



MENTAL HEALTH SERVICES ACT (MHSA) ANNUAL REVENUE AND EXPENDITURE REPORT FISCAL YEAR 2012-13

Thank you for your interest in the Mental Health Services Act (MHSA) Revenue and Expenditure Report. This report is being posted both to inform stakeholders of how MHSA funds are allocated and spent and in compliance with laws that require the information to be made available to the public. The purpose of the MHSA Annual Revenue and Expenditure Report (ARER) is to identify how MHSA funds that Tri-City Mental Health Authority received were spent, show the amount of additional funds that were able to be used for mental health services through the leveraging or matching of MHSA funds, identify MHSA funds that were not used, report any interest earned on MHSA funds, and to determine if any MHSA funds might need to be reverted (returned) to the State.

This ARER should be considered a preliminary report, as it cannot be considered final until Tri-City's Medi-Cal cost report is finalized. As such, the ARER may be updated in the future.

Should you have any questions or concerns related to this report, please feel free to contact the Finance Department at (909) 623-6131 or email at MHSAfinance@tricitymhs.org

Thank you.

Tri-City Mental Health Authority

Administrative Office / 1717 North Indian Hill Boulevard, Suite B, Claremont, CA 91711-2788 / 909.623.6131 *p* / 909. 623.4073 *f*

Main Clinical Office / 2008 North Garey Avenue, Pomona, CA 91767-2722 / 909.623.6131 *p* / 909.865-9281 *f*

Clinical Office / Children / 1900 Royalty Drive, Pomona, CA 91767 / 909.784.3200 *p* / 909.865.0730 *f*

Wellness Center / 1403 North Garey Avenue, Pomona, CA 91767 / 909.242.7600 *p* / 909.242.7691 *f*

MHSA Office / 2001 North Garey Avenue, Pomona, CA 91767 / 909.325.4600 *p* / 909.326.4690 *f*

www.tricitymhs.org

Founded by Pomona, Claremont and La Verne in 1960

MHSA COUNTY FISCAL ACCOUNTABILITY CERTIFICATION¹

County/City: Tri-City Mental Health Authority

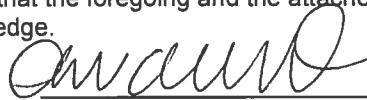
- Three-Year Program and Expenditure Plan
- Annual Update
- Annual Revenue and Expenditure Report

Local Mental Health Director	County Auditor-Controller / City Financial Officer
Name: Antonette (Toni) Navarro	Name: Margaret Harris
Telephone Number: (909) 623-6131	Telephone Number: (909) 451-6423
E-mail: anavarro@tricitymhs.org	E-mail: mharris@tricitymhs.org
Local Mental Health Mailing Address:	
1717 N. Indian Hill Boulevard, Suite B Claremont, CA 91711	

I hereby certify that the Three-Year Program and Expenditure Plan, Annual Update or Annual Revenue and Expenditure Report is true and correct and that the County has complied with all fiscal accountability requirements as required by law or as directed by the State Department of Health Care Services and the Mental Health Services Oversight and Accountability Commission, and that all expenditures are consistent with the requirements of the Mental Health Services Act (MHSA), including Welfare and Institutions Code (WIC) sections 5813.5, 5830, 5840, 5847, 5891, and 5892; and Title 9 of the California Code of Regulations sections 3400 and 3410. I further certify that all expenditures are consistent with an approved plan or update and that MHSA funds will only be used for programs specified in the Mental Health Services Act. Other than funds placed in a reserve in accordance with an approved plan, any funds allocated to a county which are not spent for their authorized purpose within the time period specified in WIC section 5892(h), shall revert to the state to be deposited into the fund and available for counties in future years.

I declare under penalty of perjury under the laws of this state that the foregoing and the attached update/revenue and expenditure report is true and correct to the best of my knowledge.

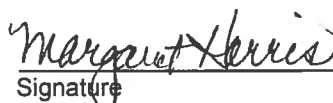
Antonette (Toni) Navarro
Local Mental Health Director (PRINT)

 4/15/2015
Signature Date

I hereby certify that for the fiscal year ended June 30, 2013, the County/City has maintained an interest-bearing local Mental Health Services (MHS) Fund (WIC 5892(f)); and that the County's/City's financial statements are audited annually by an independent auditor and the most recent audit report is dated 10/09/2014 for the fiscal year ended June 30, 2014. I further certify that for the fiscal year ended June 30, 2013, the State MHSA distributions were recorded as revenues in the local MHS Fund; that County/City MHSA expenditures and transfers out were appropriated by the Board of Supervisors and recorded in compliance with such appropriations; and that the County/City has complied with WIC section 5891(a), in that local MHS funds may not be loaned to a county general fund or any other county fund.

I declare under penalty of perjury under the laws of this state that the foregoing, and if there is a revenue and expenditure report attached, is true and correct to the best of my knowledge.

Margaret Harris
County Auditor Controller / City Financial Officer (PRINT)

 4/15/2015
Signature Date

¹ Welfare and Institutions Code Sections 5847(b)(9) and 5899(a)
Three-Year Program and Expenditure Plan, Annual Update, and RER Certification (07/22/2013)

**Fiscal Year 2012-13
Community Services and Supports (CSS) Summary**

County: Tri-City Mental Health

Date:

3/25/2015

Community Services and Supports Component	Total (Gross) Mental Health Expenditures
FSP Programs	
1 CSS Program 1a-Child FSP	\$935,070
2 CSS Program 1b-TAY FSP	\$819,467
3 CSS Program 1c-Adult FSP	\$1,471,852
4 CSS Program 1d-Older Adult FSP	\$433,151
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Subtotal FSP Programs	\$3,659,540
Non-FSP Programs	
1 Community Navigators	\$398,755
2 Wellness Center	\$973,969
3 Field Capable Services	\$175,203
4 Supplemental Crisis Support Services	\$63,607
5 CSS Housing	\$615,120
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Subtotal Non-FSP Programs	\$2,226,654
Total FSP and Non-FSP Programs	\$5,886,194
CSS Evaluation	\$108,183
CSS Administration	\$977,853
CSS MHSA Housing Program Assigned Funds	\$0
Total CSS Expenditures	\$6,972,230

**Year 2012-13
Prevention and Early Intervention (PEI) Summary**

County: Tri-City Mental Health

Date:

3/25/2015

Prevention and Early Intervention Component	(A) Total (Gross) Mental Health Expenditures
PEI Programs-Prevention	
1 Community Capacity Building	\$689,292
2 Family Wellbeing	\$87,675
3 Student Wellbeing	\$212,100
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Subtotal PEI Programs-Prevention	\$989,067
PEI Programs-Early Intervention	
15 Older Adult Wellbeing	\$80,964
16 Transition-Aged Youth Wellbeing	\$69,645
17 NAMI Community Capacity Building	\$31,040
18 Housing Stability Program	\$170,542
19 Therapeutic Community Gardening	\$150,666
20	
21	
22	
23	
Subtotal PEI Programs-Early Intervention	\$502,857
Total PEI Programs	\$1,491,924
PEI Evaluation	
PEI Administration	\$342,883
Total PEI Expenditures	\$1,834,807

**Fiscal Year 2012-13
Innovation (INN) Summary**

County: Tri-City Mental Health

Date:

3/25/2015

Innovation Component	(A) Total (Gross) Mental Health Expenditures
Innovation Programs	
1 Modifications to Cognitive Enhancement Therap	\$317,725
2 Integrated Services	\$168,634
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Total INN Programs	\$486,359
Innovation Evaluation	\$14,473
Innovation Administration	\$92,423
Total Innovation Expenditures	\$593,255

**Fiscal Year 2012-13
TTACB, WET RP & PEI SWP Summary**

County: Tri-City Mental Health

Date:

3/25/2015

	(A) Total (Gross) Expenditures
Training, Technical Assistance and Capacity	\$31,528
WET Regional Partnerships	\$0
PEI Statewide Projects	\$215,528

**Annual Mental Health Services Act Revenue and Expenditure Report
FY 2012-13 Summary**

TABLE A

COUNTY: Tri-City Mental Health

DATE: 3/25/2015

PEI Statewide Funds assigned to CalMHSA? (Y/N) YES

Fiscal Year 2012-13	(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(K)
	Community Services and Supports	Prevention and Early Intervention	Innovation	Workforce Education and Training	Capital Facilities and Technological Needs	TTACB	WET Regional Partnerships	PEI Statewide Projects Funds	Prudent Reserve	Total-All Components
1 Unspent Funds Available From Prior Fiscal Years¹										
a Local Prudent Reserve									\$2,696,200	\$2,696,200
b FY 2006-07 Funds				\$550,792						\$550,792
c FY 2007-08 Funds				\$548,200	\$2,059,600					\$2,607,800
d FY 2008-09 Funds	\$0	\$0	\$275,747	\$0	\$647,100	\$0		\$111,471		\$1,034,318
e FY 2009-10 Funds	\$0	\$0	\$402,600	\$0	\$0	\$0		\$204,300		\$606,900
f FY 2010-11 Funds	\$17,075	\$1,051,323	\$667,100	\$0	\$0	\$31,200		\$204,300		\$1,970,998
g FY 2011-12 Funds	\$2,464,620	\$633,480	\$162,900	\$0	\$0			\$204,300		\$3,465,300
h Interest	\$22,137	\$13,810	\$5,484	\$4,199	\$9,934	\$265				\$55,829
i TOTAL	\$2,503,832	\$1,698,613	\$1,513,831	\$1,103,191	\$2,716,634	\$31,465	\$0	\$724,371	\$2,696,200	\$12,988,137
2 MHSA Funds Revenue in FY 2012-13										
a Transfer of funds from the Local Prudent Reserve	\$0								\$0	\$0
b Revenue received from the State MHSA Fund ²										
1 FY 2012-13 MHSA Funds	\$7,759,340	\$1,951,385	\$510,986							\$10,221,711
c Interest Earned on MHSA Funds	\$13,326	\$4,964	\$4,041	\$2,736	\$8,186	\$63		\$8,261	\$8,277	\$49,854
d TOTAL	\$7,772,666	\$1,956,349	\$515,027	\$2,736	\$8,186	\$63	\$0	\$8,261	\$8,277	\$10,271,565
3 Expenditure and Funding Sources for FY 2012-13³										
a FY 2006-07 MHSA Funds				\$183,354						\$183,354
b FY 2007-08 MHSA Funds					\$126,330					\$126,330
c FY 2008-09 MHSA Funds										\$0
d FY 2009-10 MHSA Funds										\$0
e FY 2010-11 MHSA Funds	\$17,075	\$1,051,323	\$546,260			\$31,200		\$204,300		\$1,850,158
f FY 2011-12 MHSA Funds	\$2,364,620	\$633,480						\$11,228		\$3,009,328
g FY 2012-13 MHSA Funds	\$2,370,569	\$136,194								\$2,506,763
h Interest	\$9,615	\$13,810				\$328				\$23,753
i 1991 Realignment										\$0
j Behavioral Health Subaccount	\$631,878									\$631,878
k Other	\$1,578,473		\$46,995							\$1,625,468
l TOTAL	\$6,972,230	\$1,834,807	\$593,255	\$183,354	\$126,330	\$31,528	\$0	\$215,528		\$9,957,032
m Total Program Expenditures	\$6,972,230	\$1,834,807	\$593,255	\$183,354	\$126,330	\$31,528	\$0	\$215,528		\$9,957,032

NOTE TO COUNTY: Total Program Expenditures, 3(l), MUST match Total Expenditure Funding Sources, 3(k). If ERROR, recheck and correct.

COUNTY: Tri-City Mental Health

DATE: 3/25/2015

PEI Statewide Funds assigned to CalMHSA? (Y/N)	YES
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Fiscal Year 2012-13	(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(K)
	Community Services and Supports	Prevention and Early Intervention	Innovation	Workforce Education and Training	Capital Facilities and Technological Needs	TTACB	WET Regional Partnerships	PEI Statewide Projects Funds	Prudent Reserve	Total-All Components
4 Transfers to Prudent Reserve, WET, CFTN⁴										
a FY 2010-11	\$0									\$0
b FY 2011-12	-\$100,000								\$100,000	\$0
c FY 2012-13	\$0									\$0
5 Adjustments⁵										
a Local Prudent Reserve										\$0
b FY 2006-07 Funds										\$0
c FY 2007-08 Funds										\$0
d FY 2008-09 Funds										\$0
e FY 2009-10 Funds										\$0
f FY 2010-11 Funds										\$0
g FY 2011-12 Funds										\$0
h FY 2012-13 Funds										\$0
i Interest	-\$25,848	-\$4,372						\$978	\$30,220	\$978
j TOTAL	-\$25,848	-\$4,372	\$0	\$0	\$0	\$0	\$0	\$978	\$30,220	\$978
6 Unspent Funds in the Local MHS Fund⁶										
a Local Prudent Reserve Balance									\$2,834,697	\$2,834,697
b FY 2006-07 Funds				\$367,438						\$367,438
c FY 2007-08 Funds				\$548,200	\$1,933,270					\$2,481,470
d FY 2008-09 Funds	\$0	\$0	\$275,747	\$0	\$647,100	\$0	\$0	\$111,471		\$1,034,318
e FY 2009-10 Funds	\$0	\$0	\$402,600	\$0	\$0	\$0	\$0	\$204,300		\$606,900
f FY 2010-11 Funds	\$0	\$0	\$120,840	\$0	\$0	\$0	\$0	\$0		\$120,840
g FY 2011-12 Funds	\$0	\$0	\$162,900	\$0	\$0	\$0	\$0	\$193,072		\$355,972
h FY 2012-13 Funds	\$5,388,771	\$1,815,191	\$510,986	\$0	\$0					\$7,714,948
i Interest	\$0	\$592	\$9,525	\$6,935	\$18,120	\$0	\$0	\$9,239		\$44,411
j TOTAL	\$5,388,771	\$1,815,783	\$1,482,598	\$922,573	\$2,598,490	\$0	\$0	\$518,082	\$2,834,697	\$15,560,994

TABLE B⁷

Estimated FFP Revenue Generated In FY 2012-13	Amount
Federal Financial Participation (FFP)	\$1,595,373

RER Contact Person	
Name	Margaret Harris
Title	Chief Financial Officer
Phone	909 623-6131
Email	mharris@tricitymhs.org

**Annual Mental Health Services Act Revenue and Expenditure Report for Fiscal Year 2012-13
Adjustments Summary**

County: Tri-City Mental Health

Date: 3/25/2015

FY	Amount	Reason For Adjustment
CSS Interest	-\$25,848	Reclassify interest earned through FY 2012 on CSS funds transferred to Prudent Reserves to the Prudent Reserve Fund Balance
PEI Interest	-\$4,372	Reclassify interest earned through FY 2012 on PEI funds transferred to Prudent Reserves to the Prudent Reserve Fund Balance
Prudent Res	\$30,220	Reclassify interest earned on Prudent Reserves through FY 2012 previously classified in CSS and PEI fund balances
		NOTE: These adjustments are solely to reclassify interest earned on the Prudent Reserve Balances that were previously reflected in the CSS component and the PEI component. Please note, that Tri-City's Three Year PEI plan was approved in May 2010 (FY09-10) and the APPROVED PEI plan included a transfer of 2007-08 PEI funds to the Prudent Reserve at the end of FY 2009-10.
FY11/12	\$978	PEI Statewide Projects interest not included in FY2011/12 RER
TOTAL	\$978	
	\$978	

NOTE TO COUNTY: Total Adjustments in cell B22 MUST match Total Adjustments in cell P55 on the RER Summary Worksheet. If ERROR, recheck and correct.

**Annual Mental Health Services Act Revenue and Expenditure Report
FY 2012-13**

END NOTES:

- ¹ Total unspent funds from prior fiscal years MUST match the Total Unspent Funds in the Local MHS Fund from prior year RER.
- ² DHCS will utilize the allocation report provided by the SCO and counties should utilize the same report when reporting MHSA revenue. The report is available at: http://www.sco.ca.gov/ard_payments_mentalhealthservicefund.html
- ³ Expenditure funding sources for each component must equal the total program expenditures as reported on the Component Summary Worksheets.
- ⁴ WIC Section 5892(b) permits a County to use up to 20 percent of the average amount of funds allocated to the county for the previous five years to fund technological needs and capital facilities, human resource needs, and a prudent reserve. The amount of funds transferred from CSS will be reported in the CSS column as a negative amount. The funds transferred into WET, CFTN, or Prudent Reserve should be reflected as a positive amount. For each year reported, the amount transferred from CSS should equal zero when added to the funds transferred into WET, CFTN, or Prudent Reserve.
- ⁵ Payments from the MHSA Fund should be reflected in the Adjustments section as a negative amount. Receipts into the MHSA Fund should be reflected in the Adjustments section as a positive amount.
- ⁶ Total Unspent in the Local MHS Fund will auto populate for each Fiscal Year.
- ⁷ The FFP amount represents the estimated FFP revenue generated in FY 2012-13 and attributable to MHSA funds.