

## FY 2010 Community Services Performance Contract

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### 1. Contract Purpose

- a. Title 37.2 of the *Code of Virginia* establishes the Virginia Department of Mental Health, Mental Retardation and Substance Abuse Services (the Department) to ensure delivery of publicly funded services and supports to individuals with mental health or substance use disorders or intellectual disability (previously identified as mental retardation) and authorizes the Department to fund community mental health, mental retardation, and substance abuse services. In this contract, intellectual disability refers to the condition an individual has; mental retardation refers to the services that address that condition.
- b. Sections 37.2-500 through 37.2-511 of the *Code of Virginia* require cities and counties to establish community services boards for the purpose of providing local public mental health, mental retardation, and substance abuse services; §§ 37.2-600 through 37.2-614 authorize certain cities or counties to establish behavioral health authorities that plan and provide those same local public services. In this contract, the community services board, local government department with a policy-advisory community services board, or behavioral health authority named on page 18 of this contract will be referred to as the Board or CSB.
- c. Section 37.2-500 or 37.2-601 of the *Code of Virginia* states that, in order to provide comprehensive mental health, mental retardation, and substance abuse services within a continuum of care, the Board shall function as the single point of entry into publicly funded mental health, mental retardation, and substance abuse services. The Board fulfills this function in accordance with State Board Policy 1035 for any person who is located in the Board's service area and needs mental health, mental retardation, or substance abuse services.
- d. Sections 37.2-508 and 37.2-608 of the *Code of Virginia* establish this contract as the primary accountability and funding mechanism between the Department and the Board.
- e. The Board is applying for the assistance provided under Chapter 5 or 6 of Title 37.2 of the *Code of Virginia* by submitting this performance contract to the Department in accordance with § 37.2-508 or § 37.2-608 of the *Code of Virginia*.
- f. This contract establishes requirements and responsibilities for the Board and the Department that are not established through other means, such as statute or regulation. The General Requirements Document, which, by agreement of the parties, is hereby incorporated into and made a part of this contract by reference, includes or incorporates by reference ongoing statutory, regulatory, policy, and other requirements that are not expected to change frequently.
- g. The Department and the Board enter into this performance contract for the purpose of funding services provided directly or contractually by the Board in a manner that ensures accountability to the Department and quality of care for individuals receiving services and implements the vision, articulated in State Board Policy 1036, of an individual-driven system of services and supports that promotes self-determination, empowerment, recovery, resilience, health, and the highest possible level of participation by individuals receiving services in all aspects of community life, including work, school, family, and other meaningful relationships; and the Board and the Department agree as follows.

2. **Relationship:** The Department functions as the state authority for the public mental health, mental retardation, and substance abuse services system; and the Board functions as the local authority for that system. The relationship between and the roles and responsibilities of the Department and the Board are described more specifically in the current Partnership Agreement between the parties, which, by agreement of the parties, is hereby incorporated into and made a part of this contract by reference. This contract shall not be construed to establish any employer-employee or principal-agent relationship between employees of the Board or its board of directors and the Department.

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3. **Contract Term:** This contract shall be in effect for a term of one year, commencing on July 1, 2009 and ending on June 30, 2010.

### 4. Scope of Services

- a. **Services:** Exhibit A of this contract includes all mental health, mental retardation, and substance abuse services provided or contracted by the Board that are supported by the resources described in section 5 of this contract. Services and certain terms used in this contract are defined in the current Core Services Taxonomy, which, by agreement of the parties, is hereby incorporated into and made a part of this contract by reference.
- b. **Expenses for Services:** The Board shall provide to the extent practicable those services that are funded within the revenues and expenses set forth in Exhibit A and documented in the Board's financial management system. The Board shall distribute its administrative and management expenses across some or all of the three program areas on a basis that is in accordance with Uniform Cost Report principles, is auditable, and satisfies Generally Accepted Accounting Principles.

c. **Continuity of Care:** In order to partially fulfill its responsibility in § 37.2-500 or 37.2-601 of the *Code of Virginia* and State Board Policy 1035 to function as the single point of entry into publicly funded services in its service area, the Board shall follow the *Continuity of Care Procedures*, included in the current General Requirements Document as Appendix A.

1.) **Coordination of Mental Retardation Waiver Services:** The Board shall provide case management services to individuals who are receiving services under the Medicaid Mental Retardation Home and Community-Based Waiver (MR Waiver). In its capacity as the case manager for these individuals and in order to receive payment for services from the Department of Medical Assistance Services (DMAS), the Board shall develop individual service authorization requests (ISARs) for Waiver services and submit them to the Department for preauthorization, pursuant to the current DMAS/ DMHMRSAS Interagency Agreement (November, 2007), under which the Department preauthorizes ISARs as a delegated function from the DMAS. As part of its specific case management responsibilities for individuals receiving MR Waiver services, the Board shall coordinate and monitor the delivery of all services to individuals it serves, including monitoring the receipt of services in an individual's ISAR that are provided by independent vendors, who are reimbursed directly by the DMAS, to the extent that the Board is not prohibited from doing so by such vendors (reference the DMAS *Mental Retardation Community Services Manual*, Chapters II and IV).

The Board may raise issues regarding its efforts to coordinate and monitor services provided by independent vendors to the applicable funding or licensing authority, for example the Department, the DMAS, or the Virginia Department of Social Services. In fulfilling this service coordination responsibility, the Board shall not restrict or seek to influence an individual's choice among qualified service providers. This prohibition is not intended to restrict the ability of Board case managers to make recommendations, based on their professional judgment, to individuals regarding those available service options that best meet the terms of the individuals' ISPs and allow for the most effective coordination of services. This section does not, nor shall it be construed to, make the Board legally liable for the actions of independent vendors of MR Waiver services who are reimbursed directly by the DMAS.

2.) **Linkages with Health Care:** When it arranges for the care and treatment of individuals in hospitals, inpatient psychiatric facilities, or psychiatric units of hospitals, the Board shall assure its staff's cooperation with those hospitals, inpatient psychiatric facilities, or psychiatric units of hospitals, especially emergency rooms and emergency room physicians, in order to promote continuity of care for those individuals.

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- 3.) Coordination with Local Psychiatric Hospitals:** When the Board performed the preadmission screening and referral to the Board is likely upon the discharge of an involuntarily admitted individual, the Board shall coordinate or, if it pays for the service, approve an individual's admission to and continued stay in a psychiatric unit or hospital and collaborate with that unit or hospital to assure appropriate treatment and discharge planning in the least restrictive setting and to avoid the use of these facilities when the service is no longer needed.
- 4.) Access to Services:** The Board shall not require an individual to receive case management services in order to receive other services that it provides, directly or contractually, unless it is permitted to do so by applicable regulations or the person is an adult with a serious mental illness, a child with or at risk of serious emotional disturbance, or an individual with an intellectual disability or a substance use disorder, the person is receiving more than one other service from the Board, or a licensed clinician employed or contracted by the Board determines that case management services are clinically necessary for that individual.
- 5.) PACT Criteria:** If the Board receives state general or federal funds for a Program of Assertive Community Treatment (PACT), it shall satisfy the following criteria:
- a.) Meet PACT state hospital bed use targets.
  - b.) Prioritize providing services to individuals with serious mental illnesses who are frequent recipients of inpatient services or are homeless.
  - c.) Achieve and maintain a caseload of 80 individuals receiving services after two years from the date of initial funding by the Department.
  - d.) Participate in technical assistance provided by the Department.

If the Board receives state general or federal funds for a new PACT during the term of this contract or in the fiscal year immediately preceding that term, it also shall satisfy the following conditions:

- a.) Procure team training and technical assistance quarterly.
  - b.) Meet bimonthly with other PACT programs (the network of CSB PACTs).
- d. Populations Served:** The Board shall provide needed services to adults with serious mental illnesses, children with or at risk of serious emotional disturbance, and individuals with intellectual disability, substance dependence, or substance abuse to the greatest extent possible within the resources available to it for this purpose. In accordance with § 37.2-508 or § 37.2-608 of the *Code of Virginia*, the Board shall report the unduplicated numbers of adults with serious mental illnesses, children with or at risk of serious emotional disturbance, and individuals with intellectual disability, substance dependence, or substance abuse that it serves during the term of this contract. These populations are defined in the current Core Services Taxonomy.
- 5. Resources:** Exhibit A of this contract includes the following resources: state general funds and federal funds appropriated by the General Assembly and allocated by the Department to the Board; balances of unexpended or unencumbered state general and federal funds retained by the Board and used in this contract to support services; local matching funds required by § 37.2-509 or § 37.2-611 of the *Code of Virginia* to receive allocations of state general funds; Medicaid Targeted Case Management, State Plan Option, and Mental Retardation Home and Community-Based Waiver fees and any other fees, as required by § 37.2-504 or § 37.2-605 of the *Code of Virginia*; and any other revenues associated with or generated by the services shown in Exhibit A. The Board may choose to include only the minimum 10 percent local matching funds in the contract, rather than all local matching funds.

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- a. **Allocations of State General and Federal Funds:** The Department shall inform the Board of its allocations of state general and federal funds in a letter of notification. The Department may adjust allocation amounts during the term of this contract. The Commissioner or his designee shall communicate all adjustments to the Board in writing. Allocations of state general and federal funds shall be based on state and federal statutory and regulatory requirements, provisions of the current Appropriation Act, State Board policies, and previous allocation amounts. Allocations shall not be based on numbers of adults with serious mental illnesses, children with or at risk of serious emotional disturbance, or individuals with intellectual disability, substance dependence, or substance abuse who receive services from the Board.
- b. **Conditions on the Use of Resources:** The Department can attach service requirements or specific conditions that it establishes for the use of funds, separate from those established by other authorities, for example, applicable statutory or regulatory requirements such as licensing or human rights regulations or federal anti-discrimination requirements, only to the state general and federal funds that it allocates to the Board and to the 10 percent local matching funds that are required to obtain the Board's state general fund allocations.

### 6. Board Responsibilities

- a. **State Hospital Bed Utilization:** In accordance with § 37.2-508 or § 37.2-608 of the *Code of Virginia*, the Board shall identify or develop jointly with the Department and with input from private providers involved with the public mental health, mental retardation, and substance abuse services system mechanisms, such as the Discharge Protocols, Extraordinary Barriers to Discharge lists, and reinvestment, restructuring, or system transformation projects and activities, and employ these mechanisms collaboratively with state hospitals that serve it to manage the utilization of state hospital beds. Utilization will be measured by bed days received by individuals for whom the Board is the case management board.
- b. **Quality of Care**
  - 1.) **Clinical Consultation:** The Board may request the Department to provide professional consultations for clinically complex or difficult or medically complicated cases within the resources available for this purpose in the Department or its facilities and as permitted under 45 CFR § 164.506 (c) (1) when individuals or their authorized representatives have requested second opinions and with valid authorizations that comply with the Human Rights Regulations and the HIPAA Privacy Rule or when staff of the Board request such consultations for individuals it serves in the community, if the Board is not able to provide those second opinions or obtain this consultation within its resources.
  - 2.) **Quality Improvement and Risk Management:** The Board shall, to the extent possible, develop and implement quality improvement processes that utilize individual outcome measures, provider performance measures, and other data or participate in its local government's quality improvement processes to improve services, ensure that services are provided in accordance with current acceptable professional practice, and enable the ongoing review of all major areas of the Board's responsibilities under this contract.

The Board shall, to the extent practicable, develop, implement, and maintain, itself or in affiliation with other Boards, a quality improvement plan incorporating Board provider performance measures, individual outcome measures, and human rights information. The Board shall, to the extent practicable, develop, implement, and maintain, itself or in affiliation with other Boards, a risk management plan or the Board shall participate in a local government's risk management plan. The Board shall work with the Department through the System Leadership Council to identify how the Board will address quality improvement activities.

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The Board shall implement, in collaboration with other Boards in its region, the state hospitals and training centers serving its region, and private providers involved with the public mental health, mental retardation, and substance abuse services system, regional utilization management procedures and practices that reflect the Regional Utilization Management Guidance document, adopted by the System Leadership Council on January 10, 2007, which, by agreement of the parties, is hereby incorporated into and made a part of this contract by reference.

- 3.) **Continuous Quality Improvement Process:** The Board shall address and report on the performance expectations and goals in Exhibit B of this contract as part of the Continuous Quality Improvement Process supported by the Department and the Board.
- 4.) **Individual Outcome and Board Provider Performance Measures**
  - a.) **Measures:** Pursuant to § 37.2-508 or § 37.2-608 of the *Code of Virginia*, the Board shall report the individual outcome, Board provider performance, individual satisfaction, and individual and family member participation and involvement measures in Exhibit C of this contract to the Department. These reporting requirements are contingent on the Department supplying any necessary specifications and software to the Board in time for the Board to make needed changes in its information systems.
  - b.) **Board Performance Measures:** The Department may negotiate specific, time-limited measures with the Board to address identified performance concerns or issues. When negotiated, such measures will be included as Exhibit D of this contract.
  - c.) **Individual Satisfaction Survey:** Pursuant to § 37.2-508 or § 37.2-608 of the *Code of Virginia*, the Board shall participate in an assessment of the satisfaction of individuals receiving services in accordance with Exhibit C of this contract.
  - d.) **Substance Abuse Youth Surveys:** The Board shall work closely with community-based prevention planning groups, schools, and local governments to support and enable the administration of the Virginia Community Youth Survey and the Virginia Youth Tobacco Survey, which are mandated by federal funding sources and are necessary for continuation of federal block grant funding.
  - e.) **Prevention Services Participants and Program Evaluations:** The Board shall evaluate a minimum of 20 percent of participants in evidence-based prevention programs using program-specific instruments, which are evaluation instruments and processes developed by the program developer for that program. The Board shall conduct program-specific evaluations of all federal Substance Abuse Prevention and Treatment grant-supported prevention programs as agreed in the grant contract with the Department. The Board shall use community-level abstinence data from regional community youth survey data for alcohol, tobacco, and other drug use, perceptions of harm and disapproval, and other indicator data, including archival data listed in the National Outcome Measures, for outcome evaluation of environmental strategies and community-based processes.
  - f.) **Recovery Orientation:** The Board shall implement a plan for assessing and increasing its recovery orientation over time, initially for adults with serious mental illnesses, in accordance with Exhibit C and Section 5, Advancing the Vision, of the Partnership Agreement and shall report on its recovery orientation to the Department by March 31, 2010.
- 5.) **Program and Service Reviews:** The Department may conduct or contract for reviews of programs or services provided or contracted by the Board under this contract to examine their quality or performance at any time as part of its monitoring and review

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responsibilities or in response to concerns or issues that come to its attention, as permitted under 45 CFR § 164.512 (a), (d), and (k) (6) (ii) and as part of its health oversight functions under § 32.1-127.1:03 (D) (6) and § 37.2-508 or § 37.2-608 of the *Code of Virginia* or with a valid authorization by the individual receiving services or his authorized representative that complies with the Human Rights Regulations and the HIPAA Privacy Rule.

- 6.) Response to Complaints:** The Board shall implement procedures to respond to complaints from individuals receiving services, family members, advocates, or other stakeholders as expeditiously as possible in a manner that seeks to achieve a satisfactory resolution and advises the complainant of any decision and the reason for it. The Board shall acknowledge complaints that the Department refers to it within five days of receipt and provide follow up commentary on them to the Department within 10 days of receipt.

### c. Reporting Requirements

- 1.) Board Responsibilities:** For purposes of reporting to the Department, the Board shall comply with State Board Policy 1037 and:

- a.) provide monthly Community Consumer Submission (CCS) extracts that report individual characteristic and service data to the Department, as required by § 37.2-508 or § 37.2-608 of the *Code of Virginia*, the federal Substance Abuse and Mental Health Services Administration, and Part C of Title XIX of the Public Health Services Act - Block Grants, § 1943 (a) (3) and § 1971 and § 1949, as amended by Public Law 106-310, and as permitted under 45 CFR §§ 164.506 (c) (1) and (3) and 164.512 (a) (1) and (d) and under §32.1-127.1:03.D (6) of the *Code of Virginia*, and as defined in the current CCS Extract Specifications and Design Specifications (including the current Business Rules), which, by agreement of the parties, are hereby incorporated into and made a part of this contract by reference;
- b.) follow the current Core Services Taxonomy and CCS Extract Specifications and Design Specifications (including the current Business Rules) when responding to reporting requirements established by the Department;
- c.) complete the National Survey of Substance Abuse Treatment Services (N-SSATS), formerly the Uniform Facility Data Set (UFDS), annually that is used to compile and update the National Directory of Drug and Alcohol Abuse Treatment Programs and the on-line Substance Abuse Treatment Facility Locator;
- d.) report Inventory of Mental Health Organizations information and data in accordance with federal requests to the greatest extent possible;
- e.) report KIT Prevention System data on all substance abuse prevention services provided by the Board, including services that are supported by the Substance Abuse Prevention and Treatment (SAPT) Block Grant allocation, LINK prevention and education services funded with the 20 percent SAPT set aside, and prevention services funded by other grants KIT Prevention System and reported under substance abuse in CARS-ACCESS, and enter KIT Prevention System data on goals, objectives, and programs approved by the community prevention planning coalition by June 15;
- f.) supply information to the Department's Forensics Information Management System for individuals adjudicated not guilty by reason of insanity (NGRI), as required under § 37.2-508 or § 37.2-608 of the *Code of Virginia* and as permitted under 45 CFR §§ 164.506 (c) (1) and (3), 164.512 (d), and 164.512 (k) (6) (ii);

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- g.) report individual, service, financial, and other information on Part C services that it provides, previously reported through the CARS and CCS, to the Department through a separate reporting system maintained by the Department;
  - h.) report individual, service, financial, and other information on jail diversion and juvenile detention center services, previously reported through separate manual reports, only through the CARS and CCS; and
  - i.) report data and information required by the current Appropriation Act.
- 2.) Routine Reporting Requirements:** The Board shall account for all services, revenues, expenses, and costs accurately and submit reports to the Department in a timely manner using current CARS, CCS, or other software provided by the Department. All reports shall be provided in the form and format prescribed by the Department. The Board shall provide the following information and meet the following reporting requirements:
- a.) types and service capacities of services provided, costs for services provided, and revenues received by source and amount and expenses paid by program area and for services available outside of a program area, reported mid-year and at the end of the fiscal year through CARS, and types and amounts of services provided to each individual, reported monthly through the current CCS;
  - b.) demographic characteristics of individuals through the current CCS;
  - c.) numbers of adults with serious mental illnesses, children with serious emotional disturbance, children at risk of serious emotional disturbance, and individuals with intellectual disability, substance dependence, or substance abuse through the current CCS;
  - d.) performance expectations and goals and individual outcome and Board provider performance measures in Exhibits B and C;
  - e.) community waiting list information for the Comprehensive State Plan that is required by § 37.2-315 of the *Code of Virginia*, as permitted under § 32.1-127.1:03 (D) (6) of the *Code of Virginia* and 45 CFR § 164.512 (d) and (k) (6) (ii) (when required);
  - f.) State Facility Discharge Waiting List Data Base reports using ACCESS software supplied by the Department;
  - g.) Federal Balance Report (October 31);
  - h.) Total numbers of individuals served for the Discharge Assistance Project, Mental Health Child and Adolescent Services Initiative, MR Waiver Services, and other Consumer Designation (900) Codes through CARS-ACCESS (mid-year and at the end of the fiscal year) and the current CCS;
  - i.) PATH reports (mid-year and at the end of the fiscal year);
  - j.) Uniform Cost Report information through CARS (annually) and
  - k.) other reporting requirements in the current CCS Extract or Design Specifications.
- 3.) Subsequent Reporting Requirements:** In accordance with State Board Policy 1037, the Board shall work with the Department to ensure that current data and reporting requirements are consistent with each other and the current Core Services Taxonomy, the current CCS, and the Treatment Episode Data Set (TEDS) and other federal reporting requirements. The Board also shall work with the Department in planning and developing any additional reporting or documentation requirements beyond those identified in this contract, such as the federal mental health and substance abuse National Outcomes Measures (NOMS) when they become effective, to ensure that such

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requirements are consistent with the current Core Services Taxonomy, the current CCS, and TEDS and other federal reporting requirements.

- 4.) Streamlining Reporting Requirements:** The Board shall work with the Department through the VACSB Data Management Committee to review existing reporting requirements outside of the current CCS to determine if they are still necessary and, if they are, to streamline those reporting requirements as much as possible.

### d. Discharge Assistance Project (DAP)

**1.) Board Responsibilities:** If it participates in any DAP funded by the Department, the Board shall manage, account for, and report DAP funds allocated to it as a restricted fund. The Board shall be responsible for ensuring the effective utilization of those funds, without submitting individualized services plans (ISPs) to the Department for approval or preauthorization. The Board shall submit all DAP ISPs to the Department for information purposes and shall inform the Department whenever an individual is admitted to or discharged from a DAP-funded placement.

**2.) Department Review:** The Board agrees to participate in any utilization review or utilization management activities conducted by the Department involving services provided under the DAP. Protected health information may be disclosed as permitted under 45 CFR §§ 164.506 (c) (1), (3), and (4) and 164.512 (k) (6) (ii).

- e. Compliance Requirements:** The Board shall comply with all applicable federal, state, and local laws and regulations, including those contained or referenced in the General Requirements Document and in Exhibit F of this contract, as they affect the operation of this contract. Any substantive change in the General Requirements Document, except changes in statutory, regulatory, policy, or other requirements or in other documents incorporated by reference in it, which changes are made in accordance with processes or procedures associated with those statutes, regulations, policies, or other requirements or documents, shall constitute an amendment of this contract, made in accordance with applicable provisions of the Partnership Agreement, that requires a new contract signature page, signed by both parties.

If any laws or regulations that become effective after the execution date of this contract substantially change the nature and conditions of this contract, they shall be binding upon the parties, but the parties retain the right to exercise any remedies available to them by law or other provisions of this contract. The Board shall comply with the Health Insurance Portability and Accountability Act of 1996 and the regulations promulgated thereunder by their compliance dates, except where the HIPAA requirements and applicable state law or regulations are contrary, and state statutes or regulations are more stringent, as defined in 45 CFR § 160.202, than the related HIPAA requirements.

The Board shall follow the procedures and satisfy the requirements in the Performance Contract Process and the Administrative Performance Standards, contained in Exhibits E and I respectively of this contract. The Board shall document its compliance with §§ 37.2-501, 37.2-504, and 37.2-508 or §§ 37.2-602, 37.2-605, and 37.2-608 of the *Code of Virginia* in Exhibits G and H of this contract.

- f. Regional Programs:** The Board shall manage or participate in the management of, account for, and report on regional programs in accordance with the Regional Program Operating Principles and the Regional Program Procedures in Appendices E and F of the current Core Services Taxonomy. The Board agrees to participate in any utilization review or utilization management activities conducted by the Department involving services provided through a regional program. Protected health information may be disclosed as permitted under 45 CFR §§ 164.506 (c) (1) and (3) and 164.512 (k) (6) (ii).

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- g. Joint Agreements:** If the Board enters into a joint agreement pursuant to § 37.2-512 or § 37.2-615 of the *Code of Virginia*, the Board shall describe the agreement in Exhibit J of this contract and shall attach a copy of the joint agreement to that Exhibit.
- h. Intensive Care Coordination for the Comprehensive Services Act**
- 1.) As the single point of entry into publicly funded mental health, mental retardation, and substance abuse services pursuant to § 37.2-500 of the *Code of Virginia* and as the exclusive provider of Medicaid targeted mental health and mental retardation case management services, the Board is the most appropriate provider of intensive care coordination (ICC) services through the Comprehensive Services Act for At-Risk Youth and Families (CSA). The Board and the local Community Policy and Management Team (CPMT) in its service area shall determine collaboratively the most appropriate and cost-effective provider of ICC services for children who are placed in or are at risk of being placed in residential care through the CSA program in accordance with guidelines developed by the State Executive Council and shall develop a local plan for ICC services that best meets the needs of those children and families. If there is more than one CPMT in the Board's service area, the CPMTs and the Board may work together as a region to develop a plan for ICC services.
  - 2.) If the Board is identified as the provider of ICC services, it shall work in close collaboration with its CPMT(s) and Family Assessment and Planning Team(s) to implement ICC services, to assure adequate support for these services through local CSA funds, and to assure that all children receive appropriate assessment and care planning services. Examples of ICC activities include: efforts at diversion from more restrictive levels of care, discharge planning to expedite return from residential or facility care, and community placement monitoring and care coordination work with family members and other significant stakeholders. If the Board contracts with another entity to provide ICC services, the Board shall remain fully responsible for ICC services, including monitoring the services provided under the contract. Subject to the approval of the local CPMT(s), the Board may phase in ICC services as a way to facilitate meaningful integration of ICC services with existing services and supports or as a means of maximizing the limited resources available within the community.

## 7. Department Responsibilities

- a. Funding:** The Department shall disburse the state general funds displayed in Exhibit A, subject to the Board's compliance with the provisions of this contract, prospectively on a semi-monthly basis to the Board. Payments may be revised to reflect funding adjustments. The Department shall disburse federal grant funds that it receives to the Board in accordance with the requirements of the applicable federal grant and, wherever possible, prospectively on a semi-monthly basis. The Department shall make these payments in accordance with Exhibit E of this contract.
- b. State Facility Services**
- 1.) The Department shall make state facility services available, if appropriate, through its state hospitals and training centers, when individuals located in the Board's service area meet the admission criteria for these services.
  - 2.) The Department shall track, monitor, and report on the Board's utilization of state hospital beds and provide data to the Board about individuals receiving services from its service area who are served in state hospitals as permitted under 45 CFR §§ 164.506 (c) (1), (2), and (4) and 164.512 (k) (6) (ii). The Department shall post state hospital bed utilization by the Board for all types of beds (adult, geriatric, child and adolescent, and forensic) on its Internet web site for information purposes.

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- 3.) The Department shall manage its state hospitals and training centers in accordance with State Board Policy 1035 to support service linkages with the Board, including adherence to the applicable provisions of the *Continuity of Care Procedures*, attached to the General Requirements Document as Appendix A, and the *Discharge Planning Protocols*. The Department shall assure that its state hospitals and training centers use teleconferencing technology to the extent practicable and whenever possible to facilitate the Board's participation in treatment planning activities and the Board's fulfillment of its discharge planning responsibilities for individuals in state hospitals and training centers for whom it is the case management Board.
  - 4.) The Department shall involve the Board, as applicable and to the greatest extent possible, in collaborative planning activities regarding the future role and structure of state hospitals and training centers.
  - 5.) **Recovery Orientation:** The Department shall ensure that each state hospital shall implement a plan for assessing and increasing its recovery orientation over time, initially for adults with serious mental illnesses, in accordance with Section 5, Advancing the Vision, of the Partnership Agreement, and each state hospital shall report on its recovery orientation to the Department by March 31, 2010.
- c. **Quality of Care**
- 1.) The Department with participation from the Board shall identify individual outcome, Board provider performance, individual satisfaction, and individual and family member participation and involvement measures and emergency services and case management services performance expectations and goals for inclusion in this contract, pursuant to § 37.2-508 or § 37.2-608 of the *Code of Virginia*, and shall collect information about these measures and performance expectations and goals and work with the Board to use them as part of the Continuous Quality Improvement Process described in Exhibit B to improve services.
  - 2.) The Department may provide professional consultations to the Board upon request for clinically complex or difficult or medically complicated cases within the resources available for this purpose in the Department or its facilities and as permitted under 45 CFR § 164.506 (c) (1) when individuals receiving services or their authorized representatives have requested second opinions and with valid authorizations that comply with the Human Rights Regulations and the HIPAA Privacy Rule or when staff of the Board request such consultations for individuals it serves in the community, if the Board is not able to provide those second opinions or obtain this consultation within its resources.
  - 3.) The Department shall work with the Board, the state hospitals and training centers serving it, and private providers involved with the public mental health, mental retardation, and substance abuse services system, to implement regional utilization management procedures and practices reflected in the Regional Utilization Management Guidance document, adopted by the System Leadership Council on January 10, 2007, which, by agreement of the parties, is hereby incorporated into and made a part of this contract by reference.
  - 4.) **Recovery Orientation:** The Department shall implement a plan for assessing and increasing its recovery orientation over time, initially for adults with serious mental illnesses, in accordance with Exhibit C and Section 5, Advancing the Vision, of the Partnership Agreement and shall report on its recovery orientation on its web site by March 31, 2010. It shall work with the Board within the resources available to support the Board's efforts to assess and increase its recovery orientation over time and review and provide feedback to the Board on its efforts in this area.

## FY 2010 Community Services Performance Contract

### d. Reporting Requirements

- 1.) In accordance with State Board Policy 1037, the Department shall work with representatives of Boards, including the Virginia Association of Community Services Boards' Data Management Committee (DMC), to ensure that current data and reporting requirements are consistent with each other and with the current Core Services Taxonomy, the current Community Consumer Submission (CCS), and TEDS and other federal reporting requirements. The Department also shall work with representatives of Boards, including the DMC, in planning and developing any additional reporting or documentation requirements beyond those identified in this contract, such as the federal mental health and substance abuse National Outcomes Measures (NOMS) when they become effective, to ensure that such requirements are consistent with the current Core Services Taxonomy, the current CCS, and TEDS and other federal reporting requirements.
- 2.) The Department shall collaborate with representatives of the Boards, including the DMC, in the implementation and modification of the current Community Consumer Submission (CCS), which reports individual characteristic and service data that is required under § 37.2-508 or § 37.2-608 of the *Code of Virginia*, the federal Substance Abuse and Mental Health Services Administration, and Part C of Title XIX of the Public Health Services Act – Block Grants, §1943 (a) (3) and § 1971 and § 1949, as amended by Public Law 106-310, to the Department and is defined in the current CCS Extract Specifications and Design Specifications (including the current Business Rules). The Department will receive and use individual characteristic and service data disclosed by the Board through the CCS as permitted under 45 CFR §§ 164.506 (c) (1) and (3) and 164.512 (a) (1) and under § 32.1-127.1:03.D (6) of the *Code of Virginia* and shall implement procedures to protect the confidentiality of this information pursuant to § 37.2-504 or § 37.2-605 of the *Code of Virginia* and HIPAA.
- 3.) The Department shall work with representatives of the Boards, including the DMC, to reduce the number of data elements required whenever this is possible.
- 4.) The Department shall ensure that all surveys and requests for data have been reviewed for cost effectiveness and developed through a joint Department and Board process. The Department shall comply with the Procedures for Approving CSB Surveys, Questionnaires, and Data Collection Instruments and Establishing Reporting Requirements, issued by Commissioner Reinhard on November 9, 2007.
- 5.) The Department shall work with representatives of the Boards, including the DMC, to review existing reporting requirements outside of the current CCS to determine if they are still necessary and, if they are, to streamline those reporting requirements as much as possible.

### e. Discharge Assistance Project

- 1.) **Department Responsibilities:** If the Board participates in any DAP funded by the Department, the Department shall fund and monitor the DAP as a restricted fund. The Department agrees that the Board shall be responsible for ensuring the effective utilization of those funds, without submitting individualized services plans to the Department for preauthorization or approval.
- 2.) **Department Review:** The Department may conduct utilization review or utilization management activities involving services provided by the Board under the DAP. If such activities involve the disclosure of protected health information, the information may be used and disclosed as permitted under 45 CFR §§ 164.506 (c) (1), (3), and (4) and 164.512 (k) (6) (ii).

## FY 2010 Community Services Performance Contract

- f. Compliance Requirements:** The Department shall comply with all applicable state and federal statutes and regulations, including those contained or referenced in the General Requirements Document and in Exhibit F of this contract, as they affect the operation of this contract. Any substantive change in the General Requirements Document, except changes in statutory, regulatory, policy, or other requirements or in other documents incorporated by reference in it, which changes are made in accordance with processes or procedures associated with those statutes, regulations, policies, or other requirements or documents, shall constitute an amendment of this contract, made in accordance with applicable provisions of the Partnership Agreement, that requires a new contract signature page, signed by both parties.

If any laws or regulations that become effective after the execution date of this contract substantially change the nature and conditions of this contract, they shall be binding upon the parties, but the parties retain the right to exercise any remedies available to them by law or other provisions of this contract. The Department and its state hospitals and training centers shall comply with the Health Insurance Portability and Accountability Act of 1996 and the regulations promulgated thereunder by their compliance dates, except where the HIPAA requirements and applicable state law or regulations are contrary, and state statutes or regulations are more stringent, as defined in 45 CFR § 160.202, than the related HIPAA requirements.

If the Board's receipt of DAP or state facility reinvestment project funds causes it to be out of compliance with the 10 percent local matching funds requirement in § 37.2-509 of the *Code of Virginia*, the Department shall grant an automatic waiver of that requirement, related to the DAP or state facility reinvestment project funds, as authorized by that *Code* section and State Board Policy 4010.

- g. Communication:** The Department shall provide technical assistance and written notification regarding changes in funding source requirements, such as regulations, policies, procedures, and interpretations, to the extent that those changes are known to the Department. The Department shall resolve, to the extent practicable, inconsistencies in state agency requirements that affect requirements in this contract. The Department shall respond in a timely manner to written correspondence from the Board that requests information or a response.

- h. Regional Programs:** The Department may conduct utilization review or utilization management activities involving services provided by the Board through a regional program. If such activities involve the disclosure of protected health information, the information may be used and disclosed as permitted under 45 CFR §§ 164.506 (c) (1) and (3) and 164.512 (k) (6) (ii). If the Board's participation in a regional program, as defined in the Regional Program Principles and the Regional Program Procedures in Appendices E and F of the current Core Services Taxonomy, causes it to be out of compliance with the 10 percent local matching funds requirement in § 37.2-509 of the *Code of Virginia*, the Department shall grant an automatic waiver of that requirement, related to the funds for that regional program, as authorized by that *Code* section and State Board Policy 4010.

- 8. Subcontracting:** The Board may subcontract any of the requirements in this contract. The Board shall remain fully and solely responsible and accountable for meeting all of its obligations and duties under this contract, including all services, terms, and conditions, without regard to its subcontracting arrangements. Subcontracting must comply with applicable statutes, regulations, and guidelines, including the Virginia Public Procurement Act. All subcontracted activities shall be formalized in written contracts between the Board and subcontractors. The Board agrees to provide copies of such contracts or other documents to the Department upon request. The Board shall satisfy the subcontracting provisions in the General Requirements Document.

## FY 2010 Community Services Performance Contract

### 9. Terms and Conditions

- a. **Availability of Funds:** The Department and the Board shall be bound by the provisions of this contract only to the extent of the funds available or that may hereafter become available for the purposes of the contract.
- b. **Compliance:** The Department may utilize a variety of remedies, including requiring a corrective action plan, delaying payments, and terminating the contract, to assure Board compliance with this contract. Specific remedies, described in Exhibit I of this contract, may be taken if the Board fails to satisfy the reporting requirements in this contract.
- c. **Disputes:** Resolution of disputes arising from Department contract compliance review and performance management efforts or from actions by the Board related to this contract may be pursued through the dispute resolution process in section 9.f, which may be used to appeal only the following conditions:
  - 1.) reduction or withdrawal of state general or federal funds, unless funds for this activity are withdrawn by action of the General Assembly or federal government, or adjustment of allocations or payments pursuant to section 5 of this contract;
  - 2.) termination or suspension of the performance contract, unless funding is no longer available;
  - 3.) refusal to negotiate or execute a contract modification;
  - 4.) disputes arising over interpretation or precedence of terms, conditions, or scope of the performance contract;
  - 5.) determination that an expenditure is not allowable under this contract; and
  - 6.) determination that the performance contract is void.
- d. **Termination**
  - 1.) The Department may terminate this contract immediately, in whole or in part, at any time during the contract period if funds for this activity are withdrawn or not appropriated by the General Assembly or are not provided by the federal government. In this situation, the obligations of the Department and the Board under this contract shall cease immediately. The Board and the Department shall make all reasonable efforts to ameliorate any negative consequences or effects of contract termination on individuals receiving services and Board staff.
  - 2.) The Board may terminate this contract immediately, in whole or in part, at any time during the contract period if funds for this activity are withdrawn or not appropriated by its local government(s) or other funding sources. In this situation, the obligations of the Board and the Department under this contract shall cease immediately. The Board and the Department shall make all reasonable efforts to ameliorate any negative consequences or effects of contract termination on individuals receiving services and Board staff.
  - 3.) In accordance with § 37.2-508 or § 37.2-608 of the *Code of Virginia*, the Department may terminate all or a portion of this contract, after unsuccessful use of the remediation process described in section 9.e and after affording the Board an adequate opportunity to use the dispute resolution process described in section 9.f of this contract. A written notice specifying the cause must be delivered to the Board's board chairman and executive director at least 75 days prior to the date of actual termination of the contract. In the event of contract termination under these circumstances, only payment for allowable services rendered by the Board shall be made by the Department.

## FY 2010 Community Services Performance Contract

- e. **Remediation Process:** The remediation process mentioned in § 37.2-508 or § 37.2-608 of the *Code of Virginia* is an informal procedure that shall be used by the Department and the Board to address a particular situation or condition identified by the Department or the Board that may, if unresolved, result in termination of the contract, in accordance with the provisions of section 9.d of this contract. The details of this remediation process shall be developed by the parties and added as an exhibit of this contract. This exhibit shall describe the situation or condition and include the performance measures that shall document a satisfactory resolution of the situation or condition.
- f. **Dispute Resolution Process:** Disputes arising from any of the conditions in section 9.c of this contract shall be resolved using the following process.
- 1.) Within 15 days of the Board's identification or receipt of a disputable action taken by the Department or of the Department's identification or receipt of a disputable action taken by the Board, the party seeking resolution of the dispute shall submit a written notice to the Department's Director of Community Contracting, stating its desire to use the dispute resolution process. The written notice must describe the condition, nature, and details of the dispute and the relief sought by the party.
  - 2.) The Director of Community Contracting shall review the written notice and determine if the dispute falls within the conditions listed in section 9.c. If it does not, the Director of Community Contracting shall notify the party in writing within seven days of receipt of the written notice that the dispute is not subject to this dispute resolution process. The party may appeal this determination to the Commissioner in writing within seven days of its receipt of the Director's written notification.
  - 3.) If the dispute falls within the conditions listed in section 9.c, the Director of Community Contracting shall notify the party within seven days of receipt of the written notice that a panel will be appointed within 15 days to conduct an administrative hearing.
  - 4.) Within 15 days of notification to the party, a panel of three or five disinterested persons shall be appointed to hear the dispute. The Board shall appoint one or two members; the Commissioner shall appoint one or two members; and the appointed members shall appoint the third or fifth member. Each panel member will be informed of the nature of the dispute and be required to sign a statement indicating that he has no interest in the dispute. Any person with an interest in the dispute shall be relieved of panel responsibilities and another person shall be selected as a panel member.
  - 5.) The Director of Community Contracting will contact the parties by telephone and arrange for a panel hearing at a mutually convenient time, date, and place. The panel hearing shall be scheduled not more than 15 days after the appointment of panel members. Confirmation of the time, date, and place of the hearing will be communicated to all parties at least seven days in advance of the hearing.
  - 6.) The panel members shall elect a chairman and the chairman shall convene the panel. The party requesting the panel hearing shall present evidence first, followed by the presentation of the other party. The burden shall be on the party requesting the panel hearing to establish that the disputed decision or action was incorrect and to present the basis in law, regulation, or policy for its assertion. The panel may hear rebuttal evidence after the initial presentations by the Board and the Department. The panel may question either party in order to obtain a clear understanding of the facts.
  - 7.) Subject to provisions of the Freedom of Information Act, the panel shall convene in closed session at the end of the hearing and shall issue written recommended findings of fact within seven days of the hearing. The recommended findings of fact shall be submitted to the Commissioner for a final decision.
  - 8.) The findings of fact shall be final and conclusive and shall not be set aside by the Commissioner unless they are (1) fraudulent, arbitrary, or capricious; (2) so grossly

## FY 2010 Community Services Performance Contract

erroneous as to imply bad faith; (3) in the case of termination of the contract due to failure to perform, the criteria for performance measurement are found to be erroneous, arbitrary, or capricious; or (4) not within the Board's purview.

- 9.) The final decision shall be sent by certified mail to both parties no later than 60 days after receipt of the written notice from the party invoking the dispute resolution process.
- 10.) Multiple appeal notices shall be handled independently and sequentially so that an initial appeal will not be delayed by a second appeal.
- 11.) The Board or the Department may seek judicial review of the final decision as provided in § 2.2-4365 of the *Code of Virginia* in the Circuit Court for the City of Richmond within 30 days of receipt of the final decision.

- g. Contract Amendment:** This contract, including all exhibits and incorporated documents, constitutes the entire agreement between the Department and the Board. The services identified in Exhibit A of this contract may be revised in accordance with the performance contract revision instructions, contained in Exhibit E of this contract. Other provisions of this contract may be amended only by mutual agreement of the parties, in writing and signed by the parties hereto.
- h. Liability:** The Board shall defend or compromise, as appropriate, all claims, suits, actions, or proceedings arising from its performance of this contract. The Board shall obtain and maintain sufficient liability insurance to cover claims for bodily injury and property damage and suitable administrative or directors and officers liability insurance. These responsibilities may be discharged by means of a proper and sufficient self-insurance program operated by the state or a city or county government. The Board shall provide a copy of any such policy or program to the Department upon request. This contract is not intended to, and does not, create by implication or otherwise any basis for any claim or cause of action by a person or entity not a party to this contract, arising out of any claimed violation of any provision of this contract, nor does it create any claim or right on behalf of any person to services or benefits from the Board or the Department.
- i. Severability:** Each paragraph and provision of this contract is severable from the entire contract, and the remaining provisions shall nevertheless remain in full force and effect if any provision is declared invalid or unenforceable.

**10. Areas for Future Resolution:** On an ongoing basis, the Board and the Department agree to work together to identify and resolve barriers and policy and procedural issues that interfere with the most effective and efficient delivery of public services. This section identifies issues and topics that the Board and the Department agree to work on collaboratively during the term of this contract in order to resolve them during that period or later, if necessary. Issues and topics may be added at any time by mutual agreement through amendment of this contract. The Board or representatives of the Board and the Department will establish work groups where appropriate to address these issues and topics. The Department and the Board also may address issues and topics through the System Leadership Council, which is described in the Partnership Agreement.

- a. Evidence-Based or Best Clinical Practices:** Identify evidence-based practices or best clinical practices that will improve the quality of mental health, mental retardation, or substance abuse services and address the service needs of individuals with co-occurring disorders and develop strategies for the implementation of these practices to the extent practicable.
- b. Mental Health and Substance Abuse Services Performance Expectations and Goals:** Review the results of the first year's implementation and consider revisions of the performance expectations and goals from the FY 2009 contract that address emergency

## FY 2010 Community Services Performance Contract

services and case management services and expand this continuous quality improvement approach to other services provided by the Board, including preadmission screening and discharge planning, to local, regional, and statewide utilization management, and to state facility operations.

- c. **Data Quality and Use:** Through the Moving Forward Work Group, the VACSB Data Management Committee, and similar mechanisms, work collaboratively to (i) monitor and increase the timeliness and quality of data submitted through the current Community Consumer Submission in accordance with the current CCS Extract Specifications and Design Specifications (including the current Business Rules); (ii) address current and future data and information needs, including communicating more effectively about the volume of services provided and how these services affect the lives of individuals; (iii) achieve the values and benefits of interoperability or the ability to reliably exchange information without error, in a secure fashion, with different information technology systems, software applications, and networks in various settings; to exchange this information with its clinical or operational meaning preserved and unaltered; and to do so in the course of the process of service delivery to promote the continuity of that process and (iv) plan for the implementation of electronic Health Information Exchange and Electronic Health Records by July 1, 2012 to improve the quality and accessibility of services and streamline and reduce reporting and documentation requirements.
- d. **Regional Management Structures or Processes for Individuals Moving Among Regions or Providers:** Through the Regional Utilization Management/Continuous Quality Improvement (RUM/CQI) Work Group, develop clear regional management structures or processes to deal with individuals transferring between private providers participating as signatories in regional partnerships and Boards or state facilities within a region or across regions or individuals transferring from Boards or state facilities in one region to Boards or state facilities in another region. The structures or processes should focus on behavioral rather than diagnostic criteria, individuals and their unique situations rather than population groupings, shared responsibilities and joint ownership, and problem solving. The structures or processes should be as consistent as possible among regions, while allowing variations needed to accommodate particular or unique circumstances in regions. The RUM/CQI Work Group shall develop these structures or processes for consideration and possible adoption in FY 2010 and, where appropriate, inclusion in the FY 2010 contract.
- e. **Discharge Planning Protocols and Continuity of Care Procedures:** Through the RUM/CQI Work Group or a separate group established for this purpose, revise the current Discharge Planning Protocols and Continuity of Care Procedures, integrating or combining them to the greatest extent possible, in time for the revised document(s) to be included in or incorporated by reference into the FY 2011 performance contract. The revised document shall be consistent with applicable *Code of Virginia* requirements and with the regional structures or processes developed pursuant to section 10.d of this contract and also shall include admission protocols or procedures. The revised document or the regional structures or processes also shall address a process for resolving disagreements or problems among Boards and state facilities which they cannot resolve locally.

**FY 2010 Community Services Performance Contract**

**11. Signatures:** In witness thereof, the Department and the Board have caused this performance contract to be executed by the following duly authorized officials.

**Virginia Department of Mental Health,  
Mental Retardation and Substance  
Abuse Services**

\_\_\_\_\_

\_\_\_\_\_

**Board**

By: \_\_\_\_\_

By: \_\_\_\_\_

Name: James S. Reinhard, M.D.  
Title: Commissioner

Name: \_\_\_\_\_  
Title: Chairman of the Board

Date: \_\_\_\_\_

Date: \_\_\_\_\_

By: \_\_\_\_\_

Name: \_\_\_\_\_  
Title: Executive Director

Date: \_\_\_\_\_

**FY 2010 Community Services Performance Contract**

**Exhibit A: Resources and Services**

CSB: \_\_\_\_\_

<b>Consolidated Budget</b>				
<b>Revenue Source</b>	<b>Mental Health</b>	<b>Mental Retardation</b>	<b>Substance Abuse</b>	<b>TOTAL</b>
State Funds				
State Restricted Funds				
Local Matching Funds				
Total Fees				
Transfer Fees (To)/From				
Federal Funds				
Other Funds				
State Retained Earnings				
Federal Retained Earnings				
Other Retained Earnings				
<b>Subtotal: Ongoing Funds</b>				
State Funds One -Time				
State Restricted Funds One-Time				
Federal Funds One-Time				
<b>Subtotal: One-Time Funds</b>				
<b>Total: All Funds</b>				

<b>Cost for MH, MR, SA Services</b>				
<b>Cost for Services Available Outside of a Program Area (AP-4)</b>				
				<b>Total Cost</b>

<b>Local Match Computation</b>	
<b>Total State and State Restricted Funds</b>	
<b>Total Local Matching Funds</b>	
<b>Total State and Local Funds</b>	
<b>Total Local Match Percent (Local/Total State + Local)</b>	

<b>Administrative Expenses</b>	
Administrative Expenses	
Total Expenses	
Administrative Percent	

**FY 2010 Community Services Performance Contract**

**Exhibit A: Resources and Services**

**CSB:** \_\_\_\_\_

**Financial Comments**

Comment 1	
Comment 2	
Comment 3	
Comment 4	
Comment 5	
Comment 6	
Comment 7	
Comment 8	
Comment 9	
Comment 10	
Comment 11	
Comment 12	
Comment 13	
Comment 14	
Comment 15	
Comment 16	
Comment 17	
Comment 18	
Comment 19	
Comment 20	
Comment 21	
Comment 22	
Comment 23	
Comment 24	
Comment 25	

**FY 2010 Community Services Performance Contract**

**Exhibit A: Resources and Services**

**Mental Health**

**CSB:** \_\_\_\_\_

<b>Revenue Sources</b>	<b>Revenue</b>
<b><u>Fees</u></b>	
MH Medicaid Fees	
MH Fees: Other	_____
<b>Total MH Fees</b>	
MH Transfer Fees (To)/From	_____
<b>Net MH Fees</b>	
<b><u>Restricted Funds</u></b>	
<b>Federal</b>	
MH FBG SED Child & Adolescent	
MH FBG SMI	
MH FBG PACT	
MH FBG Geriatrics	
MH FBG Consumer Services	
MH FBG PATH	
MH Other Federal – DMHMRSAS	
MH Other Federal – CSB	_____
<b>Total Restricted Federal MH Funds</b>	
<b>State</b>	
MH Acute Care (Fiscal Agent)	
MH Transfer In/(Out) Acute Care	_____
<b>MH Net Acute Care</b>	
MH Regional DAP (Fiscal Agent)	
MH Transfer In/(Out) Regional DAP	_____
<b>MH Net Regional DAP</b>	
MH Facility Reinvestment (Fiscal Agent)	
MH Transfer In/(Out) Facility Reinvestment	_____
<b>MH Net Facility Reinvestment</b>	
MH Regional DAD/Wintext (Fiscal Agent)	
MH Transfer In/(Out) DAD/Wintex	_____
<b>MH Net Regional DAD/Wintex</b>	
MH Crisis Stabilization (Fiscal Agent)	
MH Transfer In/(Out) Crisis Stabilization	_____
<b>MH Net Crisis Stabilization</b>	
MH Recovery (Fiscal Agent)	
MH Transfer In/(Out) Recovery	_____
<b>MH Net Recovery</b>	
MH Transformation (Fiscal Agent)	
MH Transfer In/(Out) Transformation	_____
<b>MH Net Transformation</b>	

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# FY 2010 Community Services Performance Contract

## Exhibit A: Resources and Services

### Mental Health

CSB: \_\_\_\_\_

<b>Revenue Sources</b>	<b>Revenue</b>
MH DAD/Wintex	
MH PACT	
MH Discharge Assistance Project (DAP)	
MH Child & Adolescent Services Initiative	
MH Pharmacy (Blue Ridge)	
MH Demo Proj-System of Care (Child)	
MH Juvenile Detention	
MH Jail Diversion/Service	
MH Geriatric Services	
MH Civil Commitment Law Reforms	
MH Children's Outpatient Services	
<b>Total Restricted State MH Funds</b>	_____
<b><u>Other Funds</u></b>	
MH Other Funds	
MH Federal Retained Earnings	
MH State Retained Earnings	
MH State Retained Earnings - Regional Programs	
MH Other Retained Earnings	
<b>Total Other MH Funds</b>	_____
<b><u>State Funds</u></b>	
MH State General Funds	
MH State Regional Deaf Services	
MH State NGRI Funds	
MH State Children's Services	
<b>Total State MH Funds</b>	_____
<b><u>Local Matching Funds</u></b>	
MH In-Kind	
MH Contributions	
MH Local Other	
MH Local Government	
<b>Total Local MH Funds</b>	_____
<b>Total MH Revenue</b>	_____
<b><u>One-Time MH Funds</u></b>	
MH FBG SWVMH Board	
MH FBG SMI	
MH FBG SED Child & Adolescent	
MH FBG Consumer Services	
MH Fed Emergency Preparedness & Response	
MH State General Funds	
<b>Total One-Time MH Funds</b>	_____
<b>Total All MH Revenue</b>	_____

FY 2010 Community Services Performance Contract

Exhibit A: Resources and Services

Mental Retardation

CSB: \_\_\_\_\_

Revenue Sources	Revenue
<b><u>Fees</u></b>	
MR Medicaid Fees	
MR Medicaid ICF/MR	
MR Fees: Other	_____
<b>Total MR Fees</b>	
MR Transfer Fees (To)/From	_____
<b>Net MR Fees</b>	
<b><u>Restricted Funds</u></b>	
<b>Federal</b>	
MR Other Federal – DMHMRSAS	
MR Other Federal – CSB	_____
<b>Total Restricted Federal MR Funds</b>	
<b>State</b>	
MR Facility Reinvestment (Fiscal Agent)	
MR Transfer In/(Out) Facility Reinvestment	_____
<b>MR Net Facility Reinvestment</b>	
MR Transformation	_____
<b>Total Restricted State MR Funds</b>	
<b><u>Other Funds</u></b>	
MR Workshop Sales	
MR Other Funds	
MR State Retained Earnings	
MR Other Retained Earnings	_____
<b>Total Other MR Funds</b>	
<b><u>State Funds</u></b>	
MR State General Funds	
MR OBRA	
MR Family Support	
MR Children's Family Support	_____
<b>Total State MR Funds</b>	

FY 2010 Community Services Performance Contract

Exhibit A: Resources and Services

Mental Retardation

CSB: \_\_\_\_\_

<b>Revenue Sources</b>	<b>Revenue</b>
<b><u>Local Matching Funds</u></b>	
MR In-Kind	
MR Contributions	
MR Local Other	
MR Local Government	_____
<b>Total Local MR Funds</b>	_____
<b>Total MR Revenue</b>	_____
<b><u>One-Time MR Funds</u></b>	
MR Waiver Start Up	_____
<b>Total One-Time MR Funds</b>	_____
<b>Total All MR Revenue</b>	_____

**FY 2010 Community Services Performance Contract**

**Exhibit A: Resources and Services**

**Substance Abuse**

**CSB:** \_\_\_\_\_

<b>Revenue Sources</b>	<b>Revenue</b>
<b><u>Fees</u></b>	
SA Medicaid Fees	
SA Fees: Other	_____
<b>Total SA Fees</b>	
SA Transfer Fees (To)/From	_____
<b>SA Net Fees</b>	
<b><u>Restricted Funds</u></b>	
<b>Federal</b>	
SA FBG Alcohol/Drug Treatment	
SA FBG Women (Includes LINK at 6 CSBs)	
SA FBG Prevention-Women (LINK)	
SA FBG SARPOS	
SA FBG Facility Diversion	
SA FBG Jail Services	
SA FBG Crisis Intervention	
SA FBG Prevention	
SA FBG Co-Occurring	
SA FBG Prev-Strengthening Families	
SA FBG New Directions	
SA FBG Recovery	
SA Fed VASIP/COSIG (Fiscal Agent)	
SA Fed Transfer In/(Out) VASIP/COSIG	_____
<b>SA Net VASIP/COSIG</b>	
SA Fed Project REMOTE	
SA Fed Project TREAT	
SA Other Federal - DMHMRSAS	
SA Other Federal - CSB	_____
<b>Total Restricted Federal SA Funds</b>	
<b>State</b>	
SA Facility Reinvestment (Fiscal Agent)	
SA Transfer In/(Out) Facility Reinvestment	_____
<b>SA Net Facility Reinvestment</b>	
SA Facility Diversion	
SA Women (Includes LINK at 6 CSBs)	
SA Crisis Stabilization	
SA Medically Assisted Treatment (MAT)	
SA Transformation	
SA SARPOS	
SA Recovery	
SA HIV/AIDS	_____
<b>Total Restricted State SA Funds</b>	

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FY 2010 Community Services Performance Contract

Exhibit A: Resources and Services

Substance Abuse

CSB: \_\_\_\_\_

Revenue Sources	Revenue
<b><u>Other Funds</u></b>	
SA Other Funds	
SA Federal Retained Earnings	
SA State Retained Earnings	
SA State Retained Earnings - Regional Programs	
SA Other Retained Earnings	_____
<b>Total Other SA Funds</b>	
<b><u>State Funds</u></b>	
SA State General Funds	
SA Region V Residential	
SA Postpartum - Women	
SA Jail Services/Juv Detention	_____
<b>Total State SA Funds</b>	
<b><u>Local Matching Funds</u></b>	
SA In-Kind	
SA Contributions	
SA Local Other	
SA Local Government	_____
<b>Total Local SA Funds</b>	
<b>Total SA Revenue</b>	_____
<b><u>One-Time SA Funds</u></b>	
SA FBG Alcohol/Drug Treatment	
SA FBG Women	
SA FBG Prevention	_____
<b>Total One-Time SA Funds</b>	
<b>Total All SA Revenue</b>	_____



**FY 2010 Community Services Performance Contract**

**Exhibit A: Resources and Services**

**Supplemental Information**

**Reconciliation of Financial Report and Utilization Data (Core Services) Expenses**

CSB: \_\_\_\_\_

	MH	MR	SA	Services Outside of a Prog. Area	Total
Financial Report Revenue					
Utilization Data Expenses					
Difference					

Difference results from

Other

Explanation of Other:

**FY 2010 Community Services Performance Contract**

**Exhibit A: Resources and Services**

CSB: \_\_\_\_\_

<b>Form 11: Mental Health Services Program Area (100)</b>	
<b>Core Services</b>	<b>Costs</b>
250 Acute Psychiatric Inpatient Services	
310 Outpatient Services	
350 Assertive Community Treatment	
320 Case Management Services	
410 Day Treatment or Partial Hospitalization	
420 Ambulatory Crisis Stabilization Services	
425 Rehabilitation	
430 Sheltered Employment	
465 Group Supported Employment	
460 Individual Supported Employment	
501 Highly Intensive Residential Services	
510 Residential Crisis Stabilization Services	
521 Intensive Residential Services	
551 Supervised Residential Services	
581 Supportive Residential Services	
610 Prevention Services	
<b>Total Costs</b>	

<b>Form 21: Mental Retardation Services Program Area (200)</b>	
<b>Core Services</b>	<b>Costs</b>
310 Outpatient Services	
320 Case Management Services	
425 Habilitation	
430 Sheltered Employment	
465 Group Supported Employment	
460 Individual Supported Employment	
501 Highly Intensive Residential (Community-Based ICF/MR) Services	
521 Intensive Residential Services	
551 Supervised Residential Services	
581 Supportive Residential Services	
610 Prevention Services	
<b>Total Costs</b>	

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**Exhibit A: Resources and Services**

CSB: \_\_\_\_\_

<b>Form 31: Substance Abuse Services Program Area (300)</b>	
<b>Core Services</b>	<b>Costs</b>
250 Acute Substance Abuse Inpatient Services	
260 Community-Based SA Medical Detoxification Inpatient (Hospital) Services	
310 Outpatient Services	
335 Medication Assisted Treatment	
320 Case Management Services	
410 Day Treatment or Partial Hospitalization	
420 Ambulatory Crisis Stabilization Services	
425 Rehabilitation	
430 Sheltered Employment	
465 Group Supported Employment	
460 Individual Supported Employment	
501 Highly Intensive Residential (Community-Based SA Detoxification) Services	
510 Residential Crisis Stabilization Services	
521 Intensive Residential Services	
551 Supervised Residential Services	
581 Supportive Residential Services	
610 Prevention Services	
<b>Total Costs</b>	

<b>Form 01: Services Available Outside of a Program Area (400)</b>	
<b>Core Services</b>	<b>Costs</b>
100 Emergency Services	
318 Motivational Treatment Services	
390 Consumer Monitoring Services	
720 Assessment and Evaluation Services	
620 Early Intervention Services	
730 Consumer-Run Services	
<b>Total Costs</b>	

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### Exhibit B: Continuous Quality Improvement Process

**Introduction:** The Department shall continue to work with Boards to achieve a welcoming, recovery-oriented, integrated services system, a transformed system for individuals receiving services and their families in which Boards, state facilities, programs, and services staff, in collaboration with individuals and their families, are becoming more welcoming, recovery-oriented, and co-occurring disorder capable. The process for achieving this goal within limited resources is to build a system wide continuous quality improvement process, in a partnership among Boards, the Department, and other stakeholders, in which there is a consistent shared vision combined with a measurable and achievable implementation process for each Board to make progress toward this vision. This contract provides further clarification for those implementation activities, so that each Board can be successful in designing a performance improvement process at the local level.

Meaningful performance expectations are part of a continuous quality improvement (CQI) process being developed and supported by the Department and the Board that will monitor the Board's progress in achieving those expectations to improve the quality, accessibility, integration and welcoming, person-centeredness, and responsiveness of services locally and to provide a platform for system wide improvement efforts. Generally, performance expectations reflect established requirements based in statute, regulation, or policy. Performance goals are developmental; once baseline measures are established and implemented, they will become expectations. The initial performance expectations and goals focus on the areas of the public mental health, mental retardation, and substance abuse services system that have the primary interactions with individuals who are at risk of involvement in the civil admissions process established in Chapter 8 of Title 37.2 of the *Code of Virginia*, are directly involved in that process, are receiving case management services from the Board, or require service linkages between state facility or local inpatient services and other community services. This emphasis is consistent with the Department's and the Board's interest in assuring that individuals receive the services and supports necessary to link them with the most appropriate resources needed to support their recovery, empowerment, and self-determination. It also is consistent with the recognition that many of these individuals will have co-occurring mental health and substance abuse disorders or intellectual disability and will need services that are designed to welcome and engage them in co-occurring capable services. The capacity to measure progress in achieving performance expectations and goals, provide feedback, and plan and implement CQI strategies shall exist at local, regional, and state levels.

Implementing the CQI process will be a multi-year, iterative, and collaborative effort to assess and enhance Board and system wide performance over time through a partnership among Boards and the Department in which they are working to achieve a shared vision of a transformed services system. In this process, Boards and the Department engage with stakeholders to perform meaningful self-assessments of current operations, determine relevant CQI performance expectations and goals, and establish benchmarks for goals, determined by baseline performance, to convert those goals to expectations. Then, each Board assesses and reports to the Department on its progress toward achieving these expectations and goals and develops and implements a CQI plan to meet them. As benchmarks are attained and expectations and goals are achieved, Boards and the Department review and revise the performance expectations, goals, and benchmarks or establish new ones. Because this CQI process focuses on improving services and to strengthen the engagement of Boards in this process and preserve essential services for individuals, funding will not be based on or associated with Board performance in achieving these expectations and goals. The Department and the Board may negotiate Board performance measures in Exhibit D reflecting actions or requirements to meet expectations and goals in the Board's CQI plan. As this joint CQI process evolves and expands, the Department and the VACSB will utilize data and reports submitted by Boards to conduct a broader scale evaluation of service system performance and to identify opportunities for CQI activities across all program areas.

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### I. CQI Performance Expectations and Goals for Emergency Services and Mental Health and Substance Abuse Case Management Services

#### A. General Performance Goals

1. For individuals currently receiving services, the Board shall have a protocol in effect 24 hours per day, seven days per week (a) for service providers to alert emergency services staff about individuals deemed to be at risk of needing an emergency intervention, (b) for service providers to provide essential clinical information, which should include advance directives, wellness recovery action plans, or safety and support plans to the extent they are available, that would assist in facilitating the disposition of the emergency intervention, and (c) for emergency services staff to inform the case manager of the disposition of the emergency intervention. Individuals with co-occurring mental health and substance use disorders should be welcomed and engaged promptly in an integrated screening and assessment process to determine the best response or disposition for continuing care.
2. For individuals hospitalized through the civil involuntary admission process in a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital, including those who were under a temporary detention order or an involuntary commitment order or were admitted voluntarily from a commitment hearing, and referred to the Board, the Board that will provide services upon the individual's discharge shall have in place a protocol to engage those individuals in appropriate Board services and supports upon their return to the community. The Board shall monitor and strive to increase the rate at which these individuals keep scheduled face-to-face (non-emergency) service visits within seven business days after discharge from the hospital or unit. Since these individuals frequently experience co-occurring mental health and substance use disorders, Board services should be planned as co-occurring capable and should promote successful engagement of these individuals in continuing integrated care.

#### B. Emergency Services Performance Expectations

1. Every preadmission screening evaluator hired after July 1, 2008 shall meet the educational qualifications endorsed in October 2007 by the Department and the Virginia Association of Community Services Boards.
2. Every preadmission screening evaluator shall complete the certification program approved by the Department, and documentation of satisfactory completion shall be accessible for review.
3. Every preadmission screening evaluator shall be hired with the goal of welcoming individuals with co-occurring disorders and performing hopeful engagement and integrated screening and assessment.
4. Pursuant to subsection B of § 37.2-815 of the *Code of Virginia*, a preadmission screening evaluator or, through a mutual arrangement, an evaluator from another Board shall attend each commitment hearing, original (up to 30 days) or recommitment (up to 180 days), for an adult held in the Board's service area or for an adult receiving services from the Board held outside of its service area in person, or, if that is not possible, the preadmission screening evaluator shall participate in the hearing through two-way electronic video and audio or telephonic communication systems, as authorized by subsection B of § 37.2-804.1 of the *Code of Virginia*, for the purposes of presenting preadmission screening reports and recommended treatment plans and facilitating least restrictive dispositions.

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5. In preparing preadmission screening reports, the preadmission screening evaluator shall consider all available relevant clinical information, including a review of clinical records, wellness recovery action plans, advance directives, and information or recommendations provided by other current service providers or appropriate significant persons (e.g., family members or partners). Reports shall reference the relevant clinical information used by the preadmission screening evaluator.
6. If the emergency services intervention occurs in a hospital or clinic setting, the preadmission screening evaluator shall inform the charge nurse or requesting medical doctor of the disposition, including leaving a written clinical note describing the assessment and recommended disposition or a copy of the preadmission screening form containing this information.

### **C. Emergency Services Performance Goals**

1. Telephone access to clinicians employed or contracted by the Board to provide emergency services shall be available 24 hours per day, seven days per week. Initial telephone responders in emergency services shall triage calls and, for callers with emergency needs, shall be able to link the caller with a preadmission screening evaluator within 15 minutes of his or her initial call.
2. When an immediate face-to-face intervention by a certified preadmission screening evaluator is appropriate to determine the possible need for involuntary hospitalization, the intervention shall be completed by a certified preadmission screening evaluator who shall be available within one hour of initial contact for urban Boards and within two hours of initial contact for rural Boards. Urban and rural Boards are defined and listed in the current Overview of Community Services in Virginia on the Department's web site.

### **D. Mental Health and Substance Abuse Case Management Services Performance Expectations**

1. Case managers employed or contracted by the Board shall meet the knowledge, skills, and abilities qualifications in the Case Management Licensing Regulations, 12 VAC 35-105-1250.
2. Individuals receiving case management services shall be offered a choice of case managers to the extent possible, and this shall be documented by a procedure to address requests for changing a case manager.
3. Case managers shall be hired with the goal of becoming welcoming, recovery-oriented, and co-occurring competent to engage all individuals receiving services in empathetic, hopeful, integrated relationships to help them address multiple issues successfully.
4. Reviews of the individualized services plan (ISP), including necessary assessment updates, shall be conducted face-to-face with the individual every 90 days and shall include significant changes in the individual's status, engagement, participation in recovery planning, and preferences for services; and the ISP shall be revised accordingly to include an individual-directed wellness plan that addresses crisis self-management strategies and implements advance directives, as desired by the individual. For those individuals who express a choice to discontinue case management services because of their dissatisfaction with care, the provider must review the ISP to consider reasonable solutions to address the individual's concerns.

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5. The Board shall have policies and procedures in effect to ensure that, during normal business hours, case management services shall be available to respond in person, electronically, or by telephone to preadmission screening evaluators of individuals with open cases at the Board to provide relevant clinical information in order to help facilitate appropriate dispositions related to the civil involuntary admissions process established in Chapter 8 of Title 37.2 of the *Code of Virginia*.

### **E. Mental Health and Substance Abuse Case Management Services Performance Goals**

1. For an individual who has been discharged from a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital or released from a commitment hearing and has been referred to the Board and determined by it to be appropriate for its case management services program, a preliminary assessment shall be initiated at first contact and completed, preferably within 14 but in no case more than 30 calendar days of referral, and an individualized services plan (ISP) shall be initiated within 24 hours of the individual's admission to a program area for services in its case management services program and updated when required by the Department's licensing regulations. A copy of an advance directive, a wellness recovery action plan, or a similar expression of an individual's treatment preferences, if available, shall be included in the clinical record.
2. For individuals for whom case management services will be discontinued due to failure to keep scheduled appointments, outreach attempts, including home visits, telephone calls, letters, and contacts with others as appropriate, to reengage the individual shall be documented. The Board shall have a procedure in place to routinely review the rate of and reasons for refused or discontinued case management services and shall take appropriate actions when possible to reduce that rate and address those reasons.

### **II. Co-Occurring Mental Health and Substance Use Disorders Performance Expectations**

- A. The Board, as part of its regular intake processes, shall ensure that every adolescent (ages 13 to 18) and adult presenting for mental health or substance abuse services is screened, based on clear clinical indications noted in the services record or use of a validated brief screening instrument, for co-occurring mental health and substance use disorders. If screening indicates a need, the Board shall assess the individual for co-occurring mental health and substance use disorders.
- B. If the Board has not conducted an organizational self-assessment of service integration using the COMPASS tool as part of the Virginia System Integration Project (VASIP) process, the Board shall conduct an organizational self-assessment of service integration using the COMPASS tool during the term of this contract and use the results of this self-assessment as part of its continuous quality improvement plan and process.
- C. In the Board's information system, individuals shall be identified as having co-occurring mental health and substance use disorders if there is (1) an Axis I or Axis II mental health diagnosis and (a) an Axis I substance use disorder diagnosis or (b) admission to the substance abuse program area (denoted in a type of care record) or (2) an Axis I substance use disorder diagnosis and (a) an Axis I or Axis II mental health diagnosis or (b) admission to the mental health program area (denoted in a type of care record).

### **III. Data Quality Performance Expectations and Goals**

#### **A. Data Quality Performance Expectations**

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1. The Board shall submit complete Community Consumer Submission (CCS) consumer, type of care, and services file extracts to the Department in accordance with the schedule in Exhibit E of this contract and the CCS 3 Extract Specifications - Version 7 and current CCS 3 Business Rules, a submission for each month by the end of the following month.
2. If the Board experiences a fatal error rate of more than five percent of its CCS consumer records in more than one monthly submission, the Board shall develop and implement a data quality improvement plan to achieve the goal of no more than five percent of its CCS consumer records containing fatal errors within a timeframe negotiated with the Department.
3. The Board shall ensure that all required CCS data is collected and entered into its information system when a case is opened or an individual is admitted to a program area, updated at least annually when an individual remains in service that long, and updated when an individual is discharged from a program area or his case is closed. The Board shall identify situations where data is missing or incomplete and implement a data quality improvement plan to increase the completeness, accuracy, and quality of CCS data that it collects and reports.

### IV. Continuous Quality Improvement Process Affirmations

Pursuant to Section 7: Accountability in the Community Services Performance Contract Central Office, State Facility, and Community Services Board Partnership Agreement, the Board provides the following affirmations of its compliance with the listed Emergency Services, Case Management, and Data Quality Performance Expectations and Goals. If the Board cannot comply with a particular affirmation, the Board shall attach an explanation to this exhibit with a plan for complying with the identified expectation or goal, including specific actions and target dates. The Department will review this plan and negotiate any changes with the Board, whereupon, the plan will become part of this exhibit.

#### Expectation or Goal

#### Affirmation

- I.A.1. For individuals currently receiving services, the Board has a protocol in effect 24 hours per day, seven days per week (a) for service providers to alert emergency services staff about individuals deemed to be at risk of needing an emergency intervention, (b) for service providers to provide essential clinical information, which should include advance directives, wellness recovery action plans, or safety and support plans to the extent they are available, that would assist in facilitating the disposition of the emergency intervention, and (c) for emergency services staff to inform the case manager of the disposition of the emergency intervention. The Board will provide a copy this protocol to the Department upon request. During its inspections, the Department's Licensing Office will examine this protocol to verify this affirmation as it reviews the Board's policies and procedures.
- I.A.2. For individuals hospitalized through the civil involuntary admission process in a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital, including those who were under a temporary detention order or an involuntary commitment order or were admitted voluntarily from a commitment hearing, and referred to the Board, for whom the Board will provide services upon the individual's discharge, the Board has in place a protocol to engage those individuals in appropriate Board services and supports upon their return to the community. The Board will provide this protocol to the Department upon request. During its inspections, the Department's Licensing Office will examine this protocol to verify this affirmation as it reviews the Board's policies and procedures.

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- I.B.1. Every preadmission screening evaluator hired after July 1, 2008 meets the educational qualifications endorsed in October, 2007 by the Department and the Virginia Association of Community Services Boards. During its inspections, the Department's Licensing Office will verify this affirmation as it reviews personnel records.
- I.B.2. Every preadmission screening evaluator employed by the Board has completed the certification program approved by the Department before performing preadmission screenings. During its inspections, the Department's Licensing Office will verify this affirmation as it reviews personnel or training records or documentation.
- I.B.5. In preparing preadmission screening reports, preadmission screening evaluators consider available relevant clinical information, including a review of clinical records, wellness recovery action plans, advance directives, and information or recommendations provided by other current service providers or appropriate significant persons (e.g., family members or partners). Reports reference the relevant clinical information used by the preadmission screening evaluator. During its inspections, the Department's Licensing Office will verify this affirmation as it reviews services records, including records selected from a sample identified by the Board for individuals who received preadmission screening evaluations.
- I.B.6. If the emergency services intervention occurs in a hospital or clinic setting, the Board's preadmission screening evaluator informs the charge nurse or requesting medical doctor of the disposition, including leaving a written clinical note describing the assessment and recommended disposition or a copy of the preadmission screening form containing this information, and this action is documented in the individual's service record at the Board with a progress note or with a notation on the preadmission screening form that is included in the individual's service record. During its inspections, the Department's Licensing Office will verify this affirmation as it reviews services records, including records selected from a sample identified by the Board for individuals who received preadmission screening evaluations, for a progress note or a copy of the preadmission screening form.
- I.D.1. Case managers employed or contracted by the Board meet the knowledge, skills, and abilities qualifications in the Case Management Licensing Regulations. During its inspections, the Department's Licensing Office will verify this affirmation as it reviews personnel records.
- I.D.2. Individuals receiving case management services are offered a choice of case managers to the extent possible, and this is documented by a procedure to address requests for changing a case manager. The Board will provide a copy this procedure to the Department upon request. During its inspections, the Department's Licensing Office will verify this affirmation as it reviews services records and by examining the procedure.
- I.D.3. Reviews of the ISP, including necessary assessment updates, are conducted face-to-face with the individual every 90 days and include significant changes in the individual's status, engagement, participation in recovery planning, and preferences for services; and the individualized services plan (ISP) shall be revised accordingly to include an individual directed wellness plan that addresses crisis self-management strategies and implements advance directives, as desired by the individual. For those individuals who express a choice to discontinue case management services because of their dissatisfaction with care, the provider reviews the ISP to consider reasonable solutions to address the individual's concerns. During its inspections, the Department's Licensing Office will verify this affirmation as it reviews services records, including records from a sample identified by the Board for individuals who discontinued case management services.

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- I.D.4. The Board has policies and procedures in effect so that, during normal business hours, case management services are available to respond in person, electronically, or by telephone to preadmission screening evaluators of individuals with open cases at the Board to provide relevant clinical information in order to help facilitate appropriate dispositions related to the civil involuntary admissions process established in Chapter 8 of Title 37.2 of the *Code of Virginia*. During its inspections, the Department's Licensing Office will verify this affirmation as it examines the Board's policies and procedures.
- I.E.1. a. For an individual who has been discharged from a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital or released from a commitment hearing and has been referred to the Board and determined by it to be appropriate for its case management services program, an individualized services plan (ISP) is initiated within 24 hours of the individual's admission to a program area for services in its case management services program and updated when required by the Department's licensing regulations.
- b. A copy of an advance directive, a wellness recovery action plan, or a similar expression of the treatment preferences of an individual receiving services, if available, is included in the individual's clinical record.

During its inspections, the Department's Licensing Office will verify these affirmations as it reviews service records.

- I.E.2. For individuals for whom case management services will be discontinued due to failure to keep scheduled appointments, outreach attempts, including home visits, telephone calls, letters, and contacts with others as appropriate, to reengage the individual are documented. The Board has a procedure in place to routinely review the rate of and reasons for refused or discontinued case management services and shall take appropriate actions when possible to reduce that rate and address those reasons. The Board will provide a copy of this procedure to the Department upon request. During its inspections, the Department's Licensing Office will examine this procedure to verify this affirmation.
- II.A. The Board ensures that, as part of its regular intake processes, every adolescent (ages 13 to 18) and adult presenting for mental health or substance abuse services is screened, based on clear clinical indications noted in the services record or use of a validated brief screening instrument, for co-occurring mental health and substance use disorders. If screening indicates a need, the Board assesses the individual for co-occurring mental health and substance use disorders. During its on-site reviews, the staff from the Department's Office of Substance Abuse Services will examine a sample of service records to verify this affirmation.
- II.B. If the Board has not conducted an organizational self-assessment of service integration using the COMPASS tool as part of the Virginia Services Integration Project (VASIP) process, the Board will conduct an organizational self-assessment during the term of this contract of service integration using the COMPASS tool and use the results of this self-assessment as part of its continuous quality improvement plan and process. The Board will provide the results of its continuous quality improvement activities for service integration to the Department's Office of Substance Abuse Services during its on-site review of the Board.
- II.C. The Board agrees that in its information system, individuals shall be identified as having co-occurring mental health and substance use disorders if there is (1) an Axis I or Axis II mental health diagnosis and (a) an Axis I substance use disorder diagnosis or (b) admission to the substance abuse program area (denoted in a type of care record or (2)

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an Axis I substance use disorder diagnosis and (a) an Axis I or Axis II mental health diagnosis or (b) admission to the mental health program area (denoted in a type of care record). The Department will monitor this affirmation by analyzing the Board's CCS 3 submissions and reviewing any continuous quality improvement plan submitted by the Board.

- III.A.1. The Board agrees to submit 100 percent of its monthly CCS consumer, type of care, and services file extracts submitted to the Department in accordance with the schedule in Exhibit E of this contract and the CCS 3 Extract Specifications - Version 7 and current CCS 3 Business Rules, a submission for each month by the end of the month following the month for which the extracts are due. The Department will monitor this measure quarterly by analyzing the Board's CCS submissions and negotiate an Exhibit D with the Board if it fails to meet this goal for more than two months in a quarter.
- III.A.2. The Board agrees to monitor the total number of consumer records rejected due to fatal errors divided by the total consumer records in the Board's monthly CCS consumer extract file. If the Board experiences a fatal error rate of more than five percent of its CCS consumer records in more than one monthly submission, the Board agrees to develop and implement a data quality improvement plan to achieve the goal of no more than five percent of its CCS consumer records containing fatal errors within a timeframe negotiated with the Department. The Department will monitor this affirmation by analyzing the Board's CCS submissions.
- III.A.3. The Board agrees to monitor the total number of individuals without service records submitted showing receipt of any substance abuse service within the prior 90 days divided by the total number of individuals with a TypeOfCare record showing a substance abuse discharge in those 90 days. If more than 10 percent of the individuals it serves have not received any substance abuse service within the prior 90 days and have not been discharged from the substance abuse program area, the Board agrees to develop and implement a data quality improvement plan to reduce that percentage to no more than 10 percent. The Department will monitor this affirmation by analyzing the Board's CCS submissions.

### V. Continuous Quality Improvement Process Measures

The Board agrees to monitor and collect data and report on the following measures, using the attached Exhibit B Required Measures Report, or to use data from the Department or other sources to monitor its accomplishment of the performance expectations and goals in this exhibit.

#### **Expectation or Goal**

#### **Measure**

- I.A.2. The Board agrees to monitor and report quarterly to the Department on the percentage of individuals referred to the Board who keep a face-to-face (non-emergency) service visit within seven business days after having been discharged from a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital following involvement in the civil involuntary admission process. This includes all individuals referred to the Board upon discharge from a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital who were under a temporary detention order or an involuntary commitment order or who were admitted voluntarily from a commitment hearing. The Department agrees to monitor part of this measure through comparing AVATAR data on individuals discharged from state hospitals to the Board with CCS data about their admission to the mental health program area and dates of service after discharge from the hospital or unit.

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- I.B.4. The Board agrees to report the total number of original commitment (up to 30 days) and recommitment (up to 180 days) hearings for adults, attended each quarter by its preadmission screening evaluators for individuals it serves or on behalf of other Boards in person or via two-way electronic video and audio or telephonic communication systems to the Department quarterly.
- I.C.2. The Board agrees to collect in its two week sample of its emergency services each quarter, the time within which the preadmission screening evaluator is available when an immediate face-to-face intervention by a certified preadmission screening evaluator is appropriate to determine the need for involuntary hospitalization and to monitor achievement of the goal that the evaluator be available within one hour of initial contact for an urban board or within two hours for a rural board. The Board agrees to maintain documentation of these samples, including information about circumstances in which this goal is not met, locally for three years and to report a summary and analysis of the information quarterly to the Department.

### VI. Continuous Quality Improvement Data Feedback

- A. For purposes of improving data quality and integrity, the Department shall provide regular reports to the Board on the completeness and validity of the individual and service data that it submits through CCS 3. When requested by the Department, the executive director of the Board shall develop and submit a plan of correction to the Department to remedy persistent deficiencies in the Board's CCS 3 submissions and, upon approval of the Department, shall implement the plan of correction. Persistent deficiencies that are not resolved through this process shall be addressed with a Board Performance Measure in Exhibit D.
- B. For purposes of furthering transparent accountability, the Department shall develop summary and comparative reports using CCS 3 and other data submitted by Boards and place these reports on its web site. Reports shall include information about numbers of individuals served, their characteristics, services availability, services provided, state hospital utilization rates, continuity of care between inpatient facilities and community services, emergency services responsiveness, community tenure, retention of individuals in services, Medicaid utilization, and penetration rates and the timeliness and completeness of CCS submissions. Before developing reports, the Department shall consult with the Executive Directors Forum and the Data Management Committee of the Virginia Association of Community Services Boards about the types and formats of these reports and shall work through the Performance Expectations Steering Committee to develop formats and explanations for agreed-upon reports.

**Signature:** In witness thereof, the Board provides the affirmations in section IV of this Exhibit and agrees to monitor and collect data and report on the measures in section IV of this Exhibit or to use data from the Department or other sources to monitor the accomplishment of the performance expectations and goals in this Exhibit, as denoted by the signature of the Board's Executive Director.

\_\_\_\_\_  
By: \_\_\_\_\_  
\_\_\_\_\_  
Name: \_\_\_\_\_  
Board Title: Executive Director

Date: \_\_\_\_\_

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<b>Date of Report:</b>		<b>Quarter:</b> <input type="checkbox"/> First <input type="checkbox"/> Second <input type="checkbox"/> Third <input type="checkbox"/> Fourth Quarter	
<b>CSB Name:</b>		<b>Contact Name:</b>	
<b>Contact Telephone Number:</b>		<b>E-Mail Address:</b>	
<b>Exh. B</b>	<b>Expectation or Goal Measure</b>	<b>Data</b>	<b>Data Reported</b>
I.A.2	Percentage of individuals referred to the Board who keep a face-to-face (non-emergency) service visit within seven calendar days after having been discharged from a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital following involvement in the civil involuntary admission process. This includes all individuals referred to the Board upon discharge from a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital who were under a temporary detention order or an involuntary commitment order or who were admitted voluntarily from a commitment hearing.		Number of individuals who kept scheduled face-to-face (non-emergency) service visits within seven days of discharge from the hospital or unit in this quarter.
			Number of individuals who were discharged to the Board from the hospital or unit in this quarter.
		%	Enter 1 <sup>st</sup> number ÷ by 2 <sup>nd</sup> number x 100.
I.B.4	Pursuant to subsection B of § 37.2-815 of the <i>Code of Virginia</i> , a preadmission screening evaluator or, through a mutual arrangement, an evaluator from another Board, shall attend each commitment hearing, original (up to 30 days) or recommitment (up to 180 days), for an adult held in the Board's service area or for an adult receiving services from the Board held outside of its service area in person. See I.B.4 for a complete statement of this goal measure.		Total number of original commitment and recommitment hearings for adults attended each quarter by the Board's preadmission screening evaluators for individuals it serves or on behalf of other Boards.
I.C.2	When an immediate face-to-face intervention by a certified preadmission screening evaluator is appropriate to determine the need for involuntary hospitalization, the intervention shall be completed by a certified preadmission screening evaluator who shall be available within one hour of initial contact for urban Boards and within two hours of initial contact for rural Boards.		Number of individuals who required a face-to-face evaluation for possible involuntary hospitalization who saw a certified preadmission screening evaluator face-to-face within one or two hours of initial contact during the two-week sample of emergency services each quarter.
			The total number of individuals who saw a certified preadmission screening evaluator for evaluation of possible involuntary hospitalization during quarterly two week sample of emergency services.
		%	Enter 1 <sup>st</sup> number ÷ by 2 <sup>nd</sup> number x 100.

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### Exhibit C: Statewide Individual Outcome and Board Performance Measures

<b>Measure</b>	<b>Access for Pregnant Women</b>
<b>Program Area</b>	Substance Abuse Services Only
<b>Source of Requirement</b>	SAPT Block Grant
<b>Type of Measure</b>	Aggregate
<b>Data Needed For Measure</b>	Number of Pregnant Women Requesting Service
	Number of Pregnant Women Receiving Services Within 48 Hours
<b>Reporting Frequency</b>	Annually
<b>Reporting Mechanism</b>	Performance Contract Reports

Other Board Provider Performance and Individual Outcome Measures will be collected through the current CCS, which CSBs submit to provide TEDS data and to satisfy federal Mental Health and SAPT Block Grant requirements. These measures include changes in employment status and type of residence, number of arrests, and type and frequency of alcohol or other drug use.

The Board also agrees to participate in the conduct of the following surveys:

1. Annual Survey of Individuals Receiving MH and SA Outpatient Services,
2. Annual Youth Services Survey for Families (i.e., Child MH survey), and
3. MR Family Survey (done at the time of the individual's annual planning meeting).

As part of its continuous quality improvement process and in accordance with Section 5, Advancing the Vision, of the Partnership Agreement and recommendations in the *Services System Transformation Initiative Data/Outcomes Measures Workgroup Report* (September 1, 2006), the Board shall administer the Recovery Oriented Systems Indicators (ROSI) Consumer Survey (42 items) with a statistically valid sample of five percent or a minimum of 70, whichever is larger, of individuals with serious mental illness receiving mental health services from the Board and the ROSI Provider Survey (23 item Administrative Profile) annually. The Board shall administer both ROSI surveys and report the results to the Department by March 31, 2010. The Board may submit the results of both ROSI surveys through the Department's Internet web portal. In administering the ROSI, the Board shall involve individuals receiving services, for instance by training and hiring individuals receiving services to administer the ROSI and to compile and analyze the results.

**FY 2010 Community Services Performance Contract**

**Exhibit D: Board Performance Measures**

**Signatures:** In witness thereof, the Department and the Board have caused this performance contract amendment to be executed by the following duly authorized officials.

**Virginia Department of Mental Health,  
Mental Retardation and Substance  
Abuse Services**

\_\_\_\_\_  
\_\_\_\_\_  
**Board**

By: \_\_\_\_\_

Name: James S. Reinhard, M.D.  
Title: Commissioner

Date: \_\_\_\_\_

By: \_\_\_\_\_

Name: \_\_\_\_\_  
Title: Chairman of the Board

Date: \_\_\_\_\_

By: \_\_\_\_\_

Name: \_\_\_\_\_  
Title: Executive Director

Date: \_\_\_\_\_

## FY 2010 Community Services Performance Contract

### Exhibit E: Performance Contract Process and Contract Revision Instructions

**05-01-09:** The Department distributes the FY 2010 Performance Contract to Boards electronically on **May 1**.

**05-08-09:** The Department distributes the FY 2010 Letters of Notification to Boards on **May 8**, with enclosures that show tentative allocations of state and federal block grant funds. Another enclosure may list performance measures that have been negotiated with a Board to be included in Exhibit D of the contract. The Office of Information Technology Services (OITS) completes distribution of the FY 2010 Community Services Performance Contract package software in the Community Automated Reporting System (CARS) to CSBs by **May 8**.

**06-19-09:** Exhibit A and other parts of the FY 2010 Community Services Performance Contract, submitted electronically in CARS, are due in the OITS *in time to be received by June 19*. Tables 1 and 2 of the Performance Contract Supplement (also in CARS) must be submitted with the contract. *While a paper copy of the complete contract is not submitted*, paper copies of the following completed pages with signatures where required are due in the Office of Community Contracting (OCC) by **June 19**: the signature page of the contract body; the Board's current organization chart (page 3 of Exhibit H); the signature page in Exhibit B; Exhibit D, if applicable; Exhibit F (two pages); page 1 of Exhibit G; Exhibit J (if applicable); and the signature page of the Partnership Agreement (page 11). Page 2 of Exhibit G must be submitted as soon as possible and no later than **September 30**.

Contracts must conform to Letter of Notification allocations of state and federal funds, or amounts subsequently revised by or negotiated with the OCC and confirmed in writing, and must contain actual appropriated amounts of local matching funds. If the Board cannot include the minimum 10 percent local matching funds in the contract, it must submit a written request for a waiver of the matching funds requirement, pursuant to § 37.2-509 of the *Code of Virginia* and State Board Policy 4010, to the OCC with its contract. This requirement also applies to mid-year and end of the fiscal year performance contract reports, submitted after the ends of the 2<sup>nd</sup> and 4<sup>th</sup> quarters, and contract revisions, if either report or the contract revision reflects less than the minimum 10 percent local matching funds.

**06-30-09:** Program Accountants in the Department's Office of Grants Management (OGM) prepare Electronic Data Interchange (EDI) transfers for the *first two semi-monthly payments* (both July payments) of state and federal funds for all Boards and send the requests to the Department of Accounts, starting with the transmission on **June 30**.

**07-14-09:** Program Accountants receive authorizations to prepare EDI transfers for *payments 3 through 6* (both August and September) of state and federal funds for Boards whose contracts were received and determined to be complete by July 14 and, after OCC Administrators authorize their release, prepare and send the transfers to the Department of Accounts, starting with the transmission on **July 31**. Payments will not be released without complete contracts, as defined in item 1 of Exhibit I. For a Board whose contract is received after July 14, EDI transfers for these four semi-monthly payments will be processed within two weeks of receipt of the contract, if the contract is complete.

**07-22-09:** Department staff complete reviews by **July 22** of FY 2010 contracts received by June 19 that are complete and acceptable. Contracts received after June 19 will be processed in the order in which they are received.

1. The **Office of Grants Management** (OGM) analyzes the revenue information in the contract for conformity to Letter of Notification allocations and makes corrections and changes on the financial forms in Exhibit A of the contract.

## FY 2010 Community Services Performance Contract

2. The **Offices of Mental Health, Child and Family, Mental Retardation, and Substance Abuse Services** review and approve new service proposals and consider program issues related to existing services, based on Exhibit A.
3. The **Office of Community Contracting (OCC)** assesses contract completeness, examines maintenance of local matching funds, analyzes existing service levels for numbers of individuals served, integrates new service information, makes corrections and changes on the service forms in Exhibit A, negotiates changes in Exhibit A, and finalizes the contract for signature by the Commissioner. The OCC Administrator notifies the Board when its contract is not complete or has not been approved and advises the Board to revise and resubmit its contract.
4. The **Office of Information Technology Services (OITS)** receives CARS and Community Consumer Submission (CCS) submissions from the Boards, maintains the community database, and processes signed contracts into that database as they are received from the OCC.

**07-31-09:** Boards submit their final FY 2009 CCS consumer, type of care, and service extract files for June to the OITS in time to be received by **July 31**. Boards submit their final FY 2009 quarterly System Transformation Initiative (STI) reports in time to be received in the OCC by **July 31**.

**08-21-09:** The OITS distributes the FY 2009 end of the fiscal year performance contract report software (CARS) by **August 21**.

**08-27-09:** Boards submit their complete CCS reports for total (annual) FY 2009 CCS service unit data to the OITS in time to be received by **August 27**. This later date for final FY 2009 CCS service unit data, as opposed to July 31, 2009, allows for the inclusion of all units of services delivered in FY 2009, which might not be in local information systems in July. Since all services provided by Boards directly and contractually should be in their local information systems, service unit information in final CCS FY 2009 submissions should match service unit information in FY 2009 CARS performance contract reports. Any corrections of service information needed as a result of Departmental review of the August 27 submissions must be completed by **October 1**.

**09-15-09:** Program Accountants receive authorization to prepare EDI transfers for *payments 7 and 8* (October) and, after OCC Administrators authorize their release, prepare and send the transfers to the Department of Accounts, for transmission starting on **September 30** for payment 7 for Boards with signed contracts and that submitted their final FY 2009 CCS consumer, type of care, and service extract files and their final FY 2009 quarterly STI reports by July 31. Payments 7 and 8 will not be released without a contract signed by the Commissioner and receipt of those CCS extract files and final STI reports.

After the Commissioner signs it, the OCC sends a copy of the approved contract Exhibit A to the Board, with the signature page containing only the Commissioner's signature. The Board must review this contract, which reflects all of the changes negotiated by Department staff (see 7-22-08); complete the signature page, which documents its acceptance of these changes; and return the completed signature page to the OCC.

**10-01-09:** Boards send complete FY 2009 end of the fiscal year performance contract reports that include Uniform Cost Report information electronically in CARS to the OITS *in time to be received by October 1*. *Reports must be accompanied by the Executive Director's certification that the software error check was performed, the report contains no errors identified by the error checking software, and the data submitted in the reports is accurate.*

Boards must insure that substance abuse prevention units of service data in their CARS end of the fiscal year reports are identical to the units of service data that they submitted through the KIT Prevention System.

## FY 2010 Community Services Performance Contract

OITS staff places the reports in a temporary data base for OCC and OGM staff to access them and print paper copies of the reports. OCC Administrators review services sections of reports for correctness, completeness, consistency, and acceptability; resolve discrepancies with Boards; communicate necessary changes to Boards; and make the changes on the paper copies of the reports. OGM Program Accountants review the financial portions of reports for arithmetic accuracy, completeness, consistency, and conformity with state funding actions; resolve discrepancies with Boards; communicate necessary changes to Boards; and make the changes on the paper copies of reports.

Once OCC and OGM staffs complete their reviews and corrections of a Board's reports, the OCC administrator notifies the Board to submit new reports, reflecting only those approved changes, to OITS. Upon receipt, the process described above is repeated to ensure that the new reports contain only those changes identified by OGM and OCC staff. If the reviews document this, OCC and OGM staffs approve the reports. OITS staff then processes final report data into the Department's community database.

Late report submission, if an extension of the October 1 due date has not been obtained through the process in Exhibit I of this contract, or submitting a report without correcting errors identified by the CARS error checking program will result in a letter from the Commissioner to the Board Chairman and local government officials. See Exhibit I for additional information.

Boards submit their first CCS consumer, type of care, and service extract files for the first two months of FY 2010 to the OITS in time to be received by **October 1**.

Boards submit their annual local inpatient purchase of services surveys for FY 2009 to the OCC in time to be received by **October 1**.

**10-13-09:** Program Accountants receive authorization to prepare EDI transfers for *payments 9 and 10* (November), and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, beginning with the transmission on **October 30** for Boards whose complete FY 2009 end of the fiscal year performance contract reports were received by October 1. Payments will not be released without (1) complete reports, as defined in item 2.a. of Exhibit I of this contract, (2) complete CCS submissions (see 07-31-08 and 08-27-08) for FY 2009 and for the first two months of FY 2010, and (3) the completed signature page received from the Board (see 9-15-08).

**10-30-09:** If necessary, Boards submit new FY 2009 end of the fiscal year performance contract reports not later than **October 30** that correct errors or inaccuracies. The Department will not accept CARS report revisions after October 30. Boards submit CCS FY 2010 monthly consumer, type of care, and service extract files for September to the OITS in time to be received by **October 30**.

Boards submit their System Transformation Initiative (STI) Quarterly Status Reports for the first quarter of FY 2010 to the OCC in time to be received by October 30.

**11-13-09:** Program Accountants receive authorization to prepare EDI transfers for *payments 11 and 12* (December), and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, beginning with the transmission on **November 30** for Boards that submitted their FY 2010 first quarter STI reports by October 30.

**11-30-09:** Boards submit their CCS FY 2010 monthly consumer, type of care, and service extract files for October to the OITS in time to be received by **November 30**.

**12-01-09:** Boards that are not local government departments or included in local government audits send one copy of the audit report for the preceding fiscal year on all board-operated programs to the Department's Office of Budget and Financial Reporting. *While*

## FY 2010 Community Services Performance Contract

*the Code requires reports within 90 calendar days after the end of the fiscal year, the Auditor of Public Accounts will not penalize late submissions up to **December 1**. A management letter and plan of correction for deficiencies must be sent with this report. Boards submit a copy of C.P.A. audit reports for all contract programs for their last full fiscal year, ending on June 30, to the Office of Budget and Financial Reporting by **December 1**. For programs with different fiscal years, reports are due five months after the end of the year. Management letters and plans of correction for deficiencies must be included with these reports.*

Audit reports for Boards that are local government departments or are included in local government audits are submitted to the Auditor of Public Accounts by the local government. Under a separate cover, the Board must forward a plan of correction for any audit deficiencies that are related to or affect the Board to the Office of Budget and Financial Reporting by **December 1**.

If the Board receives an audit identifying material deficiencies or containing a disclaimer or prepares the plan of correction referenced in the preceding paragraph, the Board and the Department shall negotiate an Exhibit D that addresses the deficiencies or disclaimer and includes a proposed plan with specific timeframes to address them, and this Exhibit D and the proposed plan shall become part of this contract.

**12-15-09:** Program Accountants receive authorization to prepare EDI transfers for *payment 13* (first January), and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, beginning with the transmission on **January 4** for Boards whose FY 2009 end of the fiscal year performance contract reports have been **verified** as accurate and internally consistent, per items 2.b. through d. of Exhibit I, whose CCS submissions for FY 2009 are complete, and whose CCS monthly extracts for September and October have been received. Payments will not be released without verified reports, complete CCS submissions for FY 2009, and CCS submissions for September and October.

**12-31-09:** Boards submit their CCS FY 2010 monthly consumer, type of care, and service extract files for November to the OITS in time to be received by **December 31**.

**01-04-10:** The Department distributes the exposure draft of the FY 2011 performance contract for a 60-day public comment period pursuant to § 37.2-508 of the *Code of Virginia*.

Program Accountants receive authorization to prepare EDI transfers for *payments 14 through 16* (second January, February), and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, beginning with the transmission on **January 15** for Boards that submitted their FY 2009 C.P.A. audit, or plan of correction if the Board is a local government department or is included in a local government audit submitted to the Auditor of Public Accounts by the local government (see 12-01-08), to the Department's Office of Budget and Financial Reporting by December 1. Payments will not be released without receipt of the audit report or plan of correction.

**01-08-10:** The OITS distributes FY 2010 mid-year performance contract report software by **January 8**.

**01-31-10:** Boards submit their System Transformation Initiative (STI) Quarterly Status Reports for the second quarter of FY 2010 to the OCC in time to be received by January 31. Boards submit their CCS FY 2010 monthly consumer, type of care, and service extract files for December to the OITS in time to be received by **January 31**.

**02-16-10:** Boards send complete mid-year performance contract reports and a revised Table 1 in Exhibit H to the OITS electronically in CARS-ACCESS *within 45 calendar days after the end of the second quarter, in time to be received by February 16*. OITS staff places the

## FY 2010 Community Services Performance Contract

reports on a shared drive for OCC and OGM staff to access them. The offices review and act on the reports using the process described at 10-01-09. When reports are acceptable, OITS staff processes the data into the Department's community data base.

Program Accountants receive authorization to prepare EDI transfers for *payment 17* (first March), and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, beginning with the transmission on **February 26** for Boards that submitted their FY 2010 second quarter STI reports by January 31.

- 02-26-10:** Program Accountants receive authorization to prepare EDI transfers for *payments 18 and 19* (2<sup>nd</sup> March, 1<sup>st</sup> April) and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, starting with the transmission on **March 12** for Boards whose complete FY 2010 mid-year performance contract reports were received by February 16 and whose monthly CCS consumer, type of care, and service extract files for November and December were received by the end of the month following the month of the extract. Payments will not be released without complete reports, as defined in item 2.a. of Exhibit I, and without these monthly CCS submissions. Boards submit their CCS FY 2010 monthly consumer, type of care, and service extract files for January to the OITS in time to be received by **February 26**.
- 03-31-10:** Boards submit their CCS FY 2010 monthly consumer, type of care, and service extract files for February to the OITS in time to be received by **March 31**.
- 04-02-10:** Program Accountants receive authorization to prepare EDI transfers for *payments 20 through 22* (2<sup>nd</sup> April, May) and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, starting with the transmission on **April 16** for Boards whose FY 2010 mid-year performance contract reports have been **verified** as accurate and internally consistent, per items 2.b. through d. of Exhibit I, and whose monthly CCS consumer, type of care, and service extract files for January and February were received by the end of the month following the month of the extract. Payments will not be released without verified reports and without these monthly CCS submissions.
- 04-16-10:** The Department distributes final revised FY 2010 Letters of Notification to Boards by **April 16**, with enclosures reflecting any changes in allocations of state and federal block grant funds since the original Letters of Notification (issued May 8, 2009) for Boards to use in preparing their final FY 2010 contract revisions.
- 04-30-10:** Boards submit their System Transformation Initiative (STI) Quarterly Status Reports for the third quarter of FY 2010 to the OCC in time to be received by April 30. Boards submit their CCS FY 2010 monthly consumer, type of care, and service extract files for March to the OITS in time to be received by **April 30**.
- 05-03-10:** The Department distributes the FY 2011 Community Services Performance Contract and Letters of Notification to Boards on **May 3**, with enclosures showing tentative allocations of state and federal funds. The OITS completes distribution of the FY 2011 Community Services Performance Contract package software (CARS) to CSBs by **May 7**.

The final revised FY 2010 Performance Contract Exhibit A, prepared in accordance with instructions in this Exhibit, is due in the OITS by **May 3**. Final contract revisions must conform to final revised Letter of Notification allocations, or amounts subsequently revised by or negotiated with the Department and confirmed in writing, and must contain actual amounts of local matching funds. Revised contracts are reviewed and acted on using the process at **7-22-09**. If the Board cannot include the minimum 10 percent local matching funds in its revised contract, it must submit a written request for a waiver of the matching funds requirement, pursuant to § 37.2-509 of the *Code of Virginia* and State Board Policy 4010, to the OCC with its revised contract.

## FY 2010 Community Services Performance Contract

- 05-14-10:** Program Accountants receive authorization to prepare EDI transfers for *payment 23* (first June), and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, beginning with the transmission on **May 28** for Boards that submitted their FY 2010 third quarter STI reports by April 30.
- 05-28-10:** Boards submit their CCS FY 2010 monthly consumer, type of care, and service extract files for April to the OITS in time to be received by **May 28**.
- 06-01-10:** Program Accountants receive authorization to prepare EDI transfers for *payment 24* and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts for transmission on **June 15**, after the Department has made any final adjustments in the Board's state and federal funds allocations, for Boards whose monthly CCS consumer, type of care, and service extract files for March and April were received by the end of the month following the month of the extract. Payments will not be released without these monthly CCS submissions.
- 06-18-10:** The FY 2011 Community Services Performance Contract, submitted electronically in CARS, is due in the OITS and the paper copies of the applicable parts of the contract are due in the OCC by **June 18**.
- 06-30-10:** Boards submit their CCS FY 2010 monthly consumer, type of care, and service extract files for May to the OITS by **June 30**.
- 07-16-10:** The OITS distributes FY 2010 end of the fiscal year performance contract report software (CARS) to Boards.
- 07-30-10:** Boards submit their final CCS FY 2010 consumer, type of care, and service extract files for June to the OITS in time to be received by **July 30**.
- 08-31-10:** Boards submit their System Transformation Initiative (STI) Quarterly Status Reports for the fourth quarter of FY 2010 to the OCC in time to be received by August 31.
- Boards submit their complete Community Consumer Submission (CCS) reports for total (annual) FY 2010 service units to the OITS in time to be received by **August 31**. This later date for final FY 2010 CCS service unit data, as opposed to July 30, 2010, allows for the inclusion of all units of services delivered in FY 2010, which might not be in local information systems in July. Any corrections of service information needed as a result of Departmental review of the August 31 submissions must be completed by October 1.
- 10-01-10:** Boards send complete FY 2010 end of the fiscal year performance contract reports electronically in CARS to the OITS *in time to be received by* **October 1**.  
Boards submit their annual local inpatient purchase of services surveys for FY 2010 to the OCC in time to be received by **October 1**.

## FY 2010 Community Services Performance Contract

### Exhibit E: Performance Contract Process and Contract Revision Instructions

The Board may revise Exhibit A of its signed performance contract *only in the following circumstances*:

1. a new, previously unavailable category or subcategory of core services is implemented;
2. an existing category or subcategory of core services is totally eliminated;
3. a new program offering an existing category or subcategory of core services is implemented;
4. a program offering an existing category or subcategory of core services is eliminated;
5. new earmarked state general or federal funds are received to expand an existing service or establish a new one;
6. state general or federal block grant funds are moved between program (MH, MR, SA) areas (an exceptional situation);
7. allocations of state general, federal, or local funds change; or
8. a major error is discovered in the original contract.

*Contract revisions should not be made to reflect minor deviations from the contract level in numbers of individuals to be served within existing programs and services.*

To avoid frequent submissions of revisions, these circumstances should be consolidated and reflected in revisions that are periodically sent to the Department. A final revision must be submitted before the end of the term of this contract, as specified in this Exhibit, so that any discrepancies in state general or federal fund disbursements can be resolved and any other changes can be reflected in the final revision.

Revisions of Exhibit A must be submitted using the CARS-ACCESS software and the same procedures used for the original performance contract.

**FY 2010 Community Services Performance Contract**

**Exhibit F: Federal Compliances**

**Certification Regarding Salary: Federal Mental Health and Substance Abuse Prevention and Treatment Block Grants**

***Check One***

- \_\_\_\_\_ 1. The Board has no employees being paid totally with Federal Mental Health Block Grant funds or Federal Substance Abuse Prevention and Treatment (SAPT) Block Grant funds at a direct salary (not including fringe benefits and operating costs) in excess of \$191,300 per year.
  
- \_\_\_\_\_ 2. The following employees are being paid totally with Federal Mental Health or SAPT Block Grant funds at a direct salary (not including fringe benefits and operating costs) in excess of \$191,300 per year.

	<b><i>Name</i></b>	<b><i>Title</i></b>
1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____
5.	_____	_____
6.	_____	_____

**Assurances Regarding Equal Treatment for Faith-Based Organizations**

The Board assures that it is and will continue to be in full compliance with the applicable provisions of 45 CFR Part 54, Charitable Choice Regulations, and 45 CFR Part 87, Equal Treatment for Faith-Based Organizations Regulations, in its receipt and use of federal Mental Health Services and Substance Abuse Prevention and Treatment Block Grants and federal funds for Projects for Assistance in Transitions from Homelessness programs. Both sets of regulations prohibit discrimination against religious organizations, provide for the ability of religious organizations to maintain their religious character, and prohibit religious organizations from using federal funds to finance inherently religious activities.

## FY 2010 Community Services Performance Contract

### Exhibit F: Federal Compliances

#### Assurances Regarding Restrictions on the Use of Federal Block Grant Funds

The Board assures that it is and will continue to be in full compliance with the applicable provisions of the federal Mental Health Services Block Grant (CFDA 93.958) and the federal Substance Abuse Prevention and Treatment Block Grant (CFDA 93.959), including those contained in the General Requirements Document and the following requirements. Under no circumstances shall Federal Mental Health Services and Substance Abuse Prevention and Treatment Block Grant funds be used to:

1. provide mental health or substance abuse inpatient services<sup>1</sup>;
2. make cash payments to intended or actual recipients of services;
3. purchase or improve land, purchase, construct, or permanently improve (other than minor remodeling) any building or other facility, or purchase major medical equipment;
4. satisfy any requirement for the expenditure of non-federal funds as a condition for the receipt of federal funds;
5. provide individuals with hypodermic needles or syringes so that such individuals may use illegal drugs;
6. provide financial assistance to any entity other than a public or nonprofit private entity; or
7. provide treatment services in penal or correctional institutions of the state.

[Source: 45 CFR § 96.135]

---

Signature of Executive Director

---

Date

- <sup>1</sup> However, the Board may expend SAPT Block Grant funds for inpatient hospital substance abuse services only when all of the following conditions are met:
- a. the individual cannot be effectively treated in a community-based, non-hospital residential program;
  - b. the daily rate of payment provided to the hospital for providing services does not exceed the comparable daily rate provided by a community-based, non-hospital residential program;
  - c. a physician determines that the following conditions have been met: (1) the physician certifies that the person's primary diagnosis is substance abuse, (2) the person cannot be treated safely in a community-based, non-hospital residential program, (3) the service can reasonably be expected to improve the person's condition or level of functioning, and (4) the hospital-based substance abuse program follows national standards of substance abuse professional practice; and
  - d. the service is provided only to the extent that it is medically necessary (e.g., only for those days that the person cannot be safely treated in a community-based residential program).

[Source: 45 CFR § 96.135]

**FY 2010 Community Services Performance Contract**

**Exhibit G: Local Government Approval of the Community Services Performance Contract – Page 1**

1. Name of the Board: \_\_\_\_\_

2. City or County designated as the Board's Fiscal Agent: \_\_\_\_\_

3. Name of the Fiscal Agent's City Manager or County Administrator or Executive:

Name: \_\_\_\_\_ Title: \_\_\_\_\_

4. Name of the Fiscal Agent's County or City Treasurer or Director of Finance:

Name: \_\_\_\_\_ Title: \_\_\_\_\_

5. Name of the Fiscal Agent official to whom checks should be electronically transmitted:

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Note:** Subsection A.18 of § 37.2-504 of the *Code of Virginia* authorizes an operating community services board to receive state and federal funds directly from the Department and act as its own fiscal agent when authorized to do so by the governing body of each city or county that established it.



## FY 2010 Community Services Performance Contract

### Exhibit H: Board Membership

<b>Table 1: Board Membership Characteristics</b>			
Name of Board			
Total Appointments:	Vacancies:	* Filled Appointments:	
<b>Number of Consumers and Family Members</b> (Ref. § 37.2-100 for Definitions)			
Number of Consumers or Former Consumers		Number of Family Members of Consumers or Former Consumers	
<p>§ 37.2-501 and § 37.2-602 of the <i>Code of Virginia</i> require appointments to the Board to be broadly representative of the community. One-third of the appointments to the Board shall be identified consumers or former consumers or family members of consumers or former consumers, at least one of whom shall be a consumer receiving services.</p>			

Use Table 1 in the Performance Contract Supplement (CARS) to complete this table.

FY 2010 Community Services Performance Contract

Exhibit H: Board Membership

Board Membership List					
Name: (List Officers After Names)	Address: (With zip code)	Phone Number	Start Date of Term	End Date of Term	Term No. (1st, 2 <sup>nd</sup> , 3 <sup>rd</sup> )

Use Board of Directors Membership List in the CARS/ACCESS software to complete this table.

AP-6

55.

05-01-2009

**FY 2010 Community Services Performance Contract**

**Exhibit H: Board Organization Chart**

Attach the Board's organization chart here.

## FY 2010 Community Services Performance Contract

### Exhibit I: Administrative Performance Standards

#### Standards

The Board shall meet these administrative performance standards in submitting its performance contract, contract revisions, mid-year and end of fiscal year performance contract reports in the Community Automated Reports System (CARS), and monthly Community Consumer Submission (CCS) extracts to the Department.

1. The performance contract and any revisions submitted by the Board shall be:
  - a. complete, that is all required information is displayed in the correct places and all required Exhibits and Forms, including applicable signature pages, are included;
  - b. consistent with Letter of Notification allocations or figures subsequently revised by or negotiated with the Department;
  - c. prepared in accordance with instructions in the Department-provided CARS software and any subsequent instructional memoranda; and
  - d. received by the due dates listed in Exhibit E of this contract.

If these performance contract standards are not met, the Department may delay future semi-monthly payments until satisfactory performance is achieved.

2. The current contract term mid-year and the previous contract term end of fiscal year performance contract reports submitted by the Board shall be:
  - a. complete, that is all required information is displayed in the correct places, all required data are included in the electronic CARS application reports, and any required paper forms that gather information not included in CARS are submitted;
  - b. consistent with the state general and federal block grant funds allocations in the most recent Letter of Notification or figures subsequently revised by or negotiated with the Department;
  - c. prepared in accordance with instructions;
  - d. (i) internally consistent and arithmetically accurate: all related expenses, revenues, and service, cost, and individual data are consistent, congruent, and correct within a report, and (ii) submitted only after errors identified by the CARS error checking programs are corrected; and
  - e. received by the due dates listed in Exhibit E of this contract, unless, pursuant to the process on the next page, an extension of the due date for the end of the fiscal year report has been obtained from the Department.

If these standards are not met for mid-year reports, the Department may delay future semi-monthly payments until satisfactory performance is achieved. If the Board does not meet these standards for its end of the fiscal year reports, the Department may delay future semi-monthly payments until satisfactory performance is achieved, and the Commissioner may contact the Board and local government officials about failure to comply with both aspects of standard 2.d or to satisfy standard 2.e.

3. Monthly consumer, type of care, and service extract files must be submitted by the end of the month following the month of the extract in accordance with the CCS Extract and Design Specifications (including the current Business Rules). If the Board fails to meet the extract submission requirements in Exhibit E of this contract, the Department may delay future semi-monthly payments until satisfactory performance is achieved.
4. Substance abuse prevention units of service data in the Board's CARS end of fiscal year report must be identical to the service unit data that the Board submitted to the Department through the KIT Prevention System.

## **FY 2010 Community Services Performance Contract**

### **Exhibit I: Administrative Performance Standards**

#### **Process for Obtaining an Extension of the End of the Fiscal Year Report Due Date**

Extensions will be granted only in very exceptional situations, for example, unanticipated staff, hardware, or software problems such as an ITS failure, a key staff person's illness or accident, or an emergency that makes it impossible to meet the due date.

1. It is the responsibility of the Board to seek, negotiate, obtain, and confirm the Department's approval of an extension of the due date within the time frames specified below.
2. As soon as the Board becomes aware that its end of the fiscal year report cannot be submitted in time to be received in the Department by 5:00 p.m. on the first business day of October in the current contract term, its executive director must inform the Office of Community Contracting Director or its Community Contracting Administrator that it is requesting an extension of this due date. This request should be submitted as soon as possible and it must be in writing, describe completely the reason(s) and need for the extension, and state the date on which the Department will receive the report.
3. The written request for an extension must be received in the Office of Community Contracting no later than 5:00 p.m. on the fourth business day before the date in the second step. A facsimile transmission of the request to the number used by the Office of Community Contracting (804-371-0092), received by that time and date, is acceptable if receipt of the transmission is confirmed with a return facsimile memo from the Office no later than 5:00 p.m. on the third business day before the date in the second step. Telephone extension requests are not acceptable and will not be processed.
4. The Office of Community Contracting will act on all requests for due date extensions that are received in accordance with this process and will notify the requesting Boards by facsimile transmission of the status of their requests by 5:00 p.m. on the second business day before the date in the second step.
5. If an extension of the end of the fiscal year report due date is granted, this will not result in automatic continuation of semi-monthly payments. All of the requirements for these payments, contained in Exhibit E, must be satisfied for semi-monthly payments to continue.

## FY 2010 Community Services Performance Contract

### Exhibit J: Joint Agreements

If the Board enters into a joint agreement pursuant to § 37.2-512 or § 37.2-615 of the *Code of Virginia*, the Board shall describe the agreement in this exhibit and attach a copy of the joint agreement to this Exhibit.