

# Board of Directors Meeting

## AGENDA

June 12, 2014

Open Meeting

2:00 p.m. – 4:30 p.m.



**Call-In Information: 1-888-301-4288**

**Conference Code: 58465436**

**(listen in only)**

### Meeting Location:

Butte County Behavioral Health  
ASD Conference Room  
109 Parmac Road, Suite 1  
Chico, Ca 95926  
(530) 891- 2771

Doubletree Hotel Sacramento  
2001 Point West Way  
Sacramento, CA 95815  
(916) 929-8855

Fresno County  
Heritage Building  
3133 N Millbrook  
Fresno, Ca 93703  
(559) 600-6886

California Mental Health Service Authority  
(CalMHSA)  
Board of Directors Meeting  
Agenda

June 12, 2014

Open Meeting  
2:00 p.m. – 4:30 p.m.

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*In compliance with the Americans with Disabilities Act, if you are a disabled person and you need a disability-related modification or accommodation to participate in this meeting, please contact Laura Li at (916) 859-4818 (telephone) or (916) 859-4805 (facsimile). Requests must be made as early as possible, and at least one full business day before the start of the meeting.*

*Materials relating to an item on this agenda submitted to this Board after distribution of the agenda packet are available for public inspection at 3043 Gold Canal Drive, Suite 200, Rancho Cordova, CA, 95670, during normal business hours.*

**A. BOARD OF DIRECTORS MEETING**

**2:00 p.m. – 4:30 p.m.**

**1. CALL TO ORDER**

**2. ROLL CALL AND INTRODUCTIONS**

- 3. INSTRUCTIONS FOR PUBLIC COMMENT AND STAKEHOLDER INPUT** - The Board welcomes and encourages public participation in its meetings. This time is reserved for members of the public (including stakeholders) to address the Board concerning matters on the agenda. Items not on the agenda are reserved for the end of the meeting. Comments will be limited to three minutes per person and 20 minutes total.

For agenda items, public comment will be invited at the time those items are addressed. Each interested party is to complete the Public Comment Card and provide it to CalMHSA staff prior to start of item. When it appears there are several members of the public wishing to address the

Board on a specific item, at the outset of the item, the Board President may announce the maximum amount of time that will be allowed for presentation of testimony on that item. Comment cards will be retained as a matter of public record.

**4. CMHDA STANDING REPORT**

A. CMHDA Standing Report.....6  
**Recommendation: None, information only.**

**5. CONSENT CALENDAR - If the Board would like to discuss any item listed, it may be pulled from the Consent Calendar.....5**

A. Routine Matters:  
1. Minutes from the February 12, 2014 Board of Directors Meeting.....9

B. Reports/Correspondence:  
1. Treasurer’s Report as of March 31, 2014.....18  
2. Unaudited Financial Statements for the Third Quarter Ended March 31, 2014.....20  
3. CalMHSA Investment Update.....22  
4. Finance Committee Calendar of Meetings Fiscal Year 2014—15.....48

C. Phase One Plan Contract Amendments.....49

D. Department of State Hospital Beds.....56

E. Short Doyle Modernization.....62

**Recommendation: Staff recommends approval of the Consent Calendar.**

**6. MEMBERSHIP**

A. County Outreach Report – Allan Rawland, Associate Administrator – Government Relations.....70  
**Recommendation: None, information only.**

**7. FINANCIAL MATTERS**

A. Report from the CalMHSA Finance Committee – Scott Gruendl.....73  
**Recommendation: None, information only.**

B. CalMHSA Annual Revenue and Expenditure Report – Proposed Budget June 30, 2015.....80  
**Recommendation: Adopt the CalMHSA Annual Revenue and Expenditure Report – Proposed Budget, June 30, 2015.**

C. George Hills Company Contract with CalMHSA..... 89

**Recommendation: Finance Committee recommends approval of the Third Amendment to the George Hills Contract, to include additional funding per fiscal year, for PEI sustainability, which would be effective from July 1, 2014 to June 30, 2017.**

**8. REPORT FROM CALMHSA SEARCH COMMITTEE**

A. Report from CalMHSA Search Committee..... 116

**Recommendation: Approval of the restructuring plan, including recruitment of new Executive Director, within the budget amounts and timelines established. Search and recommendation shall be performed by the Search Committee with final approval by the CalMHSA Board.**

**9. PROGRAM MATTERS**

A. Report from CalMHSA Program Director – Ann Collentine..... 130

**Recommendation: None, information only.**

B. Report from CalMHSA Advisory Committee – Anne Robin..... 141

**Recommendation: None, information only.**

C. Phase Two Sustainability Plan Status Update..... 143

**Recommendation: None, information only.**

**10. ADMINISTRATIVE MATTERS**

A. Executive Committee Election and Charter..... 146

**Recommendation: Approve recommended slate of officers and Executive Committee members representing the five CMHDA regions.**

B. Finance Committee Appointments..... 148

**Recommendation: Approval of Finance Committee member appointments to a two year term.**

**11. GENERAL DISCUSSION**

A. Report from CalMHSA President – Maureen Bauman..... 149

- General

**Recommendation: Discussion and/or action as deemed appropriate.**

- B. Report from CalMHSA Executive Director – John Chaquica ..... 150
- General

**Recommendation: Discussion and/or action as deemed appropriate.**

**12. PUBLIC COMMENTS**

**A. Public Comments Non-Agenda Items**

This time is reserved for members of the public to address the Board relative to matters of CalMHSA not on the agenda. No action may be taken on non-agenda items unless authorized by law. Comments will be limited to three minutes per person and 20 minutes in total. The Board may also limit public comment time regarding agenda items, if necessary, due to a lengthy agenda.

**13. NEW BUSINESS** - General discussion regarding any new business topics for future meetings.

**14. CLOSING COMMENTS** - This time is reserved for comments by Board members and staff to identify matters for future Board business.

- A. Board
- B. Staff

**15. CLOSING COMMENTS**

**16. ADJOURNMENT**

**CMHDA STANDING REPORT**

**Agenda Item 4**

**SUBJECT: CMHDA Standing Report**

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**ACTION FOR CONSIDERATION:**

None, information only.

**BACKGROUND AND STATUS:**

In discussions amongst CalMHSA and CMHDA staff, and later proposed to CalMHSA officers, there will be a standing agenda item for CMHDA staff to present items that are relevant to be discussed at CalMHSA Board meetings. To the extent there are such items, CMHDA will address CalMHSA at each Board meeting. Such discussions, unless otherwise known, are intended to be informational only and not subject to action.

**FISCAL IMPACT:**

None

**RECOMMENDATION:**

None, information only.

**TYPE OF VOTE REQUIRED:**

None

**REFERENCE MATERIAL(S) ATTACHED:**

- None

## **CONSENT CALENDAR**

### **Agenda Item 5**

**SUBJECT: Consent Calendar**

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**ACTION FOR CONSIDERATION:**

Approval of the Consent Calendar.

**BACKGROUND AND STATUS:**

The Consent Calendar consists of items that require approval or acceptance but are self-explanatory and require no discussion. If the Board would like to discuss any item listed, it may be pulled from the Consent Calendar.

A. Routine Matters:

1. Minutes from the February 12, 2014 Board of Directors Meeting

B. Reports/Correspondence:

1. Treasurer's Report as of March 31, 2014
2. Unaudited Financial Statements for the Third Quarter Ended March 31, 2014
3. CalMHSA Investment Update
4. Finance Committee Calendar of Meetings Fiscal Year 2014—15

C. Phase One Plan Contract Amendments

D. Department of State Hospital Beds

E. Short Doyle Modernization

**FISCAL IMPACT:**

None

**RECOMMENDATION:**

Approval of the Consent Calendar.

**TYPE OF VOTE REQUIRED:**

Majority of the Board of Directors.

**REFERENCE MATERIAL(S) ATTACHED:**

- Minutes from the February 13, 2014 Board of Directors Meeting

- Treasurer's Report as of March 31, 2014
- Unaudited Financial Statements for the Third Quarter Ended March 31, 2014
- CalMHSA Investment Update
- Finance Committee Teleconference Meeting for Fiscal Year 2014–15
- Phase One Plan Contract Amendments Staff Report
- Department of State Hospital Beds Staff Report
- Short Doyle Modernization Staff Report





*"A George Hill: Company Administered JPA"*

**CalMHSAs Board of Directors  
Meeting Minutes from February 13, 2014**

***BOARD MEMBERS PRESENT***

Wayne Clark, PhD, CalMHSAs President, Monterey County  
Maureen F. Bauman, LCSW, CalMHSAs Vice President, Placer County  
CaSonya Thomas, MPA, CHC, CalMHSAs Secretary, San Bernardino County  
Scott Gruendl, MPA, CalMHSAs Treasurer, Glenn County  
Rita Austin, LCSW, Central Region Representative, Tuolumne County  
William Arroyo, MD, Los Angeles Region Representative, Los Angeles County  
Karen Stockton, PhD, MSW, Superior Region Representative, Modoc County  
Terence M. Rooney, PhD, Colusa County  
Warren Hayes, Contra Costa County (alternate)  
Don Ashton, El Dorado County  
Gary R. Blatnick, Del Norte County  
Asha George, Humboldt County  
Kristy Kelly, MFT, Lake County  
Van Do-Reynoso, MPH, Madera County  
John Lawless, Mariposa County  
Tom Pinizzotto, Mendocino County  
Robin Roberts, MFT, Mono County  
Jaye Vanderhurst, LCSW, Napa County  
Jenny Qian, MA, Orange County (alternate)  
Nancy Peña, PhD, Santa Clara County  
Alfredo Aguirre, Southern Region Representative, San Diego County  
Vic Singh, San Joaquin County  
Jean Anderson, MFT, San Joaquin County  
Frank Warren, San Luis Obispo County (alternate)  
Anne Robin, MFT, San Luis Obispo County  
Stephen Kaplan, San Mateo County  
Donnell Ewert, MPH, Shasta County  
Madelyn Schlaepfer, PhD, Stanislaus County  
Halsey Simmons, MFT, Solano County  
Michael Kennedy, Bay Area Region Representative, Sonoma County  
Tom Sherry, PhD, Central Region Representative, Sutter/Yuba Counties

Noel J. O'Neill, MFT, Trinity County  
Mark Bryan, MSW, Yolo County

***MEMBERS/ALTERNATES LISTENING IN***

Donna Taylor, RN, Fresno County

***BOARD MEMBERS ABSENT***

Aaron Chapman, Alameda County  
Karyn Tribble, PsyD, LCSW, City of Berkeley  
Gail Zwier, PhD, Inyo County  
Andrea Kuhlen, MPA, Imperial County (Alternate)  
James Waterman, PhD, Kern County  
Mary Ann Ford Sherman, MA, Kings County  
Melody Brawley, Lassen County  
Suzanne Tavano, PHN, PhD, Marin County  
Michael Heggarty, MFT, Nevada County  
Jerry Wengerd, LCSW, Riverside County  
Dorian Kittrell, Sacramento County  
Alan Yamamoto, LCSW, San Benito County  
Jo Robinson, San Francisco City and County  
Erik Riera, Med, CAS, MBA, Santa Cruz County  
Terry Barber, Siskiyou County  
Jesse Duff, Tri-City Mental Health Center  
Timothy Durick, PsyD, Tulare County  
Susan Kelly, Ventura County

***STAFF PRESENT***

John Chaquica, CPA, MBA, ARM, CalMHSA Executive Director  
Doug Alliston, CalMHSA Legal Counsel, Murphy Campbell Alliston & Quinn  
Allan Rawland, MSW, ACSW, Associate Administrator - Government Relations  
Ann Collentine, MPPA, CalMHSA Program Director  
Stephanie Welch, MSW, CalMHSA Senior Program Manager  
Sarah Brichler, MEd, CalMHSA Program Manager  
Laura Li, CalMHSA JPA Administrative Manager  
Kim Santin, CPA, CalMHSA Finance Director  
Michelle Yang, CalMHSA Executive Assistant

***MEMBERS OF THE PUBLIC PRESENT***

Sophia Perrea, Humboldt County  
Robert Oakes, California Mental Health Directors Association (CMHDA)  
John T. Liddle, Financial Consultant, Morgan Stanley

Uma Sikoski, Sacramento County  
Alissa Nourse, Alpine County  
Michelle Violet, Nevada County  
Margaret Jakobson-Johnson, Disability Rights California  
Laura Wright, Disability Rights California  
Anara Guard, Education Development Center – Know the Signs Campaign  
Peter Livingston, Plumas County  
Katrina, Monterey County  
Eduardo Vega, Mental Health Association of San Francisco (MHA-SF)

**1. CALL TO ORDER**

The Board of Directors of the California Mental Health Services Authority (CalMHSA) was called to order by President Wayne Clark, PhD, Monterey County, at 2:48 p.m. on February 13, 2014, at the Marriott Cal Expo Sacramento, located at 1782 Tribute Road, Sacramento, California. President Clark welcomed those in attendance as well as those listening in on the phone.

President Clark asked Laura Li, CalMHSA JPA Administrative Manager, to call roll in order to confirm a quorum of the Board.

**2. ROLL CALL AND INTRODUCTIONS**

Ms. Li called roll and informed President Clark a quorum had been reached.

**3. INSTRUCTIONS FOR PUBLIC COMMENT AND STAKEHOLDER INPUT**

Doug Alliston, CalMHSA Legal Counsel, reviewed the instructions for public comment, including the process of public comment cards, and noted items not on the agenda would be reserved for public comment at the end of the agenda. President Clark then asked for members of the public to introduce themselves. Mr. Alliston informed the Board of the changes to the Brown Act, amended on January 1, 2014, which requires that specific votes be recorded on each agenda item. Moving forward, a roll call vote will be taken for all action items on the agenda, until such time as better option is presented. Agenda items will require a record of how each member voted, therefore, staff will take a roll call of the board for every item that requires a vote until another technological option is presented. Mr. Alliston then asked for anyone present on the phone to introduce themselves.

**4. CMHDA STANDING REPORT**

Robert Oakes, Executive Director, California Mental Health Directors Association (CMHDA), briefly reported on discussions amongst CalMHSA and CMHDA staff, and confirmed regular reporting on standing agenda item for CMHDA.

**Action:** *None, information only.*

**5. STATEWIDE PEI PROGRAMS**

**A. Program Partner Presentation – Disability Right California – SDR Program Four: Advancing Policy to Eliminate Discrimination Program**

Stephanie Welch, Senior Program Manager, introduced the Program Partner Disability Rights California (DRC), represented by Margaret Jakobson-Johnson and Laura Wright. They provided a detailed overview of their current work, including upcoming projects focusing on:

- Systemic change and institutional stigma and discrimination
- Examining the existing laws and policies
- Understanding of the federal parity as well as a state parity and the role of the ACA
- Officer training, services, and Prevention and Early Intervention (PEI) issues
- Developing materials and a state tool kit on becoming familiar with the appeal process on how to appeal parity at the state level
- “Tips of the Month” posted on the DRC Website and monthly posts on various social media networks

**Action:** *None, information only.*

Public comment was heard from the following individual(s):  
*Katrina, Monterey County*

**6. CONSENT CALENDAR**

President Clark acknowledged the consent calendar and asked for comment from the Board. Hearing none, President Clark entertained a motion to approve the consent calendar.

**Action:** *Approval of the consent calendar.*

Alameda County		Madera County	x	San Joaquin County	x
Berkeley, City of		Marin County		San Luis Obispo County	AB
Butte County		Mariposa County	x	San Mateo County	x
Colusa County	x	Mendocino County	x	Santa Clara County	x
Contra Costa County	x	Modoc County	x	Santa Cruz County	
Del Norte County	x	Mono County		Shasta County	x
El Dorado County	x	Monterey County	x	Siskiyou County	
Fresno County	x	Napa County	x	Solano County	x
Glenn County	x	Nevada County		Sonoma County	x
Humboldt County	x	Orange County	x	Stanislaus County	x
Imperial County		Placer County	x	Sutter/Yuba County	x
Inyo County		Riverside County		Tri-City Health Center	AB
Kern County		Sacramento County	AB	Trinity County	
Kings County		San Benito County		Tulare County	x
Lake County	x	San Bernardino County	x	Tuolumne County	

Lassen County		San Diego County	x	Ventura County	
Los Angeles County	x	San Francisco City & County		Yolo County	

**Motion:**        **Andrea Kuhlen, Imperial County**  
**Second:**      **Anne Robin, San Luis Obispo County**

**Motion passed unanimously.**

Public comment was heard from the following individual(s):

*None*

**7. FINANCIAL MATTERS**

**A. Unaudited Financial Statements as of September 30, 2013 and December 31, 2013 – Kim Santin**

Kim Santin, CalMHSA Finance Director, provided an update on the Finance Committee, which met on November 25, 2013. CalMHSA staff provided the Board with the unaudited financial statements as of September 30, 2013 and December 31, 2013. Ms. Santin directed the Board to the Financial Report attachments and provided highlights regarding the report, including major expenditures in Statewide PEI Projects. Invoices sent to counties for the new Feasibility Study and Department of State Hospital beds program.

**Action:**        **None, information only.**

Public comment was heard from the following individual(s):

*None*

**8. MEMBERSHIP**

**A. County Outreach Report – Allan Rawland, Associate Administrator – Government Relations**

Allan Rawland, CalMHSA Associate Administrator – Government Relations, directed the Board to the report within the agenda packet outlining current outreach activity. Mr. Rawland thanked non-member counties who joined the Board meeting. Mr. Rawland stated he is in open communication with Betsy Gowan, the Mental Health Director for Tehema County, a non-member county. Mr. Rawland noted he was in constant communication with counties who are not yet members, providing them with the technical assistance they need to move forward in joining the JPA.

**Action:**        **None, information only.**

**9. ADMINISTRATIVE MATTERS**

**A. Statewide Prevention and Early Intervention (PEI) Sustainability Taskforce**

President Clark acknowledged the participation of the Board Members and CalMHSA staff on the Funding Taskforce who have been working with CalMHSA Vice President Maureen F. Bauman, on coming up with a potential reinvesting plan in Statewide PEI Projects. Ms. Bauman did a full review of the recommendation below.

**Action: 1) The Executive Committee recommends that the Board approve the following funding plan for Phase One of Sustaining Prevention and Early Intervention (PEI) Statewide Projects:**

1. One-time funds (contingency, unspent, and interest) to be fully utilized in the first three year plan and split equally over the three years
2. Matching funds required from program partners ranging from 10- 50% match, with emphasis on education
3. Private/other and alternate funding to include all other funding beyond State and County (i.e., private, foundation, endowment, grant, federal, other)
4. State funding sought annually ranging from \$5- 10M (if none attained the first year due to time or other constraints, funds from current program partner contracts with unexpended funds shall be inserted)
5. Local Funding
  - a) All members to annually fund PEI Statewide Plans within the target range of 4-7% of local annual PEI funds
  - b) For Phase 1, counties shall have the option of selecting which initiative(s) to support
6. Minimum annual local funding shall be established at 1%
7. Counties to submit a Letter of Intent to commit funding by May 1<sup>st</sup>, and in accordance with regulations and statutes that govern the Mental Health Services Act. Letters of Intent to commit funding shall be reviewed by the Finance Committee, in conjunction with CalMHSA annual budget development, with a recommendation to the CalMHSA Board each June

Alameda County		Madera County	x	San Joaquin County	x
Berkeley, City of		Marin County		San Luis Obispo County	x
Butte County		Mariposa County	x	San Mateo County	
Colusa County	x	Mendocino County	x	Santa Clara County	
Contra Costa County	x	Modoc County	x	Santa Cruz County	
Del Norte County	AB	Mono County		Shasta County	x
El Dorado County	AB	Monterey County	x	Siskiyou County	
Fresno County	x	Napa County	x	Solano County	x
Glenn County	x	Nevada County		Sonoma County	x
Humboldt County	AB	Orange County	x	Stanislaus County	x
Imperial County		Placer County	x	Sutter/Yuba County	x
Inyo County		Riverside County		Tri-City Health Center	
Kern County		Sacramento County	x	Trinity County	x
Kings County		San Benito County		Tulare County	
Lake County	x	San Bernardino County	x	Tuolumne County	x
Lassen County		San Diego County	x	Ventura County	
Los Angeles County	x	San Francisco City & County		Yolo County	AB

**Motion:** *Noel J. O'Neill, MFT, Trinity County*  
**Second:** *Donnell Ewert, MPH, Shasta County*

**Motion passed unanimously.**

Public comment was heard from the following individual(s):  
*Eduardo Vega, Mental Health Association of San Francisco*

## 10. PROGRAMS MATTERS

### A. Report from CalMHSA Program Director – Ann Collentine

President Clark called on Ann Collentine, CalMHSA Program Director, to give a report to the Board. Ms. Collentine referred the Board to their packet, and encouraged members to take the time to read through the report. CalMHSA staff wants to hear from member counties and to provide a response for a clear understanding of current activities.

William Arroyo, Los Angeles County, shared that Directing Change staff are looking for judges for the upcoming High Student 60-Second Video Contest, which aims to prevent suicide, reduce stigma and discrimination related to mental illness, and to promote the mental health and wellness of students.

Stephanie Welch, CalMHSA Senior Program Manager, updated the Board about the Mental Health Matters Day event taking place at the State Capitol in Sacramento on Tuesday, May 13, 2014. Sacramento's local minor league baseball team, the River Cats, are eager to participate in this event by providing tickets and to incorporate and promote lime green in their attire for the month of May. Ms. Welch expressed her excitement and invited all members to participate in the event.

Sarah Brichler, CalMHSA Program Manager, briefly recognized Kings View Behavioral Health, a SP program in the Central Valley area that has responded to the need for a crisis center. There is now a fully functioning crisis center that is operational 24-hours a day because of the Board's support of the program.

**Action:** *None, information only.*

Public comment was heard from the following individual(s):  
*None*

### B. Department of State Hospitals Updates

John Chaquica, CalMHSA Executive Director, announced the workgroup has continued to meet, including visits to two of the state hospitals. The CalMHSA participation agreements have been finalized and distributed to counties for BOS approval and execution. The Department of Mental Health (DSH) MOU was finalized and distributed to counties; however, errors were found and staff is working with the department to correct and redistribute. The first meeting with DSH is scheduled for February 26, 2014 to further discuss the FY 14-15 MOU, proposed blended rate, and trailer bill.

Additionally, Mr. Chaquica indicated the workgroup has expressed interest in pursuing a request for interest (RFI) in an effort to solicit alternatives to state hospital beds and requested Board support for proceeding with option. Members were in support of proceeding with the RFI but noted “alternatives” should be rephrased as “opportunities.” Mr. Chaquica also stated discussion had taken place regarding formalizing the workgroup into a committee and given there were no current board members on this workgroup, extended an invitation to the members for participation. This request is to be presented at the June Board meeting.

**Action:** *Discussion and/or action as deemed appropriate.*

**Motion:** *Noel J. O’Neill, MFT, Trinity County*

**Second:** *Donnell Ewert, MPH, Shasta County*

**Motion passed unanimously.**

Public comment was heard from the following individual(s):

*None*

### **C. New Behavioral Health Billing System Feasibility Study Update**

Ms. Brichler has been working closely with CMHDA and DHCS to identify solutions to the Short-Doyle system in efforts to maximize county dollars that are funding these quality improvement efforts. Ms. Brichler stated staff is in the process of creating a more in-depth project plan which can be shared with the Board in the future.

**Action:** *None, information only.*

## **11. GENERAL DISCUSSION**

### **A. Report from CalMHSA President – Wayne Clark**

President Clark discussed the following:

- Columbia University symposium on preventing brain disorders
- Requested staff provide an update on American Public Health Association (APHA) conference
- CalMHSA’s annual Strategic Planning Session that will be held April 11<sup>th</sup>
- Mental Health Services Oversight and Accountability Commission (MHSOAC) provided comments about CalMHSA accomplishments, expressing some concern with the sustainability system

### **B. Report from CalMHSA Executive Director – John Chaquica**

Mr. Chaquica stated the Executive Committee filled the position for the CMHDA-at-Large member with Jerry Wengerd, Riverside County, who volunteered. Mr. Chaquica announced there is still a vacancy for the alternate Superior Region Representative. Mr. Chaquica briefly discussed the 2015 International Stigma and Discrimination Reduction (SDR) Conference, having secured the Hyatt in San Francisco for February 2015. Mr.



Chaquica also reminded the members of CalMHSA's move to an electronic filing system for the FPPC filing of Form 700s. Members would be receiving an email notice shortly.

**Action:** *None, information only.*

Public comment was heard from the following individual(s):

*None*

**12. PUBLIC COMMENTS**

**A. Public Comments Non- Agenda Items**

President Clark invited members of the public to make comments on non-agenda items.

Public comment was heard from the following individual(s):

*None*

**13. NEW BUSINESS AND CLOSING COMMENTS**

President Clark asked the Board if there was any new business or closing comments.

Public comment was heard from the following individual(s):

*None*

**14. ADJOURNMENT**

Hearing no further comments, the meeting was adjourned at 4:14 p.m.

**Action:** *A motion was made to adjourn the meeting.*

**Motion:** *Scott Gruendl, Glenn County*

**Second:** *Tom Pinizzotto, Mendocino County*

*Motion passed unanimously.*

Respectfully submitted,

\_\_\_\_\_  
CaSonya Thomas, MPA, CHC  
Secretary, CalMHSA

\_\_\_\_\_  
Date



*"A George Hills Company Administered JPA"*

## Treasurer's Report As of March 31, 2014

	Book Balance	Market Value	Effective Yield
Local Agency Investment Fund	\$5,317,590	\$5,319,119	.26%
Morgan Stanley Smith Barney	53,048,992	51,912,141	.9%
Cash with California Bank & Trust	155,176	155,176	0.00%
<b>Total Cash and Investments</b>	<b>\$58,521,758</b>	<b>\$57,386,436</b>	

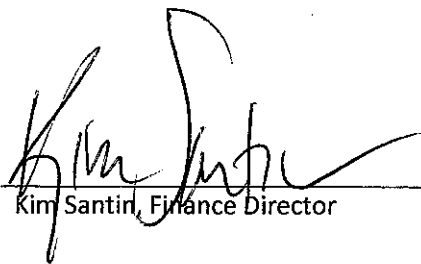
Attached are the Local Agency Investment Fund (LAIF) statements detailing all investment transactions.

The LAIF market value was derived by applying the December 2013 fair value factor of 1.00028762 to the book balance.

I certify that this report reflects all cash and investments and is in conformance with the Authority's Investment Policy. The investment program herein shown provides sufficient cash flow liquidity to meet the Authority's expenditures for the next six (6) months.

Respectfully submitted,

Accepted,

  
\_\_\_\_\_  
Kim Santin, Finance Director

\_\_\_\_\_  
Scott Gruendl, Treasurer

**CALMHSA'S QUARTERLY TREASURER'S REPORT  
AS OF MARCH 31, 2014**

	Date of Purchase	Date of Maturity	Par Value	Adjusted Cost	Market Value	YTM (at Cost)	YTM (at Market)	YTD Unrealized Gains/(Losses)
<b>INVESTMENTS</b>								
<b>Corporate Bonds:</b>								
Royal Bank of Canada NY	4/17/2013	4/17/2014	5,000,000	5,000,000	5,000,400	0.07%	0.07%	400
Bank of New York Mellon	1/20/2012	5/15/2014	2,760,000	2,973,624	2,773,165	2.00%	2.14%	1,750
General Electric Capital Corp	3/14/2013	9/15/2014	2,820,000	2,992,330	2,876,231	2.24%	2.33%	3,342
Walt Disney Company	5/17/2013	12/1/2014	4,000,000	4,034,240	4,013,600	0.87%	0.87%	(1,386)
Credit Suisse New York	12/18/2013	12/18/2014	5,000,000	5,000,000	5,005,050	0.51%	0.51%	5,050
Wells Fargo Company	5/17/2013	2/13/2015	4,000,000	4,046,280	4,031,000	1.24%	1.24%	7,697
Pepsico Inc	12/9/2013	3/5/2015	2,485,000	2,500,627	2,492,778	0.75%	0.75%	(3,928)
Coca-Cola Co	12/13/2012	3/13/2015	4,667,000	4,986,729	4,688,095	0.70%	0.75%	10,057
Toyota Motor	12/4/2013	6/17/2015	2,365,000	2,500,748	2,440,775	3.03%	3.10%	(3,504)
JPMorgan Securities, LLC C/P	12/4/2013	8/29/2014	5,000,000	4,985,167	4,994,300	0.00%	0.00%	9,133
BNP Paribas Finance Inc C/P	3/3/2014	9/2/2014	5,000,000	4,992,922	4,994,050	0.00%	0.00%	1,128
Total corporate bonds			43,097,000	44,012,667	43,309,443	0.84%	0.85%	29,739
<b>Federal Agencies</b>								
FHLMC 5%	1/20/2012	7/15/2014	2,695,000	2,994,037	2,732,973	2.25%	2.47%	2,939
FHLMC 1%	1/20/2012	7/30/2014	2,940,000	2,977,250	2,948,114	0.49%	0.50%	3,203
FNMA 3%	1/20/2012	9/16/2014	2,785,000	2,965,050	2,821,623	1.41%	1.48%	5,271
Total government & GSE bonds			8,420,000	8,936,337	8,502,710	1.39%	1.46%	11,413
Total Portfolio Investments			51,517,000	52,949,004	51,812,153			41,151
Local Agency Investment Fund (LAIF)			-	5,317,590	5,319,119			-
Morgan Stanley AA Money Trust			-	99,988	99,988			-
Checking Account			-	155,176	155,176			-
Total Cash and Investments			51,517,000	58,521,758	57,386,436			41,151

\*Government Sponsored Entity

Summary of Portfolio Investments		Year to Date Activity of		NOTES:
Corporate Bonds	43,309,443	Fair Market Value 7/1/12	90,699,394	Market Value is an approximation of the total worth of the asset, and fluctuates on a daily basis depending on market factors. YTM at Cost is the constant interest rate that makes the net present value of future principals & interest cash flows equal the purchase price of the security on the acquisition date. YTM at Market is the constant interest rate that makes the net present value of future principal & interest cash flows equal the current market price of the security. Market values and Yields are from the following sources: Morgan Stanley Smith Barney Financial Management Account Summaries; all investments are in compliance with CalMHSA's current investment policy. CalMHSA has sufficient funds to meet its expenditure requirements for the next six months.
Federal Agencies	8,502,710	Purchases	79,229,997	
		Sales/Maturities	(116,455,038)	
	51,812,153	Net Unrealized Gains(Losses)	(1,662,200)	
		Fair Market Value 3/31/14	51,812,153	
1-2 year	\$ 2,440,775			
0-1 year	49,371,379			
	\$ 51,812,153			

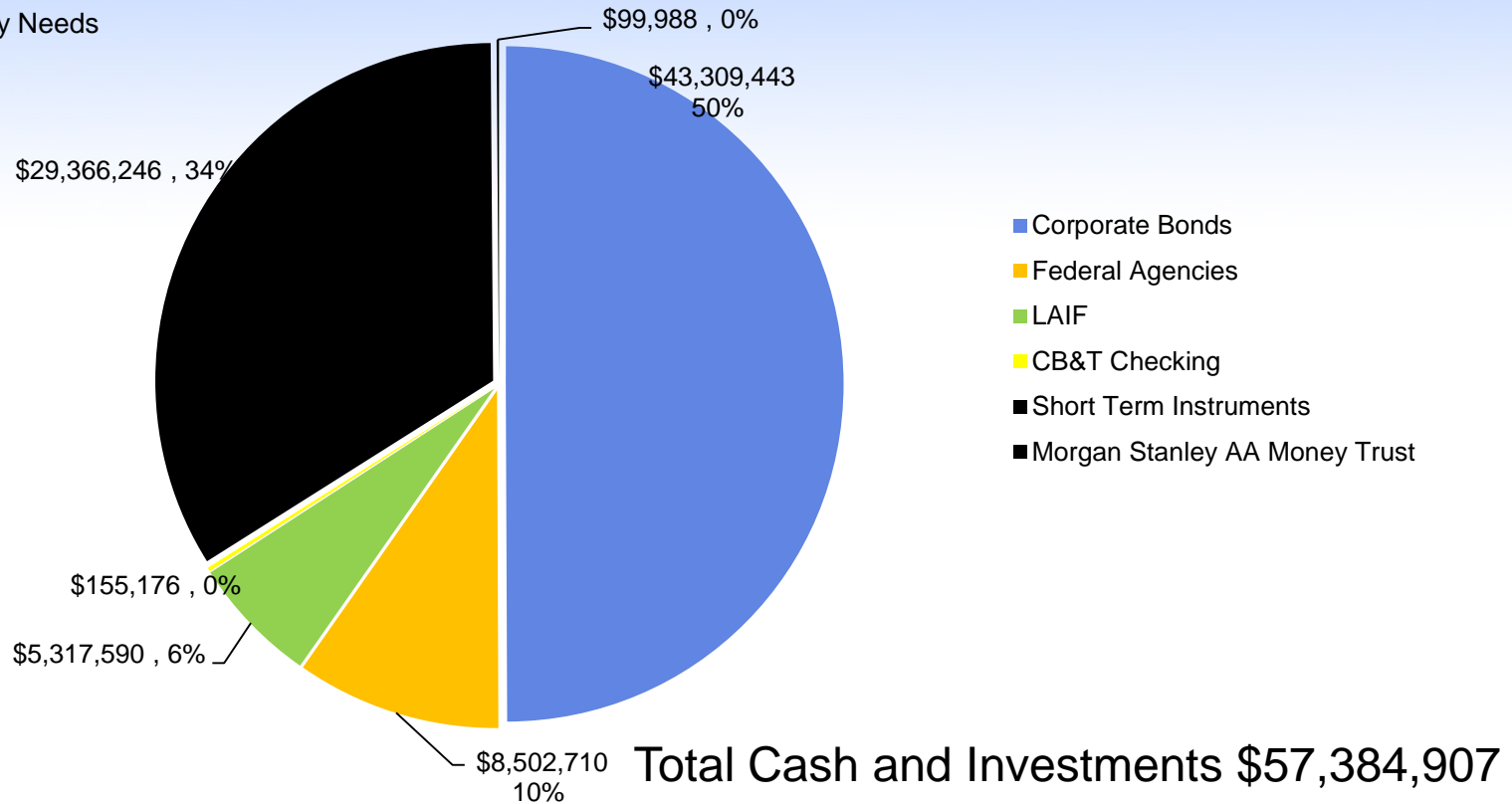
# Total Cash Portfolio Dollars – March 31, 2014



## Investment Policy Objectives

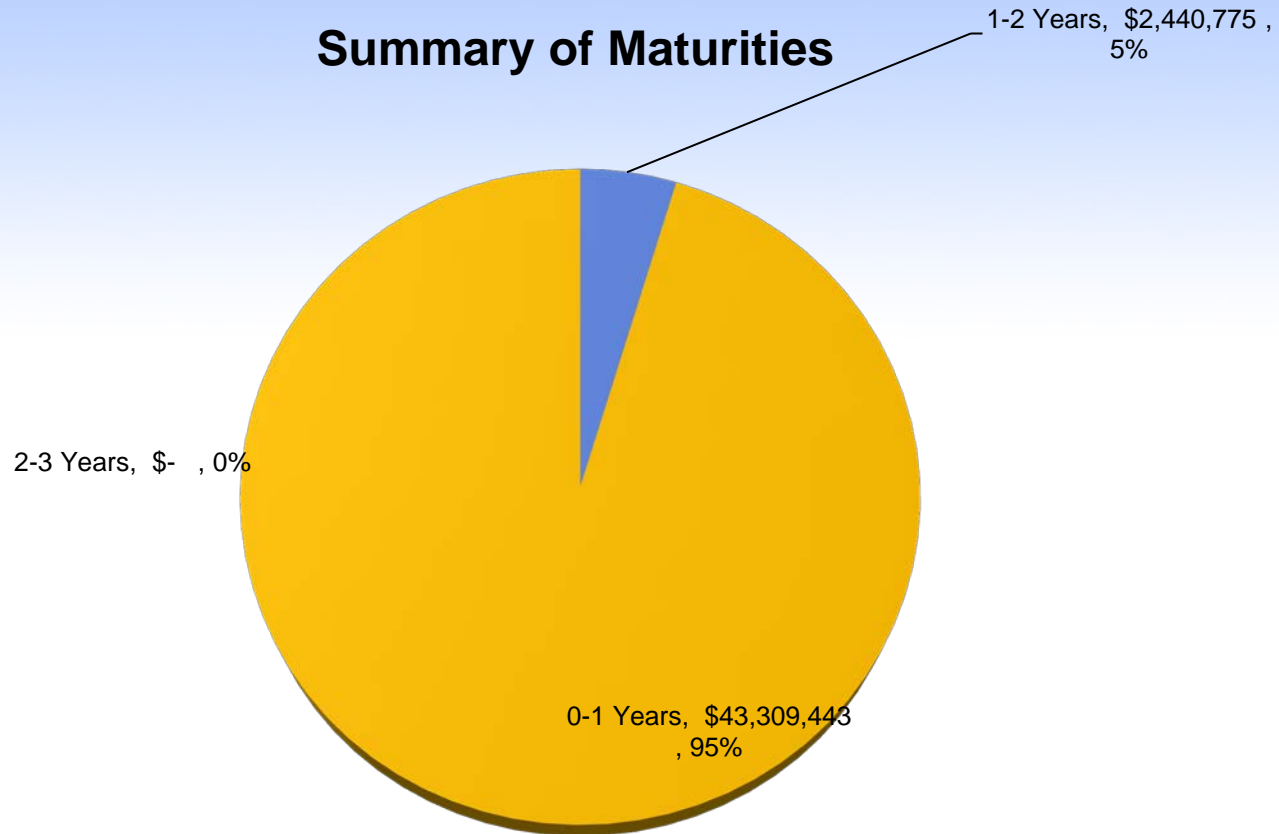
- Safety of Principal
- Meeting Liquidity Needs
- Rate of Return

## Summary of Investment Portfolio



# Total Cash Portfolio Dollars – March 31, 2014

## Summary of Maturities



Total Investments \$51,812,153

## CalMHSA Account Review

Thursday, May 01, 2014

Prepared for: CalMHSA Finance Committee Meeting: May 12, 2014

155 Cadillac Drive  
Sacramento, CA 95825  
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John T. Liddle  
Sr. Vice President  
Sr. Investment Management Consultant

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**Balances**  
As of 04/30/2014

CALIFORNIA MENTAL HEALTH  
SERVICES AUTHORITY (PFM)  
3043 GOLD CANAL DRIVE  
SUITE 200  
RNCHO CORDOVA CA 95670-6394

Prepared by John T Liddle  
Ph. +1 916 567-2030

Acct. 178-116821-451

	Market Value	% Of Assets**
MMF And Bank Deposits	\$5,093,300.16	9.78%
Corporate Fixed Income	38,286,967.00	73.55
Government Securities	8,484,530.25	16.30
Accrued Interest	188,559.66	0.36
<b>Total Account Value</b>	<b>\$52,053,357.07</b>	<b>100.00%</b>

\*\* % of Assets reflects account balances as a percentage of long position & cash rounded to the nearest hundredth. As a result the total may not equal 100%.

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**Holdings**  
As of 04/30/2014

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Quantity	Symbol/CUSIP	Description	MS Rating	Price	Market Value
5,093,300.160	AAMT	MS ACTIVE ASSETS MONEY TRUST	—	\$1.00	\$5,093,300.16
2,760,000.000	06406HBL2	BANK OF NEW YORK MELLON Coupon 4.30% Maturity Date 05/15/14 Accrued Int. \$54,394.99	—	100.11	2,762,980.80
5,000,000.000	0556N1J20	BNP PARIBAS FINANCE INC C/P Coupon 0.00% Maturity Date 09/02/14	—	99.92	4,995,750.00
4,667,000.000	191216AX8	COCA-COLA CO Coupon 0.75% Maturity Date 03/13/15 Accrued Int. \$4,569.74	—	100.42	4,686,601.40
5,000,000.000	22549TQD3	CREDIT SUISSE NEW YORK YCD Coupon 0.51% Maturity Date 12/18/14	—	100.11	5,005,450.00
2,820,000.000	36962GK86	GENERAL ELECTRIC CAPTIAL CORP Coupon 4.75% Maturity Date 09/15/14 Accrued Int. \$16,743.75	—	101.64	2,866,107.00
5,000,000.000	46640QHV6	JPMORGAN SECURITIES LLC C/P Coupon 0.00% Maturity Date 08/29/14	—	99.94	4,996,800.00
2,485,000.000	713448BX5	PEPSICO INC Coupon 0.75% Maturity Date 03/05/15 Accrued Int. \$2,847.39	—	100.39	2,494,741.20
2,365,000.000	89233P4B9	TOYOTA MOTOR CREDIT CORP Coupon 3.20% Maturity Date 06/17/15 Accrued Int. \$27,959.55	—	103.08	2,437,936.60
4,000,000.000	25468PCQ7	WALT DISNEY COMPANY Coupon 0.88% Maturity Date 12/01/14 Accrued Int. \$14,486.08	—	100.30	4,012,040.00
4,000,000.000	94974BFA3	WELLS FARGO & COMPANY Coupon 1.25% Maturity Date 02/13/15 Accrued Int. \$10,694.44	—	100.71	4,028,560.00
2,695,000.000	3134A4UU6	FED HOME LN MTG CORP Coupon 5.00% Maturity Date 07/15/14 Accrued Int. \$39,302.07	—	101.01	2,722,300.35
2,940,000.000	3137EACU1	FED HOME LN MTG CORP MED TERM NOTE Coupon 1.00% Maturity Date 07/30/14 Accrued Int. \$7,350.00	—	100.23	2,946,762.00

Please refer to the end of this report for a guide to Morgan Stanley Research Ratings.

**Holdings**  
As of 04/30/2014

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Quantity	Symbol/CUSIP	Description	MS Rating	Price	Market Value
2,785,000.000	31398AYY2	FED NATL MTG ASSN Coupon 3.00% Maturity Date 09/16/14 Accrued Int. \$10,211.65	—	\$101.09	\$2,815,467.90
Accrued Interest					188,559.66
Holdings					51,864,797.41
<b>Total Account Value</b>					<b>52,053,357.07</b>

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## GUIDE TO MORGAN STANLEY RESEARCH RATINGS

Morgan Stanley does not assign ratings of Buy, Hold or Sell to the stocks it covers. Morgan Stanley's ratings, Overweight, Equal-weight, Not-Rated and Underweight, are not the equivalent of Buy, Hold, and Sell, but represent recommended relative weightings. To satisfy regulatory requirements, Morgan Stanley corresponds Overweight, the most positive stock rating, with a Buy recommendation, and Equal-weight and Not-Rated, to Hold and Underweight to Sell recommendations, respectively.

In this report, the following codes correspond to the following Morgan Stanley ratings. For a complete description of Morgan Stanley's rating system, please refer to a Morgan Stanley research or ask your Financial Advisor.

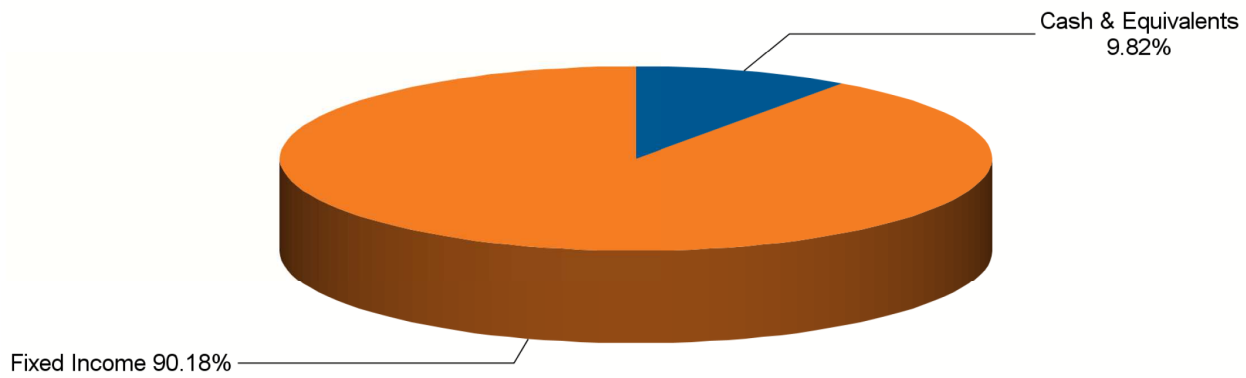
### CODE / MORGAN STANLEY RATING

**1 / Overweight:** The stock's total return is expected to exceed the average total return of the analyst's industry (or industry team's) coverage universe, on a risk-adjusted basis, over the next 12-18 months

**2 / Equal-weight:** The stock's total return is expected to be in line with the average total return of the analyst's industry (or industry team's) coverage universe, on a risk-adjusted basis, over the next 12-18 months

**2 / Not-Rated:** Currently the analyst does not have adequate conviction about the stock's total return relative to the average total return of the analyst's industry (or industry team's) coverage universe, on a risk-adjusted basis, over the next 12-18 months

**3 / Underweight:** The stock's total return is expected to be below the average total return of the analyst's industry (or industry team's) coverage universe, on a risk-adjusted basis, over the next 12-18 months



**Long Positions and Cash**

## Holdings by Asset Class

As of 04/30/2014

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**Projected Monthly Income - Summary**

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	Current Month	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Twelve Month Total
Fixed Income (1)	\$59,340	55,340	82,075	25,000	135,570	—	—	55,340	—	25,000	26,820	—	—	405,145
<b>Income Total</b>	<b>\$59,340</b>	<b>55,340</b>	<b>82,075</b>	<b>25,000</b>	<b>135,570</b>	<b>—</b>	<b>—</b>	<b>55,340</b>	<b>—</b>	<b>25,000</b>	<b>26,820</b>	<b>—</b>	<b>—</b>	<b>405,145</b>

	Account Totals*	Projected Income	% Yield**
Fixed Income	\$46,771,497	\$405,145	0.87%
<b>Total</b>	<b>\$46,771,497</b>	<b>\$405,145</b>	<b>0.87%</b>

(1) Group contained 2 records with No Annual Dividend. No income reported.

\* Account Totals do not include Cash, Cash Equivalents and Annuities.

\*\* Monthly projections are rounded to the nearest dollar and totaled, therefore, % yield calculations are approximate.

Estimated Annual Income (EAI) is calculated on a pre-tax basis and does not include any reduction for applicable non-US withholding taxes, if any. EAI for certain securities may include return of principal or capital gains which could overstate such estimates. For securities that have a defined maturity date within the next 12 months, EAI is reflected only through maturity date. Actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment, and does not reflect changes in its price. Accrued interest, annual income and yield for structured products with a contingent income feature (such as Range Accrual Notes or Contingent Income Notes) are estimates and assume specified accrual conditions are met during the relevant period and payment in full of all contingent interest. For Floating Rate Securities, the accrued interest, annual income and yield are estimates based on the current floating coupon rate and may not reflect historic rates within the accrual period.

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**Dividend & Interest Received**  
**(01/02/2012 - 04/30/2014)**  
 As of 04/30/2014

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Date	Symbol/ CUSIP	Description	Taxable Dividends	Tax Free Dividends	Taxable Interest	Tax Free Interest
05/15/12	06406HBL2	BANK OF NEW YORK 4300 14MY15 Maturity Date: 05/15/14 Coupon: 4.30%	—	—	\$59,340.00	—
11/15/12	06406HBL2	BANK OF NEW YORK 4300 14MY15 Maturity Date: 05/15/14 Coupon: 4.30%	—	—	59,340.00	—
05/15/13	06406HBL2	BANK OF NEW YORK 4300 14MY15 Maturity Date: 05/15/14 Coupon: 4.30%	—	—	59,340.00	—
11/15/13	06406HBL2	BANK OF NEW YORK 4300 14MY15 Maturity Date: 05/15/14 Coupon: 4.30%	—	—	59,340.00	—
03/13/13	191216AX8	COCA-COLA CO 0750 15MH13 Maturity Date: 03/13/15 Coupon: 0.75%	—	—	17,501.25	—
09/13/13	191216AX8	COCA-COLA CO 0750 15MH13 Maturity Date: 03/13/15 Coupon: 0.75%	—	—	17,501.25	—
03/13/14	191216AX8	COCA-COLA CO 0750 15MH13 Maturity Date: 03/13/15 Coupon: 0.75%	—	—	17,501.25	—
08/20/13	313381YP4	FHLB 0250 15FB20 Maturity Date: 02/20/15 Coupon: 0.25%	—	—	3,875.00	—
02/20/14	313381YP4	FHLB 0250 15FB20 Maturity Date: 02/20/15 Coupon: 0.25%	—	—	3,875.00	—
02/28/12	313374Y61	FHLB 0500 13AU28 Maturity Date: 08/28/13 Coupon: 0.50%	—	—	12,425.00	—
08/28/12	313374Y61	FHLB 0500 13AU28 Maturity Date: 08/28/13 Coupon: 0.50%	—	—	12,425.00	—
02/28/13	313374Y61	FHLB 0500 13AU28 Maturity Date: 08/28/13 Coupon: 0.50%	—	—	12,425.00	—
08/28/13	313374Y61	FHLB 0500 13AU28 Maturity Date: 08/28/13 Coupon: 0.50%	—	—	12,425.00	—

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Date	Symbol/ CUSIP	Description	Taxable Dividends	Tax Free Dividends	Taxable Interest	Tax Free Interest
06/14/12	31339X2M5	FHLB 3875 13JN14 Maturity Date: 06/14/13 Coupon: 3.87%	—	—	\$91,837.50	—
12/14/12	31339X2M5	FHLB 3875 13JN14 Maturity Date: 06/14/13 Coupon: 3.87%	—	—	91,837.50	—
06/14/13	31339X2M5	FHLB 3875 13JN14 Maturity Date: 06/14/13 Coupon: 3.87%	—	—	56,962.50	—
04/30/12	3137EACX5	FHLMC 0375 13OC30 Maturity Date: 10/30/13 Coupon: 0.37%	—	—	9,356.25	—
10/30/12	3137EACX5	FHLMC 0375 13OC30 Maturity Date: 10/30/13 Coupon: 0.37%	—	—	9,356.25	—
04/30/13	3137EACX5	FHLMC 0375 13OC30 Maturity Date: 10/30/13 Coupon: 0.37%	—	—	9,356.25	—
10/30/13	3137EACX5	FHLMC 0375 13OC30 Maturity Date: 10/30/13 Coupon: 0.37%	—	—	9,356.25	—
07/15/12	3134A4TZ7	FHLMC 4500 13JL15 Maturity Date: 07/15/13 Coupon: 4.50%	—	—	105,750.00	—
01/15/13	3134A4TZ7	FHLMC 4500 13JL15 Maturity Date: 07/15/13 Coupon: 4.50%	—	—	105,750.00	—
07/15/13	3134A4TZ7	FHLMC 4500 13JL15 Maturity Date: 07/15/13 Coupon: 4.50%	—	—	105,750.00	—
07/15/12	3134A4UU6	FHLMC 5000 14JL15 Maturity Date: 07/15/14 Coupon: 5.00%	—	—	67,375.00	—
01/15/13	3134A4UU6	FHLMC 5000 14JL15 Maturity Date: 07/15/14 Coupon: 5.00%	—	—	67,375.00	—
07/15/13	3134A4UU6	FHLMC 5000 14JL15 Maturity Date: 07/15/14 Coupon: 5.00%	—	—	67,375.00	—
01/15/14	3134A4UU6	FHLMC 5000 14JL15 Maturity Date: 07/15/14 Coupon: 5.00%	—	—	67,375.00	—



**Dividend & Interest Received**  
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Date	Symbol/ CUSIP	Description	Taxable Dividends	Tax Free Dividends	Taxable Interest	Tax Free Interest
01/30/12	3137EACU1	FHLMC MTN 1000 14JL30 Maturity Date: 07/30/14 Coupon: 1.00%	—	—	\$19,436.67	—
07/30/12	3137EACU1	FHLMC MTN 1000 14JL30 Maturity Date: 07/30/14 Coupon: 1.00%	—	—	14,700.00	—
01/30/13	3137EACU1	FHLMC MTN 1000 14JL30 Maturity Date: 07/30/14 Coupon: 1.00%	—	—	14,700.00	—
07/30/13	3137EACU1	FHLMC MTN 1000 14JL30 Maturity Date: 07/30/14 Coupon: 1.00%	—	—	14,700.00	—
01/30/14	3137EACU1	FHLMC MTN 1000 14JL30 Maturity Date: 07/30/14 Coupon: 1.00%	—	—	14,700.00	—
02/09/12	3135G0BR3	FNMA 0500 13AU09 Maturity Date: 08/09/13 Coupon: 0.50%	—	—	12,425.00	—
08/09/12	3135G0BR3	FNMA 0500 13AU09 Maturity Date: 08/09/13 Coupon: 0.50%	—	—	12,425.00	—
02/09/13	3135G0BR3	FNMA 0500 13AU09 Maturity Date: 08/09/13 Coupon: 0.50%	—	—	12,425.00	—
08/09/13	3135G0BR3	FNMA 0500 13AU09 Maturity Date: 08/09/13 Coupon: 0.50%	—	—	12,425.00	—
06/18/12	31398A5W8	FNMA 0750 13DE18 Maturity Date: 12/18/13 Coupon: 0.75%	—	—	21,037.50	—
12/18/12	31398A5W8	FNMA 0750 13DE18 Maturity Date: 12/18/13 Coupon: 0.75%	—	—	21,037.50	—
06/18/13	31398A5W8	FNMA 0750 13DE18 Maturity Date: 12/18/13 Coupon: 0.75%	—	—	21,037.50	—
12/18/13	31398A5W8	FNMA 0750 13DE18 Maturity Date: 12/18/13 Coupon: 0.75%	—	—	21,037.50	—
02/06/12	31398AVD1	FNMA 2750 14FB05 Maturity Date: 02/05/14 Coupon: 2.75%	—	—	38,843.75	—

**Dividend & Interest Received**  
**(01/02/2012 - 04/30/2014)**  
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Date	Symbol/ CUSIP	Description	Taxable Dividends	Tax Free Dividends	Taxable Interest	Tax Free Interest
08/05/12	31398AVD1	FNMA 2750 14FB05 Maturity Date: 02/05/14 Coupon: 2.75%	—	—	\$38,843.75	—
02/05/13	31398AVD1	FNMA 2750 14FB05 Maturity Date: 02/05/14 Coupon: 2.75%	—	—	38,843.75	—
08/05/13	31398AVD1	FNMA 2750 14FB05 Maturity Date: 02/05/14 Coupon: 2.75%	—	—	38,843.75	—
02/05/14	31398AVD1	FNMA 2750 14FB05 Maturity Date: 02/05/14 Coupon: 2.75%	—	—	38,843.75	—
03/13/12	31398AVZ2	FNMA 2750 14MH13 Maturity Date: 03/13/14 Coupon: 2.75%	—	—	8,662.50	—
03/16/12	31398AYY2	FNMA 3000 14SP16 Maturity Date: 09/16/14 Coupon: 3.00%	—	—	41,775.00	—
09/16/12	31398AYY2	FNMA 3000 14SP16 Maturity Date: 09/16/14 Coupon: 3.00%	—	—	41,775.00	—
03/16/13	31398AYY2	FNMA 3000 14SP16 Maturity Date: 09/16/14 Coupon: 3.00%	—	—	41,775.00	—
09/16/13	31398AYY2	FNMA 3000 14SP16 Maturity Date: 09/16/14 Coupon: 3.00%	—	—	41,775.00	—
03/16/14	31398AYY2	FNMA 3000 14SP16 Maturity Date: 09/16/14 Coupon: 3.00%	—	—	41,775.00	—
04/16/12	31359MUT8	FNMA 4125 14AP15 Maturity Date: 04/15/14 Coupon: 4.12%	—	—	56,512.50	—
10/15/12	31359MUT8	FNMA 4125 14AP15 Maturity Date: 04/15/14 Coupon: 4.12%	—	—	56,512.50	—
04/15/13	31359MUT8	FNMA 4125 14AP15 Maturity Date: 04/15/14 Coupon: 4.12%	—	—	56,512.50	—
10/15/13	31359MUT8	FNMA 4125 14AP15 Maturity Date: 04/15/14 Coupon: 4.12%	—	—	56,512.50	—

**Dividend & Interest Received**  
**(01/02/2012 - 04/30/2014)**  
 As of 04/30/2014

CALIFORNIA MENTAL HEALTH  
 SERVICES AUTHORITY (PFM)  
 3043 GOLD CANAL DRIVE  
 SUITE 200  
 RNCHO CORDOVA CA 95670-6394

Prepared by John T Liddle  
 Ph. +1 916 567-2030

Acct. 178-116821-451

Date	Symbol/ CUSIP	Description	Taxable Dividends	Tax Free Dividends	Taxable Interest	Tax Free Interest
09/16/13	36962GK86	GEN ELEC CAP CORP 4750 14SP15 Maturity Date: 09/15/14 Coupon: 4.75%	—	—	\$66,975.00	—
03/17/14	36962GK86	GEN ELEC CAP CORP 4750 14SP15 Maturity Date: 09/15/14 Coupon: 4.75%	—	—	66,975.00	—
07/09/12	36962G4X9	GENERAL ELEC CAP 2100 14JA07 Maturity Date: 01/07/14 Coupon: 2.10%	—	—	30,922.50	—
01/07/13	36962G4X9	GENERAL ELEC CAP 2100 14JA07 Maturity Date: 01/07/14 Coupon: 2.10%	—	—	30,922.50	—
03/05/12	24422ERA9	JOHN DEERE CAP 1600 14MH03 Maturity Date: 03/03/14 Coupon: 1.60%	—	—	18,200.00	—
09/04/12	24422ERA9	JOHN DEERE CAP 1600 14MH03 Maturity Date: 03/03/14 Coupon: 1.60%	—	—	18,200.00	—
03/04/13	24422ERA9	JOHN DEERE CAP 1600 14MH03 Maturity Date: 03/03/14 Coupon: 1.60%	—	—	18,200.00	—
09/03/13	24422ERA9	JOHN DEERE CAP 1600 14MH03 Maturity Date: 03/03/14 Coupon: 1.60%	—	—	18,200.00	—
06/01/12	46625HHN3	JP MORGAN CHASE 4650 14JN01 Maturity Date: 06/01/14 Coupon: 4.65%	—	—	64,983.75	—
12/01/12	46625HHN3	JP MORGAN CHASE 4650 14JN01 Maturity Date: 06/01/14 Coupon: 4.65%	—	—	64,983.75	—
06/01/13	46625HHN3	JP MORGAN CHASE 4650 14JN01 Maturity Date: 06/01/14 Coupon: 4.65%	—	—	64,983.75	—
12/01/13	46625HHN3	JP MORGAN CHASE 4650 14JN01 Maturity Date: 06/01/14 Coupon: 4.65%	—	—	64,983.75	—
01/11/12	CIXX	LEGG MASON WA US TSY RES INST	200.23	—	—	—
12/03/12	60687GP51	MIZUHO CORP BK CD 0390 12DE03 Maturity Date: 12/03/12 Coupon: 0.39%	—	—	6,608.34	—
07/30/12	AAMT	MS ACTIVE ASSETS MONEY TRUST	4.72	—	—	—

**Dividend & Interest Received**  
**(01/02/2012 - 04/30/2014)**  
 As of 04/30/2014

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Date	Symbol/ CUSIP	Description	Taxable Dividends	Tax Free Dividends	Taxable Interest	Tax Free Interest
07/30/12	AAMT	MS ACTIVE ASSETS MONEY TRUST	\$-4.72	—	—	—
07/30/12	AAMT	MS ACTIVE ASSETS MONEY TRUST	4.72	—	—	—
08/30/12	AAMT	MS ACTIVE ASSETS MONEY TRUST	15.69	—	—	—
09/27/12	AAMT	MS ACTIVE ASSETS MONEY TRUST	5.93	—	—	—
10/31/12	AAMT	MS ACTIVE ASSETS MONEY TRUST	22.93	—	—	—
11/29/12	AAMT	MS ACTIVE ASSETS MONEY TRUST	18.14	—	—	—
12/31/12	AAMT	MS ACTIVE ASSETS MONEY TRUST	28.41	—	—	—
01/30/13	AAMT	MS ACTIVE ASSETS MONEY TRUST	14.72	—	—	—
02/27/13	AAMT	MS ACTIVE ASSETS MONEY TRUST	28.89	—	—	—
03/27/13	AAMT	MS ACTIVE ASSETS MONEY TRUST	10.37	—	—	—
04/29/13	AAMT	MS ACTIVE ASSETS MONEY TRUST	10.64	—	—	—
05/30/13	AAMT	MS ACTIVE ASSETS MONEY TRUST	8.51	—	—	—
06/27/13	AAMT	MS ACTIVE ASSETS MONEY TRUST	0.36	—	—	—
07/30/13	AAMT	MS ACTIVE ASSETS MONEY TRUST	2.72	—	—	—
08/29/13	AAMT	MS ACTIVE ASSETS MONEY TRUST	23.76	—	—	—
09/27/13	AAMT	MS ACTIVE ASSETS MONEY TRUST	25.17	—	—	—
10/30/13	AAMT	MS ACTIVE ASSETS MONEY TRUST	3.85	—	—	—
11/27/13	AAMT	MS ACTIVE ASSETS MONEY TRUST	5.16	—	—	—
12/31/13	AAMT	MS ACTIVE ASSETS MONEY TRUST	10.04	—	—	—
01/30/14	AAMT	MS ACTIVE ASSETS MONEY TRUST	9.41	—	—	—
02/27/14	AAMT	MS ACTIVE ASSETS MONEY TRUST	11.35	—	—	—
03/28/14	AAMT	MS ACTIVE ASSETS MONEY TRUST	5.63	—	—	—
04/29/14	AAMT	MS ACTIVE ASSETS MONEY TRUST	11.81	—	—	—
03/05/14	713448BX5	PEPSICO INC 0750 15MH05 Maturity Date: 03/05/15 Coupon: 0.75%	—	—	9,318.75	—
04/25/12	713448BQ0	PEPSICO INC 0875 13OC25 Maturity Date: 10/25/13 Coupon: 0.87%	—	—	21,656.25	—

**Dividend & Interest Received**  
**(01/02/2012 - 04/30/2014)**  
 As of 04/30/2014

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Acct. 178-116821-451

Date	Symbol/ CUSIP	Description	Taxable Dividends	Tax Free Dividends	Taxable Interest	Tax Free Interest
10/25/12	713448BQ0	PEPSICO INC 0875 13OC25 Maturity Date: 10/25/13 Coupon: 0.87%	—	—	\$21,656.25	—
04/25/13	713448BQ0	PEPSICO INC 0875 13OC25 Maturity Date: 10/25/13 Coupon: 0.87%	—	—	21,656.25	—
10/25/13	713448BQ0	PEPSICO INC 0875 13OC25 Maturity Date: 10/25/13 Coupon: 0.87%	—	—	21,656.25	—
07/17/13	78009NMK9	RYL BK CANADA YCD 0300 14AP17 Maturity Date: 04/17/14 Coupon: 0.30%	—	—	3,884.73	—
10/17/13	78009NMK9	RYL BK CANADA YCD 0300 14AP17 Maturity Date: 04/17/14 Coupon: 0.30%	—	—	3,629.17	—
01/17/14	78009NMK9	RYL BK CANADA YCD 0300 14AP17 Maturity Date: 04/17/14 Coupon: 0.30%	—	—	3,627.78	—
04/17/14	78009NMK9	RYL BK CANADA YCD 0300 14AP17 Maturity Date: 04/17/14 Coupon: 0.30%	—	—	3,430.55	—
03/19/13	85325BRY2	STD CHARTD BK YCD 0470 13MH19 Maturity Date: 03/19/13 Coupon: 0.47%	—	—	9,856.95	—
12/17/13	89233P4B9	TOYOTA MOTOR 3200 15JN17 Maturity Date: 06/17/15 Coupon: 3.20%	—	—	37,840.00	—
02/01/13	92976WBA3	WACHOVIA CORP 5700 13AU01 Maturity Date: 08/01/13 Coupon: 5.70%	—	—	142,500.00	—
06/03/13	25468PCQ7	WALT DISNEY CO 0875 14DE01 Maturity Date: 12/01/14 Coupon: 0.87%	—	—	17,500.00	—
12/02/13	25468PCQ7	WALT DISNEY CO 0875 14DE01 Maturity Date: 12/01/14 Coupon: 0.87%	—	—	17,500.00	—
08/13/13	94974BFA3	WELLS FARGO & CO 1250 15FB13 Maturity Date: 02/13/15 Coupon: 1.25%	—	—	25,000.00	—
02/13/14	94974BFA3	WELLS FARGO & CO 1250 15FB13 Maturity Date: 02/13/15 Coupon: 1.25%	—	—	25,000.00	—

**Dividend & Interest Received**  
**(01/02/2012 - 04/30/2014)**  
 As of 04/30/2014

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Date	Symbol/ CUSIP	Description	Taxable Dividends	Tax Free Dividends	Taxable Interest	Tax Free Interest
12/03/13	96121TRH3	WESTPAC BKG YCD 0380 13DE03 Maturity Date: 12/03/13 Coupon: 0.38%	—	—	\$19,263.89	—
01/22/13	96121TLK2	WESTPAC BKG YCD 0730 13JA22 Maturity Date: 01/22/13 Coupon: 0.73%	—	—	37,006.95	—
<b>Total</b>			<b>\$478.44</b>	<b>—</b>	<b>\$3,039,141.28</b>	<b>—</b>

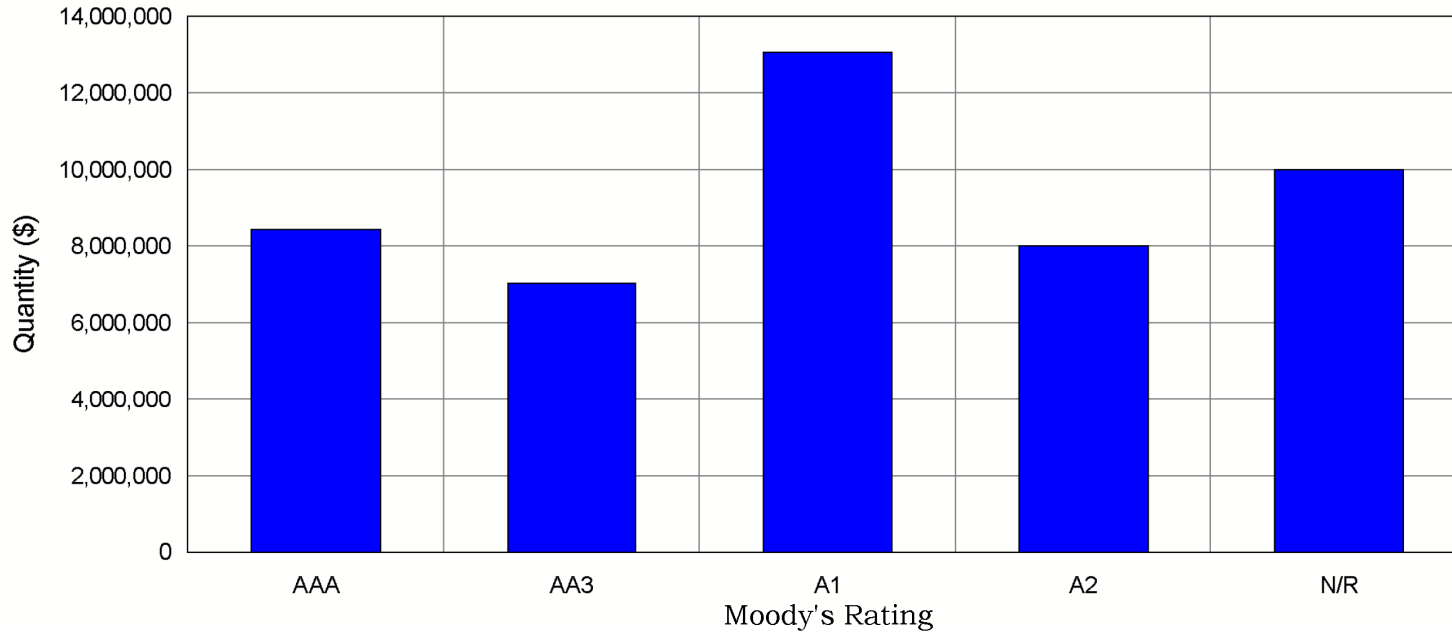
The above summary/prices/quotes/statistics have been obtained from sources believed reliable but are not necessarily complete and cannot be guaranteed. The information contained in client monthly account statements and confirmations reflects all transactions, and as such supersedes all other reports for financial and tax purposes. This report does not supersede or replace your monthly Client Statement. If we do not hold the securities in a Morgan Stanley Wealth Management account, the report reflects securities which we believe you own, based upon your communications with our Financial Advisor. © 2014 Morgan Stanley Smith Barney LLC. Member SIPC.

**Bond Rating Distribution - Moody's \***  
As of 04/30/2014

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\*This report includes External Holdings

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## Bond Maturity Schedule - Summary \*

As of 04/30/2014

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Mature	Bond Description	CUSIP	Total Par Value
<b>30 Days</b>			
05/15/14	BANK OF NEW YORK MELLON Coupon Rate: 4.30%	06406HBL2	\$2,760,000
<b>Total 30 Days</b>			<b>\$2,760,000</b>
<b>30+ Days to 90 Days</b>			
07/15/14	FED HOME LN MTG CORP Coupon Rate: 5.00%	3134A4UU6	2,695,000
<b>Total 30+ Days to 90 Days</b>			<b>\$2,695,000</b>
<b>90+ Days to 1 Year</b>			
07/30/14	FED HOME LN MTG CORP MED TERM NOTE Coupon Rate: 1.00%	3137EACU1	2,940,000
08/29/14	JPMORGAN SECURITIES LLC C/P Coupon Rate: 0.00%	46640QHV6	5,000,000
09/02/14	BNP PARIBAS FINANCE INC C/P Coupon Rate: 0.00%	0556N1J20	5,000,000
09/15/14	GENERAL ELECTRIC CAPTIAL CORP Coupon Rate: 4.75%	36962GK86	2,820,000
09/16/14	FED NATL MTG ASSN Coupon Rate: 3.00%	31398AYY2	2,785,000
12/01/14	WALT DISNEY COMPANY Coupon Rate: 0.88%	25468PCQ7	4,000,000
12/18/14	CREDIT SUISSE NEW YORK YCD Coupon Rate: 0.51%	22549TQD3	5,000,000
02/13/15	WELLS FARGO & COMPANY Coupon Rate: 1.25%	94974BFA3	4,000,000
03/05/15	PEPSICO INC Coupon Rate: 0.75%	713448BX5	2,485,000
03/13/15	COCA-COLA CO Coupon Rate: 0.75%	191216AX8	4,667,000



## Bond Maturity Schedule - Summary \*

As of 04/30/2014

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Acct. 178-116821-451

Mature	Bond Description	CUSIP	Total Par Value
<b>Total 90+ Days to 1 Year</b>			<b>\$38,697,000</b>
<b>1+ Year to 5 Years</b>			
06/17/15	TOYOTA MOTOR CREDIT CORP Coupon Rate: 3.20%	89233P4B9	\$2,365,000
<b>Total 1+ Year to 5 Years</b>			<b>\$2,365,000</b>
<b>Total</b>			<b>\$46,517,000</b>

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## Asset Appraisal Report

As of 04/30/2014

CALIFORNIA MENTAL HEALTH  
SERVICES AUTHORITY (PFM)  
3043 GOLD CANAL DRIVE  
SUITE 200  
RNCHO CORDOVA CA 95670-6394

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Ph. +1 916 567-2030

Acct. 178-116821-451

Security Description	Symbol/ CUSIP	Quantity	Avg. Unit Cost	Adjusted Cost	Market Price	Market Value	Unrealized Gain/Loss	% Gain/ Loss	Estimated Annual Income	Estimated Annual Yield	% of Portfolio
<b>Fixed Income</b>											
BANK OF NEW YORK MELLON Coupon 4.30% Mature 05/15/14	06406HBL2	2,760,000.000	\$100.12	\$2,763,373	\$100.11	\$2,762,981	\$(392)	(0.0)%	\$59,340	2.1%	5.3%
BNP PARIBAS FINANCE INC C/P Coupon 0.00% Mature 09/02/14	0556N1J20	5,000,000.000	99.86	4,992,922	99.92	4,995,750	2,828	0.1	- <sup>1</sup>	-	9.6
COCA-COLA CO Coupon 0.75% Mature 03/13/15	191216AX8	4,667,000.000	100.22	4,677,039	100.42	4,686,601	9,562	0.2	35,003	0.7	9.0
CREDIT SUISSE NEW YORK YCD Coupon 0.51% Mature 12/18/14	22549TQD3	5,000,000.000	100.00	5,000,000	100.11	5,005,450	5,450	0.1	- <sup>1</sup>	-	9.6
FED HOME LN MTG CORP MED TERM NOTE Coupon 1.00% Mature 07/30/14	3137EACU1	2,940,000.000	100.12	2,943,632	100.23	2,946,762	3,130	0.1	14,700	0.5	5.7
FED HOME LN MTG CORP Coupon 5.00% Mature 07/15/14	3134A4UU6	2,695,000.000	100.91	2,719,591	101.01	2,722,300	2,709	0.1	67,375	2.5	5.2
FED NATL MTG ASSN Coupon 3.00% Mature 09/16/14	31398AYY2	2,785,000.000	100.91	2,810,462	101.09	2,815,468	5,006	0.2	41,775	1.5	5.4
GENERAL ELECTRIC CAPTIAL CORP Coupon 4.75% Mature 09/15/14	36962GK86	2,820,000.000	101.52	2,862,892	101.64	2,866,107	3,215	0.1	66,975	2.3	5.5
JPMORGAN SECURITIES LLC C/P Coupon 0.00% Mature 08/29/14	46640QHV6	5,000,000.000	99.70	4,985,167	99.94	4,996,800	11,633	0.2	- <sup>1</sup>	-	9.6
PEPSICO INC Coupon 0.75% Mature 03/05/15	713448BX5	2,485,000.000	100.43	2,495,620	100.39	2,494,741	(879)	(0.0)	18,638	0.7	4.8
TOYOTA MOTOR CREDIT CORP Coupon 3.20% Mature 06/17/15	89233P4B9	2,365,000.000	103.11	2,438,656	103.08	2,437,937	(720)	(0.0)	75,680	3.1	4.7
WALT DISNEY COMPANY Coupon 0.88% Mature 12/01/14	25468PCQ7	4,000,000.000	100.33	4,013,053	100.30	4,012,040	(1,013)	(0.0)	35,000	0.9	7.7
WELLS FARGO & COMPANY Coupon 1.25% Mature 02/13/15	94974BFA3	4,000,000.000	100.52	4,020,991	100.71	4,028,560	7,569	0.2	50,000	1.2	7.7
ACCRUED INTEREST						\$188,560					
<b>Fixed Income Totals</b>				<b>\$46,723,398</b>		<b>\$46,960,057</b>	<b>\$48,100</b>	<b>0.1%</b>	<b>\$464,486</b>	<b>1.0%</b>	<b>89.9%</b>

Third-party and Morgan Stanley Wealth Management research on certain companies is available to clients of the Firm at no cost. Clients can access this research at [www.morganstanleyclientserv.com](http://www.morganstanleyclientserv.com) or contact their Financial Advisor to request a copy of this research be sent to them.

Asset Appraisal Report

As of 04/30/2014

CALIFORNIA MENTAL HEALTH SERVICES AUTHORITY (PFM)  
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Acct. 178-116821-451

Security Description	Symbol/ CUSIP	Quantity	Avg. Unit Cost	Adjusted Cost	Market Price	Market Value	Unrealized Gain/Loss	% Gain/ Loss	Estimated Annual Income	Estimated Annual Yield	% of Portfolio
<b>Cash &amp; Equivalents</b>											
MS ACTIVE ASSETS MONEY TRUST	AAMT	5,093,300.160	\$1.00	\$5,093,300	\$1.00	\$5,093,300	N/A	N/A	- <sup>1</sup>	-	9.8%
<b>Cash &amp; Equivalents Totals</b>				<b>\$5,093,300</b>		<b>\$5,093,300</b>	-	-	-	-	<b>9.8%</b>
<b>Asset Total</b>				<b>\$51,816,698</b>		<b>\$52,053,357</b>	<b>\$48,100</b>	<b>0.1%</b>	<b>\$464,486</b>	<b>0.9%</b>	<b>100.0%</b>

<sup>1</sup>We are unable to provide projected income information for this security due to insufficient/incorrect reference data and/or the security being in default.

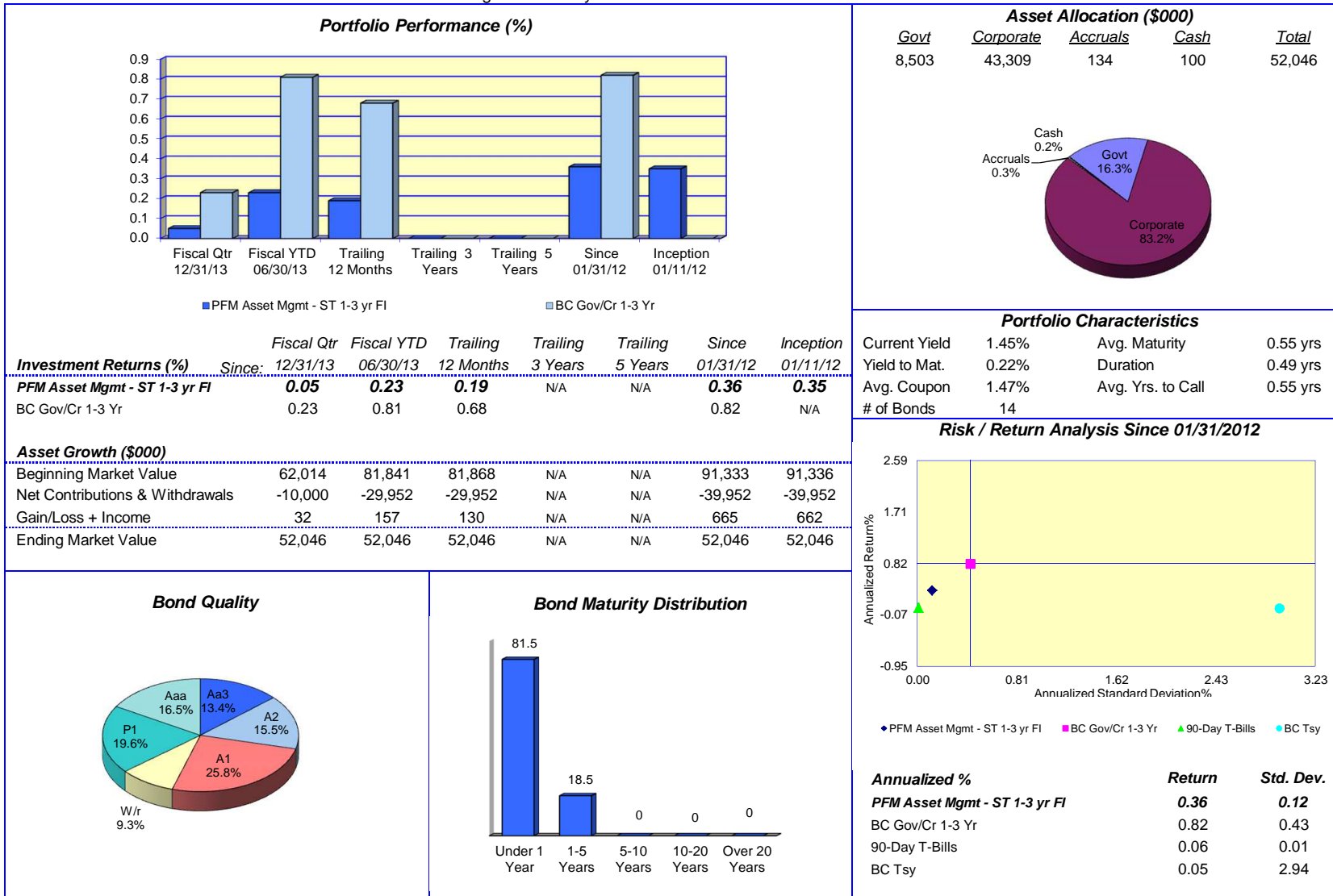
Estimated Annual Income (EAI) is calculated on a pre-tax basis and does not include any reduction for applicable non-US withholding taxes, if any. EAI for certain securities may include return of principal or capital gains which could overstate such estimates. For securities that have a defined maturity date within the next 12 months, EAI is reflected only through maturity date. Actual income or yield may be lower or higher than the estimates. Estimated yield reflects only the income generated by an investment, and does not reflect changes in its price. Accrued interest, annual income and yield for structured products with a contingent income feature (such as Range Accrual Notes or Contingent Income Notes) are estimates and assume specified accrual conditions are met during the relevant period and payment in full of all contingent interest. For Floating Rate Securities, the accrued interest, annual income and yield are estimates based on the current floating coupon rate and may not reflect historic rates within the accrual period.

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# ACCOUNT - EXECUTIVE SUMMARY

CALIFORNIA MENTAL HEALTH #178-116821 PFM Asset Mgmt - ST 1-3 yr FI

AS OF 03/31/2014



Report Created: 4/22/2014

Please refer to the attached Disclosures for important information.

INVESTMENT PRODUCTS: NOT FDIC INSURED · NO BANK GUARANTEE · MAY LOSE VALUE

# Morgan Stanley

## Information Disclosures

Please notify your Financial Advisor if there have been any changes in your financial situation or investment objectives, or if you wish to impose any reasonable restrictions on the management of your Investment Advisory accounts, or to reasonably modify existing restrictions.

For a copy of the applicable Form ADV Disclosure Document for Morgan Stanley Smith Barney LLC, or for any Investment Adviser with whom we contract to manage your investment advisory account, please contact your Financial Advisor. These Disclosure Documents contain important information about advisory programs.

### Sources and Intent

This investment evaluation is directed only to the client for whom the evaluation was performed. The underlying data has been obtained from sources the Firm believes to be reliable but we do not guarantee their accuracy, and any such information may be incomplete or condensed. This evaluation is for informational purposes only and is not intended to be an offer, solicitation, or recommendation with respect to the purchase or sale of any security or a recommendation of the services supplied by any money management organization. Past performance is not a guarantee of future results. Performance for periods greater than one year is annualized. The information contained herein was prepared by your Financial Advisor and does not represent an official statement of your account at the Firm (or other outside custodians, if applicable.) Please refer to your monthly statement for a complete record of your transactions, holdings and balances.

This Performance Report may show the consolidated performance of some, but not necessarily all, of your Morgan Stanley accounts. In addition, it may show the full performance history of your accounts or just the performance of your accounts since inception in their current Morgan Stanley programs. In some cases, it may show the combined performance of brokerage accounts and advisory accounts. It is important that you understand the combination of accounts and account histories that are included in this Performance Report. Upon your request, performance information can be obtained for other accounts you may have with us, but which are not shown here.

Accounts included in this Performance Report may have had different investment objectives, been subject to different rules and restrictions, and incurred different types of fees, mark-ups, commissions, and other charges. Accordingly, the performance results for this portfolio may blend the performance of assets and strategies that may not have been available in all of your accounts at all times during the reporting period. Please consult your Financial Advisor for more information about the fees and expenses applicable to the accounts included in this Performance Report.

### Net Rates of Return

The investment returns in this report for your account as a whole are your net returns after deducting investment management fees and any Select Retirement fees. For more details on fees, please see your client contract, the applicable Morgan Stanley ADV brochure and any applicable Select Retirement prospectus. Returns in excess of one year are annualized. **Select UMA accounts:** If this report is for a Select UMA account, the investment returns shown for the individual investment managers are your gross returns for each manager before deducting investment management fees and any Select Retirement fees. The returns for each manager would be lower if these fees were deducted.

### Advisory Notice

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### Bond Average

Please note that all averages calculated are weighted averages meaning that the calculation takes into account the par value of each position. CMO's and Asset Backed securities are excluded from the calculation. Any bonds that are non-rated by both Moody's and S&P are excluded from the average rating calculation.

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*Report Created: 4/22/2014*

# Morgan Stanley

## **Fiscal Year**

Acct# 178-116821's fiscal year ends on 2014/06

## **International and Small Capitalization Securities**

To the extent the investments depicted herein represent international securities, you should be aware that there may be additional risks associated with international investing involving foreign, economic, political, and/or legal factors. International investing may not be for everyone. In addition, small capitalization securities may be more volatile than those of larger companies, but these companies may present greater growth potential.

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## **Additional Information about your Floating Rate Notes**

For floating rate securities, the estimated accrued interest and estimated annual income are based on the current floating coupon rate and may not reflect historic rates within the accrual period.

## **Daily Performance**

Beginning January 1, 2005 (former Smith Barney accounts) and July 1, 2011 (former Morgan Stanley accounts), portfolio performance is calculated using a daily valuation methodology, with contributions and withdrawals to the portfolio reflected as of days they were actually made. Portfolio performance for earlier periods reflects various methodologies. Different calculation methods may result in portfolio performance figures that vary from those shown above.

## **Account Primary Index**

### **Custom Blended Index**

BC Gov/Cr 1-3 Yr: The Barclays 1-3 Year Government/Credit Bond Index contains bonds that are investment grade with maturities between one and three years.

90-Day T-Bills: The 90-Day Treasury Bill is a short-term obligation issued by the United States government. T-bills are purchased at a discount to the full face value, and the investor receives the full value when they mature. The difference of discount is the interest earned. T-bills are issued in denominations of \$10,000 auction and \$1,000 increments thereafter.

BC Tsy: This BC U.S. Treasury index is the U.S. Treasury component of the U.S. Government index. This index consists of public obligations of the U.S. Treasury with a remaining maturity of one year or more. Exclusions include: Treasury bills are excluded (because of maturity constraint); Certain special issues, such as flower bonds, targeted investor notes (TINs), and state and local government series (SLGs) bonds are excluded; Coupon issues that have been stripped are reflected in the index based on the underlying coupon issue rather than in stripped form. Thus STRIPS are excluded from the index because their inclusion would result in double counting. However, for investors with significant holdings of STRIPS, customized benchmarks are available that include STRIPS and a corresponding decreased weighting of coupon issues; Treasuries not included in the Aggregate Index, such as bills, coupons, and bellwethers, can be found in the index group Other Government on the Index Map; As of December 31, 1997, Treasury Inflation-Protection Securities (TIPS) have been removed from the Aggregate Index. The TIPS index is now a component of the Global Real index group.

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Report Created: 4/22/2014

# Morgan Stanley

## Alpha

Alpha is the value added by active management of the portfolio's assets, given the risk of that portfolio. In other words, alpha is equal to the incremental return earned by the manager when the market is flat or stationary. An alpha of zero indicates that the manager earned the exact return dictated by the level of market risk (i.e., beta) of the portfolio. A positive alpha indicates that the manager has earned, on average, more than the portfolio's level of market risk would have dictated. A negative alpha indicates that the manager has earned, on average, less than the portfolio's level of market risk would have dictated. Alpha is the Y-intercept of the least squares regression line.

## Beta

Beta is the systematic risk of the portfolio. Measured by the slope of the least squares regression, beta is the measure of portfolio risk which cannot be removed through diversification. Beta is also known as market risk. Beta is a statistical estimate of the average change in the portfolio's performance with a corresponding 1.0 percent change in the risk index. A beta of 1.0 indicates that the portfolio moves, on average, lock step with the risk index. A beta in excess of 1.0 indicates that the portfolio is highly sensitive to movements in the risk index. A beta of 1.5, for example, indicates that the portfolio tends to move 1.5 percent with every 1.0 percent movement in the risk index. A beta of less than 1.0 indicates that the portfolio is not as sensitive to movements in the risk index. A beta of 0.5, for example, indicates that the portfolio moves only 0.5 percent for every 1.0 percent movement in the risk index.

## R-Squared

R-squared, or the coefficient of determination, measures the strength of the least squares regression relationship between the portfolio (the dependent variable) and the risk index (the independent variable). The statistic reveals the extent to which the variability in the dependent variable is due to the variability in the independent variable. As such, R-squared measures how well the portfolio returns move in tandem with the returns of the risk benchmark. Though it is true that the higher the R-squared the better, an R-squared of less than 0.9 (i.e., 90 percent), indicates that the total fund does not track closely with the risk benchmark. The strength of the R-squared statistic will reflect on the strength of alpha and beta. A weak R-squared, for example, would indicate that alpha and beta cannot be strictly interpreted.

## Brokerage Account

In a brokerage relationship, your Financial Advisor will work with you to facilitate the execution of securities transactions on your behalf. Your Financial Advisor also provides investor education and professional, personalized information about financial products and services in connection with these brokerage services. You can choose how you want to pay for these services and you will receive the same services regardless of which pricing option you choose. There are important differences in your relationship with your Financial Advisor and Morgan Stanley in brokerage accounts and in advisory accounts.

Asset classifications and performance calculation methodologies can differ among the various supplemental performance reports available through us. For example, some reports calculate Time Weighted performance using a weighted or Modified Dietz approach while others use a daily approach. In addition, some reports may display Dollar Weighted Returns. These differences can generate meaningful dispersions in the performance numbers displayed on different reports.

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Report Created: 4/22/2014



"A George Hills Company Administered JPA"

## FINANCE COMMITTEE CALENDAR of MEETINGS FISCAL YEAR 2014-2015

<b><u>Date:</u></b>	<b><u>Time:</u></b>	<b><u>Location:</u></b>
July 28, 2014	3:00 pm – 4:00 pm	Teleconference <i>Financial Audit Engagement Letter State Hospital Beds</i>
December 1, 2014	3:00 pm – 4:00 pm	Teleconference <i>Review of Draft Financial Audit, June 30, 2014 Review of the first quarter financial statements for the period ending September 30, 2014</i>
March 23, 2015	3:00 pm – 4:00 pm	Teleconference <i>Review of the second quarter financial statements for the period ending December 31, 2014</i>
May 11, 2015	3:00 pm – 4:30 pm	Teleconference <i>Review of the third quarter financial statements for the period ending March 31, 2015 Review of Annual Revenue and Expense Report – Proposed Budget, June 30, 2016 for presentation at June 12, 2015 Board of Directors Meeting</i>



**CONSENT CALENDAR**  
**Agenda Item 5.C**

**SUBJECT: Phase One Plan Contract Amendments**

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**ACTION FOR CONSIDERATION:**

Approval of this item will authorize staff to negotiate contracts with current contractors, and subcontractors working on the Directing Change Program, consistent with the Phase I Prioritized Program recommendations approved by the Executive Committee in April 2014, for amounts that in the aggregate do not exceed the approved budget and subject to availability of funds. Approval will also authorize execution of such contracts by President of the Board.

**BACKGROUND AND STATUS:**

Since 2011, CalMHSA member counties have worked together to implement Statewide Prevention and Early Intervention (PEI) programs to prevent suicides, reduce stigma and discrimination, and improve student mental health. The initial funding available for these programs was one-time and designated for a four year period ending June 30, 2014. The Board and Sustainability Task Force have worked to determine the process and means to sustain the CalMHSA PEI Statewide Projects, and in December 2013 voted to adopt a one year continuation of the programs from July 1, 2014 – June 30, 2015 (referred to as Phase I). In April 2014, at the CalMHSA Strategic Planning Meeting, the Executive Committee approved Phase I Prioritized Program recommendations by the Sustainability Task Force and Advisory Committee to be implemented based upon available funding.

In February 2014, the CalMHSA Board approved a Sustainability Funding Framework for the Phase I Plan. This framework includes seeking new funding from counties, one-time funds remaining from the initial PEI investment from counties (contingency, unobligated carry over, and interest) and other funding sources (e.g. match, private and State funds).

- In May 2014, the CalMHSA Finance Committee approved a recommendation to apply all unobligated carry over (\$5.7 million), interest earnings (\$3.1 million) and new funding from counties to FY 14-15 and hold contingency funds for future years.
- To date, letters of acknowledgement totaling about \$5.5 million were received from 35 counties. The letters serve as notice of present objectives and are non-binding; counties must comply with state and local policies before providing such funding.

The allocation of available program funding by initiative is shown below.

<b>Initiative</b>	<b>Initial Proposed Budget</b>	<b>Available Funding</b>
Student Mental Health	\$3.7 million	\$2.8 million
Stigma and Discrimination Reduction	\$6.6 million	\$4.5 million

Suicide Prevention	\$8.2 million	\$5.0 million
<b>Total</b>	<b>\$18.5 million</b>	<b>\$12.3 million</b>

The Procurement Policy generally requires that procurement of goods or services over \$5,000 be by a competitive selection process, but there are exceptions for situations where the vendor's prior experience is vital, where the contractor has a unique ability to provide services within the relevant timeframe, and where the existing services were procured through a competitive process and who is willing to provide additional services on the same terms as before and where a new process is unlikely to provide significant benefit to CalMHSA.

The existing contractors were selected through a competitive process and have offered to continue performing similar services on similar terms. Staff proposes to extend contracts only to those contractors whose performance has been satisfactory. CalMHSA staff also seeks authority to contract directly with subcontractors of AdEase for continuation of work they currently perform on the Directing Change Program if it would create administrative efficiencies and be more cost effective. Conducting a new selection process would take significant staff time and effort, and appears unlikely to result in any benefit to CalMHSA or the selection of different contractors, in part because other contractors would be unlikely to be able to maintain continuity with ongoing programs. Counsel has reviewed this justification and believes it complies with Section 7 of the Procurement Policy.

**ACTION:**

Approval of this item will authorize staff to negotiate contracts with current contractors, and subcontractors working on the Directing Change Program, consistent with the Phase I Prioritized Program recommendations approved by the Executive Committee in April 2014, for amounts that in the aggregate do not exceed the approved budget and subject to availability of funds. Approval will also authorize execution of such contracts by President of the Board.

**REFERENCE MATERIAL(S) ATTACHED:**

- Phase One Program Priorities Document

## CalMHSA PHASE ONE PROGRAM PRIORITIES

### STUDENT MENTAL HEALTH (SMH) - Program Priorities Phase One Initial Proposed Budget: \$3.7 million, Available Funding: Up to \$2.8 million

PROGRAM	PRIORITY ACTIVITIES TO CONTINUE	REVISED PRIORITY ACTIVITIES BASED ON AVAILABLE FUNDING
Statewide Higher Education <i>California Community Colleges</i>	<ul style="list-style-type: none"> <li>• Continue suicide prevention training,</li> <li>• Student peer support</li> <li>• Maintain website and clearinghouse</li> <li>• Limited campus based grants</li> <li>• Staff/faculty/student training on mental health related topics</li> </ul>	<ul style="list-style-type: none"> <li>• Continue suicide prevention training,</li> <li>• Student peer support</li> <li>• Maintain website and clearinghouse</li> <li>• Limited campus based grants</li> <li>• Staff/faculty/student training on mental health related topics</li> </ul> <p><b>Estimated budget: Up to \$1 million</b></p>
Statewide Higher Education <i>California State University</i>	<ul style="list-style-type: none"> <li>• Maintain Chancellor's Office staff for ongoing coordination of campus based mental health programs and training</li> <li>• Student Health 101 online magazine</li> <li>• Maintain website and clearinghouse</li> <li>• Limited training</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain Chancellor's Office staff for ongoing coordination of campus based mental health programs and training</li> <li>• Student Health 101 online magazine</li> <li>• Maintain website and clearinghouse</li> <li>• Limited training- IVST</li> <li>• Limited campus based grants</li> </ul> <p><b>Estimated budget: Up to \$350,000</b></p>
Statewide K-12 <i>California Department of Education</i>	<ul style="list-style-type: none"> <li>• Continue staffing for SMHPW</li> <li>• Dissemination of mental health activities through CDE</li> <li>• Hold legislative briefing</li> </ul>	<ul style="list-style-type: none"> <li>• Resources to support the work of the SMHPW</li> <li>• Dissemination of mental health activities through CDE</li> </ul> <p><b>Estimated budget: Up to \$75,000</b></p>
Regional K-12 <i>California County Superintendents Educational Services Association</i>	<ul style="list-style-type: none"> <li>• Statewide coordination of training and technical assistance</li> <li>• Regional networks</li> <li>• Local demonstration projects per county requests</li> <li>• Website maintenance</li> </ul>	<ul style="list-style-type: none"> <li>• Statewide coordination of regional network for training, technical assistance, dissemination of SMH resources</li> <li>• Local demonstration projects per county requests</li> <li>• Website maintenance</li> <li>• Support continued data collection</li> </ul> <p><b>Estimated budget: Up to \$1 million</b></p>
Statewide Higher Education <i>University of California</i>	<ul style="list-style-type: none"> <li>• Maintain staffing for statewide coordination and some training</li> <li>• Maintain website</li> <li>• Suicide prevention screening</li> <li>• Limited Training</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain staffing for statewide coordination</li> <li>• Maintain website</li> <li>• Suicide prevention screenings on reduced basis</li> <li>• Limited Training</li> <li>• Support campus peer activities</li> </ul> <p><b>Estimated budget: Up to \$300,000</b></p>

**STIGMA AND DISCRIMINATION REDUCTION (SDR) - Program Priorities Phase One**  
**Initial Proposed Budget: \$6.6 million, Available Funding: Up to \$4.5 million**

PROGRAM	PRIORITY ACTIVITIES TO CONTINUE	REVISED PRIORITY ACTIVITIES BASED ON AVAILABLE FUNDING
<p>Strategies for a Supportive Environment Program</p> <p><i>Contractors: SDR Consortium, Social Marketing/ RSE, and United Advocates for Children and Youth</i></p>	<ul style="list-style-type: none"> <li>• Maintain SDR campaign websites in English and Spanish (<a href="http://www.eachmindmatters.org">www.eachmindmatters.org</a>, <a href="http://www.reachouthere.com">www.reachouthere.com</a>, <a href="http://www.walkinourshoes.org">www.walkinourshoes.org</a>)</li> <li>• Provide technical assistance for local integration and dissemination of tools and materials (including cultural/ethnic specific). Refresh (and/or trans-adapt) materials as needed based on feedback from local communities</li> <li>• Administer mini-grants for Speaker's Bureau and Community Dialogues</li> <li>• Provide material distribution to support SDR Campaign dissemination</li> <li>• Provide low-cost media (digital/online) buys</li> <li>• Print and distribute campaign materials and educational resources to key community constituencies</li> <li>• Seek partners to leverage resources in order to continue the Walk In Our Shoes (9-13 yrs.) School Theatre Performances</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain SDR campaign websites in English and Spanish (<a href="http://www.eachmindmatters.org">www.eachmindmatters.org</a>, <a href="http://www.reachouthere.com">www.reachouthere.com</a>, <a href="http://www.walkinourshoes.org">www.walkinourshoes.org</a>). This support includes two-way texting support program under ReachOutHere and content/quality improvement to the WIOS website (e.g. teacher training curriculum). This support also includes search engine optimization strategies</li> <li>• Strengthen the messaging, tools, and resources for the Spanish language campaign - <i>SanaMente</i></li> <li>• Provide technical assistance for local integration and dissemination of tools and materials (including cultural/ethnic specific resources) and provide limited mini-marketing funds to support local adaption and dissemination</li> <li>• Administer more <i>limited</i> mini-grants for Speaker's Bureaus and Community Dialogues</li> <li>• Provide material distribution to support SDR Campaign dissemination and support for local Each Mind Matters ambassadors</li> <li>• Print and distribute campaign materials and educational resources to key community constituencies</li> <li>• Continue the Walk In Our Shoes (9-13 yrs.) School Theatre Performances on a limited basis, focusing performances on contributing counties</li> <li>• If funds remain, after distribution of resources to support existing quality speakers bureaus, provide transitional support to recently certified Mental Health First Aid (MHFA) Instructors such as marketing, materials and quality improvement efforts</li> </ul> <p><b>Estimated budget: Up to \$3.1 million</b></p>

PROGRAM	PRIORITY ACTIVITIES TO CONTINUE	REVISED PRIORITY ACTIVITIES BASED ON AVAILABLE FUNDING
<p>Values, Practices and Policies Program</p> <p><i>Contractors: NAMI-CA, Integrated Behavioral Health Project, Entertainment Industries Council, Mental Health Association in CA</i></p>	<ul style="list-style-type: none"> <li>• Provide technical assistance for local NAMI affiliates to build cultural competency capacity and to support the use of new and innovative programs like the IOOV cultural adaptations and Ending the Silence (ETS)</li> <li>• Support the Directing Change 2015 student video contest in collaboration with SP and SMH partners</li> <li>• Continue training, consultation and outreach to journalists, media, and educational partners to support accurate reporting on mental health and mental illness.</li> <li>• Continue Integrated Behavioral Health Project dissemination including making available technical assistance for counties, as available, and supporting parity implementation efforts</li> <li>• Provide technical assistance for the adoption and use of the Peer Provider Toolkit</li> <li>• Market Mental Health/Wellness training to employers, with employers paying a match for the training</li> </ul>	<ul style="list-style-type: none"> <li>• Provide technical assistance for local NAMI affiliates to build cultural competency capacity and to support the use of new and innovative programs like the IOOV cultural adaptations and Ending the Silence (ETS), act as a partner in the Directing Change program</li> <li>• Continue training, consultation and outreach to journalists, media, and educational partners to support accurate reporting on mental health and mental illness.</li> <li>• Continue Integrated Behavioral Health Project dissemination including making available technical assistance for counties, as available, and supporting parity implementation efforts</li> <li>• Provide technical assistance for the adoption and use of the Peer Provider Toolkit</li> <li>• Market Mental Health/Wellness training to employers, with employers paying a match for the training</li> <li>• All programs should leverage and partner with other organizations to continue to disseminate the products and tools developed as part of the CalMHSA contract</li> </ul> <p><b>Estimated budget: Up to \$ 1.05 million</b></p>
<p>Advancing Policy to Eliminate Discrimination Program</p> <p><i>Contractor: Disability Rights CA</i></p>	<ul style="list-style-type: none"> <li>• Continue work on parity education, identification of gaps and strategies and address them, including legislation and support for enforcement</li> <li>• Leverage and partner with other policy and advocacy entities to support systemic elimination of stigma by implementing some of the recommendations identified in completed policy papers</li> </ul>	<ul style="list-style-type: none"> <li>• Continue work on parity education/training, identification of gaps in the policy and its implementation and strategies and address them. This may include identifying policy strategies to support enforcement</li> <li>• Leverage and partner with other organizations to continue to disseminate products and tools developed as part of the CalMHSA contract</li> </ul> <p><b>Estimated budget: Up to \$150,000</b></p>
<p>Integrate the Promising Practices and Values, Practices, and Policies Program</p> <p><i>Contractor: Mental Health Association of San Francisco</i></p>	<ul style="list-style-type: none"> <li>• Support website/registry maintenance</li> <li>• Continue technical assistance to peer organizations and online dissemination of best practices and promising practices for SDR</li> <li>• Support capacity building for peer run organizations</li> <li>• Support the local adoption and use of innovative practices, if possible, such as suicide attempt survivor peer support services</li> </ul>	<ul style="list-style-type: none"> <li>• Support website/registry maintenance</li> <li>• Continue, <i>on a limited basis</i>, technical assistance to peer organizations and online dissemination of best practices and promising practices for SDR</li> <li>• Support, <i>as possible</i>, continued capacity building for peer run organizations</li> <li>• Leverage and partner with other organizations to continue to disseminate products and tools developed as part of the CalMHSA contract</li> </ul> <p><b>Estimated budget: Up to \$200,000</b></p>

**SUICIDE PREVENTION (SP) - Program Priorities Phase One**  
**Estimated Cost: \$8.2 million, Available Funding: up to \$5.0 million**

PROGRAM	PRIORITY ACTIVITIES TO CONTINUE	REVISED PRIORITY ACTIVITIES BASED ON AVAILABLE FUNDING
<p>Suicide Prevention Social Marketing Campaign</p> <p><i>Contractor:</i> <i>AdEase</i></p>	<ul style="list-style-type: none"> <li>Maintain SP campaign websites: <a href="http://www.SuicideisPreventable.org">www.SuicideisPreventable.org</a> and <a href="http://www.elsuicidiodoesprevenible.org">www.elsuicidiodoesprevenible.org</a></li> <li>Revise Your Voice Counts website to act as an accessible resource center for all campaign tools and materials</li> <li>Provide technical assistance for local integration and dissemination of materials (including cultural/ethnic specific). Refresh materials as needed based on feedback from local communities</li> <li>Support the Directing Change 2015 student video contest in collaboration with SDR and SMH partners</li> <li>Provide low-cost media (digital/online) buys</li> <li>Print and distribute campaign materials and educational resources to key community constituencies</li> </ul>	<ul style="list-style-type: none"> <li>Maintain SP campaign websites: <a href="http://www.SuicideisPreventable.org">www.SuicideisPreventable.org</a> and <a href="http://www.elsuicidiodoesprevenible.org">www.elsuicidiodoesprevenible.org</a>. This support includes search engine optimization strategies. Maintain Your Voice Counts website to act as an accessible resource center for all campaign tools and materials but work to transition its use as part of an overall effort to streamline and make accessible various tools and resources across all three statewide PEI program components.</li> <li>Provide limited technical assistance for local integration and dissemination of materials (including cultural/ethnic specific). Such TA includes county co-branding of campaign materials</li> <li>Coordinate delivery of technical assistance with the Each Mind Matters team TA</li> <li>Fund the Directing Change Student Video Contest/ Program</li> <li>Purchase low-cost media (digital), if feasible</li> <li>Print and distribute campaign materials and educational resources to key community constituencies identified as priority partners, leverage opportunities for dissemination</li> </ul> <p><b>Estimated budget: Up to \$2.15 million</b></p>
<p>Regional &amp; Local Suicide Prevention Capacity-Building Program</p> <p><i>Contractors:</i></p> <ul style="list-style-type: none"> <li><i>Didi Hirsch Mental Health Services</i></li> <li><i>Family Services Agency of Marin</i></li> <li><i>Family Services Agency of the Central Coast</i></li> <li><i>Institute on Aging</i></li> <li><i>Kings View</i></li> <li><i>San Francisco Suicide Prevention</i></li> <li><i>Transitions-Mental Health Association</i></li> </ul>	<ul style="list-style-type: none"> <li>Provide limited support to local crisis centers to maintain new and expanded capacity and develop ongoing funding strategies (Allocation of funds will be weighted and based on support within each region)</li> </ul>	<ul style="list-style-type: none"> <li>Provide limited support to local crisis centers to maintain new and expanded capacity and develop ongoing funding strategies (Allocation of funds will be weighted and based on support within each region)</li> </ul> <p><b>Estimated budget: Up to \$2.4 million</b></p>

PROGRAM	PRIORITY ACTIVITIES TO CONTINUE	REVISED PRIORITY ACTIVITIES BASED ON AVAILABLE FUNDING
<p>Suicide Prevention Training &amp; Workforce Enhancement Program</p> <p><i>Contractor: LivingWorks Education</i></p>	<ul style="list-style-type: none"> <li>• Maintain capacity for statewide coordination of safeTALK and ASIST training</li> <li>• Provide technical assistance and coaching for newly certified safeTALK and ASIST trainers to support the investment made in trainers</li> <li>• Provide limited Training for Trainers opportunities, in order to maintain trainer capacity</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain capacity for statewide coordination of safeTALK and ASIST training</li> <li>• Provide technical assistance and coaching for newly certified safeTALK and ASIST trainers to support the investment made in trainers</li> <li>• Provide limited Training for Trainers opportunities, in order to maintain trainer capacity</li> </ul> <p><b>Estimated budget: Up to \$300,000</b></p>
<p>Suicide Prevention Network Program</p> <p><i>Contractor: Didi Hirsch Mental Health Services</i></p>	<ul style="list-style-type: none"> <li>• Maintain Common Metrics data collection and provide technical assistance to expand project to other suicide prevention crisis centers in the state</li> <li>• Promote utilization of regional best practices within local communities</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain Common Metrics data collection and provide technical assistance to expand project to other suicide prevention crisis centers in the state</li> <li>• Promote utilization of regional best practices within local communities</li> </ul> <p><b>Estimated budget: Up to \$125,000</b></p>

## **CONSENT CALENDAR**

### **Agenda Item 5.D**

**SUBJECT: Department of State Hospitals Update**

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**ACTION FOR CONSIDERATION:**

None, information only.

**BACKGROUND AND STATUS:**

**2013-2014 MOU**—has been distributed to all participating members for Board of Supervisor (BOS) approval and signature.

**Participation Agreements**—have been distributed to all participating members for review and approval. Several counties have indicated they are in various stages of completion.

**Next Steps:--move to end**

The State Hospital Bed Work Group met on January 30<sup>th</sup> to discuss the following next steps:

***SHORT TERM— 2014-15 Completion***

- a. Complete negotiation for 2014-15
- b. Prepare a Request for Information (RFI) for Opportunities
- c. Pursue WIC 17601 election with Department of Finance (DOF)—*ongoing discussions*
- d. Pursue State Hospital Medicare reimbursement with DOF — *on going discussions with DOF*
- e. Contract Management (Compliance/Conflict Resolution w/terms of MOU)

***MID-TERM—start in 2014-15***

- a. Development of Best Practices and a Training and Curriculum tool that could be shared with all counties for their use.
- b. Database (*need to balance this with what DSH Portal now has populated*)



- i. Creation based on benefit—as alternative considered control and custody of joint data will be critical
- ii. Bed usage—type, length of stay, hospital, bed rate(s), age, gender, race, demographics, internal transition of levels of care
- iii. Conservatorship Status, Axis, Co-occurring, Recidivism, Level of Risk, Integration
- iv. Records of services
- v. Repository and hub for information sharing

**Request for Interest (RFI)**— A draft RFI has been developed for initial review of the SHB Workgroup. Upon final review and input, it will be distributed to counties for additional input.

**Summary of Recent Meeting(s):**

**The Department of State Hospitals (DSH)** – The last meeting with DSH was held on February 26, 2014, where they indicated moving forward with issuing trailer bill language to allow for billing counties for beds used vs. a commitment, interest in blended rate, negotiating a lower rate, and changes to FY14-15 MOU.

**Department of Finance (DOF)** – Two meetings have taken place with DOF where they were collaborative and willing to address our two fiscal long running issues, 17601 annual election and third-party, as related to DSH. As it relates to 17601, we asked for clarity on the statute and their and State Controller Office (SCO) interpretation. The third-party pay, they have indicated not having the necessary staff to file claims for Medicare. Of the ones they filed that are disallowed, not enough staff to follow up and re-submit. They collected \$3.8 million last year in general funds, of which 8% is county money.

**Senator Darrell Steinberg's Office Staff** – CalMHSA staff has met three times with Darby Kernan, Policy Consultant, with one meeting that included Andrea Margolis, Assembly Budget Committee and Julie Salley-Gray, Senate Budget committee. These discussions consisted of DSH's proposed trailer bill language, rate negotiations, 17601 annual election, and third-party pay.

**County Counsels Association of California** - Doug Alliston, CalMHSA Legal Counsel, has been in continued discussions with Jennifer Henning, Executive Director, County Counsels Association of California, in an effort to obtain all County Counsels input documents such as MOUs and RFI.

**Summary of meetings** – Given the number of meetings staff has had with DOF, it lead them to raise questions with both DSH and SCO as to current process and statutes. As such,

DSH requested the meeting of May 1, 2014 be cancelled to allow the department time to present some clarity on the statute to the Workgroup. Therefore, the meeting was rescheduled for June 10, 2014, which will include DSH, SCO and DOF. Given most of the Workgroup's concerns with the FY 14-15 MOU are fiscally related, DSH determined it made sense to move away from perusing trailer bill language and would work with both SCO and DOF to offer the counties some payment options.

**Next Workgroup Meeting(s):**

The next workgroup meeting is to be scheduled immediately following the June 10, 2014 DSH meeting.

**FISCAL IMPACT:**

None

**RECOMMENDATION:**

None, information only.

**TYPE OF VOTE REQUIRED:**

None

**REFERENCE MATERIAL(S) ATTACHED:**

- Status of Documents/ Payments

**CalMHSA State Hospital Bed Program  
Status of Documents and Payments**

STATUS OF DOCUMENTS			PAYMENTS RECIEVED TO DATE							
Counties	FY 13/14 MOU	PA	Planing and Development FY 12/13	PAID	Planing and Development FY 13/14	PAID	Prorated Operation Cost FY 13/14	PAID	Estimated annual Operation Costs FY 14-15 and Beyond	TOTAL
<b>Counties that Procure Beds</b>										
Alameda										
Contra Costa										
Fresno			284.00	✓	155.00	✓	701.00	✓	1,402.00	<b>2,542.00</b>
Imperial										
Kern		✓	2,274.08	✓	1,238.00	✓	5,608.00		11,216.00	<b>1,238.00</b>
Los Angeles			55,999.00	✓	30,496.00		138,090.00		276,194.00	<b>55,999.00</b>
Madera	✓	✓	284.00	✓	155.00	✓	701.00		1,402.00	<b>439.00</b>
Marin	✓		1,137.00	✓	619.00	✓	2,804.00	✓	5,608.00	<b>4,560.00</b>
Monterey			1,137.00	✓	619.00	✓	2,804.00	✓	5,608.00	<b>4,560.00</b>
Napa			852.00	✓	464.00	✓	2,103.00		4,206.00	<b>1,316.00</b>
Orange	✓	✓	4,832.00	✓	2,632.00		11,917.00		23,834.00	<b>43,215.00</b>
Placer	✓	✓	852.00	✓	464.00	✓	2,103.00	✓	4,206.00	<b>3,419.00</b>
Riverside	✓	✓	5,400.00	✓	2,941.00	✓	13,319.00	✓	26,638.00	<b>21,660.00</b>
Sacramento	✓	✓	5,116.00	✓	2,786.00	✓	12,618.00	✓	25,236.00	<b>20,520.00</b>
San Bernardino			3,409.00	✓	1,858.00	✓	8,412.00	✓	16,824.00	<b>13,679.00</b>
San Diego			4,548.00	✓	2,477.00	✓	11,216.00	✓	22,432.00	<b>18,241.00</b>
San Francisco										
San Joaquin	✓		852.00	✓	464.00	✓	2,103.00	✓	4,206.00	<b>3,419.00</b>
San Mateo										
Santa Barbara										
Santa Clara										
Santa Cruz			284.00	✓	155.00	✓	701.00	✓	1,402.00	<b>1,140.00</b>
Solano			852.00		464.00	✓	2,103.00		4,206.00	<b>464.00</b>

**CalMHSA State Hospital Bed Program  
Status of Documents and Payments**

Sonoma										
Stanislaus	✓		852.00	✓	464.00	✓	2,103.00	✓	4,206.00	<b>3,419.00</b>
Tulare			1,705.00	✓	929.00	✓	4,206.00	✓	8,412.00	<b>6,840.00</b>
Ventura	✓									
Yolo	✓									
<b>Non Purchasing Counties</b>										
Colusa										
San Luis Obispo										
Sutter/Yuba										
Butte										
Glenn										
Trinity										
Modoc										
Lake*			568.00		310.00					<b>878.00</b>
Siskiyou										
Mendocino*			284.00	✓	155.00	✓	701.00		1,402.00	<b>439.00</b>
El Dorado										
Humboldt										
Lassen										
Mariposa										
Tuolumne										
San Benito										
Tri-City										
Del Norte										
Shasta										
Kings*			284.00	✓	155.00	✓	701.00	✓	1,402.00	<b>1,140.00</b>
Berkeley										
Inyo		✓								
Mono										
Nevada										
Amador	✓									
Calaveras										
Merced										
Alpine										

**CalMHSA State Hospital Bed Program  
Status of Documents and Payments**

Plumas									
Sierra									
Tehama									
Total		90,385.08		16,562.00		63,791.00		450,042.00	<b>170,738.08</b>

\* No longer purchasing state hospital beds.

NOTE: Grand total of \$168,464 reflects funds received to date. These are identified with a check mark next to them.

## **CONSENT CALENDAR**

### **Agenda Item 5.E**

**SUBJECT: Short-Doyle Modernization**

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**ACTION FOR CONSIDERATION:**

None, information only.

**BACKGROUND:**

The Department of Health Care Services (DHCS) has indicated the need to explore options to transition from Short-Doyle 2 to a new billing system. In response, the CMHDA Financial Services and Information Technology (IT) Committee members and staff proposed a migration from the state-operated Short-Doyle 2 system to HIPAA-compliant, county-based encounter data systems that use certified vendors/systems to collect and store encounter information in a HIPAA-compliant format locally. This solution is intended to simplify the federal reimbursement process for the state and counties, and allow counties and their vendors to fully implement the federal information coding and exchange requirements. This effort, which has been referred to as “Short Doyle 3” or “Short Doyle Quality Improvement” is now being referred to as “Short Doyle Modernization” to reflect the longer term goals of the project, such as state and county collaboration on reaching Medicaid Information Technology Architecture (MITA) maturity goals.

Counties have taken action on this topic through both CMHDA and CalMHSA: At the May 9, 2013 CMHDA All Directors Meeting, members voted to approve the IT Committee’s CMHDA/DHCS Short-Doyle 3 Feasibility Study Partnership Proposal. At the July 25, 2013 CalMHSA Executive Committee Meeting, staff was authorized to work with CMHDA and DHCS on this project. At the August 15, 2013 CalMHSA Board Meeting, the allocation methodology outlined in MHSI Information Notice 13-15 was approved as the methodology to be used in determining each county’s share of the estimated \$300,000 cost for these quality improvement efforts. CalMHSA invoiced counties for their estimated share of cost, should they wish to participate. Financial participation is not mandatory; however, if full participation is not achieved, counties may need to increase their level of funding. Staff calculated a possible range for the share of cost.

To date, 41 counties have contributed to fund this modernization effort. An additional 8 counties have expressed that they intend to contribute and are working through their local approval process (Alameda, El Dorado, Humboldt, Los Angeles, Orange, Santa Barbara, Santa Clara, and Solano). Three counties have elected to opt out (Lassen, Mariposa, Tri-City) and the status of the remaining 7 counties is unknown (Alpine, Amador, Kings, Mendocino, Plumas, Santa Cruz, Sierra).

CMHDA and CalMHSA staff are available to discuss any questions or concerns regarding this effort. Please contact Sarah Brichler if you have questions or are in need of additional supporting documents for your local approval process (sarah.brichler@calmhsa.org, 602-501-8696).

**STATUS:**

Beginning in October 2013, Governance Council meetings have been convened with leadership from DHCS and counties. These meetings are intended to allow the parties involved to articulate goals, outline state and federal billing requirements, and obtain consensus on the direction of the study. The goal of the Governance Council meetings is to reach consensus on the direction of the claims system modernization efforts. Currently, CMHDA, CalMHSA and DHCS are working together to develop a detailed implementation plan for short and long term solutions to Short Doyle 2. This plan is intended to include:

- Short term adjustments to Short Doyle 2 that support the continued operation and processing of claims in anticipation of a longer term transition to a system that advances Medicaid Information Technology Architecture (MITA) maturity goals.
  - Counties were recently asked to complete a survey of their priority short term adjustments to Short Doyle 2. Initial survey results from 44 respondents indicate that the following system enhancements are the top priority for counties:
    - Improve reconciliation between 837's (claims) and 835's (remittance advice).
    - Eliminate scenarios where an entire claim file is rejected.
    - In addition, county responses indicated that two areas for improvement are expected to occur: fix current, outstanding bugs in system and improve communications between DHCS and the counties.

Concrete suggestions for improvement were provided by counties through the survey and next steps are under development. The proposed next steps will be vetted through the governance structure, ensuring that available state and counties resources are leveraged.

- Development of a pilot program to test solutions within sample counties prior to implementing system wide changes in the Medi-Cal claims reimbursement and cost settlement systems.
- Longer term solutions, such as participation in the federally required Medicaid Information Technology Architecture (MITA) process led by DHCS to ensure that

behavioral healthcare and county specific needs are documented, and technical requirements captured.

- CMHDA and CalMHSA staff recently met with DHCS leadership related to the policy side of MITA and efforts to enhance MITA maturity. CMHDA and CalMHSA staff expressed the counties' interest to be involved in behavioral health related MITA efforts.

**FISCAL IMPACT:**

County resources are being gathered in anticipation of agreements that would improve information technology exchange and financial reimbursement structure. The total cost of implementing these system improvements is estimated to be up to \$300,000. It is anticipated that CalMHSA will assume a substantial administrative and fiscal role in:

- Contracting with counties to participate in and fund these efforts,
- Planning and development of a proposed project management plan and any services needing procurement along with Steering Committee partners including DHCS and CMHDA,
- Procuring, executing and managing any needed contracts to implement the project management plan with Steering Committee input, and,
- Obtaining the advice of legal counsel in County participation agreements, Memorandums of Understanding with partners, procurement and contract documents.

As such, CalMHSA staff time, legal counsel and administrative expenses would need to be allocated across participating counties and align with the indirect and indirect cost guidelines determined by the CalMHSA Finance Committee. Any unused funds would be allocated to future program expenses.

**RECOMMENDATIONS:**

None, information only.

**TYPE OF VOTE REQUIRED:**

None

**REFERENCE MATERIAL(S) ATTACHED:**

- Short Doyle Modernization Project County Participation as of 5/12/2014
- Short Doyle Modernization Project Payment Status



## SHORT DOYLE MODERNIZATION PROJECT

### County Participation as of 5/12/2014

Please note: this is our best estimate of county participation to date. Please contact Sarah Brichler ([sarah.brichler@calmhsa.org](mailto:sarah.brichler@calmhsa.org) or 602-501-8696) to update any of this information.

The allocation for the share of cost was determined by counties at the August 2013 CalMHSa Board meeting. The initial cost estimates assume full participation by counties. If full participation is not achieved, counties may need to increase their level of funding.

**Paid invoices received to date:                    \$148,332.46**

- Counties (41): Berkeley City, Butte, Calaveras, Colusa, Contra Costa, Del Norte, Fresno, Glenn, Imperial, Inyo, Kern, Lake, Madera, Marin, Merced, Modoc, Mono, Monterey, Napa, Nevada, Placer, Riverside, Sacramento, San Benito, San Bernardino, San Diego, San Francisco, San Joaquin, San Luis Obispo, San Mateo, Shasta, Siskiyou, Sonoma, Stanislaus, Sutter/Yuba, Tehama, Trinity, Tulare, Tuolumne, Ventura, Yolo

**Counties that have indicated plans to participate:                    \$143,435.19**

- Counties (8): Alameda, El Dorado, Humboldt, Los Angeles, Orange, Santa Barbara, Santa Clara, Solano

**Counties that indicated that they wish to opt out:                    \$2,459.02**

- Counties (3): Lassen, Mariposa, Tri-City

**Unknown status:                    \$5,698.86**

- Counties (7): Alpine, Amador, Kings, Mendocino, Plumas, Santa Cruz, Sierra

**Estimated upper limit of the share of cost as of 10/8/13:**

Counties have requested that a range of the share of cost be calculated so that they know the upper limits of the financial obligation to participate. The upper limit of the share of cost estimate is based on the following assumptions, and on county contributions as of October 2013:

- Up to \$300k total is anticipated to be needed to fund the study
- Of those counties that are unknown, one possible scenario is that half of them decide not to participate (\$38,126.85). This amount plus the counties that wish to opt out (\$1,319.12) is the amount that would need to be made up for with participating counties: \$39,445.97.
- If this amount (\$39,445.97) were allocated over the counties that have paid, the counties that anticipate paying and half of the counties that are currently unknown, it would represent a cost increase of about 17% from the initial invoice sent to counties.

Attached is a table that includes both the initial amount for which counties were invoiced and the estimated maximum cost under this scenario.

County	MHSA Allocation	Initial Study Cost Estimate	Estimated Maximum Cost
Alameda	3.58%	\$10,733.13	\$12,557.77
Alpine	0.09%	\$273.63	\$320.14
Amador	0.16%	\$492.54	\$576.28
Berkeley City	0.30%	\$909.42	\$1,064.02
Butte	0.59%	\$1,755.50	\$2,053.94
Calaveras	0.18%	\$532.58	\$623.12
Colusa	0.15%	\$443.49	\$518.89
Contra Costa	2.27%	\$6,818.02	\$7,977.09
Del Norte	0.16%	\$466.82	\$546.18
El Dorado	0.41%	\$1,220.09	\$1,427.51
Fresno	2.46%	\$7,382.48	\$8,637.50
Glenn	0.16%	\$469.34	\$549.13
Humboldt	0.36%	\$1,082.73	\$1,266.79
Imperial	0.50%	\$1,491.63	\$1,745.21
Inyo	0.11%	\$316.56	\$370.37
Kern	2.12%	\$6,371.39	\$7,454.53
Kings	0.42%	\$1,253.42	\$1,466.50
Lake	0.21%	\$620.99	\$726.56
Lassen	0.16%	\$467.56	\$547.04
Los Angeles	28.57%	\$85,700.84	\$100,269.98
Madera	0.44%	\$1,312.78	\$1,535.95
Marin	0.57%	\$1,700.73	\$1,989.85
Mariposa	0.11%	\$318.99	\$373.21
Mendocino	0.25%	\$755.49	\$883.93
Merced	0.74%	\$2,208.87	\$2,584.38
Modoc	0.10%	\$297.48	\$348.05
Mono	0.10%	\$310.25	\$362.99

County	MHSA Allocation	Initial Study Cost Estimate	Estimated Maximum Cost
Monterey	1.17%	\$3,518.21	\$4,116.30
Napa	0.34%	\$1,010.72	\$1,182.54
Nevada	0.28%	\$827.25	\$967.89
Orange	8.13%	\$24,387.39	\$28,533.25
Placer	0.68%	\$2,048.42	\$2,396.66
Plumas	0.14%	\$429.74	\$502.79
Riverside	5.21%	\$15,642.28	\$18,301.47
Sacramento	3.21%	\$9,641.33	\$11,280.35
San Benito	0.20%	\$599.72	\$701.68
San Bernardino	5.28%	\$15,832.30	\$18,523.79
San Diego	8.20%	\$24,587.42	\$28,767.28
San Francisco	1.86%	\$5,570.11	\$6,517.03
San Joaquin	1.69%	\$5,067.87	\$5,929.41
San Luis Obispo	0.68%	\$2,044.18	\$2,391.69
San Mateo	1.63%	\$4,895.21	\$5,727.40
Santa Barbara	1.16%	\$3,484.48	\$4,076.84
Santa Clara	4.60%	\$13,789.91	\$16,134.19
Santa Cruz	0.74%	\$2,214.50	\$2,590.97
Shasta	0.49%	\$1,456.40	\$1,703.98
Sierra	0.09%	\$279.54	\$327.06
Siskiyou	0.17%	\$519.59	\$607.92
Solano	1.01%	\$3,036.62	\$3,552.84
Sonoma	1.14%	\$3,411.95	\$3,991.98
Stanislaus	1.29%	\$3,867.23	\$4,524.66
Sutter/Yuba	0.48%	\$1,434.18	\$1,677.99
Tehama	0.20%	\$601.94	\$704.27
Tri-City	0.56%	\$1,672.48	\$1,956.80
Trinity	0.10%	\$309.08	\$361.62
Tulare	1.22%	\$3,661.58	\$4,284.04
Tuolumne	0.19%	\$575.23	\$673.02
Ventura	2.08%	\$6,246.30	\$7,308.17
Yolo	0.54%	\$1,630.11	\$1,907.23
<b>Total</b>	100.00%	\$300,000.00	
Includes Related Expenses: Feasibility Study Consultant CalMHSA Staff and Administrative Expense, Legal Expenses		\$250,000.00	
	up to	\$50,000.00	
<b>Total</b>		\$300,000.00	
		<b>Based on MHSD INFORMATION NOTICE NO.: 13-15</b>	

Short Doyle Modernization Project County Participation Status

County	Affirmed Participation	Payment Received	Total Received	Study Cost Estimate	Up to Range
Alameda	Yes			\$ 10,733.13	\$ 12,557.77
Alpine	Unknown			\$ 273.63	\$ 320.14
Amador	Unknown			\$ 492.54	\$ 576.28
Berkeley City	Yes	x	\$ 909.42	\$ 909.42	\$ 1,064.02
Butte	Yes	x	\$ 1,755.50	\$ 1,755.50	\$ 2,053.94
Calaveras	Yes	x	\$ 532.58	\$ 532.58	\$ 623.12
Colusa	Yes	x	\$ 443.49	\$ 443.49	\$ 518.89
Contra Costa	Yes	x	\$ 6,818.02	\$ 6,818.02	\$ 7,977.09
Del Norte	Yes	x	\$ 466.82	\$ 466.82	\$ 546.18
El Dorado	Yes			\$ 1,220.09	\$ 1,427.51
Fresno	Yes	x	\$ 7,382.48	\$ 7,382.48	\$ 8,637.50
Glenn	Yes	x	\$ 469.34	\$ 469.34	\$ 549.13
Humboldt	Yes			\$ 1,082.73	\$ 1,266.79
Imperial	Yes	x	\$ 1,491.63	\$ 1,491.63	\$ 1,745.21
Inyo	Yes	x	\$ 316.56	\$ 316.56	\$ 370.37
Kern	Yes	x	\$ 6,371.39	\$ 6,371.39	\$ 7,454.53
Kings	Unknown			\$ 1,253.42	\$ 1,466.50
Lake	Yes	x	\$ 620.99	\$ 620.99	\$ 726.56
Lassen	Opt Out			\$ 467.56	\$ 547.04
Los Angeles	Yes			\$ 85,700.84	\$ 100,269.98
Madera	Yes	x	\$ 1,312.78	\$ 1,312.78	\$ 1,535.95
Marin	Yes	x	\$ 1,700.73	\$ 1,700.73	\$ 1,989.85
Mariposa	Opt Out			\$ 318.99	\$ 373.21
Mendocino	Unknown			\$ 755.49	\$ 883.93
Merced	Yes	x	\$ 2,584.38	\$ 2,208.87	\$ 2,584.38
Modoc	Yes	x	\$ 297.48	\$ 297.48	\$ 348.05
Mono	Yes	x	\$ 310.25	\$ 310.25	\$ 362.99
Monterey	Yes	x	\$ 3,518.21	\$ 3,518.21	\$ 4,116.30
Napa	Yes	x	\$ 1,010.72	\$ 1,010.72	\$ 1,182.54
Nevada	Yes	x	\$ 827.25	\$ 827.25	\$ 967.89
Orange	Yes			\$ 24,387.39	\$ 28,533.25
Placer	Yes	x	\$ 2,048.42	\$ 2,048.42	\$ 2,396.66
Plumas	Unknown			\$ 429.74	\$ 502.79
Riverside	Yes	x	\$ 15,642.28	\$ 15,642.28	\$ 18,301.47
Sacramento	Yes	x	\$ 9,641.33	\$ 9,641.33	\$ 11,280.35
San Benito	Yes	x	\$ 599.72	\$ 599.72	\$ 701.68
San Bernardino	Yes	x	\$ 15,382.30	\$ 15,832.30	\$ 18,523.79
San Diego	Yes	x	\$ 24,587.42	\$ 24,587.42	\$ 28,767.28
San Francisco	Yes	x	\$ 5,570.11	\$ 5,570.11	\$ 6,517.03
San Joaquin	Yes	x	\$ 5,067.87	\$ 5,067.87	\$ 5,929.41
San Luis Obispo	Yes	x	\$ 2,044.18	\$ 2,044.18	\$ 2,391.69
San Mateo	Yes	x	\$ 4,895.21	\$ 4,895.21	\$ 5,727.40
Santa Barbara	Yes			\$ 3,484.48	\$ 4,076.84
Santa Clara	Yes			\$ 13,789.91	\$ 16,134.19
Santa Cruz	Unknown			\$ 2,214.50	\$ 2,590.97
Shasta	Yes	x	\$ 1,456.40	\$ 1,456.40	\$ 1,703.98
Sierra	Unknown			\$ 279.54	\$ 327.06

Short Doyle Modernization Project County Participation Status

County	Affirmed Participation	Payment Received	Total Received	Study Cost Estimate	Up to Range
Siskiyou	Yes	x	\$ 519.59	\$ 519.59	\$ 607.92
Solano	Yes			\$ 3,036.62	\$ 3,552.84
Sonoma	Yes	x	\$ 3,411.95	\$ 3,411.95	\$ 3,991.98
Stanislaus	Yes	x	\$ 3,867.23	\$ 3,867.23	\$ 4,524.66
Sutter/Yuba	Yes	x	\$ 1,434.18	\$ 1,434.18	\$ 1,677.99
Tehama	Yes	x	\$ 601.94	\$ 601.94	\$ 704.27
Tri-City	Opt Out			\$ 1,672.48	\$ 1,956.80
Trinity	Yes	x	\$ 309.08	\$ 309.08	\$ 361.62
Tulare	Yes	x	\$ 3,661.58	\$ 3,661.58	\$ 4,284.04
Tuolumne	Yes	x	\$575.23	\$ 575.23	\$ 673.02
Ventura	Yes	x	\$ 6,246.30	\$ 6,246.30	\$ 7,308.17
Yolo	Yes	x	\$ 1,630.11	\$ 1,630.11	\$ 1,907.23
<b>Total</b>			\$ 148,332.46	\$ 300,000.00	\$ 351,000.00

**MEMBERSHIP**  
**Agenda Item 6**

**SUBJECT: County Outreach Report – Allan Rawland, Associate Administrator – Government Relations**

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**ACTION FOR CONSIDERATION:**

None, information only.

**BACKGROUND AND STATUS:**

During each Board of Directors meeting, Allan Rawland, Associate Administrator – Government Relations, will update the Board on the status of prospective new members.

**FISCAL IMPACT:**

None.

**RECOMMENDATION:**

None, information only.

**TYPE OF VOTE REQUIRED:**

None

**REFERENCE MATERIAL(S) ATTACHED:**

- County Outreach by Region
- CalMHSA Membership Roster

## CaIMHSA COUNTY OUTREACH

### Superior Region

1. **Calaveras** (*assigned funds*), Staff continues to reach out to Interim Behavioral Health Director, Brock Kolby in an effort to move forward with membership;
2. **Amador** (*assigned funds*), staff continues to reach out to the county for possible membership in the future.
3. **Tehama**, interested in joining; Elizabeth (Betsy) Gowan, new Mental Health Director has indicated interest but would like some time to get established;
4. **Plumas**, interested in joining; staff continues to work with Peter Livingston, interim MH Director, in effort to move forward with membership.
5. **Sierra**, staff has attempted to contact April Waldo, Assistant MH Director, and will continue to reach out for possible membership in the future;

### Central Region

6. **Merced** (*assigned funds*), staff has contacted Scott De Moss, Acting MH Director and will continue to reach out for possible membership in the future;
7. **Alpine**, interested in joining, staff to reach out to new director Alyssa Nourse, in an effort to move forward with membership.



**Current Membership Roster**

**52 members (51 counties, 1 JPA, 1 City)**

- San Bernardino County (July 9, 2009)
- Solano County (July 9, 2009)
- Colusa County (July 9, 2009)
- Monterey County (July 9, 2009)
- San Luis Obispo County (July 9, 2009)
- Stanislaus County (July 9, 2009)
- Sutter/Yuba County (August 13, 2009)
- Butte County (November 13, 2009)
- Placer County (January 14, 2010)
- Sacramento County (March 12, 2010)
- Glenn County (April 7, 2010)
- Trinity County (April 15, 2010)
- Sonoma County (May 13, 2010)
- Modoc County (May 13, 2010)
- Santa Cruz County (June 10, 2010)
- Los Angeles County (June 10, 2010)
- Marin County (August 12, 2010)
- Orange County (August 12, 2010)
- Yolo County (August 12, 2010)
- Contra Costa County (October 14, 2010)
- Fresno County (October 14, 2010)
- Imperial County (October 14, 2010)
- Kern County (October 14, 2010)
- Lake County (October 14, 2010)
- Riverside County (October 14, 2010)
- Santa Clara County (October 14, 2010)
- Siskiyou County (October 14, 2010)
- Ventura County (October 14, 2010)
- Madera County (November 12, 2010)
- Mendocino County (December 9, 2010)
- San Diego County (February 10, 2011)
- San Francisco City & County (February 10, 2011)
- El Dorado County (March 11, 2011)
- San Mateo County (March 11, 2011)
- Napa County (June 9, 2011)
- Humboldt County (July 14, 2011)
- Lassen County (July 14, 2011)
- Mariposa County (August 11, 2011)\*
- Tuolumne County (August 11, 2011)
- San Benito County (October 13, 2011)\*
- Tri-City Mental Health Center (October 13, 2011)
- Del Norte County (December 15, 2011)\*
- Shasta County (February 10, 2012)\*
- Tulare County (February 10, 2012)\*
- Kings County (April 13, 2012)\*
- San Joaquin County (April 13, 2012)<sup>§</sup>
- City of Berkeley (June 14, 2012)\*
- Inyo County (June 14, 2012)
- Mono County (June 14, 2012)
- Nevada County (June 14, 2012)\*
- Alameda County (June 13, 2013)\*
- Santa Barbara County (April 11, 2014)

**Non-Member Counties w/Assigned Funds**

Amador, Calaveras and Merced

**Remaining Non-Member Counties**

Alpine, Plumas, Sierra and Tehama

**CalMHSA's Regional Representatives**

Bay Area Regional Representatives	Michael Kennedy, Sonoma County
	Jo Robinson, San Francisco City & County
Central Regional Representatives	Vic Singh, San Joaquin County
	Rita Austin, Tuolumne County
Los Angeles Regional Representatives	Marvin Southard, Los Angeles County
	William Arroyo, Los Angeles County
Southern Regional Representatives	Mary Hale, Orange County
	Alfredo Aguirre, San Diego County
Superior Regional Representatives	Karen Stockton, Modoc County
	Vacant

\*Member has elected not to assign funds to CalMHSA.

§Member has elected to participate only in the Statewide PEI Suicide Prevention Project, Program 3: Social Marketing Program.



**FINANCIAL MATTERS**

**Agenda Item 7.A**

**SUBJECT: Report from CalMHSA Finance Committee – Scott Gruendl**

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**ACTION FOR CONSIDERATION:**

None, information only.

**BACKGROUND AND STATUS:**

The Finance Committee (FC) members are:

Chair	Mr. Scott Gruendl, CalMHSA Treasurer, Glenn County
Bay Area	<i>TBD</i>
Central	Mr. Tom Sherry, Sutter-Yuba Counties
Los Angeles	Dr. William Arroyo, Los Angeles County
Superior	Ms. Amy Wilner, Butte County
Southern	Ms. Tanya Bratton, San Bernardino County
Ex Officio	Ms. Maureen F. Bauman, CalMHSA President, Placer County

The FC met by teleconference on May 12, 2014. The following items were included on the agenda and the discussion is included in the attached draft committee minutes:

1. CalMHSA Investment Update (*agenda Item 5.B-3*)
2. CalMHSA Financial Statements for the Third Quarter Ended March 31, 2014 (*agenda Item 5.B-2*)
3. CalMHSA Annual Revenue and Expenditure and Report- Proposes Budget June 30, 2015 (*agenda Item 7.B*)
4. Finance Committee Membership – Term Discussion (*agenda Item 10.B*)
5. Finance Committee Teleconference Meetings for Fiscal Year 2014 – 2015 (*agenda Item 5.B-4*)

See discussion in Draft Finance Committee Minutes for more information on above items.

**RECOMMENDATION:**

None, information only.

**REFERENCE MATERIAL(S) ATTACHED:**

- Draft May 12, 2014 Finance Committee Minutes



# CalMHSA Finance Committee

## TELECONFERENCE MINUTES FROM MAY 12, 2014

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### Finance Committee Members

#### Present

- Maureen Bauman, CalMHSA President (Ex-Officio)
- Scott Gruendl, Chair, Glenn County
- Dr. William Arroyo, Los Angeles County (Non-Voting Location)
- Tanya Bratton, San Bernardino County
- Tom Sherry, Sutter/Yuba County

#### Absent

- Amy Wilner, Butte County

#### CalMHSA Staff

- John Chaquica, Executive Director
- Kim Santin, Finance Director
- Ann Collentine, Program Director
- Sarah Brichler, Program Manager
- Stephanie Welch, Senior Program Manager
- Laura Li, JPA Administrative Manager
- Bianca Vidales, Administrative Assistant
- Armando Bastida, Administrative Assistant
- Doug Alliston, Legal Counsel

#### Consultants

- John T. Liddle, Morgan Stanley Smith Barney
- Allan Rawland, MSW, ACSW, Associate Administrator – Government Relations

## **Members of the Public**

- Anara Guard, Know The Signs

### **1. Call to Order**

The CalMHSA Finance Committee teleconference was called to order at 3:05 p.m. on May 12, 2014 by Committee Member, Tom Sherry, Sutter/Yuba County. All participants were asked to introduce themselves, followed by instructions for the teleconference process.

### **2. Roll Call and Public Comment Instructions**

Finance Director, Kim Santin called roll and established a quorum, with one absentee member and one non-voting member.

### **3. Instructions for Public Comment and Stakeholder Input**

Committee Chair, Mr. Scott Gruendl, reviewed the public comment instructions, and noted items not on the agenda would be reserved for public comment at the end of the agenda.

### **4. Consent Calendar**

Committee Chair Gruendl asked for any changes to the March 24, 2014 minutes, and Treasurer's Report as of March 31, 2014. There were none.

**Action: Approval of the consent calendar.**

**Motion: Tom Sherry, Sutter/Yuba County**

**Second: Tanya Bratton, San Bernardino County**

**Motion carried unanimously.**

Public comment was heard from the following individual(s):

*None*

### **5. CalMHSA Investment Update**

Finance Director, Kim Satin, directed the committee to the corresponding attachments within the packet. John Liddle, Morgan Stanley Smith Barney, presented an update on the CalMHSA investments, current market update and indicated interest rates were currently stable with a potential for changes in the latter part of 2015-16. Some key points presented are:

-Portfolio has projected earnings of \$3.1 million.

-Eighty percent (80%) of portfolio is in investments maturities under one year.

**Action: None, Information only.**

Public comment was heard from the following individual(s):

*None*

**6. CalMHSA Financial Statements for the Third Quarter Ended March 31, 2014**

Financial Director, Kim Santin, gave an overview of the financial statements for the third quarter ending March 31, 2014. The market value of investments increased which increased and the balance on the account to 57.4M as opposed to April's balance of 54.5M. CalMHSA is working to collect funds from State Hospital Beds, Technical Assistance and Feasibility Study programs. Program partners will be completing and invoicing for the June 30 Fiscal Year end. Expenses are increasing for increasing efforts for program partners implementation for program partners.

**Action: Approval of the CalMHSA Financial Statements for the Third Quarter Ended March 31, 2014 for presentation at the June 12, 2014 Board of Directors Meeting.**

**Motion: Tom Sherry, Sutter/Yuba County**

**Second: Tanya Bratton, San Bernardino County**

**Motion carried unanimously.**

Public comment was heard from the following individual(s):

*None*

**7. CalMHSA Annual Revenue and Expenditure and Report- Proposes Budget June 30, 2015**

Financial Director, Ms. Santin, referred to page 46 of the agenda and provided an overview of the timeline for Compilation of the Annual Revenue and program Expenditure Report that will be the proposed Budget June 30, 2015. This will be presented at the June 12, 2014 Board of Directors meeting. June 2013 estimated carryover funds of \$33.6 million will be carried over to the budget year 2014-2015. A budget was presented in two categories; Current PEI Program and Sustainability programs, to include PEI funds. Carryover of \$8.6 million to FY 2014/15 Sustainability Program.

Allan Rawland, Associate Administrator – Government Relations, requested staff highlight the footnotes related to the SHB program as it relates to the uncertainty of fiscal contributions.

**Action: Approval of the CalMHSA Annual Revenue and Expenditure Report – Proposed Budget June 30, 2015 for presentation at the June 12, 2014 Board of Directors meeting.**

**Motion: Tanya Bratton, San Bernardino County**

**Second: Scott Gruendl, Chair, Glenn County**

**Motion carried unanimously.**

Public comment was heard from the following individual(s):

*None*

**8. Finance Committee Membership - Term Discussion**

Mr. Gruendl began the discussion by listing Finance Committee member's terms and emphasizing on those who are terming out. Tanya Bratton's term has expired and the committee inquired regarding her interest to continue and she agreed. Due to Amy Wilner leave of absence, Mr. Scott Gruendl will confirm her availability to participate. Bay Area Region vacancy, potential for Wayne Clark, Monterey County to participate. In an effort to align the committee election terms with the Fiscal Year, ratification of such alignment will be presented to the board at the June meeting. The Finance Committee recommendation will be presented at the June 12, 2014 Board of Directors Meeting.

Doug Alliston, Murphy Campbell Alliston & Quinn, Legal Counsel, is to review the committee charter and amend the elections.

**Action: Discuss Finance Committee Positions with Expiring Terms and Consideration for a Recommendation to the Board**

**Motion: Tom Sherry, Sutter/Yuba County**

**Second: Tanya Bratton, San Bernardino County**

Public comment was heard from the following individual(s):

*None*

**9. Finance Committee Teleconference Meetings for Fiscal Year 2014 – 2015**

Committee Chair Gruendl reviewed the calendar prepared by staff, and all agreed on contents.

**Action: Approval of the Proposed Finance Committee Teleconference Calendar for Fiscal Year 2014-2015**

**Motion: Tom Sherry, Sutter/Yuba County**

**Second: Tanya Bratton, San Bernardino County**

**Motion carried unanimously.**

Public comment was heard from the following individual(s):

*None*

10. Committee Chair Gruendl asked if there were any general public or closing comments. Hearing none, the meeting was adjourned at 4:06 p.m.

DRAFT

**FINANCIAL MATTERS**  
**Agenda Item 7.B**

**SUBJECT: CalMHSA Annual Revenue and Expenditure Report – Proposed Budget  
June 30, 2015**

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**ACTION FOR CONSIDERATION:**

Adopt the CalMHSA Annual Revenue and Expenditure Report – Proposed Budget, June 30, 2015.

**BACKGROUND AND STATUS:**

The CalMHSA Bylaws provide for a fiscal year of July 1 to June 30, and require the Board of Directors to adopt the annual budget by July 1 of the new fiscal year. The draft budget is to be presented to the Board at least 45 days prior. (Bylaws, §§ 4.1.3, 8.1, and 9.1.)

Ms. Kim Santin, CalMHSA Finance Director, will provide an overview of the timeline for Compilation of the Annual Revenue and Expenditure Report – Proposed Budget, June 30, 2015.

The Budget has been presented in two categories; PEI Program and Current programs and Phase One Sustainability programs.

The PEI Program and Current Programs have been presented in the same format as prior years.

The Sustainability programs have the following key items for the finance committee's consideration;

- Utilization of Carry Over Funds of \$8.6 million in Fiscal Year 2014–2015
- Amounts Submitted in Letter of Acknowledgement – Will Not Be Adjusted

This budget does not include any provision for the proposed change in structure.

**FISCAL IMPACT:**

None



**RECOMMENDATION:**

Adopt the CalMHSA Annual Revenue and Expenditure Report – Proposed Budget, June 30, 2015.

**TYPE OF VOTE REQUIRED:**

Majority vote of the Board of Directors.

**REFERENCE MATERIALS ATTACHED:**

- CalMHSA Annual Revenue and Expenditure Report – Proposed Budget, June 30, 2015

# Annual Revenue and Expenditure Report – Proposed Budget June 30, 2015



- Proposed Budget – June 30, 2015
- Budget Narrative & Notes
- Background & History

California Mental Health Services Authority  
Annual Revenue and Expenditure Report - Proposed Budget  
June 30, 2015

(A) (B) Sum of  
(A) (B)

Proposed Budget FY 2014/2015

	Current PEI & Current Programs	Sustainability Budget	Total
<b>A. Unexpended Funds Available from Prior Fiscal Years</b>			
Technical Assist/Capacity Building Unexpended Funds	-		
MHSA Program Unexpended Funds	29,901,769		29,901,769
PEI Funds - Transferred to Sustainability	(8,767,758)	8,767,758	-
MHSA Community Planning Unexpended Funds	864,560		864,560
WET Program Funds	-		-
Feasibility Study	248,703		248,703
State Hospital Beds	80		80
Interest Income	3,001,310		3,001,310
<b>Total Unexpended Funds Available from Prior Fiscal Years</b>	<b>25,248,664</b>	<b>8,767,758</b>	<b>34,016,422</b>
<b>B. Revenue - CalMHSA Funds during Fiscal Year</b>			
State Hospital Beds	450,000		450,000
Sustainability - Matching/Private & Other/		200,000	200,000
Sustainability - County/Local Contributions		7,600,000	7,600,000
Sustainability - State Funds		5,000,000	5,000,000
Interest Income		95,000	95,000
<b>Total Revenue to CalMHSA</b>	<b>450,000</b>	<b>12,895,000</b>	<b>13,345,000</b>
<b>C. Expenditures</b>			
PEI Statewide Planning - Expenditures	864,560		864,560
PEI Statewide Program - Expenditures	21,071,354	18,413,476	39,484,830
Evaluation	1,243,587	1,083,146	2,326,733
WET Program Expenditures	-		-
State Hospital Beds	450,080		450,080
Feasibility Study	248,703		248,703
General and Administrative	989,292	2,166,291	3,155,583
<b>Total Expenditures</b>	<b>24,867,576</b>	<b>21,662,913</b>	<b>46,530,489</b>
Moved To (From) Operating Reserve	2,939,997		2,939,997
<b>D. Total Unexpended Funds</b>	<b>3,771,085</b>	<b>(155)</b>	<b>3,770,930</b>

## Budget Notes

### A. Unexpended Funds Available from Prior Years

CalMHSA has projected the unexpended funds to be carried over to the Budget of Annual Revenue and Expenditure to be \$34,016,422, for the fiscal year ended June, 30 2015.

PEI Statewide Planning Funds	\$864,560
PEI Statewide Program Funds	29,901,769
Feasibility Study	248,703
State Hospital Beds	80
Interest Earnings	3,001,310
Total Funds Projected to be Carried to Budget Year Ended June 30, 2015	<u>\$34,016,422</u>
Funds transferred to Sustainability (\$5,766,603 of PEI sustainability carryover dollars and \$3,001,310 of interest earnings)	(8,767,758)
PEI Funds to be Expended to June 2017 – Initial PEI Plan obligated (Contracted PEI Funds)	<u>\$25,248,644</u>

### B. Revenue – During Fiscal year 14/15 is Estimated as:

	Current PEI & Current Programs	Sustainability	Total
Statewide Hospital Beds (1)	450,000	0	450,000
Sustainability Contributions FY 14-15 - Local/County	0	7,600,000	7,600,000
Sustainability Contributions - Other Sources	0	5,200,000	5,200,000
Interest Earnings	0	95,000	95,000
Total estimated deposits as of June 30, 2015	<u>450,000</u>	<u>12,895,000</u>	<u>13,345,000</u>

1. State Hospital Bed program is currently in process of Participation Agreement and total is uncertain.
2. Sustainability Contributions FY 14-15 – Local County and other sources are currently being collected and final amounts to be determined and no obligations will be made until funding sources are known.

### C. Expenditures

1. CalMHSA will comply with the Department of Health Care Services Guidelines for PEI Statewide Programs in managing and contracting costs for indirect administrative expenses. Some indirect expenses to note are:
  - Legal Expenses – CalMHSA has retained legal services to provide counsel to the board and support of the

governing documents. Legal services will decrease for fiscal year ended 2015 due to negotiations of contracts related to execution of the Implementation Plan.

- Meeting Expenses – CalMHSA is governed by a Board of Directors and has established standing committees and must conduct public meetings to carry out the regular business of the JPA. Conference attendance is also integral to the members maintaining and updating knowledge in Mental Health Services. The JPA currently has 50 members.

2. Initial PEI Plan- Contracted/Obligated Expenditures

- Planning Expenses - \$864,560 are projected to include expenditures related to planning the international Stigma and Discrimination Reduction Conference in San Francisco (\$150,000), Planning expenses for Phase II Sustainability Plan and funding Dissemination Materials.
- Program Expenses - \$21 Million is committed through contracts with Program Partners, Contract Specialist, Program Management and Oversight, legal and program meeting expenses.
- Evaluation - \$1.2 Million is committed for services provided by RAND, Program Management and Oversight, and evaluation meeting expenses.
- General and Administration services - \$989,292 is committed for indirect costs related to Management services, Financial Audit, Liability insurance, indirect legal expenses and governing Board of Directors Meetings.

3. Sustainability Expenditures Phase I have been budgeted at \$21.6 million with 5% allocated to Evaluation and 10% for General and Administrative expenses.

**D. Total unexpended funds as of June 30, 2015 are Estimated as:**

PEI Programs Management and Oversight	\$830,933
Contingency Revenue	\$2,939,997
<b>Total</b>	<b>3,770,930</b>

## CalMHSA Budget Narrative

### Background

The CalMHSA June 30, 2015 Annual Revenue and Expenditure Report – Proposed Budget has been developed based on the PEI Statewide Program Funding Request – Budget form – Enclosure F, Appendix 1 of the CalMHSA Statewide Implementation Plan, the addendum to the implementation plan approved by MHSOAC on January 27, 2011, the First Amendment to the CalMHSA Statewide Implementation Work Plan approved on March 23, 2012, and the Plan Update approved on August 9, 2012.

The June 30, 2015 budget presents the current operations of CalMHSA. The current operations presented in this budget are:

- Feasibility Study
- Statewide Hospital Bed Program
- PEI Statewide Programs – PEI Statewide Planning (5%)
- PEI Statewide Programs – PEI Statewide Program Implementation
- PEI Sustainability Program

CalMHSA, at time of approval of the plan, had projected participation of counties. The June 30, 2015 budget continues to be based on these participation projections and projected funding. The summary detail is as follows:

Funding	5% Phase I Planning	71% Program/Direct	9% Contingency Reserve <sup>1</sup>	7.5% Evaluation <sup>2</sup>	7.5% Admin <sup>2</sup>	100% Total
Work Plan Budget	\$6,810,520	\$97,322,330	\$11,645,988	\$10,215,780	\$10,215,780	\$136,210,398
First WP	\$409,155	\$5,810,001 <sup>3</sup>	\$736,479 <sup>3</sup>	\$613,733	\$613,733	\$8,183,100
Subtotal	<b>\$7,219,675</b>	<b>\$103,132,331</b>	<b>\$12,382,467</b>	<b>\$10,829,513</b>	<b>10,829,513</b>	<b>\$144,393,498</b>
Changes in CalMHSA membership	\$119,625	\$1,698,675 <sup>4,7</sup>	\$215,325	\$179,438	\$179,438	\$2,392,500
CalMHSA Plan Update	\$2,869,658 moved to program/direct	\$2,869,658 <sup>5</sup> + \$9,662,072 <sup>6</sup> = \$12,531,730 <sup>7</sup>	\$9,662,072 moved to program/direct			
August 9, 2012 Total	<u>4,469,642</u>	<u>117,362,736</u>	<u>2,935,720</u>	<u>11,008,950</u>	<u>11,008,950</u>	<u>146,785,998</u>
August 9, 2013 Percentage	3.0%	80.0%	2.0%	7.5%	7.5%	100%
Transfer of Administrative Funds		5,000,000			(5,000,000)	
May 1, 2013 Total	<u>\$4,469,642</u>	<u>\$120,362,736</u>	<u>\$2,935,720</u>	<u>\$11,008,950</u>	<u>\$6,008,950</u>	<u>\$146,785,998</u>
May 1, 2013 Percentage	3.0%	83.4%	2.0%	7.5%	4.1%	100%

<b>San Benito County funds October 29, 2013</b>	<b>\$6,648</b>	<b>\$184,814</b>	<b>\$4,432</b>	<b>\$16,620</b>	<b>\$9,086</b>	<b>\$221,600</b>
<b>December 31, 2013 Total</b>	<b>\$4,476,290</b>	<b>\$122,547,550</b>	<b>\$2,940,152</b>	<b>\$11,025,570</b>	<b>\$6,018,036</b>	<b>\$147,007,598</b>
<b>December 31, 2013 Percentage</b>	<b>3.0%</b>	<b>83.4%</b>	<b>2.0%</b>	<b>7.5%</b>	<b>4.1%</b>	<b>100%</b>

1. Originally, the Contingency Reserve was calculated as 9% of the Approved Plan. It is the intent of CalMHSA to maximize the delivery of services. In this Plan Update, \$9,662,072 of this reserve will now be utilized for program activities.
2. The maximum allocation permitted by DMH for Indirect Administration services is 15%. Included in this 15% is the requirement to provide evaluation of programs.
3. These dollars differ slightly from those shared during the First Work Plan Amendment; this change is due to the program/direct percentage being calculated as 71%, based on the approved plan.
4. Changes in CalMHSA membership and the assignment of funds by counties and cities resulted in an additional \$1,698,675 for program funds.
5. Based on the FY 12-13 CalMHSA Budget approved by the CalMHSA Board on June 14, 2012, planning dollars (\$2,869,658) were moved to fund program/direct activities. The new overall percentage of funds dedicated to planning is 3.0%.
6. Contingency reserve dollars (\$9,662,072) were moved to fund program/direct activities. The new overall percentage of funds dedicated to the contingency reserve is 2.0%.
7. The total increase in program funds is \$14,230,405 (Shift planning and contingency reserve: \$12,531,730, plus changes in CalMHSA membership: \$1,698,675).
8. \$5 million transferred to PEI Statewide Program from General and Administrative funds based on actual projections of General and Administrative expenditures through June 30, 2015.
9. San Benito County contributed PEI funds to CalMHSA on October 29, 2013 - \$221,600.

California Mental Health Services Authority Multi - Year Annual Revenue and Expenditure Report and Projection - PEI June 30, 2015							
	(B)	(D)	(F)	(G) Estimated	(H)	(I)	Sum of (B) (D) (F) (G) (H) (I)
	Actual	Actual	Actual	Actual	Proposed Budget FY 2014/2015		
	6/30/2011	6/30/2012	6/30/2013	6/30/2014	Current PEI & Current Programs	Projected to FY 06/30/17	Total
<b>A Unexpended Funds Available from Prior Fiscal Years</b>							
MHSA Program Unexpended Funds MHSA Community Planning		83,162,375	111,010,194	84,838,322	29,901,614	830,933	
Unexpended Funds		2,742,608	4,531,417	1,254,162	864,560		-
Interest Income		12,368	650,419	2,201,310	3,001,310		
<b>Total Unexpended Funds Available from Prior Fiscal Years</b>		<b>85,917,351</b>	<b>116,192,030</b>	<b>88,293,794</b>	<b>33,767,484</b>	<b>830,933</b>	\$0
<b>B Revenue - CalMHSA Funds during Fiscal Year</b>							
PEI Statewide Planning Funds	4,640,125	2,695,425	-	10,398			7,345,948
PEI Statewide Planning Funds - transfer to Program Funds Phase I - PEI Planning \$ Total			(2,869,658)				(2,869,658)
							4,476,290
PEI Statewide Program Funds	88,162,375	51,213,073	-	286,202			139,661,650
PEI Statewide Program Funds - Additional Funds from Planning PEI			2,869,658				2,869,658
Statewide Program Funds - Additional Funds from Contingency PEI							-
Statewide Program Funds							142,531,308
Interest Income	12,368	638,051	1,684,341	900,000			3,234,760
<b>Total Revenue to CalMHSA</b>	<b>92,814,868</b>	<b>54,546,549</b>	<b>1,684,341</b>	<b>1,196,600</b>	<b>-</b>		<b>150,242,358</b>
<b>C Expenditures</b>							
PEI Statewide Planning - Expenditures	1,897,517	906,616	407,597	400,000	864,560		4,476,290 (1)
PEI Statewide Program - Expenditures		13,371,865	35,799,624	50,062,065	21,071,354	200,000	120,504,908 (1)
Evaluation Investment		1,598,475	1,908,627	4,456,413	1,243,587		9,207,102 (1)
Management General and Administrative		797,122	133,450	100,000	-		233,450
			995,351	700,000	989,292	630,933	4,112,698 (1)
<b>Total Expenditures</b>	<b>1,897,517</b>	<b>16,674,078</b>	<b>39,244,649</b>	<b>55,718,478</b>	<b>24,168,793</b>	<b>830,933</b>	<b>138,534,448</b>
<b>Funds transferred to Sustainability Program FY 2014/15</b>					(8,767,758)		(8,767,758)
<b>General and Administrative - PEI Directed to Future Programs Moved To (From) Operating Reserve</b>	5,000,000	7,597,792	(9,662,072)	4,432			2,939,997
<b>D Total Unexpended Funds</b>	<b>85,917,351</b>	<b>116,192,030</b>	<b>88,293,794</b>	<b>33,767,484</b>	<b>830,933</b>	<b>-</b>	<b>2,940,152 (1)</b>

Assumptions:

- (1) Sum of these lines is \$141,241,150. The total of the Phase I and II funding as submitted to MHOAC for the Work Plan (\$136,210,400) and Amendment #1 (\$8,183,100) plus changes in CalMHSA membership (\$2,392,500) and additional funds from San Benito County (\$221,600) for a total of \$147,007,598. The difference of \$5,766,448 will be transferred to the Sustainability Program.
- (2) For the proposed budget as of June 30, 2015 the Operating Reserve has not been budgeted for allocation or expenditure to other categories or any programs.
- (3) 8,767,758 will be provided to the Sustainability Program budget for 2014/15 Fiscal year



**FINANCIAL MATTERS**  
**Agenda Item 7.C**

**SUBJECT: George Hills Company Contract with CalMHSA**

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**ACTION FOR CONSIDERATION:**

Finance Committee recommends approval of the Third Amendment to the George Hills Contract, to include additional funding per fiscal year, for PEI sustainability, which would be effective from July 1, 2014 to June 30, 2017.

**BACKGROUND AND STATUS:**

CalMHSA entered into contract originally on October 28, 2009. That contract was later amended upon the signing of the contract with, then Department of Mental Health on April 15, 2010. Subsequently the Finance Committee was asked to continually review the performance of the contract and the financial terms with George Hills Company, Incorporated (GHC) and report to the board. Subsequently a Task Force of the Finance Committee was formed to review and evaluate the GHC contract for purposes of contract extension, as the current contract is due to expire June 30, 2014.

At the June 13, 2013 Board of Directors Meeting, Mr. Gruendl gave an update on the Finance Committee Task Force's review of the George Hills Company contract. The current contract ends on June 30, 2014. The Task Force had two recommendations which would be considered for contract extension and action at a later date. The first would be based on CalMHSA administrative/indirect costs staying below 7.5% (they were 4.1% for FY 2013-2014). The second would be based on performance. Since then GHC was asked to present a proposed extension of contract terms.

At the Nov 25, 2013 Finance Committee meeting John Chaquica presented the terms of contract extension for both the run out of the operations of the JPA, through close of all contracts, and a trigger in the event new funds are provided for Statewide PEI. The extension is presented based on a three-year basis which would be the time necessary to close operations. In the event new funding is derived an annual amount is proposed based on the anticipated number of projects under management. Additionally the fee is inclusive of any and all future planning and development and is appended by projects other than Statewide Prevention and Early Intervention as provided through member Participation Agreements.

At the December 13, 2013 Board of Directors Meeting, action was taken to approve the amended contract with George Hills Company, with the caveat that column 5, Sustainability Planning, would be removed. The members confirmed the contract shall be renegotiated at a later date; once more information was available relative to Sustainability funding.

CalMHSA's Procurement Policy generally requires competitive selection processes but includes exceptions recognizing that noncompetitive contracting may better serve

CalMHSA in some cases. The Procurement Policy lists factors that may justify sole source contracting, including the following: “Retaining professional services, such as but not limited to, an attorney, auditor, manager or administrator, to maintain expertise, continuity, consistency and knowledge of CalMHSA.” (Underlining added.) In this case the extension of the GHC contract will allow continuation of the statewide PEI programs without disruption. GHC’s involvement in CalMHSA’s creation and operation of these programs has been instrumental and its knowledge and experience could not easily be replaced. This includes retention of essential staff, relationships with stakeholders and program partners, and connections with key people at relevant state agencies. In addition, the Finance Committee has found the cost of GHC’s services as a percentage of program dollars has been well within standards.

The Procurement Policy requires that counsel must indicate whether the written justification for sole source procurement complies with the Policy. Counsel concludes that the stated justification is in compliance with the Policy.

**RECOMMENDATION:**

Finance Committee recommends approval of the Third Amendment to the George Hills Contract, to include additional funding per fiscal year, for PEI sustainability, which would be effective from July 1, 2014 to June 30, 2017.

**TYPE OF VOTE REQUIRED:**

Majority vote of the Board of Directors.

**REFERENCE MATERIALS ATTACHED:**

- George Hills Company Contract with CalMHSA
- First Amendment to the Agreement for Administrative and Financial Services
- Second Amendment to the Agreement for Administrative and Financial Services
- Third Amendment to the Agreement for Administrative and Financial Services

**AGREEMENT  
FOR  
ADMINISTRATIVE AND FINANCIAL SERVICES**

This Agreement is made and entered into this First day of July of the year 2009 by and between the California Mental Health Services Authority, hereinafter referred to as "CMHSA," and Optimum Risk Advisors, hereinafter referred to as "ORA", a division of George Hills Company, a California Corporation.

**I. SCOPE OF AGREEMENT**

CMHSA enters into this Agreement, with ORA for the purpose of having ORA conduct day-to-day management, operational, general administration, and financial affairs of CMHSA.

**II. INTENT OF THIS AGREEMENT**

It is the intent of both parties to provide all of the necessary services which may be required of CMHSA; however, the scope of this Agreement is to provide for those requirements which are known to the parties at the time this Agreement was prepared. The recital of duties and responsibilities are not necessarily all inclusive, and CMHSA reserves unto itself the authority to authorize any services which are not specifically set forth in this Agreement.

**III. AUTHORITY OF THIS AGREEMENT**

ORA shall have the authority to conduct the day-to-day operations and services of CMHSA, carrying out the programs authorized by the Board of Directors of CMHSA, hereinafter referred to as the Board.

**IV. APPOINTMENT AS AGENT OF CMHSA**

ORA shall be appointed as the principal agent for CMHSA. CMHSA shall notify all other agencies, members, and firms doing business with CMHSA of such appointment and that ORA is authorized to conduct CMHSA business and provide general supervision of CMHSA's administration and related financial programs.

**V. ORA Responsibilities**

The services listed in this section include activities which ORA staff members and subcontractors are authorized to perform for CMHSA. Any activities not specified in this agreement shall need prior approval from CMHSA.

**A. General Administration Responsibilities**

- 1) Maintain a business office in Sacramento County, in a location of ORA's choosing

- and pay all costs incidental to the occupancy and maintenance of the office;
- 2) Retain sufficient personnel to conduct the business affairs of CMHSA and to perform the services identified in this agreement. Such personnel shall possess the appropriate experience or be trained to do so; personnel retained by ORA shall not be considered employees of CMHSA;
  - 3) Ensure that the members of ORA's staff and subcontractors who are necessary for the efficient conduct of business, as determined by CMHSA, attend Board meetings;
  - 4) With pre-approval from CMHSA, will negotiate fees and other agreements on behalf of CMHSA to minimize costs and obtain the best services. ORA shall present all resolutions, agreements, and contracts for Services to the Board for approval;
  - 5) Prepare all reports, forms, books, and other documents under this Agreement in a form and content that is acceptable to the Board; and
  - 6) To the extent required, provide advice and assistance to members of the Board regarding service related issues within the scope of this agreement.
  - 7) To be truthful and honest with CMHSA in furnishing all information, whether oral or written.

B. Management Responsibilities

- 1) Provide oversight for other consultants and contractors who provide services for CMHSA;
- 2) Maintain CMHSA's Governing Documents;
- 3) At Board direction, maintain and carry out the Member Criteria for admitting proposed new members;
- 4) Keep CMHSA informed of the need for and timing of financial audits, state filings, and other similar forms of technical assistance;
- 5) Assist CMHSA in the selection of professionals who may from time to time be required to provide services to CMHSA;
- 6) Review alternatives for financially strengthening CMHSA and report on the status of such alternatives; Financial Strengthening strategies may include but is not limited to additional Counties becoming members, assisting in securing funds from the state for Statewide Projects, and new services or changes in procedure or service provided that achieves fiscal savings. All monies shall be invested by the executive committee under direction of the treasurer.
- 7) Act as filing officer to ensure compliance with the Conflict of Interest Code;
- 8) Monitor the status of CMHSA's programs and operations as they are intended and

defined in the Program MOU's and provide appropriate status reports pertaining thereto. Status reports shall be provided at intervals to be determined by CMHSA at a later date;

- 9) Develop and maintain record retention policy. Maintain all records and documents as required by such policy.

#### C. Recording Secretarial Responsibilities

- 1) Prepare and distribute descriptive agendas for meetings of the Board in accordance with CMHSA's Governing Documents;
- 2) Prepare and distribute minutes of all meetings;
- 3) Assist providers and the staff members of providers who respond to or enter into contracts with CMHSA to carry out the terms of this Agreement between ORA and CMHSA;
- 4) Prepare and obtain Board approval for all correspondence necessary to the operation of CMHSA;
- 5) Maintain a general file of all CMHSA documents including, but not limited to, correspondence, reports, insurance policies, notices, agendas, minutes, and CMHSA's Governing Documents;
- 6) Maintain administrative records and update as necessary;
- 7) When required, prepare and file updated California Secretary of State Statement of Facts form for CMHSA and comply with other reporting requirements of the State of California.

#### D. Financial Responsibilities

- 1) Annually prepare and submit a budget to the Board of CMHSA for approval;
- 2) Annual budget shall be submitted to the Board of CMHSA within 60 days following the conclusion of each fiscal year.
- 3) Maintain detailed records of all income, expenditures, deposits, and withdrawals;
- 4) Administer all accounts payable and accounts receivable. Accounts payable will require at least two signatures, at least one being from the Board. Accounts payable and receivable are subject to audit as specified in item 10 below;
- 5) Maintain necessary banking relationships and perform monthly bank reconciliations of CMHSA accounts;
- 6) Prepare quarterly financial statements in accordance with Generally Accepted Accounting Principles (GAAP), including Budget to Actual comparisons.

- 7) Prepare and submit to CMHSA's Treasurer for approval a Quarterly Treasurer's Report detailing all funds on hand, classified by depository.
- 8) Prepare and timely file updated California State Controllers Annual Report of Financial Transactions form, and comply with other reporting requirements of the State of California;
- 9) Prepare and monitor CMHSA policy on investments, in accordance with the applicable California Code of Regulations, and oversee the management of CMHSA funds;
- 10) Arrange and ensure an annual financial audit is completed by a CPA firm which has been selected by the Board, within 6 months of year end;
- 11) Respond to requests for confirmation of JPA participation made by the financial auditors of CMHSA's members;
- 12) Prepare and timely file Form 1099s with the Revenue Service for all necessary expenditure payments;
- 13) Maintain any additional financial or other records as may be necessary to the operation of CMHSA;
- 14) All financial statements must receive CMHSA Board approval before submission.

#### E. Support Services Responsibilities

- 1) Provide the support services required to satisfactorily conduct CMHSA's business, including administrative and clerical support. If support services are not conducted by ORA, then with CMHSA approval, ORA will locate and/or hire the necessary support;
- 2) Maintain up-to-date mailing lists of all CMHSA members, Board members, Executive Committee members, subcommittee members, service providers, and other related parties;
- 3) Arrange meeting facilities including accommodations, equipment, and meals, if desired, for Board meetings;
- 4) Maintain subscriptions to the professional periodicals required to carry out the purposes of this Agreement.

### VI. CMHSA Responsibilities

#### A. General Responsibilities

- 1) Appoint a membership committee and develop criteria to disapprove, approve, or approve with conditions, all applications for membership;

- 2) To require members to provide any information required by ORA in carrying out the duties pursuant to this Agreement;

B. Fiscal Responsibilities

- 1) To name ORA and members of ORA's staff, while working for or on behalf of CMHSA, as additional covered parties on CMHSA's General Liability coverage with the same coverage and limits of coverage provided any other officer of CMHSA; or if CMHSA is insured for these risks, at CMHSA's expense, provide this coverage for ORA and ORA's staff for occurrences where ORA is performing services on behalf of or is in the process of providing any service for CMHSA;
- 2) To pay annual CMHSA membership costs to relevant professional associations;
- 3) To pay all valid invoices for services performed by ORA in a timely fashion; and
- 4) To be truthful and honest with ORA in furnishing all relevant information, whether oral or written.

VII. TERM & TERMINATION OF AGREEMENT

A. Term of Agreement

- 1) This Agreement shall be in effective July 1, 2009 through and June 30, 2014, but is subject to earlier termination as outlined below in Paragraph B, Termination.
- 2) This Agreement may be extended for one-year periods upon written agreement of both parties, unless terminated earlier as outlined below in Paragraph B, Termination.

B. Termination

- 1) This Agreement may be terminated prior to the expiration of the term specified in Paragraph A, Term of Agreement, above in any one of the following ways:
  - (a) By mutual agreement of the parties, expressed in writing.
  - (b) By either party, without cause, by providing the other party not less than one ninety days (90) days written notice.
  - (c) By either party at any time, for good cause, by providing the other party not less than sixty days (60) days written notice. The party attempting to terminate this Agreement for good cause shall specifically outline in writing the factual bases for the allegations of good cause as defined herein, and shall give the other party thirty (30) days after receiving the written notice of termination for good cause to cure the alleged cause for termination. The terminating party shall not unreasonably refuse to accept the proposed cure offered by the other party.

- (d) If CMHSA determines that ORA is abusing or defrauding, or has abused or defrauded CMHSA or others in relation to this Agreement, CMHSA may immediately terminate this Agreement upon verbal notice to ORA to be followed by written notice.
  - (e) If, during the term of this Agreement, State funds appropriated for the purpose of this Agreement are reduced or eliminated, CMHSA may immediately terminate this Agreement upon written notice to ORA.
- 2) The parties agree that any party attempting to terminate this Agreement for good cause shall be objectively fair, reasonable, and honest regarding the factual reasons for the termination, and acknowledge that this Agreement contains a covenant of good faith and fair dealing. Each party agrees not to terminate this Agreement for reasons that are trivial, arbitrary, capricious, pretextual, or unrelated to the legitimate business purposes or goals of either party.
  - 3) "Good cause" is defined as:
    - (a) A substantial and material failure to comply with the obligations in this Agreement that causes an adverse and material financial loss to the other party; or
    - (b) One that affords a material legal excuse to terminate this Agreement, including the inability to meet its financial obligations to the other party; or
    - (c) Actions or omissions constituting gross negligence or willful misconduct in the performance of the obligations in this Agreement that causes an adverse and material financial loss to the other party.
  - 4) In the event of termination, ORA shall deliver to CMHSA, or its designated recipient, all files, reports, and documents, and other work performed by ORA under this Agreement, and upon receipt thereof, CMHSA shall pay ORA, pursuant to the terms of this Agreement, for services performed and authorized reimbursable expenses incurred to the date of termination. ORA shall receive a prorated payment for the month of termination based on the date of termination. Said amount will be paid to ORA within no more than thirty (30) calendar days from the date of receipt of the items listed above.
  - 5) ORA will only be reimbursed for costs and uncancelable obligations incurred prior to the date of termination. ORA will not be reimbursed for costs incurred after the date of termination.
  - 6) The CMHSA Board of Directors is empowered to terminate this Agreement on behalf of CMHSA.

### C. Suspension of Services

- 1) In the event CMHSA is unable to obtain funding, subject to negotiations, this contract



maybe suspended until funding acquired and/or terminated as outlined above in Paragraph B, Termination.

## VIII. COST OF SERVICES

The following fees represent the total compensation for the services described in Article V, ORA Responsibilities. To the extent the services provided to CMHSA under this Agreement should substantially increase because of the demand for additional services, the parties agree to negotiate in good faith the cost of such additional services.

### A. Fees

- 1) Formation Fees – time spent in consultation prior to the official start (July 1, 2009) of CMHSA - \$10,000.
- 2) The initial Service fees, beginning July 1, 2009, are FIVE THOUSAND DOLLARS (\$5,000) to be paid per month. Accrual of these fees will begin on the first day CMHSA begins operations with ORA. This amount shall continue until CMHSA secures program revenues.
- 3) Upon the first Program transaction, CMHSA agrees to pay ORA an Annual Contract Price prorated for the number of months remaining in the fiscal year in which the first program transaction occurs. The Fiscal Year contract fees are increased to \$7,500 per month.

### B. Fee Adjustments

Due to the fact that the growth and rate of growth is unknown, fees beyond the term of this Agreement shall be subject to mutual agreement based on scope and size of service. Factors determining fee adjustment shall include but not limited to:

- Number of members
- Number of Programs
- Complexity of Programs
- Meeting frequency
- Change in scope of service

- 1) In the event that additional services or extra work not covered by this Agreement are desired by CMHSA, such services will be billed on a time and materials basis at the standard hourly rates ORA charges its other clients or on an agreed upon flat rate basis. Prior to commencing any additional services or extra work, ORA shall prepare a task order describing the scope of work and the costs for the extra services. CMHSA shall have no obligation to pay for extra services by ORA until after the approval of the task order by the President or the Board, as appropriate.
- 2) All valid and approved invoices are due and payable within 30 days of receipt and shall be considered delinquent if not paid in this time period. All delinquent invoices shall accrue interest at the rate of 2% per annum from the due date until payment is

received by ORA.

C. Payment

- 1) During the term of this Agreement, payments shall be made by CMHSA to ORA in arrears on a monthly basis;
- 2) ORA shall bill CMHSA monthly in arrears for services provided by ORA;
- 3) Claims received by CMHSA will be paid by in arrears, on a monthly basis with 30 days of receipt of claim.

IX. PROPERTY RIGHTS

A. Ownership of Records

For the purposes of this section, "public records" shall mean public records as defined by the Public Records Act (Govt. Code Section 6250 et seq.), in its current form and as may be amended during the term of this Agreement.

All public records relating to the operations, administration, activities, and finances of CMHSA and its programs shall at all times be and remain the property of CMHSA. ORA shall make them available to the public pursuant to the Public Records Act. Except as provided below, all computer hardware and equipment and computer software programs shall at all times be and remain the property of ORA.

All records relating to the operations, administration, activities, and finances of CMHSA shall at all times be and remain the property of CMHSA. At the termination of this Agreement, all such materials shall be returned to CMHSA. ORA may, at its sole cost and expense, and with the permission of CMHSA, make and maintain copies of any CMHSA records (but not including confidential or privileged records) for use and retention both during and after the termination of this Agreement. The copies may be made on paper, computer disk, or any other format or media deemed desirable by ORA.

B. Client Intellectual Property

All data, information, documents, books and records, processes, business methods, equipment, software (in source and object code form), data, or other materials supplied or purchased from vendors outside this agreement, by CMHSA relating to, or for use in, the provision of the Services to CMHSA, and all intellectual property rights therein, will be and remain the sole property of CMHSA. ORA shall have no rights or interest in the property described in this section.

C. ORA Intellectual Property

All software and other intellectual property (a) owned by ORA prior to the Effective Date which is used in connection with the Services, or (b) of which ORA acquires

ownership after the Effective Date and which is used in connection with the Services, or (c) developed by or on behalf of ORA for use by CMHSA after the Effective Date will be and remain the exclusive property of ORA, hereafter "ORA and CMHSA will have no rights or interests in the ORA IP except as described in this Section.

#### D. Copyrights and Trademarks

Any proprietary work including materials that may be copyrighted and names used with respect to products and services provided by ORA in the performance of this Agreement are also the property of ORA, whether formally copyrighted or registered as a servicemark. All rights of use, if any, provided to CMHSA, are subject to ORA's right to terminate use of such materials and names and upon termination are not subject to further use by CMHSA. In the event that such materials have been registered by copyright or trademark, CMHSA as part of this Agreement as to any materials provided to the Board, members affiliates, agents, successors and assigns, agrees to use the appropriate designations; TM, SM, as appropriate and when so advised by ORA.

### X. EMPLOYMENT RELATIONSHIP OF ORA

#### A. Status

- 1) ORA is and at all times shall remain an independent contractor. Neither CMHSA nor any of its agents shall have control over, nor vicarious liability for, the conduct of ORA employees or subcontractors.
- 2) During the term of this Agreement and for twelve (12) months following termination of this Agreement, CMHSA agrees that it will not approach, solicit, attempt to hire, hire, or cause another entity or person to hire any ORA employee without the prior express written permission of ORA.

### XI. INDEMNIFICATION

ORA agrees to indemnify, protect, defend, and hold harmless CMHSA and its officers, employees, and agents, from any and all liability claims for damages by reason of any injury to person or persons, including, but not limited to, ORA, its associates or employees, or property damage claims of any kind whatsoever and to whomsoever belonging, including, but not limited to, ORA, its associates, and employees from any cause or causes whatsoever arising out of the negligent performance or failure to perform of ORA, its associates, or employees pursuant to its obligations under the terms of this Agreement; provided, however, that ORA shall not be liable to indemnify CMHSA for any injury to persons or property which may result from the action or non-action of CMHSA, or its directors, officers, agents, or employees (but not including ORA or its employees). ORA shall also hold CMHSA harmless against any liability which the Authority may incur toward ORA's employees, specifically including liability for the payment of workers' compensation benefits.

## **XII. INSURANCE REQUIREMENTS**

ORA shall at all times maintain in full force and effect workers' compensation insurance covering all employees of ORA in an amount required by the laws of the State of California. ORA hereby declares that said employees are the employees of ORA and at no time shall said employees be deemed to be in the employ of CMHSA. ORA shall hold CMHSA harmless against any liability which it may incur toward said employees, specifically including liability for the payment of workers' compensation benefits.

ORA shall maintain Commercial General Liability (CGL), general liability and automobile (vehicles owned or leased by ORA) liability insurance in an amount no less than \$1,000,000 per occurrence.

ORA shall maintain Professional Liability insurance in an amount of not less than \$1,000,000 per occurrence with a deductible of not more than \$25,000.

ORA shall maintain premises property insurance which shall include a provision to provide reimbursement for the expense of reproduction of papers which may be lost due to a fire.

## **XIII. ASSIGNMENT**

CMHSA and ORA each binds itself, its principals, successors, assigns, and legal representatives to the other party to this Agreement and to the principals, successors, assigns, and legal representatives of such other party with respect to all covenants of this Agreement. Neither CMHSA nor ORA shall assign, sublet, or transfer its interest in this Agreement without the written consent of the other.

## **XIV. ASSURANCES & DISCLAIMERS**

### **A. Conflicts of Interest**

ORA hereby certifies, to the best of its knowledge, that it has no conflict of interest in carrying out the provisions of this Agreement. Should any conflict, apparent or real, occur in the future, all parties to this Agreement shall be notified immediately in writing.

### **B. Disclaimer of Guarantee**

ORA has made no promise or guarantee to CMHSA about the outcome of CMHSA's matters, and nothing in this Agreement shall be construed as such a promise or guarantee.

### **C. Non-Discrimination**

ORA agrees that it will not discriminate in any way in the providing of these services on the basis of any characteristic or condition that is illegal or prohibited by law.

D. Further Assurances

Each party agrees to execute any additional documents and to perform any further acts which may be reasonably necessary to effect the purposes of this Agreement.

XV. NOTICES

Except as may otherwise be required by law, any notice to be given shall be in writing and shall be personally delivered, sent by facsimile transmission or sent by first class mail, postage pre-paid and addressed as follows:

CMHSA:

ORA:

John E. Chaquica

Optimum Risk Advisors

3043 Gold Canal Drive, Suite 200  
Rancho Cordova CA 95670

Notice delivered personally or successfully sent by facsimile transmission is deemed to be received upon receipt. Notice sent by first-class mail shall be deemed received on the fourth day after the date of mailing. Either party may change the address to which notice is to be given by providing written notice pursuant to this section.

XVI. DISPUTES CONFLICT RESOLUTION

A. Arbitration

If any dispute, controversy, or claim arises out of or relates to the enforcement, or interpretation of this Agreement or any part thereof, the parties agree to submit the dispute, controversy, or claim to binding arbitration. Such arbitration shall be conducted by a single arbitrator. If, within twenty (20) days from the receipt of a request to arbitrate (or such longer period mutually agreed to by the parties), the parties are unable to agree on an arbitrator, then a single arbitrator shall be appointed pursuant to the Commercial Arbitration Rules of the American Arbitration Association. Except as provided in Section V, each party shall bear its own costs and expenses of any arbitration. Each party shall pay one-half of the costs of the arbitrator.

Any arbitration under this section shall be conducted in the County of Sacramento, unless otherwise agreed to by both parties.

The prevailing party in any arbitration, mediation, court trial, jury trial or appeal to enforce or interpret any provision of this Agreement shall be entitled to reasonable attorneys' fees and costs.

B. Waiver

The waiver by either party of a breach by the other party of any provision of this Agreement shall not constitute a continuing waiver or a waiver of any subsequent breach of either the same or a different provision of this Agreement.

C. Severability

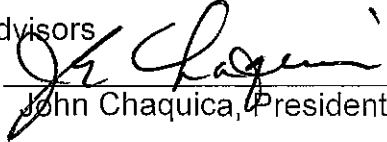
If any section or provision of this Agreement is held to be void, invalid or unenforceable, the remaining sections and provisions will nevertheless continue in full force and effect without being impaired or invalidated in any way.

D. Interpretation, Terms, and Conditions

- 1) This Agreement shall be governed by and interpreted under the laws of the State of California.
- 2) This Agreement integrates all terms and conditions mentioned herein or incidental hereto, and supersedes all oral negotiations and prior writings with respect to the matter hereof. In the event of conflict between terms, conditions or provisions of this Agreement and such document or instrument, the terms and conditions of the Agreement shall prevail.

IN WITNESS HEREOF, the parties hereto have executed this Agreement the day and year first above written.

Optimum Risk Advisors

  
\_\_\_\_\_  
John Chaquica, President

October 28<sup>th</sup> 2009  
Dated

California Mental Health Services Authority

  
\_\_\_\_\_  
President

OCTOBER 21, 2009  
Dated

California Corporations Code section 313 requires that contracts with a corporation shall be signed by the (1) chairman of the board, the president or any vice-president and (2) the secretary, any assistant secretary, the chief financial officer, or any assistant treasurer; unless the contract is also accompanied by a certified copy of the Board of Directors resolution authorizing the execution of the contract.

Optimum Risk Advisors is the DBA for George Hills Company, Inc,

Federal Employer Identification Number 94-2546177.

**FIRST AMENDMENT TO THE AGREEMENT  
FOR  
ADMINISTRATIVE AND FINANCIAL SERVICES**

This FIRST Amendment to the Agreement for Administrative and Financial Services (the "First Amended Agreement") is made and is effective as of the 15<sup>th</sup> day of April, 2010, by and between the California Mental Health Services Authority, hereinafter referred to as "CalMHSA", and Optimum Risk Advisors, hereinafter referred to as "ORA", a division of George Hills Company, a California Corporation.

In consideration of the covenants and conditions hereinafter provided, CalMHSA and ORA do hereby covenant and agree that the Agreement is amended in the following respects:

1. The First Amended Agreement hereby amends several items on the original agreement.
2. Section I, "Scope of Agreement", is hereby amended by adding, thereto, to read as follows:

CalMHSA enters into this Agreement, with ORA for the purpose of having ORA conduct day-to-day management, operational, general and program administration, and financial affairs of CalMHSA.

3. Section V, "ORA Responsibilities", is amended by adding, thereto, a new subsection "F", to read as follows:

F. Mental Health Program Services

- A. Represent CalMHSA in all federal, state or county discussions relating to CalMHSA activities.
- B. Represent CalMHSA on all state level committee and task forces that relate to CalMHSA concerns.
- C. Assist in the development of CalMHSA goals, objectives, priorities, and policy direction for consideration by the CalMHSA Board of Directors and committees.



- D. Work in close collaboration with CalMHSA partners, such as the State Department of Mental Health, the Mental Health Services and Oversight and Accountability Commission (MHSOAC), and the County Mental Health Directors Association to assure alignment as needed.
  - E. Participate in CalMHSA Board and other meetings, leading all discussions for mental health programs.
  - F. Represents CalMHSA in all contract activities related to revenue and expenditure for services.
  - G. Direct and lead all mental health programs.
  - H. Manage and lead all staff in support of mental health programs.
  - I. Conduct consumer meetings to develop and maintain collaborative working relationships with stakeholders.
  - J. Consult with organizations or individuals who may have policy, programmatic or business interest with CalMHSA
4. Section E, "Support Services Responsibilities", is amended by adding, thereto, a new subsection "5", to read as follows:
- E. General Marketing Activities
    - A. Web site maintenance and hosting.
    - B. Design and produce CalMHSA marketing materials; 1). Brochures; 2). Business Cards; and 3). Mailers.
    - C. Identify and evaluate CalMHSA expenses related to conference attendance for presentation of program.
    - D. Preparation and design of materials and presentation for conference materials.
    - E. Assist CalMHSA in the preparation of press releases.
    - F. Design program to brand CalMHSA.
    - G. Develop and execute plan for stakeholder strategic partner communications, such as, community information sharing using monthly e-newsletter, social networking tools, and member only login area on web site.

5. Section VI, "CalMHSA Responsibilities", is amended by adding, thereto, a new subsection "C", to read as follows:

- C. Program Director

- A. CalMHSA, or the acting committee, shall have direct input for the selection of the Program Director. This staff member will be an employee/independent contractor of ORA and will be subject to the annual performance review process.

6. As a result of a dynamic environment as noted in the original contract, and that exists as of the date of this amended contract, the following shall be added, thereto, to create a new Section, "Range of Fees", to read as follows:

- A. A range of fees shall be approved by the Board to acknowledge the dynamic nature and need to react expediently.

- B. The fees payable under this contract shall be limited to five percent (5%) of the annual program dollars received by CalMHSA, subject to provision 6 of this section.

- C. Until such time that CalMHSA program dollars have been approved and have been received, and the JPA has reached annual revenue of \$15,600,000, fees shall be paid upon the following events and by such amounts:

- A. When the contract between CalMHSA and the Department of Mental Health (DMH) is executed, the monthly contract fee will increase to \$25,000 per month.

- B. Upon hiring, and/or contracting with, a Program Director and an additional support person to perform services pursuant to this Agreement, the monthly contract fee will increase to \$45,000 per month.


- C. As program funds become available, and there are twenty (20) members of CalMHSA (or members whose population aggregates to at least 25% of the population of the State of California), additional accounting support and a Program Analyst will be required. When these membership levels are reached, the monthly contract fee will increase to \$65,000 per month.

7. Upon hiring such staff (or when the above triggers take place), the fees shall then be based on a percentage of revenue, when program funding reaches annual projections of \$15,600,000. ORA's compensation will be based on, and limited to, a fixed percentage of total revenue ranges. This amount will be calculated monthly on projected annual revenue as follows:
- A. Fees are calculated monthly on monthly accrued revenue and will be equal to 5%, from \$15,600,000 to \$30,000,000.
  - B. Fees are calculated monthly on accrued revenue, and will be equal to 4.5%, for revenues greater than or equal to, \$30,000,000.
  - C. Fees are calculated monthly on accrued revenue, and will equal 4%, for revenues greater than or equal to, \$40,000,000.
  - D. Fees are capped on accrued revenue. Monthly contract fees will be equal to 3%, for revenues greater than or equal to \$50,000,000, and beyond.


<u>Fee %</u>	<u>Annual Program Revenue</u>		
5%	\$15.6M	-	\$30M
4.5%	\$30M	-	\$40M
4%	\$40M	-	\$50M
3%	>	-	\$50M

IN WITNESS HEREOF, the parties hereto have executed this Agreement the day and year first above written.

Optimum Risk Advisors

  
\_\_\_\_\_  
John Chaquica, President  
4 20 2010  
\_\_\_\_\_  
Dated

California Mental Health Services Authority

  
\_\_\_\_\_  
Allan Rawland, President  
4/23/2010  
\_\_\_\_\_  
Dated

California Corporations Code section 313 requires that contracts with a corporation shall be signed by the (1) chairman of the board, the president or any vice-president and (2) the secretary, any assistant secretary, the chief financial officer, or any assistant treasurer; unless the contract is also accompanied by a certified copy of the Board of Directors resolution authorizing the execution of the contract.

Optimum Risk Advisors is the DBA for George Hills Company, Inc.

Federal Employer Identification Number 94-2546177.

**SECOND AMENDMENT TO THE AGREEMENT  
FOR  
ADMINISTRATIVE AND FINANCIAL SERVICES**

This SECOND Amendment to the Agreement for Administrative and Financial Services (which, as modified, may be referred to as the "Second Amended Agreement") is made and is effective as of the 1<sup>st</sup> day of July, 2014, by and between the California Mental Health Services Authority, hereinafter referred to as "CalMHSA", and Optimum Risk Advisors, hereinafter referred to as "ORA", a division of George Hills Company, a California Corporation. The provisions of the First Amended Agreement shall continue to apply until July 1, 2014.

In consideration of the covenants and conditions hereinafter provided, CalMHSA and ORA do hereby covenant and agree that the First Amended Agreement is amended in the following respects:

1. **The Second Amendment hereby amends the First Amended Agreement as stated below.**
2. **Section V, "ORA Responsibilities", is amended as follows:**

Section V, is amended by adding, thereto, a new subsection "G", to read as follows:

**G. Other Projects (as requested)**

These services and planning programs that are or are anticipated to be supported by a Participation Agreement between CalMHSA and individual participating counties which among other things will specify the separate additional fees to be paid to ORA for administration.

1. Training Technical Assistance and Capacity Building (TTACB) Program.
2. Workforce Education Training (WET) Program
3. Contract for State Hospital Beds as authorized under Welfare and Institutions Code §4330 et seq.
4. Implementation of various authorized mental health services governed under Division 5 of the Welfare and Institutions Code (including but not limited to §5600 et seq., §5800 et seq., §5840 et seq. and §5850 et seq.)
5. Administration of programs, services, or activities including the Drug Medi-Cal Treatment Program (§30029.7) as authorized under

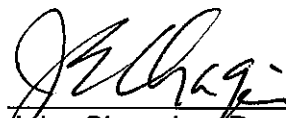
Chapter 6.3 of Division 3 of Title 3 of the Government Code.

6. Implementation of managed mental health care for Medi-Cal beneficiaries and joint county delivery of specialty mental health services, as authorized under Division 9 of the Welfare and Institutions Code (including but not limited to WIC§14712).
  7. Development of statewide program risk pools for mental health plan (MHP) services, as authorized under Division 9 of the Welfare and Institutions Code (including but not limited to WIC §14718).
  8. Any other activity allowed by the Joint Exercise of Powers Agreement and requested by CalMHSA's Board.
3. **Section VII, "Term and Termination of Agreement," Sub Section A, "Term of Agreement," Item 1, is hereby amended by extending the Term of Agreement, to June 30, 2017.**
  4. **Section VIII, "Cost of Services," and Sections 6 and 7 of the First Amended Agreement are replaced as follows:**

For the services described in Section V, ORA Responsibilities,, Subsections A through F, total annual compensation will be as specified in Attachment 1, which shall be paid monthly in arrears. This compensation schedule is based on the assumption that existing PEI Statewide Programs are being concluded within the time specified in Exhibit 1 and is exclusive of services in Subsection G. It is understood that the parties will renegotiate ORA's compensation in the event that PEI Statewide Programs are sustained or extended by addition of funds and/or alteration of existing programs and/or extension of current timelines. Compensation for services under Section V, ORA Responsibilities, Subsection G, shall be separate and as stated in each applicable Participation Agreement.

IN WITNESS HEREOF, the parties hereto have executed this Agreement on December 12, 2013.

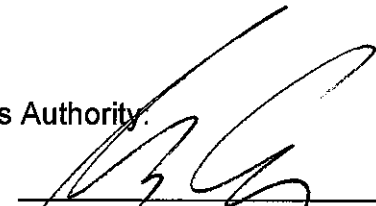
Optimum Risk Advisors:

  
\_\_\_\_\_  
John Chaquica, President

5/12/2014  
\_\_\_\_\_  
Dated

Second Amendment to the Agreement  
Between ORA and CMHSA  
Effective July 1, 2014

California Mental Health Services Authority.

  
\_\_\_\_\_  
Wayne Clark, President  
\_\_\_\_\_  
Dated 5/7/15  
\_\_\_\_\_

Optimum Risk Advisors is the DBA for George Hills Company, Inc.  
Federal Employer Identification Number 94-2546177.

ATTACHMENT 1

Current Contract and Extension to Run out Programs							
	Column 1		Column 2		Column 3		
	FY 2014-15		FY 2015-16		FY 2016-17		
Section V, Item(s) A-F	Fees for Administration Services	Contract Amount	\$1,444,444	Contract Amount	\$606,666	Contract Amount	\$224,467
		Percent	Dollars	Percent	Dollars	Percent	Dollars
	<i>JPA Administration</i>						
	<b>Total</b>	<b>23%</b>	<b>\$332,222</b>	<b>20%</b>	<b>\$121,333</b>	<b>48%</b>	<b>\$107,744</b>
	<i>Fiscal</i>						
	<b>Total</b>	<b>24%</b>	<b>\$346,667</b>	<b>47%</b>	<b>\$285,133</b>	<b>52%</b>	<b>\$116,723</b>
	<i>Program</i>						
	<b>Total</b>	<b>53%</b>	<b>\$765,555</b>	<b>33%</b>	<b>\$200,200</b>		
	<i>Program Specific **</i>						
	State Hospital Beds						
	Tech Asst./Capacity Building						
Workforce Education Program							
<b>Total</b>	<b>100%</b>	<b>\$1,444,444</b>	<b>100%</b>	<b>\$606,666</b>	<b>100%</b>	<b>\$224,467</b>	
Section V, Item(s) G							

- Column 1 (fiscal year 2014-15)**—reflects the run out process beginning with current contracts beginning to close throughout the fiscal year. It is projected that many contracts are to receive no-cost extensions with final close-out beginning January 2015.
- Column 2 (fiscal year 2015-16)**—reflects CalMHSA in full run out with only JPA management and Evaluation in operations.
- Column 3 (fiscal year 2016-17)**—reflects the final year of CalMHSA with completion of Evaluation, close-out of books, and final audit.

**\*\* Special Programs** - These services are provided to certain members upon request and such services and fees agreed to in a Participation Agreement.



**THIRD AMENDMENT TO THE AGREEMENT  
FOR  
ADMINISTRATIVE AND FINANCIAL SERVICES**

This THIRD Amendment to the Agreement for Administrative and Financial Services (which, as modified, may be referred to as the “Third Amended Agreement”) is made and is effective as of the 1<sup>st</sup> day of July, 2014, by and between the California Mental Health Services Authority, hereinafter referred to as “CalMHSA”, and Optimum Risk Advisors, hereinafter referred to as “ORA”, a division of George Hills Company, a California Corporation. The provisions of the Second Amended Agreement shall continue to apply until July 1, 2014.

In consideration of the covenants and conditions hereinafter provided, CalMHSA and ORA do hereby covenant and agree that the First Amended Agreement is amended in the following respects:

- 1. The Third Amendment hereby amends the Second Amended Agreement to reflect an updated Attachment I which includes a new column 4, sustainability funding.**

IN WITNESS HEREOF, the parties hereto have executed this Agreement on June 12, 2014.

Optimum Risk Advisors:

\_\_\_\_\_  
John Chaquica, President

\_\_\_\_\_  
Dated

California Mental Health Services Authority:

\_\_\_\_\_  
Maureen F. Bauman, LCWS, MPA, President

\_\_\_\_\_  
Dated

Optimum Risk Advisors is the DBA for George Hills Company, Inc.  
Federal Employer Identification Number 94-2546177.

ATTACHMENT 1

Current Contract and Extension to Run out Programs									
									New Contract Sustainability Plan
Section V, Item(s) A-F		Column 1		Column 2		Column 3		Column 4	
		FY 2014-15		FY 2015-16		FY 2016-17		Per Fiscal Year <sup>1</sup>	
	Fees for Administration Services	Contract Amount	\$1,444,444	Contract Amount	\$606,666	Contract Amount	\$224,467	Contract Amount	\$2,000,000
		Percent	Dollars	Percent	Dollars	Percent	Dollars	Percent	Dollars
	<i>JPA Administration</i>								
	<b>Total</b>	<b>23%</b>	<b>\$332,222</b>	<b>20%</b>	<b>\$121,333</b>	<b>48%</b>	<b>\$107,744</b>	<b>20%</b>	<b>\$400,000</b>
	<i>Fiscal</i>								
	<b>Total</b>	<b>24%</b>	<b>\$346,667</b>	<b>47%</b>	<b>\$285,133</b>	<b>52%</b>	<b>\$116,723</b>	<b>17%</b>	<b>\$340,000</b>
	<i>Program</i>								
	<b>Total</b>	<b>53%</b>	<b>\$765,555</b>	<b>33%</b>	<b>\$200,200</b>			<b>63%</b>	<b>\$1,260,000</b>

<sup>1</sup> If approved this funding amount replaces funding identified in columns 1-3.

	<b>Program Specific **</b>								
<b>Section V, Item(s) G</b>	State Hospital Beds								
	Tech Asst/Capacity Building								
	Workforce Education Program								
	<b>Total</b>	<b>100%</b>	<b>\$1,444,444</b>	<b>100%</b>	<b>\$606,666</b>	<b>100%</b>	<b>\$224,467</b>	<b>100%</b>	<b>\$2,000,000</b>

- Column 1 (fiscal year 2014-15)**—reflects the run out process beginning with current contracts beginning to close throughout the fiscal year. It is projected that many contracts are to receive no-cost extensions with final close-out beginning January 2015.
- Column 2 (fiscal year 2015-16)**—reflects CalMHSA in full run out with only JPA management and Evaluation in operations.
- Column 3 (fiscal year 2016-17)**—reflects the final year of CalMHSA with completion of Evaluation, close-out of books, and final audit.
- Column 4**—Represents the anticipated staffing needed on an on-going basis with the infusion of new funds. The contract analysis is based on the fact the driver of costs and resources is predicated on the number of programs and contracts. The analysis is based on an infusion of \$20m to \$60m annually. Included in this amount are the costs to manage the JPA as an entity, program management, and planning and development for projects requested by the Board. This is a fixed fee for FY 2014-15, FY 2015-16, and 3% inflation increase for 2016-17 (subject to funding availability). The contract shall also reflect, as addendum, amounts for special programs where less than a majority of the members participate, but does not include any program that is later approved that significantly expands scope of work.

**\*\* Special Programs** - These services are provided to certain members upon request and such services and fees agreed to in a Participation Agreement.

**Agenda**  
**Agenda Item 8**

**SUBJECT: Report from CalMHSA Search Committee**

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**ACTION FOR CONSIDERATION:**

**Approval of the restructuring plan, including recruitment of new Executive Director, within the budget amounts and timelines established. Search and recommendation shall be performed by the Search Committee with final approval by the CalMHSA Board.**

**BACKGROUND AND STATUS:**

At the April 11, 2014 Strategic Planning Session meeting, the CalMHSA Board of Directors discussed the proposed restructure that included hiring a new Executive Director with the current Executive Director, John Chaquica, stepping down to Director of Operations (DOO). After much discussion the Board supported the concept, but requested more discussion regarding budget impact, qualifications and experience of new hire. As a result, the Board directed a Search Committee be assembled to further review the roles and responsibilities, as well as fiscal impact and process.

The Search Committee met two times to review and discuss the proposed restructure plan, to include a job description, budget and legal status of Executive Director (ED). The following documents were reviewed during these discussions:

1. Strategic Planning Session proposal and notes
2. Definition of Roles and Reporting Structure, including Budget narrative
3. Job Description—Executive Director
4. Job Description—Director of Operations
5. Current Organization Structure
6. Staffing Matrix
7. Sustainability Funding Goals
8. George Hills Contract

**Search Committee Conclusion:**

1. To direct staff to broaden the job description so it would include experience and skills in the development of a strategic plan for fund development and execution of the plan. This shall be balanced with knowledge of the mental health field and county government. The revised job description is attached.
2. The budget impact shall be a range of \$150,000 to \$250,000 for a compensation package (salary and benefits) and provision for indirect costs, for 1 FTE new ED. With this restructure and a .5 FTE shall be added for additional support, estimated at \$40,000, for a

maximum budget impact on expenditures of \$300,000. There are sufficient funds that provide for the financial impact of this additional cost, which has been included in the general and administrative expenditure of the Sustainability Funding Goals and CalMHSA proposed budget.

This amount will be offset by a reduction of the current allocated salary cost of the current ED based on the proposal and the plan to reduce the level of effort necessary to carry out his new role of DOO. The range of estimated reduction is \$20,000 to \$40,000, but will be based on actuals, and therefore could increase. This will be a reduction to the amount payable under the GHC contract at the time of inception. This reduction and base salary was reviewed by the Committee and was deemed appropriate.

3. The legal status of the new ED was discussed. Upon the advice of legal counsel, it was determined it would not be in the JPA's best interest to have an employee or a direct contract for this position. If however, the new ED was an employee of another legal entity, such as a Limited Liability Company, that scenario should be considered. The Committee decided that, while acknowledging the perception concerns raised, having the new ED be a GHC employee who only worked on CalMHSA matters would be the most efficient and cost effective approach.

**FISCAL IMPACT:**

The budget impact is estimated to be a maximum net increase of annual expenditures in the amount of \$280,000. This shall be funded by new funding sources in 2014-15, and is expected the new ED shall, over time, generate sufficient funding to sustain this position and grow the program operations to meet the goals and objectives of CalMHSA.

**RECOMMENDATION:**

**Approval of the restructuring plan, including recruitment of new Executive Director, within the budget amounts and timelines established. Search and recommendation shall be performed by the Search Committee with final approval by the CalMHSA Board.**

**TYPE OF VOTE REQUIRED:**

Majority vote of the Board of Directors

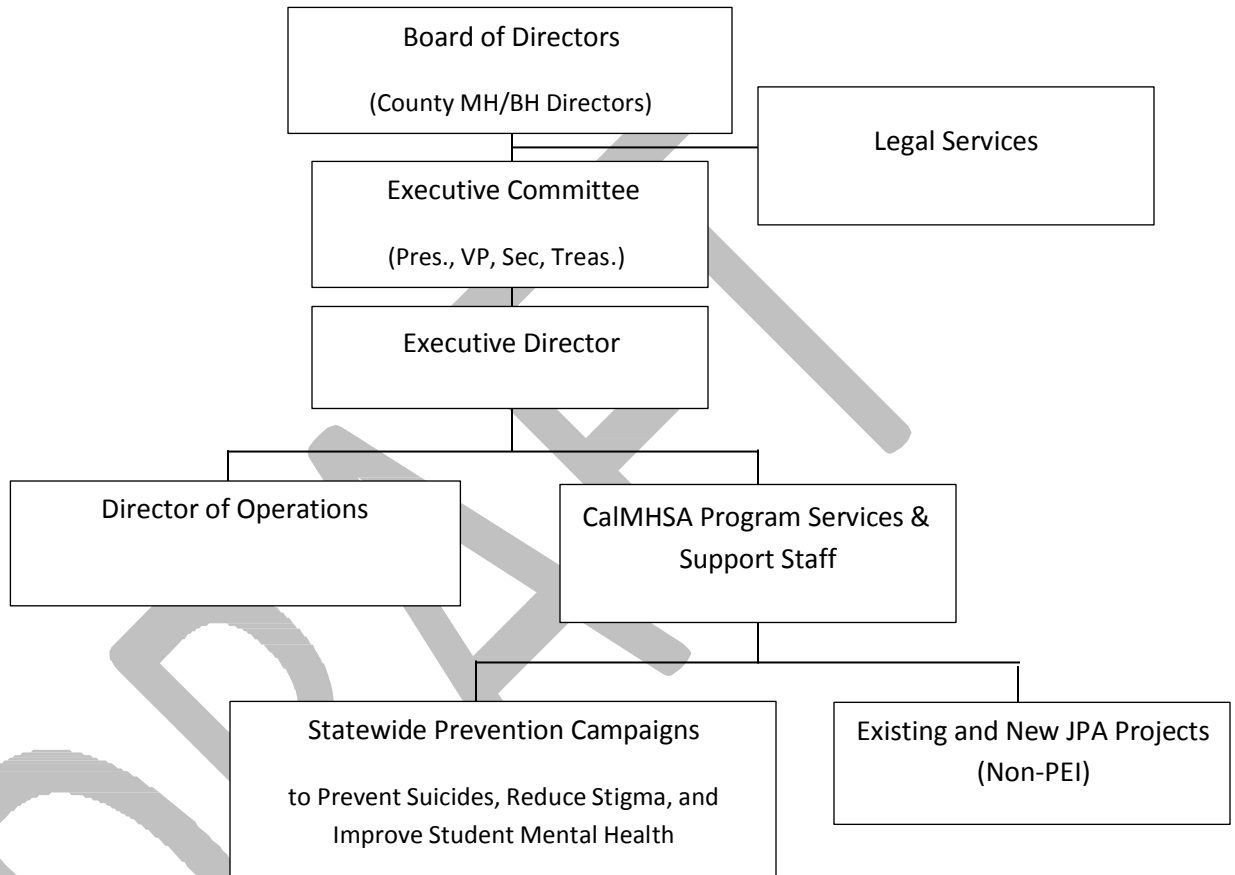
**REFERENCE MATERIAL(S) ATTACHED:**

- Strategic Planning Session Restructure Proposal
  - Job Description – Executive Director
  - Job Description – Director of Operations
- Timeline
- Sustainability Funding Goals

**California Mental Health Services Authority**  
**Strategic Planning Session Restructure Proposal**

This memo is intended to outline the new management structure and positions being recommended to take CalMHSA to the next level.

**Restructured Organization**



**Definition of Roles and Reporting Structure**

Executive Director – The Executive Director (ED) reports directly to the Board of Directors/Executive Committee as outlined in the JPA Bylaws. The ED directly supervises the Program Services & Support team.

The ED is the face of the JPA providing high-level leadership, implementing the strategic plan, and oversight to the CalMHSA program team. This includes representing the JPA in national (federal), state, and local policy discussion and working closely with CalMHSA partners. The ED attends all meetings with legislature and staff, and with DHCS, CMHDA, CiMH and other pertinent partners. (See Executive Director Job Description below)

### California Mental Health Services Authority

The ED has knowledge of general county mental and behavioral health areas and specifically the California Mental Health Services Act and laws and regulations. The candidate should have experience and skills in the development of a strategic plan for fund development and execution of such plan.

Critical to this new role will be the responsibility of identifying, raising, and managing new funding sources. With one-time assigned funds soon to be fully spent, sustaining program efforts will be through new and different funding sources. Therefore, a portion of the position will be spent in accomplishing funding objectives, such as:

1. The ED will lead the advocacy of the JPA activities for the pursuit of new revenue sources, often times in conjunction with CMHDA. This will include new funding from the state in areas outside of MHSA (e.g., education). Additionally, the ED will lead the efforts for introduction and solicitation of endowment and foundational funds.
2. The ED will work closely with the Program Director and the administration of current and future statewide PEI programs.

Director of Operations – The Director of Operations (DOO), John Chaquica, will report directly to the Executive Director and Executive Committee. The DOO directly supervises the JPA Management, Fiscal & Administrative Services team. The DOO oversees planning, direction, and control of all policies and procedures and execution of projects and programs. Additionally, he shall continue involvement in other projects, for example Department of State Hospitals. (See Director of Operations Job Description below.)

Examples of this are:

1. The DOO will ensure CalMHSA as a government entity shall operate in accordance with JPA Agreement, Bylaws, Government Code, and other applicable laws.
2. The DOO will manage the day-to-day activities to ensure proper resources are in place, systems are appropriate to achieve results, and will monitor and hold accountable all personnel to performance standards.
3. The DOO will oversee all budget, financial reports, and contracts.
4. The DOO will ensure all contract provisions are complied with and take appropriate action in protecting CalMHSA members through the contractual relationships.

### **Budget Narrative**

The new ED position is estimated to have a total direct compensation package (salary and benefits) ranging from \$150,000 to \$250,000, including additional indirect costs. In addition this new position will require a least a .5 FTE in an approximate amount of \$40,000.00. This position shall be funded by new funding sources in 2014-15, and is expected the new ED shall, over time, generate sufficient funding to sustain this position and grow the program operations to meet the goals and objectives of CalMHSA.

The DOO position, while new from a personnel/budget standpoint, is currently included in the budget. However, with the new ED position, the GHC contract will be reduced for the reduction of effort. This range is projected to be \$20,000 to \$40,000.

What is unknown and we are unable to project at this time is what additional resources may be needed with the addition of the new ED.

## California Mental Health Services Authority

### Executive Director Job Description

Classification: Full-time; Exempt

Reports to: CalMHSA Board and Executive Committee

Supervises: Director of Operations, Program Director, Finance Director

The Executive Director position provides highly responsible and complex management oversight to the administration of the California Mental Health Services Authority (CalMHSA), and reports to the Board of Directors and Executive Committee. The Executive Director's unplanned and/or prolonged absences would affect the Authority.

The following statements are intended to describe the general nature and level of work being performed. They are not intended to be construed as an exhaustive list of all responsibilities, duties and skills required of the person holding this position.

#### Essential Duties and Responsibilities

Duties include the following and such other duties as may be assigned from time-to-time:

- The ability to serve as business manager for a highly visible organization with a complex political and technical mission.
- Provides executive leadership in long range and daily planning, direction and control of all policies and procedures related to the JPA.
- Responsible for developing and executing a strategic funding plan to sustain the core mission of CalMHSA.
- Represent CalMHSA in all state or county policy discussion relating to CalMHSA activities.
- Represent CalMHSA on state level committee and task forces that relate to CalMHSA concerns, as needed.
- Oversee the development of CalMHSA goals, objectives, priorities, and policy direction recommendations for consideration by the CalMHSA Board of Directors.
- Work in close collaboration with CalMHSA partners, such as the State Department of Health Care Services (DHCS), the Mental Health Services and Oversight and Accountability Commission (MHSOAC), and the County Mental Health Directors Association (CMHDA) to assure alignment as needed.
- Participate in CalMHSA Board and other meetings.
- Represents CalMHSA in all contract activities related to revenue and expenditure for services, to include but not limited to:
  - Develop recommendations for contracts for projects, program, and services.
  - Develop and lead the process for all requests for proposal and directed by the Board.
  - Monitor contract activities and provide reports to the CalMHSA Board.
  - Work with the CalMHSA Program Director and Finance Director for program fiscal reports and budget management.
  - Oversee submissions to the MHSOAC and DHCS.
  - Ensure monitoring and management of contract activities.
  - Ability to conduct consumer meetings and build solid working relationships with various stakeholders.



## California Mental Health Services Authority

- Ability to prepare presentations and present information, to Board, Board of Supervisors, legislature, funding sources, etc.
- Oversee all mental health projects to meet the goals and objectives established by, and in accordance with, company policies contracts and applicable laws and regulations.
- Consult with organizations or individuals who may have policy, programmatic or business interest with CalMHSA.
- Establish, with Board policy, appropriate staffing and service levels; monitor and evaluate the efficiency and effectiveness of all service delivery methods and procedures.
- Assess and monitor the work load of all management staff, administrative and technical support systems, and internal reporting relationships; identify opportunities for improvement in services, directs and implement changes as necessary.

### Knowledge, Skills, and Abilities Required

- Demonstrated knowledge of the California Mental Health Services Act, laws and regulations relating to Mental Health Services within the State of California.
- Knowledge of various mental health services, projects, and educational programs at the State, regional, and local levels.
- Knowledge of challenges and opportunities facing the Mental Health Community.
- Knowledge of financing and budget procedures and processes.
- Knowledge of funding sources and ability to attract funds.
- Demonstrated knowledge of monitoring contracts.
- Ability to lead meetings with affiliate organizations to present information and arrive at a consensus.
- Ability to build solid working relationships with various stakeholders and stakeholder organizations.
- Ability to manage grant applications and other submissions for funding.
- Ability to prepare presentations and present information.
- Ability to evaluate and recommend contracts, projects, programs and services.
- Ability and willingness to travel with some overnight stays as required.
- Ability to supervise, evaluate, and motivate staff.
- Ability to work guided by ethics and integrity.
- Ability to execute the Strategic Plan of the Authority along with the plans of the Clients(s).
- Ability to use Microsoft Office software.
- Ability to motivate teams to produce quality materials within tight time frames and simultaneously manage several projects.
- Ability to participate in and facilitate group meetings.
- Ability to multi-task and change directions quickly.
- Ability to work effectively in a fast paced office environment is essential.
- Ability to follow Board direction.
- Ability to problem solve.
- Ability to meet time deadlines.
- Ability to define and communicate expectations.
- Ability to promote a work culture in which the staff has pride in the work that they perform.

## California Mental Health Services Authority

- Ability to communicate, meet and deal tactfully and professionally with others.
- Ability to ensure task completion by subordinate staff.
- Ability to communicate expectations regarding needed areas of improvement to staff.
- Ability to ensure reviews are performed in a timely manner.
- Ability to function as part of a team.
- Demonstrate leadership abilities including but not limited to
  - Personal commitment to making him/herself available to all staff,
  - Experience in collaborative techniques with staff and clients,
  - Dedication to quiet, stable resolution of conflict,
  - Open communication of expectations,
  - Meaningful delegation, and
  - Consciously aware of his/her role in creating the tenor of the work place and resulting interactions.

### Minimum Qualifications

- A master's degree from an accredited college or university in management, business/public administration, behavioral science, human services or other closely related field.
  - A bachelor's degree in a qualifying area may be given consideration with ten (10) years of experience as specified below.
- Ten (10) years of progressively responsible administrative or management experience with demonstrated knowledge, skills and abilities in managing or assisting in the management of a large or complex mental health, public health, foundation or non-profit organization.
  - Experience must include responsibility for fundraising, fiscal/budget administration, personnel administration and operations.

### Professional Competencies

#### Strategic Thinking and Planning Skills

- Experience with strategy development and implementation
- Understanding and experience with re-engineering processes and large scale systems change
- Strong business acumen
- Ability to lead complex projects through to an end point.

#### Managing and Leading

- Able to communicate effectively and lead others through change and new strategic initiatives
- Able to build effective teams, coach and develop others
- Able to seize opportunities and take initiative as appropriate

#### Influence and Interpersonal Effectiveness

- Relationship building and rapport skills
- Influencing and networking skills

## California Mental Health Services Authority

- Ability to communicate effectively at all levels

### Operational Effectiveness

- Ability to grasp the Authority's short and long term priorities and develops systems, processes and policies to support the achievement of them in a cost effective manner.
- On an ongoing basis, evaluate and prioritize activities to focus people resources against key business priorities.

### Commitment to CalMHSA

- Demonstrate loyalty, including making personal sacrifices, working long hours when required, and making changes for the good of the JPA.
- Dedication to performing all required tasks and duties while maintaining the highest level of integrity, providing exceptional service, and maintaining healthy relationships with clients and staff.
- Participate in peer/service groups to promote JPA's presence in the industry and community.
- Commitment to the JPA's Strategic Plans.

### Working Conditions and Physical Effort

- Work is normally performed in a climate-controlled office environment.
- Sit for long length of time.
- Normal physical strength and ability to lift and maneuver routine office materials, equipment and tools.
- Lift and/or move boxes up to 25 pounds.
- Normal hand, finger, eye coordination.
- Normal ability to stoop, kneel and crouch.
- Normal physical mobility, which includes movement from place-to-place on the job taking distance and speed into account.
- Mental effort:
  - Normal concentration/intensity.
  - Normal memory, taking into consideration the amount and type of information.
  - Normal complexity of decision making.
  - Normal time pressure of decision making.

## California Mental Health Services Authority

### Director of Operations Job Description

Classification: Full-time; Exempt

Reports to: Executive Director and Executive Committee

Supervises: JPA Management, Fiscal & Administrative Services Staff

The Director of Operations position provides hand-on operational management oversight and reports to the Executive Director and Executive Committee. The Director of Operation's unplanned and/or prolonged absences would affect the Authority.

The following statements are intended to describe the general nature and level of work being performed. They are not intended to be construed as an exhaustive list of all responsibilities, duties and skills required of the person holding this position.

#### Essential Duties and Responsibilities

Duties include the following and such other duties as may be assigned from time-to-time:

- The ability to serve as business manager for a highly visible organization with a complex political and technical mission.
- Provides executive leadership in long range and daily planning, direction and control of all policies and procedures related to the JPA.
- Assist in the development of CalMHSA goals, objectives, priorities, and policy direction recommendations for consideration by the CalMHSA Board of Directors.
- Participate in CalMHSA Board and other meetings.
- Ability to prepare presentations and present information.
- Consult with organizations or individuals who may have policy, programmatic or business interest with CalMHSA.
- Establish, with Board policy, appropriate staffing and service levels; monitor and evaluate the efficiency and effectiveness of all service delivery methods and procedures.
- Assess and monitor the work load of all management staff, administrative and technical support systems, and internal reporting relationships; identify opportunities for improvement in services, directs and implement changes as necessary.
- Provide day-to-day leadership and management to a service organization that mirrors the adopted mission and core values of the company.
- Responsible for the measurement and effectiveness of all internal and external processes.
  - Provides timely, accurate and complete reports on the operating condition of the JPA to the Executive Director and Executive Committee.
- Oversee the development, communication and implementation of effective growth strategies and processes.
- Collaborate with the management team to develop and implement plans for the operational infrastructure of systems, processes, and personnel.

#### Knowledge, Skills, and Abilities Required

## California Mental Health Services Authority

- Knowledge of financing and budget procedures and processes.
- Demonstrated knowledge of monitoring contracts.
- Ability to lead meetings with affiliate organizations to present information and arrive at a consensus.
- Ability to prepare presentations and present information.
- Ability to evaluate and recommend contracts, projects, programs and services.
- Ability and willingness to travel with some overnight stays as required.
- Ability to supervise, evaluate, and motivate staff.
- Ability to work guided by ethics and integrity.
- Ability to execute the Strategic Plan of the Authority along with the plans of the Clients(s).
- Ability to use Microsoft Office software.
- Ability to motivate teams to produce quality materials within tight time frames and simultaneously manage several projects.
- Ability to participate in and facilitate group meetings.
- Ability to multi-task and change directions quickly.
- Ability to work effectively in a fast paced office environment is essential.
- Ability to follow Board direction.
- Ability to problem solve.
- Ability to meet time deadlines.
- Ability to define and communicate expectations.
- Ability to promote a work culture in which the staff has pride in the work that they perform.
- Ability to communicate, meet and deal tactfully and professionally with others.
- Ability to ensure task completion by subordinate staff.
- Ability to communicate expectations regarding needed areas of improvement to staff.
- Ability to ensure reviews are performed in a timely manner.
- Ability to function as part of a team.
- Demonstrate leadership abilities including but not limited to
  - Personal commitment to making him/herself available to all staff,
  - Experience in collaborative techniques with staff and clients,
  - Dedication to quiet, stable resolution of conflict,
  - Open communication of expectations,
  - Meaningful delegation, and
  - Consciously aware of his/her role in creating the tenor of the work place and resulting interactions.

### Minimum Qualifications

- A master's degree from an accredited college or university in management, business/public administration, behavioral science, human services or other closely related field.

## California Mental Health Services Authority

- A bachelor's degree in a qualifying area may be given consideration with ten (10) years of experience as specified below.
- Ten (10) years of progressively responsible administrative or management experience with demonstrated knowledge, skills and abilities in managing or assisting in the management of a large or complex mental health, public health, or human services organization.
  - Experience must include responsibility for fiscal/budget administration, personnel administration and operations.

### Professional Competencies

#### Strategic Thinking and Planning Skills

- Experience with strategy development and implementation
- Understanding and experience with re-engineering processes and large scale systems change
- Strong business acumen
- Ability to lead complex projects through to an end point.

#### Managing and Leading

- Able to communicate effectively and lead others through change and new strategic initiatives
- Able to build effective teams, coach and develop others
- Able to seize opportunities and take initiative as appropriate

#### Influence and Interpersonal Effectiveness

- Relationship building and rapport skills
- Influencing and networking skills
- Ability to communicate effectively at all levels

#### Operational Effectiveness

- Ability to grasp the Authority's short and long term priorities and develops systems, processes and policies to support the achievement of them in a cost effective manner.
- On an ongoing basis, evaluate and prioritize activities to focus people resources against key business priorities.

#### Commitment to CalMHSA

- Demonstrate loyalty, including making personal sacrifices, working long hours when required, and making changes for the good of the JPA.
- Dedication to performing all required tasks and duties while maintaining the highest level of integrity, providing exceptional service, and maintaining healthy relationships with clients and staff.
- Participate in peer/service groups to promote JPA's presence in the industry and community.
- Commitment to the JPA's Strategic Plans.

## California Mental Health Services Authority

### Working Conditions and Physical Effort

- Work is normally performed in a climate-controlled office environment.
- Sit for long length of time.
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- Normal hand, finger, eye coordination.
- Normal ability to stoop, kneel and crouch.
- Normal physical mobility, which includes movement from place-to-place on the job taking distance and speed into account.
- Mental effort:
  - Normal concentration/intensity.
  - Normal memory, taking into consideration the amount and type of information.
  - Normal complexity of decision making.
  - Normal time pressure of decision making.

DRAFT

California Mental Health Services Authority  
**PREPARING FOR THE FUTURE**

**Implementation Plan Timeline**

The Implementation Plan lays out the next steps and related milestones required to restructure CalMHSA in the most efficient and judicious manner. The CalMHSA team has always worked under the adage “better, faster, smarter”—promoting efficiency, flexibility and lean staffing—which allows for an easy transition.

**1. Hiring an Executive Director (April – October)**

- Search Committee appointed by CalMHSA Board President – April 11<sup>th</sup>
  - Search Committee Role
    - Affirm objective/vision
    - Review organizational structure for possible changes
    - Define job description (full-time or part-time)
    - Establish timeline
    - Develop job posting
      - Duration of posting
      - Salary range
    - Budget impact
      - One year
      - Three year
- Search Committee presents work to board for approval of process and budget – June 13<sup>th</sup>
- Distribute job posting – June 17<sup>th</sup>
- Review resumes received – July 15<sup>th</sup>–31<sup>st</sup>
- Interview top applicants – August 1<sup>st</sup>–15<sup>th</sup>
- Selection and negotiation of final candidate – August 16<sup>th</sup>–31<sup>st</sup>
- ED start date – September 1<sup>st</sup>

**2. Chief Operating Officer (position to be filled by former CalMHSA Executive Director)**

- DOO start date – September 1<sup>st</sup>

**3. Refresh Staff Structure and Operations (August – October)**



**California Mental Health Services Authority  
Sustainability Strategic Funding Goals**

Sustainability Funding Category	Strategic Funding Goals			
	FY 14/15	FY 15/16	FY 16/17	Total
Contingency	-			-
PEI - Unobligated Carry over	5,766,603			5,766,603
PEI - Interest Earnings	1,032,103	1,032,103	1,032,103	3,096,310
Matching	100,000	1,000,000	1,500,000	2,600,000
Private/Other	100,000	1,000,000	1,500,000	2,600,000
State (1)	7,600,000	10,000,000	15,000,000	30,000,000
Local - County Sustainability Contributions (2)	7,600,000	10,000,000	15,000,000	32,600,000
<b>Total Revenue</b>	<b>22,198,706</b>	<b>23,032,103</b>	<b>34,032,103</b>	<b>76,662,913</b>
<b>Expenditures</b>				
Program	18,413,476	18,700,000	28,050,000	65,163,476
Evaluation	1,083,146	1,100,000	1,650,000	3,833,146
General and Administrative	2,166,291	2,200,000	3,300,000	7,666,291
<b>Total Expenditures</b>	<b>21,662,913</b>	<b>22,000,000</b>	<b>33,000,000</b>	<b>76,662,913</b>
<b>Total Unexpended Funds</b>	<b>535,793</b>	<b>-</b>	<b>-</b>	<b>-</b>

Note: Carry over Funds and interest of \$8,862,758 were allocated to FY14/15 only. Contingency Reserve of \$2,940,152 still maintained and not budgeted for Expenditure.

- (1) Funding objective is to establish a state matching process of local – county sustainability contributions.
- (2) Funding goal is to have all counties contribute 7%. The 2016-2017 budget represents approximately 6%.
- (3) The allocation of interest income may change based on necessity.

**PROGRAM MATTERS**  
**Agenda Item 9.A**

**SUBJECT: Report from CalMHSA Program Director – Ann Collentine**

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**ACTION FOR CONSIDERATION**

None , information only.

**BACKGROUND AND STATUS:**

The Spring Quarter of 2014 has been a productive and impactful one for CalMHSA program partners. Evidence of their impact is emerging and CalMHSA program staff is using different vehicles to share this information with counties and their constituencies. Below are some key resources that provide information on impact to date.

**Independent Evaluation from the RAND Corporation – Eight More Fact Sheets on Emerging Evaluation Findings:**

Beginning now and continuing throughout 2015, RAND will be producing brief fact sheets to share and disseminate emerging evaluation findings related to the PEI statewide projects. New releases for May are listed below and can be found both at the RAND website at: <http://www.rand.org/health/projects/calmhsa/publications.html> and the CalMHSA website evaluation page at: <http://calmhsa.org/programs/evaluation>.

For questions or comments, contact Stephanie Welch, Senior Program Manager, [stephanie.welch@calmhsa.org](mailto:stephanie.welch@calmhsa.org).

*Suicide Prevention*

- [Adults Exposed to “Know the Signs” Are More Confident for Those At Risk for Suicide](#)
- [Racial and Ethnic Difference in Exposure to Suicide Prevention Messaging, Confidence in One’s Ability to Intervene with Someone at Risk, and Resource Preferences](#)
- [Where Would California Adults Prefer to Get Health If They Were Feeling Suicidal?](#)

*Stigma and Discrimination Reduction*

- [Racial and Ethnic Differences in Mental Illness Stigma in California](#)
- [Findings from the School-Based Theatrical Performance \*Walk In Our Shoes\*](#)

*Student Mental Health*

- [CalMHSA Student Mental Health Campus-Wide Survey 2013 Summary Report](#)
- [California Colleges and Universities Collaborate to Support Student Mental Health](#)
- [California K-12 Schools and Communities Collaborate to Support Student Mental Health](#)

**Monthly News to Use Bulletin – Shares Impact of Statewide PEI Programs in a User-Friendly Format:**

CalMHSA has re-vamped the monthly News to Use Bulletin so that it simply and visually conveys information about the array of activities and strategies conducted by programs, as well informs readers of program reach, impact, and value. Please take a moment to review recent issues:

- February – Fostering Partnerships with Public Safety Agencies, Promoting Safe Communities
- March – Fostering Health and Wellness for California’s Higher Education Students
- April – Young Mind Matters (Student Mental Health K-12)
- May – California Celebrate Mental Health Matters Day

**“Know the Signs” Campaign Outcomes Summary Report Now Available:**

Know the Signs is a statewide suicide prevention social marketing campaign with the overarching goal to increase California’s capacity to prevent suicide by encouraging individuals to know the signs, find the words to talk to someone they are concerned about, and to reach out to resources. An executive summary of outcomes to date is now available which reports on media impact, performance and satisfaction of county technical assistance efforts, the Directing Change Program, and the process and deliverables available under the culturally-adaption program. Please see a PDF copy of the executive summary [here](#); and look for a full report in the mail which will include information about the specific impact to date in your county.

**Training, Technical Assistance and Capacity Building (TTACB)**

Several counties partnered with CalMHSA to fund the RAND/SRI Training, Technical Assistance and Capacity Building (TTACB) program through June 30, 2014 in order to receive technical assistance on Prevention and Early Intervention (PEI) evaluation strategies, and participate in regional evaluation activities. By working with RAND/SRI, information and resources from the Statewide PEI Evaluation were leveraged and applied to county level PEI evaluation efforts. The following quarterly technical assistance opportunities occurred in Fiscal Year 2013-14 and were made available to all counties, CalMHSA program partners and other community partners (as space allowed):

- Describing County PEI Programs; Using Standardized Data Collection and Analysis Tools to Collect and Present Data Across Programs (*Webinar*)
- Advanced Getting to Outcomes – Program Quality Improvement (*Webinar*)
- County Data Systems (*Facilitated In-Person Work Group*)
- Evaluation Approaches for Different Kinds of PEI Programs (*In-Person Work Group*)
  - At the latest work groups, which were held in April and May 2014 in three different locations statewide, 84 individuals from 31 counties participated.

Archived webinars and work group materials from the current and prior year are available on the CalMHSA website: <http://calmhsa.org/programs/ttacb/>

Please contact CalMHSA (Sarah Brichler at 916-859-4827 or [sarah.brichler@calmhsa.org](mailto:sarah.brichler@calmhsa.org)) or RAND (Kaci Williams at (310) 451-7051, extension 7245 or [kaci@rand.org](mailto:kaci@rand.org)) with any questions.

### **Staff Updates**

CalMHSA Program Manager, Sarah Brichler, is pregnant and expecting her 1st child in June. Sarah will be taking a leave and when she returns to CalMHSA, she will be working on a very part-time basis on special assignments. CalMHSA staff will miss having Sarah here on a full-time basis but we are delighted that she has agreed to return on a very part-time basis. She will be missed.

Staff is delighted to inform you that we have hired a new program manager, Teresa Ly, who will start on June 9th. Teresa brings a wealth of experience to CalMHSA and will be the contract manager for the Suicide Prevention contracts and manage other areas of CalMHSA work. Many of you already know Teresa from the work that she has done in counties for our SP projects. I hope that you will give her a warm welcome and I look forward to introducing her to all of you.

### **RECOMMENDATION:**

None, information only.

### **TYPE OF VOTE REQUIRED:**

None

### **REFERENCE MATERIAL(S) ATTACHED:**

- May Edition of News to Use : Mental Health Matters
- April Edition of News to Use : Programs for Youth
- March Edition of News to Use : Higher Education
- February Edition of News to Use : Public Safety

# California Celebrates First Ever Mental Health Matters Day

## Statewide Activities Capture the Energy of the Growing Each Mind Matters Movement

On May 13th, 2014, Californians came together to celebrate California's first Mental Health Matters Day at the state Capitol.

- An **energetic rally** at the State Capitol showed the growing energy of Each Mind Matters: California's Mental Health Movement.
- Leaders and visionaries shared **ideas, tools and resources** for reducing stigma and building awareness.
- Attendees were **empowered** to bring learning opportunities back to their communities.
- Mental health champions and new mental health leaders alike, shared **diverse perspectives** from the movement.



Resource kits distributed.

**1,000**

**1,500**

Attendees rallied for mental health awareness.

### A New Generation of Mental Health Leaders

**74**

Students from the Directing Change Student Video Contest shared with legislators their personal experiences with mental health challenges and inspiration about the public service announcements they created during the 2014 Directing Change Legislative Breakfast.



**12**

Participating State Legislators:

Sen. Jim Beall (San Jose)  
Sen. Mark Leno (San Francisco)  
Sen. Carol Liu (Burbank)  
Sen. Darrell Steinberg (Sacramento) (pictured at right greeting students)  
Asm. Richard Bloom (Santa Monica)

Asm. Steven Bradford (Gardena)  
Asm. Cheryl Brown (San Bernardino)  
Asm. Ed Chau (Arcadia)  
Asm. Rocky Chavez (Oceanside)  
Asm. Paul Fong (San Jose)  
Asm. Cristina Garcia (Bell Gardens), and  
Asm. Shirley Weber (San Diego).

## Empowering Youth to be Change Makers

The culmination of Mental Health Matters Day was the Directing Change Student Video Contest Awards Ceremony. State Superintendent of Public Instruction Tom Torlakson and Director Bradley Buecker and Actor Max Adler from Fox's hit series "Glee" were featured speakers (pictured at right with students from Analy High School in Sebastopol).

**432** submissions, representing **996** students

from 31 counties were received in the contest that empowers California's youth to tackle the public health issues of suicide and stigma by producing public service announcements. View the full list of winners and their videos at [www.directingchange.org](http://www.directingchange.org).



**248**

Number of new "likes" on the Each Mind Matters Facebook page ahead of Mental Health Matters Day.

Number of times on May 13th that @EachMindMatters was favorited, retweeted and mentioned on Twitter.

**100**

## Each Mind Matters Celebrated Across the State

The Each Mind Matters message was not only heard loudly in Sacramento on May 13th, 2014, it was heard statewide all month long. Numerous counties celebrated May is Mental Health Month and highlighted the growing Each Mind Matters movement by distributing materials about Mental Health Matters Day and Directing Change.

**21** **Events** were held in Sonoma County, ranging from trainings in Question, Persuade, Refer, to comedy shows and brown bag lunches for teachers.

**31** **Different ways** to promote mental health awareness and overall well-being were highlighted by San Bernardino County -- one for each day in May.

**10** **Events** were held throughout May by Tri-City Mental Health Services in Pomona, as well as posting a mental health tip or quote every day of the month on their Facebook page.



**San Bernardino Dept. of Behavioral Health Expo May 22, 2014**

# Young Minds Matter

## Investing in California's Young Minds Improves Mental Health Over Generations

**Half of all mental health challenges begin by age 14 and three quarters appear before age 24.** The California Mental Health Services Authority's (CalMHSA) Prevention and Early Intervention programs strategically target young Californians, connecting them with preventative services and setting them on a lifetime path of mental wellness.

**EACH MIND  
MATTERS**

California's Mental Health Movement

### *A New Generation of Mental Health Leaders*

Emerging mental health advocates will be among the thousands of individuals and organizations who will stand together in a unified call for inclusion and acceptance for people living with mental health challenges on Mental Health Matters Day, to be held May 13, 2014 at the State Capitol.

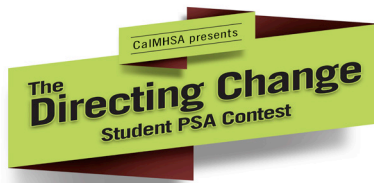
As new leaders pick up the torch that will lead Each Mind Matters into the future, the events will honor the pioneers of California's mental health movement, including Sally Zinman and Jay Mahler (pictured at right with CalMHSA Senior Program Manager Stephanie Welch).



**RSVP for Mental Health Matters Day  
at [www.eachmindmatters.org/events](http://www.eachmindmatters.org/events)**

### *Empowering Youth to be Change Makers*

This year, 422 submissions, representing 31 California counties were received in the contest that empowers California's youth to tackle the public health issues of suicide and stigma by producing public service announcements that educate and encourage their peers to take action. To view the full list of the regional winners and their winning videos, visit [www.directingchange.org](http://www.directingchange.org)



**400**

Submissions were received in 2013, representing almost

**1,000**

students from across California

*"I think that having a film contest that tackles difficult topics like mental health and suicide is a wonderful thing because it opens students up to having a conversation about topics which are often swept under the rug." - Directing Change Student Video Contest Participant from Canyon High School*

# 1 in 5

American children lives with a diagnosable **mental illness** in a given year



# 2,935,147

K-12 students reached through the California County Superintendents Educational Services Association's (CCSESA) demonstration programs, which encourage a positive school climate, including bullying prevention and positive behavioral support.

Number of children reached through the National Alliance on Mental Illness, California Chapter's "Ending the Silence" program, which empowers people with lived experience of mental health challenges to bring their stories to California's classrooms.

# 12,775

## Starting a New Conversation

18,000 students have viewed in-school performances and 45,436 students have been engaged online through "Walk in Our Shoes," a positive way to engage young people in a conversation about our differences, with in-school theatrical performances and an engaging interactive website.



*"I identify with [the Walk in Our Shoes performer] because I have ADHD, and it doesn't matter what mental health challenge you have because everyone is unique in their own way and it just adds to who you are." - Walk in Our Shoes Theatrical Performance Attendee Student in Modesto*

## Sweeping New Educational Standards

In 2013, the California Commission on Teacher Credentialing adopted new mental health curriculum requirements for school administrators that will build leadership capacity to improve student mental health.

# 351

During the 2012/2013 school year **351** school staff were trained through the California Department of Education's Training Educators Through Recognition and Identification Strategies (TETRIS) Eliminating Barriers to Learning program at 101 different schools. TETRIS provides urgently needed, high-quality professional development for school and district-level staff in order to train and support California's schools in recognizing children's mental health disorders and related barriers to school success.

# 45,436

Number of visits to ReachOutHere.com, a website containing content written by and for teens that offers information and support using evidence-based principles and technology to help teens and young adults facing tough times and struggling with mental health issues.





## Student Mental Health Initiative

### CalMHSA's Prevention and Early Intervention Programs Foster Mental Health and Wellness for California's Higher Education Students

American college students are experiencing mental health challenges with greater frequency than ever before. In 2012, the American College Health Association-National College Health Assessment found that over 30 percent of college students reported feeling "so depressed that it was difficult to function" at some time in the past year.

Recognizing this urgent need, California's higher education institutions, the University of California (UC), California State University (CSU), and California Community Colleges (CCC) have made student mental health one of their top priorities.

Through the voter approved Mental Health Services Act and the California Mental Health Services Authority (CalMHSA), California's higher education institutions are increasing direct mental health services to students, providing training to faculty and staff, and reducing the stigma of mental illness.

#### The Student Mental Health Initiative has:

Trained 16,818 CCC students and faculty/staff members about suicide prevention through online role-playing simulations from Kognito Interactive.

Trained 9,763 faculty and staff members and students across California State University campuses in Mental Health First Aid, ASIST, and Question, Persuade Refer suicide prevention programs.

Trained 24,270 students across the UC System about mental health resources on campus during the second quarter, FY 2013-2014.

Screened 69,012 UC Students for depression and offered follow-up resources through campus health centers to date.

Trained 3,418 UC faculty and staff members in crisis response, during the second quarter, FY 2013-2014.

#### Did you Know...?

**Leading epidemiologists say we can't afford not to take a prevention approach to mental health.** Focusing only on mental health crisis misses the opportunity to prevent more people in our communities from reaching the crisis point and costs more in the long run. Prevention in the mental health field is a public health priority, just as working to prevent heart disease must happen at the same time we treat people experiencing heart attacks.

**Half of all mental health challenges begin by age 14 and three-quarters appear before age 24.** Investing in our young minds is an opportunity to improve mental health over a generation. CalMHSA's PEI programs strategically target young people to connect them with preventative services and set them on a lifetime path of mental wellness.

**California voters supported transforming California's mental health system with a prevention approach.** Voters passed Prop. 63 (the Mental Health Services Act) in 2004, dedicating resources to keep individuals healthy so they never reach the crisis point of our jails, hospitals, or homelessness. At the same time this investment saves lives, it reduces the strain on community hospitals, jails, and public safety resources.

EACH MIND  
MATTERS

California's Mental Health Movement

Pain Isn't Always Obvious

KNOW  
THE SIGNS

Suicide Is Preventable

## Helping Underserved Student Populations

An estimated 2.2 million veterans reside in California, and more than 44,000 utilize education benefits at a California Community College. Fifteen California Community College campuses have hosted "Welcome Home" trainings attended by over 600 faculty and staff members to address the needs of student veterans.

*"As the daughter of a World War II Veteran, [I found the] California Community Colleges Student Mental Health Program's training curriculum timely, insightful and informative. The workshop presenters were top-rate and [I] was most appreciative and enlightened by the information and resources presented."*

- Cabrillo Community College Veterans Training attendee

The Student Mental Health Initiative also takes special care to promote self sufficiency for Transition-Aged Foster Youth aging out of California's foster care system. California Community Colleges' Healthy Transitions Curriculum has trained 146 students to help them realize their own strengths and abilities, connecting them to local resources and services, and empower them to reach a higher state of health and well-being.

A hostile school climate is detrimental to LGBTQ student mental health, and since 2000, the number of college students who identify as LGBTQ has roughly doubled. To create a more supportive environment for LGBTQ students, the California Community Colleges have trained 980 students and faculty/staff members through online suicide prevention trainings that teach understanding and offer assistance and referrals to support services on campus when students exhibit signs of distress.

## CalMHSAs Partnerships Create Sweeping Systemwide Resources

42,954 faculty and staff members, at ten UC campuses, have received a "Red Folder," which serves as a quick reference guide to mental health resources for distressed students. The customized-by-campus folders identify common signs of student distress and direct faculty or staff through protocol to approach a distressed student, connect that student with the appropriate resource, or make emergency contact.

Every student in the California State University System receives "Student Health 101," an online magazine that contains ways for students to anonymously research health and wellness issues that are most prevalent on campuses. The magazine also incorporates regional resources and tips for students.

For more information about any of the programs described above, contact Jamie Sepulveda at [Jamie.Sepulveda@calmhsa.org](mailto:Jamie.Sepulveda@calmhsa.org).

*In 2008, state strategic plans were developed for suicide prevention, stigma and discrimination reduction and student mental health. CalMHSAs, a Joint Powers Authority, was created by counties in 2009 to implement the PEI Statewide projects efficiently and effectively. These are just a few program highlights; for more information please visit: [www.calmhsa.org](http://www.calmhsa.org).*



WELLNESS • RECOVERY • RESILIENCE



Prevention and early intervention save lives and dollars by delivering help before a crisis when it's most effective and less costly.



# Creating Safe Communities

CalMHSA's Prevention and Early Intervention Programs foster partnerships with public safety agencies and promote safe communities.

## To date, CalMHSA's partners have:

- Trained crisis responders so they are better equipped to respond with appropriate intervention when people experience mental health crisis.
- Worked to reduce violence toward people living with mental illness by breaking down stereotypes.
- Expanded resources to prevent people from winding up in the streets or in jail.
- Freed up public safety resources for important community priorities.

### Improving Public Safety by Decreasing the Stigma of Mental Illness

Decades of disinvestment in mental health services has made our public safety systems mental health providers by default, and fueled misconceptions that violence is associated with mental illness. The fact is people with mental illness are far more likely to be victims of violence than to be perpetrators.

CalMHSA's Stigma and Discrimination Reduction Partner Disability Rights California (DRC) partners with San Francisco Crisis Intervention Team officers to develop training curricula for law enforcement to appropriately manage crisis situations involving a person with mental illness. To date, more than 500 public safety partners across the state have been trained.



## Did you Know...?

**Leading epidemiologists say we can't afford not to take a prevention approach to mental health.**

Focusing only on mental health crisis misses the opportunity to prevent more people in our communities from reaching the crisis point and costs more in the long run. Prevention in the mental health field is a public health priority, just as working to prevent heart disease must happen at the same time we treat people experiencing heart attacks.

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Pain Isn't Always Obvious



Suicide Is Preventable

## Creating Safe Campus Communities

While the incidence of violence on college campuses are rare, CalMHSA's partnerships with the University of California (UC), the California State University and the California Community Colleges recognize the opportunity to identify mental health concerns among students in a difficult transition period and respond appropriately to crisis situations. Campuses across California have engaged with campus safety and local law enforcement agencies to develop crisis intervention strategies.

- Modesto Junior College is teaming up with local law enforcement to improve response to suicidal crisis on campus and has developed a Behavioral Intervention Team.
- The Los Angeles Harbor Consortium of six local colleges conducted a series of two-day violence prevention trainings that included representatives from 17 local colleges.
- UC Berkeley partnered with Alameda County public safety officials to conduct Mental Health Training for Police Dispatchers, where dispatchers from Oakland, Richmond, Bay Area Rapid Transit, and the City of Alameda attended to learn about mental health issues and crisis intervention.
- West Los Angeles College is working with the lead Sheriff on campus to design workshops for law enforcement personnel that will teach them how to effectively address students with apparent mental health conditions.

For more information about any of the programs described above, contact Jamie Sepulveda at [Jamie.Sepulveda@calmhsa.org](mailto:Jamie.Sepulveda@calmhsa.org).

*In 2008, state strategic plans were developed for suicide prevention, stigma and discrimination reduction and student mental health. CalMHSA, a Joint Powers Authority, was created by counties in 2009 to implement the PEI Statewide projects efficiently and effectively. These are just a few program highlights; for more information please visit: [www.calmhsa.org](http://www.calmhsa.org)*



WELLNESS • RECOVERY • RESILIENCE



Prevention and early intervention save lives and dollars by delivering help before a crisis when it's most effective and less costly.

**PROGRAM MATTERS**  
**Agenda Item 9.B**

**SUBJECT: Report from the CalMHSA Advisory Committee – Anne Robin**

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**ACTION FOR CONSIDERATION:**

None, information only.

**BACKGROUND AND STATUS:**

The CalMHSA Advisory Committee (AC) held a teleconference meeting on May 15, 2014. Committee discussion focused on the following:

- *Appointment of new AC Co-chair* — Outgoing AC co-chair, Maureen Bauman, announced the appointment of Anne Robin as new committee co-chair. Additionally, co-chair, Keris Jän Myrick, announced that she will be resigning from the AC and her co-chair position due to a new job which will require her to move out of state. Staff solicited volunteers from current members for anyone who might be interested in becoming a co-chair.
- *Mental Health Matters Day* — Stephanie Welch, CalMHSA Senior Program Manager, provided a brief overview of the three part event that took place, on May 13, 2014.
- *Phase One Sustainability Plan* — CalMHSA's Program Director Ann Collentine updated the AC members regarding CalMHSA Sustainability Task Force activities and the proposed Phase One Sustainability Plan. Ms. Collentine answered questions from AC members.
- *Status Update on Phase Two Planning* — Ms. Collentine provided a brief overview of the Phase Two sustainability planning process. At the AC meeting in July, the draft Phase Two Plan will be presented to the AC for feedback.
- *Advisory Committee Members Terming Out* — Ms. Collentine reviewed the Advisory Committee member term limits, and indicated upcoming term expirations. A vacancy for a Board member representing the Superior Region still needs to be filled.

**FISCAL IMPACT:**

None

**RECOMMENDATION:**

None, information only.

**TYPE OF VOTE REQUIRED:**

None

**REFERENCE MATERIAL(S) ATTACHED:**

None

**PROGRAM MATTERS**

**Agenda Item 9.C**

**SUBJECT: Phase Two Sustainability Plan Status Update**

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**RECOMMENDATION:**

None, information only.

**BACKGROUND AND STATUS:**

Development of the Phase Two Program Plan is underway and a summary report of activities to date is included in this Board packet as reference material. The Sustainability Taskforce and CalMHSA Advisory Committee will continue to provide input on the draft of the Phase Two Plan when it is available in July. The Steering Committee will convene one more time to provide feedback on the Phase Two Plan before it is presented to the Advisory Committee and Sustainability Taskforce in July. Pending endorsement by the Sustainability Committee in July, the Draft of the Phase Two Sustainability Plan will be presented to the CalMHSA Board in August for discussion and consideration for approval.

**RECOMMENDATION:**

None, informational only.

**TYPE OF VOTE REQUIRED:**

None

**REFERENCE MATERIAL(S) ATTACHED:**

- Report From CIMH Consultants



## **CalMHSA Board of Directors**

**June 12, 2014**

Phase Two: CalMHSA PEI Statewide Projects Plan Development

**Update Report**

**By Karen Kurasaki**



## **Steering Committee Update**

Since the Interim Report to the CalMHSA Board of Directors at their April 11, 2014 Retreat, the Statewide PEI Phase 2 Steering Committee has met twice more – once on April 23, 2014 for two hours via GoToMeeting and again on May 28th, 2014 in-person in Sacramento for a full-day. The focus of both meetings was to distill the Steering Committee’s broad vision that touches on a wide range of activities down to a common denominator, in order to create a more simplified and effective message to the general public about what CalMHSA aims to sustain and accomplish through its continued PEI work. The primary focus of discussions at both of these meetings was on the fit and the value of using “Each Mind Matters” (EMM) as the umbrella concept under which resource tools, trainings, technical assistance and other suicide prevention and stigma and discrimination reduction outreach and educational products could be packaged using existing materials and tailored to meet the needs of various audiences. The Steering Committee discussion reflected overwhelming support for this idea to create simple and consistent messaging across the state, and to build on the initial investment in developing social marketing materials. Steering Committee members felt that the EMM umbrella had great potential to resonate with the “wellness movements” happening outside of mental health in other service sectors such as health care, public health, education, workplace/private sector, and for diverse populations across the life span.

## **Outreach Meetings with Prospective Partners**

CalMHSA staff has begun to conduct outreach meetings to build new relationships with prospective partners in the Phase 2 Plan. The first of these outreach meetings was conducted on April 23, 2014, with representatives from the California Department of Public Health, Chronic Disease and Injury Prevention Division and Office of Health Equity. The second outreach meeting was conducted on May 19, 2014 with staff from the California Reducing Disparities Project within the Community and Education Development Unit in the Office of Health Equity. The main focus of both of these meetings has been informational, and to explore opportunities for possible future collaboration and to identify potential leverage points. Additional outreach meetings are being coordinated for June and July with the California Department of Public Health, Safe and Active Communities Branch that oversees surveillance and epidemiology of injury and violent deaths including suicides, as well as with Covered California, the Department of Managed Health Care, Local Health Plans, the California Primary Care Association, and the Department of Consumer Affairs which regulates the Board of Pharmacy, Medical Board and other boards.

**ADMINISTRATIVE MATTERS**  
**Agenda Item 10.A**

**SUBJECT: Executive Committee Election and Charter**

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**ACTION FOR CONSIDERATION**

Approve recommended slate of officers and Executive Committee members representing the five CMHDA regions .

**BACKGROUND AND STATUS:**

On June 30, 2014, the terms for four of the regional representatives on the Executive Committee will end. The CalMHSA Bylaws state that the Board will elect, by majority vote, a new slate of officers and executive committee members at the last board meeting of the fiscal year.

The nominated slate of officers and committee members is as follows:

Role	Member	Term Length	Start Date	End Date
President	<b>Maureen Bauman, Placer County</b>	<b>2 years</b>	<b>6/30/2014</b>	<b>6/30/2016</b>
Vice President	<b>Scott Gruendl, Glenn County</b>	<b>2 years</b>	<b>6/30/2014</b>	<b>6/30/2016</b>
Secretary	<b>CaSonya Thomas, San Bernardino County</b>	<b>2 years</b>	<b>6/30/2013</b>	<b>6/30/2015</b>
Treasurer	<b>Wayne Clark, Monterey County</b>	<b>annual<sup>1</sup></b>	<b>6/30/2014</b>	<b>6/30/2016</b>
Past President	<b>VACANT</b>	<b>2 years</b>	<b>6/30/2014</b>	<b>6/30/2016</b>
CMHDA At-Large Member <sup>2</sup>	<b>Jerry Wengerd, Riverside County</b>	<b>1 year</b>	<b>6/30/2014</b>	<b>6/30/2015</b>
Bay Area Regional Representatives	#1 <b>Michael Kennedy, Sonoma County</b>	2 years	6/30/2014	6/30/2016
	#2 Jo Robinson, San Francisco City & County	2 years	12/31/2013	6/30/2015
Central Regional Representatives	#1 <b>Rita Austin, Tuolumne County</b>	<b>2 years</b>	<b>12/31/2012</b>	<b>6/30/2014</b>
	#2 Vic Singh, San Joaquin County	2 years	6/30/2013	6/30/2015
Los Angeles Regional Representatives	#1 <b>Marvin Southard, Los Angeles County</b>	2 years	12/31/2013	6/30/2015
	#2 William Arroyo, Los Angeles County	2 years	6/30/2014	6/30/2016
Southern Regional	#1 <b>Mary Hale, Orange County</b>	<b>2 years</b>	<b>6/30/2012</b>	<b>6/30/2014</b>

<sup>1</sup> Treasurer to serve a two year term but be re-approved each year to represent the JPA on Investment decisions.

<sup>2</sup> CMHDA At-Large-Member per the December 12, 2013 Board approved Bylaw changes.

Representatives	#2	Alfredo Aguirre, San Diego County	2 years	6/30/2013	6/30/2015
Superior Regional Representatives	#1	<b>Karen Stockton, Modoc County</b>	2 years	6/30/2013	6/30/2015
	#2	<b>VACANT</b>	2 years	6/30/2014	6/30/2016

At the April 11, 2014 board meeting, a nominating committee was appointed consisting of Dr. Wayne Clark (Chair), Dr. William Arroyo, Dr. Madelyn Schlaepher and Anne Robin. The Chair requested nominations be submitted to him. Additional candidate(s) may be nominated at the time of the meeting, provided the candidate(s) meet the requirements set forth in Sections 5.4 and 6.1 of the Bylaws. As directed by the CalMHSA Bylaws, staff is to distribute the slate of candidates to the at least seven (7) days prior to the last regular board meeting of the fiscal year.

**RECOMMENDATION:**

Approve recommended slate of officers and Executive Committee members representing the five CMHDA regions .

**REFERENCE MATERIAL(S) ATTACHED:**

- None

**ADMINISTRATIVE MATTERS**  
**Agenda Item 10.B**

**SUBJECT: Finance Committee Appointments**

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**ACTION FOR CONSIDERATION**

Approval of Finance Committee member appointments to a two year term.

**BACKGROUND AND STATUS:**

On December 31, 2013, the terms for three of the Finance Committee members ended. The CalMHSA Bylaws state that committee members to be appointed by the Board President and approved by the Board of Directors.

The appointment of committee members is as follows:

Role	Committee Member	Start Date	End Date
Chair	Jerry Wengerd, Treasurer <sup>1</sup>	NA	NA
Bay Area	Wayne Clark, Monterey County	6/30/2014	6/30/2016
Central	Tom Sherry, Sutter-Yuba Counties	2/29/2012	6/30/2015
Los Angeles	William Arroyo, Los Angeles County	2/29/2012	6/30/2015
Superior	Scott Gruendl, Glenn County	6/30/2014	6/30/2016
Southern	Tanya Bratton, San Bernardino County	2/29/2012	6/30/2015
Ex Officio	Maureen Bauman, Placer County	NA	NA

**RECOMMENDATION:**

Approval of Finance Committee member appointments to a two year term.

**REFERENCE MATERIAL(S) ATTACHED:**

- None

<sup>1</sup> Subject to approval of the appointment as Treasurer of CalMHSA.

**GENERAL DISCUSSION**  
**Agenda Item 11.A**

**SUBJECT: Report from CalMHSA President – Maureen Bauman**

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**ACTION FOR CONSIDERATION:**

Discussion and/or action as deemed appropriate.

**BACKGROUND AND STATUS:**

CalMHSA President Maureen Bauman, will provide general information and updates regarding the JPA.

**FISCAL IMPACT:**

None

**RECOMMENDATION:**

Discussion and/or action as deemed appropriate.

**TYPE OF VOTE REQUIRED:**

Majority vote of the Board of Directors.

**REFERENCE MATERIALS ATTACHED:**

None

## **GENERAL DISCUSSION**

### **Agenda Item 11.B**

**SUBJECT: Report from CalMHSA Executive Director – John Chaquica**

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#### **ACTION FOR CONSIDERATION:**

Discussion and/or action as deemed appropriate.

#### **BACKGROUND AND STATUS:**

CalMHSA Executive Director, John Chaquica, will provide general information and updates regarding the JPA.

- 2015 International “ Together Against Stigma” Conference official title becomes,  
**“Together Against Stigma: Each Mind Matters  
*Empowering Community Mental Health through Research, Practice, Policy and  
Advocacy***
- CalMHSA Calendar of Meetings for 2014-15
  - Next Board Meeting in August 14, 2014
  - 2015 Meeting Calendar TBD Per CMHDA Meeting Calendar Approval
- General

#### **FISCAL IMPACT:**

None

#### **RECOMMENDATION:**

Discussion and/or action as deemed appropriate.

#### **TYPE OF VOTE REQUIRED:**

Majority vote of the Board of Directors.

#### **REFERENCE MATERIALS ATTACHED:**

- **“Together Against Stigma: Each Mind Matters  
*Empowering Community Mental Health through Research, Practice, Policy and  
Advocacy*– Save the Date Flyer**
- CalMHSA Calendar of Meetings 2014

# TOGETHER AGAINST STIGMA: EACH MIND MATTERS

Empowering Community Mental Health through  
Research, Practice, Policy and Advocacy

SAVE THE DATE! – FEBRUARY 17-20, 2015

Hyatt Regency San Francisco  
Five Embarcadero Center  
San Francisco, CA

## EVENT DETAILS

- February 17 Special Meetings (Global Alliance, possibly training for consumers and family members and other advocates)
- February 18-19 Full Conference
- February 20 Half-day Conference

## FOR MORE INFORMATION

E: [conferences@cimh.org](mailto:conferences@cimh.org)

P: (916) 379-5345

Click [here](#) for additional information

In partnership with CiMH, CalMHSA, and the  
WPA Scientific Section on Stigma and Mental Health.



**CALMHSA CALENDAR OF MEETINGS  
2014**

January	30 <sup>th</sup>	<b>Executive Committee</b>	<b>3:30pm-4:30pm</b>	<b>Teleconference</b>
February	13 <sup>th</sup>	Board of Directors	2:45pm-5:00pm	Marriott Cal Expo, 1782 Tribute Road, Sacramento, CA 95815
March	21 <sup>st</sup>	Advisory Committee	1:00pm-3:00pm	CiMH, 2125 19th Street, 2nd Floor, Sacramento, CA 95818
	24 <sup>th</sup>	Finance Committee	3:00pm-4:00pm	Teleconference
	27 <sup>th</sup>	<b>Executive Committee</b>	<b>3:00pm-4:00pm</b>	<b>Cancelled</b>
April	11 <sup>th</sup>	Board of Directors	9:00am-5:00pm	Marriott Cal Expo, 1782 Tribute Road, Sacramento, CA 95815
May	12 <sup>th</sup>	Finance Committee	3:00pm-4:00pm	Teleconference
	15 <sup>th</sup>	Advisory Committee	2:45pm-3:45pm	Teleconference (Doubletree Sacramento)
	22 <sup>nd</sup>	<b>Executive Committee</b>	<b>3:00pm-4:00pm</b>	<b>Cancelled</b>
June	12 <sup>th</sup>	Board of Directors	2:45pm-5:00pm	Doubletree Sacramento Hotel, 2001 Point West Way, Sacramento, CA 95815
July	10 <sup>th</sup>	Advisory Committee	2:45pm-5:00pm	Doubletree Sacramento Hotel, 2001 Point West Way, Sacramento, CA 95815
	24 <sup>th</sup>	Executive Committee	3:00pm-4:00pm	Teleconference
	28 <sup>th</sup>	<b>Finance Committee</b>	<b>3:00pm-4:00pm</b>	<b>Teleconference</b>
August	14 <sup>th</sup>	Board of Directors	2:45pm-5:00pm	Doubletree Sacramento Hotel, 2001 Point West Way, Sacramento, CA 95815
September	12 <sup>th</sup>	Advisory Committee	2:45pm-5:00pm	Teleconference
	25 <sup>th</sup>	<b>Executive Committee</b>	<b>3:00pm-4:00pm</b>	<b>Teleconference</b>
October	9 <sup>th</sup>	Board of Directors	2:45pm-5:00pm	Doubletree Sacramento Hotel, 2001 Point West Way, Sacramento, CA 95815
November	TBD	Advisory Committee	TBD	In -Person TBD
	20 <sup>th</sup>	Executive Committee	3:00pm-4:00pm	Teleconference
	24 <sup>th</sup>	<b>Finance Committee</b>	<b>3:00pm-4:00pm</b>	<b>Teleconference</b>
December	11 <sup>th</sup>	Board of Directors	2:45pm-5:00pm	Doubletree Sacramento Hotel, 2001 Point West Way, Sacramento, CA 95815