



**PART 1 of 3  
DEVELOPMENT AND IMPLEMENTATION PROCESS  
(Cont'd)**

Observation	Recommendation	Corrective Action Taken	Corrective Action To Be Taken	Date of Action To Be Taken	Responsible Staff (L = Lead)	Final Completion Due Date
<p><b>Observation 2: Ineffective Communication and Coordination</b></p> <p><b>A) MHSAs Program versus MHSAs Policy</b> <b>B) Component versus Component</b> <b>C) Coordination of DMH and OAC</b></p>	<p><b>A.</b> Require MHSAs Program staff participation during the policy development stage for program consultation. The Program staff should serve as active participants and subject matter experts throughout the development of policy.</p>	<p>Convened a weekly Policy workgroup consisting of internal DMH staff to include external partners (OAC, CMHDA, Counties, and Planning Council) to assist in development of Annual Update guidelines, Three Year Plan conceptual design and development of Performance Measurement system. Implement a written Issue Paper format for presentation, discussion and recommendation on MHSAs issues.</p> <p>Assigned internal DMH staff to represent each component area as well as staff representing the county liaison function.</p> <p>Provided management direction that participation on these workgroups is a priority for staff.</p> <p>Continue to convene monthly Interdivisional meeting briefing interested staff from throughout the department of updates regarding the MHSAs.</p> <p>Implemented a weekly "MHSAs Coordination Meeting" of all DMH managers with responsibility for MHSAs development &amp; implementation to identify/discuss cross cutting policies and ensure consistency in process and procedures.</p>		June 2008	Denise Arend (L)	Completed
	<p><b>B.</b> Standardize common program processes that are universal amongst component areas.</p>	<p>With the organizational restructure of the Community Services Division within DMH, responsibility for all Plan reviews has been centralized in one organization area under one manager.</p> <p>Standardized processes and review tools have been developed and implemented for each of the MHSAs components. Review tools and elapsed review timeframes have been posted on DMH website.</p> <p>Elapsed processing times for Plan and update reviews have been developed and implemented for all MHSAs components.</p> <p>Established clear expectations and monitoring achievement.</p>		October 2008	Mark Heilman (L)	Completed
	<p><b>C.</b> Conduct training prior to the release of new policies to maintain a high level of competency at all staff levels and to ensure consistent guidance is provided.</p>	<p>Program staff are currently included on clearance of all drafts of proposed policy for review and comment. A weekly "MHSAs Coordination Meeting" of all DMH managers with responsibility for MHSAs development &amp; implementation has been implemented. All proposed Information Notices are reviewed by this group prior to publication to ensure consistency across policies and identify training needs.</p> <p>FSP FAQs were posted on the DMH website.</p>	<p>Development of a DMH FAQ webpage for DMH staff and counties to help ensure consistent guidance to counties is underway.</p>	November 2008	Mark Heilman (L)	Completed
				April 2009	Mark Heilman (L)	Completed
				January 2010	Rita McCabe (L)	Pending

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	<p><b>D.</b> Work cooperatively with the OAC to develop a communication protocol where only one entity requests additional information from the counties and communicate the protocol to counties.</p>	<p>Currently, PEI program staff and OAC staff have developed processes for county contact to avoid duplication of effort and minimize county confusion. The same process will be used for the Innovation component.</p> <p>Development of protocols for remaining MHSAs components is underway.</p>	<p>Develop protocols for county contacts with OAC for the remaining components:</p> <ul style="list-style-type: none"> <li>✓ Community Services and Supports</li> <li>✓ Workforce Education &amp; Training</li> <li>✓ Capital Facilities/Technology</li> </ul> <p>ABX3 5 clarifies the responsibilities of the OAC &amp; DMH as it relates to MHSAs components. Processes for coordinating the responsibilities in response to county funding requests will be developed and reflected in the Automated Workflow Process currently under development by DMH. This Automated Workflow Process is scheduled to be completed in May 2010. In the interim, the OAC will be the contact with counties on PEI and INN funding requests and DMH will be the contact with counties for the remaining component funding requests.</p>	<p>November 2008</p> <p>May 2010</p>	<p>Mark Heilman (L) Bev Whitcomb</p> <p>Sophie Cabrera (L)</p>	<p>Completed</p> <p>May 2010</p>
<p><b>Observation 3: Undefined Roles and Responsibilities of MHSAs Entities</b></p>	<p><b>A.</b> Work collaboratively with each entity to come to an agreement on the roles and responsibilities. Ensure consistency and functionality with the MHSAs.</p>	<p>A Memorandum of Understanding (MOU) between OAC and DMH that delineates each entity's role and responsibility in the implementation of MHSAs was developed and signed.</p>		<p>June 2009</p>	<p>Denise Arend (L) Bev Whitcomb</p>	<p>Completed</p>
	<p><b>B.</b> Develop regulations that define roles and responsibilities of each entity involved in the MHSAs and communicate roles and responsibilities to affected parties.</p>	<p>Meetings were held among the County Mental Health Director's Association (CMHDA), the OAC, the Mental Health Planning Council and DMH to discuss respective roles &amp; responsibilities for inclusion in a Memorandum of Understanding (MOU) between the parties. The MOU was completed and signed. The role of certain entities, such as the Mental Health Planning Council, are defined in statute and do not require further delineation. Therefore, DMH will not pursue regulations as this is not the appropriate vehicle to define and memorialize agreed upon roles and responsibilities. However, the signed MOU serves to define these roles.</p>		<p>June 2009</p>	<p>All Affected Parties</p>	<p>Completed</p>

**Part 2 of 3**  
**PLAN REVIEW AND APPROVAL PROCESS**  
**(Cont'd)**

Observation	Recommendation	Corrective Action Taken	Corrective Action To Be Taken	Date of Action To Be Taken	Responsible Staff (L = Lead)	Final Completion Due Date
<b>Observation 4: Deficiencies in Application of CSS Guidelines</b>	<b>A.</b> Review and revise guidelines to eliminate repetitive and redundant requirements and allow for customization of templates to fit the specific needs of the community being served.	Annual update requirements have been streamlined for FY 09/10 funding requests.  Annual update requirements continue to be assessed and streamlined as necessary.	Incorporate into future Framework (see Observation 1. A. Action Item) a process that eliminates duplicate information being requested from counties. <u>ABX3 5 prohibits DMH from issuing the guidelines for the MHSA Integrated Plan before January 1, 2012.</u>	November 2008	Mark Heilman (L)	Completed  Completed and ongoing  Deferred
	<b>B.</b> Allow counties to submit integrated Plans based on broad concepts rather than exact details.	Guidelines have been released simplifying requirements for county submissions to access funds for previously approved programs and projects. Simplified process includes, but is not limited to, certification of non-supplantation, basic budgeting information and explanation of total request.		October 2008	Mark Heilman (L)	Completed
	<b>C.</b> Review the DMH's and OAC's application of component guidelines. Revise internal policies to allow for flexibility of reporting requirements.	Same as above.		October 2008	Mark Heilman (L)	Completed
	<b>D.</b> Place more reliance on the counties' expertise, but hold them accountable for their Plans. Ensure performance measures and monitoring procedures of counties are appropriately developed and implemented.	FSP data is collected from counties, compiled by DMH and provided to counties to assist with planning activities.	Develop and implement MHSA Performance Measurement system to include common measures, desired levels of attainment for counties, and a system for monitoring individual county performance and ensuring accountability through Corrective Action Plans.	June 2009  Pending	Denise Arend (L)	Completed and ongoing  Pending
	<b>E.</b> Continually assess and revise the Plan review process and implement efficiencies as identified.	Established and implemented process to revise the Plan review process annually to identify areas of improvement and modify process as appropriate (see Observation 2. B. and 4. A., Action Items).		November 2008	Sophie Cabrera (L)	Completed and ongoing



**Part 3 of 3**  
**FUND DISTRIBUTION PROCESS**

Observation	Recommendation	Corrective Action Taken	Corrective Action To Be Taken	Date of Action To Be Taken	Responsible Staff (L = Lead)	Final Completion Due Date
<b>Observation 6:</b> <b>Fund Distribution Process Needs Improvement</b> <b>A) Exhibit A</b> <b>B) Payments</b>	<b>A.</b> Develop a formal payment authorization form that details the county payments for issuance. Use this form to notify the Accounting Unit to schedule payments.	Developed ongoing payment authorization form to be used by Program to instruct Accounting to release MHSA Payments.		July 2008	Stan Bajorin (L) Mark Heilman	Completed
	<b>B.</b> Require the Business Services Contracts and Procurement Unit to promptly process and forward executed Agreements to the County Contracts and Technical Assistance Unit. Develop internal policies that require payment to counties within a reasonable time after Agreement execution and/or Agreement modification.	Reviewed existing process for clearance of MHSA Agreements in Contracting and Accounting Branches to identify impediments to prompt approval. Implemented process improvements. Documented and distributed these revised procedures to affected staff.		July 2008	Stan Bajorin (L)	Completed