



**GUIDELINES  
FOR  
PREVENTION AND EARLY INTERVENTION (PEI)  
STATEWIDE PROGRAMS<sup>1</sup>**

The Mental Health Services Oversight and Accountability Commission (MHSOAC) issues these Guidelines pursuant to the authority granted it by Welfare and Institutions Code Section 5846(c). These Guidelines provide: (1) additional information to Counties<sup>2</sup> on allowable uses for PEI Statewide funds made available in planning estimates for Suicide Prevention, Stigma and Discrimination Reduction and Student Mental Health in DMH Information Notice 08-25<sup>3</sup>; and (2) provide content and format instructions for updates to the Three-Year Program and Expenditure Plans that include PEI Statewide Funds.

**These guidelines are applicable to all requests for PEI Statewide Funds submitted to the MHSOAC as of January 28, 2010, the date the Guidelines were approved by the MHSOAC.**

As described throughout these Guidelines, programs developed with PEI Statewide Funds must be consistent with the following documents including any additions or revisions approved by the MHSOAC:

- [Strategic Plan for Suicide Prevention](#)
- [Strategic Plan for Stigma and Discrimination Reduction](#)
- [Student Mental Health Initiative](#)<sup>4</sup>

For the purposes of these Guidelines the documents cited above shall be referred to as **State Strategic Plans**.

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<sup>1</sup> "PEI Statewide Programs" means the PEI statewide programs funded from the PEI component of the MHSA Three-Year Program and Expenditure Plan made available in planning estimates in DMH Information Notice 08-25.

<sup>2</sup> "County" means the County Mental Health Department, two or more County Mental Health Departments acting jointly, and/or city-operated programs receiving funds per Welfare and Institutions Code Section 5701.5. (Title 9 California Code of Regulations, Section 3200.090)

<sup>3</sup> For purposes of these Guidelines these funds will be referred to as "PEI Statewide Funds."

<sup>4</sup> The MHSOAC may update the State Strategic Plan for Student Mental Health.

The Strategic Plans for Suicide Prevention and Reducing Stigma and Discrimination were developed by DMH and approved by the MHSOAC. The Student Mental Health Initiative was developed and approved by the MHSOAC. There was a significant stakeholder process involved in producing the State Strategic Plans. This process is described further in the Background section of this document.

## **I. BACKGROUND**

The MHSOAC approved five PEI Statewide Programs and corresponding funding amounts in January and September of 2007. These Guidelines apply only to the following three PEI Statewide Programs identified in DMH Information Notice No.: 08-25: (1) Suicide Prevention, (2) Stigma and Discrimination Reduction, and (3) the Student Mental Health Initiative. A fourth program, Training and Technical Assistance and Capacity Building, is being implemented locally and is not subject to these Guidelines. A strategic plan is being developed for the fifth program, Reducing Disparities through Racial, Ethnic and Cultural Specific Programs, and is also not subject to these Guidelines.

MHSOAC core principles:

- Client and Family Driven
- Wellness, Recovery and Resilience Focused
- Cultural Competency
- Community Collaboration
- Co-occurring Disorder Services Competency
- Integrated Services

With these Guidelines the Commission reaffirms its commitment to the core principles identified above and affirms its expectation that programs developed with PEI Statewide Funds will reflect these core principles. Additionally, any core principles identified in the State Strategic Plans should be considered in developing programs with these funds. (See link to State Strategic Plans provided on Page 1.)

In May 2008 the MHSOAC determined that Suicide Prevention, Stigma and Discrimination Reduction and Student Mental Health programs would be implemented most efficiently and effectively if administered through a single statewide entity. Over a two year period a significant “state level” stakeholder process occurred in each of these areas to identify broad strategic direction and more specific “recommended actions” that if implemented at the statewide level would most benefit California, would result in a statewide impact and provide a statewide foundation for counties to build upon in the future. The results of that stakeholder process are the State Strategic Plans previously identified.

To meet the goals of the State Strategic Plans and enable the implementation of statewide programs through a single statewide entity, a process for counties to assign PEI Statewide Funds to DMH for administration of these programs was provided in DMH Information Notice No.: 08-25 issued in September 2008.

In August 2009 the Commission determined that additional options were necessary to support the implementation of PEI statewide goals and programs. As a result the MHSOAC approved the development of guidelines specifically to identify additional options for accessing PEI Statewide Funds for statewide and/or multi-County programs.

In September 2009 the MHSOAC adopted eight principles which were to serve as the basis for the PEI Statewide Fund Guidelines. Those principles included a commitment to preserving statewide goals previously identified in the State Strategic Plans for Suicide Prevention, Stigma and Discrimination Reduction, and Student Mental Health. As a result the MHSOAC approved the development of guidelines that would preserve statewide PEI program efforts through various incentives including a streamlined approval process for counties choosing to assign their PEI Statewide Funds to a centralized statewide entity such as a joint powers authority (JPA) or DMH for the development and implementation of “statewide” programs.

As stated, the Commission previously approved the strategic direction and “recommended actions” identified in the State Strategic Plans and intends that all programs developed with PEI Statewide Funds further the goals and strategies in the State Strategic Plans by conforming with identified “recommended actions” in those documents. Additionally the Commission intends for the expenditure of these one-time PEI Statewide Funds to result in programs that have a statewide impact and provide a statewide foundation for counties to build upon for long lasting results. Consistent with this intent the programs approved with these funds shall focus on building system infrastructure, expanding community capacity, creating new knowledge and developing needed resources.

## **II. REQUIREMENTS FOR USE OF PEI STATEWIDE FUNDS (Made available in Planning Estimates provided in DMH Information Notice No.: 08-25.)**

In addition to statutory or regulatory requirements, all programs/activities implemented with PEI Statewide Funds must be consistent with these Guidelines developed in compliance with the eight principles adopted by the MHSOAC in September 2009.

The following sections A through F represent six of the principles adopted by the Commission. A seventh principle regarding incentives and a streamlined process for jointly funded “statewide” programs is represented in Section III, Phase I Approval. The eighth principle regarding MHSOAC core principles was addressed previously in this document.

**Programs must meet all of the following requirements categorized by guideline principle:**

**A. Collaboration**

Counties are required to collaborate with at least one other County in the development of all programs. Such collaboration is authorized by Section 5897(a) and (b) of the Welfare and Institutions Code. Collaboration, for the purpose of these Guidelines, requires that programs are: (1) jointly funded by more than one County; and/or (2) developed with resources that are shared by more than one County. Shared resources must be documented and may include but are not limited to joint staffing, joint operations, and shared infrastructure. Additionally collaboration with other non-mental health entities and community-based entities is encouraged.

**B. Conform With MHSOAC Approved State Strategic Plans**

Programs developed with PEI Statewide Funds shall conform with MHSOAC approved State Strategic Plans by implementing “recommended actions” identified in those plans. (See link to State Strategic Plans provided on Page 1.)

**C. Preserve State-wideness**

To preserve state-wideness these Guidelines identify three options for the expenditure of PEI Statewide Funds to implement “statewide programs”. One of these options also allows for the development of multi-County collaborative programs that could be replicated statewide. The three options are identified below with more administrative and process detail provided for each in Section III of this document.

**Counties must choose to expend their PEI Statewide Funds in *one or more* of the following ways:**

**Option 1: Implement Statewide Programs through a JPA**

**Option 2: Implement Statewide and/or Replicable Programs through Multi-County Collaboration**

**Option 3: Implement Statewide Programs through Assignment to DMH**

As described, any of the three options provides a mechanism for Counties to use their PEI Statewide Funds to implement “statewide programs” whether through a JPA, multi-County collaboration or assignment of those funds to DMH.

“Statewide programs” require that “recommended actions” identified in the State Strategic Plans be implemented to have a statewide impact.

As indicated, a County may choose Option 2 and use their PEI Statewide Funds to implement “**multi-County replicable programs**”. However, to ensure that multi-County programs also meet the goal of having a statewide impact, these programs must be designed to be “replicable”, with an evaluation and reporting component that will provide information necessary to learn from these programs and replicate these programs if appropriate.

#### D. Stakeholder Input

These guidelines require different types of stakeholder input at various points in the plan development process for the use of PEI Statewide Funds. Consistent with the Mental Health Services Act and the MHSOAC core principles clients and family members are to provide input at local, state/JPA, and multi-County collaborative levels.

##### Local Level

Individual Counties developing their plans for the expenditure of PEI Statewide Funds must comply with the requirements for the Community Program Planning process (CPP) and the Local Review Process in Title 9, California Code of Regulations, Sections 3300 and 3315(b) including requirements related to stakeholder input. If a County does not have an already approved PEI Plan the County must also have a public hearing pursuant to Title 9, California Code of Regulations, Section 3315(a).

For the purpose of these Guidelines, individual Counties are required to gain local stakeholder input about whether to pursue “statewide programs” through a JPA, multi-County collaboration, or DMH and/or enter into collaboratives to implement “multi-County replicable programs”. As described previously DMH and the MHSOAC directed, conducted and approved a significant “state level” stakeholder process that occurred over two years and resulted in the State Strategic Plans. With the approval of those plans the Commission approved the “recommended actions” identified in the State Strategic Plans and intends that all programs developed and implemented with PEI Statewide Funds conform with those “recommended actions”. It is not the Commission’s intent that the local County stakeholder process revisits the specific actions to be implemented or to propose program design.

##### State Level - JPA

A JPA acting as a lead organization on behalf of Counties acting jointly must obtain stakeholder input to identify from the State Strategic Plans the priority “recommended actions” to be implemented. It is expected that this process will

build on the previous state level process that produced the State Strategic Plans. The JPA is encouraged to: (1) collaborate with other non-mental health, community based entities to achieve the greatest statewide impact; (2) include racial, ethnic and cultural populations; and (3) consider “across the life span” strategies in the programs designed. A JPA implementing “statewide programs” shall post all “statewide program” plans for 30 days prior to plan submission.

#### Multi-County Collaborative Level

A lead organization acting on behalf of Counties in a multi-County collaborative must obtain stakeholder input to identify from the State Strategic Plans, the priority “recommended actions” to be implemented either as “statewide programs” or “replicable programs.” It is expected that this process will build on the previous state level process that produced the State Strategic Plans. The multi-County collaborative is encouraged to: (1) collaborate with other non-mental health, community based entities to achieve the greatest statewide impact if implementing statewide programs; (2) include racial, ethnic and cultural populations; and (3) consider “across the life span” strategies in the programs designed.

If a multi-County collaborative implements statewide and/or replicable programs, each individual County is responsible for a local review process that includes posting their multi-County collaborative plan for 30 days with budget detail specific to their County.

#### E. Address Three Project Areas

Counties are required to use PEI Statewide Funds to address goals identified for all three program areas: (1) Suicide Prevention, (2) Stigma and Discrimination Reduction, and (3) Student Mental Health. Whether programs are developed through a JPA or a multi-County collaborative, it is the intent of the MHSOAC that the expenditure of PEI Statewide Funds be consistent with the general proportion of funds originally intended for the three program areas as identified in Planning Estimates provided in DMH Information Notice No.: 08-25: Suicide Prevention 25%; Stigma and Discrimination Reduction 37.5%; and Student Mental Health 37.5%.

If a JPA is implementing statewide programs and proportionality is not evident in the program and budget detail provided by the JPA, additional information must be included about how proportionality will be maintained in the larger context of PEI Statewide Fund expenditures.

If a multi-County collaborative is implementing statewide or replicable programs, total expenditures in the budget detail provided for that collaborative shall be generally consistent with the proportions of funds originally intended for the three program areas as cited above and evident in the budget detail provided.

The goal of the MHSOAC is not to enforce strict proportionality in the expenditure of PEI Statewide Funds but rather to work with Counties and/or a JPA to ensure that California maintains the significant and intended investment in the three program areas as originally intended.

A multi-County collaborative that *only includes* Counties with a population of less than 100,000, is exempt from addressing three program areas but must address one program area.

#### F. Evaluation

The MHSOAC is committed to evaluating the effectiveness of programs developed with PEI Statewide Funds. **As such pursuant to these Guidelines, all Counties are required to participate in a “statewide evaluation”.**

##### Statewide Evaluation

For “statewide programs” developed through either a JPA or a multi-County collaborative strategies for evaluation of each program proposed must be provided with the submission of program descriptions. (Strategies for evaluation of each program may be combined into one evaluation.) The JPA or multi-County collaborative may use PEI Statewide Funds to support evaluation efforts. Evaluation expenditures should be in proportion to funds available to the JPA or multi-County collaborative. It is generally not uncommon to spend 5-15% of funds on evaluation efforts.

Counties not implementing “statewide programs” are also required to participate in a statewide evaluation. Currently a statewide evaluation is being developed by the MHSOAC for evaluation of the MHSA. This evaluation is expected to include a focus on programs developed with PEI Statewide Funds. Multi-County collaboratives implementing “replicable programs” must participate in this MHSOAC-sponsored evaluation to meet the “statewide” evaluation requirement and may use PEI Statewide Funds to support participation in the effort. The MHSOAC will keep Counties and stakeholders informed as this evaluation is designed and implemented.

##### Multi-County Collaborative – Replicable Projects

In addition to participating in the MHSOAC “statewide” evaluation described above, multi-County collaboratives implementing “replicable programs” must design a local evaluation of each proposed program and a plan for disseminating

evaluation findings. This information is to be submitted with the program description. (See Enclosure D.) The lead organization acting on behalf of the multi-County collaborative and/or individual participating Counties may use PEI Statewide Funds to support evaluation efforts. Evaluation expenditures should be in proportion to funds available to the multi-County collaborative. It is generally not uncommon to spend 5-15% of funds on evaluation efforts.

## G. Funding

### 1. Expending Funds

As noted, PEI Statewide Funds identified in DMH Information Notice No.: 08-25 must be used to support statewide or multi-County replicable programs that conform with MHSOAC approved strategic direction and “recommended actions” for Suicide Prevention, Stigma and Discrimination Reduction and Student Mental Health found in the State Strategic Plans. Expenditure of PEI Statewide Funds is limited to activities for prevention and early intervention including planning, evaluation and administration.

### 2. Tracking Funds

For funds not assigned to DMH or a JPA for “statewide” programs, Counties are required to track and report on the revenues and expenditures for PEI Statewide Funds separate from other PEI funds. Additional guidance will be provided in the applicable annual MHSA Revenue and Expenditure report guidelines. A JPA implementing “statewide” programs must also track and report to DMH on the expenditures for PEI Statewide Funds separate from other funds.

### 3. Requesting Funds

See the next section of this document for content and format requirements to request PEI Statewide Funds pursuant to these guidelines.

## **III. THREE-YEAR PROGRAM AND EXPENDITURE PLAN: CONTENT AND FORMAT REQUIREMENTS TO REQUEST PEI STATEWIDE FUNDS**

A County choosing to implement “statewide” programs through assignment of PEI Statewide Funds to DMH must follow the procedures specified in DMH Information Notice No.: 08-25 or any subsequently issued Information Notice that supersedes 08-25 as noted in Option 3 below.



A County choosing to implement “statewide” or “replicable” programs through Options 1 and/or 2, will submit a request for PEI Statewide Funds as an update to a County’s Three-Year Program and Expenditure Plan or with the initial submission of a County’s PEI Plan.

What follows are specific instructions about the plan information to be submitted if a County is choosing Options 1 and/or 2 to implement “statewide” or multi-County “replicable” programs. The following instructions also apply to a JPA requesting PEI Statewide Funds under Options 1, 2, and/or 3.

**The plan information required to request PEI Statewide Funds under Options 1 and/or 2 is contained in Enclosures A through F.2 attached to these Guidelines.**

All County funding requests submitted must include the information in Enclosures A and B certifying that the County will comply with the requirements of the MHSA, including the Community Program Planning Process of Title 9, CCR Sections 3300, 3310, 3315, and non-supplant requirements of Title 9, CCR Section 3410. **Enclosures A and B are standard forms required with the submission of any plan or update to the Three-Year Program and Expenditure Plan.** All JPA funding requests submitted must complete the certification in Enclosure A.1

In addition to submitting Enclosures A, B, and A.1 respectively with any funding request, Counties and JPAs are required to provide specific information about their request for PEI Statewide Funds by submitting the information requested on Enclosure C, D, and/or E. If a County is choosing to expend PEI Statewide Funds under both Option 1 and Option 2 they may submit Enclosures C and D together as one plan update or separately as individual plan updates.

What follows are descriptions of the two new options available to Counties and the required plan information associated with each. See Enclosure G for a matrix of required plan information associated with each of the options described below.

**Counties must choose *one or more* of the following options for expenditure of PEI Statewide Funds:**

**Option 1: Implement Statewide Programs through a JPA**

County delegates authority for the administration of PEI Statewide Funds to a Joint Powers Authority (JPA) for the implementation of “**statewide programs**”.

There is an expedited approval process referred to as “Phase I Approval” for **initial requests** from Counties choosing Option 1 to provide PEI Statewide Funds to a JPA for the implementation of “statewide programs”.

**Phase I Approval allows for the transfer of up to four years of planning estimates to the JPA** and distribution of 5% of available PEI Statewide Funds to the JPA prior to the identification of “recommended actions” from the State Strategic Plans and prior to program design. (Available funding is the amount of each annual planning estimate transferred to the JPA for prior and current fiscal years.)

### **Phase I Approval – County Completes Enclosure C**

To receive Phase I approval a County must Enclosure C which: (1) delegates the administration of PEI Statewide Funds to a JPA; (2) certifies that the intended purpose for the delegation includes the selection, design and “statewide” implementation of specific “recommended actions” identified in the State Strategic Plans and the authority to develop and submit plans, plan updates and reports to DMH and the MHSOAC related to PEI Statewide Funds; and (3) requests that up to four years of planning estimates for PEI Statewide Funds be transferred to the JPA. Counties may also request that 5% per year of available PEI Statewide Funds be immediately distributed to the JPA for the planning, provided that 5% of the planning estimate has not previously been requested and distributed and the state fiscal year for which the funds are intended has begun. Counties may also request planning funding for the upcoming fiscal year for distribution upon the start of the new fiscal year.

The JPA may expend these funds on necessary planning activities including identifying priority “recommended actions” to be implemented and developing the program(s) design. **Phase II approval is required before a JPA can expend any PEI Statewide Funds on program implementation.**

**The specified funds will be distributed to the JPA after the execution of an amendment to the County’s Mental Health Services Act agreement providing DMH specific authority to implement the county’s delegation.** Counties may request that DMH initiate such an amendment at any time.

### **Phase II Approval – JPA Completes Enclosure E**

Phase II Approval will occur when the JPA, acting on behalf of Counties, completes its design of a statewide program and submits a plan update requesting approval to expend PEI Statewide Funds on program implementation. **Phase II approval requires the JPA to submit** program information that identifies the specific “recommended actions” to be implemented as “statewide programs” that are consistent with the State Strategic Plans; and provide associated program descriptions, budgets and evaluation strategies. (See specific content requirements for Enclosure E.) *The JPA may submit this information as an update to a County’s Three-Year Program and Expenditure Plan.*

## **Option 2: Implement Statewide and/or Replicable Programs through Multi-County Collaboration**

County provides PEI Statewide Funds or other resources to a multi-County collaborative to implement “statewide” or “replicable” programs.

### **Funding Approval - County Completes Enclosure D**

Counties proposing to implement statewide or replicable programs through a multi-County collaborative may request funding from planning estimates from previous or current fiscal years for immediate distribution and for the upcoming fiscal year for distribution in that upcoming fiscal year. These funding requests submitted by individual Counties must include program information that identifies the specific “recommended actions” to be implemented as “statewide” and/or “replicable” programs” that are consistent with the State Strategic Plans and provide associated program descriptions, budgets and evaluation strategies. Information is also required about collaboration with other Counties. For Counties proposing to implement “replicable” programs additional information is required about strategies for the dissemination of evaluation findings. (See specific content requirements for Enclosure D.)

Directions for subsequent year funding requests will be included in the overall directions for updates to the Three Year Program and Expenditure Plan. The funding requests and plan information described in these Guidelines shall be submitted by individual Counties as an update to a Three-Year Program and Expenditure Plan or as a request submitted with a County’s initial PEI Plan. Note: As mentioned previously Counties may select more than one of the options identified for expenditure of their PEI Statewide Funds. If a County is choosing both Option 1 and Option 2 they may submit Enclosures C and D at the same time as one plan update or as separate plan updates.

## **Option 3: Statewide Programs through Assignment to DMH**

County assigns PEI Statewide Funds to DMH to implement “statewide programs” pursuant to DMH Info. Notice No.: 08-25 or any subsequently issued Information Notice that supersedes 08-25.

***Note:** All direction for assigning PEI Statewide Funds to DMH can be found in DMH Info. Notice No.: 08-25 or any subsequently issued Information Notice that supersedes 08-25. Counties choosing to assign funds to DMH should follow that guidance. (At time of release of this draft there is a continuing discussion with DMH which may result in a revision to DMH Information Notice No.: 08-25.)*

*These Guidelines provide direction for counties choosing Option 1 and/or 2 only.*

If a county chooses Option 3 specifically to fund a contract between DMH and a JPA funded by PEI Statewide Funds for the development and implementation of

PEI Statewide programs the JPA must follow these Guidelines and submit required enclosures.

As stated previously, the two new options developed for Counties to request PEI Statewide Funds represent the Commission's intent to: (1) preserve "statewide" efforts with regard to programs developed for Suicide Prevention, Stigma and Discrimination Reduction and Student Mental Health; (2) streamline approval processes to support statewide program efforts developed through a single state entity; and (3) develop efficient and accountable processes for approval of PEI Statewide Funds.

#### **IV. PLAN SUBMISSION**

Counties and/or a JPA should submit a hard copy and an electronic copy of the Program and Expenditure Plan for PEI Statewide Funding which includes the original signature of the County mental health director or designee or JPA designee to:

Mental Health Oversight and Accountability Commission  
PEI Statewide Program Funds  
1300 17<sup>th</sup> Street, Suite 1000  
Sacramento, CA 95814  
[www.mhsoac@dmh.ca.gov](http://www.mhsoac@dmh.ca.gov)

**and**

California Department of Mental Health  
Attention: Sandra Black  
Prevention, Education and Training Section  
State Level Program Branch  
1600 9<sup>th</sup> Street, Room 150  
Sacramento, CA 95814  
[PEI@dmh.ca.gov](mailto:PEI@dmh.ca.gov)

#### **V. REVIEW, APPROVAL AND PAYMENT**

The MHSA specifies that PEI proposed expenditures are to be reviewed jointly by DMH and the MHSOAC with the final approval by the MHSOAC. The MHSOAC will notify the County of the approval of its funding request in writing. Funds will not be allowed for expenditures that are incurred prior to receiving MHSOAC's approval.

#### **VI. TECHNICAL ASSISTANCE**

Programs focused on Suicide Prevention, Stigma and Discrimination Reduction and Student Mental Health have received support from state-level stakeholders and are considered by the MHSOAC and DMH to be important areas of

investment. The MHSOAC and DMH are committed to providing assistance in clarifying Guidelines for plan development and for program design. For further information, clarification or questions about these Guidelines, please contact MHSOAC staff, Vivian Lee at (916) 445-8721 or [Vivian.lee@dmh.ca.gov](mailto:Vivian.lee@dmh.ca.gov). For statewide program design and planning questions you may contact DMH staff Sandra Black at [Sandra.black@dmh.ca.gov](mailto:Sandra.black@dmh.ca.gov), (916) 651-1120 or Cielo Avalos at [cielo.avalos@dmh.ca.gov](mailto:cielo.avalos@dmh.ca.gov), (916)651-5769.

The MHSOAC is pleased to provide this guidance which supports the strategic direction and recommended actions identified in the State Strategic Plans and provides additional opportunities to strengthen our joint efforts to reduce suicide, enhance the mental health of students, and reduce stigma and discrimination throughout California.

Enclosures:

- Enclosure A: County Certification
- Enclosure A.1: JPA Certification
- Enclosure B: Description of Local Review Process
- Enclosure C: County Distribution Agreement – Provide PEI Statewide Funds to JPA for Implementation of Statewide Programs
- Enclosure D: Implementation of Statewide or Replicable Programs through Multi-County Collaboratives
- Enclosure E: Phase II Approval - JPA Statewide Program Implementation
- Enclosure F: PEI Statewide Funding Request Budget Form
- Enclosure F.1: PEI Statewide Funding Request Budget Narrative
- Enclosure F.2: PEI Statewide Funding Request Budget Summary
- Enclosure G: Matrix of Plan Requirement Documents