe the estimated number of clients expected to be served annually.
 - (iv) Describe briefly, with specific examples, how the Innovative Project will reflect and be consistent with all relevant (potentially applicable) MHSa General Standards set forth in Title 9 California Code of Regulations Section 3320.
- (D) Description of the method the County will use to evaluate the effectiveness of the Innovative Project including:
- (i) Intended outcomes, including at least one outcome relevant to the selected primary purpose, and how those outcomes will be measured, including specific indicators for each intended outcome.
 - (ii) Methods the county will use to assess the elements that contributed to the outcomes.
 - (iii) How the evaluation will assess the effectiveness of the element(s) of the Innovative Project that are new or changed compared to existing practice in mental health.
- (E) Description of how the county will decide whether and how to continue the Innovative Project, or elements of the Project, beyond Innovation funding.
- (F) If applicable, description of how the county plans to protect and provide continuity for individuals with serious mental illness who are receiving services from the Innovative Project after the end of implementation with Innovation funds.
- (G) Specify the total timeframe of the Innovative Project.
- (i) Provide a brief explanation of how this will allow sufficient time for the development, time-limited implementation, evaluation, decision-making, and communication of results, including new effective practices and lessons learned.
 - (ii) Include a timeline that specifies key milestones for development and refinement of the approach; ongoing assessment and final evaluation of the Innovative Project; decision- making, including **meaningful** involvement of stakeholders, about whether and how to continue a successful Innovative Project or parts of the project; and communication of the results and lessons learned with a focus of dissemination of successful Innovative Projects.
- (4) A budget (expenditure plan) shall include but not be limited to the following information:
- (A) Estimated total mental health expenditures for the entire duration of each Innovative Project broken down by fiscal year and the following sources of funding:
- i. MHSa Innovation funding
 - ii. Medi-Cal FFP
 - iii. 1991 realignment
 - iv. Behavior health subaccount
 - v. Any other funding

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- (B) The county shall include a brief narrative to explain how the estimated total budget is consistent with the requirements in subsection (h) of Section 2.
- (C) Estimated total mental health expenditures for evaluation for the entire duration of each Innovative Project broken down by fiscal year and the following sources of funding.
 - i. MHSa Innovation funding
 - ii. Medi-Cal FFP
 - iii. 1991 realignment
 - iv. Behavior health subaccount
 - v. Any other funding
- (D) Estimated total mental health expenditures for the administration for the entire duration of each Innovative Project broken down by fiscal year and the following sources of funding.
 - i. MHSa Innovation funding
 - ii. Medi-Cal FFP
 - iii. 1991 realignment
 - iv. Behavior health subaccount
 - v. Any other funding
- (E) Document that the source of Innovation funds is 5 percent of the county's PEI allocation and 5 percent of the CSS allocation.
- (j) Innovative Project Change Request: If, after the Innovative Project has been approved by the Mental Health Services Oversight and Accountability Commission, the county determines the need to change the Innovative Project as described in subdivision (i) of Section 2 the county shall submit a Change Request for approval by the Mental Health Services Oversight and Accountability Commission. The Change Request shall describe the change and the reasons for the change.
- (A) The county may submit the Innovative Project Change Request to the MHSOAC **at any time** as part of a Three-Year Program and Expenditure Plan, annual update, or as a separate request.

Section 4. Innovative Project Reports

- (a) For each approved Innovative Project, the County shall submit to the Mental Health Services Oversight and Accountability Commission one of the following reports, as applicable.
 - (1) For a continuing Innovative Project, **an annual Innovative Project report the county may submit the annual Innovative Project report as part of the Three-Year Program and Expenditure Plan or annual update.**
 - ~~(A) The county may submit the annual Innovative Project report as part of the Three-Year Program and Expenditure Plan or annual update.~~
 - (2) Upon completion of an Innovative Project, a final Innovative Project report.
 - (A) The county may submit the final Innovative Project report as part of the Three-Year Program and Expenditure Plan, annual update, or within six months from completion of the Innovative Project whichever is closest to the completion of the Innovative Project.

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- (b) The annual Innovative Project report shall include:
- (1) Whether and what changes were made to the Innovative Project during the reporting period and the reasons for the changes.
 - (2) Available evaluation data, including outcomes of the Innovative Project and information about which elements of the Project contributed to outcomes.
 - (3) **Available P**rogram information collected during the reporting period, including for applicable Innovative Projects that serve individuals, number of participants served by:
 - (A) age group by the following ages: 0-15 (children/youth); 16-25 (transition age youth); 26-59 (adult); and ages 60+ (older adults)
 - (B) ~~race/ethnicity by the following categories:~~
 - (i) ~~American Indian or Alaska Native~~
 - (ii) ~~Asian Indian~~
 - (iii) ~~Asian, other~~
 - (iv) ~~Black or African American~~
 - (v) ~~Cambodian~~
 - (vi) ~~Chinese~~
 - (vii) ~~Filipino~~
 - (viii) ~~Guamanian~~
 - (ix) ~~Hispanic/Latino~~
 - (x) ~~Multi-racial~~
 - (xi) ~~Hmong~~
 - (xii) ~~Japanese~~
 - (xiii) ~~Korean~~
 - (xiv) ~~Laotian~~
 - (xv) ~~Mien~~
 - (xvi) ~~Native Hawaiian~~
 - (xvii) ~~Pacific Islander~~
 - (xviii) ~~Samoaan~~
 - (xix) ~~Vietnamese~~
 - (xx) ~~Unknown/not reported~~
 - (xxi) ~~White or Caucasian~~
 - (C) ~~primary language spoken broken down by threshold languages~~
 - (D) ~~sexual orientation, if known,~~
 - (E) ~~disability, if any,~~
 - (F) ~~veteran status, and~~
 - (G) gender
 - (4) Any other data or lessons learned that the County considers relevant.

CMHDA Comment: This is not information tracked by most counties within current data systems.

- (c) The final Innovative Project report shall include:

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- (1) Brief summary of the priority issue related to mental illness or to an aspect of the mental health service system for which the county chose to design and test an Innovative Project.
- (2) Description of any changes that the county made to the Innovative Project during the course of its implementation and evaluation, and the reasons for and impact of the changes, including any changes in the timeline.
- (3) Program information collected during the reporting period (same as for Annual Report)
- (4) Final evaluation results, including but not limited to:
 - (A) Description of the evaluation methodology;
 - (B) Outcomes of the Innovative Project including those related to the selected primary purpose, with a focus on whatever was new or changed compared to established mental health practices;
 - (C) Any variation in outcomes based on demographics of participants, if applicable;
 - (D) Assessment of which activities or elements of the Innovative Project contributed to successful outcomes;
 - (E) Explanation of how the evaluation was culturally appropriate;
 - (F) Explanation of how stakeholders contributed to the evaluation.
- (5) Whether the County will continue the Innovative Project, the source of ongoing funding, if applicable, the reason for the decision, and how the county involved stakeholders in the decision.
- ~~(6) Whether or not the Innovative Project achieved its intended outcomes, a summary of what was learned.~~
- (7) Description of how the county disseminated the results of the Innovative Project to stakeholders, and if applicable to other counties (e.g. as the county determined that the information would be of benefit to other counties).
 - (A) County shall include a copy of any presentations, reports, articles, manuals, CDs, DVDs, videos, or any other materials developed to communicate lessons learned and evaluation results of the Innovative Project.
- (8) Any other data or information the County considers relevant.

Section 5. Innovative Project Annual Revenue and Expenditure Report

- ~~(a) The county shall report as part of the Annual Revenue and Expenditure Report the following:~~
- ~~(1) The total dollar amount expended during the reporting period on each Innovative Project broken down by the following sources of funding:
 - ~~(A) MHS Innovation funding~~
 - ~~(B) Medi-Cal FFP~~
 - ~~(C) 1991 realignment~~
 - ~~(D) Behavior health subaccount~~
 - ~~(E) Any other funding~~~~
 - ~~(2) Total dollar amount expended during the reporting period for the administration of each Innovative Project broken down by the following sources of funding:~~

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- ~~i. MHSa Innovation funding~~
 - ~~ii. Medi-Cal FFP~~
 - ~~iii. 1991 realignment~~
 - ~~iv. Behavior health subaccount~~
 - ~~v. Any other funding~~
- ~~(3) Total dollar amount expended during the reporting period for the evaluation of each Innovative Project brown down by the following sources of funding:~~
- ~~i. MHSa Innovation funding~~
 - ~~ii. Medi-Cal FFP~~
 - ~~iii. 1991 realignment~~
 - ~~iv. Behavior health subaccount~~
 - ~~v. Any other funding~~

CMHDA Comment: Welfare and Institutions Code (W&I) 5899 specifies that the Department of Health Care Services, in consultation with the MHSOAC and CMHDA, shall develop and administer instructions for the annual MHSa Revenue and Expenditure Report. According to W&I 5899, the report is intended to provide information that allows for the evaluation of prevention and early intervention strategies, among other MHSa program elements. In order to mitigate confusion and the potential for conflicting requirements and instructions, CMHDA recommends that this section be removed from the INN regulations, and that counties should look to the aforementioned DHCS instructions for guidance on the annual revenue and expenditure report.