

## INITIAL STATEMENT OF REASONS

### PREVENTION AND EARLY INTERVENTION (PEI)

#### Article 2. DEFINITIONS

##### Section 3200.251. Prevention and Early Intervention

**Specific Purpose:** Section 3200.251 provides a definition of the Prevention and Early Intervention (PEI) component of the Three-Year Program and Expenditure.

**Rationale for Necessity:** This definition is necessary to identify PEI as a component of the Three-Year Program and Expenditure Plan, in accordance with section 5847, subdivision (a)(1), of the Welfare and Institutions Code. This definition also clarifies and makes specific section 5840 of the MHSA, which presents the purpose of the PEI component, by identifying the intended objectives of PEI programs as the prevention and/or reduction of serious mental illness/emotional disturbance and early intervention in the emergence of a mental health problem.

## **Section 3200.259. Selective Prevention Activity**

**Specific Purpose:** Section 3200.251 provides a definition of selective prevention activity.

**Rationale for Necessity:** Prevention programs within the PEI component may consist of two types of activities. This definition is necessary to distinguish selective prevention activities from universal prevention activities by defining a selective prevention activity as one that targets individuals who are at a higher risk of developing mental illness than is the general public. The Department has determined that the requirements of section 5840 of the MHSA are best realized through implementation of two types of prevention activities: those aimed at preventing the development of mental illness among individuals at high risk and those aimed at identifying and preventing mental illness in the general public.

### **Section 3200.305. Universal Prevention Activity**

**Specific Purpose:** Section 3200.305 provides a definition of Universal Prevention Activity.

**Rationale for Necessity:** Prevention programs within the PEI component may consist of two types of activities. This definition is necessary to distinguish the two activity types by defining a universal prevention activity as one that targets the general public and groups that have not been identified as high-risk populations. The Department has determined that the requirements of section 5840 of the MHPA are best realized through implementation of two types of prevention activities: those aimed at preventing the development of mental illness among individuals at high risk and those aimed at identifying and preventing mental illness in the general public.

## Article 3. GENERAL REQUIREMENTS

### Section 3310. The Three-Year Program and Expenditure Plan

#### Sections 3310, subdivisions (b)(1)-(4)

**Specific Purpose:** Sections 3310, subdivisions (b)(1)-(4) are being amended to provide references, as necessary, and change the word “section” from initial capitalization to lower case.

**Rationale for Necessity:** These amendments are necessary to be consistent with the citation form in the California Style Manual, which is used as a reference for legal citation in the State of California. Specifically, reference to “section” is changed from the existing initial capitalization to lower case. These subdivisions are also amended to include references to the sections in which the Community Services and Supports, Prevention and Early Intervention and Workforce Education and Training components are defined.

#### Section 3310, subdivision (d)

**Specific Purpose:** Section 3310, subdivision (d), is being amended to add that the Community Program Planning Process may also include requirements found in the component-specific articles of the regulations.

**Rationale for Necessity:** This amendment is necessary to make clear to the Counties that Community Program Planning requirements are not only found in section 3300, but may also be found in the component-specific regulations. When applicable, Counties must comply with component-specific requirements as well as general requirements.

#### Section 3310, subdivisions (e) and (e) (1) and (2)

**Specific Purpose:** Section 3310, subdivisions (e) and (e)(1) and (2), are being amended to change the word “section” from initial capitalization to lower case and to include the requirement of a summary of stakeholder input received during the County’s Community Program Planning process in the Three-Year Program and Expenditure Plan or update.

**Rationale for Necessity:** These amendments are necessary for the regulations to follow the citation form set forth in the California Style Manual and to inform the Counties that a summary of stakeholder input is necessary as a part of the Three-Year program and Expenditure Plan or update. This provides the County and the Department with information regarding the input of the stakeholders.

## Article 5. REPORTING REQUIREMENTS

### Section 3515. Local Outcome Evaluation of a Prevention and Early Intervention Program Report

#### Section 3515, subdivisions (a) and (a)(1)-(3)

**Specific Purpose:** Section 3515, subdivisions (a) and (a)(1) - (3), inform the County of the requirement to select one of its approved PEI programs to evaluate and to submit a Local Outcome Evaluation of a Prevention and Early Intervention Program Report that identifies specific elements of the program to the Department by a specific date.

**Rationale for Necessity:** These regulations are necessary to clarify the requirement for the County to provide a Local Evaluation of a Prevention and Early Intervention Program Report on one of its approved Prevention and Early Intervention (PEI) programs, and to specify what must be included in the report. The areas the County is required to evaluate include: intended and actual outcomes for individuals and families served, the number of individuals served by specified demographic categories, the number of individuals served in each Priority Population, total unduplicated number served, and documented outcomes. The reason for the local evaluation of a PEI program is to encourage the County to specify what the programs are intended to accomplish, to assess how well the goals are accomplished, to share that information with the Department and local stakeholders, and to expand and/or revise the programs in accordance with the evaluation results. These regulations enable the State to carry out its responsibility of ensuring that PEI programs are consistent with the requirements in section 5840 of the MHSA and that services are provided in accordance with recommended best practices subject to local and state oversight, in accordance with section 3, subdivision (e), of the MHSA.

#### Section 3515, subdivision (b) and (b)(1)-(4)

**Specific Purpose:** Section 3515, subdivisions (b) and (b)(1)-(4), inform the County that it must specify within its Local Evaluation of a Prevention and Early Intervention Program Report the methodology used to analyze objectives; collect and analyze data; measure outcomes; and incorporate cultural and linguistic competence into the evaluation design.

**Rationale for Necessity:** These regulations are necessary to assist the County in identifying the methods and processes used to measure its success at achieving its intended outcomes. Knowing the details about the data collection and analysis and outcomes measurement is especially important if the County's PEI program takes place in non-mental health settings, where traditional mental health data collection is not applicable. Choosing appropriate methodology assists in assessing the success of programs, replicating model programs, and generally strengthening the integrity of mental health data collection. This regulation also requires that the County describe

how it incorporated cultural and linguistic competence into the evaluation design. This helps fulfill the intent of section 5840 by identifying individuals who may not have been previously identified due to cultural or linguistic barriers. These subdivisions also implement the purpose and intent of the MHSA that funds be used for culturally and linguistically competent approaches to underserved populations. (See MHSA, section 3, subd. (e).) The Local Evaluation of a PEI Program Report will be useful to the Department in complying with its responsibility to revise requirements for the PEI component in future years in consultation with stakeholders. (Welf. & Inst. Code § 5840, subd. (e).)

### **Section 3515, subdivision (c)**

**Specific Purpose:** Section 3515, subdivision (c), requires the County to disseminate the Local Evaluation of a Prevention and Early Intervention Program Report to interested stakeholders and specify in the Report the methods of dissemination.

**Rationale for Necessity:** This regulation helps ensure that interested stakeholders obtain a copy of the Local Evaluation of a Prevention and Early Intervention Program Report, since the County is required to specify the process that will be used to disseminate the report to interested stakeholders. One of the central requirements of the MHSA is that the development and evaluation of programs include stakeholder participation. This requirement also helps to ensure an open and “transparent” evaluation process accessible to interested stakeholders and an extensive and inclusive dissemination process. Additionally, section 5848, subdivision (c), of the MHSA requires that the Department obtain reports on the County’s achievement of performance outcomes for PEI services. This regulation accomplishes that goal.

### **Section 3515, subdivision (d)**

**Specific Purpose:** Section 3515, subdivision (d), exempts very small counties, those with 100,000 or fewer residents, from the requirement to submit a Local Evaluation of a Prevention and Early Intervention Program Report to the Department.

**Rationale for Necessity:** This regulation is necessary to clarify that not all Counties are required to complete the Local Evaluation of a PEI Program Report. Very small counties are exempt because they typically have limited resources and staffing making it difficult to compile the data and complete the report. In interpreting the MHSA, the Department has determined that this exemption helps to effect efficient implementation of the MHSA.

**Section 3570. Prevention and Early Intervention Program Accountability and Evaluation Report**

**Section 3570, subdivisions (a), (a)(1)-(5) and (b).**

**Specific Purpose:** Section 3570, subdivisions (a), (a)(1)-(5), (a)(2), and (b), inform the County that it must submit, by December 31 of each year, a Prevention and Early Intervention Program Accountability and Evaluation Report that identifies for each program: the population that received services, including specific demographics; the problems and needs addressed by the program; the services provided, including type; the successes and challenges experienced during implementation; and the dollar amounts for each funding source.

**Rationale for Necessity:** These regulations are necessary to provide the County with a date for submission of the Prevention and Early Intervention Accountability and Evaluation Report. These subdivisions state what must be included in the report regarding each of the County's PEI program(s). This information enables the Department to compile information on various aspects of program implementation, track progress of the County's programs in attaining the intended outcomes, follow trends throughout the state and identify use of various funding sources and leveraging practices. This data is essential for the County to maintain accountability for achieving its stated outcomes for its PEI programs; for the Department to track these outcomes, in accordance with Welfare and Institutions Code section 5840, subdivision (e), and section 3, subdivision (e), of the MHSA; and for the Mental Health Oversight and Accountability Commission (MHSOAC) to fulfill its responsibility to oversee the PEI component, in accordance with section 5845, subdivision (a).

## **Article 9. PREVENTION AND EARLY INTERVENTION**

### **Section 3900 General Rule of Application**

**Specific Purpose:** Section 3900 states that the requirements in this Article, as well as Articles 1-5, apply to Prevention and Early Intervention.

**Rationale for Necessity:** This section is necessary to notify the County that the general provisions found in Articles 1-5 also apply to Prevention and Early Intervention, unless it is stated otherwise.

## **Section 3900.1 Prevention and Early Intervention Community Program Planning Process**

### **Section 3900.1, subdivision (a)**

**Specific Purpose:** Section 3900.1, subdivision (a), is the lead-in to what is required for the Community Program Planning Process for the PEI component of the County's Three-Year Program and Expenditure Plan. These requirements are in addition to what is required under the general section 3300.

**Rationale for Necessity:** This section is necessary as a lead-in to inform the Counties that the Community Program Planning Process requirements set forth in section 3300 and the additional requirements for the Prevention and Early Intervention Community Program Planning Process specified in this section are to be used for the development of the PEI component of each County's Three-Year Program and Expenditure Plan and update.

### **Sections 3900.1, subdivisions (a) (1) and (2)(A)-(E)**

**Specific Purpose:** Sections 3900.1, subdivisions (a)(1) and (2)(A) - (E), inform the County that the PEI Community Program Planning Process must include outreach to stakeholders and focused outreach to individuals and groups at risk of serious mental illness, members of the Priority Populations, representatives of health and social services, law enforcement, and education and clients who have received or are receiving PEI services. This section further states that if the required outreach does not result in participation by those individuals or groups specified, the County must provide an explanation of what was done to encourage participation and why these groups did not participate, if known.

**Rationale for Necessity:** These regulations are necessary to comply with Welfare and Institutions Code section 5848, subdivision (a), which requires that each Plan and update be developed with local stakeholders. It is imperative that the County's Community Program Planning Process include outreach to individuals representing populations that will potentially be served by the County's PEI program(s), and/or individuals who may partner with the County in providing or facilitating PEI services. It is a priority of the Department that each County make a concerted effort to involve all potential stakeholders in the planning process, as input from these individuals/entities will provide for a meaningful and inclusive planning process that is tailored to the PEI component. Requiring the County to provide documentation verifying that it made such an effort helps the Department and the MHSOAC to fulfill their oversight roles, in accordance with section 5845, subdivision (a) and section 3, subdivision (e), of the MHSA, which outlines the purpose and intent of the Act.

### **Section 3900.1, subdivisions (a)(3) and (a)(3)(A)**

**Specific Purpose:** Section 3900.1, subdivisions (a)(3) and (a)(3)(A), require that the County include in its PEI Community Program Planning Process an assessment of the County's, community's and service providers' capacity, strengths and limitations that affect their ability to meet the needs of the Priority Population(s) to be served by the PEI component of the County's Three-Year Plan or update.

**Rationale for Necessity:** These regulations are necessary to ensure that the County assesses its capacity and that of service providers, as well as that of other community resources, to meet the needs of the PEI Priority Populations to be served by the programs in the PEI component. By identifying capacities, strengths and limitations before implementing a PEI program, the County will conduct a more effective planning process to ensure realistic outcomes are established. This up-front evaluation of community abilities will allow the County to alter its service strategies early in the process, thereby helping to ensure that the needs of the selected PEI Priority Populations will be met, and the program outcomes achieved.

### **Section 3900.1, subdivisions (a)(4)-(7)**

**Specific Purpose:** Section 3900.1, subdivisions (a)(4) through (7), establish the elements to be considered during the Community Program Planning Process for development of the Three-Year Program and Expenditure Plan: identification of Priority Populations, Key Community Mental Health Needs, measurable outcomes and impact of other systems, and the development of accountability, evaluation and improvement activities.

**Rationale for Necessity:** These regulations are necessary to inform the County of the four areas it must identify during the PEI Community Program Planning Process. These four areas will serve as the framework for its PEI program(s). Requiring the County to identify which Priority Population(s), Key Community Mental Health Need(s), and measurable outcome(s) will be the focus of its PEI program(s), and how it intends to conduct accountability, evaluation and improvement activities directed at these three elements, will help ensure that it is conducting an inclusive and effective planning process and, ultimately, developing more effective PEI programs.

## **Section 3905 Prevention and Early Intervention Priority Populations**

### **Section 3905, subdivisions (a) and (a)(1)-(7)**

**Specific Purpose:** Section 3905 subdivisions (a) and (a)(1)-(7), notify the County of the individuals and groups that comprise the seven PEI Priority Populations the County must consider when developing PEI programs and services.

**Rationale for Necessity:** These regulations are necessary to establish that there are seven Priority Populations, from which the County must select, through its Community Program Planning Process, as the Priority Populations it plans to serve in its Prevention and Early Intervention programs. These priority populations were identified by the Department and the MHSOAC, in consultation with the California Mental Health Planning Council (MHPC), the California Mental Health Directors Association (CMHDA), and representative stakeholder groups. The consensus was that these populations represent individuals and groups most at risk for mental health problems, based on various factors, including age, socio-economic conditions, and life experiences and, therefore, they should be the focus of PEI programs and services.

Identification of these groups as priority populations is consistent with the priorities of the MHSA. One of the populations identified in this section is individuals experiencing onset of a serious mental illness or severe emotional disturbance. Welfare and Institutions Code section 5840, subdivision (b)(1), requires the PEI component to include outreach to recognize the early signs of mental illness. Subdivision (b)(2) requires that PEI programs include access and linkage to medically necessary care in early onset.

The second priority population is racial/ethnic populations and other unserved/underserved cultural populations. Identification of this population as a priority for PEI programs is consistent with the Act's intent that programs reach, treat and address individuals who may have gone undetected in the past. It also fulfills the intent of section 2, subdivision (b), of the MHSA, which specifically cites cultural barriers to care as one of the problems the MHSA is intended to address.

The third priority population is children and youth and transition age youth in stressed families such as families affected by unemployment, homelessness, substance abuse, violence, depression or other mental illness, absence of care-giving adults, or out-of-home placement. The selection of this population is consistent with subdivision (d) of section 5840, which requires PEI programs to emphasize strategies to reduce the negative outcomes of untreated mental illness, including suicide, incarcerations, school failure or dropout, unemployment, prolonged suffering, homelessness and removal of children from their homes. Failure to provide timely treatment to at-risk children and youth can destroy families, lead children to become unable to participate in school, result in homelessness and give rise to unemployment.

The fourth population is individuals exposed to traumatic events or prolonged traumatic conditions, including but not limited to grief, loss, and isolation. Section 2, subdivision (e), of the MHSA cites, as an example of the type of successful mental health programs that should be used as a model for MHSA programs, past programs that have addressed services to underserved populations such as traumatized youth. Section 5840, subdivision (c), requires PEI programs to include “services similar to those provided under other programs effective in preventing mental illnesses from becoming severe” and “include components similar to programs that have been successful in reducing the duration of untreated severe mental illnesses and assisting people in quickly regaining productive lives”.

The fifth and sixth priority populations are children and youth and transition age youth at risk of school failure and those at risk of or experiencing involvement in the juvenile justice system. Section 5840, subdivision (d), requires PEI programs to emphasize strategies to reduce school failure, dropout and incarceration.

The seventh priority population is individuals experiencing co-occurring substance abuse issues. This population was included in this provision because of the demonstrated relationship between mental illness and substance abuse and the problematic nature of treating this co-occurring disorder. In the fiscal year 1995-1996 budget, the Governor recognized that 60 percent of individuals who have serious mental illness also have a substance abuse problem. Research and practice have demonstrated that these conditions require combined and simultaneous services. DMH and the Department of Alcohol and Drug Programs (ADP) convened the Dual Diagnosis Task Force to conduct four pilot projects studying integrated treatment of co-occurring mental illness and substance abuse. The Final Report of the Dual Diagnosis Demonstration Projects concluded that integrated treatment reduces substance abuse, criminal behavior and associated costs, while improving mental health for individuals with both a serious mental illness and a serious co-occurring substance abuse disorder.

## **Section 3910. Prevention and Early Intervention Key Community Mental Health Needs**

### **Section 3910, subdivisions (a) and (a)(1)-(5)**

**Specific Purpose:** Section 3910, subdivisions (a) and (a)(1)-(5), delineate the five Key Community Mental Health Needs that the County must consider for Prevention and Early Intervention programs.

**Rationale for Necessity:** These regulations are necessary to inform the County of the five Key Community Mental Health Needs from which each County must select its own priority needs. The Key Community Mental Health Needs and Priority Populations will be selected by the County through the Community Program Planning Process to form the basis for developing, implementing, and evaluating each PEI program the County administers. Welfare and Institutions Code section 5840, subdivisions (a), (b), and (d), require the PEI component to address reduction in stigma and discrimination associated with mental illness; to emphasize strategies to reduce suicide, school failure and dropout, removal of children from their homes, incarcerations and homelessness; and to improve access to services for underserved populations. In accordance with the priorities set forth in the MHSA, the five Key Community Mental Health Needs in this section were identified as areas of serious mental health risk in most communities by the Department and the MHSOAC, in consultation with the MHPC, CMHDA, and representative stakeholder groups.

## **Section 3920. General Prevention and Early Intervention Requirements**

### **Section 3920, subdivision (a)**

**Specific Purpose:** Section 3920, subdivision (a), informs the County that it must use PEI funds to implement one or more prevention programs and/or early intervention programs.

**Rationale for Necessity:** This regulation is necessary to establish the funding parameters for the PEI component of the Three-Year Program and Expenditure Plan and annual update.

### **Section 3920, subdivision, (b)**

**Specific Purpose:** Section 3920, subdivision (b), informs the County that prevention programs must be designed to reduce risk factors or stressors and build protective factors and skills prior to a mental illness diagnosis.

**Rationale for Necessity:** This regulation is necessary to specify that the County must use its PEI funds for programs that will reduce risk factors or stressors and build protective factors and skills. It is the intent of the Prevention and Early Intervention program to provide education to at-risk persons and the general public on the various elements of mental illness. This regulation assists the County in determining the emphasis of its programs to ensure that it meets the intent of prevention and/or reduction of emotional and behavioral health problems, disparities in access to mental health services, psychosocial impact of trauma, stigma and discrimination and suicide.

### **Section 3920, subdivisions (b)(1) and (2)**

**Specific Purpose:** Section 3920, subdivisions (b)(1) and (2), identify the activities that the County must include in its prevention programs.

**Rationale for Necessity:** These regulations are necessary to inform the County that its prevention programs must include universal prevention activities that benefit the general public and/or selective prevention activities that are a benefit to specific individuals or groups at risk of mental illness. These activities are developed for the spectrum of people within the County that may benefit from prevention services. They range from those who, as a group, are provided with public education services on mental health related topics and whose individual members have not been identified as being at risk for needing mental health services, to those who—as a group or individually—have been identified as being at higher than average risk for needing mental health services. These regulations also help clarify how the primary intent of prevention programs differs from the primary intent of early intervention programs, described in section 3920, subdivision (c), since prevention programs target different populations from those targeted by early intervention programs.

### **Section 3920, subdivision (c)**

**Specific Purpose:** Section 3920, subdivision (c), informs the County that early intervention programs must target individuals exhibiting signs of a potential mental health problem, and/or their families, to address the individual's mental health problem early in its emergence.

**Rationale for Necessity:** This regulation is necessary to specify which individuals the County must target in its early intervention program(s), namely individuals exhibiting signs of a potential mental health problem and/or their families. Welfare and Institutions Code section 5840, subdivisions (a), (b)(1), (b)(2), and (c), require the PEI component to address efforts to prevent mental illnesses from becoming severe and disabling by recognizing early signs, linking individuals with care as early in the onset of a condition as practicable, reducing the duration of untreated illness and assisting people in quickly regaining productive lives. The primary objective of addressing a mental health problem early in its emergence is to avoid the need for more extensive mental health treatment or services for that individual or to prevent a mental health problem from getting worse. This regulation also helps clarify how the intent of early intervention programs differs from the intent of prevention programs, described in section 3920, subdivision (b), since early intervention programs target different populations from those targeted by prevention programs.

### **Section 3920, subdivision (c)(1)**

**Specific Purpose:** Section 3920, subdivision (c)(1), sets forth the maximum period of time that early intervention services may be provided as one year. However, it allows an exception to this time limit of up to five years when the individual receiving the service is identified as experiencing first onset of serious mental illness with psychotic features.

**Rationale for Necessity:** This regulation is necessary to clarify the length of time an early intervention service may be provided, as well as to explain the exception to that requirement. Early intervention services may not exceed one year because the expectation for early intervention programs is that individuals receiving services through these programs will exhibit signs of improvement within one year, thereby enabling the individual to avoid more extensive mental health services. The Department's definition of the scope of early intervention is consistent with the Institute of Medicine's concept of *indicated* prevention, which targets individuals with biological markers, early symptoms, or problematic behavior that predict a high level of risk (Preventing Mental, Emotional, and Behavioral Disorders among Young People: Progress and Possibilities, Summary, Institute of Medicine, 2009).

The policy supports the intent of the PEI component to prevent mental illnesses from becoming severe and disabling, and to aid in the recognition of early signs of potentially severe and disabling mental illnesses. If an individual shows signs of needing more extensive services after one year of early intervention services, he or she may be

eligible to receive services through another funding source, such as the Community Services and Supports (CSS) component. Once the individual begins receiving treatment through CSS, he or she will not continue to qualify for early intervention services because he or she will no longer fit into the criteria of those served by an early intervention program. This policy is intended to ensure that PEI programs are distinct from CSS programs and that Counties do not use PEI funds to fill gaps for ongoing treatment. The policy maintains the Act's intent to create discrete funding categories.

The exception to the one-year rule for individuals experiencing first onset of serious mental illness with psychotic features is consistent with research, which documents that providing early intervention services for at least two years for individuals with early-stage psychosis is cost-effective. Moran, M, Investing in Early Intervention Cuts Psychosis Treatment Costs, *Psychiatric News*, 44(21), p. 18, 2009

### **Section 3920, subdivision (d)**

**Specific Purpose:** Section 3920, subdivision (d), informs the County that its PEI program(s) must target but not be limited to individuals who are unserved/underserved.

**Rationale for Necessity:** This regulation is necessary to specify for the County that its PEI programs(s) must emphasize outreach and service to individuals who are unserved/underserved, in accordance with subdivision (a) of section 5840 of the Welfare and Institutions Code. The intent is to increase access for these individuals who do not tend to receive needed mental health services. Increasing access to prevention and early intervention services for these individuals is expected to reduce disparities in access and mental health outcomes due to stigma, lack of knowledge about mental health services, or lack of suitability of mainstream services. For example, there is considerable evidence that many people of color are distrustful of the established mental health system, for a variety of reasons, and are less likely to seek care within the system. Locating prevention and early intervention resources in accessible non-mental health settings, such as schools, faith-based organizations, primary care, recreation, and community organizations, can reduce perceived threat and stigma and promote access. (Pumariega et al, Culturally competent systems of care for children's mental health: advances and challenges, *Community Mental Health Journal*, 41, 539-555, 2005). According to the *Surgeon General's Report on Mental Health*, the most fundamental shift in service delivery has been from institutions to the community (Culture counts: the influence of culture and society on mental health, mental illness," *Surgeon General's Report on Mental Health* (Chapter 2), U.S. Department of Health and Human Services, Office of the Surgeon General, SAMHSA.

### **Section 3920, subdivision (e)**

**Specific Purpose:** Section 3920, subdivision (e), specifies that the County's PEI programs must serve one or more of the PEI Priority Population(s) selected by the County through the Community Program Planning Process.

**Rationale for Necessity:** This regulation is necessary to set forth the requirement that the County's PEI program(s) serve one or more of the PEI Priority Population(s) described in section 3905, subdivision (a), and selected through the County's Community Program Planning Process. This is intended to ensure that each program's activities and outcomes are directed toward assisting at least one of the populations identified as a PEI Priority Population.

### **Section 3920, subdivision (e)(1)**

**Specific Purpose:** Section 3920, subdivision (e)(1), specifies that County PEI programs developed in coordination with State-administered programs, such as Suicide Prevention or Stigma and Discrimination Reduction, do not have to serve a PEI Priority Population selected in through the Community Program Planning Process, but must address an unserved/underserved population.

**Rationale for Necessity:** This regulation is necessary to set forth the exception to subdivision (e), which requires PEI programs to serve one or more of the PEI Priority Populations selected in the County's Community Program Planning Process. State-administered PEI programs are intended to be wide-ranging and inclusive. County PEI programs based on these State programs must be consistent with that intent by serving varied populations and individuals including those not specific to the Priority Populations identified in the County's Community Program Planning Process.

### **Section 3920, subdivision (f)**

**Specific Purpose:** Section 3920, subdivision (f), sets forth the requirement that the County's PEI program(s) address one or more of the Key Community Mental Health Need(s) selected by the County as a result of the Community Program Planning Process.

**Rationale for Necessity:** This regulation is necessary to clarify that the County's PEI program(s) must address one or more of the Key Community Mental Health Need(s) described in section 3910, subdivision (a), and selected through the County's Community Program Planning Process. This requirement ensures that program activities and outcomes are directed toward addressing one or more of the needs identified through the stakeholder process.

### **Section 3920, subdivision (g)**

**Specific Purpose:** Section 3920, subdivision (g), informs the County that its PEI program(s) must serve individuals and populations in settings that are not traditional mental health settings, such as primary healthcare clinics, schools, and family resource centers. The exception to this requirement is when a traditional mental health setting would enhance access to quality services and outcomes for unserved/underserved populations.

**Rationale for Necessity:** This regulation is necessary to convey that the County must consider non-traditional mental health settings when designing and implementing its PEI programs. Welfare and Institutions Code section 5840, subdivision (a), requires the PEI component to emphasize increasing access to underserved populations. The purpose and intent of section 3, subdivision (c), of the MHSA is to expand culturally and linguistically competent approaches for underserved populations. Using non-traditional settings will enable Counties to provide greater access to and thereby reduce disparities in services for unserved/underserved individuals and populations who are not as likely to seek help in traditional mental health service settings. For the same reason, it will also help to reduce disparities in the level of services. In addition, using non-traditional mental health settings increases innovative collaborations and approaches in PEI services that may not be achievable in more traditional settings. This section also states the exception for this requirement by allowing the County to use traditional mental health settings when these settings best serve the unserved/underserved populations by increasing access and enhancing outcomes.

### **Section 3920, subdivisions (h) and (h)(1)**

**Specific Purpose:** Section 3920, subdivisions (h) and (h)(1), specify that the County's PEI component must include programs that serve all age groups (children and youth, transition-age youth, adults, and older adults). It is also specified that at least 51 percent of the PEI funds must be used to serve individuals who are under 25 years of age.

**Rationale for Necessity:** These regulations are necessary to help ensure that the County is providing PEI services that are age-inclusive, by targeting individuals from a broad spectrum of age groups. In addition, subdivision (a)(2) of section 5840 of the Welfare and Institutions Code requires that PEI programs include access and linkage to care for children, adults and older adults. It is also necessary to set forth the requirement that the County dedicate a minimum of 51 percent of its PEI funds to serving individuals under age 25, since onset of a serious mental illness most often occurs by age 25.

### **Section 3920, subdivision (i)**

**Specific Purpose:** Section 3920, subdivision (i), provides an exemption for small counties from the age group requirements of section 3930, subdivisions (h) and (h)(1), above.

**Rationale for Necessity:** This regulation is necessary because small counties, as defined in section 3200.260, are provided lower funding allocations than larger, more populous counties. The Department recognizes that small counties, due to limited funds and resources, and less diverse populations, should be allowed more flexibility in determining the age group(s) they will serve.

### **Section 3920, subdivisions (j) and (j)(1)-(3)**

**Specific Purpose:** Section 3920, subdivisions (j) and (j)(1)-(3), specify that the County must design PEI program(s) to reduce disparities by doing one or more of the following: (1) providing culturally and linguistically competent services; (2) facilitating access to services; (3) improving participant outcomes.

**Rationale for Necessity:** These regulations are necessary to inform the County of the requirement to design its PEI program(s) to reduce disparities in services to underserved individuals by including in its design one or more of three specified actions that aim to increase the probability that such individuals will seek out the services and successfully participate in the Program. These actions are: (1) cultural competence as defined in section 3200.100 (services are developed and provided in ways that incorporate the cultures, traditions, beliefs, and, whenever possible, languages, of the individuals receiving them); (2) facilitating service access (services are made as accessible as possible to recipients by means of provider location, hours of operation, and affordability; user-friendly transportation systems; and other considerations); and (3) improving participant outcomes. This regulation is necessary to ensure that PEI programs improve access to services for underserved populations and to carry out the general intent of the MHSA that services expand culturally and linguistically competent approaches for underserved populations. (See also Welf. & Inst. Code § 5840, subd. (a), MHSA, § 3, subd. (c).)

## **Section 3930. Allowable Costs and Expenditures**

### **Section 3930, subdivision (a)**

**Specific Purpose:** Section 3930, subdivision (a), informs the County that, in addition to the general requirements set forth in section 3400 of the existing MHSA regulations, specific requirements apply to PEI costs and expenditures.

**Rationale for Necessity:** This regulation is necessary to clarify for the County that the requirements in section 3400 apply to PEI, as do the requirements found in this section. In keeping with the intent of the law to expand mental health services and to maintain distinct funding allocations for the various components of the Plan/update, it is necessary to specify the allowable uses of PEI funds.

### **Section 3930, subdivisions (b), (b)(1), and (b)(2)**

**Specific Purpose:** Section 3930, subdivisions (b), (b)(1), and (b)(2), inform the County of the costs that PEI funds may be used for, such as: personnel, including mental health professionals, paraprofessionals, and community liaisons; and operating costs, including educational materials and curricula, equipment, supplies, travel, and facilities rental.

**Rationale for Necessity:** This regulation is necessary to clarify the two cost categories, personnel and operating costs, including cost of curricula, that are allowable under PEI and to provide examples within each category. It also serves to further differentiate the PEI component from the Community Services and Supports and other MHSA components, by specifying the costs that are allowable under the PEI component.

### **Section 3930, subdivisions (c) and (c)(1)**

**Specific Purpose:** Section 3930, subdivisions (c) and (c)(1), inform the County that it may use PEI funds to expand a non-MHSA program by adding PEI services to that program. These sections further specify that the County must identify these services as part of a PEI program work plan in the PEI component of the Three-Year Program and Expenditure Plan.

**Rationale for Necessity:** These regulations are necessary to specify that the County may expand a non-MHSA program it is currently administering by adding PEI services to that program, and that the services must be included as part of a PEI program work plan within the PEI component of the County's Plan or update. These provisions clarify that PEI funds may be used to expand a program implemented prior to the MHSA, provided the expansion of the program meets all PEI requirements. Since the program expansion to be funded with PEI money must be included in a PEI work plan in the County's Plan/update, the Department and the MHSAOAC will be able to oversee and monitor this use of PEI funds.

### **Section 3930, subdivisions (d) and (d)(1)**

**Specific Purpose:** Section 3930, subdivisions (d) and (d)(1), introduce and outline what the County may not pay for with PEI funds, including treatment, recovery, and support services for individuals who have been diagnosed with a serious mental illness or serious emotional disturbance, unless the individual has been identified by a provider as experiencing first onset of a serious mental illness/emotional disturbance.

**Rationale for Necessity:** These regulations are necessary to specify what the County may not pay for with PEI funds. PEI funds are prohibited from being used for treatment and recovery services for individuals who have been diagnosed with a serious mental illness or serious emotional disturbance (these services are funded through the Community Services and Supports component), unless the individual has been identified by a provider as experiencing first onset of serious mental illness/emotional disturbance. The exception to allow those with first onset of serious mental illness/emotional disturbance to receive early intervention services exists because of the “first onset” classification, which signifies that the disorder is generally treatable in the early intervention phase and often does not result in the need for long-term treatment. These sections support the intent of the PEI component to prevent mental illnesses from becoming severe and disabling, and to aid in the recognition of early signs of potentially severe and disabling mental illnesses. This prohibition on the use of PEI funds assists in distinguishing PEI services/activities from Community Services and Supports services/activities and maintaining the integrity of the components and funding allocations set forth in the MHSA.

### **Section 3930, subdivisions (d)(2) and (3)**

**Specific Purpose:** Section 3930, subdivisions (d)(2) and (3), specify that the County may not use PEI funds to pay for housing and non-PEI related technology activities.

**Rationale for Necessity:** These regulations prohibit PEI funding for housing, and non-PEI-related technology activities. These services and activities are funded through other components of the Three-Year Program and Expenditure Plan. This prohibition is necessary to ensure that PEI funds are not used inappropriately and are not used for services and activities that should be funded through another MHSA component. This helps to maintain the integrity of the components and funding allocations as set forth in the MHSA.

## **Section 3940. Prevention and Early Intervention Component of the Three-Year Program and Expenditure Plan**

### **Section 3940, subdivision (a)**

**Specific Purpose:** Section 3940, subdivision (a), introduces to the County to what it must include in the PEI component of the Three-Year Program and Expenditure Plan.

**Rationale for Necessity:** This regulation is necessary, as the MHSA requires that each County prepare and submit a three-year plan and that the Department establish requirements for the content of the plan. This regulation is the lead-in to the rest of the section, which sets forth the requirements for the PEI component in accordance with the provisions of the MHSA.

### **Section 3940, subdivision (a)(1)**

**Specific Purpose:** Section 3940, subdivision (a)(1), requires the County to provide in the PEI component of its Three-Year Program and Expenditure Plan and update documentation of how it met the requirements of the PEI Community Program Planning Process.

**Rationale for Necessity:** This regulation is necessary to establish that the County must include in its PEI component documentation of how it met the requirements of outreach, assessment, identification of Priority Populations, identification of Key Community Mental Health Needs, identification of measurable outcomes and development of accountability, evaluation and improvement for PEI programs during its Community Program Planning Process. This documentation will help ensure that the County provides a comprehensive and inclusive planning effort targeting the entities and groups specified in Section 3900.1, subdivisions (a) (1) and (a) (2) (A-E). As this is a PEI planning process, it is important to ensure that those individuals who are “at risk” of serious mental illness and/or serious emotional disturbance and their family members are included.

### **Section 3940, subdivisions (a)(2) and (a)(2)(A))**

**Specific Purpose:** Section 3940, subdivisions (a)(2) and (a)(2)(A), require the County to identify in the PEI component of its Three-Year Program and Expenditure Plan the Priority Population(s) selected for its PEI programs and, for each Priority Population selected, to present the input obtained during the Community Program Planning Process, how each Priority Population was selected and the data and analysis that supports its selection.

**Rationale for Necessity:** These regulations are necessary to assist the County in ensuring that the selection of Priority Population(s) as a focus for the County’s PEI programs is based on community input, data and data analysis. The documentation requirement ensures that a thorough selection process took place and provides the

County the opportunity to determine that they have made appropriate choices. It further enables the Department to ensure accountability in accordance with section 3, subdivision (e), of the MHPA.

**Section 3940, subdivisions (a)(3) and (a)(3)(A)**

**Specific Purpose:** Section 3940, subdivisions (a)(3) and (a)(3)(A), require the County to include in the PEI component of its Three-Year Program and Expenditure Plan the Key Community Mental Health Need(s) that are selected for the PEI program and, for each need selected, to identify the input obtained during the Community Program Planning Process, how each Key Community Mental Health Need was selected and the data and analysis that supports the selection.

**Rationale for Necessity:** These regulations are necessary to assist the County in ensuring that the Key Community Mental Health Need(s) selected for its PEI programs include high-priority PEI mental health needs within the community. The documentation requirement ensures that a thorough selection process took place and provides the County the opportunity to determine that it has made appropriate choices. It further enables the Department to exercise its oversight role, in accordance with section 3, subdivision (e), of the MHPA.

**Section 3940, subdivision (a)(4)**

**Specific Purpose:** Section 3940, subdivision (a)(4), requires that the County include in the PEI component of its Three-Year Program and Expenditure Plan a work plan for each program.

**Rationale for Necessity:** This regulation is necessary because the work plan is the document that identifies the PEI program, describes the services that will be provided through the program and contains the budget for the program and other details set forth in section 3945.

**Section 3940, subdivisions (a)(5) (A-G)**

**Specific Purpose:** Section 3940, subdivisions (a)(5)(A) - (G), require that the Three-Year Program and Expenditure Plan include a description of the program that will be evaluated in the Local Outcome Evaluation of a PEI Program Report and how the program was selected, as well as the expected outcomes, strategies for achieving cultural competence, and methodology for collecting and analyzing data and measuring outcomes. The County must also identify a method for disseminating the report to interested parties.

**Rationale for Necessity:** This regulation is necessary, as knowing the details about data collection and analysis and outcomes measurement is important in order to enable the County to develop its evaluation process. This information is especially important if the County's PEI program is to be implemented in a non-mental-health setting, where

traditional mental health data collection may not be possible. Choosing appropriate methodology assists in assessing the success of programs, replicating model programs, and strengthening the integrity of PEI data collection.

#### **Section 3940, subdivision (a)(6)**

**Specific Purpose:** Section 3940, subdivision (a)(6), requires the County to include a description of the coordination between the PEI component of the Three-Year Program and Expenditure Plan and the other MHSA components (identified in section 3310, subdivision (b)) and to specify the proposed use of funds from the other components to support a PEI program through items such as facilities for PEI programs, PEI-related data, workforce development for PEI programs and referrals to services provided through other components of the County's Plan.

**Rationale for Necessity:** This regulation is necessary because it encourages the County to establish appropriate ways to leverage its PEI funding by using funds from the other MHSA components to support its PEI programs. This documentation requirement enables both the County and the State to fulfill the responsibility of accountability to taxpayers and to the public by ensuring that funds are expended in the most cost-effective manner, in accordance with Section 3, subdivision (e), of the MHSA. These documentation requirements also promote efficient use of PEI funds and minimize duplication of services and efforts among components.

#### **Section 3940, subdivision (a)(7)**

**Specific Purpose:** Section 3940, subdivision (a)(7), requires the County's Plan to include a description of expected outcomes for the PEI programs.

**Rationale for Necessity:** This regulation is necessary as outcomes will be used to evaluate the success of the County's PEI program(s) and to enable the County to modify the program where needed. This documentation requirement enables both the County and the State to fulfill the responsibility of ensuring that services are provided in accordance with recommended best practices subject to local and state oversight to ensure accountability to taxpayers and to the public, in accordance with Section 3, subdivision (e), of the MHSA. This documentation will also assist the Department in complying with Welfare and Institutions Code section 5840, subdivision (e), which requires it to revise the PEI component requirements to reflect what is learned about the most effective prevention and intervention programs.

## **Section 3945 Work Plans for Prevention and Early Intervention Programs.**

### **Section 3945, subdivisions (a) and (b)**

**Specific Purpose:** Section 3945, subdivisions (a) and (b), require the County to submit one or more work plans to request PEI funds. These provisions also provide the lead-in into what is required in work plans for new PEI programs.

**Rationale for Necessity:** These regulations are necessary to inform the County regarding what is required to be included in the PEI work plans and advise the County that it is necessary to have at least one work plan in order to obtain PEI funds.

### **Section 3945, subdivision (b)(1)**

**Specific Purpose:** Section 3945, subdivision (b)(1), requires that the work plan include a description of how the program supports one or more of the selected Priority Populations.

**Rationale for Necessity:** This regulation is necessary to provide the County with the opportunity to describe how its programs support the Priority Populations that have been selected during the Community Program Planning Process. This requires the County to take a closer look at what it wants to have as the focus of specific PEI programs and make sure that the focus is on providing programs to the most at-risk populations in the community.

### **Section 3945, subdivision (b)(2)**

**Specific Purpose:** Section 3945, subdivision (b)(2), requires that the work plan include a description of how the program supports one or more of the selected Key Community Mental Health Needs.

**Rationale for Necessity:** This regulation is necessary to ensure that the County has considered the community's needs when developing its PEI programs. The County has selected its Key Community Mental Health Need(s) through a stakeholder planning process as priorities to be addressed by PEI programs. This documentation requirement ensures that each PEI program for which the County seeks funding addresses one of the selected Key Community Mental Health Needs

### **Section 3945, subdivision (b)(3)**

**Specific Purpose:** Section 3940, subdivision (b)(3), requires the County to include in its work plan the total number of unduplicated individuals to be served, as well as the total number of individuals and/or families to be served, by each PEI program.

**Rationale for Necessity:** This regulation will assist the County in collecting and reporting on the total number of individuals and family members to be served, as well as the total unduplicated number of individuals to be served by each proposed program. As individuals may receive more than one service through a PEI program, these figures indicate the total number served by each program, as well as the number of individuals served and the number of family members served. It also helps the County and DMH to identify service gaps, disparities, and service duplications. This documentation requirement enables both the County and the State to fulfill the responsibility of ensuring that services are provided in accordance with recommended best practices, subject to local and state oversight, to ensure accountability to taxpayers and to the public, in accordance with Section 3, subdivision (e), of the MHSA.

#### **Section 3945, subdivision (b)(4)**

**Specific Purpose:** Section 3945, subdivision (b)(4), requires that the County include in its work plans the number of individuals to be served by age group.

**Rationale for Necessity:** This provision is necessary in order for the County and the Department to ensure compliance with age-related requirements for PEI programs. Section 5840, subdivision (b)(2), requires PEI programs to include access and linkage to medically necessary care for children, adults and seniors during early onset of the serious mental illness/emotional disturbance. Section 3920 of these regulations requires the County to serve all age groups in one or more PEI program. Subdivision (h)(1) of section 3920 requires that at least 51 percent of the PEI funds received by the County in a fiscal year be used to serve individuals who are under 25 years of age. If the County has selected Priority Populations that consist of children and youth, identification of the age of the program participants may be useful.

#### **Section 3945, subdivision (b)(5)**

**Specific Purpose:** Subdivision (5) requires the work plan to identify the racial, ethnic and cultural population(s) to be served in a PEI program.

**Rationale for Necessity:** Subdivision (5) is necessary for the County and the Department to identify efforts to improve access and services for unserved and underserved populations, in accordance with section 5840, subdivision (a), of the MHSA. It also helps the County and the Department fulfill the intent of the MHSA to address cultural barriers to care. (MHSA § 2, subd. (a).) Furthermore, if the County has chosen racial/ethnic populations and other unserved/underserved cultural populations as a Priority Population, identification of the race/ethnicity of program participants may be useful information for the County to evaluate whether its programs are addressing this population in an effective manner.

### Section 3945, subdivision (b)(6)

**Specific Purpose:** This provision instructs the County that each work plan must identify whether the services provided to individuals and families are prevention services or early intervention services.

**Rationale for Necessity:** Subdivision (b)(6) is necessary because prevention and early intervention services are different in nature. PEI programs may be directed at preventing serious mental illness/emotional disturbance or intervening to address a mental health problem early in its emergence, or both. These are distinct goals that require different types of services. In order for the County and the Department to determine whether these two goals of the PEI component are being addressed and achieved, it is important for the County to identify the type of services provided.

### Section 3945, subdivisions (b)(7) and (b)(7)(A)

**Specific Purpose:** Section 3945, subdivisions (b)(7) and (b)(7)(A), inform the County that the PEI program setting must be included in its work plan(s). It further states that if a traditional setting is chosen instead of a non-traditional setting, there must be an explanation for selecting the traditional mental health setting over a non-traditional mental health setting.

**Rationale for Necessity:** These regulations are necessary to ensure that the County identifies the type of physical site (school, health care center, community-based organization, etc.) where the PEI services are to be provided in order to verify that the County is complying with section 3920, subdivision (g), which requires the County's PEI program(s) to serve individuals and populations in settings that are not traditional mental health settings. The County is exempt from this requirement if it can show that a traditional mental health setting would provide better access, quality, and outcomes for the population served than a non-traditional setting would. Using non-traditional settings will enable Counties to provide greater access to and reduce disparities in services for unserved/underserved individuals and populations who are not as likely to seek help from traditional mental health service providers in traditional settings.

**Comment [GM1]:** What evidence supports this assertion? Asked Bertha on 4-28-10 and Rachel and Filomena 5-4-10.

### Section 3945, subdivision (b)(8)

**Specific Purpose:** Section 3945, subdivision (b)(8), informs the County that it must describe in its PEI program work plan how participants with mental health needs that cannot be met through the PEI program will be referred to appropriate service providers such as primary health care, education, and mental health services.

**Rationale for Necessity:** This regulation is necessary to assist the County in ensuring that individuals with mental health needs that cannot be met by the PEI program will be referred to the appropriate provider(s) for their mental health needs, thereby preventing a gap in services and/or treatment. This regulation makes specific the provision in Welfare and Institutions Code section 5840, subdivision (b)(2), that requires access and

linkage to medically necessary mental health care as early in the onset of a condition as practicable. It is also consistent with the purpose and intent of the MHSA to provide integrated services, including medically necessary psychiatric services, and other services (MHSA, § 2, subd. (e)).

#### **Section 3945, subdivision (b)(9)**

**Specific Purpose:** Section 3945, subdivision (b)(9), informs the County that it must describe in its PEI program work plan how the program connects individuals and family members with needed non-mental health services, including those provided by community agencies not traditionally defined as mental health, such as violence prevention and substance abuse treatment.

**Rationale for Necessity:** This regulation is necessary to assist the County in ensuring that those individuals and their family members with non-mental-health needs (such as healthcare, food, housing and school or job placement) that cannot be met by the PEI program will be referred to the appropriate non-mental health providers for services, thereby preventing a gap in services. This regulation is consistent with the purpose and intent of the MHSA to provide integrated services (See MHSA, § 2, subd. (e)).

#### **Section 3945, subdivision (b)(10)**

**Specific Purpose:** Section 3945, subdivision (b)(10), informs the County that it must describe in its PEI program work plan its efforts to collaborate with community-based organizations, such as schools, primary care, and ethnic organizations, and identify in its description the roles and activities of each collaborating organization.

**Rationale for Necessity:** This regulation will help to ensure that the County provides a description of the collaboration between its PEI program and non-mental-health organizations, with the objective of expanding the community's involvement in PEI. This regulation is consistent with the purpose and intent of the MHSA to provide integrated services.

#### **Section 3945, subdivision (b)(11)**

**Specific Purpose:** Section 3945, subdivision (b)(11), requires the County to document in its PEI program work plan the potential impact of the program on systems such as mental health, education, health, juvenile justice, and on community systems that are specific to racial, ethnic, and cultural groups.

**Rationale for Necessity:** This regulation is necessary to inform the County that it must identify the potential impact that its PEI program may have on other systems. Section 2, subdivision (e), of the MHSA states that MHSA programs will emphasize innovative, client-centered, family-focused, prevention-oriented and community-based services that are culturally and linguistically competent and are provided in an integrated services system. (MHSA, section 2, subd. (e).) The County's identification of the impact of its

PEI program on other systems may be used to evaluate the success of the County's program(s) including whether the program has improved the provision of PEI services by community systems such as those described, and to make recommendations for modifying the program where needed. This documentation requirement enables both the County and the State to fulfill the responsibility of ensuring that services are provided in accordance with recommended best practices subject to local and state oversight to ensure accountability to taxpayers and to the public, in accordance with section 3, subdivision (e), of the MHSA. This documentation will also assist the Department in complying with Welfare and Institutions Code section 5840, subdivision (e), which requires it to revise the PEI component requirements to reflect what is learned about the most effective prevention and intervention programs.

#### **Section 3945, subdivision (b)(12)**

**Specific Purpose:** Section 3945, subdivision (b)(12), requires that a statement be included in the work plans regarding how the program is consistent with the General Standards found in section 3320 of the generally applicable regulations.

**Rationale for Necessity:** This regulation is necessary to ensure that each PEI program addresses the General Standards, as applicable. These standards will help the County to plan, implement and evaluate its programs keeping the intent and principles of the MHSA in mind.

#### **Section 3945, subdivisions (c) and (c)(1) and (2)**

**Specific Purpose:** Sections 3945, subdivisions (c) and (c)(1) and (2), require that work plans for previously approved PEI programs identify the number of individuals and/or family members to be served and the type of program (prevention or early intervention) expected to be provided to each individual and/or family member.

**Rationale for Necessity:** This regulation is necessary in order to provide information to assist the County in determining how well it is meeting the need that has been identified and whether or not the program should be continued or expanded. It also provides the Department and the MHSOAC with information needed to determine the effectiveness of the program and to ensure accountability to taxpayers and to the public, in accordance with section 3, subdivision (e), of the MHSA.

#### **Section 3945, subdivision (d)**

**Specific Purpose:** Section 3945, subdivision (d), states that the County must include in its PEI program work plan a budget detail for each PEI program which identifies the amount of funds to be spent on each age group to be served.

**Rationale for Necessity:** This regulation is necessary to inform the County that a budget detail must be included in its budget development process and in its work plan. This information will help ensure that funds are spent on the age groups identified during the Community Program Planning process as those in most need of PEI programs and services and to ensure compliance with the requirement that at least 51% of PEI funds be spent on programs for individuals under the age of 25. It also enhances accountability regarding the County's use of its PEI funding, in accordance with section 3, subdivision (e), of the MHSA, which provides for local and state oversight to ensure accountability to taxpayers and to the public by ensuring that MHSA funds are expended in the most cost effective manner.

## **Section 3950. Accountability, Evaluation and Improvement Activities**

### **Section 3950, subdivisions (a) and (a)(1)-(3)**

**Specific Purpose:** Section 3950, subdivisions (a) and (a)(1)-(3), inform the County that it must participate in the Department's accountability, evaluation and improvement activities, by submitting the PEI Program Accountability and Evaluation Report and the Local Evaluation of a PEI Program Report to the Department, unless the County is exempted per section 3515, subdivision (d), and by participating in on-site reviews conducted by the Department.

**Rationale for Necessity:** These regulations are necessary to establish the requirements for the County's participation in the Department's accountability, evaluation, and improvement activities. Many of the programs that may be funded through the PEI component are different from more traditional mental health programs in that they are not evidence-based, but are based on promising practices or community-defined evidence. This regulation will assist with the monitoring of these programs. These regulations enable both the County and the State to fulfill the responsibility of ensuring that services are provided in accordance with recommended best practices subject to local and state oversight to ensure accountability to taxpayers and to the public, in accordance with section 3, subdivision (e), of the MHSA. These regulations will also assist the Department in complying with Welfare and Institutions Code section 5840, subdivision (e), which requires it to revise the PEI component requirements to reflect what is learned about the most effective prevention and intervention programs.