

Compliance Checklist

Principles

1. Based on the MHSA and applicable regulations
2. Outcomes-focused
3. Applies to new programs, changes to programs, and reports on existing programs
4. Applies to Three-Year Program and Expenditure Plan, Annual Updates and Plans unless specified in the chart as applicable only to a Plan or to an Annual Update

Requirements

Requirement	Yes/No	Comment/Issues
GENERAL: All MHSA COMPONENTS		
Certification		
1. Three-year program and expenditure plans and annual updates shall be adopted by the county board of supervisors and provided to MHSOAC within 30 days after adoption.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
2. The three-year program and expenditure plan and annual updates shall include all of the following: Certification by the county mental health director, which ensures that the county has complied with all pertinent regulations, laws, and statutes of the Mental Health Services Act, including stakeholder participation and non-supplantation requirements.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
3. The three-year program and expenditure plan and annual updates shall include all of the following: Certification by the county mental health director and the county auditor-controller that the county has complied with any fiscal accountability requirements as directed by the State Department of Health Care Services, and that all expenditures are consistent with the requirements of the Mental Health Services Act.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Requirement	Yes/No	Comment/Issues
Community Planning		
<p>4. Each three-year program and expenditure plan and update shall be developed with local stakeholders including adults and seniors with severe mental illness, families of children, adults and seniors with severe mental illness, providers of services, law enforcement agencies, education, social services agencies, veterans, representatives from veterans organizations, providers of alcohol and drug services, health care organizations, and other important interests.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>5. Counties shall demonstrate a partnership with constituents and stakeholders throughout the process that includes meaningful stakeholder involvement on mental health policy, program planning, and implementation, monitoring, quality improvement, evaluation, and budget allocations.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>6. A draft plan and update shall be prepared and circulated for review and comment for at least 30 days to representatives of stakeholder interests and any interested party who has requested a copy of the draft plans.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>7. The mental health board shall conduct a public hearing on the draft three-year program and expenditure plan and annual updates at the close of the 30-day comment period.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<p>8. Welfare and Institutions Code Section (WIC §) 5847 states that county mental health programs shall prepare and submit a Three-Year Program and Expenditure Plan (Plan) and Annual Updates for Mental Health Service Act Programs and expenditures. The three-year program and expenditure plan or update shall include any substantive written recommendations for revisions. The three-year program and expenditure plan or update shall summarize and analyze the recommended revisions.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Requirement	Yes/No	Comment/Issues
General Standards		
9. Welfare and Institutions Code Section (WIC §) 5847 states that county mental health programs shall prepare and submit a Three-Year Program and Expenditure Plan (Plan) and Annual Updates for Mental Health Service Act Programs and expenditures. The three-year program and expenditure plan and annual updates shall include all of the following: (1) A program for prevention and early intervention; (2) A program for services to children; (3) A program for services to adults and seniors; (4) A program for innovations; (5) A program for technological needs and capital facilities needed to provide services; and, (6) the identification of shortages in personnel to provide services.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
10. Each three-year program and expenditure plan or update shall be consistent with the philosophy, principles and practices of the recovery vision for mental health consumers which is client-directed (adults) or family-driven (children), including services that are culturally and linguistically competent.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Measuring Results and Using Data for Quality Improvement		
11. Each expenditure update shall indicate the number of children, adults, and seniors to be served and the cost per person.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
12. Each three-year plan shall include reports on the achievement of performance outcomes for services funded by the Mental Health Services Fund and established jointly by the State Department of Health Care Services and the Mental Health Services Oversight and Accountability Commission, in collaboration with the California Mental Health Directors Association.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Other Requirements		
13. MHSA funds may not be used to pay for persons incarcerated in state prison or parolees from state prisons.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Funding and Budget		
14. These funds shall only be used to pay for the programs authorized in Section 5847 (i.e., Prevention and Early Intervention, Community Services and Supports, Innovations, Capital Facilities and Technological Needs, and Workforce Education and Training). These may not be used to pay for any other program.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Requirement	Yes/No	Comment/Issues
<p>The three-year program and expenditure plan and annual updates shall include establishment and maintenance of a prudent reserve to ensure the county program will continue to be able to serve children, adults, and seniors that it is currently serving during the years in which revenues for the Mental Health Services Fund are below recent averages adjusted by changes in the state population and the California Consumer Price Index.</p> <p>❖ This information can be found in the Funding Summary.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	