

**HENRICO AREA
MENTAL HEALTH &
DEVELOPMENTAL
SERVICES**

*Serving the Counties
Of Henrico, Charles City,
and New Kent*

**FY2012
Community Services
Performance Contract**

Henrico Area Mental Health

&

Developmental Services

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Richmond, VA 23060

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FY 2012 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 Behavioral Health and Developmental Services, hereafter referred to as the Department, to ensure delivery of publicly funded services and supports to individuals with mental health or substance use disorders or intellectual disability and authorizes the Department to fund community mental health and substance abuse (behavioral health) and developmental services.
- 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, developmental, 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 19 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, developmental, and substance abuse services within a continuum of care, the Board shall function as the single point of entry into publicly funded mental health, developmental, 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, developmental, or substance abuse services.
- d. Sections 37.2-508 and 37.2-608 of the Code of Virginia and State Board Policy 4018 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 Community Services Board Administrative Requirements, 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 contained in this contract. This document is available on the Department's web site at www.dbhds.virginia.gov/OCC-default.htm.
- 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, developmental, and substance abuse services system, and the Board functions as the local authority for that system. The relationship between and roles and responsibilities of the Department and the Board are described in the 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, 2011 and ending on June 30, 2012.

4. Scope of Services

- a. **Services:** Exhibit A of this contract includes all mental health, developmental, 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. The Taxonomy is on the Department's web site at www.dbhds.virginia.gov/OCC-default.htm.
- 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 in Appendix A of the Community Services Board Administrative Requirements.
- 1.) **Coordination of Intellectual Disability Waiver Services:** The Board shall provide case management services to individuals who are receiving services under the Medicaid Intellectual Disability Home and Community-Based Waiver (ID 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/DBHDS Interagency Agreement, under which the Department preauthorizes ISARs as a delegated function from the DMAS. As part of its specific case management responsibilities for individuals receiving ID 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 *Intellectual Disability Community Services Manual*). The Board may raise issues regarding its efforts to coordinate and monitor services provided by independent vendors to the applicable funding or licensing authority, such as the Department, DMAS, or 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 ID 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 to 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. Federal Medicaid targeted case management regulations forbid using case management to restrict access to other services by Medicaid recipients or compelling Medicaid recipients to receive case management if they are receiving another service.
- 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:
- Meet PACT state hospital bed use targets;
 - Prioritize providing services to individuals with serious mental illnesses who are frequent recipients of inpatient services or are homeless;
 - Achieve and maintain a caseload of 80 individuals receiving services after two years from the date of initial funding by the Department; and
 - Participate in technical assistance provided by the Department.
- 6.) Preadmission Screening:** The Board shall provide preadmission screening services pursuant to § 37.2-505 or § 37.2-606, § 37.2-805, § 37.2-809 through § 37.2-813, § 37.2-814, and § 16.1-335 et seq. of the Code of Virginia and in accordance with the Continuity of Care Procedures in Appendix A of the Community Services Board Administrative Requirements for any person who is located in the Board's service area and may need admission for involuntary psychiatric treatment.
- 7.) Discharge Planning:** The Board shall provide discharge planning pursuant to § 37.2-505 or § 37.2-606 of the Code of Virginia and in accordance with State Board Policies 1035 and 1036, the Continuity of Care Procedures, and the *Discharge Protocols for Community Services Boards and State Hospitals* issued by the Department on 12-01-2010 or the *Admission and Discharge Protocols for Individuals with Intellectual Disabilities* issued by the Department and effective on 03-01-2011 that by agreement of the parties are incorporated into and made a part of this contract by reference.
- 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 or substance use disorder 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 or substance use disorder that it serves during the term of this contract. These populations are defined in the Core Services Taxonomy, available on the Department's web site at www.dbhds.virginia.gov/OCC-default.htm.

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- 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, Rehabilitative Services (State Plan Option), and Intellectual Disability 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.
- a. Allocations of State General and Federal Funds:** The Department shall inform the Board of its state general and federal fund allocations 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 Appropriation Act, State Board policies, and previous allocation amounts.
- b. Allocations of New Appropriations of Additional State General Funds:** The Department shall work with representatives of the Board to develop a conceptual framework for allocating new appropriations of additional state general funds. This framework shall include a methodology for identifying the minimum amount of the appropriation needed by the smallest Boards to implement the intent of the new appropriation and criteria for allocating the remainder of the appropriation using population as a significant factor.
- c. Conditions on the Use of Resources:** The Department can attach service requirements or specific conditions that it establishes for 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, developmental, and substance abuse services system mechanisms, such as the Discharge Protocols, Extraordinary Barriers to Discharge lists, and reinvestment 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

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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.

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, developmental, 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 that by agreement of the parties is hereby incorporated into and made a part of this contract by reference. This document is available on the Department's web site at www.dbhds.virginia.gov/OCC-default.htm.

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 system.

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 shall 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

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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, 2012.

- 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 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 are available on the Department's web site at www.dbhds.virginia.gov/OCC-default.htm and are hereby incorporated into and made a part of this contract by reference and by agreement of the parties;
 - 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;

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- e.) report KIT Prevention System data on all substance abuse prevention services provided by the Board, including services that are supported wholly or in part by the Substance Abuse Prevention and Treatment (SAPT) Block Grant allocation for prevention services, LINK prevention, and substance abuse prevention services funded by other grants and reported under substance abuse in the Community Automated Reporting System (CARS), and enter KIT Prevention System data by June 15 on goals, objectives, and programs approved by the community prevention planning coalition;
- 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);
- 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, monthly through the current CCS;
- b.) demographic characteristics of individuals receiving services, monthly 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, or substance use disorder, monthly 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 Mandatory Outpatient Treatment, Discharge Assistance Project, Mental Health Child and Adolescent Services Initiative, ID Waiver Services, and other Consumer Designation (900) Codes, monthly through the current CCS;
- i.) PATH reports (mid-year and at the end of the fiscal year);

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- 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 through the Virginia Association of Community Services Boards (VACSB) Data Management Committee (DMC) 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 through 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.

4.) Streamlining Reporting Requirements: The Board shall work with the Department through the VACSB 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 and to ensure they are consistent with the current CCS Extract Specifications and Core Services Taxonomy.

d. Discharge Assistance Project (DAP)

1.) Board Responsibilities: If it participates in any DAP funded by the Department, 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.

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 Community Services Board Administrative Requirements and in Exhibits F and K of this contract, as they affect the operation of this contract. Any substantive change in the CSB Administrative Requirements, 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 ensure sensitive data, including HIPAA-protected health information and other confidential data, exchanged electronically with the Department meets the requirements in the FIPS 140-2 standard. The Department will accept 128 bit encryption methods that are FIPS 140-2 compliant.

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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).
- 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, developmental, 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 developmental 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 their 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.

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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 and training center beds and provide data to the Board about individuals receiving services from its service area who are served in state hospitals and training centers as permitted under 45 CFR §§ 164.506 (c) (1), (2), and (4) and 164.512 (k) (6) (ii). The Department shall post state hospital and training center bed utilization by the Board for all types of beds (adult, geriatric, child and adolescent, and forensic) on its Internet web site.
- 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 Community Services Board Administrative Requirements as Appendix A, and the *Discharge Protocols for Community Services Boards and State Hospitals* issued by the Department on 12-01-2010 or the *Admission and Discharge Protocols for Individuals with Intellectual Disabilities* issued by the Department and effective on 03-01-2011. The Department shall assure 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, 2012.

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 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.

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- 3.) The Department shall work with the Board, state hospitals and training centers serving it, and private providers involved with the public mental health, developmental, 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, 2012. 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.
- 5.) **Continuity of Care:** In order to fulfill its responsibilities related to discharge planning, the Department shall comply with § 37.2-837 of the Code of Virginia, State Board Policy 1036, the *Discharge Protocols for Community Services Boards and State Hospitals* issued by the Department on 12-01-2010 or the *Admission and Discharge Protocols for Individuals with Intellectual Disabilities* issued by the Department and effective on 03-01-2011, and the Continuity of Care Procedures, included in the Community Services Board Administrative Requirements as Appendix A.

d. Reporting Requirements

- 1.) In accordance with State Board Policy 1037, the Department shall work with Boards through 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 Boards through 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 Boards through 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 Boards through 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.

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The Department shall comply with the Procedures for Approving CSB Surveys, Questionnaires, and Data Collection Instruments and Establishing Reporting Requirements, reissued by Commissioner James Stewart on March 4, 2011.

- 5.) The Department shall work with Boards through 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 and to ensure they are consistent with the current CCS Extract Specifications and Core Services Taxonomy.

e. Discharge Assistance Project (DAP)

- 1.) **Department Responsibilities:** If the Board participates in any DAP funded by the Department, 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).

- f. **Compliance Requirements:** The Department shall comply with all applicable state and federal statutes and regulations, including those contained or referenced in the Community Services Board Administrative Requirements and Exhibits F and K of this contract, as they affect the operation of this contract. Any substantive change in the Community Services Board Administrative Requirements, 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. The Department shall ensure that any sensitive data, including HIPAA-protected health information and other confidential data, exchanged electronically with the Board meets the requirements in the FIPS 140-2 standard. The Department will use 128 bit encryption methods that are FIPS 140-2 compliant.

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.

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- 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.
 - i. Peer Review Process:** The Department shall implement a process in collaboration with volunteer Boards to ensure that at least five percent of community mental health and substance abuse programs receive independent peer reviews annually, per federal requirements and guidelines, to review the quality and appropriateness of services. The Department shall manage this process to ensure that peer reviewers do not monitor their own programs.
- 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.

A subcontract means a written agreement between the Board and another party under which the other party performs any of the Board's obligations. Subcontracts, unless the context or situation supports a different interpretation or meaning, also may include agreements, memoranda of understanding, purchase orders, contracts, or other similar documents for the purchase of services or goods by the Board from another organization or agency or a person on behalf of an individual. If the Board hires an individual not as an employee but as a contractor (e.g., a part-time psychiatrist) to work within its programs, this does not constitute subcontracting under this section. Board payments for rent or room and board in a non-licensed facility (e.g., rent subsidies or a hotel room) do not constitute subcontracting under this section, and the provisions of this section, except for compliance with the Human Rights regulations, do not apply to the purchase of a service for one individual.

- a. Subcontracts:** The written subcontract must, as applicable and at a minimum, state the activities to be performed, the time schedule and duration, the policies and requirements, including data reporting, that are applicable to the subcontractor, the maximum amount of money for which the Board may become obligated, and the manner in which the subcontractor will be compensated, including payment time frames. Subcontracts shall not contain provisions that require a subcontractor to make payments or contributions to the Board as a condition of doing business with the Board.
- b. Subcontractor Compliance:** The Board shall require that its subcontractors comply with the requirements of all applicable federal and state statutes, regulations, policies, and reporting requirements that affect or are applicable to the services included in this contract. The Board shall require that any agency, organization, or person with which it intends to subcontract services that are included in this contract is fully qualified and possesses and maintains current all necessary licenses or certifications from the Department and other applicable regulatory entities before it enters into the subcontract and places individuals in the subcontracted service. The Board shall require all subcontractors that provide services to individuals and are licensed by the Department to maintain compliance with the Human

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Rights Regulations adopted by the State Board. The Board shall, to the greatest extent practicable, require all other subcontractors that provide services purchased by the Board for individuals and are not licensed by the Department to develop and implement policies and procedures that comply with the Board's human rights policies and procedures or to allow the Board to handle allegations of human rights violations on behalf of individuals served by the Board who are receiving services from such subcontractors. When it funds providers such as family members, neighbors, individuals receiving services, or others to serve individuals, the Board may comply with these requirements on behalf of those providers, if both parties agree.

- c. **Subcontractor Dispute Resolution:** The Board shall include contract dispute resolution procedures in its contracts with subcontractors.
- d. **Quality Improvement Activities:** The Board shall, to the extent practicable, incorporate specific language in its subcontracts regarding their quality improvement activities. Each vendor that subcontracts with the Board should have its own quality improvement system in place or should participate in the Board's quality improvement program.

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.

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- 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.
- 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

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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 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

FY 2012 Community Services Performance Contract

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, developmental, 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 previous year's implementation and consider revisions of the performance expectations and goals that address emergency 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 and local, regional, and statewide utilization management, and to state facility operations.
- c. **Data Quality and Use:** Through the VACSB Data Management Committee, 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, 2014 to improve the quality and accessibility of services and streamline and reduce reporting and documentation requirements.
- d. **Quality Improvement Measures:** Work collaboratively to develop and implement small numbers of quality improvement measures for behavioral health services and for developmental services that (1) use existing data to the greatest extent possible, (2) reflect and support the Vision Statement in State Board Policy 1036 and initiatives in *Creating Opportunities: A Plan for Advancing Community-Focused Services in Virginia*, (3) provide regular quarterly feedback directly to individual Boards and state facilities for their use in improving services, and (4) are posted on the Department's web site for public accessibility.

FY 2012 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 Behavioral Health
And Developmental Services**

Board

By: _____

By: _____

Name: James W. Stewart, III
Title: Commissioner

Name: _____
Title: Board Chairperson

Date: _____

Date: _____

By: _____

Name: _____
Title: Board Executive Director

Date: _____

Exhibit A: Resources and Services

Henrico Area Mental Health & Developmental Services

Consolidated Budget (Pages AF-3 through AF-7)

Revenue Source	Mental Health Services	Developmental Services	Substance Abuse Services	TOTAL
State Funds	4,948,393	56,922	1,074,848	6,080,163
Local Matching Funds	6,874,427	7,281,985	486,248	14,642,660
Total Fees	3,944,613	4,002,328	984,083	8,931,024
Transfer Fees In/(Out)	0	0	0	0
Federal Funds	541,380	0	1,064,866	1,606,246
Other Funds	7,000	344,400	0	351,400
State Retained Earnings	0	0	0	0
Federal Retained Earnings	0		0	0
Other Retained Earnings	0	0	0	0
Subtotal Funds	16,315,813	11,685,635	3,610,045	31,611,493
State Funds One-Time	0		0	0
Federal Funds One-Time	0		0	0
Subtotal One -Time Funds	0	0	0	0
TOTAL ALL FUNDS	16,315,813	11,685,635	3,610,045	31,611,493
Cost for MH/DV/SA	13,685,789	11,399,251	3,610,045	28,695,085
Cost for Services Available Outside of a Program Area (SAOPA) (AP-4)				3,469,704
Total Cost				32,164,789

Local Match Computation	
Total State Funds	6,080,163
Total Local Matching Funds	14,642,660
Total State and Local Funds	20,722,823
Total Local Match % (Local/Total State + Local)	70.66%

Administrative Expenses	
Total Admin. Expenses	2,360,811
Total Expenses	32,164,789
Administrative Percent	7.34%

*FY2012 Community Services Performance Contract
 Exhibit A: Resources and Services
 Henrico Area Mental Health & Developmental Services
 Financial Comments*

Comment1	MH Other Funds is Lakeside Center Snack Bar revenue.
Comment2	MH Regional Transfer in is Acute Care \$ 607,062; MH Reinvestment \$ 181,245
Comment3	MH Crisis Stabilization \$ 124,019 and MH Recovery \$ 219,992
Comment4	Expenses included on services pages for regional programs:
Comment5	\$ 30,580 Rubicon Crisis Stabilization in MH510
Comment6	\$ 213,933 Regional DAP in MH 320
Comment7	\$ 94,430 Rubicon HOPE in MH 521
Comment8	\$ 206,753 CSU Crisis Stabilization in MH 510
Comment9	\$ 7,600 Jail Team in MH 310
Comment10	
Comment11	
Comment12	
Comment13	
Comment14	
Comment15	
Comment16	
Comment17	
Comment18	
Comment19	
Comment20	
Comment21	
Comment22	
Comment23	
Comment24	
Comment25	

FY 2012 Performance Contract Financial Summary

Exhibit A: Resources and Services

Mental Health (MH) Services

Henrico Area Mental Health & Developmental Services

Funding Sources	<u>Funds</u>
<u>FEES</u>	
MH Medicaid Fees	2,955,954
MH Fees: Other	988,659
Total MH Fees	3,944,613
MH Transfer Fees In/(Out)	0
MH NET FEES	3,944,613
<u>FEDERAL FUNDS</u>	
MH FBG SED Child & Adolescent (93.958)	51,302
MH FBG SMI (93.958)	90,078
MH FBG SMI PACT (93.958)	400,000
MH FBG SMI SWVMH Board (93.958)	0
Total MH FBG SMI Funds (Adult)	490,078
MH FBG Geriatrics (93.958)	0
MH FBG Consumer Services (93.958)	0
Total MH FBG Adult Funds	490,078
MH Federal PATH (93.150)	0
MH Other Federal - DBHDS	0
MH Other Federal - CSB	0
TOTAL MH FEDERAL FUNDS	541,380
<u>STATE FUNDS</u>	
<u>Regional Funds</u>	
MH Acute Care (Fiscal Agent)	0
MH Regional DAP (Fiscal Agent)	0
MH Crisis Stabilization (Fiscal Agent)	0
MH Recovery (Fiscal Agent)	0
MH Other Regional (Fiscal Agent)	0
MH Total Regional Transfer In/(Out)	1,132,318
Total MH Regional Funds	1,132,318
<u>Children's Funds</u>	
MH Child & Adolescent Services Initiative	10,000
MH Children's Outpatient	75,000
Total Restricted MH Children's Funds	85,000
MH State Children's Services	25,000
MH Juvenile Detention	111,724
MH Demo Proj-System of Care (Child)	0
Total Unrestricted MH Children's Funds	136,724
Total MH Children's Funds	221,724

FY 2012 Performance Contract Financial Summary
Exhibit A: Resources and Services
Mental Health (MH) Services
Henrico Area Mental Health & Developmental Services

Funding Sources	<u>Funds</u>
<u>Other State Funds</u>	
MH Law Reform	397,790
MH Pharmacy - Medication Supports	482,735
MH Jail Diversion/Service	75,000
Total Restricted MH Other State Funds	955,525
MH State Funds	2,338,826
MH State Regional Deaf Services	0
MH State NGRI Funds	0
MH PACT	300,000
MH Discharge Assistance (DAP)	0
MH Geriatric Services	0
Total Unrestricted MH Other State Funds	2,638,826
Total MH Other State Funds	3,594,351
TOTAL MH STATE FUNDS	4,948,393
<u>OTHER FUNDS</u>	
MH Other Funds	7,000
MH Federal Retained Earnings	0
MH State Retained Earnings	0
MH State Retained Earnings - Regional Prog	0
MH Other Retained Earnings	0
TOTAL MH OTHER FUNDS	7,000
<u>LOCAL MATCHING FUNDS</u>	
MH In-Kind	0
MH Contributions	0
MH Local Other	0
MH Local Government	6,874,427
TOTAL MH LOCAL FUNDS	6,874,427
TOTAL MH FUNDS	16,315,813
<u>ONE-TIME FUNDS</u>	
MH FBG SMI (93.958)	0
MH FBG SED Child & Adolescent (93.958)	0
MH State Funds	0
TOTAL MH ONE-TIME FUNDS	0
TOTAL All MH FUNDS	16,315,813

FY 2012 Performance Contract Financial Summary
Exhibit A: Resources and Services
Developmental (DV) Services
Henrico Area Mental Health & Developmental Services

Funding Sources	<u>Funds</u>
<u>FEES</u>	
DV Medicaid Fees	3,616,880
DV Medicaid ICF/MR	0
DV Fees: Other	385,448
Total DV Fees	4,002,328
DV Transfer Fees In/(Out)	0
DV NET FEES	4,002,328
<u>FEDERAL FUNDS</u>	
DV Other Federal - DBHDS	0
DV Other Federal - CSB	0
TOTAL DV FEDERAL FUNDS	0
<u>STATE FUNDS</u>	
DV State Funds	22,922
DV OBRA	34,000
Total DV Unrestricted State Funds	56,922
DV Crisis Stabilization (Restricted)	0
TOTAL DV STATE FUNDS	56,922
<u>OTHER FUNDS</u>	
DV Workshop Sales	344,400
DV Other Funds	0
DV State Retained Earnings	0
DV Other Retained Earnings	0
TOTAL DV OTHER FUNDS	344,400
<u>LOCAL MATCHING FUNDS</u>	
DV In-Kind	0
DV Contributions	0
DV Local Other	0
DV Local Government	7,281,985
TOTAL DV LOCAL FUNDS	7,281,985
TOTAL DV FUNDS	11,685,635
<u>ONE-TIME FUNDS</u>	
TOTAL ALL DV FUNDS	11,685,635

FY 2012 Performance Contract Financial Summary
Exhibit A: Resources and Services
Substance Abuse (SA) Services
Henrico Area Mental Health & Developmental Services

Funding Sources	<u>Funds</u>
<u>FEES</u>	
SA Medicaid Fees	30,498
SA Fees: Other	953,585
Total SA Fees	<u>984,083</u>
SA Transfer Fees In/(Out)	0
SA NET FEES	<u>984,083</u>
<u>FEDERAL FUNDS</u>	
SA FBG Alcohol/Drug Trmt (93.959)	729,329
SA FBG SARPOS (93.959)	56,948
SA FBG Jail Services (93.959)	0
SA FBG Co-Occurring (93.959)	0
SA FBG New Directions (93.959)	0
SA FBG Recovery (93.959)	0
Total SA FBG A/D Trmt Funds	<u>786,277</u>
SA FBG Women (Includes LINK at 6 CSBs) (93.959)	38,294
SA FBG Prevention-Women (LINK) (93.959)	0
Total SA FBG Women Funds	38,294
SA FBG Prevention (93.959)	196,317
SA FBG Prev-Strengthening Families (93.959)	43,978
Total SA FBG Prevention Funds	<u>240,295</u>
SA Fed "Returning to Work" (93.243)	0
SA Other Federal - DBHDS	0
SA Other Federal - CSB	0
TOTAL SA FEDERAL FUNDS	<u>1,064,866</u>
<u>STATE FUNDS</u>	
<u>Regional Funds</u>	
SA Facility Reinvestment (Fiscal Agent)	0
SA Facility Reinvestment Transfer In/(Out)	0
SA Net Facility Reinvestment Funds	<u>0</u>
<u>Other State Funds</u>	
SA Women (Includes LINK at 4 CSBs) - Restricted	1,400
SA State Funds	917,082
SA Region V Residential	0
SA Jail Services/Juv Detention	69,059
SA MAT - Medically Assisted Treatment	0
SA SARPOS	56,578
SA Recovery	0
SA HIV/AIDS	30,729
Total Unrestricted SA Other State Funds	<u>1,073,448</u>
Total SA Other Funds	1,074,848
TOTAL SA STATE FUNDS	<u>1,074,848</u>

FY 2012 Performance Contract Financial Summary
Exhibit A: Resources and Services
Substance Abuse (SA) Services
Henrico Area Mental Health & Developmental Services

Funding Sources	<u>Funds</u>
<u>OTHER FUNDS</u>	
SA Other Funds	0
SA Federal Retained Earnings	0
SA State Retained Earnings	0
SA State Retained Earnings-Regional Prog	0
SA Other Retained Earnings	0
TOTAL SA OTHER FUNDS	0
<u>LOCAL MATCHING FUNDS</u>	
SA In-Kind	0
SA Contributions	0
SA Local Other	0
SA Local Government	486,248
TOTAL SA LOCAL FUNDS	486,248
TOTAL SA FUNDS	3,610,045
<u>ONE TIME FUNDS</u>	
SA FBG Alcohol/Drug Trmt (93.959)	0
SA FBG Women (includes LINK at 6 CSBs) (93.959)	0
SA FBG Prevention (93.959)	0
SA State Funds	0
TOTAL ONE TIME SA FUNDS	0
TOTAL ALL SA FUNDS	3,610,045

FY 2012 Community Services Performance Contract

Exhibit A: Resources and Services

Local Government Tax Appropriations

Henrico Area Mental Health & Developmental Services

City/County	Tax Appropriation
New Kent County	97,645
Charles City County	110,660
Henrico County	14,434,355
Total Local Government Tax Funds:	14,642,660

FY 2012 Community Services Performance Contract

Exhibit A: Resources and Services

Supplemental Information

Reconciliation of Projected Revenues and (Core Services) Costs by Program Area

Henrico Area Mental Health & Developmental Services

	MH Services	DV Services	SA Services	SAOPA *	Total
Total All Funds (Page AF-1)	16,315,813	11,685,635	3,610,045	[REDACTED]	31,611,493
Cost for MH, DV, SA, and SAOPA Services (Page AF-1)	13,685,789	11,399,251	3,610,045	3,469,704	32,164,789
Difference	2,630,024	286,384	0	-3,469,704	-553,296

* Services Available Outside of a Program Area

Difference results from

Other: 553,296

Explanation of Other in Table Above:

Expenses paid by RBHA for regional programs on behalf of Henrico Area \$ 213,933 DAP; \$36,876 MH Reinvestment; \$ 206,753 Crisis Stabilization; \$ 1,304 Jail Diversion; \$ 94,430 SA FBG New Directions.
--

FY 2012 Community Services Performance Contract
Exhibit A: Resources and Services
CSB 100 Mental Health Services
Henrico Area Mental Health & Developmental Services

Report for Form 11

Core Services Code	Costs
250 Acute Psychiatric or SA Inpatient Services	\$657,398
310 Outpatient Services	\$3,999,355
350 Assertive Community Treatment	\$2,670,824
320 Case Management Services	\$3,289,375
425 Rehabilitation or Habilitation	\$1,094,186
460 Individual Supported Employment	\$273,546
510 Residential Crisis Stabilization Services	\$237,333
521 Intensive Residential Services	\$94,430
551 Supervised Residential Services	\$339,052
581 Supportive Residential Services	\$1,030,290
Total Costs	\$13,685,789

Form 11A: Pharmacy Medication Supports	Number of Consumers
801 Facility Pharmacy Medication Supports Consumers	100
802 Community Pharmacy Medication Supports Consumers	90

FY 2012 Community Services Performance Contract
Exhibit A: Resources and Services
CSB 200 Developmental Services
Henrico Area Mental Health & Developmental Services

Report for Form 21

Core Services Code	Costs
310 Outpatient Services	\$372,050
320 Case Management Services	\$2,681,406
425 Rehabilitation or Habilitation	\$2,722,410
430 Sheltered Employment	\$1,206,284
465 Group Supported Employment	\$1,164,723
460 Individual Supported Employment	\$1,136,564
521 Intensive Residential Services	\$2,115,814
Total Costs	\$11,399,251

FY 2012 Community Services Performance Contract
Exhibit A: Resources and Services
CSB 300 Substance Abuse Services
Henrico Area Mental Health & Developmental Services

Report for Form 31

Core Services Code	Costs
260 Community-Based SA Medical Detox Inpatient (Hospital) Services	\$21,080
310 Outpatient Services	\$1,993,423
335 Medication Assisted Treatment	\$81,667
521 Intensive Residential Services	\$643,949
610 Prevention Services	\$869,926
Total Costs	\$3,610,045

FY 2012 Community Services Performance Contract
Exhibit A: Resources and Services
CSB 400 Services Available Outside of a Program Area
Henrico Area Mental Health & Developmental Services

Report for Form 01

Core Services Code	Costs
100 Emergency Services	\$2,315,983
390 Consumer Monitoring Services	\$286,384
720 Assessment and Evaluation Services	\$867,337
Total Costs	\$3,469,704

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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, developmental, 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 use 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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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 Performance Expectations and Goals. If the Board cannot provide 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.

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

A. General Performance Goal and Expectation Affirmations

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. Individuals with co-occurring mental health and substance use disorders are welcomed and engaged promptly in an integrated screening and assessment process to determine the best response or disposition for continuing care. The Board shall provide this protocol to the Department upon request. During its inspections, the Department's Licensing Office may examine this protocol to verify this affirmation as it reviews the Board's policies and procedures.
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 has in place a protocol to engage those individuals in appropriate Board services and supports upon their return to the community. The Board monitors and strives 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 are planned as co-occurring capable and promote successful engagement of these individuals in continuing integrated care. The Board shall provide this protocol to the Department upon request. During its inspections, the Department's Licensing Office may examine this protocol to verify this affirmation as it reviews the Board's policies and procedures.

B. Emergency Services Performance Expectation Affirmations

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 may verify this affirmation as it reviews personnel records.
2. Every preadmission screening evaluator employed by the Board has completed the certification program approved by the Department before performing preadmission screenings, and documentation of satisfactory completion is available for review. During its inspections, the Department's Licensing Office may verify this affirmation as it reviews personnel or training records or documentation.

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3. Every preadmission screening evaluator is 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, attends 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 participates 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.
5. In preparing preadmission screening reports, the preadmission screening evaluator considers 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 other 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 may 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.
6. If the emergency services intervention occurs in a hospital or clinic setting, the 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 may 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.

C. Emergency Services Performance Goal and Expectation Affirmations

1. Telephone access to clinicians employed or contracted by the Board to provide emergency services is available 24 hours per day, seven days per week. Initial telephone responders in emergency services triage calls and, for callers with emergency needs, are 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 is completed by a certified preadmission screening evaluator who is 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 at www.dbhds.virginia.gov/OCC-default.htm.

D. Mental Health and Substance Abuse Case Management Services Performance Expectation Affirmations

1. Case managers employed or contracted by the Board meet the knowledge, skills, and abilities qualifications in the Case Management Licensing Regulations, 12 VAC 35-105-

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1250. During its inspections, the Department's Licensing Office may verify this affirmation as it reviews personnel records.
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 shall provide a copy this procedure to the Department upon request. During its inspections, the Department's Licensing Office may verify this affirmation as it reviews services records and by examining the procedure.
 3. Case managers are 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, 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 ISP is 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 may verify this affirmation as it reviews services records, including records from a sample identified by the Board for individuals who discontinued case management services.
 5. The Board has policies and procedures in effect to ensure 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 may verify this affirmation as it examines the Board's policies and procedures.
 6. 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 is initiated at first contact and completed, within 14 but in no case more than 30 calendar days of referral, and 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. A copy of an advance directive, a wellness recovery action plan, or a similar expression of an individual's treatment preferences, if available, is included in the clinical record. During its inspections, the Department's Licensing Office may verify these affirmations as it reviews services records.
 7. 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 takes appropriate actions when possible to reduce that rate and address those reasons. The Board shall provide a copy of this procedure to the Department upon request. During its inspections, the Department's Licensing Office may examine this procedure to verify this affirmation.

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II. Co-Occurring Mental Health and Substance Use Disorders Performance Expectation Affirmations

- A. The Board ensures that, as part of its regular intake processes, every adolescent (ages 12 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, staff from the Department's Office of Substance Abuse Services may examine a sample of service records to verify this affirmation.
- B. If the Board has not conducted an organizational self-assessment of service integration in the last three years using the COMPASS, COMPASSEZ, or DDCAT/DDMHT tool as part of the Virginia System Integration Project (VASIP) process, the Board conducts an organizational self-assessment during the term of this contract of service integration using one of these tools and uses the results of this self-assessment as part of its continuous quality improvement plan and process. The Board shall 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.
- C. In the Board's information system, individuals are 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). 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. Data Quality Performance Expectation Affirmations

- A. The Board submits 100 percent of its monthly 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, the CCS 3 Extract Specifications - Version 7, and the current CCS 3 Business Rules, a submission for each month by the end of the following month for which the extracts are due. The Department will monitor this measure quarterly by analyzing the Board's CCS submissions and may negotiate an Exhibit D with the Board if it fails to meet this goal for more than two months in a quarter.
- B. The Board monitors 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 develops and implements 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.
- C. The Board ensures 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 identifies situations where data is missing or incomplete and implements a data quality improvement plan to increase the completeness, accuracy, and quality of CCS data that it collects and

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reports. The Board monitors 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 develops and implements 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.

IV. Employment and Housing Opportunities Expectation Affirmations

- A. The Board reviews and revises, if necessary, its joint written agreement, required by subdivision A.12 of § 37.2-504 or subsection 14 of § 37.2-605 of the Code of Virginia, with the Department of Rehabilitative Services (DRS) regional office to ensure the availability of employment services and specify DRS services to be provided to individuals receiving services from the Board. The Board works with employment service organizations (ESOs) where they exist to support the availability of employment services and identify ESO services available to individuals receiving services from the Board.
- B. The Board ensures that its staff asks individuals currently receiving services from the Board if they want to work and when appropriate and as practicable engages them in seeking employment services in a timely manner.
- C. The Board reviews and revises, if necessary, its joint written agreements, required by subdivision 12 of subsection A of § 37.2-504 or subsection 14 of § 37.2-605 of the Code of Virginia, with public housing agencies, where they exist, and works with planning district commissions, local governments, private developers, and other stakeholders to maximize federal, state, and local resources for the development of and access to affordable housing and appropriate supports for individuals receiving services from the Board.
- D. The Board works with the Department through the VACSB Data Management Committee, at the direction of the VACSB Executive Directors Forum, to collaboratively establish clear employment and stable housing policy and outcome goals and develop and monitor key housing and employment indicators.

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, and 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

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CCS data about their admission to the mental health program area and dates of service after discharge from the hospital or unit.

- 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 (e.g., a persistent fatal error rate of more than 10 percent of its CCS consumer records) 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 this Exhibit and agrees to monitor and collect data and report on the measures in section V of this Exhibit and 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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Exhibit B Required Measures Report			
Date of Report:		Quarter: <input type="checkbox"/> First <input type="checkbox"/> Second <input type="checkbox"/> Third <input type="checkbox"/> Fourth Quarter	
CSB Name:		Contact Name:	
Contact Telephone Number:		E-Mail Address:	
Exh. B	Expectation or Goal Measure	Data	Data Reported
I.A.2	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.		Number of individuals who kept scheduled face-to-face (non-emergency) service visits within seven business 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 st number ÷ by 2 nd number x 100.
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 st number ÷ by 2 nd number x 100.

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Exhibit C: Statewide Individual Outcome and Board Performance Measures

Measure	Access for Pregnant Women
Program Area	Substance Abuse Services Only
Source of Requirement	SAPT Block Grant
Type of Measure	Aggregate
Data Needed For Measure	Number of Pregnant Women Requesting Service
	Number of Pregnant Women Receiving Services Within 48 Hours
Reporting Frequency	Annually
Reporting Mechanism	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. ID 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, 2012. 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.

The Board and the Department agree to use the Web Site CSB and State Facility Accountability Measures, available on the Department's web site at www.dbhds.virginia.gov/WAM.htm, to monitor outcome and performance measures for CSBs and state facilities.

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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 Behavioral Health and Developmental Services

Board

By: _____

Name: James W. Stewart, III
Title: Commissioner

Date: _____

By: _____

Name: _____
Title: Chairperson of the Board

Date: _____

By: _____

Name: _____
Title: Board Executive Director

Date: _____

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Exhibit E: Performance Contract Process and Contract Revision Instructions

05-06-11: The Department distributes the FY 2012 Performance Contract to Boards electronically. The Department distributes the FY 2012 Letters of Notification to Boards 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 2012 Community Services Performance Contract package software in the Community Automated Reporting System (CARS) to CSBs.

06-17-11: Exhibit A and other parts of the FY 2012 Community Services Performance Contract, submitted electronically in CARS, are due in the OITS in time to be received by this date. 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 this date: 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 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 2nd and 4th quarters, and contract revisions, if either report or the contract revision reflects less than the minimum 10 percent local matching funds.

06-30-11: CSB Financial Analysts in the Department's Office of Fiscal and Grants Management 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.

07-15-11: CSB Financial Analysts 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 this date and, after the OCC Administrator authorizes their release, prepare and send the transfers to the Department of Accounts. Payments will not be released without complete contracts, as defined in item 1 of Exhibit I. For a Board whose contract is received after this date, EDI transfers for these four semi-monthly payments will be processed within two weeks of receipt of the contract, if the contract is complete.

07-22-11: Department staff complete reviews by this date of FY 2012 contracts received by the due date that are complete and acceptable. Contracts received after that date will be processed in the order in which they are received.

1. The **Office of Fiscal and Grants Management (OFGM)** 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 2012 Community Services Performance Contract

2. The **Offices of Mental Health, Child and Family, Developmental, 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, 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.

07-29-11: Boards submit their final FY 2010 CCS consumer, type of care, and service extract files for June to the OITS in time to be received by the end of July.

08-05-11: The OITS distributes the FY 2011 end of the fiscal year performance contract report software (CARS).

08-26-11: Boards submit their complete CCS reports for total (annual) FY 2011 CCS service unit data to the OITS in time to be received by this date. This later date for final FY 2011 CCS service unit data allows for the inclusion of all units of services delivered in FY 2011, which might not be in local information systems in July.

08-31-11: Boards submit their CCS FY 2012 monthly consumer, type of care, and service extract files for July to the OITS in time to be received by the end of August.

09-16-11: CSB Financial Analysts receive authorization to prepare EDI transfers for *payments 7 and 8* (October) and, after the OCC Administrator authorizes their release, prepare and send the transfers to the Department of Accounts for payment 7 for Boards with signed contracts and that submitted their final FY 2011 CCS consumer, type of care, and service extract files by August 26. Payments 7 and 8 will not be released without a contract signed by the Commissioner and receipt of those CCS extract files.

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; complete the signature page, which documents its acceptance of these changes; and return the completed signature page to the OCC Administrator.

09-16-11: Boards send complete FY 2011 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 this date.

OITS staff places the reports in a temporary data base for OCC and OFGM staff to access them and print paper copies of the reports. The OCC Administrator reviews services sections of reports for correctness, completeness, consistency, and acceptability; resolves discrepancies with Boards; communicates necessary changes to Boards; and makes the changes on the paper copies of the reports. CSB Financial Analysts 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 OFGM 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

FY 2012 Community Services Performance Contract

repeated to ensure the new reports contain only those changes identified by OFGM and OCC staff. If the reviews document this, OCC and OFGM staffs approve the reports, and OITS staff processes final report data into the Department's community database.

Late report submission, if an extension of the 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 may result in a letter from the Commissioner to the Board Chairman and local government officials. See Exhibit I for additional information.

09-30-11: Boards submit their CCS FY 2012 monthly consumer, type of care, and service extract files for August to the OITS in time to be received by the end of September.

10-03-11: 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 by this date. 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 this date. For programs with different fiscal years, reports are due three months after the end of the year. Management letters and plans of correction for deficiencies must be included with these reports.

10-03-11: 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 this date. Also, in order to satisfy federal block grant sub-recipient monitoring requirements imposed on the Department under the Single Audit Act, a Board that is a local government department or is included in its local government audit shall contract with the same CPA audit firm that audits its locality to perform testing related to the federal Mental Health Services and Substance Abuse Prevention and Treatment Block Grants. Alternatively, the local government's internal audit department can work with the Board and the Department to provide the necessary sub-recipient monitoring information.

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.

10-03-11: If necessary, Boards submit new FY 2011 end of the fiscal year performance contract reports not later than this date that correct errors or inaccuracies. The Department will not accept CARS report revisions after this date.

10-13-11: CSB Financial Analysts receive authorization to prepare EDI transfers for *payments 9 and 10* (November), and, after the OCC Administrator authorizes their release, prepare and send these transfers to the Department of Accounts for Boards whose complete FY 2011 end of the fiscal year performance contract reports were received by the due date. 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 for FY 2011 and for the first two months of FY 2012, and (3) the completed signature page received from the Board.

10-31-11: Boards submit CCS FY 2012 monthly consumer, type of care, and service extract files for September to the OITS in time to be received by the end of October.

FY 2012 Community Services Performance Contract

- 11-10-11:** CSB Financial Analysts receive authorization to prepare EDI transfers for *payments 11 and 12* (December), and, after the OCC Administrator authorizes their release, prepare and send these transfers to the Department of Accounts. Payments will not be released without receipt of September CCS submissions.
- 11-30-11:** Boards submit their CCS FY 2012 monthly consumer, type of care, and service extract files for October to the OITS in time to be received by the end of November.
- 12-15-11:** CSB Financial Analysts receive authorization to prepare EDI transfers for *payment 13* (first January), and, after the OCC Administrator authorizes their release, prepare and send these transfers to the Department of Accounts for Boards whose FY 2011 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, and whose CCS monthly extracts for October have been received. Payments will not be released without verified reports and CCS submissions for October.
- 12-30-11:** Boards submit their CCS FY 2012 monthly consumer, type of care, and service extract files for November to the OITS in time to be received by the end of December.
- 01-02-12:** The Department distributes the exposure draft of the FY 2013 performance contract for a 60-day public comment period pursuant to § 37.2-508 of the Code of Virginia.
- CSB Financial Analysts receive authorization to prepare EDI transfers for *payments 14 through 16* (second January, February), and, after the OCC Administrator authorizes their release, prepare and send these transfers to the Department of Accounts for Boards whose monthly CCS consumer, type of care, and service extract files for November were received by the end of December. Payments will not be released without receipt of these monthly CCS submissions.
- 01-13-12:** The OITS distributes FY 2012 mid-year performance contract report software.
- 01-31-12:** Boards submit their CCS FY 2012 monthly consumer, type of care, and service extract files for December to the OITS in time to be received by the end of January.
- 02-16-12:** Boards send complete mid-year performance contract reports and a revised Table 1 in Exhibit H to the OITS electronically in CARS within 45 calendar days after the end of the second quarter, in time to be received by this date. OITS staff places the reports on a shared drive for OCC and OFGM staff to access them. The offices review and act on the reports using the process described for the end of the fiscal year reports. When reports are acceptable, OITS staff processes the data into the Department's community data base.
- CSB Financial Analysts receive authorization to prepare EDI transfers for *payment 17* (first March), and, after the OCC Administrator authorizes their release, prepare and send these transfers to the Department of Accounts for Boards whose monthly CCS consumer, type of care, and service extract files for December were received by the end of January. Payments will not be released without these monthly CCS submissions.
- 02-24-12:** CSB Financial Analysts receive authorization to prepare EDI transfers for *payments 18 and 19* (2nd March, 1st April) and, after the OCC Administrator authorizes their release, prepare and send these transfers to the Department of Accounts for Boards whose complete FY 2012 mid-year performance contract reports were received by the due date. Payments will not be released without complete reports, as defined in item 2.a. of Exhibit I. Boards submit their CCS FY 2012 monthly consumer, type of care, and service extract files for January to the OITS in time to be received by the end of February.
- 03-30-12:** Boards submit their CCS FY 2012 monthly consumer, type of care, and service extract files for February to the OITS in time to be received by the end of March.

FY 2012 Community Services Performance Contract

- 04-02-12:** CSB Financial Analysts receive authorization to prepare EDI transfers for *payments 20 through 22* (2nd April, May) and, after the OCC Administrator authorizes their release, prepare and send these transfers to the Department of Accounts for Boards whose FY 2011 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.
- 04-16-12:** The Department distributes final revised FY 2012 Letters of Notification to Boards with enclosures reflecting any changes in allocations of state and federal block grant funds since the original Letters of Notification for Boards to use in preparing their final FY 2012 contract revisions.
- 04-30-12:** Boards submit their CCS FY 2012 monthly consumer, type of care, and service extract files for March to the OITS in time to be received by the end of April.
- 05-04-12:** The Department distributes the FY 2013 Community Services Performance Contract and Letters of Notification to Boards with enclosures showing tentative allocations of state and federal funds, and the OITS completes distribution of the FY 2013 Community Services Performance Contract package software (CARS) to CSBs.
- 05-04-12:** The final revised FY 2012 Performance Contract Exhibit A, prepared in accordance with instructions in this Exhibit, is due in the OITS by this date. 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 for the original contract. 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.
- 05-14-12:** CSB Financial Analysts receive authorization to prepare EDI transfers for *payment 23* (first June), and, after the OCC Administrator authorizes their release, prepare and send these transfers to the Department of Accounts for Boards whose monthly CCS consumer, type of care, and service extract files for March were received by the end of April. Payments will not be released without these monthly CCS submissions.
- 05-28-12:** Boards submit their CCS FY 2012 monthly consumer, type of care, and service extract files for April to the OITS in time to be received by the end of May.
- 06-01-12:** CSB Financial Analysts receive authorization to prepare EDI transfers for *payment 24* and, after the OCC Administrator authorizes their release, prepare and send these transfers to the Department of Accounts, 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 April were received by the end of May. Payments will not be released without these monthly CCS submissions.
- 06-18-12:** The FY 2013 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 this date.
- 06-29-12:** Boards submit their CCS FY 2012 monthly consumer, type of care, and service extract files for May to the OITS by the end of June.
- 07-31-12:** Boards submit their final CCS FY 2012 consumer, type of care, and service extract files for June to the OITS in time to be received by the end of July.
- 08-10-12:** The OITS distributes FY 2012 end of the fiscal year performance contract report software (CARS) to Boards.

FY 2012 Community Services Performance Contract

08-24-12: Boards submit their complete Community Consumer Submission (CCS) reports for total (annual) FY 2012 service units to the OITS in time to be received by this date. This later date for final FY 2012 CCS service unit data, allows for the inclusion of all units of services delivered in FY 2012, which might not be in local information systems in July.

09-14-12: Boards send complete FY 2012 end of the fiscal year performance contract reports electronically in CARS to the OITS in time to be received by this date.

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, DV, SA, or SAOPA) 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.

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, any of the preceding circumstances can be addressed, and any other changes can be reflected in the final revision.

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

FY 2012 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 annual salary (not including fringe benefits and operating costs) in excess of Level 1 of the federal Executive Schedule.

- 2. The following employees are being paid totally with Federal Mental Health or SAPT Block Grant funds at a direct annual salary (not including fringe benefits and operating costs) in excess of Level 1 of the federal Executive Schedule.

	Name	Title
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 2012 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 Community Services Board Administrative Requirements 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 services¹;
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 Board Executive Director

Date

- ¹ 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 2012 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, title, and address of the Fiscal Agent official or the name and address of the Board if it acts as its own fiscal agent to whom checks should be electronically transmitted:

Name: _____ Title: _____

Address: _____

This information should agree with information at the top of the payment document emailed to the Board. Examples: Mr. Joe Doe, Treasurer, P.O. Box 200, Winchester, VA 22501 or Valley CSB, 85 Sanger Lane, Staunton, VA 24401.

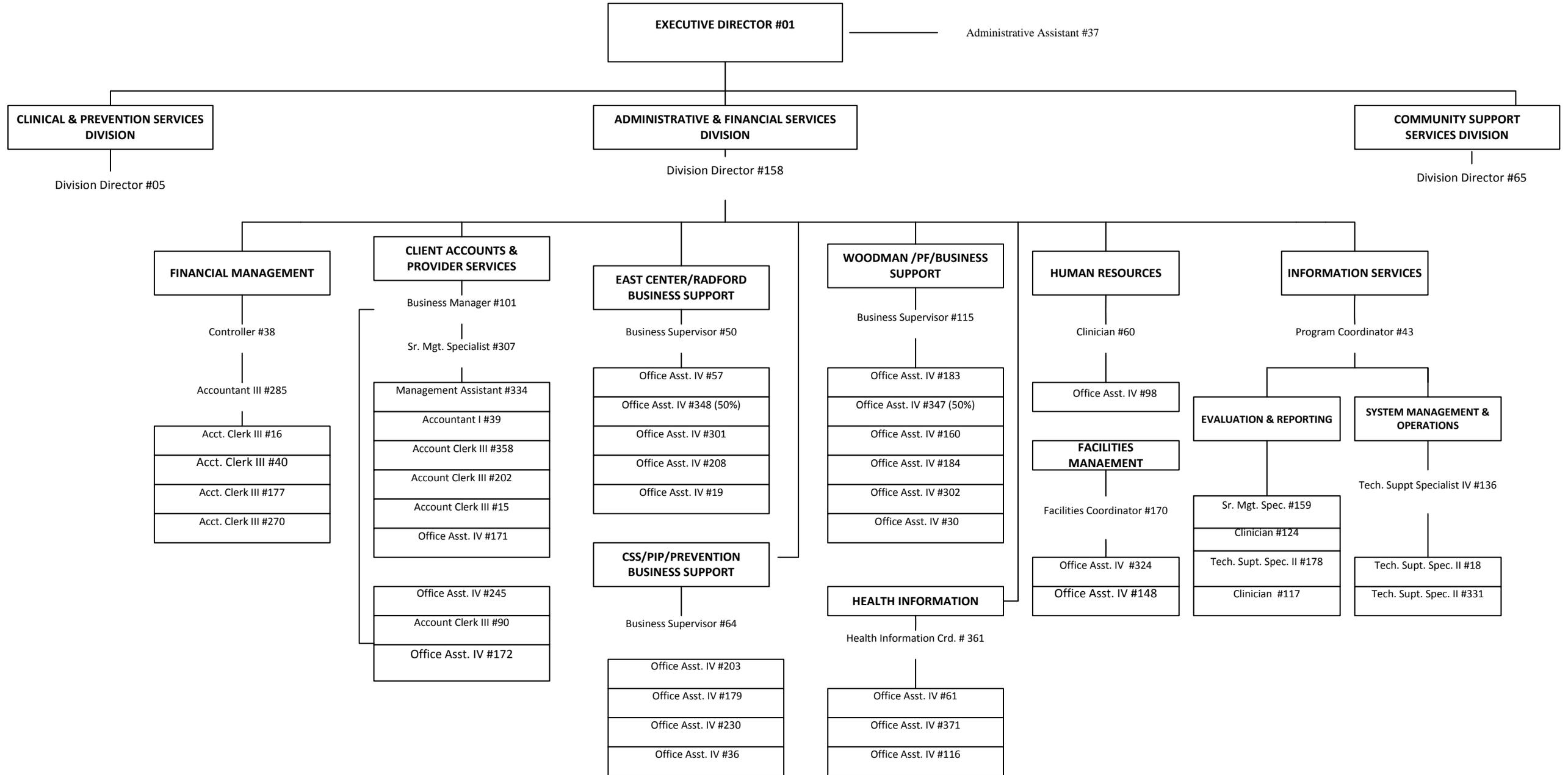
Note: Subsection A.18 of § 37.2-504 of the Code of Virginia authorizes an operating community services board to receive state and federal funds directly from the Department and act as its own fiscal agent when authorized to do so by the governing body of each city or county that established it.

FY 2012 Community Services Performance Contract Supplement
Table 1: Board of Directors Membership Characteristics

Name of CSB:	Henrico Area Mental Health & Developmental S				
Total Appointments:	<input type="text" value="12"/>	Vacancies:	<input type="text" value="0"/>	Filled Appointments:	<input type="text" value="12"/>
Number of Consumers:	<input type="text" value="2"/>	Number of Family Members:	<input type="text" value="3"/>		

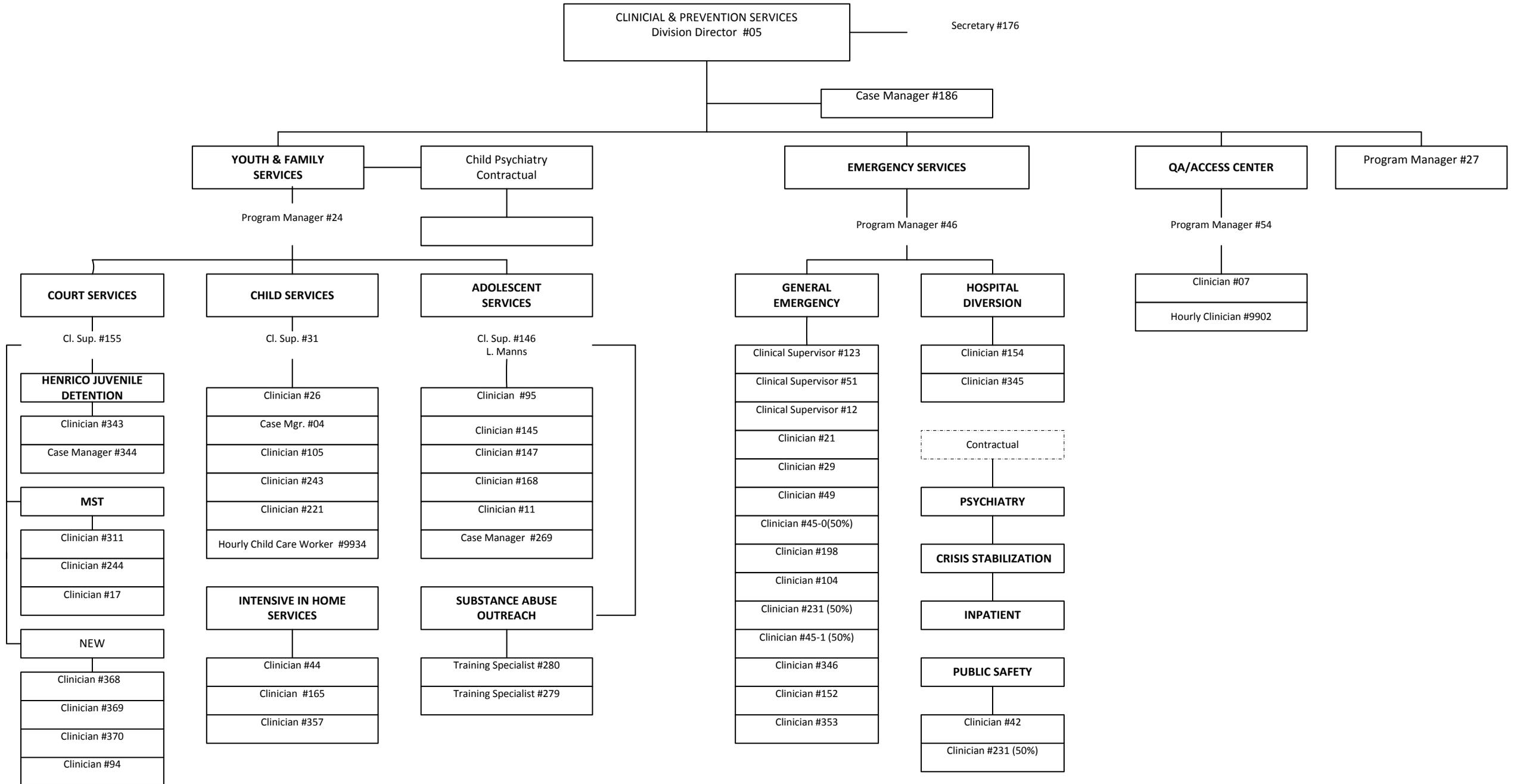
HENRICO AREA MENTAL HEALTH & DEVELOPMENTAL SERVICES

June 3, 2011



CLINICAL & PREVENTION SERVICES DIVISION

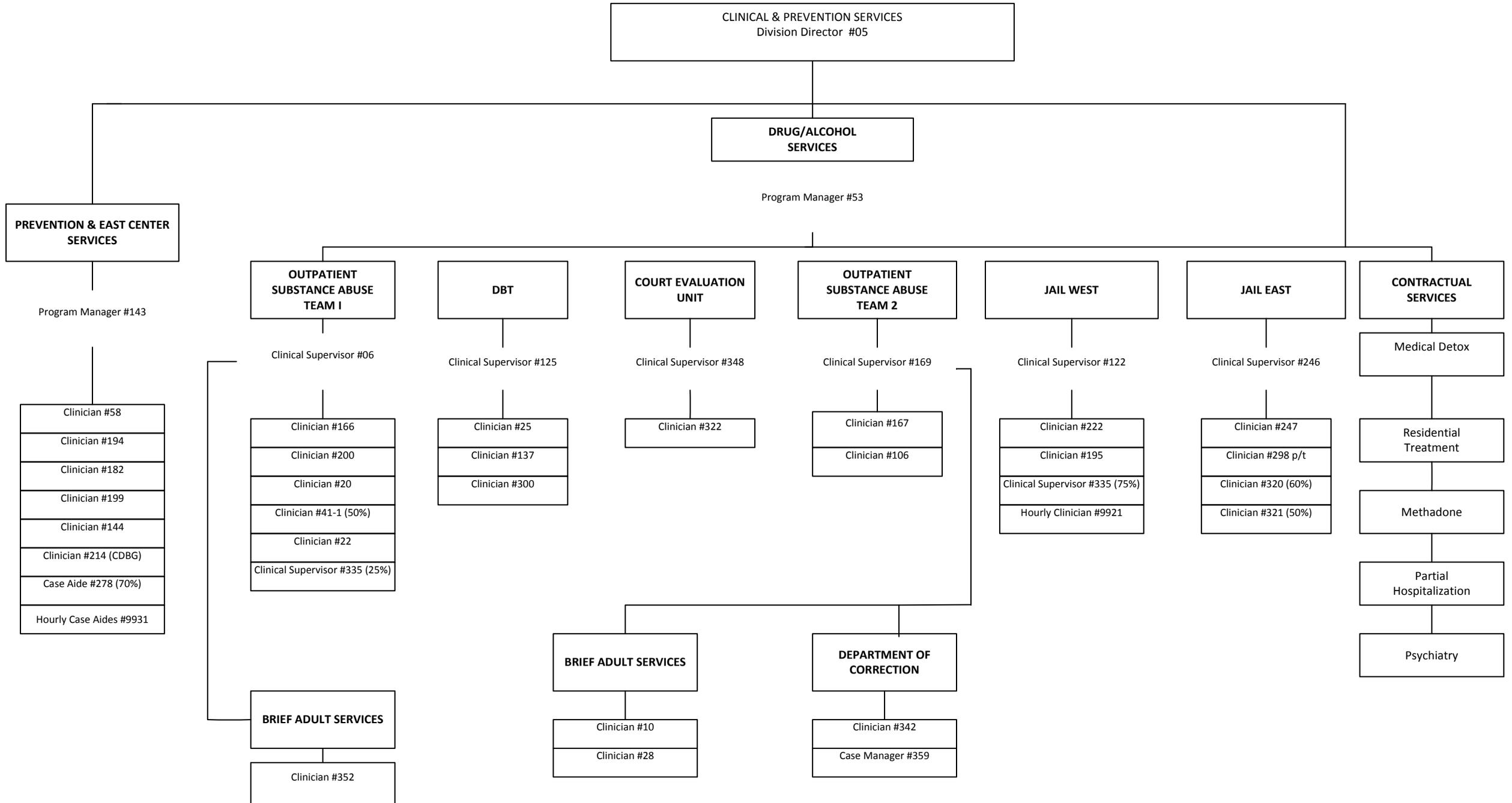
June 3, 2011



Approved By: _____
Ex. Director

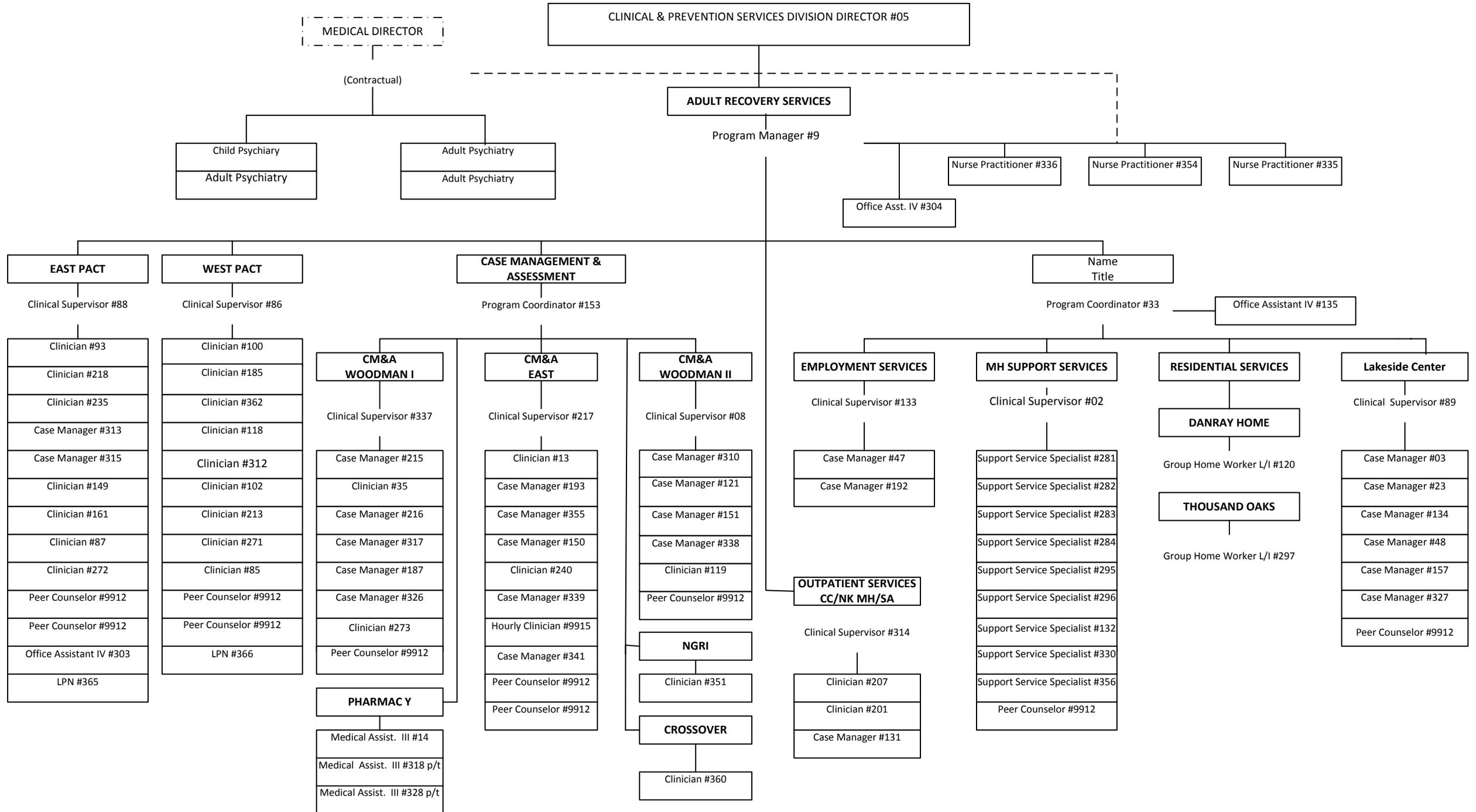
CLINICAL & PREVENTION SERVICES DIVISION

June 3, 2011



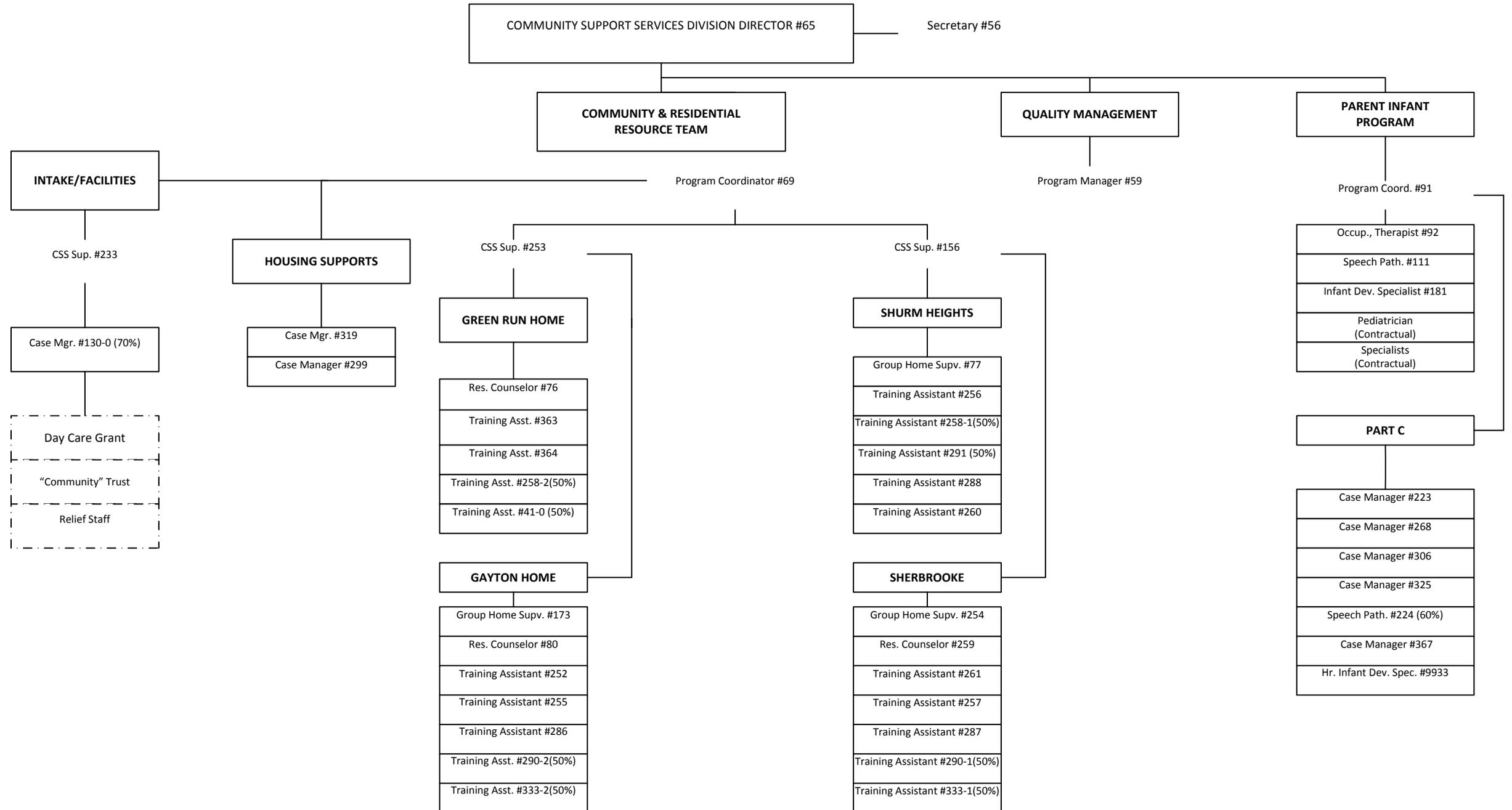
CLINICAL & PREVENTION SERVICES DIVISION

June 3, 2011



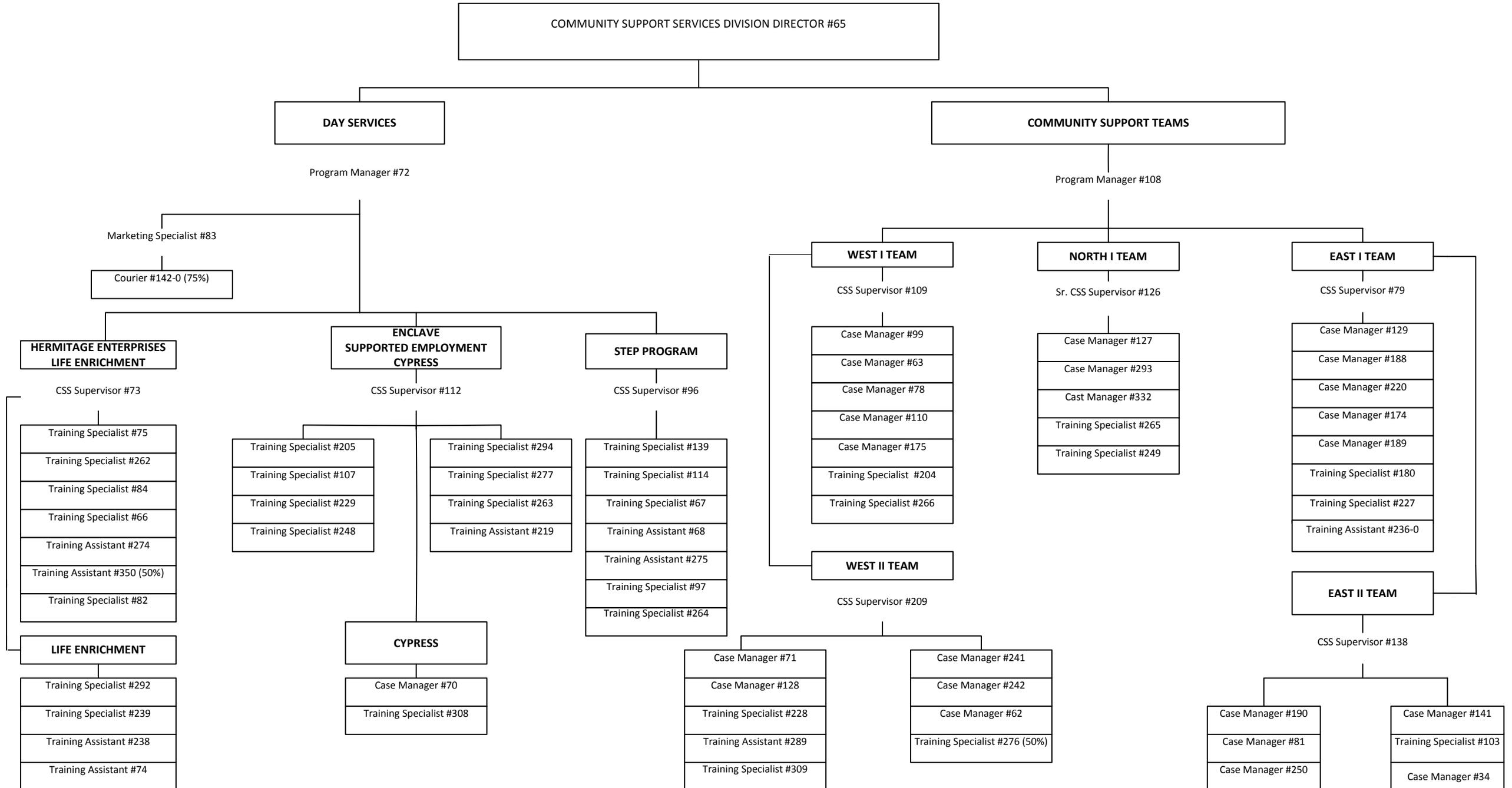
COMMUNITY SUPPORT SERVICES DIVISION

June 3, 2011



COMMUNITY SUPPORT SERVICES DIVISION

June 3, 2011



FY 2012 Community Services Performance Contract

Exhibit D: CSB Board of Directors Membership List

Henrico Area Mental Health & Developmental Services

Name	Address	Phone Number	Start Date	End Date	Term No.
Jim Cuthbertson	12405 Greenway Place Glen Allen, VA 230597063	(804) 859-1902	1/12/2010	12/31/2012	1
Lyn Dodge	8904 Turnbull Avenue Richmond, VA 23229	(804) 740-3497	1/8/2008	12/31/2013	2
Tessie Greene	7808 Varina Chase Drive Richmond, VA 23231	(804) 795-7435	3/22/2005	12/31/2013	3
Nita Grignol	1710 Windingridge Drive Richmond, VA 23233	(804) 740-8550	1/11/2011	12/31/2013	1
Karen Grizzard	2960 Layne Court Richmond, VA 23233	(804) 501-5077	3/25/2003	12/31/2013	3
Joyce Hann	11423 Long Meadow Drive Glen Allen, VA 23059	(804) 515-7962	9/9/2008	12/31/2012	1
Sandra Johnson	7141 S. Lott Cary Road Providence Forge, VA 23140	(804) 829-5364	9/1/2010	12/31/2011	1
Mark Johnson	8008 Grassmount Ct. Henrico, VA 23228	(804) 672-2775	1/13/2009	12/31/2011	1
John Keating	1716 W. Chaffin Road Richmond, VA 23231	(804) 795-5524	1/8/2008	12/31/2012	2
Gregory Morrison	10812 Dominion Fairways Drive Glen Allen, VA 23059	(804) 360-7216	1/31/2004	12/31/2011	2
Linda Myers	7510 North Court House Road New Kent, VA 23124	(804) 966-1950	7/18/2008	12/31/2011	1
Minnie Outlaw	1117 Penobscot Road Richmond, VA 23227	(804) 723-3465	3/9/2004	12/31/2012	2

FY 2012 Community Services Performance Contract Supplement
Henrico Area Mental Health & Developmental Services

Table 2: Board Management Salary Costs

Explanations for Table 2a	
Peer Counselors are hourly staff who work between 30 and 40 hours in a payperiod. The number listed for Peer Staff Service FTE equals the number of peer counselors within the agency.	

Table 2b: Community Service Board Employees

1.	2.	3.	4.	5.	6.	7.
No. of FTE CSB Employees	MH	DV	SA	Srv Outside Pgm	ADMIN	TOTAL
Consumer Service FTEs	113.95	109.35	26.75	22.70		272.75
Peer Staff Service FTEs	10.00	0.00	0.00	0.00		10.00
Support Staff FTEs	19.00	6.00	2.00	1.00	36.00	64.00
TOTAL FTE CSB Employees	142.95	115.35	28.75	23.70	36.00	346.75

FY 2012 Community Services Performance Contract Supplement

Table 2: Board Management Salary Costs

Name of CSB: Henrico Area Mental Health & Developmental Se			FY 2012	
Table 2a: Management Position Title	FY 2012 Beginning	Salary Range Ending	Budgeted Tot. Salary Cost	Tenure (yrs)
Administrative/Finance Director	\$82,801.00	\$148,788.00	\$84,765.00	8.00
Children and Youth Services Director	\$65,498.00	\$117,694.00	\$82,801.00	19.00
Clinical Services Director	\$82,801.00	\$148,788.00	\$97,568.00	3.00
Community Support Director	\$82,801.00	\$148,788.00	\$84,765.00	4.00
Executive Director	\$109,701.00	\$197,125.00	\$159,629.00	7.00
Human Resource Manager	\$51,810.00	\$93,099.00	\$88,834.00	13.00
Management Information System Director	\$62,498.00	\$112,304.00	\$77,178.00	0.00
Prevention Services Director	\$65,498.00	\$117,694.00	\$80,883.00	3.00
Quality Assurance Director	\$65,498.00	\$117,694.00	\$95,307.00	10.00
Reimbursement Director	\$54,297.00	\$97,568.00	\$61,050.00	7.00
Residential Services Director	\$62,498.00	\$112,304.00	\$63,980.00	5.00
Substance Abuse Services Director	\$65,498.00	\$117,694.00	\$77,178.00	3.00

FY 2012 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 Reporting 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 expense, revenue, and cost 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 must be submitted to the Department through the KIT Prevention System.

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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 due date in Exhibit E in the current contract term, its executive director must inform the Office of Community Contracting Director or 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.

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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.

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Exhibit K: General Requirements

These general requirements apply to the Board and the Department and the services included in this contract. Any substantive change in these requirements, except changes in statutory, regulatory, policy, or other requirements which are made in accordance with processes or procedures associated with those statutes, regulations, policies, or other requirements, shall be made in accordance with applicable provisions of the Partnership Agreement and shall be considered to be a performance contract amendment that requires a new contract signature page, signed by both parties.

I. Board Requirements

A. Compliance with State Requirements

1. **General State Requirements:** The Board shall comply with applicable state statutes and regulations, State Board of Behavioral Health and Developmental Services (State Board) regulations and policies, and Department procedures including:
 - a. Community Services Boards, § 37.2-500 through § 37.2-512 or Behavioral Health Authorities, § 37.2-600 through § 37.2-615 of the Code of Virginia;
 - b. State and Local Government Conflict of Interests Act, § 2.2-3100 through § 2.2-3127 of the Code of Virginia;
 - c. Virginia Freedom of Information Act, § 2.2-3700 through § 2.2 -3714 of the Code of Virginia, including its notice of meeting and public meeting provisions;
 - d. Government Data Collection and Dissemination Practices Act, § 2.2-3800 through § 2.2-3809 of the Code of Virginia;
 - e. Virginia Public Procurement Act, § 2.2-4300 through § 2.2-4377 of the Code of Virginia;
 - f. Chapter 8 (Admissions and Dispositions) and other applicable provisions of Title 37.2 and other titles of the Code of Virginia; and
 - g. Applicable provisions of the current Appropriation Act.
2. **Protection of Individuals Receiving Services**
 - a. **Human Rights:** The Board shall comply with the *Rules and Regulations to Assure the Rights of Individuals Receiving Services from Providers of Mental Health, Mental Retardation and Substance Abuse Services*. In the event of a conflict between any of the provisions of this contract and provisions in these regulations, the applicable provisions in the regulations shall apply. The Board shall cooperate with any Department investigation of allegations or complaints of human rights violations, including providing any information needed for the investigation as required under state law and as permitted under 45 CFR § 164.512 (d) in as expeditious a manner as possible.
 - b. **Disputes:** The filing of a complaint or the use of the informal dispute resolution mechanism in the Human Rights Regulations by an individual or his family member or authorized representative shall not adversely affect the quantity, quality, or timeliness of services provided to that individual unless an action that produces such an effect is based on clinical or safety considerations and is documented in the individual's individualized services plan (ISP).

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- c. **Dispute Resolution Mechanism:** The Board shall develop its own procedures for satisfying requirements in § 37.2-504 or § 37.2-605 of the Code of Virginia for a local dispute resolution mechanism for individuals receiving services.
- d. **Licensing:** The Board shall comply with the *Rules and Regulations for the Licensing of Providers or Mental Health, Mental Retardation and Substance Abuse Services*. The Board shall establish a system to ensure ongoing compliance with applicable licensing regulations. Results of licensing reviews, including scheduled reviews, unannounced visits, and complaint investigations, shall be provided to all members of the Board in a timely manner.

3. Planning

- a. **General Planning:** The Board shall participate in collaborative local and regional service and management information systems planning with state facilities, other Boards, other public and private human services agencies, and the Department, as appropriate. In accordance with § 37.2-504 or § 37.2-605 of the Code of Virginia, the Board shall provide input into long-range planning activities that are conducted by the Department, including the Comprehensive State Plan required by § 37.2-315 of the Code of Virginia. The Board shall report unduplicated community waiting list information to the Department when required for the Comprehensive State Plan update. The Board shall work with local prevention planning bodies composed of representatives of multiple systems and groups to develop community-based prevention plans based on assessed needs and resources and submit annual Community Prevention Plan reports to the Department.
- b. **Participation in State Facility Planning Activities:** The Board shall participate in collaborative planning activities with the Department to the greatest extent possible regarding the future role and structure of the state facilities.

4. Interagency Relationships

- a. Pursuant to the case management requirements of § 37.2-500 or § 37.2-601 of the Code of Virginia, the Board shall, to the extent practicable, develop and maintain linkages with other community and state agencies and facilities that are needed to assure that individuals it serves are able to access treatment, training, rehabilitative, and habilitative mental health, developmental, or substance abuse services and supports identified in their individualized services plans. The Board shall comply with § 37.2-504 or § 37.2-605 of the Code of Virginia regarding interagency agreements.
- b. The Board also shall develop and maintain, in conjunction with the courts having jurisdiction in the cities or counties served by the Board, cooperative linkages that are needed to carry out the provisions of § 37.2-805 through § 37.2-821 and related sections of the Code of Virginia pertaining to the involuntary admission process.
- c. The Board shall develop and maintain the necessary linkages, protocols, and interagency agreements to effect the provisions of the Comprehensive Services Act for At-Risk Youth and Families (§ 2.2-5200 through § 2.2-5214 of the Code of Virginia) that relate to services that it provides. Nothing in this provision shall be construed as requiring the Board to provide services related to this act in the absence of sufficient funds and interagency agreements.

5. Forensic Services

- a. Upon receipt of a court order pursuant to § 19.2-169.2 of the Code of Virginia, the Board shall provide or arrange for the provision of services to restore the individual to competency to stand trial. These services shall be provided in the local or regional

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jail, juvenile detention center (when a juvenile is being tried as an adult), or other location in the community where the individual is currently located. These services shall include treatment and restoration services, emergency services, assessment services, the provision of medications and medication management services, and other services that may be needed by the individual in order to restore him to competency and to prevent his admission to a state hospital for these services.

- b.** Upon written notification from a state facility that an individual hospitalized for restoration to competency pursuant to § 19.2-169.2 of the Code of Virginia has been restored to competency and is being discharged back to the community, the Board shall to the greatest extent possible provide or arrange for the provision of services in the local or regional jail, juvenile detention center (when a juvenile is being tried as an adult), or other location in the community where the individual is located to that individual to ensure the maintenance of his psychiatric stability and competency to stand trial. Services shall include treatment and restoration services, emergency services, assessment services, the provision of medications and medication management services, and other services which may be needed by the individual in order prevent his readmission to a state hospital for these services.
- c.** Upon receipt of a court order pursuant to § 16.1-356 of the Code of Virginia, the Board shall perform a juvenile competency evaluation. Upon receipt of a court order pursuant to § 16.1-357, the Board shall provide services to restore a juvenile to competency to stand trial through the Department's statewide contract.
- d.** Upon receipt of a court order, the Board shall provide or arrange for the provision of forensic evaluations required by local courts in the community in accordance with State Board Policy 1041.
- e.** Forensic evaluations and treatment shall be performed on an outpatient basis unless the results of an outpatient evaluation indicate that hospitalization is necessary. The Board shall consult with local courts in placement decisions for hospitalization of individuals with a forensic status based upon evaluation of the individual's clinical condition, need for a secure environment, and other relevant factors. The Board's staff shall conduct an assessment of risk to provide information to the Commissioner for the determination of whether an individual with a forensic status in need of hospitalization requires placement in a civil facility or a secure facility. The Board's staff will contact and collaborate with the Forensic Coordinator of the state hospital that serves the Board in making this determination. The Board's assessment shall include those items required prior to admission to a state hospital, per the Continuity of Care Procedures in Appendix A of the Community Services Board Administrative Requirements.
- f.** The Board shall designate a Forensic Admissions Coordinator, a Forensic Evaluation Coordinator, and an NGRI Coordinator to collaborate with the local courts, the forensic staff of state facilities, and the Department. The Board shall notify the Department's Director of Forensic Services of the name, title, and contact information of these designees and shall inform the Director of any changes in these designations. The Board shall ensure that designated staff complete the forensic training necessary to maintain forensic certification.
- g.** The Board shall provide discharge planning for persons found not guilty by reason of insanity. Pursuant to § 19.2-182.2 through § 19.2 -182.7, and § 19.2-182.11 of the Code of Virginia, the Board shall provide discharge planning, collaborate with the state facility staff in preparing conditional release plans, implement the court's conditional release orders, and submit written reports to the court on the person's progress and adjustment in the community no less frequently than every six months for acquittees who have been conditionally released to a locality served by the Board.

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The Board should provide to the Department's Director of Forensic Services written monthly reports on the person's progress and adjustment in the community for their first 12 continuous months in the community for acquittees who have been conditionally released to a locality served by the Board and copies of court orders regarding acquittees on conditional release.

- h. If an individual with a forensic status does not meet the criteria for admission to a state hospital, his psychiatric needs should be addressed in the local jail, prison, detention center, or other correctional facility in collaboration with local treatment providers.

6. Access to Services for Individuals who are Deaf, Hard of Hearing, Late Deafened, or Deafblind: The Board should identify and develop a working relationship with the Regional Deaf Services Program and the Regional Deaf Services Coordinator that serve the Board's service area and collaborate with them on the provision of appropriate and linguistically and culturally competent services, consultation, and referral for individuals who are deaf, hard of hearing, late deafened, or deafblind.

7. Providing Information: The Board shall provide any information requested by the Department that is related to performance of or compliance with this contract in a timely manner, considering the type, amount, and availability of the information requested. The provision of information shall comply with applicable laws and regulations governing the confidentiality, privacy, and security of information regarding individuals receiving services from the Board.

8. Reporting Fraud: Fraud is an intentional wrongful act committed with the purpose of deceiving or causing harm to another party. Upon discovery of circumstances suggesting a reasonable possibility that a fraudulent transaction has occurred, the Board's executive director shall report this information immediately to any applicable local law enforcement authorities and the Department's Internal Audit Director.

9. Financial Management: The Board shall comply with following requirements, as applicable.

- a. To avoid any appearance of conflict or impropriety, the Board shall provide complete annual financial statements to its Certified Public Accountant for audit.
- b. All financial reports prepared by the Board for the reliance of third parties shall be reviewed by a designated staff person before the reports are presented or submitted and the reviews shall be documented.
- c. All checks issued by the Board that remain outstanding after one year shall be voided.
- d. All Board bank accounts shall be reconciled regularly, and the reconciliations shall be approved by a designated staff person not involved in preparing the reconciliation.
- e. A contract administrator shall be identified for each contract for the purchase of services entered into by the Board, and every contract shall be signed by a designated staff person and each other party to the contract, where applicable.
- f. Each write-off of account receivables for services to individuals shall be approved and documented by a designated staff person. The Board shall maintain an accounts receivable aging schedule, and debt that is deemed to be uncollectable shall be written off periodically. The Board shall maintain a system of internal controls including separation of duties to safeguard account receivable assets.

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- g. Each payroll shall be certified by a designated staff person who does not enter or process the Board's payroll.
- h. The Board shall maintain documentation and reports for all expenditures related to the federal Mental Health Block Grant and federal Substance Abuse Prevention and Treatment Block Grant funds contained in Exhibit A sufficient to substantiate compliance with the restrictions, conditions, and prohibitions related to those funds.
- i. The Board shall maintain an accurate list of fixed assets as defined by the Board. Assets that are no longer working or repairable or are not retained shall be excluded from the list of assets and written off against accumulated depreciation, and their disposition shall be documented by a designated staff person who does not have physical control over the assets. The current location of or responsibility for each asset shall be indicated on the list of fixed assets.
- j. Access to the Board's information system shall be controlled and properly documented. Access shall be terminated in a timely manner when a staff member is no longer employed by the Board to ensure security of confidential information about individuals receiving services and compliance with the Health Insurance Portability and Accountability Act of 1996 and associated federal or state regulations.

B. Compliance with Federal Requirements

1. General Federal Compliance Requirements: The Board shall comply with all applicable federal statutes, regulations, policies, and other requirements; including 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) Requirements contained in Appendix C of the Community Services Board Administrative Requirements, and:

- a. the Federal Immigration Reform and Control Act of 1986; and
- b. Confidentiality of Alcohol and Substance Abuse Records, 42 C.F.R. Part 2.

Non-federal entities, including Boards, expending \$500,000 or more in a year in federal awards shall have a single or program-specific audit conducted for that year in accordance with Office of Management and Budget Circular A-133.

Boards shall prohibit the following acts by themselves, their employees, and agents performing services for them:

- a. the unlawful or unauthorized manufacture, distribution, dispensation, possession, or use of alcohol or other drugs; and
- b. any impairment or incapacitation from the use of alcohol or other drugs (except the use of drugs for legitimate medical purposes).

2. Disaster Response and Emergency Service Preparedness Requirements: The Board agrees to comply with section 416 of Public Law 93-288 and § 44-146.13 through § 44-146.28 of the Code of Virginia regarding disaster response and emergency service preparedness. Section 416 of P.L. 93-288 authorizes the State Office of Emergency Services to require the Department to comply with the *Commonwealth of Virginia Emergency Operations Plan, Volume 2, Emergency Support Function No. 8: Health and Medical Services, Section 4: Emergency Mental Health Services*. Section 4 requires the Board to comply with Department directives coordinating disaster planning, preparedness, and response to emergencies and to develop procedures for responding to major disasters. These procedures must address:

- a. conducting preparedness training activities;

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- b. designating staff to provide counseling;
- c. coordinating with state facilities and local health departments or other responsible local agencies, departments, or units in preparing Board all hazards disaster plans;
- d. providing crisis counseling and support to local agencies, including volunteer agencies;
- e. negotiating disaster response agreements with local governments and state facilities; and
- f. identifying community resources.

3. Federal Certification Regarding Lobbying for the Mental Health and Substance Abuse Prevention and Treatment Block Grants: The Board certifies, to the best of its knowledge and belief, that:

- a. No federal appropriated funds have been paid or will be paid, by or on behalf of the Board, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- b. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the Board shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- c. The Board shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, or cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 or more than \$100,000 for each failure.

C. Compliance with State and Federal Requirements

1. Employment Anti-Discrimination: The Board shall conform to the applicable provisions of Title VII of the Civil Rights Act of 1964 as amended, the Equal Pay Act of 1963, Sections 503 and 504 of the Rehabilitation Act of 1973, the Vietnam Era Veterans Readjustment Act of 1974, the Age Discrimination in Employment Act of 1967, the Americans With Disabilities Act of 1990, the Virginians With Disabilities Act, the Virginia Fair Employment Contracting Act, the Civil Rights Act of 1991, regulations issued by Federal Granting Agencies, and other applicable statutes and regulations, including § 2.2-4310 of the Code of Virginia. The Board agrees as follows.

- a. The Board will not discriminate against any employee or applicant for employment because of race, religion, color, sex, national origin, age, disability, or other basis prohibited by state law relating to discrimination in employment, except where there is

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a bona fide occupational qualification reasonably necessary to the normal operation of the Board. The Board agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause.

- b. The Board, in all solicitations or advertisements for employees placed by or on behalf of the Board, will state that it is an equal opportunity employer.
- c. Notices, advertisements, and solicitations placed in accordance with federal law, rule, or regulation shall be deemed sufficient for the purpose of meeting these requirements.

2. Service Delivery Anti-Discrimination: The Board shall conform to the applicable provisions of Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, the Americans With Disabilities Act of 1990, the Virginians With Disabilities Act, the Civil Rights Act of 1991, regulations issued by the U.S. Department of Health and Human Services pursuant thereto, other applicable statutes and regulations, and paragraphs a and b below.

- a. Services operated or funded by the Board have been and will continue to be operated in such a manner that no person will be excluded from participation in, denied the benefits of, or otherwise subjected to discrimination under such services on the grounds of race, religion, color, national origin, age, gender, or disability.
- b. The Board and its direct and contractual services will include these assurances in their services policies and practices and will post suitable notices of these assurances at each of their facilities in areas accessible to individuals receiving services.
- c. The Board will periodically review its operating procedures and practices to insure continued conformance with applicable statutes, regulations, and orders related to non-discrimination in service delivery.

II. Department Requirements

A. Compliance with State Requirements

- 1. **Human Rights:** The Department shall operate the statewide human rights system described in the *Human Rights Regulations*, monitor compliance with the human rights requirements in those regulations, and conduct reviews and investigations referenced in those regulations. The Department's human rights staff shall be available on a daily basis, including weekends and holidays, to receive reports of allegations of violations of the human rights of individuals receiving services from the Board.
- 2. **Licensing:** The Department shall license programs and services that meet the requirements of the *Licensing Regulations* and conduct licensing reviews in accordance with the provisions of those regulations. The Department shall respond in a timely manner to issues raised by the Board regarding its efforts to coordinate and monitor services provided by independent providers licensed by the Department. Pursuant to the Licensing Review Protocol for CARF-Accredited Board Outpatient and Day Support Services, contained in the Community Services Board Administrative Requirements, the Department's Office of Licensing shall accept CARF surveys as a review of regulation compliance for those licensing regulations or standards that are the same for outpatient and day support services at Boards that have triennial licenses for these services. These regulations or standards are identified in the crosswalk between the licensing regulations and CARF standards in the CSB Administrative Requirements.

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- 3. Reviews:** The Department shall review and take appropriate action on audits submitted by the Board in accordance with the provisions of this contract and the Community Services Board Administrative Requirements. The Department may conduct procurement, financial management, reimbursement, and human resource management reviews of a Board's operations, in accordance with provisions in the Community Services Board Administrative Requirements.
- 4. Planning:** The Department shall conduct long-range planning activities related to state facility and community services, including the preparation and dissemination of the Comprehensive State Plan required by § 37.2-315 of the Code of Virginia.
- 5. Information Technology:** The Department shall operate and provide technical assistance and support, to the extent practicable, to the Board about the CARS and the Community Consumer Submission (CCS) software referenced in this contract and comply with State Board Policies 1030 and 1037. The Department shall operate the FIMS and the KIT Prevention System referenced in this contract. Pursuant to § 37.2-504 and § 37.2-605 of the Code of Virginia, the Department shall implement procedures to protect the confidentiality of data accessed or received in accordance with this contract. The Department shall ensure that any software application that it issues to the Board for reporting purposes associated with this contract has been field tested by a reasonable number of Boards to assure compatibility and functionality with the major IT systems used by Boards, is operational, and is provided to the Board sufficiently in advance of reporting deadlines to allow the Board to install and run the software application.
- 6. Providing Information:** The Department shall provide any information requested by the Board that is related to performance of or compliance with this contract in a timely manner, considering the type, amount, and availability of the information requested.