

MHSA COUNTY FISCAL ACCOUNTABILITY CERTIFICATION¹

County/City: ORANGE

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

Local Mental Health Director	County Auditor-Controller / City Financial Officer
Name: MARY HALE	Name: KIMBERLY ENGELBY
Telephone Number: 714-834-6032	Telephone Number: 714-834-5264
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Local Mental Health Mailing Address: 405 W 5th Street, Suite 726 Santa Ana, CA 92701	

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.

MARY R HALE
Local Mental Health Director (PRINT)

Mary R. Hale 10/28/15
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 1/16/14 for the fiscal year ended June 30, 2013. 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.

KIMBERLY ENGELBY
County Auditor Controller / City Financial Officer (PRINT)

K. Engelby 10/28/15
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 2012-13**

County: **Orange**

Date:

10/27/2015

Community Services and Supports Component	Total (Gross) Mental Health Expenditures
FSP Programs	
1 Children's Full Service Wraparound	\$6,560,779
2 TAY Full Service Wraparound	\$6,899,040
3 Adult Full Service Partnership	\$18,220,534
4 Older Adult Support & Intervention	\$2,670,728
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25	
Subtotal FSP Programs	\$34,351,081
Non-FSP Programs	
1 Other CSS	\$30,206,598
2	
3	
4	
5	
6	
7	
8	
Subtotal Non-FSP Programs	\$30,206,598
Total FSP and Non-FSP Programs	\$64,557,679
CSS Evaluation	\$307,801
CSS Administration	\$13,423,104
CSS MHSA Housing Program Assigned Funds	
Total CSS Expenditures	\$78,288,584

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

County: Orange

Date:

10/27/2015

	(A)
Prevention and Early Intervention Component	Total (Gross) Mental Health Expenditures
PEI Programs-Prevention	
1 School Based Services	\$3,573,180
2 Outreach & Engagement Services	\$3,366,676
3 Parent Education and Support Services	\$2,266,076
4 Screening & Assessment Services	\$147,263
5 Crisis & Referral Services	\$396,614
6 Training Services	\$495,519
7	
8	
9	
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11	
12	
13	
14	
Subtotal PEI Programs-Prevention	\$10,245,328
PEI Programs-Early Intervention	
15 First On-Sets and Support Services	\$3,126,274
16 School Based Services	\$597,998
17 Parent Education and Support Services	\$413,940
18 Crisis & Referral Services	\$530,677
19	
20	
21	
22	
23	
Subtotal PEI Programs-Early Intervention	\$4,668,889
Total PEI Programs	\$14,914,217
PEI Evaluation	\$135,112
PEI Administration	\$3,538,819
Total PEI Expenditures	\$18,588,148

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

County: Orange

Date:

10/27/2015

Innovation Component	(A) Total (Gross) Mental Health Expenditures
Innovation Programs	
1 Integrated Community Services	\$2,008,582
2 Family Focus Crisis Management & Community	\$201,860
3 Volunteer to Work	\$0
4 OC Accept	\$440,724
5 VETS Connect	\$711,168
6 Community Cares Project	\$232,316
7 Education, Training and Research Institute	\$0
8 Project Life Coach	\$462,965
9 Training to Meet the MH Needs of the Deaf Com	\$120,285
10 Consumer Early Childhood Mental Health	\$320,209
11 Program Monitoring	
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21	
22	
23	
24	
25	
Total INN Programs	\$4,498,109
Innovation Evaluation	\$41,185
Innovation Administration	\$1,654,008
Total Innovation Expenditures	\$6,193,302

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

County: Orange

Date:

10/27/2015

	(A)
Workforce Education and Training Component	Total (Gross) Mental Health Expenditures
WET Funding Category	
Workforce Staffing Support	-\$514
Training and Technical Assistance	\$937,396
Mental Health Career Pathways Programs	\$652,157
Residency and Internship Programs	\$748,795
Financial Incentive Programs	\$126,246
Total WET Programs	\$2,464,080
WET Administration	\$653,897
Total WET Expenditures	\$3,117,977

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

County: Orange

Date:

10/27/2015

	(A)
Capital Facility/Technological Needs Projects	Total (Gross) Mental Health Expenditures
Capital Facility Projects	
1 MHSA Tustin Ave. Facility	\$453,663
2	
3	
4	
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7	
8	
9	
10	
11	
12	
Total CF Projects	\$453,663
Capital Facility Administration	\$307,323
Total Capital Facility Expenditures	\$760,986
Technological Needs Projects	
1 Technology Component	\$3,559,107
2	
3	
4	
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13	
Total TN Projects	\$3,559,107
Technological Needs Administration	\$393,482
Total Technological Needs Expenditures	\$3,952,589
Total CFTN Expenditures	\$4,713,575

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

County: Orange

Date:

10/27/2015

	(A) Total (Gross) Expenditures
Training, Technical Assistance and Capacity	\$360,499
WET Regional Partnerships	
PEI Statewide Projects	

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

DATE: 10/27/2015

TABLE A
COUNTY: Orange
PEI Statewide Funds assigned to CalMHSA? (Y/N) Y

	(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									\$70,921,562	\$70,921,562
b FY 2006-07 Funds									\$0	\$0
c FY 2007-08 Funds										\$8,248,114
d FY 2008-09 Funds				\$5,686,167	\$2,561,947					\$3,343,000
e FY 2009-10 Funds		\$18,960,225	\$15,742,249		\$15,559,675	\$467,544				\$50,716,203
f FY 2010-11 Funds	\$8,134,896	\$15,539,900	\$3,958,900		\$493,300					\$28,126,996
g FY 2011-12 Funds	\$5,959,724	\$1,124,874	\$378,474		\$505,470	\$19,324				\$8,311,093
h Interest		\$35,624,999	\$20,079,623	\$6,009,524	\$21,970,092	\$980,168				\$169,666,988
i TOTAL	\$14,094,620	\$35,624,999	\$20,079,623	\$6,009,524	\$21,970,092	\$980,168			\$70,921,562	\$169,666,988
2 MHSA Funds Revenue in FY 2012-13										
a Transfer of funds from the Local Prudent Reserve										\$0
b Revenue received from the State MHSA Fund ²										\$129,227,200
1 FY 2012-13 MHSA Funds	\$96,920,400	\$25,845,440	\$6,461,360			\$2,839				\$622,140
c Interest Earned on MHSA Funds	\$272,598	\$192,232	\$68,366	\$16,564	\$69,541	\$2,839				\$622,140
d TOTAL	\$97,192,998	\$26,037,672	\$6,529,726	\$16,564	\$69,541	\$2,839				\$129,849,340
3 Expenditure and Funding Sources for FY 2012-13³										
a FY 2006-07 MHSA Funds										\$0
b FY 2007-08 MHSA Funds										\$0
c FY 2008-09 MHSA Funds										\$5,676,807
d FY 2009-10 MHSA Funds				\$3,114,860	\$2,561,947					\$2,129,814
e FY 2010-11 MHSA Funds		\$18,323,149	\$6,186,206		\$2,129,814	\$360,499				\$24,869,854
f FY 2011-12 MHSA Funds	\$8,134,896									\$8,134,896
g FY 2012-13 MHSA Funds	\$55,822,633									\$55,822,633
h Interest										\$0
i 1981 Realignment										\$0
j Behavioral Health Subaccount										\$0
k Other	\$14,331,055	\$264,999	\$7,096	\$3,117	\$21,814					\$14,628,081
l TOTAL	\$78,288,584	\$18,588,148	\$6,193,302	\$3,117,977	\$4,713,575	\$360,499	\$0	\$0		\$111,262,085
m Total Program Expenditures	\$78,288,584	\$18,588,148	\$6,193,302	\$3,117,977	\$4,713,575	\$360,499	\$0	\$0		\$111,262,085

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

COUNTY: Orange

DATE: 10/27/2015

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

	(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
Fiscal Year 2012-13										
4 Transfers to Prudent Reserve, WET, CFTN^a										
a	FY 2010-11									\$0
b	FY 2011-12									\$0
c	FY 2012-13									\$0
5 Adjustments^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	Interest									\$0
j	TOTAL									\$0
6 Unspent Funds in the Local MHS Fund^a										
a	Local Prudent Reserve Balance									\$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									\$0
j	TOTAL									\$0

TABLE B7	
Estimated FFP Revenue Generated in FY 2012-13	Amount
Federal Financial Participation (FFP)	\$11,297,922

RER Contact Person	
Name	Tiffany Thibeault
Title	Admin Manager I
Phone	714-834-7484
Email	tthibeault@ochca.com

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

County: Orange

Date: 10/27/2015

FY	Amount	Reason For Adjustment
10/11	-\$13,490	Orange County is not serving as fiscal sponsors for the RPs. This expense was coded to WET Reg and should be included as WET expense FY08/09, under Training And Technical Assistance
Interst	-\$130	Orange County is not serving as fiscal sponsors for the RPs. This interest was coded to WET Reg and should be included as WET interest, under Training And Technical Assistance
10/11	\$13,490	Orange County is not serving as fiscal sponsors for the RPs. This expense was coded to WET Reg FY10/11 and should be included as WET expense FY08/09, under Training And Technical Assistance
Interst	\$130	Orange County is not serving as fiscal sponsors for the RPs. This interest was coded to WET Reg FY10/11 and should be included as WET interest, under Training And Technical Assistance
10/11	-\$493,300	FY10/11 removed from PEI revenue because this amount received was actually for TTACB
10/11	-\$2,624	FY10/11 interest included in the MHSA funding but should have been allocated to the interest liine
Interest	\$2,624	FY10/11 interest included in the MHSA funding but should have been allocated to the interest liine
TOTAL	-\$493,300	
	-\$493,300	

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.