

**Prevention & Early Intervention (PEI)
Programs and Innovative (INN) Projects**

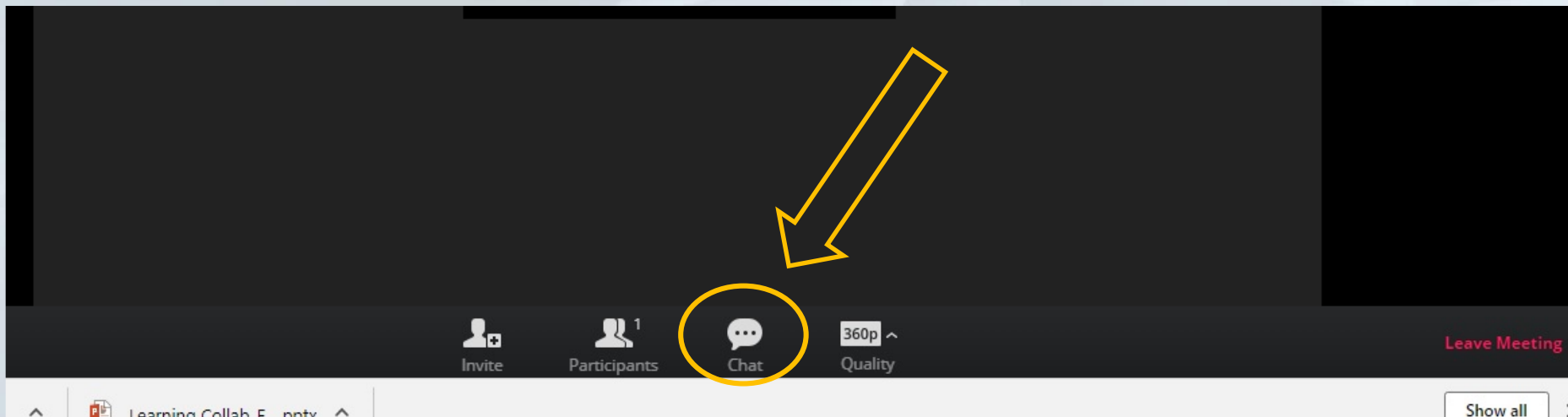
Regulations Amendments

(Effective July 2018)

September 6, 2018

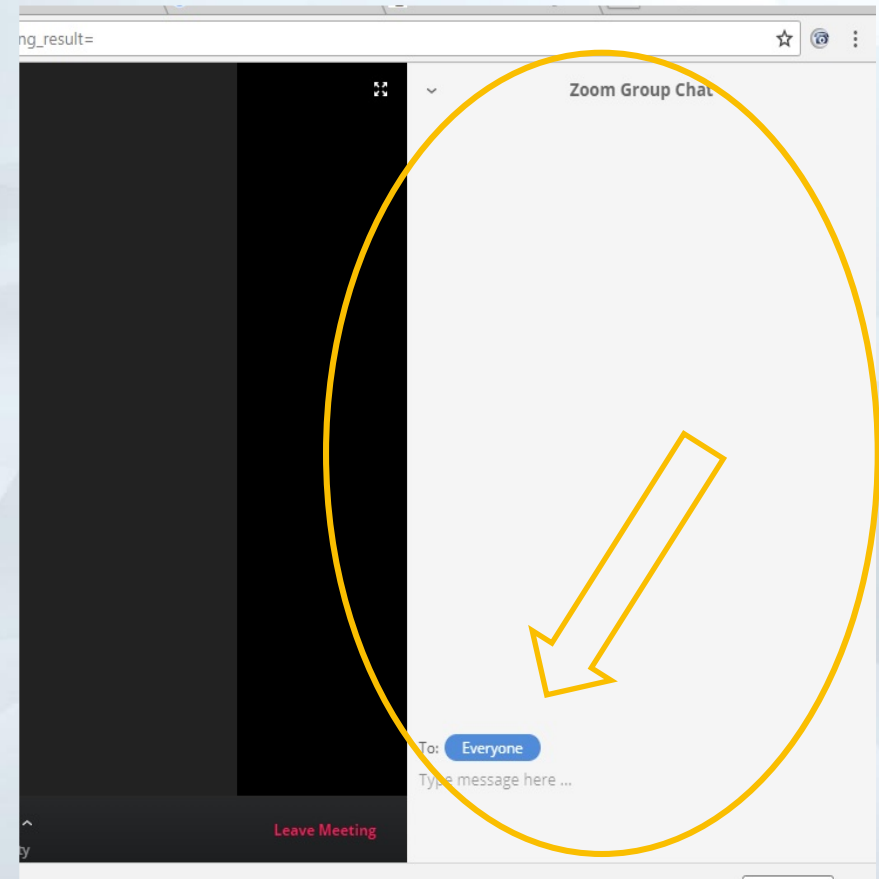
Asking Questions

- Move cursor towards bottom of screen to access icons
- Utilize “Chat” function to submit questions throughout the meeting



Asking Questions (CONTINUED)

- Upon clicking on “Chat,” a window should appear, either as a side pane or pop-out
- Default setting will be “Everyone,” indicating your question will be viewable to all
 - Reduces redundancies
 - Encourages transparency
- To ask a private question to host, click on blue icon and select “Host only”
 - Recommended for technical or individualized questions



Overview of Amended Areas

❖ PEI Report Name Changes

- ~~The Annual PEI Program and Evaluation Report~~
The Annual PEI Report
- ~~The Three-Year PEI Program and Evaluation Report~~
The Three-Year PEI Evaluation Report

❖ INN & PEI Report Due Dates

❖ PEI Program Clarifications

- Access & Linkage to Treatment Program/Strategy
- Improve Timely Access to Services for Underserved Populations
Program/Strategy

❖ Children, Youth, and Minors – Demographic Data

❖ Counties with a Population Under 100,000 – Combined/Integrated Program Option and Requirements

Report Due Dates

**INN Project Reports
PEI Program Reports**

Overview of INN & PEI Reports

Due within 30 calendar days of BOS approval, but no later than **June 30th** of the following FY being reported (*whichever comes first*)

Three-Year Program
& Expenditure Plan
OR
Annual Update

- Within 30 calendar days of BOS approval, but no later than **June 30th** of the following FY (*whichever comes first*)

Annual INN Project
Report
(if applicable)

- Within 30 calendar days of BOS approval, but no later than **June 30th** of the following FY being reported (*whichever comes first*)

Final INN Report
(if applicable)

- ✱ Within six (6) months of project completion, **OR** as part of the Three-year Plan or Annual update (*whichever is closest to project completion date*)

Annual PEI Report

- Within 30 calendar days of BOS approval, but no later than **June 30th** of the following FY being reported (*whichever comes first*)

Three-Year PEI
Evaluation Report

- Within 30 calendar days of BOS approval, but no later than **June 30th** of the following FY being reported (*whichever comes first*)

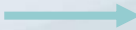



MHSA PEI & INN Reports




† Submission Deadline		* Annual PEI Report		* 3-Yr PEI Evaluation Report		* Annual INN Project Report		** INN Final Report	
		Data from FY (YY-YY)		Data from FY (YY-YY)		Data from FY (YY-YY)			
6/30/19				X	+16-17 17-18	X	17-18		
6/30/20		X	18-19			X	18-19		
6/30/21		X	19-20			X	19-20		
6/30/22				X	18-19 19-20 20-21	X	20-21		
6/30/23		X	21-22			X	21-22		
6/30/24		X	22-23			X	22-23		
6/30/25				X	21-22 22-23 23-24	X	23-24		

- * Submit with either the 3-Year Program & Expenditure Plan or Annual Update, per §3560.010(a)(1), §3560.020(a)(1), & §3580(a)(1)(A)
- ** Include data from the entire length of the INN Project. Submit within a 3-Year Program & Expenditure Plan, Annual Update, or as a separate report within 6 months from completion per §3580(a)(2)(A)
- + Include FY 16-17 data if available per §3560.020(a)(1)
- † Submit reports within 30 calendar days of BOS approval, but NO LATER THAN June 30th of the following FY (whichever comes first)

Due Date Example: 6/30/19

- Annual INN Project Report (for active INN projects only)
- Annual Update




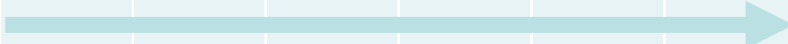


Table Legend:		Data to report on		Previous Report DEADLINE (FY 16/17)
		Time frame within which report is due		Upcoming New Report DEADLINE (FY 17/18)
				No Report Due

2017	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
												
2018	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
												
2019	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
												

Due Date Example: 6/30/19 (CONTINUED)

Three-Year PEI Evaluation Report

Table Legend:		Data to report on, <i>if available</i>
		Data to report on
		Time frame within which Report is due

2016	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
												
2017	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
												
2018	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
												
2019	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
												

Three-Year PEI Evaluation Report Clarification

Upcoming Three-Year PEI Evaluation Report should report on data from FY 17/18

- FY 16/17 data may be included **if available**
- FY 15/16 not included **for upcoming report only**

*The **first** Three-Year Prevention and Early Intervention Evaluation Report [due no later than June 30, 2019] shall report the required evaluations from fiscal year **2017-2018** and from fiscal year **2016-2017 if available**.*

Section
3560.020(a)(1)

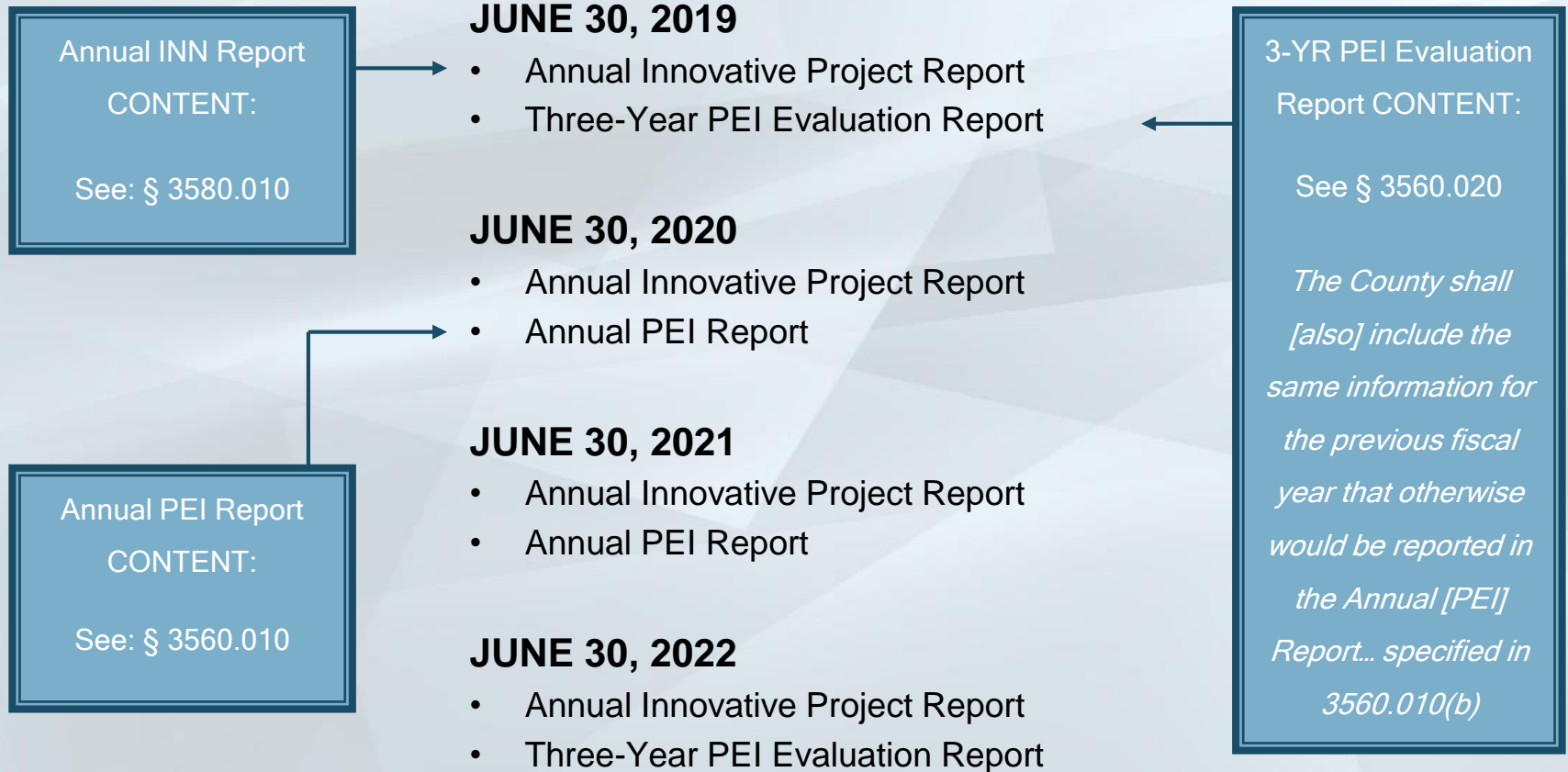
***Each subsequent** Three-Year [PEI] Evaluation Report... shall report on the evaluations for the **three prior fiscal years**.*

Example: **Next** Three-Year PEI Evaluation Report

- Due within 30 calendar days of BOS approval, but no later than **June 30, 2022** (whichever comes first)
- Data should be from FY 18/19, FY 19/20, and FY 20/21

Recap of Future INN & PEI Report Deadlines

WITHIN 30 CALENDAR DAYS OF BOS APPROVAL, BUT NO LATER THAN:



Naming Convention: Reports, Plans, & Updates

When submitting County reports, plans, & updates, please use the following naming convention.

Report/Plan/Update	Convention	Example
Annual Innovative Project Report	CountyName_INN_FYFY.ext	Ex) Sonoma_INN_1819.xls
*Supplemental Report or Supplement: Annual Innovative Project Report	CountyName_INN_FYFY_SUP.ext	Ex) Madera_INN_1819_SUP.pdf
Final Innovative Project Report	CountyName_INN_Final_ProjectAcronym.ext	Ex) Kern_INN_Final_TechSuite.xls
*Supplemental Report or Supplement: Final Innovation Project Report	CountyName_INN_Final_ProjectAcronym_SUP.ext	Ex) Kern_INN_Final_TechSuite_SUP.pdf
Annual Prevention & Early Intervention Report	CountyName_PEI_FYFY.ext	Ex) Alameda_PEI_1819.xls
*Supplemental Report or Supplement: Annual Prevention & Early Intervention Report	CountyName_PEI_FYFY_SUP.ext	Ex) Ventura_PEI_1819_SUP.pdf
3 Year PEI Evaluation Report	CountyName_3Y_PEI_Eval_FYFY.ext	Ex) SanMateo_3Y_PEI_Eval_1618.xls*
Supplemental Report or Supplement: 3 Year PEI Evaluation Report	CountyName_3Y_PEI_Eval_FYFY_SUP.ext	Ex) SantaClara_3Y_PEI_Eval_1618_SUP.pdf
3 Year Program & Expenditure Plan	CountyName_3Y_Plan_FYFY.ext	Ex) Mono_3Y_Plan_2023.xls
*Supplemental Report or Supplement: 3 Year Program & Expenditure Plan	CountyName_3Y_Plan_FYFY_SUP.ext	Ex) Sierra_3Y_Plan_2023_SUP.pdf
Annual Update	CountyName_Ann_Update_FYFY.ext	Ex) Alameda_Ann_Update_1819.xls
*Supplemental Report or Supplement: Annual Update	CountyName_Ann_Update_FYFY_SUP.ext	Ex) Ventura_Ann_Update_1819_SUP.pdf

***When personally identifiable (i.e., HIPAA) information is submitted separately, use the Supplemental Report or Supplement naming convention. [3560.010(a)(3)(A)(1), 3580.010(a)(1)(B)(1)]**

***The upcoming 3 Year PEI Evaluation Report requires only FY 16-17 (if available) & FY 17-18 data, all reports thereafter require data from three (3) fiscal years. The following report due June 30, 2023 will include data from FY 20-21, FY 21-22, FY 22-23. [3560.020(a)(1)]**

Access & Linkage to Treatment

Improve Timely Access to Underserved Populations

Access and Linkage Programs

Differentiation:

For each Access and Linkage to Treatment Strategy or Program, the county shall report:

*Number of individuals with **serious mental illness** who are referred to*

Section
3560.010(b)(3)(B)

*Treatment that is provided, funded, administered, or overseen by
county mental health...*

Section
3560.010(b)(3)(B)(1)

*... and the kind of treatment to which the individual was
referred*

*Treatment that is **not** provided, funded, administered, or
overseen by county mental health...*

Section
3560.010(b)(3)(B)(2)

*... and the kind of treatment to which the individual was
referred*

Access and Linkage Programs

(CONTINUED)

“Referral” Clarification:

REFERRAL as used in this subdivision* means the process by which an individual is given a **recommendation in writing to one or more specific service providers for a higher level of care and treatment**. Distributing a list of community resources to an individual does **not** constitute a referral under this subdivision

Section
3560.010(b)(3)(F)

* Applicable to Access and Linkage Program reporting requirements set forth in Section 3560.010(b)(3)(C) through (E)

Access and Linkage Programs

(CONTINUED)

Funding Source Option:

*An Access and Linkage to Treatment Program may be provided through **other Mental Health Services Act components** as long as it meets all of the requirements in this section*.*

Section
3726(e)

* Refers to Access and Linkage Program requirements set forth in Section 3726(a) through (d)

Improve Timely Access to Services for Underserved Populations Programs

“Referral” Clarification:

REFERRAL as used in this subdivision* means the process by which a member of an underserved population is given a ***recommendation in writing to one or more specific service providers for a Prevention Program, an Early Intervention Program and/or a program providing treatment beyond early onset.*** Distributing a list of community resources to an individual does not constitute a referral under this subdivision.

Section
3560.010(b)(4)(G)

* Applicable to Improve Timely Access Program reporting requirements set forth in Section 3560.010(b)(4)(C) through (F)

Children, Youth, and Minors

PEI & INN Demographic Data

Children, Youth, and Minors

Demographic Clarification

- For projects/programs serving **children or youth younger than 18 years** of age, the demographic information collected and reported should only be done so to the extent permissible by **privacy laws**
- For projects/programs serving **minors younger than 12 years** of age, demographic information shall be collected and reported, **except** for:
 - Sexual orientation
 - Current gender identity
 - Veteran status

INN Section 3580.010(b)
PEI Section 3560.010(c)

INN Section 3580.010(c)
PEI Section 3560.010(d)

Information that cannot be obtained directly from the minor may be obtained from the minor's parent, legal guardian, or other authorized source.

PEI Programs

Counties with a Population Under 100,000

- **Reporting Requirements**
- **Evaluation Requirements**
- **3-Year Plan / Annual Update Requirements**

Counties with Population Under 100,000

REPORTING REQUIREMENTS

*A County with a population **under 100,000**, according to the most recent projection by the California State Department of Finance...*

*... may report the demographic information required for the County's **entire Prevention and Early Intervention Component instead of by each Program or Strategy**.*

Section
3560.010(e)

*... may **opt out** of the requirement to have at least one **Access and Linkage to Treatment Program** if: the County obtains a resolution from the Board of Supervisors that the County cannot meet this requirement.*

Section
3705(a)(4)(A)

*A County that opts out of this requirement shall include in its Three-Year program and Expenditure Plan or Annual Update documentation describing the **rationale** for the County's decision and how the County ensured meaningful **stakeholder involvement** in the decision to opt out.*

Section
3705(a)(4)(B)

Counties with Population Under 100,000

REPORTING REQUIREMENTS (CONTINUED)

*A County with a population **under 100,000**, according to the most recent projection by the California State Department of Finance...*

*...may satisfy the requirements [of having the following 5 required PEI program types] by **combining and/or integrating**:*

Section
3705(c)

1. *The Early Intervention Program*
2. *The Outreach for Increasing Recognition of Early Signs of Mental Illness Program*
3. *The Prevention Program*
4. *The Access and Linkage to Treatment Program*
5. *The Stigma and Discrimination Reduction Program*

*A county that utilizes this provision shall **not** also opt-out of the requirement to have at least one **Prevention Program** or of the requirement to have at least one **Access and Linkage to Treatment Program**.*

Section
3705(c)(1)

Counties with Population Under 100,000

EVALUATION REQUIREMENTS

*A County with a population **under 100,000**, according to the most recent projection by the California State Department of Finance...*

*...may satisfy the requirements of [evaluation for all 6 PEI program types] by **selecting, defining, and measuring appropriate indicators** that the County selects to **evaluate the negative outcomes** referenced in WIC Section 5840, subdivision (d)*, identified in the County's Three-Year Program and Expenditure Plan and/or Annual Update*

Section
3750(k)

* Suicide, incarcerations, school failure or dropout, unemployment, prolonged suffering, homelessness, removal of children from their homes

Counties with Population Under 100,000

3-YEAR PLAN/ANNUAL UPDATE REQUIREMENTS

Section
3755(o)

*A County with a population **under 100,000**, according to the most recent projection by the California State Department of Finance, electing to [combine the 5 required PEI program types] shall include in the... Three-Year Program and Expenditure Plan and Annual Update a description of the **combined and/or integrated** program including, but not limited to:*

(1) Name of the combined and/or integrated program

*(2) Description of **how the five required programs were combined and/or integrated***

Counties with Population Under 100,000

3-YEAR PLAN/ANNUAL UPDATE REQUIREMENTS (CONTINUED)

(3) Identification of the **negative outcomes** referenced in Welfare and Institutions Code Section 5840, subdivision (d)* the combined and/or integrated program is intended to reduce

Section
3755(o)

(4) Description of **how the combined and/or integrated program is likely to reduce the [negative] outcomes identified in part (3) above**

(5) **Identification of the indicators that the County will use to measure the intended [negative] outcomes identified in part (3) above**

* Suicide, incarcerations, school failure or dropout, unemployment, prolonged suffering, homelessness, removal of children from their homes

Counties with Population Under 100,000

3-YEAR PLAN/ANNUAL UPDATE REQUIREMENTS (CONTINUED)

(6) *Explanation of how the combined and/or integrated program will be **implemented** to help **Improve Access to Services for Underserved Populations***

Section 3755(o)

(7) *Explanation of how the combined and/or integrated program will use **Strategies** that are **Non-Stigmatizing and Non-Discriminatory***

(8) *Estimated **numbers** of children, adults, and seniors, respectively, to be served in the combined and/or integrated program*

Counties with Population Under 100,000

3-YEAR PLAN/ANNUAL UPDATE REQUIREMENTS (CONTINUED)

Section 3755(o)

(9) List of the **projected expenditures** for the **combined and/or integrated** program funded with Prevention and Early Intervention funds by fiscal year and by the following sources of funding:

- (A) Estimated total mental health expenditures
- (B) Prevention and Early Intervention funds
- (C) Medi-Cal Federal Financial participation
- (D) 1991 Realignment
- (E) Behavioral Subaccount
- (F) Any other funding

(10) Estimated amount of Prevention and Early Intervention funds budgeted for **Administration** of the Prevention and Early Intervention Component.

Summary

❖ INN & PEI Report Due Date

- Within 30 calendar days of BOS approval, but no later than June 30th of the following FY being reported (whichever comes first)

❖ PEI Program Clarifications

- Referral differentiation and definition clarification

❖ Children, Youth, and Minors – Demographic Data

- Data collection & reporting per privacy laws
- For minors, exclude SOGI & veteran status

❖ Counties with a Population Under 100,000 – Combined/Integrated Program Option

- Reporting Requirements
- Evaluation Requirements
- 3-Year Program and Expenditure Plan / Annual Update Requirements

Questions & Answers

- Following the webinar, there will be a document summarizing the Q&A segment
- All presentation files will be posted on the MHSOAC “Resources” webpage:
www.MHSOAC.ca.gov
 - > On the website, hover over “Prop 63 / MHSA”
 - > Click on the link “County Resources”
- MHSOAC Staff will notify Counties when documents are available

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