



**MENTAL HEALTH SERVICES ACT (MHSA)  
ANNUAL REVENUE AND EXPENDITURE REPORT  
FISCAL YEAR 2013-14**

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](mailto: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](http://www.tricitymhs.org)

*Founded by Pomona, Claremont and La Verne in 1960*

# MHSA COUNTY FISCAL ACCOUNTABILITY CERTIFICATION<sup>1</sup>

County/City: Tri-City Mental Health Authority

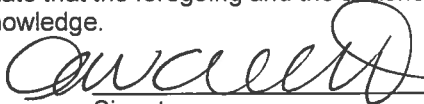
- Three-Year Program and Expenditure Plan  
 Annual Update  
 Annual Revenue and Expenditure Report Revised

Local Mental Health Director	County Auditor-Controller / City Financial Officer
Name: Antonette (Toni) Navarro	Name: Diana Acosta
Telephone Number: (909)623-6131	Telephone Number: (909)451-6434
E-mail: anavarro@tricitymhs.org	E-mail: dacosta@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 MHSA. 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.

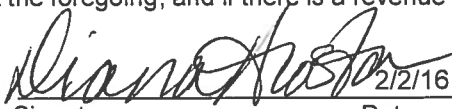
Antonette (Toni) Navarro  
 Local Mental Health Director (PRINT)

  
 Signature 2/2/16  
 Date

I hereby certify that for the fiscal year ended June 30, 2014, 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 10/09/14 for the fiscal year ended June 30, 2014. I further certify that for the fiscal year ended June 30, 2014, 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.

Diana Acosta  
 County Auditor Controller / City Financial Officer (PRINT)

  
 Signature 2/2/16  
 Date

<sup>1</sup> 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)

**Annual Mental Health Services Act Revenue and Expenditure Report for  
Fiscal Year 2013-14  
Community Services and Supports (CSS) Summary**

County: TRI-CITY MENTAL HEALTH AUTHORITY      Date: 2/2/2016-Revised

Community Services and Supports Component	Total (Gross) Mental Health Expenditures
<b>FSP Programs</b>	
1 CSS Program 1a-Child FSP	\$1,138,174
2 CSS Program 1b-TAY FSP	\$818,124
3 CSS Program 1c-Adult FSP	\$1,688,399
4 CSS Program 1d-Older Adult FSP	\$444,267
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Subtotal FSP Programs	\$4,088,964
<b>Non-FSP Programs</b>	
1 Community Navigators	\$449,607
2 Wellness Center	\$1,006,576
3 Field Capable Services	\$95,636
4 Supplemental Crisis Support Services	\$120,401
5 CSS Housing	\$221,633
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Subtotal Non-FSP Programs	\$1,893,853
<b>Total FSP and Non-FSP Programs</b>	\$5,982,817
<b>CSS Evaluation</b>	\$268,130
<b>CSS Administration</b>	\$877,910
<b>CSS MHSA Housing Program Assigned Funds</b>	\$0
<b>Total CSS Expenditures</b>	\$7,128,857

**Annual Mental Health Services Act Revenue and Expenditure Report for  
Fiscal Year 2013-14  
Prevention and Early Intervention (PEI) Summary**

County: TRI-CITY MENTAL HEALTH AUTHORITY

Date: 2/2/2016-Revised

	(A)
Prevention and Early Intervention Component	Total (Gross) Mental Health Expenditures
<b>PEI Programs-Prevention</b>	
1 Community Capacity Building	\$737,065
2 Family Wellbeing	\$88,648
3 Student Wellbeing	\$44,219
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Subtotal PEI Programs-Prevention	\$869,932
<b>PEI Programs-Early Intervention</b>	
1 Older Adult Wellbeing	\$80,950
2 Transition-Aged Youth Wellbeing	\$63,811
3 NAMI Community Capacity Building	\$62,437
4 Housing Stability Program	\$202,121
5 Therapeutic Community Gardening	\$146,059
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Subtotal PEI Programs-Prevention	\$555,378
<b>PEI Programs-Other</b>	
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3	
Subtotal PEI Programs-Other	\$0
<b>Subtotal PEI Programs-Prevention &amp; Early Intervention and Other</b>	\$1,425,310
<b>PEI Evaluation</b>	\$9,129
<b>PEI Administration</b>	\$318,623
<b>Total PEI Expenditures</b>	\$1,753,062

**Annual Mental Health Services Act Revenue and Expenditure Report for  
Fiscal Year 2013-14  
Innovation (INN) Summary**

**County:** TRI-CITY MENTAL HEALTH AUTHOR **Date:** 2/2/2016-Revised

<b>Innovation Component</b>	<b>(A) Total (Gross) Mental Health Expenditures</b>
<b>Innovation Programs</b>	
1 Modifications to Cognitive Enhancement Therap	\$222,431
2 Integrated Services	\$254,304
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<b>Subtotal</b>	<b>\$476,735</b>
<b>Innovation Evaluation</b>	<b>\$15,538</b>
<b>Innovation Administration</b>	<b>\$69,274</b>
<b>Total Innovation Expenditures</b>	<b>\$561,547</b>

**Annual Mental Health Services Act Revenue and Expenditure Report for  
Fiscal Year 2013-14  
Workforce Education and Training (WET) Summary**

**County:** TRI-CITY MENTAL HEALTH AUTHORIT **Date:** 2/2/2016-Revised

<b>Workforce Education and Training Component</b>	<b>(A) Total (Gross) Mental Health Expenditures</b>
<b>WET Funding Category</b>	
Workforce Staffing Support	\$76,156
Training and Technical Assistance	\$102,265
Mental Health Career Pathways Programs	\$12,240
Residency and Internship Programs	
Financial Incentive Programs	
<b>Total WET Programs</b>	<b>\$190,661</b>
<b>WET Administration</b>	<b>\$25,473</b>
<b>Total WET Expenditures</b>	<b>\$216,134</b>

**Annual Mental Health Services Act Revenue and Expenditure Report  
Fiscal Year 2013-14  
Capital Facilities/Technological Needs (CF/TN) Summary**

**County:** TRI-CITY MENTAL HEALTH AUTHOR **Date:** 2/2/2016-Revised

	<b>(A)</b>
<b>Capital Facility/Technological Needs Projects</b>	<b>Total (Gross) Mental Health Expenditures</b>
<b>Capital Facility Projects</b>	
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<b>Total CF Projects</b>	\$0
<b>Capital Facility Administration</b>	
<b>Total Capital Facility Expenditures</b>	\$0
<b>Technological Needs Projects</b>	
1 Improvement to Electronic Health Records and	
2 Systems Enhancement	\$228,301
3 Consumer Access to Computing Resources	\$7,707
4 Program Monitoring and Outcome Sources	
5 Support	\$175,110
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<b>Total TN Projects</b>	\$411,118
<b>Technological Needs Administration</b>	\$80,297
<b>Total Technological Needs Expenditures</b>	\$491,415
<b>Total CFTN Expenditures</b>	\$491,415

**Annual Mental Health Services Act Revenue and Expenditure Report  
Fiscal Year 2013-14  
Other MHSa Funds Summary**

**County:** TRI-CITY MENTAL HEALTH AUTHO **Date:** 2/2/2016-Revised

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	<b>(A)</b> <b>Total (Gross) Expenditures</b>
<b>Training, Technical Assistance and Capacity Building</b>	
<b>WET Regional Partnerships</b>	
<b>PEI Statewide Projects</b>	<b>\$338,503</b>



**Annual Mental Health Services Act Revenue and Expenditure Report  
FY 2013-14 Summary**

**TABLE A**

COUNTY: TRI-CITY MENTAL HEALTH AUTHORITY

DATE: 2/2/2016 Revise

PEI Statewide Funds assigned to CalMHSA? (Y/N)	Y
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Fiscal Year 2013-14	(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(J)
	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
<b>1 Unspent Funds Available From Prior Fiscal Years</b>										
a Local Prudent Reserve									\$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			\$275,747		\$647,100			\$111,471		\$1,034,318
e FY 2009-10 Funds			\$402,600					\$204,300		\$606,900
f FY 2010-11 Funds			\$120,840							\$120,840
g FY 2011-12 Funds			\$162,900					\$193,072		\$355,972
h FY 2012-13 Funds	\$5,388,771	\$1,815,191	\$510,986							\$7,714,948
i Cumulative Interest		\$592	\$9,525	\$6,935	\$18,120			\$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
<b>2 MHSA Funds Revenue in FY 2013-14</b>										
a Transfer of funds from the Local Prudent Reserve									\$0	\$0
b FY 2013-14 MHSA Revenue Received	\$5,855,033	\$1,463,759	\$385,200							\$7,703,992
c FY 2013-14 Interest Earned on MHSA Funds	\$12,083	\$3,416	\$3,357	\$1,937	\$5,105			\$4,696	\$8,428	\$39,022
d TOTAL	\$5,867,116	\$1,467,175	\$388,557	\$1,937	\$5,105	\$0	\$0	\$4,696	\$8,428	\$7,743,014
<b>3 Expenditure and Funding Sources for FY 2013-14</b>										
<b>A MHSA Funds</b>										
a FY 2006-07 MHSA Funds				\$216,134						\$216,134
b FY 2007-08 MHSA Funds					\$491,415					\$491,415
c FY 2008-09 MHSA Funds										\$0
d FY 2009-10 MHSA Funds										\$0
e FY 2010-11 MHSA Funds										\$0
f FY 2011-12 MHSA Funds			\$162,900					\$324,568		\$487,468
g FY 2012-13 MHSA Funds	\$4,453,149	\$1,710,356	\$369,225							\$6,532,730
h FY 2013-14 MHSA Funds										\$0
<b>MHSA Net Expenditures Subtotal for FY 2013-14</b>	\$4,453,149	\$1,710,356	\$532,125	\$216,134	\$491,415	\$0	\$0	\$324,568		\$7,727,747
i Interest								\$13,935		\$13,935
<b>B Other Funds</b>										
a 1991 Realignment										\$0
b Behavioral Health Subaccount	\$753,380									\$753,380
c Other	\$1,922,328	\$42,706	\$29,422							\$1,994,456
d TOTAL MHSA and Other Funds	\$7,128,857	\$1,753,062	\$561,547	\$216,134	\$491,415	\$0	\$0	\$338,503		\$10,489,518
e Total Program Expenditures	\$7,128,857	\$1,753,062	\$561,547	\$216,134	\$491,415	\$0	\$0	\$338,503		\$10,489,518

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

PEI Statewide Funds assigned to CalMHSA? (Y/N)	Y
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Fiscal Year 2013-14		(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(J)
		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
<b>4</b>	<b>Transfers to Prudent Reserve, WET, CFTN<sup>4</sup></b>										
a	FY 2011-12	\$0									\$0
b	FY 2012-13	-\$665,000								\$665,000	\$0
c	FY 2013-14	\$0									\$0
<b>5</b>	<b>Adjustments<sup>5</sup></b>										
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	FY 2013-14 Funds										\$0
j	Interest										\$0
k	<b>TOTAL</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>6</b>	<b>Unspent Funds in the Local MHS Fund<sup>6</sup></b>										
a	Local Prudent Reserve Balance									\$3,508,125	\$3,508,125
b	FY 2006-07 Funds				\$151,304						\$151,304
c	FY 2007-08 Funds				\$548,200	\$1,441,855					\$1,990,055
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	\$0	\$0	\$0	\$0	\$0	-\$131,496		-\$131,496
h	FY 2012-13 Funds	\$270,622	\$104,835	\$141,761	\$0	\$0					\$517,218
i	FY 2013-14 Funds	\$5,855,033	\$1,463,759	\$385,200	\$0	\$0					\$7,703,992
j	Interest	\$12,083	\$4,008	\$12,882	\$8,872	\$23,225	\$0	\$0	\$0		\$61,070
k	<b>TOTAL</b>	\$6,137,738	\$1,572,602	\$1,339,030	\$708,376	\$2,112,180	\$0	\$0	\$184,275	\$3,508,125	\$15,562,326

**TABLE B<sup>7</sup>**

Estimated FFP Revenue Generated In FY 2013-14	Amount
Federal Financial Participation (FFP)	\$1,914,619

RER Contact Person	
<b>Name</b>	Diana Acosta
<b>Title</b>	Chief Financial Officer
<b>Phone</b>	909-623-6131
<b>Email</b>	dacosta@tricitymhs.org

**Annual Mental Health Services Act Revenue and Expenditure Report for  
Year 2013-14  
Adjustments Summary**

Fiscal

**County:** \_\_\_\_\_  
**Date:** 2/2/2016-Revised

FY	Amount	Reason For Adjustment
		The revised RER for FY 2013-14 is solely for the purpose of including the July 2014 remittance of \$909,615 as requested by DHCS. Tri-City had previously included the July 2014 remittance within the FY 2014-15 RER. This change will allow Tri-City to agree the amounts per the SCO website to the RER in FY 2014-15 and subsequent RER's. Note that this RER now includes 13 remittances as explained previously to DHCS.
TOTAL	<b>\$0</b>	
	<b>\$0</b>	

**NOTE TO COUNTY:** Total Adjustments recorded in the Adjustments Summary worksheet **MUST** match Total Adjustments recorded on the RER Summary Worksheet. If **ERROR**, recheck and correct.

**Annual Mental Health Services Act Revenue and Expenditure Report  
FY 2013-14**

**END NOTES:**

<sup>1</sup> Total unspent funds from prior fiscal years MUST match the Total Unspent Funds in the Local MHS Fund from prior year RER.

<sup>2</sup> DHCS will utilize the allocation report provided by the SCO and counties should utilize the same report when determining the total State MHSA Fund revenue to be reported on the FY 2013-14 RER. The report is available at:

[http://www.sco.ca.gov/ard\\_payments\\_mentalhealthservicefund.html](http://www.sco.ca.gov/ard_payments_mentalhealthservicefund.html)

<sup>3</sup> Expenditure funding sources for each component must equal the total program expenditures as reported on the Component Summary Worksheets.

<sup>4</sup> 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.

<sup>5</sup> 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.

<sup>6</sup> Total Unspent funds in the Local MHS Fund will auto populate for each Fiscal Year.

<sup>7</sup> The FFP amount represents the estimated FFP revenue generated in FY 2013-14 and attributable to MHSA funds.