Finding # or Suggested Improvement #	Finding or Suggested Improvement	Recommendation # (State Corrective Action Step / Identify Timeline / and Evidence of Corrections / Mechanisms for Monitoring Effectiveness		Score – Comments/ Notes
Finding #1	Stanislaus County's Community Services and Supports (CSS) programs/services were inconsistent with the approved FY 2017-20 Three-Year Program and Expenditure Plan (Plan), FY 2018-19 Annual Update (Update), and FY 2018-19 Annual Revenue and Expenditure Report (ARER). Welfare and Institutions Code (W&I Code) section 5892(g)).	The County must ensure that the program names listed in the CSS component section of the approved FY 2020-23 Plan and FY 2019-20 Update, and each subsequent year thereafter, are consistent with the budget pages and names in the ARER. If the program or service did not occur, report the program or service on the ARER and indicate zero expenditures. Any discrepancies or name changes must be explained in the approved Update.	<ul> <li>Correction Action Step: Stanislaus County Behavioral Health and Recovery Services (SCBHRS) will ensure that the program names listed in the CSS component section of the approved FY 2020-2023 Plan and FY 2019-20 Update, and each subsequent year thereafter, are consistent with the budget pages and names in ARER.</li> <li>Timeline Annual Update: <ol> <li>The ARER for FY 2018-2020 was submitted and approved by DHCS in December January of 2020, this ARER is utilized to complete the FY 2019-2020 Annual Update.</li> <li>CSS component sections were identified in the approved ARER for FY 2018-2019 and will be utilized to complete the Annual Update for FY 2019- 2020.</li> </ol> </li> <li>MHSA Staff and leadership for SCBHRS will confirm program names listed in the CSS component section of the approved FY 2019-2020 Annual Update are correct and</li> </ul>	The submitted plan is accepted.

match the budget pages and
names from the approved
ARER from FY 2018-2019.
3. Throughout the process to
write and review the Three
Year Program and Expenditure
Plan for FY 2020-2023
(process begins yearly in July
following the annual
•
submission and goes through
March), SCBHRS will confirm
program names listed in the
CSS component section are
correct and match the ARER
for FY 2019-2020 that will be
submitted in January of 2021
per the Behavioral Health
Information Notice (BHIN) 20-
044; this process will continue
for each subsequent year and
explained in the Update.
4. SCBHRS will ensure that CSS
component names are correct
and match future ARERs for
FY 2020/2021, 2021/2022, and
2022/2023 as well as Annual
Updates and Three-Year
Program and Expenditure
Plans.
5. Form 5510 was submitted to
DHCS on August 28, 2020
however due to signature
specifications DHCS
requested a new form with

Finding #2	Stanislaus County did not dedicate at least 51% of Prevention and Early Intervention (PEI) funds to serve individuals 25 years or younger in FY 2018- 19. (California Code of Regulations, title 9, § 3706(b)).	The County must develop and implement accounting and cost allocation policies and procedures that will allow at least 51% of the PEI funds to be used to serve individuals who are 25 years old or younger.	<ul> <li>electronic signature. This was submitted September 3, 2020; to request late submission of the Annual Update and Three-Year Program and Expenditure Plan by July 1, 2021.</li> <li>6. The FY 2019-2020 Annual Update Local Review process will begin in February of 2021.</li> <li>7. The FY 2019-2020 Annual Update will be approved by June of 2021 for submission by July 1, 2021.</li> <li>On or before July 1, 2021 SCBHRS will submit evidence of Finding #1 to DHCS for confirmation.</li> <li>Correction Action Step: SCBHRS will develop and implement accounting and cost allocations policies and procedures that will allow at least 51% of the PEI funds to be used to serve individuals who are 25 years or younger.</li> <li>Timeline for submission of corrections:         <ul> <li>1. Develop accounting and cost allocations policies and procedures that will allow at least 51% of the PEI funds to be used to serve individuals who are 25 years or younger.</li> </ul> </li> </ul>	The submitted plan is accepted.
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2. Request review of the
developed Policy and
Procedure by SCBHRS Senior
Leaders by January 26, 2021
3. Obtain approval by Senior
Leaders of the Policy and
Procedure for submission of
evidence for Finding #2 to
DHCS by February 26, 2021.
4. Provide orientation and
overview of the approved
Policy and Procedure to PEI
teams and contractors by
March 12, 2021; continuously
thereafter for new PEI team
members, as part of the
onboarding process, as well as
contractors when newly
awarded or during the renewal
process of their contracts.
5. Quarterly reviews of the 51%
target will be conducted to
evaluate effectiveness of the
Policy and Procedure; March
15, 2021, June 21, 2021,
October 18, 202, and January
18, 2021 to track effectiveness
and ensure compliance.
Agendas, sign in sheets and
evaluation progress notes will
be submitted.

Finding #3	Stanislaus County's PEI programs/services were inconsistent with the approved FY 2017-20 Plan, FY 2018-19 Update and FY 2018-19 ARER. For example, the approved FY 2017-20 Plan described 23 programs under the PEI component (Early Intervention – eight programs, Prevention – seven programs, Outreach for Increasing recognition of Early Signs of mental illness – three programs, Stigma and Discrimination Reduction – two programs, and Suicide Prevention – three programs). The FY 2018-19 ARER had a total of 11 programs. (W&I Code) section 5892(g)).	The County must ensure that the program names listed in the PEI component section of the approved FY 2020-23 Plan and FY 2019-20 Update, and each subsequent year thereafter, are consistent with the budget pages and names in the ARER. If the program or service did not occur, report the program or service on the ARER and indicate zero expenditures. Any discrepancies or name changes must be explained in the approved Update.	<ul> <li>Correction Action Step: SCBHRS will ensure that the program names listed in the PEI component section of the approved FY 2020-23 Plan and FY 2019-20 Update and each year thereafter, are consistent with the budget pages and names in the ARER. SCBHRC will ensure that if the program or service did not occur the program or service will be reported on the ARER by indicating zero expenditures. Any discrepancies or name changes will be explained in the approved Update.</li> <li>Timeline Annual Update: <ol> <li>The ARER for FY 2018-2020 was submitted and approved by DHCS in December January of 2020, this ARER is utilized to complete the FY 2019-2020 Annual Update. PEI component sections were identified in the approved ARER for FY 2018-2019 and will be utilized to complete the Annual Update for FY 2019- 2020.</li> <li>MHSA Staff and leadership for SCBHRS will confirm program names listed in the PEI component section of the approved FY 2019-2020</li> </ol> </li> </ul>	The submitted plan is accepted.
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Annual Update are correct and
match the budget pages and
names from the approved
ARER from FY 2018-2019; if
the program or service did not
occur a zero will be reflected in
ARER, any discrepancies or
name changes will be
-
explained in the approved
Update.
3. Throughout the process to
write and review the Three
Year Program and Expenditure
Plan for FY 2020-2023
(process begins yearly in July
following the annual
submission and goes through
March), SCBHRS will confirm
program names listed in the
PEI component section are
correct and match the ARER
for FY 2019-2020 that will be
submitted in January of 2021
per the Behavioral Health
Information Notice (BHIN) 20-
044; this process will continue
for each subsequent year and
explained in the Update.
4. SCBHRS will request Training
and Technical Assistance from
the Policy, Monitoring, &

Financing Section of DHCS to
ensure compliance with
naming conventions and
template guidelines due to
current template guidance for
the ARER and the Annual
Update, specifically in the PEI
section, This will be requested
in December of 2020.
5. As a result, SCBHRS will
ensure that the PEI component
names are correct and match
future ARERs for FY
2020/2021, 2021/2022, and 2022/2023 as well as Annual
Updates and Three-Year
Program and Expenditure
Plans.
6. Form 5510 was submitted to
DHCS on August 28, 2020
however due to signature
specifications DHCS
requested a new form with
electronic signature. This was
submitted September 3, 2020;
to request late submission of
the Annual Update and Three-
Year Program and Expenditure
Plan by July 1, 2021.
7. The FY 2019-2020 Annual
Update Local Review process
will begin in February of 2021.
8. The FY 2019-2020 Annual
Update will be approved by

Per t	Per the County Performance Contract Review Report for Review Dates March 3 – 5, 2020				
			June of 2021 for submission by July 1, 2021. 9. On or before July 1, 2021 SCBHRS will submit evidence of Finding #3 to DHCS for confirmation.		
Finding #4	The approved FY 2017-20 Plan does not identify that there is an Access and Linkage to Treatment Program under the PEI component. The approved FY 2017-20 Plan describes the Aging and Veterans Services Program under the Early Intervention Program component. The FY 2018-19 ARER lists the Aging and Veterans Services Program as an Access and Linkage to Treatment Program. (Cal. Code of Regs., tit. 9, § 3705).	The County must identify each program funded with PEI funds as a Prevention Program, and Early Intervention Program, Outreach for Increasing Recognition of Early Signs of Mental Illness Program, Stigma and Discrimination Reduction Program, Access and Linkage to Treatment Program, or Suicide Prevention	Correction Action Step: SCBHRS will identify that each program funded with PEI funds as a Prevention Program, an Early Intervention Program, Outreach for Increasing Recognition of Early Signs of Mental Illness Program, Stigma and Discrimination Reduction Program, Access and Linkage to Treatment Program, or Suicide Prevention Program (if applicable) in the approved FY 2020-23 Plan and FY 2019-20 Update and each subsequent Plan, Update and ARER thereafter. Timeline Annual Update: 1. The ARER for FY 2018-2020 was submitted and approved by DHCS in December January of 2020, this ARER is utilized to complete the FY 2019-2020 Annual Update. PEI funded programs were	The submitted plan is accepted	

Program (if

applicable), in the approved FY

2020-23 Plan and

PEI funded programs were

ARER for FY 2018-2019 and will be utilized to complete the

identified in the approved

# **Stanislaus County Plan of Correction**

	FY 2019-20 Update and each subsequent Plan, Update and ARER thereafter.	<ul> <li>Annual Update for FY 2019-2020.</li> <li>MHSA Staff and leadership for SCBHRS will confirm that PEI funded program are identified as a Prevention Program, an Early Intervention Program, an Early Intervention Program, Outreach for Increasing Recognition of Early Signs of Mental Illness Program, Stigma and Discrimination Reduction Program, Access and Linkage to Treatment program or Suicide Prevention Program (if applicable) program names listed and documented appropriately in the approved FY 2019-2020 Annual Update and that these programs are identified as they are in the ARER from FY 2018-2019.</li> <li>Throughout the process to write and review the Three Year Program and Expenditure Plan for FY 2020-2023 (process begins yearly in July following the annual submission and goes through.</li> </ul>

identified accurately as they
are in the approved ARER for
FY 2019-2020 that will be
submitted in January of 2021
per the Behavioral Health
Information Notice (BHIN) 20-
044; this process will continue
for each subsequent year and
explained in the Update.
4. SCBHRS will request Training
and Technical Assistance from
the Policy, Monitoring, &
Financing Section of DHCS to
ensure compliance with
naming conventions and
template guidelines due to
current template guidance for the ARER and the Annual
Update, specifically in the PEI
section, This will be requested
in December of 2020.
5. As a result, SCBHRS will
ensure that the PEI funded
programs are accurately
identified in the ARERs for FY
2020/2021, 2021/2022, and
2022/2023 as well as Annual
Updates and Three-Year
Program and Expenditure
Plans thereafter.
6. Form 5510 was submitted to
DHCS on August 28, 2020
however due to signature

			<ul> <li>specifications DHCS requested a new form with electronic signature. This was submitted September 3, 2020; to request late submission of the Annual Update and Three- Year Program and Expenditure Plan by July 1, 2021.</li> <li>7. The FY 2019-2020 Annual Update Local Review process will begin in February of 2021.</li> <li>8. The FY 2019-2020 Annual Update will be approved by June of 2021 for submission by July 1, 2021.</li> <li>9. On or before July 1, 2021 SCBHRS will submit evidence of Finding #4 to DHCS for confirmation.</li> </ul>	
Finding #5	Stanislaus County's Workforce, Education and Training (WET) programs/services were not consistent with the approved FY 2017-20 Plan, FY 2018-19 Update and FY 2018-19 ARER. (W&I Code) section 5892(g)).	The County must ensure that the programs listed in the WET component section of the approved FY 2020-23 Plan and FY 2019-20 Update, and each subsequent year thereafter, are consistent with	<b>Correction Action Step:</b> SCBHRS will ensure that the programs listed in the WET component section of the approved FY 2020-23 Plan and FY 2019-20 Update, and each subsequent year thereafter, are consistent with the budget pages and ARER. If the program or service did not occur, SCBHRS will report the program or service on the ARER by indicating zero expenditures. Any discrepancies or name changes will be explained in the approved Update.	The submitted plan is accepted

	the budget pages and ARER. If the program or service did not occur, report the program or service on the ARER and indicate zero expenditures. Any discrepancies or name changes must be explained in the approved Update.	<ul> <li>Timeline Annual Update: <ol> <li>The ARER for FY 2018-2020</li> <li>was submitted and approved</li> <li>by DHCS in December</li> <li>January of 2020, this ARER is</li> <li>utilized to complete the FY</li> <li>2019-2020 Annual Update.</li> <li>WET component sections</li> <li>were identified in the approved</li> <li>ARER for FY 2018-2019 and</li> <li>will be utilized to complete the</li> <li>Annual Update for FY 2019-2020.</li> </ol> </li> <li>MHSA Staff and leadership for SCBHRS will confirm that the programs listed in the WET component section of the approved FY 2019-2020</li> <li>Annual Update are correct and match the budget pages and names from the approved</li> <li>ARER from FY 2018-2019; if the program or service did not occur a zero will be reflected in ARER, any discrepancies or name changes will be explained in the approved Update.</li> <li>Throughout the process to write and review the Three Year Program and Expenditure</li> </ul>	
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Plan for FY 2020-2023 (process begins yearly in July
following the annual
submission and goes through
March), SCBHRS will confirm
programs listed in the WET
component section are correct
and match the ARER for FY
2019-2020 that will be
submitted in January of 2021
per the Behavioral Health
Information Notice (BHIN) 20-
044; this process will continue
for each subsequent year and
explained in the Update.
4. SCBHRS will ensure that the
WET programs listed are correct and match future
ARERs for FY 2020/2021,
2021/2022, and 2022/2023 as
well as Annual Updates and
Three-Year Program and
Expenditure Plans.
5. Form 5510 was submitted to
DHCS on August 28, 2020
however due to signature
specifications DHCS
requested a new form with
electronic signature. This was
submitted September 3, 2020;
to request late submission of

			<ul> <li>the Annual Update and Three- Year Program and Expenditure Plan by July 1, 2021.</li> <li>6. The FY 2019-2020 Annual Update Local Review process will begin in February of 2021.</li> <li>7. The FY 2019-2020 Annual Update will be approved by June of 2021 for submission by July 1, 2021.</li> <li>8. On or before July 1, 2021 SCBHRS will submit evidence of Finding #5 to DHCS for confirmation.</li> </ul>	
Suggested Improvement Item #1	MHSA Policies, Procedures, Evaluation and Training	Suggested Improvement #1: DHCS recommends the County develop and implement an MHSA training program and identify processes and supports including: a) Policies and procedures that incorporate MHSA general principles. b) Requirements and components	SCBHRS will review the suggested improvements and identify current training programs and processes that support building MHSA understanding and knowledge in the areas of: ma) Policies and procedures that incorporate MHSA general principles b) Requirements and components (CPPP, CSS (FSP/GSD/O&E), PEI, INN, WET, CFTN) c) Funding and reporting requirements d) Plans and Updates e) Other needs such as staffing, performance objectives and outcomes. Due to competing deadlines with DHCS on the implementation and execution of audit findings SCBHRS	The submitted plan is accepted.

			January 28, 2022. At this time, Stanislaus County BHRS will not implement any of the suggested improvements, due to increased and on-going staffing and operational impacts from the COVID-19 pandemic and implementation of the Department's Strategic Plan, approved by the Board of Supervisors on March 31, 2021 (Resolution No. 2021-0136).	
Suggested Improvement Item #1a	MHSA Policies, Procedures, Evaluation and Training	Suggested Improvement #1a: The training should also address how the county will evaluate the effectiveness of programs/services they deliver and their on-going quality improvement strategies.	SCBHRS will work internally to review current evaluation practices around effectiveness of programs and services as well as ongoing improvement strategies to determine areas of strengths or improvement opportunities and how these are communicated throughout MHSA Service Delivery Components. Due to competing deadlines with DHCS on the implementation and execution of audit findings SCBHRS will commence the review of this suggested improvement in the new program cycle/fiscal year 2021-2022 that begins July 1, 2021 in alignment with the MHSA Annual Update and Three-Year Plan for 2020-2023.	The submitted plan is accepted-

Suggested	MHSA Policies,	Suggested	An internal review summary of suggested improvement one (a) will be added to the suggested improvement number one on January 28, 2022. 02.17.2022 Revised: According to the approved Plan of Correction, BHRS committed to review the Suggested Improvements, evaluate any programmatic recommendations, and reply by January 28, 2022. At this time, Stanislaus County BHRS will not implement any of the suggested improvements, due to increased and on-going staffing and operational impacts from the COVID-19 pandemic and implementation of the Department's Strategic Plan, approved by the Board of Supervisors on March 31, 2021 (Resolution No. 2021-0136).	The submitted
Improvement Item #1b	Procedures, Evaluation and Training	Improvement #1b: DHCS recommends MHSA training for all mental health employees and service providers	improvement and explore the need and feasibility in creating an MHSA training for all mental health employees and service providers involved in complete delivery of services to recipients of MHSA programs. Current engagement with	plan is accepted.

Stanislaus County Plan of Correction
Per the County Performance Contract Review Report for Review Dates March 3 – 5, 2020

involved in	SCBHRS Mental Health Employees	
complete delivery	and Services Providers does include	
of services to	general knowledge and expectations	
recipients of	of MHSA and how these relate within	
MHSA programs;	their scope of work and practices.	
and	SCBHRS will have to conduct an	
documentation of	assessment of how documentation of	
annual training.	these practices is currently being	
g.	captured or how they can be included	
	and/or developed.	
	Due to competing deadlines with	
	DHCS on the implementation and	
	execution of audit findings SCBHRS	
	will commence the review of this	
	suggested improvement in the new	
	program cycle/fiscal year 2021-2022	
	that begins July 1, 2021 in alignment	
	with the MHSA Annual Update and	
	Three-Year Plan for 2020-2023.	
	An internal review summary of	
	suggested improvement one (b) will	
	be added to the suggested	
	improvement number one on January	
	<del>28, 2022</del> .	
	L0, L0LL.	
	02.17.2022 Revised:	
	According to the approved Plan of	
	Correction, BHRS committed to	
	review the Suggested Improvements,	
	evaluate any programmatic	
	recommendations, and reply by	

			January 28, 2022. At this time, Stanislaus County BHRS will not implement any of the suggested improvements, due to increased and on-going staffing and operational impacts from the COVID-19 pandemic and implementation of the Department's Strategic Plan, approved by the Board of Supervisors on March 31, 2021 (Resolution No. 2021-0136).	
Suggested Improvement Item #1c	MHSA Policies, Procedures, Evaluation and Training	Suggested Improvement #1c: DHCS recommends MHSA training to all new employees; and documentation of annual training.	SCBHRS will utilize the above process and timeline and in addition will explore coordinating any resulting training initiative with our Human Resources department and their onboarding process. 02.17.2022 Revised: At this time, Stanislaus County BHRS will not implement any of the suggested improvements, due to increased and on-going staffing and operational impacts from the COVID- 19 pandemic and implementation of the Department's Strategic Plan, approved by the Board of Supervisors on March 31, 2021 (Resolution No. 2021-0136).	The submitted plan is accepted.

Suggested Improvement Item #2	MHSA Documentation	Suggested Improvement #2: DHCS recommends client's signature on the Individual Service and Support Plan (ISSP)/Treatment Plan be accessible for viewing in the Electronic Health Record (EHR) to verify client has signed the agreement as documented in the file.	SCBHRS will review how the ISSP/Treatment Plan are captured in the Electronic Health Record (EHR) as well as the suggested improvement to determine if an adjustment needs to be made and/or if technical and training assistance is needed to further understand this suggested improvement. Due to competing deadlines with DHCS on the implementation and execution of audit findings SCBHRS will commence the review of this suggested improvement in the new program cycle/fiscal year 2021-2022 that begins July 1, 2021 in alignment with the MHSA Annual Update and Three-Year Plan for 2020-2023. After review, SCBHRS will include a summary of steps taken to review suggested improvement number two in the summary that will be submitted on January 28, 2022. 02.17.2022 Revised:	The submitted plan is accepted.
			on January 28, 2022. 02.17.2022 Revised: According to the approved Plan of Correction, BHRS committed to	
			review the Suggested Improvements, evaluate any programmatic recommendations, and reply by January 28, 2022. At this time,	

			Stanislaus County BHRS will not implement any of the suggested improvements, due to increased and on-going staffing and operational impacts from the COVID-19 pandemic and implementation of the Department's Strategic Plan, approved by the Board of Supervisors on March 31, 2021 (Resolution No. 2021-0136).	
Suggested	MHSA Clarity and	Suggested	As part of our plan for corrections	The submitted
Improvement Item #3	Redundancy	Improvement #3: DHCS	listed for our audit findings previously submitted, SCBHRS review and edit	plan is accepted.
		recommends the	our Plan and Update for clarity and	dooptou.
		county review and	redundancy. The process and	
		edit their Plans	timelines to do this are included	
		and Updates for	throughout Findings number one	
		clarity and	through five.	
		redundancy.		
		There were	02.17.2022 Revised:	
		multiple instances where it	According to the approved Plan of	
		was difficult for	Correction, BHRS committed to	
		the reader to	review the Suggested Improvements,	
		comprehend the	evaluate any programmatic	
		content due to	recommendations, and reply by	
		discrepancies and	January 28, 2022. At this time,	
		redundancy	Stanislaus County BHRS will not	
		throughout	implement any of the suggested	
		the document. An	improvements, due to increased and	
		example, in the	on-going staffing and operational	
		FY	impacts from the COVID-19	

Stanislaus County Plan of Correction
Per the County Performance Contract Review Report for Review Dates March 3 – 5, 2020

2018-19 Update:	pandemic and implementation of the	
	Department's Strategic Plan,	
Clarity	approved by the Board of Supervisors	
a. It is stated that	on March 31, 2021 (Resolution No.	
the county has	2021-0136).	
five PEI program		
categories versus		
the required six.		
Access and		
Linkage was not		
identified as a		
PEI required		
category (p 65).		
b. The Aging and		
Veteran's		
Services is		
identified as a		
program under		
the PEI Early		
Intervention		
category (p 69).		
c. The FY 2018-		
19		
ARER identifies		
the		
Aging and		
Veterans		
Services as the		
Access and		
Linkage PEI		
category.		
Clarity and		
Redundancy		

· · · · · · · · · · · · · · · · · · ·	
	a. It is stated that
	PEI regulations
	require at least
	one program is
	dedicated to
	Access and
	Linkage. West
	Modesto King
	Kennedy Center
	has been
	identified as the
	program with the
	focus (p 70).
	b. It is stated that
	PEI regulations
	require at least
	one program be
	dedicated to
	Access and
	Linkage. West
	Modesto Early
	Intervention has
	been identified as
	the program with
	the focus (p75).
	c. It is stated that
	PEI regulations
	require at least
	one program is
	dedicated to
	Access and
	Linkage. West
	Modesto King
	Kennedy Center

has been
identified as the
program with the
focus (p 82).
d. It is stated that
PEI regulations
require at least
one program be
dedicated to
Access and
Linkage. West
Modesto King
Kennedy
Neighborhood
Collaborative
County Based -
Early Intervention
Services
(WMKKNCCBEIS)
has been
identified as the
program with the
focus (p 86).