



**MENTAL HEALTH SERVICES ACT (MHSA)
ANNUAL REVENUE AND EXPENDITURE REPORT
FISCAL YEAR 2014-15**

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

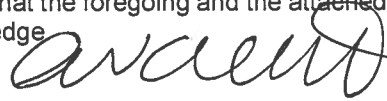
Revised

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

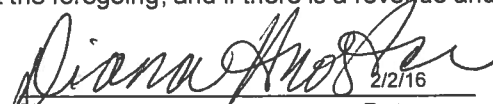
Antonette (Toni) Navarro
Local Mental Health Director (PRINT)


2/2/16
Signature Date

I hereby certify that for the fiscal year ended June 30, 2015, 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 11/12/15 for the fiscal year ended June 30, 2015. I further certify that for the fiscal year ended June 30, 2015, 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)


2/2/16
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)

**Annual Mental Health Services Act Revenue and Expenditure Report for
Fiscal Year 2014-15
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
FSP Programs	
1 CSS Program 1a-Child FSP	\$1,186,360
2 CSS Program 1b-TAY FSP	\$676,472
3 CSS Program 1c-Adult FSP	\$1,697,539
4 CSS Program 1d-Older Adult FSP	\$373,976
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Subtotal FSP Programs	\$3,934,347
Non-FSP Programs	
1 Community Navigators	\$413,854
2 Wellness Center	\$1,035,206
3 Field Capable Services	\$71,219
4 Supplemental Crisis Support Services	\$92,419
5 CSS Housing	\$248,694
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14	
15	
Subtotal Non-FSP Programs	\$1,861,392
Total FSP and Non-FSP Programs	\$5,795,739
CSS Evaluation	\$192,109
CSS Administration	\$1,000,083
CSS MHSA Housing Program Assigned Funds	
Total CSS Expenditures	\$6,987,931

**Annual Mental Health Services Act Revenue and Expenditure Report for
Fiscal Year 2014-15
Prevention and Early Intervention (PEI) Summary**

County: TRI-CITY MENTAL HEALTH AUTHORITY

Date: 2/2/2016-Revised

Prevention and Early Intervention Component	(A) Total (Gross) Mental Health Expenditures
PEI Programs-Prevention	
1 Community Capacity Building	\$813,613
2 Family Wellbeing	\$91,537
3 Student Wellbeing	\$14,740
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15	
Subtotal PEI Programs-Prevention	\$919,890
PEI Programs-Early Intervention	
1 Older Adult Wellbeing	\$72,382
2 Transition-Aged Youth Wellbeing	\$53,734
3 NAMI Community Capacity Building	\$64,906
4 Housing Stability Program	\$188,096
5 Therapeutic Community Gardening	\$199,075
6	
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Subtotal PEI Programs-Prevention	\$578,193
PEI Programs-Other	
1	
2	
3	
Subtotal PEI Programs-Other	\$0
Subtotal PEI Programs-Prevention & Early Intervention and Other	\$1,498,083
PEI Evaluation	\$17,832
PEI Administration	\$334,668
Total PEI Expenditures	\$1,850,583

**Annual Mental Health Services Act Revenue and Expenditure Report for
Fiscal Year 2014-15
Innovation (INN) Summary**

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

Innovation Component	(A) Total (Gross) Mental Health Expenditures
Innovation Programs	
1 Modification to Cognitive Enhancement Therap	\$231,247
2 Integrated Care (previously Integrated Services	\$279,465
3 Cognitive Remediation Therapy Project	\$61,646
4 Employment Stability	\$7,972
5	\$0
6	\$0
7	\$0
8	\$0
9	\$0
10	\$0
11	\$0
12	\$0
13	\$0
14	\$0
15	\$0
16	\$0
17	\$0
18	\$0
19	\$0
20	\$0
21	\$0
22	\$0
23	\$0
24	\$0
25	\$0
Subtotal	\$580,330
Innovation Evaluation	\$8,639
Innovation Administration	\$100,675
Total Innovation Expenditures	\$689,644

**Annual Mental Health Services Act Revenue and Expenditure Report for
Fiscal Year 2014-15
Workforce Education and Training (WET) Summary**

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

Workforce Education and Training Component	(A) Total (Gross) Mental Health Expenditures
WET Funding Category	
Workforce Staffing Support	\$90,506
Training and Technical Assistance	\$100,817
Mental Health Career Pathways Programs	\$5,148
Residency and Internship Programs	\$0
Financial Incentive Programs	\$0
Total WET Programs	\$196,471
WET Administration	\$30,744
Total WET Expenditures	\$227,215

**Annual Mental Health Services Act Revenue and Expenditure Report
Fiscal Year 2014-15
Capital Facilities/Technological Needs (CF/TN) Summary**

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

	(A)
Capital Facility/Technological Needs Projects	Total (Gross) Mental Health Expenditures
Capital Facility Projects	
1 MHSO Office Building	\$108,753
2	
3	
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Total CF Projects	\$108,753
Capital Facility Administration	
Total Capital Facility Expenditures	\$108,753
Technological Needs Projects	
1 Improvement to Electronic Health Records and	\$91,474
2 Systems Enhancement	
3 Consumer Access to Computing Resources	\$14,675
4 Program Monitoring and Outcome Sources	\$91,835
5 Support	
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13	
Total TN Projects	\$197,984
Technological Needs Administration	\$49,967
Total Technological Needs Expenditures	\$247,951
Total CFTN Expenditures	\$356,704

Annual Mental Health Services Act Revenue and Expenditure Report
Fiscal Year 2014-15
Other MHSa Funds Summary

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

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

**Annual Mental Health Services Act Revenue and Expenditure Report
Fiscal Year 2014-15
Unencumbered Housing Funds Summary**

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

	(A) Total (Gross) Expenditures
Unencumbered Housing Funds	\$0

Annual Mental Health Services Act Revenue and Expenditure Report
FY 2014-15 Summary

TABLE A

COUNTY: TRI-CITY MENTAL HEALTH AUTHORITY

DATE: 2/2/2016 Revise

PEI Statewide Funds assigned to CalMHSA? (Y/N)		Y										
Fiscal Year 2014-15		(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(J)	(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	Unencumbered Housing Funds	Prudent Reserve	Total-All Components
1	Unspent Funds Available From Prior Fiscal Years¹											
	a Local Prudent Reserve										\$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	\$0			\$922,847
	e FY 2009-10 Funds	\$0	\$0	\$402,600	\$0	\$0	\$0	\$0	\$0			\$402,600
	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	\$0			\$0
	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 Cumulative Interest	\$12,083	\$4,008	\$12,882	\$8,872	\$23,225	\$0	\$0	\$0			\$61,070
	k TOTAL	\$6,137,738	\$1,572,602	\$1,339,030	\$708,376	\$2,112,180	\$0	\$0	\$0	\$0	\$3,508,125	\$15,378,051
2	MHSA Funds Revenue in FY 2014-15²											
	a Transfer of funds from the Local Prudent Reserve										\$0	\$0
	b FY 2014-15 MHSA Revenue Received	\$7,329,061	\$1,832,266	\$482,175								\$9,643,502
	c FY 2014-15 Interest Earned on MHSA Funds	\$17,265	\$4,419	\$3,295	\$1,629	\$4,623					\$9,142	\$40,373
	d TOTAL	\$7,346,326	\$1,836,685	\$485,470	\$1,629	\$4,623	\$0	\$0	\$0	\$0	\$9,142	\$9,683,875
3	Expenditure and Funding Sources for FY 2014-15³											
	A MHSA Funds											
	a FY 2006-07 MHSA Funds				\$151,304							\$151,304
	b FY 2007-08 MHSA Funds				\$75,911	\$356,704						\$432,615
	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											\$0
	g FY 2012-13 MHSA Funds	\$270,622	\$104,835	\$141,761								\$517,218
	h FY 2013-14 MHSA Funds	\$3,514,537	\$1,290,932	\$339,719								\$5,145,188
	i FY 2014-15 MHSA Funds		\$430,664	\$166,523								\$597,187
	MHSA Net Expenditures Subtotal for FY 2014-15	\$3,785,159	\$1,826,431	\$648,003	\$227,215	\$356,704	\$0	\$0	\$0	\$0		\$6,843,512
	j Interest	\$12,083	\$4,008	\$12,882								\$28,973
	B Other Funds											
	a 1991 Realignment											\$0
	b Behavioral Health Subaccount	\$678,214										\$678,214
	c Other	\$2,512,475	\$20,144	\$28,759								\$2,561,378
	d TOTAL MHSA and Other Funds	\$6,987,931	\$1,850,583	\$689,644	\$227,215	\$356,704	\$0	\$0	\$0	\$0		\$10,112,077
	e Total Program Expenditures	\$6,987,931	\$1,850,583	\$689,644	\$227,215	\$356,704	\$0	\$0	\$0	\$0		\$10,112,077

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 2014-15	(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(J)	(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	Unencumbered Housing Funds	Prudent Reserve	Total-All Components
4 Transfers to Prudent Reserve, WET, CFTN⁴											
a FY 2012-13	\$0										\$0
b FY 2013-14	\$0										\$0
c FY 2014-15	\$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 FY 2013-14 Funds											\$0
j FY 2014-15 Funds											\$0
k Interest											\$0
l TOTAL	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
6 Unspent Funds in the Local MHS Fund⁶											
a Local Prudent Reserve Balance										\$3,517,267	\$3,517,267
b FY 2006-07 Funds				\$0							\$0
c FY 2007-08 Funds				\$472,289	\$1,085,151						\$1,557,440
d FY 2008-09 Funds	\$0	\$0	\$275,747	\$0	\$647,100	\$0	\$0	\$0			\$922,847
e FY 2009-10 Funds	\$0	\$0	\$402,600	\$0	\$0	\$0	\$0	\$0			\$402,600
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	\$0			\$0
h FY 2012-13 Funds	\$0	\$0	\$0	\$0	\$0						\$0
i FY 2013-14 Funds	\$2,340,496	\$172,827	\$45,481	\$0	\$0						\$2,558,804
j FY 2014-15 Funds	\$7,329,061	\$1,401,602	\$315,652	\$0	\$0		\$0		\$0		\$9,046,315
k Interest	\$17,265	\$4,419	\$3,295	\$10,501	\$27,848	\$0	\$0	\$0	\$0		\$63,328
l TOTAL	\$9,686,822	\$1,578,848	\$1,163,615	\$482,790	\$1,760,099	\$0	\$0	\$0	\$0	\$3,517,267	\$18,189,441

Estimated FFP Revenue Generated In FY 2014-15	Amount
Federal Financial Participation (FFP)	\$2,491,133

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

**Annual Mental Health Services Act Revenue and Expenditure Report for
Year 2014-15
Adjustments Summary**

Fiscal

County: _____
Date: 2/2/2016-Revised

FY	Amount	Reason For Adjustment
	\$0	Note to reviewer: the PEI State Wide Projects Fund (Column H at RER Summary) was left with no values in column per DHCS Information Notice #15-053 dated December 2, 2015 as Tri-City has assigned its funds to CalMHSA.
	\$0	This Revised RER now includes the 12 remittances received by Tri-City relating to Fiscal Year 2014-15 as required by DHCS. Please note however that the 12th remittance was not received by Tri-City until July 2015. The MHSA Revenue in this revised RER now agrees to the total amount on the SCO Website.
TOTAL	\$0	
	\$0	

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 2014-15**

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 determining the total State MHSA Fund revenue to be reported on the FY 2014-15 RER. 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 funds in the Local MHS Fund will auto populate for each Fiscal Year.

⁷ The FFP amount represents the estimated FFP revenue generated in FY 2014-15 and attributable to MHSA funds.