



C A L I F O R N I A   D E P A R T M E N T   O F  
**Mental Health**

1600 9th Street, Sacramento, CA 95814  
(916) 654-2309

September 25, 2007

DMH INFORMATION NOTICE NO.: 07-19

**TO:** LOCAL MENTAL HEALTH DIRECTORS  
LOCAL MENTAL HEALTH PROGRAM CHIEFS  
LOCAL MENTAL HEALTH ADMINISTRATORS  
COUNTY ADMINISTRATIVE OFFICERS  
CHAIRPERSONS, LOCAL MENTAL HEALTH BOARDS

**SUBJECT:** MENTAL HEALTH SERVICES ACT (MHSA) PREVENTION AND  
EARLY INTERVENTION COMPONENT—PROPOSED THREE-  
YEAR PROGRAM AND EXPENDITURE PLAN GUIDELINES,  
FISCAL YEARS 2007-08 and 2008-09

**REFERENCE:** Implementation of the MHSA, Welfare and Institutions Code (WIC)  
Section 5848

This Information Notice transmits the proposed guidelines for counties<sup>1</sup> to submit their Prevention and Early Intervention (PEI) component of the Three-Year Program and Expenditure Plan of the Mental Health Services Act (MHSA or Act).

Welfare and Institutions Code 5848 authorizes the Department of Mental Health (DMH) to establish the guidelines for the content of the counties' Three-Year Program and Expenditure Plan (Three-Year Plan). Prevention and Early Intervention is one of five components of the MHSA. It is a part of a broad continuum along with the Community Services and Supports (CSS), Education and Training, Capital Facilities and Technology, and Innovation components that are addressed by the Act. The Department has initiated a sequential process for phased implementation of these components. Each component eventually will be part of an integrated Three-Year Program and Expenditure Plan, a comprehensive approach to community mental health services and supports. Each component must reflect the ideology and values of the Act, and all components must be accountable for the outcomes specified in the Act.

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<sup>1</sup> "County" means the County Mental Health Department, two or more County Mental Health Departments acting jointly, and/or city-operated programs receiving funds per WIC Sections 5701.5 (California Code of Regulations, Section 3200.090).

The proposed guidelines were developed through a comprehensive stakeholder process based on principles and priorities adopted by the Mental Health Services Oversight and Accountability Commission (MHSOAC) with stakeholder input. These proposed guidelines represent input received over the last eighteen months through statewide general meetings, focus groups, interviews, workshops, conference calls, and written comments. While consensus was not possible on all issues, the process allowed all perspectives to be heard and resulted in significant improvements to the document. This DMH Information Notice applies only to the PEI component of the Three-Year Program and Expenditure Plan. Regulations for the PEI component are in the process of promulgation.

### **Planning Process**

The Community Program Planning process undertaken by counties in developing their initial Community Services and Supports (CSS) component of their Three-Year Program and Expenditure Plans should provide the foundation for the PEI planning process (see DMH Information Notice No. 07-17). Counties are encouraged to develop ongoing planning and monitoring committees comprised of stakeholders, and to use and augment these groups as needed to maintain consistent PEI planning and oversight expertise. Planning processes should continually enhance and strengthen what is already in place. In this way, counties will be able to develop an informed constituency, while continually reaching out to broaden diversity and expertise.

The planning process for the PEI component should revisit the priorities and discussions documented in previous MHSA planning processes, and should focus upon getting additional input from any new stakeholders who have experience, interest or expertise in this MHSA component. It is recognized that PEI issues may draw upon expertise outside of the more formal MHSA planning processes. In any case, counties shall ensure that on-going stakeholder committees and key stakeholders are informed and directly involved regarding recommendations for this component.

### **Community Program Planning Funds Approved Prior to Prevention and Early Intervention Component Approval**

In accordance with section 5892(c) of the MHSA, counties have been provided the opportunity to request planning funds to cover the time period needed by each county to develop and submit to the MHSOAC and the Department their PEI component. All activities initiated by counties with these funds must fit within the PEI component proposed guidelines contained herein.

### **Technical Assistance**

Prior to counties submitting proposed PEI components, DMH will offer technical assistance in the form of informal dialogue and exchange of information between county representatives and DMH staff and consultants. Scheduled technical assistance

meetings and teleconferences, as well as useful information and planning documents, will be posted at <http://www.dmh.ca.gov/mhsa/PreventionEarlyIntervention.asp> .

### **Fiscal Considerations**

Enclosure 5 lists Planning Estimates available for each county for implementing its PEI component through June 2009. Planning estimates represent the maximum amount of MHSA PEI funding that the county can request. Counties must submit a complete proposed PEI component to the Department in order to request the balance of MHSA funding for implementation. Funding availability for the PEI component starts upon notification of approval by the MHSOAC, therefore funds will not be provided on a retroactive basis.

### **Submission of the Proposed Prevention and Early Intervention Component**

An original and 10 hard copies and an electronic copy of the proposed PEI component, which includes the original signature of the county mental health director, as delineated in the proposed guidelines should be submitted to:

California Department of Mental Health  
Prevention and Early Intervention Component  
PEI Branch, ATTN: Nichole Davis  
1600 9<sup>th</sup> Street, Room 350  
Sacramento, CA 95814

One hard copy and an electronic copy of the proposed PEI component as delineated in the proposed guidelines should be submitted to:

Mental Health Services Oversight and Accountability Commission  
Attention: Keely LeBas  
1300 17th Street, Suite 1000  
Sacramento, CA 95814

### **Submission Date**

It is recognized that counties are in various stages of readiness to submit the PEI component. Therefore, no deadline is established for component submission.

### **Review and Approval**

The MHSA provides for approval of PEI expenditures by MHSOAC and review by the Department to ensure compliance with the proposed guidelines and funding limitations. The review and approval of these proposed PEI components is intended to be a streamlined process, ensuring that the combined reviews by the MHSOAC and DMH will occur as quickly as possible. MHSOAC and DMH reviewers will work closely with

county staff to assist with component submission, identify any needed additional information, and obtain approval.

MHSOAC will notify the county in writing of the approval of the PEI component through a Letter of Intent, and DMH will initiate an amendment to the county's performance contract, or will initiate an MHSA performance contract (or other successor document, as prescribed by DMH) if one does not exist.

We are looking forward to working with you in implementing the PEI component of the Three-Year Program and Expenditure Plan. For further information, clarification or questions about this Information Notice please contact Nichole Davis at (916) 651-0691 or [nichole.davis@dmh.ca.gov](mailto:nichole.davis@dmh.ca.gov).

Sincerely,

Original signed by:

STEPHEN W. MAYBERG, Ph.D.

Director

Enclosures

cc: California Mental Health Director's Association  
California Mental Health Planning Council  
Mental Health Services Oversight and Accountability Commission  
Elaine Bush, Chief Deputy Director  
Carol Hood, Deputy Director, Systems of Care, Special Project: MHSA  
Michael Borunda, Acting Deputy Director, Systems of Care  
Emily Nahat, Chief, Prevention and Early Intervention Branch  
Rachel Guerrero, Chief, Office of Multicultural Services  
Marjorie Glaviano, Chief, County Support Branch  
John Lessley, Chief, County Operations South  
Rebecca Kirby, Chief, County Operations North