



**MENTAL HEALTH SERVICES ACT (MHSA)
ANNUAL REVENUE AND EXPENDITURE REPORT
FISCAL YEAR 2015-16**

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

<p style="text-align: center;">Local Mental Health Director</p> <p>Name: Antonette (Toni) Navarro</p> <p>Telephone Number: (909)623-6131</p> <p>E-mail: Anavarro@tricitymhs.org</p>	<p style="text-align: center;">County Auditor-Controller / City Financial Officer</p> <p>Name: Diana Acosta</p> <p>Telephone Number: (909)454-6434</p> <p>E-mail: Dacosta@tricitymhs.org</p>
<p>Local Mental Health Mailing Address:</p> <p>1717 N. Indian Hill Blvd. Claremont, CA 91711</p>	

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.

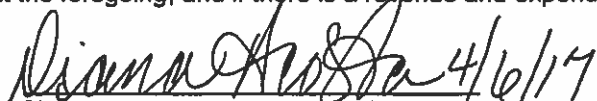
Antonette (Toni) Navarro
Local Mental Health Director (PRINT)


Signature Date 4/6/17

I hereby certify that for the fiscal year ended June 30, 2016, 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 10/7/2016 for the fiscal year ended June 30, 2016. I further certify that for the fiscal year ended June 30, 2016, 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 Date 4/6/17

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 Expenditures Report for Fiscal Year 2015-16 Community Services and Support (CSS) Summary					
County: TRI-CITY MENTAL HEALTH AUTHORITY			Date: 4/6/2017		
Community Services and Supports Component	*Target Population				Total (Gross) Mental Health Expenditures
	C	TAY	A	OA	
FSP Programs					
1 FSP-Child	X				\$1,229,628
2 FSP-TAY		X			\$672,967
3 FSP-Adult			X		\$1,780,524
4 FSP-Older Adult				X	\$381,731
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
16					
20					
21					
22					
23					
24					
25					
Subtotal FSP Programs					\$4,064,850
Non-FSP Programs					
1 Navigators	X	X	X	X	\$430,688
2 Wellness Center	X	X	X	X	\$1,181,693
3 Supplemental Crisis Support Services	X	X	X	X	\$229,079
4 Field Capable Services				X	\$87,992
5 CSS Housing	X	X	X	X	\$833,449
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
Subtotal Non-FSP Programs					\$2,762,901
Total FSP and Non-FSP Programs					\$6,827,751
CSS Evaluation					\$11,349
CSS Administration					\$1,367,057
CSS MHA Housing Program Assigned Funds					
Total CSS Expenditures					\$8,206,157

* Please place an "X" in the target populations that is served by the program.

Annual Mental Health Services Act Revenue and Expenditure Report for						
Fiscal Year 2015-16						
Prevention and Early Intervention (PEI) Summary						
County: TRI-CITY MENTAL HEALTH AUTHORITY			Date: 4/6/2017			
Prevention and Early Intervention Component	**Target Population				Total (Gross) Mental Health	* Estimated %
	C	TAY	A	OA		
PEI Programs-Prevention						
1 Family Wellbeing	X	X			\$46,739.00	37%
2 Older Adult Wellbeing (Peer Mentoring)				X	\$44,319.00	35%
3 Transition-Aged Youth Wellbeing (Peer Mentoring)		X			\$35,652.00	28%
4						0%
5						0%
6						0%
7						0%
8						0%
9						0%
10						0%
11						0%
12						0%
13						0%
14						0%
15						0%
Subtotal PEI Programs-Prevention					\$126,710	100%
PEI Programs-Early Intervention						
1 Family Wellbeing	X	X			\$46,739	8%
2 Older Adult Wellbeing (Peer Mentoring)				X	\$44,319	7%
3 Transition-Aged Youth Wellbeing (Peer Mentoring)		X			\$35,652	6%
4 Therapeutic Community Garden	X	X	X	X	\$208,676	34%
5 Housing Stability Program	X	X	X	X	\$286,332	46%
6						0%
7						0%
8						0%
9						0%
10						0%
11						0%
12						0%
13						0%
14						0%
15						0%
Subtotal PEI Programs-Early Intervention					\$621,718	100%
PEI Programs-Other						
1 Community Capacity (Community Wellbeing, Mental Health First	X	X	X	X	\$861,662	93%
2 Aid Training Programs and Stigma Reduction Programs)						0%
3 NAMI Community Capacity Building Program (Interfaith		X	X	X	\$65,975	7%
4 Collaborative and Parents & Teachers as Allies Programs)						0%
5						0%
Subtotal PEI Programs-Other					\$927,637	100%
Subtotal PEI Programs-Prevention & Early Intervention and Other					\$1,676,065	
PEI Evaluation					\$11,349	
PEI Administration					\$405,311	
PEI Funds transfer to CalMHSA or JPA						
Total PEI Expenditures					\$2,092,725	

* If PEI programs are combined, the County shall estimate the percentage of funds dedicated to each Program

* Please place an "X" in the target populations that is served by each program.

Annual Mental Health Services Act Revenue and Expenditure Report for Fiscal Year 2015-16 Innovation (INN) Summary					
County: CITY MENTAL HEALTH AUTHORITY			Date: 4/6/2017		
Innovation Component	*Target Population				Total (Gross) Mental Health Expenditures
Innovation Programs	C	TAY	A	OA	
1 Cognitive Remediation Therapy		X	X		\$225,697
2 Employment Stability		X	X	X	\$210,810
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20					
21					
22					
23					
24					
25					
Subtotal					\$436,507
Innovation Evaluation					\$5,073
Innovation Administration					\$124,097
Total Innovation Expenditures					\$565,677

* Please place an "X" in each target population served by the program.

Annual Mental Health Services Act Revenue and Expenditure Report for Fiscal Year 2015-16 Workforce Education and Training (WET) Summary	
County: TRI-CITY MENTAL HEALTH AUTHOF	Date: 4/6/2017
Workforce Education and Training Component	(A) Total (Gross) Mental Health Expenditures
WET Funding Category	
Workforce Staffing Support	\$103,054
Training and Technical Assistance	\$120,451
Mental Health Career Pathways Programs	\$5,086
Residency and Internship Programs	
Financial Incentive Programs	
Total WET Programs	\$228,591
WET Administration	\$39,979
WET Evaluation (if applicable)	
Total WET Expenditures	\$268,570

Annual Mental Health Services Act Revenue and Expenditure Report for Fiscal Year 2015-16 Capital Facilities/Technological Needs (CF/TN) Summary	
County: TRI-CITY MENTAL HEALTH AUTHORITY	Date: 4/6/2017
Capital Facility/Technological Needs Projects	Total (Gross) Mental Health Expenditures
Capital Facility Projects	
1 MHSA Office Building	\$1,755,714
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
Total CF Projects	\$1,755,714
Capital Facility Administration	
CF Evaluation (if applicable)	
Total Capital Facility Expenditures	\$1,755,714
Technological Needs Projects	
1 Improvement to Electronic Health Records	\$2,295
2 and System Enhancement	
3 Consumer Access to Computing Resources	\$1,479
4 Program Monitoring and Outcome Sources	\$3,347
5 Support	
6	
7	
8	
9	
10	
11	
12	
13	
Total TN Projects	\$7,121
Technological Needs Administration	\$18,810
TN Evaluation (if applicable)	\$0
Total Technological Needs Expenditures	\$25,931
Total CFTN Expenditures	\$1,781,645

Annual Mental Health Services Act Revenue and Expenditure Report for Fiscal Year 2015-16 Other MHSA Funds Summary	
County: 7 MENTAL HEALTH AUT	Date: 1/0/1900
	Total (Gross) Expenditures
Training, Technical Assistance and Capacity Building (TTACB)	\$0
WET Regional Partnerships (WET RP)	\$0
PEI Statewide Projects (PEI SW)	\$0

Annual Mental Health Services Act Revenue and Expenditure Report for Fiscal Year 2015-16 Unencumbered Housing Funds Summary	
County: CITY MENTAL HEALTH AUTHOI	Date: 4/6/2017
	Total (Gross) Expenditures
Unencumbered MHA Housing Funds	\$0

Annual Mental Health Services Act Revenue and Expenditure Report
FY 2015-16 Summary

TABLE A

COUNTY: TRI-CITY MENTAL HEALTH AUTHORITY

DATE: 4/6/2017

PEI Statewide Funds assigned to CalMHSA?	(Yes , No)
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Fiscal Year 2015-16	(A) Community Services and Supports	(B) Prevention and Early Intervention	(C) Innovation	(D) Workforce Education and Training	(E) Capital Facilities and Technological Needs	(F) TTACB	(G) WET Regional Partnerships	(H) PEI Statewide Projects Funds	(I) Unencumbered MHSA Housing Funds	(J) Prudent Reserve	(K) Interest	(L) Total-All Components
1 Unspent MHSA Funds Available in the MHS Fund¹												
a Local Prudent Reserve										\$3,517,267		\$3,517,267
b FY 2006-07 Funds												\$0
c FY 2007-08 Funds				\$472,289	\$1,085,151							\$1,557,440
d FY 2008-09 Funds			\$275,747		\$647,100							\$922,847
e FY 2009-10 Funds			\$402,600									\$402,600
f FY 2010-11 Funds			\$120,840									\$120,840
g FY 2011-12 Funds												\$0
h FY 2012-13 Funds												\$0
i FY 2013-14 Funds	\$2,340,496	\$172,827	\$45,481									\$2,558,804
j FY 2014-15 Funds	\$7,329,061	\$1,401,602	\$315,652									\$9,046,315
k Interest											\$63,328	\$63,328
l. TOTAL	\$9,669,557	\$1,574,429	\$1,160,320	\$472,289	\$1,732,251	\$0	\$0	\$0	\$0	\$3,517,267	\$63,328	\$18,189,441
2 MHSA Funds Revenue in FY 2015-16												
a Transfer of funds from the Local Prudent Reserve												\$0
b FY 2015-16 MHSA Revenue Received	\$5,991,628	\$1,497,907	\$394,186				\$0					\$7,883,721
c FY 2015-16 Interest Earned on MHSA Funds											\$62,766	\$62,766
d. TOTAL	\$5,991,628	\$1,497,907	\$394,186				\$0		\$0	\$0	\$62,766	\$7,946,487
3 Expenditure and Funding Sources for FY 2015-16²												
A MHSA Funds												
a FY 2006-07 MHSA Funds												\$0
b FY 2007-08 MHSA Funds				\$268,570	\$1,085,151							\$1,353,721
c FY 2008-09 MHSA Funds			\$275,747		\$647,100							\$922,847
d FY 2009-10 MHSA Funds			\$289,930									\$289,930
e FY 2010-11 MHSA Funds												\$0
f FY 2011-12 MHSA Funds												\$0
g FY 2012-13 MHSA Funds												\$0
h FY 2013-14 MHSA Funds	\$2,340,496	\$172,827										\$2,513,323
i FY 2014-15 MHSA Funds	\$3,036,628	\$1,401,602										\$4,438,230
j FY 2015-16 MHSA Funds	\$518,296				\$20,309							\$538,605
MHSA Net Expenditures Subtotal for FY 2015-16	\$5,377,124	\$2,092,725	\$565,677	\$268,570	\$1,752,560	\$0	\$0	\$0	\$0			\$10,056,656
k Interest					\$29,085						\$29,085	\$29,085
B Other Funds												
a 1991 Realignment												\$0
b Behavioral Health Subaccount	\$623,143											\$623,143
c Other	\$2,205,890											\$2,205,890
C TOTAL MHSA and Other Funding Sources	\$8,206,157	\$2,092,725	\$565,677	\$268,570	\$1,781,645	\$0	\$0	\$0	\$0			\$12,914,774
D Total Program Expenditures	\$8,206,157	\$2,092,725	\$565,677	\$268,570	\$1,781,645	\$0	\$0	\$0	\$0		\$29,085	\$12,943,859

NOTE TO COUNTY: Total MHSA and Other Funding Sources (3(C)), MUST match Total Program Expenditures (3(D)). If ERROR, recheck and correct.

PEI Statewide Funds assigned to CalMHSA?		(Yes , No)											
Fiscal Year 2015-16		(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(J)	(K)	(L)
		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 MHSA Housing Funds	Prudent Reserve	Interest	Total-All Components
4	Transfers to Prudent Reserve, WET, CFTN³												
	a FY 2013-14												\$0
	b FY 2014-15												\$0
	c FY 2015-16												\$0
	Total Transfers to Prudent Reserve, WET, CFTN	\$0	\$0	\$0	\$0	\$0					\$0		\$0
5	Adjustments⁴												
	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 FY 2015-16 Funds	-\$45,000				\$45,000							\$0
	l Interest												\$0
	m TOTAL	-\$45,000	\$0	\$0	\$0	\$45,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0
6	Unspent MHSA Funds in the Local MHS Fund⁵												
	a Local Prudent Reserve Balance										\$3,517,267		\$3,517,267
	b FY 2006-07 Funds				\$0								\$0
	c FY 2007-08 Funds				\$203,719	\$0							\$203,719
	d FY 2008-09 Funds	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0				\$0
	e FY 2009-10 Funds	\$0	\$0	\$112,670	\$0	\$0	\$0	\$0	\$0				\$112,670
	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					\$0
	i FY 2013-14 Funds	\$0	\$0	\$45,481	\$0	\$0		\$0					\$45,481
	j FY 2014-15 Funds	\$4,292,433	\$0	\$315,652	\$0	\$0		\$0		\$0			\$4,608,085
	k FY 2015-16 Funds	\$5,946,628	\$979,611	\$394,186	\$0	\$24,691		\$0		\$0			\$7,345,116
	l Interest											\$97,009	\$97,009
	m TOTAL	\$10,239,061	\$979,611	\$988,829	\$203,719	\$24,691	\$0	\$0	\$0	\$0	\$3,517,267	\$97,009	\$16,050,187

TABLE B⁶

Estimated FFP Revenue Generated In FY 2015-16	Amount
Federal Financial Participation (FFP)	\$2,115,537

RER Contact Person

Name	Diana Acosta
Title	Chief Financial Officer
Phone	(909)451-6434
Email	dacosta@tricitymhs.org

Annual Mental Health Services Act Revenue and Expenditure Report for Fiscal Year 2015-16 Adjustments Summary			
County: MENTAL HEALTH AUTHORITY		Date: 1/0/1900	
Component	FY	Amount	Reason For Adjustment
CSS to CFTN	2015-16	\$45,000	During FY 2015-16 a Transfer of \$45,000 to the CFTN program
			was approved. The form did not appear to be functioning properly
			and did not seem to flow and appropriately calculate the final numbers
			at the bottom. As such the \$45,000 transfer was reflected in the
			Adjustment portion of the forms.
TOTAL		\$45,000	

NOTE TO COUNTY: Total Adjustments recorded in the Adjustments Summary worksheet MUST match Total Adjustments

**Annual Mental Health Services Act Revenue and Expenditure Report
FY 2015-16**

END NOTES:

¹ Total unspent funds from prior fiscal years MUST match the Total Unspent Funds in the Local MHS Fund reported on the prior year RER.

² Expenditure funding sources for each component must equal the total program expenditures as reported on the Component Summary Worksheets.

³ 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.

⁴ 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.

⁵ Total Unspent funds in the Local MHS Fund will auto populate for each Fiscal Year.

⁶ The FFP amount represents the estimated FFP revenue generated in FY 2015-16 and attributed to MHSA.