



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

March 16, 2010

DMH INFORMATION NOTICE NO.: 10-04

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

SUBJECT: CLARIFICATION AND MODIFICATIONS TO ENCLOSURE 1,
EXHIBITS C1, D, E4, F3, F4, F5 AND ADDITIONAL EXHIBIT I
FOR THE PROPOSED GUIDELINES FOR THE MENTAL HEALTH
SERVICES ACT (MHSA) FISCAL YEAR 2010/11 ANNUAL
UPDATE TO THE THREE-YEAR PROGRAM AND
EXPENDITURES PLAN

REFERENCE: WELFARE AND INSTITUTIONS CODE SECTION 5847,
SUBDIVISION (b)

This Department of Mental Health (DMH) Information Notice provides an update and clarification to Counties¹ about policies related to the Proposed Guidelines for the Mental Health Services Act (MHSA) Fiscal Year (FY) 2010/11 annual update to the Three-Year Program and Expenditure Plan released on January 19, 2010. (Information Notice No. 10-01) This has been prepared to summarize the changes made by DMH and the Mental Health Services Oversight and Accountability Commission (MHSOAC) to some exhibits as a result of Counties' questions and inquiries on the exhibits released. Please continue to use the exhibits in Information Notice No. 10-01, unless the exhibit has been replaced with one of the exhibits listed below. Specifically, this Information Notice addresses the following topics:

1. Enclosure 1, Exhibit Listing and Instructions
2. Exhibit C1, Implementation Progress Report on FY 08/09 Activities
3. Exhibit D, Previously Approved Program for Community Services and Supports (CSS), Workforce Education and Training (WET), Prevention and Early Intervention (PEI), and Innovation (INN) components
4. Exhibit E4, PEI Budget Summary

¹ "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 (Cal. Code Regs. Tit. 9, § 3200.090).

5. Exhibit F3, TN New and Existing Project Description
6. Exhibit F4, PEI New Program Description
7. Exhibit F5, INN New Program Description
8. Exhibit I, Training, Technical Assistance and Capacity Building Funds Request Form (Prevention and Early Intervention Statewide Project)

Below is a summary of the revisions and clarifications made to the FY 2010/11 annual update to the Three-Year Program and Expenditure Plan:

Enclosure 1: Exhibit Listing and Instructions

This exhibit has been updated to reflect the addition of Exhibit I.

Exhibit C1: Implementation Progress Report on FY 08/09 Activities

This exhibit has been modified to include the following:

- Instructions for this Exhibit have been developed and are included in this Information Notice.
- A check box has been added to indicate if PEI activities have not been implemented.
- Since Counties already report the numbers of individuals served on Exhibit 6² for CSS programs and this information is already broken down by service categories and the number of clients served by age group, we will not be requiring Counties to report by age group for CSS. Thus, the age group section for the CSS component is shaded.
- For the "Race/Ethnicity" and "Other Cultural Groups" sections, Counties should provide an estimate of these populations the County serves. Also, if a County collects data on other ethnic groups, this additional information can be attached to Exhibit C1. If Counties are not collecting this data, the County should provide an explanation why the data is not being collected and describe their plans to start collecting Race/Ethnicity data.
- For the "Primary Language" section, English has been added to the list as it was inadvertently omitted.
- Note that age groups are now defined and instructions for C1 add the following note: For PEI, please report data that is available. Do not reorganize County data to fit the form; rather include a brief explanation of the data that is being provided. Due to late implementation of the PEI component, a County may state that data is not available.
- Question #4 includes clarification that responses must be in short narrative fashion.

Counties that wish to receive funding for previously approved program(s) during FY 10/11 should complete Exhibit D and Exhibit E accordingly.

² Refers to Exhibit 6 released with DMH Letter No. 05-05, dated August 1, 2005.

Exhibit D: Previously Approved Program for Community Services and Supports (CSS), Workforce Education and Training (WET), Prevention and Early Intervention (PEI), and Innovation (INN) components

Current policy outlined in Information Notice No. 10-01 states: Existing CSS/WET Programs proposed to be consolidated, expanded or reduced are considered previously approved programs if both of the following criteria are met:

- The consolidated/expanded/reduced program serves the same target populations with the same services/strategies/activities as approved in the County's most recent Plan or update.
- The amount of funds the County is requesting for the consolidated program is within 15 percent of the sum of the previously approved programs being consolidated (it can be 15% more or 15% less than the previously approved funding amount) or
- The amount of funds the County is requesting for the expanded/reduced program is within 15 percent of the amount that was previously approved for the program (it can be 15% more or 15% less than the previously approved funding amount).

As a result of recent discussions, Counties will be required to provide an explanation in Exhibit D if the $\pm 15\%$ criteria is not met and only when the following circumstances apply:

- If a County's Three-Year Program and Expenditure Plan update for FY 09/10 included a program(s) budget which included non-recurring expenditures (e.g. one-time or start-up costs) that exceeded the $\pm 15\%$ threshold, this program will be considered previously approved and the County should indicate in Exhibit D, question #4(a), about the program's budget difference from FY 09/10 to FY 10/11.
- If a County's Three-Year Program and Expenditure Plan update for FY 09/10 for CSS and/or WET program(s) requested funding for a partial year for FY 09/10 and the FY 10/11 is a full-year which would exceed the $\pm 15\%$ threshold, this program will be considered previously approved and the County should indicate in Exhibit D, question #4(a), about the program's budget difference from FY 09/10 to FY 10/11.
- Counties that wish to request unapproved funds for their WET components and intend to spend the funds over several years should annualize the budget for each previously approved WET program in its respective Exhibit D, question #4(a). For new programs, Counties should complete Exhibit F1. Also, Counties should include the overall total for each WET program in Exhibit E2.

Current policy outlined in Information Notice No. 10-01 states: Existing PEI programs proposed to be consolidated, expanded or reduced are considered previously approved programs if both of the following criteria are met:

- The program continues to serve the same Key Community Mental Health Needs and Priority Populations with programs that are consistent with the most recently approved Plan or update; and
- The amount of funds the County is requesting for the program is not greater than 15 percent (15%) or less than 35 percent (35%) of funds previously approved for the program. (Due to the significant decrease in PEI Component Allocations³ (previously known as "Planning Estimates"), the percentage is different for PEI than for the other components to allow for flexibility.)

Existing PEI Programs proposed to be consolidated are considered previously approved programs if both of the following criteria are met:

- It continues to address the same Key Community Mental Health Needs and serve the same Priority Populations with programs that are consistent with the most recently approved Plan or update and
- It continues to serve the same estimated number of individuals.

The consolidated previously approved PEI program does not have to meet the funding limits of not greater than 15 percent (15%) or less than 35 percent (35%) of previously approved costs.

Consistent with the PEI Guidelines, the County must include in its annual update programs that address all age groups, and a minimum of 51 percent of the County's total PEI funds must be used to serve individuals who are under 25 years of age. Small counties, as defined in Title 9 of the California Code of Regulations section 3200.260, are exempt from these requirements.

Counties will be required to provide an explanation in Exhibit D if the + 15% or -35% criteria is not met and only when the following circumstances apply:

- If a County's Three-Year Program and Expenditure Plan update for FY 09/10 included a program(s) budget which included non-recurring expenditures (e.g. one-time or start-up costs) that exceeded the + 15% or -35% threshold, this program will be considered previously approved and the County should provide in Exhibit D, question #5a, a short explanation about the program's budget difference from FY 09/10 to FY 10/11.

³ The term "Planning Estimate" has been replaced by the more accurate term "Component Allocation". Component Allocation has the same meaning as Planning Estimate: an amount of MHSAs funds that is made available to the County for a component of the Three-Year Program and Expenditure Plan during a fiscal year, or other specified time period, as published by the Department.

- If a County's Three-Year Program and Expenditure Plan update for FY 09/10 requested PEI funding for a partial year for FY 09/10, FY 10/11 is a full year and the funds requested for a PEI program in 10/11 exceed the + 15% or -35% threshold, this program will be considered previously approved and the County should provide in Exhibit D, question #5a, a short explanation about the program's budget difference from FY 09/10 to FY 10/11.

Current policy outlined in Information Notice No. 10-01 states: Existing INN Programs proposed to be consolidated, expanded or reduced are considered previously approved programs if both of the following criteria are met:

- It continues to address the same essential purpose(s) and key learning goals using programs or strategies consistent with the most recently approved Plan, annual update, or update; and
- The amount of funds the County is requesting for the program is within 15 percent (15%) of the amount previously approved for the program (it can be 15% more or 15% less than the previously approved funding amount).

Counties will be required to provide an explanation in Exhibit D if the \pm 15% criteria is not met and only when the following circumstances apply:

- If a County's Three-Year Program and Expenditure Plan update for FY 09/10 included a program(s) budget which included non-recurring expenditures (e.g. one-time or start-up costs) that exceeded the \pm 15% threshold, this program will be considered previously approved and the County should provide in Exhibit D, question #4a, a brief explanation about the program's budget difference from FY 09/10 to FY 10/11.
- If a County's Three-Year Program and Expenditure Plan update for FY 09/10 requested INN funding for a partial year for FY 09/10, FY 10/11 is a full year and the funds requested for an INN program in 10/11 exceed the \pm 15% threshold, this program will be considered previously approved and the County should provide in Exhibit D, question #4, a brief explanation about the program's budget difference from FY 09/10 to FY 10/11.

Question #5b for PEI has been revised to two categories "Prevention" and "Early Intervention", and the questions for INN have been streamlined from six to four questions.

Note that the criteria for previously approved programs still apply for CSS, WET, PEI, and INN components. Counties that do not wish to fund a program(s) in this fiscal year but would like the program listed as part of the FY 10/11 annual update request should list the

program(s) in Exhibit E as previously approved but should not enter a funding amount for FY 10/11.

Exhibit E4: PEI Budget Summary

This exhibit has been revised to report estimated MHSA funds by prevention and early Intervention (the sub-categories of "Universal" and "Selected/Indicated" prevention have been eliminated). Also, a formula has been included for calculating whether the majority of funds are directed towards individuals under age 25. The instructions provide additional information for Shasta, Nevada and San Joaquin Counties regarding requests for PEI statewide project funds.

Exhibit F3: TN New and Existing Project Description

The Exhibit F3 originally published as Enclosure 18 with Information Notice No.10-01 is being replaced in its entirety by Exhibit F3, which is published with this Information Notice.

Exhibit F4: PEI New Program Description

Question #4 - Activities has been categorized as Prevention and Early Intervention.

Exhibit F5: INN New Program Description

Questions #1, 2, 3 and 4 have been revised for clarification.

Exhibit I: Training, Technical Assistance and Capacity Building Funds Request Form (Prevention and Early Intervention Statewide Project)

Exhibit I is included to allow Counties to request additional Training, Technical Assistance and Capacity Building Funds.

If you have questions about the CSS, CF, and/or WET components, please contact your MHSA Plan review representative identified on the following DMH website:

http://www.dmh.ca.gov/Services_and_Programs/Local_Program_Support/default.asp

If you have questions about Technological Needs, please email your questions to DMH.MHSA-IT@dmh.ca.gov or contact an MHSA IT representative identified on the following DMH website: http://www.dmh.ca.gov/Prop_63/MHSA/Technology/contact.asp

If you have questions about the PEI and/or INN component(s), please contact the MHSOAC at (916) 445-8696.

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DMH and the MHSOAC are committed to the Counties' success and support the successful development and implementation of their MHSA FY 10/11 annual update to the Three-Year Program and Expenditure Plan.

Sincerely,

Original Signed by

STEPHEN W. MAYBERG, Ph.D.
Director

Enclosures (1)

cc: California Mental Health Planning Council
California Mental Health Directors Association
Mental Health Services Oversight and Accountability Commission
Deputy Director, Community Services Division