

November 3, 2016  
01:30 PM

Grayson County  
Check Register By Check Date

Page No: 1

Range of Checking Accts: 100GENERAL to 100GENERAL Range of Check Dates: 10/13/16 to 11/10/16  
Report Type: All Checks Report Format: Super Condensed Check Type: Computer: Y Manual: Y Dir Deposit: Y

Check #	Check Date	Vendor	Amount Paid	Reconciled/Void	Ref Num
100GENERAL					
32968	10/13/16	ABPRI005 A & B Printing	564.75		334
32969	10/13/16	APPAL005 Appalachian Power	250.00		334
32970	10/13/16	BANK0005 Bank Of Marion - Visa	1,995.94		334
32971	10/13/16	BRIST005 Bristol Office Supply, Inc	40.25		334
32972	10/13/16	CHAR0010 Charles Brown	42.35		334
32973	10/13/16	COMM0015 Commission On Vasap	874.34		334
32974	10/13/16	GRAY0085 GRAYSON NATIONAL BANK	1,091.00		334
32975	10/13/16	HIGH0010 Highlands Community Serivces B	150.00		334
32976	10/13/16	JAMES005 James Bruce	35.81		334
32977	10/13/16	JLREE005 J.L. Reedy	161.70		334
32978	10/13/16	PURCH005 Purchase Power	1,000.00		334
32979	10/13/16	RAYME005 Ray Melton	90.09		334
32980	10/13/16	SCOTT010 SCOTT E MORRIS	60.00		334
32981	10/13/16	TOWN0015 Town Of Marion	56.02		334
32982	10/13/16	TRICI005 Tri Cities Sw Va Reg Group	343.00		334
32983	10/13/16	VIRGI025 VIRGINIA INTERACTIVE	574.00		334
32984	10/13/16	WYTH0010 Wytheville Community College	50.00		334
32985	10/13/16	ABCIW005 Abc Wire Sales Co	16,997.00		335
32986	10/13/16	ADAMS005 Adams Building Supply	0.00	10/13/16 VOID	0
32987	10/13/16	ADAMS005 Adams Building Supply	608.65		335
32988	10/13/16	AMER0015 American Express	155.00		335
32989	10/13/16	ANDER005 Anderson & Associates, Inc	420.00		335
32990	10/13/16	ANNAF005 Anna F. Meade	5,625.00		335
32991	10/13/16	ANTH0010 Anthem - Health	498.65		335
32992	10/13/16	ANTH0010 Anthem - Health	498.65		335
32993	10/13/16	ANTON005 Antonina Marino	126.59		335
32994	10/13/16	APPAL005 Appalachian Power	0.00	10/13/16 VOID	0
32995	10/13/16	APPAL005 Appalachian Power	4,962.95		335
32996	10/13/16	BBTIR005 B & B Tire Service, Inc	2,568.68		335
32997	10/13/16	BKTUN005 Bkt Uniforms	0.00	10/13/16 VOID	0
32998	10/13/16	BKTUN005 Bkt Uniforms	3,465.17		335
32999	10/13/16	BOBCA005 Bobcat Of Roanoke	1,108.02		335
33000	10/13/16	BRCED005 Brceda	40,286.75		335
33001	10/13/16	CARQ0010 Carquest Auto Parts	406.95		335
33002	10/13/16	CARQU005 Carquest Of Alleghany	480.17		335
33003	10/13/16	CARR0020 Carroll-Grayson-Galax Solid Wa	29,374.50		335
33004	10/13/16	CARTE005 Carter Machinery Co., Inc.	164.18		335
33005	10/13/16	CENCO005 Cenco, Inc	73.08		335
33006	10/13/16	CENT0015 Century Link	212.54		335
33007	10/13/16	CENTU005 Century Link	1,305.59		335
33008	10/13/16	CHURC005 Church's Concrete	11,235.00		335
33009	10/13/16	CINTA005 Cintas Corp, #532	38,710.79	10/18/16 VOID	335 (Reason: wrong amount)
33010	10/13/16	CLINE005 Cline's Repair Service	1,400.00		335
33011	10/13/16	COXS0005 Cox Snax Sales, LLC	126.00		335
33012	10/13/16	CROOK005 CROOKED CREEK CONSTRUCTION	4,980.90		335
33013	10/13/16	DAY3C005 Day 3 Construction	16,800.00		335
33014	10/13/16	DEPAR005 Department Of Forestry	11,352.96		335
33015	10/13/16	DEPT0005 Dept Of Criminal Justice Serv	1,168.00		335
33016	10/13/16	ELDIA005 E&L Diamond	109.02		335

33017	10/13/16	EVIDE005	Evident Crime Scene Products	107.38		335
33018	10/13/16	FIELD005	Fielder Electric Motor Repair	44.58		335
33019	10/13/16	FLEET005	Fleetpride	619.22		335
33020	10/13/16	FLORE005	Flores & Associates, LLC	179.62		335
33021	10/13/16	GALLS005	GALLS, LLC	178.00		335
33022	10/13/16	GCHSA005	Gchs Athletic Dept	980.00		335
33023	10/13/16	GRAY0060	Grayson Co Sheriff's Office	384.68		335
33024	10/13/16	GRAY0110	Grayson Express	87.57		335
33025	10/13/16	HAYNE005	Haynes Portable Toilets & Sept	75.00		335
33026	10/13/16	HDSUP005	Hd Supply Waterworks, Ltd.	3,667.24		335
33027	10/13/16	HIGHL010	HIGHLANDS GLASS COMPANY	472.06		335
33028	10/13/16	HILLS005	Hill Studio Pc	8,959.62		335
33029	10/13/16	HOMES005	Homestead Materials Handling	234.85		335
33030	10/13/16	INDE0015	Independence Tire Co	535.16		335
33031	10/13/16	KELLY010	Kelly Haga	458.70		335
33032	10/13/16	KINGC005	KING CONTRACTORS, INC	2,533.80		335
33033	10/13/16	KINGC005	KING CONTRACTORS, INC	91,238.37		335
33034	10/13/16	KTTEX005	KT TEXTILES	468.00		335
33035	10/13/16	LARR0020	Larry's Small Engine Repair	17.51		335
33036	10/13/16	LEONA005	Leonard's Copy Systems, Inc	158.48		335
33037	10/13/16	LOWES005	Lowe's Home Centers	0.00	10/13/16 VOID	0
33038	10/13/16	LOWES005	Lowe's Home Centers	2,625.74		335
33039	10/13/16	MANSF005	Mansfield Oil Company	11,845.23		335
33040	10/13/16	MATTH005	Matthew Bender & Co, Inc	49.08		335
33041	10/13/16	MILLE020	MILLER LOGGING	810.25		335
33042	10/13/16	MODER005	Modern Impressions	53.06		335
33043	10/13/16	MONTG005	MONTGOMERY CONSULTING, LLC	37,857.00		335
33044	10/13/16	NAPAA005	NAPA AUTO OF INDEPENDENCE	40.60		335
33045	10/13/16	NEWR0010	New River Soil & Water Conserv	3,000.00		335
33046	10/13/16	NEWR0025	New River Valley Juvenile Dete	6,045.00		335
33047	10/13/16	NEWR0030	New River Valley Reg Jail	59,805.15		335
33048	10/13/16	OMNIL005	OMNILINK SYSTEMS	797.00		335
33049	10/13/16	PAPER005	Paper Clip	0.00	10/13/16 VOID	0
33050	10/13/16	PAPER005	Paper Clip	2,695.53		335
33051	10/13/16	PEACE005	Peace Of Mind Counseling	480.00		335
33052	10/13/16	PIED0010	Piedmont Truck Center, Inc	71.23		335
33053	10/13/16	PIEDM005	Piedmont Peterbilt, LLC	1,841.11		335
33054	10/13/16	PLUMB005	Plumbmaster, Inc	83.78		335
33055	10/13/16	RAVEN005	RAVEN ELECTRONICS CORP.	34,005.46		335
33056	10/13/16	RCSCO005	RCS COMMUNICATIONS	4,250.00		335
33057	10/13/16	ROTEN005	Rotenizer Drapery & Carpet	11,720.00		335
33058	10/13/16	SAFLA005	Saflab	55.50		335
33059	10/13/16	SAMPS005	SAMPSON CONSTRUCTION	3,150.00		335
33060	10/13/16	SHELT005	Shelton Key-N-Lock	423.30		335
33061	10/13/16	SOUT0020	Southern Police Equipment	1,600.00		335
33062	10/13/16	SPRIN005	Spring Valley Graphics	25.35		335
33063	10/13/16	SRCAP005	SE Rural Comm Assist Project	409.75		335
33064	10/13/16	STANK005	STAN K MASSIE	1,050.00		335
33065	10/13/16	STATE005	State Electric Supply Co	358.01		335
33066	10/13/16	SUNT0010	Suntrust Bank	0.00	10/13/16 VOID	0
33067	10/13/16	SUNT0010	Suntrust Bank	0.00	10/13/16 VOID	0
33068	10/13/16	SUNT0010	Suntrust Bank	7,305.95		335
33069	10/13/16	SUSA0015	Susan Herrington	552.50		335
33070	10/13/16	SUSA0020	Susan Hodges	494.10		335
33071	10/13/16	TASER005	TASER INTERNATIONAL	14,064.08		335
33072	10/13/16	THEDE010	THE DECLARATION	191.76		335
33073	10/13/16	THEGAZ	The Gazette	590.30		335
33074	10/13/16	THELA005	The Lane Group	15,110.00		335



33075	10/13/16	TONYS005 Tony Shaffner	1,100.00	335
33076	10/13/16	TOWN0010 TOWN OF INDEPENDENCE	424.26	335
33077	10/13/16	TOWN0020 Town Of Troutdale - Water	1,078.81	335
33078	10/13/16	TRANS005 Transcource	175.28	335
33079	10/13/16	TWIN0015 Twin County E-911 Reg. Comm.	15,593.34	335
33080	10/13/16	TWIN0035 Twin County Concrete, Inc	845.00	335
33081	10/13/16	TWOWA005 Two Way Radio, Inc.	450.00	335
33082	10/13/16	UNIT0010 United Way SOUTHWEST, VA.	7,500.00	335
33083	10/13/16	UNIVE005 University Of Virginia	125.00	335
33084	10/13/16	VADEP005 Va Dept Of Motor Vehicles	720.00	335
33085	10/13/16	VAINF005 Va Information Tech Agency	113.25	335
33086	10/13/16	VASHE005 Va Sheriffs' Association	1,560.00	335
33087	10/13/16	WELDB005 Weld Built Fabrication, Inc	28.44	335
33088	10/13/16	WMCON005 WM CONTRACTORS	82.00	335
33089	10/13/16	WORKF005 WORKFORCE UNLIMITED, LLC	571.44	335
33090	10/13/16	WYTH0010 Wytheville Community College	18,171.48	335
33091	10/13/16	XEROX005 Xerox Corporation	925.23	335
33092	10/27/16	ADAMS005 Adams Building Supply	62.45	338
33093	10/27/16	APPAL005 Appalachian Power	398.10	338
33094	10/27/16	ARCET005 ARC 3 GASES	9.00	338
33095	10/27/16	BBTIR005 B & B Tire Service, Inc	1,604.00	338
33096	10/27/16	BKTUN005 Bkt Uniforms	1,714.66	338
33097	10/27/16	BLOOM005 BLOOMING TREASURES	325.00	338
33098	10/27/16	CARQ0010 Carquest Auto Parts	187.38	338
33099	10/27/16	CARQU005 Carquest Of Alleghany	11.97	338
33100	10/27/16	CENTU005 Century Link	992.23	338
33101	10/27/16	CINTA005 Cintas Corp, #532	878.92	338
33102	10/27/16	CITY0010 City Of Galax	8,876.54	338
33103	10/27/16	COMCA005 Comcast Corporation	167.30	338
33104	10/27/16	COOKE005 Cooke Rentals	285.00	338
33105	10/27/16	DAY3C005 Day 3 Construction	9,800.00	338
33106	10/27/16	FEEDI005 Feeding American Southwest Va	24,000.00	338
33107	10/27/16	FLORE005 Flores & Associates, Llc	246.25	338
33108	10/27/16	FOODC005 Food City, Store #866	367.35	338
33109	10/27/16	GAZET005 Gazette Press, Inc	472.27	338
33110	10/27/16	GRAY0040 Grayson Co Health Dept	784.47	338
33111	10/27/16	GRAY0055 Grayson Co School Board	1,834.88	338
33112	10/27/16	HRGAR005 H & R Garage	75.00	338
33113	10/27/16	INDE0015 Independence Tire Co	177.49	338
33114	10/27/16	KUSTO005 Kustom Signals, Inc.	1,645.00	338
33115	10/27/16	LEONA005 Leonard's Copy Systems, Inc	90.00	338
33116	10/27/16	MATTH005 Matthew Bender & Co, Inc	581.22	338
33117	10/27/16	NAPAA005 NAPA AUTO OF INDEPENDENCE	45.96	338
33118	10/27/16	NEWRO030 New River Valley Reg Jail	9,555.00	11/03/16 VOID 338 (Reason: WRONG VENDOR)
33119	10/27/16	NTAIN005 Nta, Inc.	24.68	338
33120	10/27/16	NWCDI005 Nwcd, Inc	288.44	338
33121	10/27/16	OMNIL005 OMNILINK SYSTEMS	506.50	338
33122	10/27/16	PAPER005 Paper Clip	722.59	338
33123	10/27/16	PITNE005 Pitney Bowes	150.00	338
33124	10/27/16	PRINC005 PRINCETON MACHINERY SERVICE, I	935.00	338
33125	10/27/16	ROYAL005 Royal Oil Company	1,220.58	338
33126	10/27/16	SANDS005 Sands Anderson Pc	1,336.00	338
33127	10/27/16	SCOOT005 SCOOT'S OF GALAX	391.00	338
33128	10/27/16	SCOTT015 SCOTT'S LANDSCAPING	290.00	338
33129	10/27/16	SNAP0005 Snap-On - Matthew Turman	125.50	338
33130	10/27/16	SOSME005 Sosmetal Products Inc	223.85	338
33131	10/27/16	SPRIN005 Spring Valley Graphics	345.00	338
33132	10/27/16	SUNT0010 Suntrust Bank	2,406.76	338
33133	10/27/16	SUSA0015 Susan Herrington	526.19	338
33134	10/27/16	THEDE005 The Declaration	309.36	338
33135	10/27/16	THEGA005 The Gazette C/O Landmark Comm.	477.29	338

33136	10/27/16	TOTTE005 Totten Construction LLC	39,483.00		338
33137	10/27/16	TOWN0010 TOWN OF INDEPENDENCE	160.12		338
33138	10/27/16	TOWNP005 Town Police Supply	426.99		338
33139	10/27/16	TRANS005 Transcource	367.82		338
33140	10/27/16	TWIN0015 Twin County E-911 Reg. Comm.	15,593.34		338
33141	10/27/16	TWIN0035 Twin County Concrete, Inc	747.50		338
33142	10/27/16	USCEL005 Us Cellular	2,255.53		338
33143	10/27/16	VADEP005 Va Dept Of Motor Vehicles	20.00		338
33144	10/27/16	VAEMP005 Va Employment Commission	2,387.00		338
33145	10/27/16	WATTS005 D's Trophies	2,379.19		338
33146	10/27/16	WMCON005 WM CONTRACTORS	960.00		338
33147	10/27/16	WORKF005 WORKFORCE UNLIMITED, LLC	736.86		338
33148	10/31/16	AFLAC005 Aflac	1,340.73		341
33149	10/31/16	AMER0010 American Heritage Life Ins Co	155.12		341
33150	10/31/16	ANTH0010 Anthem - Health	45,987.98		341
33151	10/31/16	ANTH0015 Anthem - Dental	2,007.30		341
33152	10/31/16	BOSTO005 Boston Mutual Life Ins Co	538.26		341
33153	10/31/16	INGO0005 Ing	400.00		341
33154	10/31/16	MINNE005 Minnesota Life	415.37		341
33155	10/31/16	UNIT0010 United Way SOUTHWEST, VA.	148.25		341
33156	10/31/16	VAAS0015 VACORP	117.32		341
33157	10/31/16	VALIC005 Valic	2,400.00		341
33158	11/10/16	58GRO005 58 Grocery	25.00		343
33159	11/10/16	ADAMS005 Adams Building Supply	0.00	11/10/16 VOID	0
33160	11/10/16	ADAMS005 Adams Building Supply	411.41		343
33161	11/10/16	ALISO010 ALISON H BOLEN	30.00		343
33162	11/10/16	ANDER005 Anderson & Associates, Inc	420.00		343
33163	11/10/16	APPAL005 Appalachian Power	4,349.22	11/10/16 VOID	343 (Reason: need seperate checks)
33164	11/10/16	BBTIR005 B & B Tire Service, Inc	1,278.00		343
33165	11/10/16	BKTUN005 Bkt Uniforms	605.91		343
33166	11/10/16	BURSA005 Bursar's Office	13,365.63		343
33167	11/10/16	CARQU005 Carquest Of Alleghany	764.30		343
33168	11/10/16	CENT0010 Century Link	308.65		343
33169	11/10/16	CENT0015 Century Link	266.90		343
33170	11/10/16	CENTU005 Century Link	2,089.65	11/10/16 VOID	343 (Reason: need seperate checks)
33171	11/10/16	CINTA005 Cintas Corp, #532	993.67		343
33172	11/10/16	CITY0010 City of Galax	3,966.82		343
33173	11/10/16	CLINE005 Cline's Repair Service	350.00		343
33174	11/10/16	EVIDE005 Evident Crime Scene Products	64.00		343
33175	11/10/16	FIELD005 Fielder Electric Motor Repair	194.96		343
33176	11/10/16	FLEET005 Fleetpride	452.98		343
33177	11/10/16	FOXCR005 Fox Creek Trucking	669.65		343
33178	11/10/16	GAZET005 Gazette Press, Inc	325.00		343
33179	11/10/16	GLORI005 Gloria Price	130.68		343
33180	11/10/16	GRAY0015 Grayson Co Commonwealth's Atty	163.17		343
33181	11/10/16	GRAY0060 Grayson Co Sheriff's Office	128.84		343
33182	11/10/16	GREEN005 GREENTECH IMAGING	178.44		343
33183	11/10/16	HIGHC005 High Country Springs, Llc	95.00		343
33184	11/10/16	INDE0015 Independence Tire Co	57.29		343
33185	11/10/16	INTE0010 International Code Council	41.45		343
33186	11/10/16	IWORQ005 Iworq Systems	750.00		343
33187	11/10/16	JAME0020 James S Moss	65.00		343
33188	11/10/16	JERRY015 JERRY D WRIGHT	30.00		343
33189	11/10/16	KINGC005 KING CONTRACTORS, INC	54,821.00		343
33190	11/10/16	LENVIO05 LENVILL HAMM	30.00		343
33191	11/10/16	LOWES005 Lowe's Home Centers	1,206.09		343
33192	11/10/16	MILLE020 MILLER LOGGING	799.05		343
33193	11/10/16	MODE0010 Modern Impressions	230.00		343
33194	11/10/16	MODER005 Modern Impressions	43.74		343
33195	11/10/16	MONTG005 MONTGOMERY CONSULTING,LLC	12,619.00		343
33196	11/10/16	NAPAA005 NAPA AUTO OF INDEPENDENCE	78.82		343



33197	11/10/16	NWCDI005 Nwcd, Inc	638.85		343
33198	11/10/16	PAPER005 Paper Clip	0.00	11/10/16 VOID	0
33199	11/10/16	PAPER005 Paper Clip	2,756.18		343
33200	11/10/16	PATRI025 PATRICIA EMERSON	30.00		343
33201	11/10/16	PEACE005 Peace Of Mind Counseling	180.00		343
33202	11/10/16	PIED0010 Piedmont Truck Center, Inc	1,508.40		343
33203	11/10/16	PIEDM005 Piedmont Peterbilt, LLC	48.41		343
33204	11/10/16	PITNE005 Pitney Bowes	497.76		343
33205	11/10/16	PLUMB005 Plumbmaster, Inc	273.66		343
33206	11/10/16	PROF0010 Professional Networks, Inc	21.25		343
33207	11/10/16	RCSC0005 RCS COMMUNICATIONS	4,467.50		343
33208	11/10/16	SECOM005 SECOM SYSTEMS, INC	921.34		343
33209	11/10/16	SHANN005 SHANNON GAMBLE	500.00		343
33210	11/10/16	SOUT0015 Southeast Energy, Inc	605.00		343
33211	11/10/16	SRCAP005 SE Rural Comm Assist Project	409.75		343
33212	11/10/16	STANK005 STAN K MASSIE	500.00		343
33213	11/10/16	STATE005 State Electric Supply Co	217.79		343
33214	11/10/16	STON0010 Stonewall Technologies	320.36		343
33215	11/10/16	SUNT0010 Suntrust Bank	0.00	11/10/16 VOID	0
33216	11/10/16	SUNT0010 Suntrust Bank	0.00	11/10/16 VOID	0
33217	11/10/16	SUNT0010 Suntrust Bank	0.00	11/10/16 VOID	0
33218	11/10/16	SUNT0010 Suntrust Bank	8,723.55		343
33219	11/10/16	SUSA0020 Susan Hodges	490.86		343
33220	11/10/16	THEDE010 THE DECLARATION	236.00		343
33221	11/10/16	TOWN0010 TOWN OF INDEPENDENCE	1,095.11		343
33222	11/10/16	TOWN0020 Town Of Troutdale - Water	352.50		343
33223	11/10/16	TREA0010 Treasurer Of Virginia	40.00		343
33224	11/10/16	UNIT0015 United Laboratories	271.26		343
33225	11/10/16	UNIVE010 UNIVERSAL AD ASSOCIATES	557.50		343
33226	11/10/16	VAINF005 Va Information Tech Agency	72.35		343
33227	11/10/16	VAPLU005 Va Plumbing & Mech Insp Assoc	40.00		343
33228	11/10/16	WALKE005 Walkers Welding & Muffler Shop	15.00		343
33229	11/10/16	ZACHA005 ZACHARY DOTSON	30.00		343
33230	11/10/16	BANK0005 Bank Of Marion - Visa	1,164.69		346
33231	11/10/16	BRIST005 Bristol Office Supply, Inc	28.15		346
33232	11/10/16	CHAR0010 Charles Brown	53.90		346
33233	11/10/16	COMM0015 Commission On Vasap	897.55		346
33234	11/10/16	GARYU005 Gary Umberger	34.65		346
33235	11/10/16	GRAY0085 GRAYSON NATIONAL BANK	1,091.00		346
33236	11/10/16	HIGH0010 Highlands Community Services B	600.00		346
33237	11/10/16	JERRY005 Jerry's Office Supply	134.95		346
33238	11/10/16	JLREE005 J.L. Reedy	107.80		346
33239	11/10/16	OFFIC005 Office Depot	404.06		346
33240	11/10/16	TAMMY015 TAMMY M HAYDEN	63.53		346
33241	11/10/16	TOWN0015 Town Of Marion	60.00		346
33242	11/10/16	WYTH0010 Wytheville Community College	50.00		346
33243	11/10/16	WYTH0015 Wytheville Office Supply	528.33		346
33244	11/10/16	APPAL005 Appalachian Power	4,099.22		347
33245	11/10/16	APPAL005 Appalachian Power	250.00		347
33246	11/10/16	CENTU005 Century Link	2,037.70		347
33247	11/10/16	CENTU005 Century Link	51.95		347

33248	11/10/16	FLORE005 Flores & Associates, LLC	126.67	348
33249	11/10/16	GALA0020 Galax Volunteer Fire Dept	21,000.00	348
33250	11/10/16	GALA0025 Galax Grayson Ems	14,745.97	348
33251	11/10/16	NEWR0025 New River Valley Juvenile Dete	9,555.00	348
33252	11/10/16	VAAS0015 VACORP	21,745.79	348
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Checking Account Totals				
		<u>Paid</u>	<u>Void</u>	<u>Amount Paid</u>
	Checks:	269	16	933,759.04
	Direct Deposit:	0	0	0.00
	Total:	269	16	933,759.04
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Report Totals				
		<u>Paid</u>	<u>Void</u>	<u>Amount Paid</u>
	Checks:	269	16	933,759.04
	Direct Deposit:	0	0	0.00
	Total:	269	16	933,759.04

Grayson County Board of Supervisors  
Regular Meeting  
November 10, 2016

Members attending were: Brenda R. Sutherland, Kenneth R. Belton, John S. Fant, Glen E. Rosenbaum and Michael S. Hash.

IN RE: OPENING BUSINESS

Supervisor Rosenbaum made the motion to approve the agenda/consent agenda; duly seconded by Supervisor Hash. Motion carried 5-0.

IN RE: REPORTS, PRESENTATIONS OR REQUEST(S)

Elaine R. Holeton, Director of Planning & Community Development, presented an update on the Floodplain Ordinance along with a request to hold a public hearing on the proposed amendments. After some discussion between the Board and Ms. Holeton, Supervisor Belton made the motion to approve the request to hold a public hearing, duly seconded by Supervisor Hash. Motion carried 5-0.

**Update on the Grayson County Floodplain Ordinance Revision - 2016**

**Background:** Grayson County first joined the National Flood Insurance Program by emergency entry on 1975, which is when the first Grayson County Flood Hazard Boundary Maps were released.

On July 12<sup>th</sup>, 1989, the Grayson County Board of Supervisors enacted the first Grayson County Floodplain Ordinance and Grayson County officially joined the National Flood Insurance Program.



In 2008, the National Flood Insurance Program revised the FEMA Floodplain Maps/Flood Insurance Rate Map (FIRM) and in August of that year, the Board of Supervisors revised the Grayson County Floodplain Ordinance to meet the minimum standards of the National Flood Insurance Program.

The Code of Federal Regulations, 44 CFR 59 & 60, requires that each community who chooses to participate in the National Flood Insurance Program, adopt a Floodplain Management Ordinance and the Flood Insurance Rate Map (FIRM) or floodmaps issued by FEMA. The Ordinance must meet or exceed the minimum standards of the National Flood Insurance Program for participation in the Federal program.

**Need for the Revision:** In 2013, the Grayson County Comprehensive Plan, presented Strategy #28 “Review and amend land use ordinances to ensure that they are aligned with each other and meet state/federal criteria.” The Grayson County Floodplain Ordinance is the last Ordinance which requires a revision to fulfill that strategy. The update of the Floodplain Ordinance will bring the Ordinance into current compliance with the minimal standards of the National Flood Insurance Program, the Virginia Department of Conservation & Recreation Floodplain Division, and more closely align with the local land use ordinances.

**Status of the Revision:** In 2015, the Grayson County Board of Supervisors enabled the Planning Commission to work with staff on the revision of the Grayson County Floodplain Ordinance. The Virginia DCR Floodplain Management Division shared a Virginia Model Floodplain Ordinance, which meets the minimal standards of the National Flood Insurance Program. We used this draft Ordinance to conduct a complete rewrite of the Floodplain Ordinance, with a focus on improving the readability of the document. The Planning Commission reviewed and edited the first draft of the Floodplain Ordinance at the October meeting. This Tuesday, November 15<sup>th</sup> the Planning Commission will review the second draft and receive public comments. The Planning Commission is recommending that the community adopt the minimum standards for participation in the National Flood Insurance Program and the draft Ordinance reflects the minimum standards.

**Request for Board of Supervisors, Consideration & Public Hearing:** To finalize the revision process, I am here tonight to request that the Grayson County Board of Supervisors schedule a consideration of the Floodplain Ordinance and a Public Hearing, for the **December 8<sup>th</sup>, Board of Supervisors Meeting**. I look forward to sharing the revised Floodplain Ordinance with each of you and I am available to answer any questions that you may have regarding this issue.

#### IN RE: OLD BUSINESS:

- Tax & Policy Recommendations – R. Kelly Haga, Treasurer, Grayson County

Supervisor Belton made the motion to table this item to the December 2016 meeting; duly seconded by Supervisor Fant. Motion carried 5-0.

#### IN RE: NEW BUSINESS

- Board Appointments

#### Virginia’s a-Corridor – 4-year term

Jonathan D. Sweet resigned his position effective December 8, 2016; new appointee will fill remainder of Mr. Sweet’s term which will expire December 31, 2019. Supervisor Rosenbaum made the motion to appoint Mitchell L. Smith; duly seconded by Supervisor Fant. Motion carried 5-0.

Secretary/Clerk to Board of Supervisors

Jonathan D. Sweet resigned his position effective December 31, 2016. Supervisor Fant made the motion to appoint Mitchell L. Smith as Secretary/Clerk and Leesa A. Gayheart as Deputy/Clerk to Board of Supervisors; duly seconded by Supervisor Belton. Motion carried 5-0.

Blue Ridge Crossroads Economic Development Authority (BRCEDA) – 4-year term

Jonathan D. Sweet resigned his position effective December 8, 2016; new appointee will fill remainder of Mr. Sweet's term which will expire May 31, 2017. Supervisor Hash made the motion to appoint Mitchell L. Smith; duly seconded by Supervisor Rosenbaum. Motion carried 5-0.

Building Inspection Board of Appeals – 4-year term

Robert Phipps and Clarence Cox Jr – both terms expired December 31, 2016. The Board decided to table this appointment until the December 8, 2016 meeting.

Carroll/Grayson/Galax Solid Waste Authority (CGGSWA) 4-year term

Jonathan D. Sweet resigned his position effective December 8, 2016; new appointee will fill remainder of Mr. Sweet's term which will expire May 3, 2017. Supervisor Rosenbaum made the motion to appoint Kenneth R. Belton; duly seconded by Supervisor Hash. Motion carried 5-0.

CLEOS – BOS Member – 2-year term

Brenda R. Sutherland and Kenneth R. Belton (Alternate) – terms expire December 31, 2016. The Board decided to table this appointment until the January 2017 meeting since these positions are for the Chair and Vice Chair of the Board.

Crossroads Institute Board – 4-year term

Jonathan D. Sweet resigned his position effective December 8, 2016; new appointee will fill the remainder of Mr. Sweet's term which expires June 30, 2019. This position is appointed via BRCEDA and will be placed on BRCEDA's November 2016 meeting.

CSA Family Management Policy Team (CPMT) – 4-year term

Jonathan D. Sweet resigned his position effective December 8, 2016; new appointee will fill the remainder of Mr. Sweet's term which will expire May 31, 2017. Supervisor Fant made the motion to approve Brenda R. Sutherland (Mitchell L. Smith is currently the alternate); duly seconded by Supervisor Belton. Motion carried 5-0.

District III Governmental Cooperative – 1-year term

Brenda R. Sutherland – term expires December 31, 2016.



Mary Young (alternate) – term expires December 31, 2016. Supervisor Belton made the motion to reappoint Brenda R. Sutherland and Mary Young (alternate); duly seconded by Supervisor Fant. Motion carried 5-0.

Economic Development Authority (EDA) – Clerk/Secretary

Jonathan D. Sweet resigned his position effective December 31, 2016. Supervisor Fant made the motion to appoint Mitchell L. Smith as Secretary/Clerk and Leesa A. Gayheart as Deputy/Clerk to the EDA; duly seconded by Supervisor Rosenbaum. Motion carried 5-0.

Emergency Services Deputy Director for the County

Jonathan D. Sweet resigned his position effective December 31, 2016. Supervisor Hash made the motion to appoint James S. Moss as Emergency Services Director and Mitchell L. Smith as Deputy Director; duly seconded by Supervisor Fant. Motion carried 5-0.

Mt. Rogers Mental Health – Community Services Board – 3-year term

Sandy Troth – term expires December 31, 2016 and Carolyn Davis – term expires December 31, 2016. The Board decided to table this appointment until the December 8, 2016 meeting.

Mt. Rogers Planning District Commission (MRPDC) Executive Committee – 2-year term

Jonathan D. Sweet resigned his position effective December 31, 2016; new appointee will fill the remainder of Mr. Sweet's term which will expire June 30, 2018. Supervisor Hash made the motion to appoint John S. Fant; duly seconded by Supervisor Rosenbaum. Motion carried 5-0.

New River Highland RC&D – 1-year term

Elaine R. Holeton – term expires December 31, 2016. Supervisor Fant made the motion to reappoint Ms. Holeton; duly seconded by Supervisor Rosenbaum. Motion carried 5-0.

New River Valley Regional Jail

Jonathan D. Sweet resigned his position effective December 31, 2016. Supervisor Fant made the motion to appoint Mitchell L. Smith with Michael S. Hash as the alternate; duly seconded by Supervisor Rosenbaum. Motion carried 5-0.

Planning Commission – 4-year term

David M. Sexton resigned his position effective August 9, 2016 – term expires December 31, 2016. Lindsey Carico – term expires December 31, 2016. The Board decided to table these appointments until the December 8, 2016 meeting.

Public Service Authority – Deputy Director

Jonathan D. Sweet resigned his position effective December 31, 2016. Supervisor Hash made the motion to appoint James S. Moss as Public Service Authority Director and Mitchell L. Smith as Deputy Director; duly seconded by Supervisor Fant. Motion carried 5-0.

Rooftop of VA CAP/Head Start

Jonathan D. Sweet resigned his position effective December 15, 2016. Supervisor Rosenbaum made the motion to appoint Michael S. Hash; duly seconded by Supervisor Fant. Motion carried 5-0.

Twin County E-911 – 4-year term

Jonathan D. Sweet resigned his position effective December 8, 2016; new appointee will fill the remainder of Mr. Sweet's term which expired December 31, 2017. Supervisor Belton made the motion to appoint Leesa A. Gayheart; duly seconded by Supervisor Fant. Motion carried 5-0.

Virginia-Carolina Regional Water Authority – 4-year term

Jonathan D. Sweet resigned his position effective December 8, 2016; new appointee will fill the remainder of Mr. Sweet's term which expires June 30, 2017. Supervisor Fant made the motion to approve Mitchell L. Smith; duly seconded by Supervisor Hash. Motion carried 5-0.

Wythe-Grayson Regional Library – 4-year term

John S. Fant – term expires December 31, 2016

Mary Kelley – term expires December 31, 2016

Sandra Venzie – new application for the Board

Supervisor Belton made the motion to approve all three (3) appointments; duly seconded by Supervisor Fant. Motion carried 5-0.

IN RE: PROCLAMATION OF THE HISTORIC 1908 COURTHOUSE FOUNDATION

Jonathan D. Sweet read the proclamation (listed below). Supervisor Fant made the motion to approve; duly seconded by Supervisor Hash. Motion carried 5-0. The Board presented the framed proclamation to Laura Bryant, President; Ken Winans, Vice President and Shirley Gordon, past President.

**Proclamation of the Grayson County Board of Supervisors  
in Recognition and Appreciation of**

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# Historic 1908 Courthouse Foundation

**WHEREAS**, the Grayson County Board of Supervisors recognizes that the year 2016 is the 30<sup>th</sup> Anniversary of the Historic 1908 Courthouse Foundation; and,

**WHEREAS**, the Board recognizes that the Historic 1908 Courthouse Foundation has served as the faithful steward of the Historic 1908 Courthouse, for thirty (30) years, since July 4<sup>th</sup>, 1986; and,

**WHEREAS**, the Grayson County Board of Supervisors is eternally grateful for the volunteers who have served on the Historic 1908 Courthouse Foundation Board, and for the vision, leadership and commitment that these citizens have shown to the Historic 1908 Courthouse which is a Virginia Historic Landmark & listed on the National Registry of Historic Places ; and,

**WHEREAS**, in the year 1995; the Historic 1908 Courthouse Foundation worked with Grayson County to establish and maintain a Tourism Visitor Information Center, which has served the community in this capacity for twenty-one (21) years; and,

**WHEREAS**, the Historic 1908 Courthouse serves as the arts & culture center for Grayson County, providing public use of the Baldwin Auditorium, Courthouse Grounds and Crossroads Museum, for the promotion of theatre, music, history, public forums, festivals & events; and,

**WHEREAS**, the Grayson County Board of Supervisors recognizes the commitment of the Historic 1908 Courthouse Foundation & further recognizes the fine citizens who have donated time and resources to preserving this cherished landmark, the Historic 1908 Courthouse;

**NOW, THEREFORE, BE IT PROCLAIMED**, that the Grayson County Board of Supervisors, recognizes the Thirty (30) Year Anniversary of The Historic 1908 Courthouse Foundation and is forever appreciative of this organization for service to the community.

*Adopted this 10<sup>th</sup> day of November, 2016 in the County of Grayson, Virginia.*

By: \_\_\_\_\_  
Brenda Sutherland, Chair  
Grayson County Board of Supervisors

Attest: \_\_\_\_\_  
Jonathan Sweet, County Administrator

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## IN RE: PUBLIC HEARING

TO RECEIVE PUBLIC COMMENT ON THE DISPOSITION OF PUBLIC PROPERTY PURSUANT TO §15.2-1800 OF THE CODE OF VIRGINIA, FOR THE PURPOSE OF TRANSFERRING OWNERSHIP OF THE MOUNT ROGERS SCHOOL PROPERTY AND ALL IMPROVEMENTS THEREON FROM THE GRAYSON COUNTY BOARD OF SUPERVISORS TO THE GRAYSON COUNTY ECONOMIC DEVELOPMENT AUTHORITY SO THAT THE AUTHORITY CAN EXPLORE AND PURSUE THE BEST USE OF TH EPROPERTY AS TO PREVENT ANY FURTHER DTERIORATION OF EXISTING STRUCTURES, LOWER AND/OR REMOVE THE COUNTY'S EXPOSURE TO LIABILITY AND RISK, TO GENERATE A WINDFALL AND/OR RESIDUAL REVENUE FOR THE REINVESTMENT INTO THE MOUNT ROGERS AREA AND/OR THE GREATER GRAYSON COUNTY COMMUNITY, TO PRESERVE THE BUILDING(S) FOR POSTERITY, AND TO UTILIZE THE EXISTENCE OF THE FACILITY FOR THE CONTINUED BENEFIT OF THE COMMUNITY.

Supervisor Fant made the motion to open the public hearing; duly seconded by Supervisor Hash. Motion carried 5-0. Jonathan D. Sweet explained the Economic Development Authority (EDA) would be tasked with finding the best use for this property. Mr. James Hayes spoke on behalf of the Mt. Rogers community and Fire Department and would like for the County to convey this property to these entities. After no one else signed up to speak, Supervisor Belton made the motion to close the public hearing; duly seconded by Supervisor Hash. Motion carried 5-0. Supervisor Hash made the motion to transfer ownership of the Mt. Rogers property to the EDA and prior to transfer, the Board of Supervisors must approve any final action; duly seconded by Supervisor Rosenbaum. Roll call vote as follows: Supervisor Hash – Aye; Supervisor Rosenbaum – Aye; Supervisor Belton – Aye; Supervisor Fant – Aye; Supervisor Sutherland – Aye. Motion carried 5-0.

**IN RE: MT. ROGERS COMMUNITY SERVICES BOARD – FY17 COMMUNITY  
SERVICES PERFORMANCE CONTRACT**

Jonathan D. Sweet presented the contract (listed below) for approval. Supervisor Fant made the motion to approve; duly seconded by Supervisor Hash. Motion carried 5-0.



**Fiscal Year (FY) 2017 Performance Contract Summary**

Mount Rogers Community Services Board (MRCSB) submitted the FY 2017 Performance Contract (PC) renewal to the Virginia Department of Behavioral Health and Development Services (DBHDS) in June 2016. This submission includes community services programming projected at a total of \$41,007,694. Community services program areas comprising this total are:

- \$24,426,618 for Mental Health Services
- \$12,489,699 for Developmental Services
- \$1,774,591 for Substance Abuse Services
- \$2,129,521 for Emergency Services
- \$187,265 for ancillary services (assessment and evaluation services, early intervention services, and consumer run services).

The PC for FY 2017 includes the following sections:

- Performance Contract (released May 6, 2016)—covering the biennium of FY 2017 and FY 2018.
- Exhibits—including resources and services schedules.
- Administrative Requirements (released May 6, 2016).
- Partnership Agreement (released May 6, 2016).

The PC for FY 2017 includes detailed information concerning responsibilities and requirements regarding the following areas:

(1) Community Services Board Responsibilities

- State hospital bed utilization
- Quality of care
- Reporting requirements
- Providing information
- Compliance requirements
- Regional programs
- Intensive care coordination for the Comprehensive Services Act (CSA)
- Electronic health record
- Reviews
- Consideration of DBHDS comments

(2) Virginia Department of Behavioral Health and Development Services Responsibilities

- Funding
- State facility services
- Quality of care
- Reporting requirements
- Compliance requirements
- Communication
- Regional programs
- Peer review process
- Electronic health record
- Reviews
- DBHDS comments

(3) State Requirements

- General state requirements
- Financial management
- Procurement
- Reimbursement
- Human resource management
- Information technology
- Planning
- Forensic services
- Access to services for individuals who are deaf, hard of hearing, late deafened, or deafblind
- Interagency relationships

(4) Federal Requirements

- General federal compliance requirements
- Disaster response and emergency service preparedness requirements
- Federal certification regarding lobbying for the mental health and substance abuse block grants

(5) State and Federal Requirements

- Employment anti-discrimination
- Service delivery anti-discrimination



- (6) Virginia Department of Behavioral Health and Development Services Requirements
  - Information technology
  - Planning
- (7) Special Procedures and Requirements
  - Continuity of care procedures
  - Federal substance abuse treatment and prevention block grant requirements
  - Unspent balances principles and procedures
  - User acceptance testing process
  - Continuous quality improvements (CQI) process
  - Discharge assistance program (DAP) requirements

**FY 2017 AND FY 2018 COMMUNITY SERVICES PERFORMANCE CONTRACT**

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## FY 2017 AND FY 2018 COMMUNITY SERVICES PERFORMANCE CONTRACT

### 1. Contract Purpose

- a. Title 37.2 of the Code of Virginia establishes the Virginia Department of Behavioral Health and Developmental Services, hereafter referred to as the Department, to support delivery of publicly funded community mental health, developmental, and substance abuse services and supports and authorizes the Department to fund those services.
- b. Sections 37.2-500 through 37.2-512 of the Code of Virginia require cities and counties to establish community services boards for the purpose of providing local public mental health, developmental, and substance abuse services; §§ 37.2-600 through 37.2-615 authorize certain cities or counties to establish behavioral health authorities that plan and provide those same local public services. In this contract, the community services board, local government department with a policy-advisory community services board, or behavioral health authority named in section 10 is referred to as the CSB. Section 37.2-500 or 37.2-601 of the Code of Virginia requires the CSB to function as the single point of entry into publicly funded mental health, developmental, and substance abuse services. The CSB fulfills this function for any person who is located in the CSB's service area and needs mental health, developmental, or substance abuse services.
- c. Sections 37.2-508 and 37.2-608 of the Code of Virginia and State Board Policy 4018 establish this contract as the primary accountability and funding mechanism between the Department and the CSB, and the CSB is applying for the assistance provided under Chapter 5 or 6 of Title 37.2 by submitting this contract to the Department.
- d. The CSB Administrative Requirements document is incorporated into and made a part of this contract by reference and includes or incorporates by reference ongoing statutory, regulatory, policy, and other requirements that are not contained in this contract. The CSB shall comply with all provisions and requirements in that document. If there is a conflict between provisions in that document and this contract, the language in this contract shall prevail. That document is available at <http://www.dbhds.virginia.gov/professionals-and-service-providers/csb-community-contracting>, the community contracting web page.
- e. The Department and the CSB enter into this contract for the purpose of funding services provided directly or contractually by the CSB in a manner that ensures accountability to the Department and quality of care for individuals receiving services and implements the mission of supporting individuals by promoting recovery, self-determination, and wellness in all aspects of life. The CSB and the Department agree as follows.

2. **Relationship:** The Department functions as the state authority for the public mental health, developmental, and substance abuse services system, and the CSB functions as the local authority for that system. The relationship between and the roles and responsibilities of the Department and the CSB are described in the Partnership Agreement between the parties, which is incorporated into and made a part of this contract by reference. The Agreement is available on the community contracting web page. This contract shall not be construed to establish any employer-employee or principal-agent relationship between employees of the CSB or its board of directors and the Department.
3. **Contract Term:** This contract shall be in effect for a term of two years, commencing on July 1, 2016 and ending on June 30, 2018 if, by mutual agreement of both parties pursuant to the provisions of § 37.2-508 of the Code of Virginia, it is renewed for an additional fiscal year with the insertion of revised Exhibits A, E, F, and G for FY 2018.

4. **Scope of Services**

- a. **Services:** Exhibit A of this contract includes all mental health, developmental, and substance abuse services provided or contracted by the CSB that are supported by the resources described in section 5 of this contract. Services and certain terms used in this contract are defined in the current Core Services Taxonomy, which is incorporated into and made a part of this contract by reference and is on the community contracting web page.
  - 1.) The CSB shall notify the Department before it begins providing a new category or subcategory or stops providing an existing category or subcategory of core services if the service is funded with more than 30 percent of state or federal funds or both. The CSB shall provide sufficient information to the Office of Support Services (OSS) in the Department for its review and approval of the change, and the CSB shall receive the Department's approval before implementing the new service or stopping the existing service. Pursuant to 12VAC35-105-60 of the *Rules and Regulations for Licensing Providers by the Department of Behavioral Health and Developmental Services*, the CSB shall not modify a licensed service without submitting a modification notice to the Office of Licensing in the Department at least 45 days in advance of the proposed modification.
  - 2.) The CSB operating a residential crisis stabilization program shall not increase or decrease the licensed number of beds in the program or close the program temporarily or permanently without informing the Office of Licensing and the OSS and receiving the Department's approval prior to implementing the change. The CSB shall ensure that, once it is fully operational, the program achieves an annual average utilization rate of at least 75 percent of available bed days as measured by data from CCS 3 service records and Community Automated Reporting System (CARS) service capacity reports. A residential crisis stabilization program shall accept any appropriate individuals under temporary detention orders (TDOs) and establish clinical criteria specifying the types of individuals under TDOs that it will accept. The CSB shall attach a copy of the criteria to this contract for the Department's review and approval.
- b. **Expenses for Services:** The CSB shall provide those services funded within the funds and for the expenses set forth in Exhibit A and documented in the CSB's financial management system. The CSB shall distribute its administrative and management expenses across the three program areas (mental health, developmental, and substance abuse services), emergency services, and ancillary services on a basis that is auditable and satisfies Generally Accepted Accounting Principles. CSB administrative and management expenses shall be reasonable and subject to review by the Department.



- c. **Continuity of Care:** The CSB shall follow the Continuity of Care Procedures in Appendix A of the CSB Administrative Requirements. The CSB shall comply with regional emergency services protocols.

- 1.) **Coordination of Developmental Disability Waiver Services:** The CSB shall provide case management services directly or through contracts to all individuals who are receiving services under Medicaid Developmental Disability Home and Community-Based Waivers (DD Waivers). In its capacity as the case manager for these individuals and in order to receive payment for services from the Department of Medical Assistance Services (DMAS), the CSB shall coordinate the development of service authorization requests for DD Waiver services and submit them to the Department for authorization, pursuant to the current DMAS/Department Interagency Agreement, under which the

#### **FY 2017 AND FY 2018 COMMUNITY SERVICES PERFORMANCE CONTRACT**

Department authorizes waiver services as a delegated function from the DMAS. As part of its specific case management responsibilities for individuals receiving DD Waiver services, the CSB shall coordinate and monitor the delivery of all services to individuals it serves, including monitoring the receipt of services in an individual's individual support plan (ISP) that are delivered by independent providers who are reimbursed directly by the DMAS, to the extent that the CSB is not prohibited from doing so by such providers (refer to the DMAS policy manuals for the DD Waivers). The CSB shall raise issues regarding its efforts to coordinate and monitor services provided by independent vendors to the applicable funding or licensing authority, such as the Department, DMAS, or Virginia Department of Social Services. In fulfilling this service coordination responsibility, the CSB shall not restrict or seek to influence an individual's choice among qualified service providers. This section does not, nor shall it be construed to, make the CSB legally liable for the actions of independent providers of DD Waiver services.

- 2.) **Linkages with Health Care:** When it arranges for the care and treatment of individuals in hospitals, inpatient psychiatric facilities, or psychiatric units of hospitals, the CSB shall assure its staff's cooperation with those hospitals, inpatient psychiatric facilities, or psychiatric units of hospitals, especially emergency rooms and emergency room physicians, in order to promote continuity of care for those individuals. Pursuant to subdivision A.4 of § 37.2-505, the CSB shall provide information using a template provided by the Department about its substance abuse services for minors to all hospitals in its service area that are licensed pursuant to Article 1 of Chapter 5 of Title 32.1.
- 3.) **Medical Screening and Medical Assessment:** When it arranges for the treatment of individuals in state hospitals or local inpatient psychiatric facilities or psychiatric units of hospitals, the CSB shall assure that its staff follows the most current *Medical Screening and Medical Assessment Guidance Materials*. The CSB staff shall coordinate care with emergency rooms, emergency room physicians, and other health and behavioral health providers to ensure the provision of timely and effective medical screening and medical assessment to promote the health and safety of and continuity of care for individuals receiving services.
- 4.) **Coordination with Local Psychiatric Hospitals:** When the CSB performed the preadmission screening and when referral to the CSB is likely upon the discharge of an individual admitted involuntarily, the CSB shall coordinate or, if it pays for the service, approve an individual's admission to and continued stay in a psychiatric unit or hospital and collaborate with that unit or hospital to assure appropriate treatment and discharge planning to the least restrictive setting and to avoid the use of these facilities when the service is no longer needed.

- 5.) **Targeted Case Management Services:** In accordance with the Community Mental Health Rehabilitative Services manual and the policy manuals for the DD Waivers issued by the DMAS, the CSB shall be the only provider of rehabilitative mental health case management services and shall have sole responsibility for targeted DD case management services, whether the CSB provides them directly or subcontracts them from another provider.
- 6.) **Choice of Case Managers:** Individuals receiving case management services shall be offered a choice of case managers to the extent possible, and this shall be documented by a procedure to address requests for changing a case manager or for receiving case management services at another CSB or from a contracted case management services provider. The CSB shall provide a copy of this procedure to the Department upon request. During its inspections, the Department's Licensing Office may verify this as it reviews services records and examines the procedure.
- 7.) **Access to Services:** The CSB shall not require an individual to receive case management services in order to receive other services that it provides, directly or contractually, unless it is permitted to do so by applicable regulations or the person is an adult with a serious mental illness, a child with or at risk of serious emotional disturbance, or an individual with a developmental disability or a substance use disorder, the person is receiving more than one other service from the CSB, or a licensed clinician employed or contracted by the CSB determines that case management services are clinically necessary for that individual. Federal Medicaid targeted case management regulations forbid using case management to restrict access to other services by Medicaid recipients or compelling Medicaid recipients to receive case management if they are receiving another service. The CSB shall not establish or implement policies that deny or limit access to services funded in part by state or local matching funds or federal block grant funds only because an individual: a.) is not able to pay for services, b.) is not enrolled in Medicaid, or c.) is involved in the criminal justice system.
- 8.) **PACT Criteria:** If the CSB receives state or federal funds for a Program of Assertive Community Treatment (PACT), it shall:
- a.) Prioritize providing services to individuals with serious mental illnesses who are frequent recipients of inpatient services or are homeless;
  - b.) Achieve and maintain a caseload of 80 individuals receiving services after two years from the date of initial funding by the Department; and
  - c.) Participate in technical assistance recommended by the Department.
- 9.) **Virginia Psychiatric Bed Registry:** The CSB shall participate in and utilize the Virginia Psychiatric Bed Registry required by § 37.2-308.1 of the Code of Virginia to access local or state hospital psychiatric beds or residential crisis stabilization beds whenever necessary to comply with requirements in § 37.2-809 of the Code that govern the temporary detention process. If the CSB operates residential crisis stabilization services, it shall update information about bed availability included in the registry whenever there is a change in bed availability for the facility or, if no change in bed availability has occurred, at least daily.
- 10.) **Preadmission Screening:** The CSB shall provide preadmission screening services pursuant to § 37.2-505 or § 37.2-606, § 37.2-805, § 37.2-809 through § 37.2-813, § 37.2-814, and § 16.1-335 et seq. of the Code of Virginia and in accordance with the Continuity of Care Procedures in Appendix A of the CSB Administrative Requirements for any person who is located in the CSB's service area and may need admission for involuntary psychiatric treatment. The CSB shall ensure that persons it designates as preadmission screening clinicians meet the qualifications established by the Department per section 4.h and have received required training provided by the Department.

**11.) Discharge Planning:** The CSB shall provide discharge planning pursuant to § 37.2-505 or § 37.2-606 of the Code of Virginia and in accordance with State Board Policies 1035 and 1036, the Continuity of Care Procedures, and the current *Collaborative Discharge Protocols for Community Services Boards and State Hospitals - Adult & Geriatric or Child & Adolescent* and the *Training Center - Community Services Board Admission and Discharge Protocols for Individuals with Intellectual Disabilities* issued

by the Department that are incorporated into and made a part of this contract by reference. The protocols are available on the Department's web site. The CSB shall monitor the state hospital extraordinary barriers to discharge list and strive to achieve community placements for individuals on the list for whom it is the case management CSB as soon as possible.

- d. **Populations Served:** The CSB shall provide needed services to adults with serious mental illnesses, children with or at risk of serious emotional disturbance, individuals with intellectual disability, individuals with other developmental disabilities who are receiving services through the DD Waivers or are priority I or priority II on the DD Waiver waiting list, or individuals with substance use disorders to the greatest extent possible within the resources available to it for this purpose. These populations are defined in the current Core Services Taxonomy.
- e. **Department of Justice Settlement Agreement Requirements:** The CSB agrees to comply with the following requirements in the Settlement Agreement for Civil Action No: 3:12cv00059-JAG between the U.S. Department of Justice and the Commonwealth of Virginia, entered in the U. S. District Court for the Eastern District of Virginia on August 23, 2012 [section IX.A, p. 36]. Sections identified in text or brackets refer to sections in the Agreement. Requirements apply to the target population in section III.B: individuals with intellectual or developmental disabilities who currently (i) reside in training centers, (ii) meet criteria for the DD Waiver waiting list, (iii) reside in a nursing home or an ICF, or (iv) receive Medicaid Home and Community-Based DD Waiver services.
- 1.) Case management services, defined in section III.C.5.b, shall be provided to all individuals receiving Medicaid Home and Community-Based Waiver services under the Agreement by case managers who are not directly providing or supervising the provision of Waiver services to those individuals [section III.C.5.c, p. 8].
- 2.) For individuals receiving case management services pursuant to the Agreement, the individual's case manager shall meet with the individual face-to-face on a regular basis and shall conduct regular visits to the individual's residence, as dictated by the individual's needs [section V.F.1, page 26]. At these face-to-face meetings, the case manager shall: observe the individual and the individual's environment to assess for previously unidentified risks, injuries, needs, or other changes in status; assess the status of previously identified risks, injuries, needs, or other changes in status; assess whether the individual's individual support plan (ISP) is being implemented appropriately and remains appropriate for the individual; and ascertain whether supports and services are being implemented consistent with the individual's strengths and preferences and in the most integrated setting appropriate to the individual's needs. The case manager shall document in the ISP the performance of these observations and assessments and any findings, including any changes in status or significant events that have occurred since the last face-to-face meeting. If any of these observations or assessments identifies an unidentified or inadequately addressed risk, injury, need, or change in status, a deficiency in the individual's support plan or its implementation, or a discrepancy between the implementation of supports and services and the individual's strengths and

preferences, then the case manager shall document the issue, convene the individual's service planning team to address it, and document its resolution.

- 3.) Using a process developed jointly by the Department and VACSB Data Management Committee, the CSB shall report the number, type, and frequency of case manager contacts with individuals receiving case management services [section V.F.4, p. 27].
- 4.) The CSB shall report key indicators, selected from relevant domains in section V.D.3 on page 24, from the case manager's face-to-face visits and observations and assessments [section V.F.5, p 27].
- 5.) The individual's case manager shall meet with the individual face-to-face at least every 30 days, and at least one such visit every two months must be in the individual's place of residence, for any individuals who [section V.F.3, pages 26 and 27]:
  - a.) Receive services from providers having conditional or provisional licenses;
  - b.) Have more intensive behavioral or medical needs as defined by the Supports Intensity Scale category representing the highest level of risk to individuals;
  - c.) Have an interruption of service greater than 30 days;
  - d.) Encounter the crisis system for a serious crisis or for multiple less serious crises within a three-month period;
  - e.) Have transitioned from a training center within the previous 12 months; or
  - f.) Reside in congregate settings of five or more individuals.

Refer to Enhanced Case Management Criteria Instructions and Guidance available at <http://www.dbhds.virginia.gov/settlement/Guidance%20Enhanced%20Case%20Management%20Criteria%2004252014.pdf> for additional information.
- 6.) Case managers shall give individuals a choice of service providers from which the individual may receive approved Waiver services, present all options of service providers based on the preferences of the individual, including CSB and non-CSB providers, and document this using the Virginia Informed Choice Form available at <http://www.dbhds.virginia.gov/library/developmental%20services/dds%20bulletin%2011.pdf>. [section III.C.5.c, p. 8].
- 7.) Case managers shall offer education about integrated community options to any individuals living outside of their own or their families' homes and, if relevant, to their authorized representatives or guardians [sec. III.D.7, p. 14]. Case managers shall offer this education at least annually and at the following times:
  - a.) at enrollment in a DD Waiver,
  - b.) when there is a request for a change in Waiver service provider(s),
  - c.) when an individual is dissatisfied with a current Waiver service provider,
  - d.) when a new service is requested,
  - e.) when an individual wants to move to a new location, or
  - f.) when a regional support team referral is made as required by the Virginia Informed Choice Form.
- 8.) CSB emergency services shall be available 24 hours per day and seven days per week, staffed with clinical professionals who shall be able to assess crises by phone and assist callers in identifying and connecting with local services, and, where necessary, to dispatch at least one mobile crisis team member adequately trained to address the crisis [section III.C.6.b.i.A, p. 9]. This requirement shall be met through the regional REACH program that is staffed 24 hours per day and seven days per week by qualified persons able to assess and assist individuals and their families during crisis situations and has mobile crisis teams to address crisis situations and offer services and support on site to individuals and their families within one hour in urban areas and two hours in rural areas as measured by the average annual response time [section III.C.6.b.ii, pages 9 and 10].



Emergency services staff shall receive consistent training from the Department on the REACH crisis response system.

- 9.) Comply with State Board Policy 1044 (SYS) 12-1 Employment First [section III.C.7.b, p. 11]. This policy supports identifying community-based employment in integrated work settings as the first and priority service option offered by case managers and support coordinators to individuals receiving day support or employment services.
- 10.) CSB case managers shall liaison with the Department's regional community resource consultants in their regions [section III.E.1, p. 14].
- 11.) Case managers shall participate in discharge planning with individuals' personal support teams (PSTs) for individuals in training centers for whom the CSB is the case management CSB, pursuant to § 37.2-505 and § 37.2-837 of the Code of Virginia that requires the CSB to develop discharge plans in collaboration with training centers [section IV.B.6, p. 16].
- 12.) In developing discharge plans, CSB case managers, in collaboration with PSTs, shall provide to individuals and, where applicable, their authorized representatives, specific options for types of community placements, services, and supports based on the discharge plan and the opportunity to discuss and meaningfully consider these options [section IV.B.9, p. 17].
- 13.) CSB case managers and PSTs shall coordinate with specific types of community providers identified in discharge plans as providing appropriate community-based services for individuals to provide individuals, their families, and, where applicable, their authorized representatives with opportunities to speak with those providers, visit community placements (including, where feasible, for overnight visits) and programs, and facilitate conversations and meetings with individuals currently living in the community and their families before being asked to make choices regarding options [section IV.B.9.b, p. 17].
- 14.) CSB case managers and PSTs shall assist individuals and, where applicable, their authorized representatives in choosing providers after providing the opportunities described in subsection 13 above and ensure that providers are timely identified and engaged in preparing for individuals' transitions [section IV.B.9.c, p.17].
- 15.) Case managers shall provide information to the Department about barriers to discharge for aggregation and analysis by the Department for ongoing quality improvement, discharge planning, and development of community-based services [IV.B.14, p. 19].
- 16.) In coordination with the Department's Post Move Monitor, the CSB shall conduct post-move monitoring visits within 30, 60, and 90 days following an individual's movement from a training center to a community setting [section IV.C.3, p.19]. The CSB shall provide information obtained in these post move monitoring visits to the Department within seven business days after the visit.
- 17.) If it provides day support or residential services to individuals in the target population, the CSB shall implement risk management and quality improvement processes, including establishment of uniform risk triggers and thresholds that enable it to adequately address harms and risks of harms, including any physical injury, whether caused by abuse, neglect, or accidental causes [section V.C.1, p. 22].
- 18.) Using the protocol and real-time, web-based incident reporting system implemented by the Department, the CSB shall report any suspected or alleged incidents of abuse or neglect as defined in § 37.2-100 of the Code of Virginia, serious injuries as defined in 12 VAC 35-115-30, or deaths to the Department within 24 hours of becoming aware of them [section V.C.2, p. 22].

- 19.) Participate with the Department to collect and analyze reliable data about individuals receiving services under this Agreement from each of the following areas:
  - a.) safety and freedom from harm,
  - b.) physical, mental, and behavioral health and well being,
  - c.) avoiding crises,
  - d.) stability,
  - e.) choice and self-determination,
  - f.) community inclusion,
  - g.) access to services,
  - h.) provider capacity
 [section V.D.3, pgs. 24 & 25].
- 20.) Participate in the regional quality council established by the Department that is responsible for assessing relevant data, identifying trends, and recommending responsive actions in its region [section V.D.5.a, p. 25].
- 21.) Provide access to and assist the Independent Reviewer to assess compliance with this Agreement. The Independent Reviewer shall exercise his access in a manner that is reasonable and not unduly burdensome to the operation of the CSB and that has minimal impact on programs or services being provided to individuals receiving services under the Agreement [section VI.H, p. 30 and 31].
- 22.) Participate with the Department and its third party vendors in the implementation of the National Core Indicators (NCI) Surveys and Quality Service Reviews (QSRs) for selected individuals receiving services under the Agreement. This includes informing individuals and authorized representatives about their selection for participation in the NCI individual surveys or QSRs; providing the access and information requested by the vendor, including health records, in a timely manner; assisting with any individual specific follow up activities; and completing the web-based annual NCI provider survey [section V.I, p. 28].
- 23.) The CSB shall notify the community resource consultant (CRC) and regional support team (RST) in the following circumstances to enable the RST to monitor, track, and trend community integration and challenges that require further system development:
  - a.) within five calendar days of an individual being presented with any of the following residential options: an intermediate care facility, a nursing facility, a training center, or a group home with a licensed capacity of five beds or more;
  - b.) if the CSB is having difficulty finding services within 30 calendar days after the individual's enrollment in the waiver; or
  - c.) immediately when an individual is displaced from his or her residential placement for a second time
 [sections III.D.6 and III.E, p. 14].
- 24.) Case managers shall collaborate with the CRC to ensure that person-centered planning and placement in the most integrated setting appropriate to the individual's needs and consistent with his or her informed choice occur [section III.E.1-3, p. 14].

The Department encourages the CSB to provide the Independent Reviewer with access to its services and records and to individuals receiving services from the CSB; however, access shall be at the sole discretion of the CSB [section VI.G, p. 31].

- f. **Emergency Services Availability:** The CSB shall have at least one local telephone number, and where appropriate one toll-free number, for emergency services telephone calls that is available to the public 24 hours per day and seven days per week throughout its service area. The number(s) shall provide immediate access to a qualified emergency services staff member. Immediate access means as soon as possible and within no more than 15 minutes. If the CSB uses an answering service to fulfill this requirement, the service must be able to

contact a qualified CSB emergency services staff immediately to alert the staff member that a crisis call has been received. Using (1) an answering service with no immediate transfer to a qualified CSB emergency services staff, (2) the CSB's main telephone number that routes callers to a voice mail menu, (3) 911, or (4) the local sheriff's or police department's phone number does not satisfy this requirement. The phone number(s) shall be disseminated widely throughout the service area, including local telephone books and appropriate local government and public service web sites, and shall be displayed prominently on the main page of the CSB's web site. The CSB shall implement procedures for handling emergency services telephone calls that ensure adequate emergency services staff coverage, particularly after business hours, so that qualified staff responds immediately to calls for emergency services, and the procedures shall include coordination and referral to REACH for individuals with developmental disabilities. The CSB shall provide the procedures for handling emergency services calls to the Department upon request.

**g. Preadmission Screening Evaluations**

- 1.) The purpose of preadmission screening evaluations is to determine whether the person meets the criteria for temporary detention pursuant to Article 16 of Chapter 11 of Title 16.1, Chapters 11 and 11.1 of Title 19.2, and Chapter 8 of Title 37.2 in the Code of Virginia and to assess the need for hospitalization or treatment. The evaluations shall be performed by certified preadmission screening clinicians. Preadmission screening evaluations are highly variable and individualized crisis assessments with clinical requirements that will vary based on the nature of the clinical presentation. However, the CSB shall ensure that all preadmission screening evaluations conducted by its staff include at a minimum:
  - a.) A review of past clinical and treatment information if available;
  - b.) Pertinent information from the clinical interview and collateral contacts or documentation of why this information was unavailable at the time of the evaluation;
  - c.) A documented risk assessment that includes an evaluation of the likelihood that, as a result of mental illness, the person will, in the near future, cause serious physical harm to himself or others as evidenced by recent behavior causing, attempting, or threatening harm and other relevant information, if any;
  - d.) Thorough and detailed documentation of the clinical disposition and rationale for it;
  - e.) Documentation of all hospitals contacted, including state hospitals;
  - f.) Documentation of contact with the staff's supervisor and CSB leadership about the evaluation when necessary and documentation of mandatory notification of CSB and Department leadership within 60 minutes once an ECO has expired without locating an appropriate bed; and
  - g.) Documentation of contact with REACH for all individuals presenting with a developmental disabilities (DD) diagnosis or a co-occurring DD diagnosis.
- 2.) Preadmission screening reports required by § 37.2-816 of the Code of Virginia shall comply with requirements in that section and shall state:
  - a.) whether the person has a mental illness, and whether there exists a substantial likelihood that, as a result of mental illness, the person will, in the near future,
    - (i) cause serious physical harm to himself or others as evidenced by recent behavior causing, attempting, or threatening harm and other relevant information, if any, or
    - (ii) suffer serious harm due to his lack of capacity to protect himself from harm or provide for his basic human needs;
  - b.) whether the person is in need of involuntary inpatient treatment;
  - c.) whether there is no less restrictive alternative to inpatient treatment; and
  - d.) the recommendations for that person's placement, care, and treatment including, where appropriate, recommendations for mandatory outpatient treatment.

**h. Certification of Preadmission Screening Clinicians:** The CSB and Department prioritize having emergency custody order or preadmission screening evaluations performed pursuant to Article 16 of Chapter 11 of Title 16.1, Chapters 11 and 11.1 of Title 19.2, and Chapter 8 of Title 37.2 in the Code of Virginia provided by the most qualified, knowledgeable, and experienced CSB staff. These evaluations are face-to-face clinical evaluations performed by designated CSB staff of persons in crisis who may be in emergency custody or who may need involuntary temporary detention or other emergency treatment. The CSB shall comply with the requirements in the current *Certification of Preadmission Screening Clinicians*, a document developed jointly by the Department and CSB representatives and made a part of this contract by reference, to enhance the qualifications, training, and oversight of CSB preadmission screening clinicians and increase the quality, accountability, and standardization of preadmission screening evaluations.

**i. Developmental Case Management Services**

- 1.) Case managers employed or contracted by the CSB shall meet the knowledge, skills and abilities qualifications in the Case Management Licensing Regulations, 12 VAC 35-105-1250. During its inspections, the Department's Licensing Office may verify this affirmation as it reviews personnel records.
- 2.) Reviews of the individual support plan (ISP), including necessary assessment updates, shall be conducted with the individual quarterly or every 90 days and include modifications in the ISP when the individual's status or needs and desires change. During its inspections, the Department's Licensing Office may verify this as it reviews ISPs including those from a sample identified by the CSB of individuals who discontinued case management services.
- 3.) Case managers shall ensure that all information about each individual in the electronic waiver management system is updated annually or whenever changes occur, including information about the individual's:
  - a.) full name,
  - b.) current address,
  - c.) CSB unique identifier,
  - d.) level of care information,
  - e.) living situation,
  - f.) terminations,
  - g.) transfers, and
  - h.) waiting list information.
- 5.) Case managers and other CSB staff shall comply with the SIS® Administration Process and any changes in the process within 30 calendar days of notification of the changes.
- 6.) Case managers shall notify the designated Department staff that an individual has been terminated from all DD waiver services within 10 business days of termination.
  - 7.) Case managers shall submit the Request to Retain a Slot form to the appropriate Department staff to hold a slot open within 10 business days of it becoming available.
  - 8.) Case managers shall complete the level of care tool for individuals requesting DD Waiver services within 60 calendar days of application for individuals expected to present for services within one year.
  - 9.) Case managers shall comply with the DD waitlist process and slot assignment process and implement any changes in the processes within 30 calendar days of written notice.
5. **Resources:** Exhibit A of this contract includes the following resources: state funds and federal funds appropriated by the General Assembly and allocated by the Department to the CSB; balances of unexpended or unencumbered state and federal funds retained by the CSB and used in this contract to support services; local matching funds required by § 37.2-509 or § 37.2-611 of the Code of Virginia to receive allocations of state funds; Medicaid Clinic, Targeted Case Management, Rehabilitative Services, and DD Home and Community-Based Waiver payments and any other fees, as required by § 37.2-504 or § 37.2-605 of the Code of Virginia; and any other funds associated with or generated by the services shown in Exhibit A. The CSB shall



maximize billing and collecting Medicaid payments and other fees in all covered services to enable more efficient and effective use of the state and federal funds allocated to it.

- a. **Allocations of State General and Federal Funds:** The Department shall inform the CSB of its state and federal fund allocations in a letter of notification. The Department may adjust allocation amounts during the term of this contract. The Department may reduce restricted or earmarked state or federal funds during the contract term if the CSB reduces significantly or stops providing services supported by those funds as documented in Community Consumer Submission (CCS) or CARS reports. These reductions shall not be subject to provisions in sections 9.c or 9.f of this contract. The Commissioner or his designee shall communicate all adjustments to the CSB in writing. Allocations of state and federal funds shall be based on state and federal statutory and regulatory requirements, provisions of the Appropriation Act, State Board policies, and previous allocation amounts.
- b. **Disbursement of State or Federal Funds:** Continued disbursement of semi-monthly payments of restricted or earmarked state or federal funds by the Department to the CSB may be contingent on documentation in the CSB's CCS and CARS reports that it is providing the services supported by these funds.
- c. **Conditions on the Use of Resources:** The Department can attach specific conditions or requirements for use of funds, separate from those established by other authorities, only to the state and federal funds that it allocates to the CSB and the 10 percent local matching funds that are required to obtain the CSB's state fund allocations.

#### 6. CSB Responsibilities

- a. **State Hospital Bed Utilization:** In accordance with § 37.2-508 or § 37.2-608 of the Code of Virginia, the CSB shall develop jointly with the Department and with input from private providers involved with the public mental health, developmental, and substance abuse services system mechanisms, such as the Discharge Protocols, Extraordinary Barriers to Discharge lists, and regional utilization management procedures and practices, and employ these mechanisms collaboratively with state hospitals that serve it to manage the utilization of state hospital beds. Utilization will be measured by bed days received by individuals for whom the CSB is the case management CSB.

The CSB shall implement procedures or utilize existing local or regional protocols to ensure appropriate management of each admission to a state hospital under a civil temporary detention order recommended by the CSB's preadmission screening clinicians to identify the cause of the admission and the actions the CSB may take in the future to identify alternative facilities. The CSB shall provide copies of the procedures and analyses to the Department upon request.

#### b. Quality of Care

- 1.) **Department CSB Performance Measures:** CSB staff shall monitor the CSB's outcome and performance measures in Exhibit B, identify and implement actions to improve its ranking on any measure on which it is below the benchmark, and present reports on the measures and actions at least quarterly during scheduled meetings of the CSB board of directors.
- 2.) **Quality Improvement and Risk Management:** The CSB shall develop, implement, and maintain a quality improvement plan, itself or in affiliation with other CSBs, to improve services, ensure that services are provided in accordance with current acceptable professional practices, and address areas of risk and perceived risks. The quality improvement plan shall be reviewed and updated at least every four years. The CSB shall develop, implement, and maintain, itself or in affiliation with other CSBs, a risk management plan or participate in a local government's risk management plan. The CSB shall work with the Department to identify how the CSB will address quality improvement activities.

The CSB shall implement, in collaboration with other CSBs in its region, the state hospitals and training centers serving its region, and private providers involved with the public mental health, developmental, and substance abuse services system, regional utilization management procedures and practices that reflect the Regional Utilization Management Guidance document that is incorporated into and made a part of this contract by reference and is available on the community contracting web page.

- 3.) **Critical Incidents:** The CSB shall implement procedures to insure that the executive director is informed of any deaths, serious injuries, or allegations of abuse or neglect when they are reported to the Department. The CSB shall provide a copy of its procedures to the Department upon request.

**4.) Individual Outcome and CSB Provider Performance Measures**

- a.) **Measures:** Pursuant to § 37.2-508 or § 37.2-608 of the Code of Virginia, the CSB shall report the individual outcome and CSB provider performance measures in Exhibit B of this contract to the Department.

- b.) **Individual CSB Performance Measures:** The Department may negotiate specific, time-limited measures with the CSB to address identified performance concerns or issues. The measures shall be included as Exhibit D of this contract.

- c.) **Individual Satisfaction Survey:** Pursuant to § 37.2-508 or § 37.2-608 of the Code of Virginia, the CSB shall participate in the Annual Survey of Individuals Receiving MH and SA Outpatient Services, the Annual Youth Services Survey for Families (i.e., Child MH survey), and the annual Quality Services Reviews and the National Core Indicators Survey for individuals receiving DD Waiver services.

- d.) **Strategic Prevention Framework (SPF):** The CSB, in partnership with local community coalitions, shall use the evidenced-based Strategic Prevention Framework (SPF) planning model to: complete a needs assessment using community, regional, and state data; build capacity to successfully implement prevention services; develop logic models and a strategic plan with measurable goals, objectives, and strategies; implement evidenced-based programs, practices, and strategies that are linked to data and target populations; evaluate program management and decision making for enabling the ability to reach outcomes; plan for the sustainability of prevention outcomes; and produce evidence of cultural competence throughout all aspects of the SPF process.

- e.) **Logic Models:** The logic models shall identify individual- (i.e., youth, families, and parents), community-, and population-level strategies (e.g. environmental approaches). One logic model shall outline CSB federal substance abuse block grant (SABG) prevention set aside-funded services. The other model(s) shall be the CSB partnership coalition's logic model(s) reflecting the collaborative relationship of the CSB with the coalition in the implementation of community-level and environmental approaches. The CSB shall use the Institute of Medicine model to identify target populations based on levels of risk – universal, selective, and indicated. Substance abuse prevention services may not be delivered to persons who have substance use disorders in an effort to prevent continued substance use. The CSB shall utilize the six CSAP evidenced-based strategies: information dissemination, education and skill building, alternatives, problem identification and referral, community-based process, and environmental approaches. Community-based process and coalitions and environmental approaches are keys to achieving successful outcomes and are Department priorities. CSBs shall use evidence-based prevention programs, practices, and strategies. Seventy-five percent of SABG prevention set aside-funded services shall be programs, practices, or strategies included in a federal list of

evidence-based interventions. A minimum of 25 percent of SABG prevention set aside-funded services shall be the community-based process and coalition strategy and 25 percent shall be environmental strategies.

- f.) **Prevention Services Evaluations:** The CSB shall work with OMNI Institute, the Department's evaluation contractor, to develop an evaluation plan for its SABG prevention set aside-funded prevention services.
- g.) **SYNAR Activities and Merchant Education:** In July 1992, Congress enacted P.L. 102-321 section 1926, the SYNAR Amendment, to decrease youth access to tobacco. To stay in compliance with the SABG, states must meet and sustain the merchant retail violation rate (RVR) under 20 percent or face penalties to the entire SABG, including funds for treatment. Merchant education involves educating local merchants about the consequences of selling tobacco products to youth. This strategy has been effective in keeping state RVR rates under the required 20 percent. The CSB shall conduct merchant education activities with all merchants deemed by the Alcoholic Beverage Control Board to be in violation of selling tobacco products to youth in the CSB's service area. Other merchants shall be added if deemed to be at higher risk due to factors such as being in proximity to schools. The CSB, itself or in collaboration with the local coalition, shall continuously update the verified list of tobacco retailers, including all retailers selling vapor products, by conducting store audits. The CSB shall conduct store audits of and merchant education with 100 percent of tobacco retailers in its service area over a two year period. Beginning in FY 2003, the Department allocated \$10,000 annually to the CSB to complete SYNAR-related tasks. All store audit and merchant education activities shall be documented in the Counter Tools system and recorded in the Social Solutions Efforts to Outcomes – (ETO) Prevention Data System. Tobacco education programs for youth with the goal of reducing prevalence or use are not to be identified as SYNAR activities.
- h.) **Recovery Orientation:** The CSB shall implement a plan for assessing and increasing its recovery orientation over time in accordance with Section 5: Advancing the Vision of the Partnership Agreement and shall administer the Recovery Oriented Systems Indicators (ROSI) Consumer Survey (42 items) with a statistically valid sample of five percent or a minimum of 70, whichever is larger, of individuals with serious mental illness receiving mental health services from the CSB and the ROSI Provider Survey (23 item Administrative Profile) biennially and report on its recovery orientation to the Department by the last business day of March in odd-numbered years.
- 5.) **Case Management Services Training:** The CSB shall ensure that all direct and contract staff that provide case management services have completed the case management curriculum developed by the Department and that all new staff complete it within 30 days of employment. The CSB shall ensure that developmental case managers complete the ISP training modules developed by the Department within 60 days of their availability on the Department's web site.
- 6.) **Developmental Case Management Services Organization:** The CSB shall structure its developmental case management services so that it does not provide case management and DD Waiver services to the same individual to ensure the independence of services from case management and avoid perceptions of undue case management influence on service choices by individuals.
- 7.) **Program and Service Reviews:** The Department may conduct or contract for reviews of programs or services provided or contracted by the CSB under this contract to examine their quality or performance at any time as part of its monitoring and review responsibilities or in response to concerns or issues that come to its attention, as

permitted under 45 CFR § 164.512 (a), (d), and (k) (6) (ii) and as part of its health oversight functions under § 32.1-127.1:03 (D) (6) and § 37.2-508 or § 37.2-608 of the Code of Virginia or with a valid authorization by the individual receiving services or his authorized representative that complies with the Human Rights Regulations and the HIPAA Privacy Rule. The CSB shall provide ready access to any records or other information necessary for the Department to conduct program or service reviews or investigations of critical incidents.

- 8.) **Response to Complaints:** Pursuant to § 37.2-504 or § 37.2-605 of the Code of Virginia, the CSB shall implement procedures to satisfy the requirements for a local dispute resolution mechanism for individuals receiving services and to respond to complaints from individuals receiving services, family members, advocates, or other stakeholders as expeditiously as possible in a manner that seeks to achieve a satisfactory resolution and advises the complainant of any decision and the reason for it. The CSB shall acknowledge complaints that the Department refers to it within five business days of receipt and provide follow up commentary on them to the Department within 10 business days of receipt. The CSB shall post copies of its procedures in its public spaces and on its web site and provide copies to all individuals when they are admitted for services and provide a copy to the Department upon request.
- 9.) **Access to Substance Abuse Treatment for Opioid Abuse:** The CSB shall ensure that individuals requesting treatment for opioid drug abuse, including prescription pain medications, regardless of the route of administration, receive rapid access to appropriate treatment services within 14 days of making the request for treatment or 120 days after making the request if the CSB has no capacity to admit the individual on the date of the request and within 48 hours of the request it makes interim services, as defined in 45 CFR § 96.126, available until the individual is admitted.

**c. Reporting Requirements**

- 1.) **CSB Responsibilities:** For purposes of reporting to the Department, the CSB shall comply with State Board Policy 1037 and shall:
- a.) provide monthly Community Consumer Submission (CCS) extracts that report individual characteristic and service data to the Department, as required by § 37.2-508 or § 37.2-608 of the Code of Virginia, the federal Substance Abuse and Mental Health Services Administration, and Part C of Title XIX of the Public Health Services Act - Block Grants, § 1943 (a) (3) and § 1971 and § 1949, as amended by Public Law 106-310, and as permitted under 45 CFR §§ 164.506 (c) (1) and (3) and 164.512 (a) (1) and (d) of the HIPAA regulations and §32.1-127.1:03.D (6) of the Code of Virginia, and as defined in the current CCS Extract Specifications and Design Specifications, including the current Business Rules, that are available on the community contracting web page and are incorporated into and made a part of this contract by reference;
  - b.) follow the current Core Services Taxonomy and CCS Extract Specifications and Design Specifications, including the current Business Rules, when responding to reporting requirements established by the Department;
  - c.) complete the National Survey of Substance Abuse Treatment Services (N-SSATS) annually that is used to compile and update the National Directory of Drug and Alcohol Abuse Treatment Programs and the on-line Substance Abuse Treatment Facility Locator;
  - d.) follow the user acceptance testing process described in Appendix D of the CSB Administrative Requirements for new CCS 3 releases and participate in the user acceptance testing process when requested to do so by the Department;



- e.) report service data on substance abuse prevention services provided by the CSB that are supported wholly or in part by the SABG set aside for prevention services through the ETO Prevention Data System, as outlined in approved data matrices and reporting deadlines, including quarterly reporting; report service data on state-funded mental health first aid and suicide prevention services through ETO, but report funding, expenditure, and cost data on these services through CARS per section 2.a.); and report service, funding, expenditure, and cost data on any other mental health prevention services through CCS 3 and CARS;
- f.) supply information to the Department's Forensics Information Management System for individuals adjudicated not guilty by reason of insanity (NGRI), as required under § 37.2-508 or § 37.2-608 of the Code of Virginia and as permitted under 45 CFR §§ 164.506 (c) (1) and (3), 164.512 (d), and 164.512 (k) (6) (ii);
- g.) report data and information required by the current Appropriation Act; and
- h.) report data identified collaboratively by the Department and the CSB working through the Virginia Association of Community Services Boards Data Management Committee on the regional REACH program if the CSB is the fiscal agent for this program.

**2.) Routine Reporting Requirements:** The CSB shall account for all services, funds, expenses, and costs accurately and submit reports to the Department in a timely manner using current CARS, CCS, or other software provided by the Department. All reports shall be provided in the form and format prescribed by the Department. The CSB shall provide the following information and meet the following reporting requirements:

- a.) types and service capacities of services provided, costs for services provided, and funds received by source and amount and expenses paid by program area and for emergency and ancillary services semi-annually in CARS, and state and federal block grant funds expended by core service with the end-of-the-fiscal year CARS report;
- b.) demographic characteristics of individuals receiving services and types and amounts of services provided to each individual monthly through the current CCS;
- c.) community waiting list information for the Comprehensive State Plan that is required by § 37.2-315 of the Code of Virginia, as permitted under § 32.1-127.1:03 (D) (6) of the Code of Virginia and 45 CFR § 164.512 (d) and (k) (6) (ii) (when required);
- d.) State Facility Discharge Waiting List Data Base reports using ACCESS software supplied by the Department;
- e.) Federal Balance Report (October 15);
- f.) PATH reports (mid-year and at the end of the fiscal year);
- g.) Report amounts of state, local, federal, Medicaid, other fees, other funds used to pay for services by core service in each program area and emergency and ancillary services in the end of the fiscal year CARS report; and
- h.) other reporting requirements in the current CCS Extract or Design Specifications.

**3.) Subsequent Reporting Requirements:** In accordance with State Board Policy 1037, the CSB shall work with the Department through the Virginia Association of Community Services Boards Data Management Committee (DMC) to ensure that current data and reporting requirements are consistent with each other and the current Core Services Taxonomy, the current CCS, and the Treatment Episode Data Set (TEDS)

and other federal reporting requirements. The CSB also shall work with the Department through the DMC in planning and developing any additional reporting or documentation requirements beyond those identified in this contract to ensure that the requirements are consistent with the current taxonomy, the current CCS, and the TEDS and other federal reporting requirements.

- 4.) **Data Elements:** The CSB shall work with the Department through the DMC to standardize data definitions, periodically review existing required data elements to eliminate elements that are no longer needed, minimize the addition of new data elements to minimum necessary ones, review CSB business processes so that information is collected in a systematic manner, and support efficient extraction of required data from CSB electronic health record systems whenever this is possible.
- 5.) **Streamlining Reporting Requirements:** The CSB shall work with the Department through the DMC to review existing reporting requirements including the current CCS to determine if they are still necessary and, if they are, to streamline and reduce the number of portals through which those reporting requirements are submitted as much as possible; to ensure reporting requirements are consistent with the current CCS Extract Specifications and Core Services Taxonomy; and to maximize the interoperability between Department and CSB data bases to support the electronic exchange of information and comprehensive data analysis.
- d. **Providing Information:** The CSB shall provide any information requested by the Department that is related to the services, funds, or expenditures in this contract or the performance of or compliance with this contract in a timely manner, considering the type, amount, and availability of information requested. Provision of information shall comply with applicable laws and regulations governing confidentiality, privacy, and security of information regarding individuals receiving services from the CSB.
- e. **Compliance Requirements:** The CSB shall comply with all applicable federal, state, and local laws and regulations, including those contained or referenced in the CSB Administrative Requirements and Exhibits F and J of this contract, as they affect the operation of this contract. Any substantive change in the CSB Administrative Requirements, except changes in statutory, regulatory, policy, or other requirements or in other documents incorporated by reference in it, which changes are made in accordance with processes or procedures associated with those statutes, regulations, policies, or other requirements or documents, shall constitute an amendment of this contract, made in accordance with applicable provisions of the Partnership Agreement, that requires a new contract signature page signed by both parties. If any laws or regulations that become effective after the execution date of this contract substantially change the nature and conditions of this contract, they shall be binding upon the parties, but the parties retain the right to exercise any remedies available to them by law or other provisions of this contract.

The CSB shall comply with the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the regulations promulgated thereunder by their compliance dates, except where the HIPAA requirements and applicable state law or regulations are contrary and state statutes or regulations are more stringent, as defined in 45 CFR § 160.202, than the related HIPAA requirements. The CSB shall ensure sensitive data, including HIPAA-protected health information, personally identifiable information, and other confidential data, exchanged electronically with the Department, its state hospitals and training centers, other CSBs, other providers, or persons meets the requirements in the FIPS 140-2 standard and is encrypted using a method supported by the Department. The Department will accept 256 bit encryption methods that are FIPS 140-2 compliant.

The CSB shall follow the procedures and satisfy the requirements in the Performance Contract Process and the Administrative Performance Standards in Exhibits E and I of this contract. The CSB shall document compliance with § 37.2-501 or § 37.2-602 of the Code of Virginia in Exhibit H of this contract.

- f. **Regional Programs:** The CSB shall manage or participate in the management of, account for, and report on regional programs in accordance with the Regional Program Operating Principles and the Regional Program Procedures in Appendices E and F of the Core Services Taxonomy. The CSB agrees to participate in any utilization review or management activities conducted by the Department involving services provided through a regional program. Protected health information, personally identifiable information, or other information may be disclosed as permitted under 45 CFR §§ 164.506 (c) (1) and (3) and 164.512 (k) (6) (ii) of the HIPAA regulations and under §32.1-127.1:03.D (6) of the Code.
- g. **Intensive Care Coordination for the Comprehensive Services Act**
- 1.) As the single point of entry into publicly funded mental health, developmental, and substance abuse services pursuant to § 37.2-500 of the Code of Virginia and as the exclusive provider of Medicaid rehabilitative mental health case management services and with sole responsibility for targeted DD case management services, the CSB is the most appropriate provider of intensive care coordination (ICC) services through the Comprehensive Services Act for At-Risk Youth and Families (CSA). The CSB and the local community policy and management team (CPMT) in its service area shall determine collaboratively the most appropriate and cost-effective provider of ICC services for children who are placed in or are at risk of being placed in residential care through the CSA program in accordance with guidelines developed by the State Executive Council and shall develop a local plan for ICC services that best meets the needs of those children and their families. If there is more than one CPMT in the CSB's service area, the CPMTs and the CSB may work together as a region to develop a plan for ICC services.
  - 2.) If the CSB is identified as the provider of ICC services, it shall work in close collaboration with its CPMT(s) and family assessment and planning team(s) to implement ICC services, to assure adequate support for these services through local CSA funds, and to assure that all children receive appropriate assessment and care planning services. Examples of ICC activities include: efforts at diversion from more restrictive levels of care, discharge planning to expedite return from residential or facility care, and community placement monitoring and care coordination work with family members and other significant stakeholders. If it contracts with another entity to provide ICC services, the CSB shall remain fully responsible for ICC services, including monitoring the services provided under the contract.
- h. **Electronic Health Record:** The CSB shall implement and maintain an electronic health record that has been fully certified and is listed by the Office of the National Coordinator for Health Information Technology - Authorized Testing and Certification Body to improve the quality and accessibility of services, streamline and reduce duplicate reporting and documentation requirements, obtain reimbursement for services, and exchange data with the Department and its state hospitals and training centers and other CSBs.
- i. **Reviews:** The CSB shall participate in the periodic, comprehensive administrative and programmatic review of the CSB conducted by the Department to evaluate the CSB's compliance with requirements in the contract and CSB Administrative Requirements and the CSB's performance. The CSB shall address recommendations in the review report by the dates specified in the report or those recommendations may be incorporated in an Exhibit D.
- j. **Consideration of Department Comments or Recommendations:** The executive director and CSB board members shall consider significant issues or concerns raised by the Commissioner of the Department at any time about the operations or performance of the CSB and shall respond formally to the Department, collaborating with it as appropriate, about these issues or concerns.

## 7. Department Responsibilities

- a. **Funding:** The Department shall disburse state funds displayed in Exhibit A prospectively on a semi-monthly basis to the CSB, subject to the CSB's compliance with the provisions of this contract. Payments may be revised to reflect funding adjustments. The Department shall disburse federal grant funds that it receives to the CSB in accordance with the requirements of the applicable federal grant and, wherever possible, prospectively on a semi-monthly basis. The Department shall make these payments in accordance with Exhibit E of this contract.
- b. **State Facility Services**
  - 1.) **Availability:** The Department shall make state facility services available, if appropriate, through its state hospitals and training centers when individuals located in the CSB's service area meet the admission criteria for these services.
  - 2.) **Bed Utilization:** The Department shall track, monitor, and report on the CSB's utilization of state hospital and training center beds and provide data to the CSB about individuals receiving services from its service area who are served in state hospitals and training centers as permitted under 45 CFR §§ 164.506 (e) (1), (2), and (4) and 164.512 (k) (6) (ii). The Department shall post state hospital and training center bed utilization by the CSB for all types of beds (adult, geriatric, child and adolescent, and forensic) and for TDO admissions and bed day utilization on its web site.
  - 3.) **Continuity of Care:** The Department shall manage its state hospitals and training centers in accordance with State Board Policy 1035 to support service linkages with the CSB, including adherence to the applicable provisions of the Continuity of Care Procedures, attached to the CSB Administrative Requirements as Appendix A, and the current *Collaborative Discharge Protocols for Community Services Boards and State Hospitals – Adult & Geriatric or Child & Adolescent* and the current *Training Center – Community Services Board Admission and Discharge Protocols for Individuals with Intellectual Disabilities*. The Department shall assure state hospitals and training centers use teleconferencing technology to the greatest extent practicable to facilitate the CSB's participation in treatment planning activities and fulfillment of its discharge planning responsibilities for individuals in state hospitals and training centers for whom it is the case management CSB.
  - 4.) **Medical Screening and Medical Assessment:** When working with CSBs and other facilities to arrange for treatment of individuals in the state hospital, the state hospital shall assure that its staff follows the most current *Medical Screening and Medical Assessment Guidance Materials*. The state hospital staff shall coordinate care with emergency rooms, emergency room physicians, and other health and behavioral health providers to ensure the provision of timely and effective medical screening and medical assessment to promote the health and safety of and continuity of care for individuals receiving services.
  - 5.) **Planning:** The Department shall involve the CSB, as applicable and to the greatest extent possible, in collaborative planning activities regarding the future role and structure of state hospitals and training centers.
  - 6.) **Recovery Orientation:** The Department shall ensure that each state hospital implements a plan for assessing and increasing its recovery orientation over time in accordance with Section 5: Advancing the Vision of the Partnership Agreement, and each state hospital shall report on its recovery orientation to the Department by the last business day of March in odd-numbered years.



- 7.) **Virginia Psychiatric Bed Registry:** The Department shall participate in the Virginia Psychiatric Bed Registry required by § 37.2-308.1 of the Code of Virginia, and state hospitals shall update information about bed availability included in the registry whenever there is a change in bed availability for the hospital or, if no change in bed availability has occurred, at least daily.

c. **Quality of Care**

- 1.) **Measures:** The Department in collaboration with the VACSB Data Management and Quality Assurance Committees shall identify individual outcome, CSB provider performance, individual satisfaction, individual and family member participation and involvement measures, and quality improvement measures, pursuant to § 37.2-508 or § 37.2-608 of the Code of Virginia, and shall collect information about these measures and work with the CSB to use them as part of the Continuous Quality Improvement Process described in Appendix E of the CSB Administrative Requirements to improve services.
- 2.) **Department CSB Performance Measures Data Dashboard:** The Department shall develop a data dashboard to display the CSB Performance Measures in Exhibit B, developed in collaboration with the CSB, and post it on its web site. The Department shall work with the CSB to identify and implement actions to improve the CSB's ranking on any outcome or performance measure on which it is below the benchmark.
- 3.) **Utilization Management:** The Department shall work with the CSB, state hospitals and training centers serving it, and private providers involved with the public mental health, developmental, and substance abuse services system to implement regional utilization management procedures and practices reflected in the Regional Utilization Management Guidance document that is incorporated into and made a part of this contract by reference.
- 4.) **Recovery Orientation:** The Department shall implement a plan for assessing and increasing its recovery orientation over time in accordance with Section 5: Advancing the Vision of the Partnership Agreement and shall report on its recovery orientation on its web site by the last business day of March in odd-numbered years. It shall work with the CSB within the resources available to support the CSB's efforts to assess and increase its recovery orientation over time and review and provide feedback to the CSB on its efforts.
- 5.) **Continuity of Care:** In order to fulfill its responsibilities related to discharge planning, the Department shall comply with § 37.2-837 of the Code of Virginia, State Board Policy 1036, the current *Collaborative Discharge Protocols for Community Services Boards and State Hospitals – Adult & Geriatric or Child & Adolescent* and the current *Training Center - Community Services Board Admission and Discharge Protocols for Individuals with Intellectual Disabilities*, and the Continuity of Care Procedures, included in the CSB Administrative Requirements as Appendix A.
- 6.) **Human Rights:** The Department shall operate the statewide human rights system described in the current *Rules and Regulations to Assure the Rights of Individuals Receiving Services from Providers Licensed, Funded, or Operated by the Department of Behavioral Health and Developmental Services*, monitor compliance with the human rights requirements in those regulations, and conduct reviews and investigations referenced in those regulations. The Department's human rights staff shall be available on a daily basis, including weekends and holidays, to receive reports of allegations of violations of the human rights of individuals receiving services from the CSB.
- 7.) **Licensing:** The Department shall license programs and services that meet the requirements in the current *Rules and Regulations for Licensing Providers by the Department of Behavioral Health and Developmental Services* and conduct licensing

reviews in accordance with the provisions of those regulations. The Department shall respond in a timely manner to issues raised by the CSB regarding its efforts to coordinate and monitor services provided by independent providers licensed by the Department.

**d. Reporting Requirements**

- 1.) **Subsequent Reporting Requirements:** In accordance with State Board Policy 1037, the Department shall work with CSBs through the Virginia Association of Community Services Boards Data Management Committee (DMC) to ensure that current data and reporting requirements are consistent with each other and the current Core Services Taxonomy, the current Community Consumer Submission (CCS), and the Treatment Episode Data Set (TEDS) and other federal reporting requirements. The Department also shall work with CSBs through the DMC in planning and developing any additional reporting or documentation requirements beyond those identified in this contract to ensure that the requirements are consistent with the current taxonomy, the current CCS, and the TEDS and other federal reporting requirements.
- 2.) **Community Consumer Submission:** The Department shall collaborate with CSBs through the DMC in the implementation and modification of the current CCS, which reports individual characteristic and service data that is required under § 37.2-508 or § 37.2-608 of the Code of Virginia, the federal Substance Abuse and Mental Health Services Administration, and Part C of Title XIX of the Public Health Services Act - Block Grants, §1943 (a) (3) and § 1971 and § 1949, as amended by Public Law 106-310, to the Department and is defined in the current CCS Extract Specifications and Design Specifications, including the current Business Rules. The Department will receive and use individual characteristic and service data disclosed by the CSB through the CCS as permitted under 45 CFR §§ 164.506 (c) (1) and (3) and 164.512 (a) (1) of the HIPAA regulations and § 32.1-127.1:03.D (6) of the Code of Virginia and shall implement procedures to protect the confidentiality of this information pursuant to § 37.2-504 or § 37.2-605 of the Code of Virginia and HIPAA. The Department shall follow the user acceptance testing process described in Appendix D of the CSB Administrative Requirements for new CCS 3 releases.
- 3.) **Data Elements:** The Department shall work with CSBs through the DMC to standardize data definitions, periodically review existing required data elements to eliminate elements that are no longer needed, minimize the addition of new data elements to minimum necessary ones, review CSB business processes so that information is collected in a systematic manner, and support efficient extraction of required data from CSB electronic health record systems whenever this is possible.
- 4.) **Surveys:** The Department shall ensure that all surveys and requests for data have been reviewed for cost effectiveness and developed through a joint Department and CSB process. The Department shall comply with the Procedures for Approving CSB Surveys, Questionnaires, and Data Collection Instruments and Establishing Reporting Requirements, reissued by Commissioner James Stewart on March 4, 2011.
- 5.) **Streamlining Reporting Requirements:** The Department shall work with CSBs through the DMC to review existing reporting requirements including the current CCS to determine if they are still necessary and, if they are, to streamline and reduce the number of portals through which those reporting requirements are submitted as much as possible; to ensure reporting requirements are consistent with the current CCS Extract Specifications and Core Services Taxonomy; and to maximize the interoperability between Department and CSB data bases to support the electronic exchange of information and comprehensive data analysis.

- e. **Compliance Requirements:** The Department shall comply with all applicable state and federal statutes and regulations, including those contained or referenced in the CSB Administrative Requirements, as they affect the operation of this contract. Any substantive change in the CSB Administrative Requirements, except changes in statutory, regulatory, policy, or other requirements or in other documents incorporated by reference in it, which changes are made in accordance with processes or procedures associated with those statutes, regulations, policies, or other requirements or documents, shall constitute an amendment of this contract, made in accordance with applicable provisions of the Partnership Agreement, that requires a new contract signature page signed by both parties. If any laws or regulations that become effective after the execution date of this contract substantially change the nature and conditions of this contract, they shall be binding upon the parties, but the parties retain the right to exercise any remedies available to them by law or other provisions of this contract.

The Department and its state hospitals and training centers shall comply with the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the regulations promulgated thereunder by their compliance dates, except where the HIPAA requirements and applicable state law or regulations are contrary and state statutes or regulations are more stringent, as defined in 45 CFR § 160.202, than the related HIPAA requirements. The Department and its state hospitals and training centers shall ensure that any sensitive data, including HIPAA-protected health information, personally identifiable information, and other confidential data, exchanged electronically with CSBs, other providers, or persons meets the requirements in the FIPS 140-2 standard and is encrypted using a method supported by the Department and CSB. The Department will use 256 bit encryption methods that are FIPS 140-2 compliant.

- f. **Communication:** The Department shall provide technical assistance and written notification to the CSB regarding changes in funding source requirements, such as regulations, policies, procedures, and interpretations, to the extent that those changes are known to the Department. The Department shall resolve, to the extent practicable, inconsistencies in state agency requirements that affect requirements in this contract. The Department shall provide any information requested by the CSB that is related to performance of or compliance with this contract in a timely manner, considering the type, amount, and availability of the information requested. The Department shall issue new or revised policy, procedure, and guidance documents affecting CSBs via letters, memoranda, or emails from the Commissioner, Deputy Commissioner, or applicable Assistant Commissioner to CSB executive directors and other applicable CSB staff and post these documents in an easily accessible place on its web site within 10 business days of the date on which the documents are issued via letters, memoranda, or emails.
- g. **Regional Programs:** The Department may conduct utilization review or management activities involving services provided by the CSB through a regional program. If such activities involve the disclosure of protected health information, personally identifiable information, or other information, the information may be used and disclosed as permitted under 45 CFR §§ 164.506 (c) (1) and (3) and 164.512 (k) (6) (ii) ) of the HIPAA regulations and §32.1-127.1:03.D (6) of the Code of Virginia. If the CSB's receipt of state funds as the fiscal agent for a regional program, as defined in the Regional Program Principles and the Regional Program Procedures in Appendices E and F of the current Core Services Taxonomy, including regional DAP, acute inpatient care (LIPOS), or state facility reinvestment project funds, causes it to be out of compliance with the 10 percent local matching funds requirement in § 37.2-509 of the Code of Virginia, the Department shall grant an automatic waiver of that requirement related to the funds for that regional program allocated to the other participating CSBs as authorized by that Code section and State Board Policy 4010.
- h. **Peer Review Process:** The Department shall implement a process in collaboration with volunteer CSBs to ensure that at least five percent of community mental health and substance abuse programs receive independent peer reviews annually, per federal

requirements and guidelines, to review the quality and appropriateness of services. The Department shall manage this process to ensure that peer reviewers do not monitor their own programs.

- i. **Electronic Health Record:** The Department shall implement and maintain an electronic health record in its central office and state hospitals and training centers that has been fully certified and is listed by the Office of the National Coordinator for Health Information Technology - Authorized Testing and Certification Body to improve the quality and accessibility of services, streamline and reduce duplicate reporting and documentation requirements, obtain reimbursement for services, and exchange data with CSBs.
  - j. **Reviews:** The Department shall review and take appropriate action on audits submitted by the CSB in accordance with the provisions of this contract and the CSB Administrative Requirements. The Department may conduct a periodic, comprehensive administrative and programmatic review of the CSB to evaluate the CSB's compliance with requirements in the contract and CSB Administrative Requirements and the CSB's performance. The Department shall present a report of the review to the CSB and monitor the CSB's implementation of any recommendations in the report.
  - k. **Department Comments or Recommendations on CSB Operations or Performance:** The Commissioner of the Department may communicate significant issues or concerns about the operations or performance of the CSB to the executive director and CSB board members for their consideration, and the Department agrees to collaborate as appropriate with the executive director and CSB board members as they respond formally to the Department about these issues or concerns.
8. **Subcontracting:** The CSB may subcontract any requirements in this contract. The CSB shall remain fully and solely responsible and accountable for meeting all of its obligations and duties under this contract, including all services, terms, and conditions, without regard to its subcontracting arrangements. Subcontracting shall comply with applicable statutes, regulations, and guidelines, including the Virginia Public Procurement Act. All subcontracted activities shall be formalized in written contracts between the CSB and subcontractors. The CSB agrees to provide copies of contracts or other documents to the Department on request.
- A subcontract means a written agreement between the CSB and another party under which the other party performs any of the CSB's obligations. Subcontracts, unless the context or situation supports a different interpretation or meaning, also may include agreements, memoranda of understanding, purchase orders, contracts, or other similar documents for the purchase of services or goods by the CSB from another organization or agency or a person on behalf of an individual. If the CSB hires an individual not as an employee but as a contractor (e.g., a part-time psychiatrist) to work in its programs, this does not constitute subcontracting under this section. CSB payments for rent or room and board in a non-licensed facility (e.g., rent subsidies or a hotel room) do not constitute subcontracting under this section, and the provisions of this section, except for compliance with the Human Rights regulations, do not apply to the purchase of a service for one individual.
- a. **Subcontracts:** The written subcontract shall, as applicable and at a minimum, state the activities to be performed, the time schedule and duration, the policies and requirements, including data reporting, applicable to the subcontractor, the maximum amount of money for which the CSB may become obligated, and the manner in which the subcontractor will be compensated, including payment time frames. Subcontracts shall not contain provisions that require a subcontractor to make payments or contributions to the CSB as a condition of doing business with the CSB.
  - b. **Subcontractor Compliance:** The CSB shall require that its subcontractors comply with the requirements of all applicable federal and state statutes, regulations, policies, and reporting requirements that affect or are applicable to the services included in this contract. The CSB shall require that its subcontractors submit to the CSB all required CCS 3 data on individuals they served and services they delivered in the applicable format so that the CSB can include



this data in its CCS 3 submissions to the Department. The CSB shall require that any agency, organization, or person with which it intends to subcontract services that are included in this contract is fully qualified and possesses and maintains current all necessary licenses or certifications from the Department and other applicable regulatory entities before it enters into the subcontract and places individuals in the subcontracted service. The CSB shall require all subcontractors that provide services to individuals and are licensed by the Department to maintain compliance with the Human Rights Regulations adopted by the State Board.

The CSB shall, to the greatest extent practicable, require all other subcontractors that provide services purchased by the CSB for individuals and are not licensed by the Department to develop and implement policies and procedures that comply with the CSB's human rights policies and procedures or to allow the CSB to handle allegations of human rights violations on behalf of individuals served by the CSB who are receiving services from such subcontractors. When it funds providers such as family members, neighbors, individuals receiving services, or others to serve individuals, the CSB may comply with these requirements on behalf of those providers, if both parties agree.

- c. **Subcontractor Dispute Resolution:** The CSB shall include contract dispute resolution procedures in its contracts with subcontractors.
- d. **Quality Improvement Activities:** The CSB shall, to the extent practicable, incorporate specific language in its subcontracts regarding the quality improvement activities of subcontractors. Each vendor that subcontracts with the CSB should have its own quality improvement system in place or participate in the CSB's quality improvement program.

#### 9. Terms and Conditions

- a. **Availability of Funds:** The Department and the CSB shall be bound by the provisions of this contract only to the extent of the funds available or that may hereafter become available for the purposes of the contract.
- b. **Compliance:** The Department may utilize a variety of remedies, including requiring a corrective action plan, delaying payments, reducing allocations or payments, and terminating the contract, to assure CSB compliance with this contract. Specific remedies, described in Exhibit I of this contract, may be taken if the CSB fails to satisfy the reporting requirements in this contract.
- c. **Disputes:** Resolution of disputes arising from Department contract compliance review and performance management efforts or from actions by the CSB related to this contract may be pursued through the dispute resolution process in section 9.f, which may be used to appeal only the following conditions:
  - 1.) reduction or withdrawal of state general or federal funds, unless funds for this activity are withdrawn by action of the General Assembly or federal government or by adjustment of allocations or payments pursuant to section 5 of this contract;
  - 2.) termination or suspension of the contract, unless funding is no longer available;
  - 3.) refusal to negotiate or execute a contract modification;
  - 4.) disputes arising over interpretation or precedence of terms, conditions, or scope of the contract; or
  - 5.) determination that an expenditure is not allowable under this contract.
- d. **Termination**
  - 1.) The Department may terminate this contract immediately, in whole or in part, at any time during the contract period if funds for this activity are withdrawn or not appropriated by the General Assembly or are not provided by the federal government. In this situation, the obligations of the Department and the CSB under this contract shall

cease immediately. The CSB and Department shall make all reasonable efforts to ameliorate any negative consequences or effects of contract termination on individuals receiving services and CSB staff.

- 2.) The CSB may terminate this contract immediately, in whole or in part, at any time during the contract period if funds for this activity are withdrawn or not appropriated by its local government(s) or other funding sources. In this situation, the obligations of the CSB and the Department under this contract shall cease immediately. The CSB and Department shall make all reasonable efforts to ameliorate any negative consequences or effects of contract termination on individuals receiving services and CSB staff.
- 3.) In accordance with § 37.2-508 or § 37.2-608 of the Code of Virginia, the Department may terminate all or a portion of this contract, after unsuccessful use of the remediation process described in section 9.e and after affording the CSB an adequate opportunity to use the dispute resolution process described in section 9.f of this contract. A written notice specifying the cause shall be delivered to the CSB's board chairperson and executive director at least 75 days prior to the date of actual termination of the contract. In the event of contract termination under these circumstances, only payment for allowable services rendered by the CSB shall be made by the Department.
- e. **Remediation Process:** The remediation process mentioned in § 37.2-508 or § 37.2-608 of the Code of Virginia is an informal procedure that shall be used by the Department and the CSB to address a particular situation or condition identified by the Department or the CSB that may, if unresolved, result in termination of the contract, in whole or in part, in accordance with the provisions of section 9.d of this contract. The details of this remediation process shall be developed by the parties and added as an exhibit of this contract. This exhibit shall describe the situation or condition and include the performance measures that shall document a satisfactory resolution of the situation or condition.
- f. **Dispute Resolution Process:** Disputes arising from any of the conditions in section 9.c of this contract shall be resolved using the following process.
  - 1.) Within 15 days of the CSB's identification or receipt of a disputable action taken by the Department or of the Department's identification or receipt of a disputable action taken by the CSB, the party seeking resolution of the dispute shall submit a written notice to the Department's Director of Community Contracting, stating its desire to use the dispute resolution process. The written notice must describe the condition, nature, and details of the dispute and the relief sought by the party.
  - 2.) The Director of Community Contracting shall review the written notice and determine if the dispute falls within the conditions listed in section 9.c. If it does not, the Director of Community Contracting shall notify the party in writing within seven days of receipt of the written notice that the dispute is not subject to this dispute resolution process. The party may appeal this determination to the Commissioner in writing within seven days of its receipt of the Director's written notification.
  - 3.) If the dispute falls within the conditions listed in section 9.c, the Director of Community Contracting shall notify the party within seven days of receipt of the written notice that a panel will be appointed within 15 days to conduct an administrative hearing.
  - 4.) Within 15 days of notification to the party, a panel of three or five disinterested persons shall be appointed to hear the dispute. The CSB shall appoint one or two members; the Commissioner shall appoint one or two members; and the appointed members shall appoint the third or fifth member. Each panel member will be informed of the nature of the dispute and be required to sign a statement indicating that he has no interest in the dispute. Any person with an interest in the dispute shall be relieved of panel responsibilities and another person shall be selected as a panel member.

- 5.) The Director of Community Contracting will contact the parties by telephone and arrange for a panel hearing at a mutually convenient time, date, and place. The panel hearing shall be scheduled not more than 15 days after the appointment of panel members. Confirmation of the time, date, and place of the hearing will be communicated to all parties at least seven days in advance of the hearing.
- 6.) The panel members shall elect a chairman and the chairman shall convene the panel. The party requesting the panel hearing shall present evidence first, followed by the presentation of the other party. The burden shall be on the party requesting the panel hearing to establish that the disputed decision or action was incorrect and to present the basis in law, regulation, or policy for its assertion. The panel may hear rebuttal evidence after the initial presentations by the CSB and the Department. The panel may question either party in order to obtain a clear understanding of the facts.
- 7.) Subject to provisions of the Freedom of Information Act, the panel shall convene in closed session at the end of the hearing and shall issue written recommended findings of fact within seven days of the hearing. The recommended findings of fact shall be submitted to the Commissioner for a final decision.
  - 8.) The findings of fact shall be final and conclusive and shall not be set aside by the Commissioner unless they are (1) fraudulent, arbitrary, or capricious; (2) so grossly erroneous as to imply bad faith; (3) in the case of termination of the contract due to failure to perform, the criteria for performance measurement are found to be erroneous, arbitrary, or capricious; or (4) not within the CSB's purview.
  - 9.) The final decision shall be sent by certified mail to both parties no later than 60 days after receipt of the written notice from the party invoking the dispute resolution process.
  - 10.) Multiple appeal notices shall be handled independently and sequentially so that an initial appeal will not be delayed by a second appeal.
  - 11.) The CSB or the Department may seek judicial review of the final decision to terminate or suspend the contract in the Circuit Court for the City of Richmond within 30 days of receipt of the final decision.
- g. **Contract Amendment:** This contract, including all exhibits and incorporated documents, constitutes the entire agreement between the Department and the CSB. The services identified in Exhibit A of this contract may be revised in accordance with the performance contract revision instructions contained in Exhibit E of this contract. Other provisions of this contract may be amended only by mutual agreement of the parties, in writing and signed by the parties hereto.
- h. **Liability:** The CSB shall defend or compromise, as appropriate, all claims, suits, actions, or proceedings arising from its performance of this contract. The CSB shall obtain and maintain sufficient liability insurance to cover claims for bodily injury and property damage and suitable administrative or directors and officers liability insurance. The CSB may discharge these responsibilities by means of a proper and sufficient self-insurance program operated by the state or a city or county government. The CSB shall provide a copy of any policy or program to the Department upon request. This contract is not intended to and does not create by implication or otherwise any basis for any claim or cause of action by a person or entity not a party to this contract arising out of any claimed violation of any provision of this contract, nor does it create any claim or right on behalf of any person to services or benefits from the CSB or the Department.

- i. **Constitution of the CSB:** The resolutions or ordinances currently in effect that were enacted by the governing body or bodies of the local government or governments to establish the CSB are consistent with applicable statutory requirements in §§ 37.2-500, 37.2-501, and 37.2-502 or §§ 37.2-601, 37.2-602, and 37.2-603 of the Code of Virginia and accurately reflect the current purpose, roles and responsibilities, local government membership, number and type of CSB board member appointments from each locality, the CSB's relationship with its local government or governments, and the name of the CSB.
- j. **Severability:** Each paragraph and provision of this contract is severable from the entire contract, and the remaining provisions shall nevertheless remain in full force and effect if any provision is declared invalid or unenforceable.

**10. Signatures:** In witness thereof, the Department and the CSB have caused this performance contract to be executed by the following duly authorized officials.

**Virginia Department of Behavioral Health  
And Developmental Services**

**CSB**

By: \_\_\_\_\_ By: \_\_\_\_\_  
Name: Jack W. Barber, M.D. Name: \_\_\_\_\_  
Title: Interim Commissioner Title: CSB Chairperson

Date: \_\_\_\_\_ Date: \_\_\_\_\_

By: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: CSB Executive Director


Date: \_\_\_\_\_

**10. Signatures:** In witness thereof, the Department and the CSB have caused this performance contract to be executed by the following duly authorized officials.

**Virginia Department of Behavioral Health  
And Developmental Services**

Mount Rogers Community Services Board

**CSB**

By: \_\_\_\_\_ By:  \_\_\_\_\_  
Name: Jack W. Barber, M.D. Name: Joe Bean  
Title: Interim Commissioner Title: CSB Chairperson

Date: \_\_\_\_\_ Date: 6/22/16

By:

Name: Lisa MooreTitle: CSB Executive DirectorDate: 6/22/16

## FY 2017 Community Services Performance Contract

## FY 2017 Exhibit A: Resources and Services

## Mount Rogers Community Services Board

Consolidated Budget (Pages AF-3 through AF-8)				
Funding Sources	Mental Health Services	Developmental Services	Substance Abuse Services	TOTAL
State Funds	7,023,197	438,147	734,672	8,196,016
Local Matching Funds	341,750	172,355	34,400	548,505
Total Fees	19,681,765	10,936,641	417,102	31,035,508
Transfer Fees In/(Out)	-1,543,028	928,187	614,841	0
Federal Funds	254,543	0	648,470	903,013
Other Funds	214,450	74,967	58,305	347,722
State Retained Earnings	0	0	0	0
Federal Retained Earnings	0		0	0
Other Retained Earnings	0	0	0	0
Subtotal Ongoing Funds	25,972,677	12,550,297	2,507,790	41,030,764
State Funds One-Time	0		0	0
Federal Funds One-Time	0		0	0
Subtotal One -Time Funds	0	0	0	0
TOTAL ALL FUNDS	25,972,677	12,550,297	2,507,790	41,030,764
Cost for MH/DV/SA Services	24,426,618	12,489,699	1,774,591	38,690,908
Cost for Emergency Services (AP-4)				2,129,521
Cost for Ancillary Services (AP-4)				187,265
Total				41,007,694

Local Match Computation	
Total State Funds	8,196,016
Total Local Matching Funds	548,505
Total State and Local Funds	8,744,521
Total Local Match % (Local/Total State + Local)	6.27%

CSB Administrative Expenses	
Total Admin. Expenses	3,120,901
Total Expenses	41,007,694
Administrative Percent	7.61%



*FY2017 Community Services Performance Contract  
Exhibit A: Resources and Services  
Mount Rogers Community Services Board  
Financial Comments*

<i>Comment1</i>	NOTE A: MRCSB has not included any state retained earnings in the FY 2017
<i>Comment2</i>	PerformanceContract, since carryforward balances will not be known until
<i>Comment3</i>	FY 2016 is closed.
<i>Comment4</i>	
<i>Comment5</i>	NOTE B: On page AF-1, total funds exceed total costs by \$23,070, which as
<i>Comment6</i>	explained on page AF-10 represents regional funds that have not been allocated
<i>Comment7</i>	yet by the region to specific CSBs, so no programming costs are included.
<i>Comment8</i>	(This amount is reflected on the regional funds report.)
<i>Comment9</i>	
<i>Comment10</i>	NOTE C: Funds to be expended by Mount Rogers CSB on behalf of the region
<i>Comment11</i>	(\$63,701 for LIPOS and \$79,540 for DAP) are not included in program expenses, as
<i>Comment12</i>	they are used for regional management expenses. These amounts are included as
<i>Comment13</i>	regional transfers out, as directed by DBHDS Fiscal and Grants Management
<i>Comment14</i>	Office. (These amounts are reflected on the regional funds report.)
<i>Comment15</i>	
<i>Comment16</i>	
<i>Comment17</i>	
<i>Comment18</i>	
<i>Comment19</i>	
<i>Comment20</i>	
<i>Comment21</i>	
<i>Comment22</i>	
<i>Comment23</i>	
<i>Comment24</i>	
<i>Comment25</i>	

Funding Sources	Funds
<u>FEES</u>	
MH Medicaid Fees	18,506,757
MH Fees: Other	1,175,008
Total MH Fees	19,681,765
MH Transfer Fees In/(Out)	-1,543,028
MH Net Fees	18,138,737

FEDERAL FUNDS

MH FBG SED Child & Adolescent (93.958)	25,002
MH FBG Young Adult SMI (93.958)	0
MH FBG SMI (93.958)	116,605
MH FBG SMI PACT (93.958)	0
MH FBG SMI SWVBH Board (93.958)	75,000
Total MH FBG SMI Funds	191,605
MH FBG Geriatrics (93.958)	0
MH FBG Peer Services (93.958)	0
Total MH FBG Adult Funds	191,605
MH Federal PATH (93.150)	0
MH Federal CABHI (93.243)	
Federal CCBHC (93.829)	37,936
MH Other Federal - DBHDS	0
MH Other Federal - CSB	0
Total MH Federal Funds	254,543

STATE FUNDSRegional Funds

MH Acute Care (Fiscal Agent)	705,780
MH Acute Care Transfer In/(Out)	-517,852
MH Net Acute Care - Restricted	187,928
MH Regional DAP (Fiscal Agent)	2,190,666
MH Regional DAP Transfer In/(Out)	-1,543,111
MH Net Regional DAP - Restricted	647,555
MH Regional Residential DAP - Restricted	0
MH Crisis Stabilization (Fiscal Agent)	995,500
MH Crisis Stabilization - Transfer In/(Out)	0
Total Net MH Crisis Stabilization - Restricted	995,500

Funding SourcesFunds

MH Recovery (Fiscal Agent)	100,000
MH Other Merged Regional Funds (Fiscal Agent)	0
MH Total Regional Transfer In/(Out)	-50,000
Total MH Net Unrestricted Regional State Funds	50,000

Total MH Net Regional State Funds1,880,983Children State Funds

MH Child & Adolescent Services Initiative	97,870
MH Children's Outpatient	75,000
Total MH Restricted Children's Funds	172,870
MH State Children's Services	25,000
MH Juvenile Detention	0
MH Demo Proj-System of Care (Child)	0
Total MH Unrestricted Children's Funds	25,000

MH Crisis Response & Child Psychiatry (Fiscal Agent)	1,605,949
MH Crisis Response & Child Psychiatry Transfer In/(Out)	<u>-211,620</u>
Total MH Net Restricted Crisis Response & Child Psychiatry	1,394,329
Total State MH Children's Funds (Restricted for Children)	1,592,199

Other State Funds

MH Law Reform	265,194
MH Pharmacy - Medication Supports	644,669
MH Jail Diversion Services	0
MH Adult Outpatient Competency Restoration Svcs	0
MH CIT-Assessment Sites	335,989
MH Expand Telepsychiatry Capacity	8,586
MH Young Adult SMI	0
MH PACT	835,000
MH PACT - Forensic Enhancement	0
MH PSH - CABHI	0
MH Permanent Supportive Housing (Non-CABHI)	0
CCBHC - State Portion	0
MH Expanded Community Capacity (Fiscal Agent)	0
MH Expanded Community Capacity Transfer In/(Out)	<u>0</u>
Total MH Net Expanded Community Capacity	0
MH First Aid and Suicide Prevention (Fiscal Agent)	0
MH First Aid and Suicide Prevention Transfer In/(Out)	<u>0</u>
Total MH Net First Aid and Suicide Prevention	0
Total MH Restricted Other State Funds	2,089,438

Montgomery Community Services Board

<u>Funding Sources</u>	<u>Funds</u>
MH State Funds	1,460,577
MH State Regional Deaf Services	0
MH State NGRI	0
MH Geriatrics Services	<u>0</u>
Total MH Unrestricted Other State Funds	1,460,577
Total MH Other State Funds	3,550,015
TOTAL MH STATE FUNDS	7,023,197

OTHER FUNDS

MH Other Funds	214,450
MH Federal Retained Earnings	0
MH State Retained Earnings	0
MH State Retained Earnings - Regional Prog	0
MH Other Retained Earnings	<u>0</u>
Total MH Other Funds	214,450

LOCAL MATCHING FUNDS

MH Local Government Appropriations	339,750
MH Philanthropic Cash Contributions	2,000
MH In-Kind Contributions	0
MH Local Interest Revenue	0
Total MH Local Matching Funds	341,750
Total MH Funds	25,972,677

MH ONE TIME FUNDS

MH FBG SMI (93.958)	0
MH FBG SED Child & Adolescent (93.958)	0
MH FBG Peer Services (93.958)	0
MH State Funds	0
Total One Time MH Funds	0
Total MH All Funds	25,972,677

Funding Sources

Funds

FEES

DV Other Medicaid Fees	0
DV Medicaid ICF/ID	10,289,971
DV Fees: Other	646,670
Total DV Fees	10,936,641
DV Transfer Fees In/(Out)	928,187
DV NET FEES	11,864,828

FEDERAL FUNDS

DV Other Federal - DBHDS	0
DV Other Federal - CSB	0
Total DV Federal Funds	0

STATE FUNDS

DV State Funds	438,147
DV OBRA	0
Total DV Unrestricted State Funds	438,147
DV Rental Subsidies	0
DV Crisis Stabilization (Fiscal Agent)	0
DV Crisis Stabilization Transfer In(Out)	0
DV Net Crisis Stabilization	0

DV Crisis Stabilization-Children (Fiscal Agent)	0
DV Crisis Stabilization-Children Transfer In(Out)	0
	<hr/>
DV Net Crisis Stabilization -Children	0
Total DV Restricted State Funds	0
Total DV State Funds	438,147

OTHER FUNDS

DV Workshop Sales	0
DV Other Funds	74,967
DV State Retained Earnings	0
DV State Retained Earnings-Regional Prog	0
DV Other Retained Earnings	0
	<hr/>
Total DV Other Funds	74,967

LOCAL MATCHING FUNDS

DV Local Government Appropriations	172,355
DV Philanthropic Cash Contributions	0
DV In-Kind Contributions	0
DV Local Interest Revenue	0
	<hr/>
Total DV Local Matching Funds	172,355

Total DV Funds 12,550,297

<u>Funding Sources</u>	<u>Funds</u>
	<hr/>
<u>FEES</u>	
SA Medicaid Fees	187,579
SA Fees: Other	229,523
	<hr/>
Total SA Fees	417,102
SA Transfer Fees In/(Out)	614,841
	<hr/>
SA NET FEES	1,031,943
<u>FEDERAL FUNDS</u>	
SA FBG Alcohol/Drug Trmt (93.959)	453,160
SA FBG SARPOS (93.959)	31,613
SA FBG Jail Services (93.959)	0
SA FBG Co-Occurring (93.959)	0
SA FBG New Directions (93.959)	0
SA FBG Recovery (93.959)	0
	<hr/>
Total SA FBG A/D Trmt Funds	484,773
SA FBG Women (includes LINK at 6 CSBs) (93.959)	27,143
SA FBG Prevention-Women (LINK) (93.959)	0
	<hr/>
Total SA FBG Women	27,143



SA FBG Prevention (93.959)	136,554
SA FBG Prev-Family Wellness (93.959)	0
Total SA FBG Prevention	136,554
SA Federal CABHI (93.243)	0
SA Federal Strategic Prevention (93.243)	0
SA Other Federal - DBHDS	0
SA Other Federal - CSB	0
TOTAL SA FEDERAL FUNDS	648,470

STATE FUNDS

Regional Funds

SA Facility Reinvestment (Fiscal Agent)	0
SA Facility Reinvestment Transfer In/(Out)	0
SA Net Facility Reinvestment	0

Other State Funds

SA Women (includes LINK at 4 CSBs) (Restricted)	1,800
SA Recovery Employment	0
SA Peer Support Recovery	0
Total SA Restricted Other State Funds	1,800

Funding Sources

Funds

SA State Funds	714,491
SA Region V Residential	0
SA Jail Services/Juv Detention	0
SA MAT - Medically Assisted Treatment	0
SA SARPOS	18,381
SA Recovery	0
SA HIV/AIDS	0
Total SA Unrestricted Other State Funds	732,872
Total SA Other State Funds	734,672
TOTAL SA STATE FUNDS	734,672

OTHER FUNDS

SA Other Funds	58,305
SA Federal Retained Earnings	0
SA State Retained Earnings	0
SA State Retained Earnings-Regional Prog	0
SA Other Retained Earnings	0
Total SA Other Funds	58,305

LOCAL MATCHING FUNDS

SA Local Government Appropriations	34,400
SA Philanthropic Cash Contributions	0
SA In-Kind Contributions	0
SA Local Interest Revenue	0
Total SA Local Matching Funds	34,400

Total SA Funds 2,507,790

SA ONE-TIME FUNDS

SA FBG Alcohol/Drug Trmt (93.959)	0
SA FBG Women (includes LINK-6 CSBs) (93.959)	0
SA FBG Prevention (93.959)	0
SA State Funds	0
Total SA One-Time Funds	0

Total All SA Funds 2,507,790

City/County	Tax Appropriation
Wythe County	137,000
Galax City	34,983
Smyth County	166,022
Grayson County	51,000
Carroll County	130,500
Bland County	27,000
Total Local Government Tax Funds:	546,505

SUPPLEMENTAL APPROPRIATIONS

Reconciliation of Projected Revenues and Utilization Data Core Services Costs by Program Area

Mount Rogers Community Services Board

	MH Services	DV Services	SA Services	Emergency Services	Ancillary Services	Total
Total All Funds (Page AF-1)	25,972,677	12,550,297	2,507,790			41,030,764
Cost for MH, DV, SA, Emergency, and Ancillary Services (Page AF-1)	24,426,618	12,489,699	1,774,591	2,129,521	187,265	41,007,694
Difference	1,546,059	60,598	733,199	-2,129,521	-187,265	23,070

Difference results from

Other: 23,070

**Explanation of Other in Table Above:**

As reflected on the regional spreadsheet, Mount Rogers CSB is holding \$23,070 in regional DAP funds that have not been allocated yet by the region to specific CSB, so no programming costs are included

**Report for Form 11**

Core Services	Projected Service Capacity	Projected Numbers of Individuals Receiving Services	Projected Total Service Costs
250 Acute Psychiatric Inpatient Services	0.4 Beds	36	\$141,420
310 Outpatient Services	30 FTEs	4265	\$5,239,006
350 Assertive Community Treatment	13 FTEs	91	\$1,532,973
320 Case Management Services	54 FTEs	3537	\$5,215,491
410 Day Treatment or Partial Hospitalization	366 Slots	492	\$4,332,339
420 Ambulatory Crisis Stabilization Services	2 Slots	81	\$112,806
510 Residential Crisis Stabilization Services	14 Beds	408	\$2,375,103
551 Supervised Residential Services	5 Beds	5	\$485,857
581 Supportive Residential Services	62 FTEs	536	\$4,991,623
<b>Totals</b>		<b>9,451</b>	<b>\$24,426,618</b>

Form 11A: Pharmacy Medication Supports	Number of Consumers
803 Total Pharmacy Medication Supports Consumers	494

**Report for Form 21**

Core Services	Projected Service Capacity	Projected Numbers of Individuals Receiving Services	Projected Total Service Costs
320 Case Management Services	12 FTEs	442	\$1,725,522
425 Developmental Habilitation	114 Slots	158	\$2,236,110
430 Sheltered Employment	220 Slots	231	\$977,687
521 Intensive Residential Services	44 Beds	44	\$3,051,575
551 Supervised Residential Services	63 Beds	69	\$4,318,186
581 Supportive Residential Services	2 FTEs	164	\$180,619
<b>Totals</b>		<b>1,108</b>	<b>\$12,489,699</b>

Report for Form 31

Core Services	Projected Service Capacity	Projected Numbers of Individuals Receiving Services	Projected Total Service Costs
260 Community-Based Substance Abuse Medical Detoxification Inpatient Services	0.4 Beds	35	\$48,092
310 Outpatient Services	7.1 FTEs	996	\$1,254,323
320 Case Management Services	0.13 FTEs	53	\$82,494
610 Prevention Services	3.56 FTEs		\$389,682
<b>Totals</b>		<b>1,084</b>	<b>\$1,774,591</b>

Report for Form 01

Core Services	Projected Service Capacity	Projected Numbers of Individuals Receiving Services	Projected Total Service Costs
100 Emergency Services	18.6 FTEs	2151	\$2,129,521
720 Assessment and Evaluation Services	2.53 FTEs	2942	\$51,667
620 Early Intervention Services	2 FTEs	69	\$60,598
730 Consumer Run Services (No. Individuals Served)			\$75,000
<b>Totals</b>		<b>5,162</b>	<b>\$2,316,786</b>

**Table 1: Board of Directors Membership Characteristics**

<b>Name of CSB:</b>	<b>Mount Rogers Community Services Board</b>		
<b>Total Appointments:</b>	<u>14</u>	<b>Vacancies:</b>	<u>0</u>
		<b>Filled Appointments:</b>	<u>14</u>
<b>Number of Individuals Who Previously Receives Services:</b>	<u>1</u>		
<b>Number of Individuals Currently Receiving Services:</b>	<u>0</u>		
<b>Number of Family Members:</b>	<u>4</u>		

**Exhibit D: CSB Board of Directors Membership List**

**Mount Rogers Community Services Board**

Name	Address	Phone Number	Start Date	End Date	Term No.
BARBARA BARTNIK	266 SHERWOOD AVENUE RURAL RETREAT, VA 243	(276) 686-5590	1/12/2016	12/31/2018	1
JOE BEAN	120 MAPLE LANE WYTHEVILLE, VA 24382	(276) 223-1449	1/1/2012	12/31/2017	2
J. HOWARD BURTON	725 MITCHELL VALLEY MARION, VA 24354	(276) 783-8821	1/1/2013	12/31/2018	2
KEVIN CAMPBELL	162 SOUTH MAIN STREET HILLSVILLE, VA 24343	(276) 728-2862	1/1/2011	12/31/2016	2

MARY COULSON	2837 AIRPORT ROAD HILLSVILLE, VA 24343	(276) 728-2539	7/1/2013	12/31/2018	1
CAROLYN DAVIS	126 ORIOLE LANE GALAX, VA 24333	(276) 236-3382	9/9/2010	12/31/2016	2
GARY HOUSEMAN	129 FAWN LANE WYTHEVILLE, VA 24382	(276) 686-4604	2/1/2015	12/31/2016	1
SUSIE JENNINGS	686 DOGWOOD LANE MARION, VA 24354	(276) 783-7083	3/1/2015	12/31/2017	1
BEVERLY MOUNTAIN	336 GREYSTONE ROAD MARION, VA 24354	(276) 646-8470	1/1/2012	12/31/2017	2
SHARON PLICHTA	103 PROSPECT AVENUE GALAX, VA 24333	(276) 238-9161	10/26/2015	12/31/2017	1
SUSAN SNEED	173 GASTON LANE MARION, VA 24354	(276) 783-5843	3/1/2015	12/31/2017	1
SUE ELLEN TATE	285 GRASSY BRANCH DRIVE BLAND, VA 24315	(276) 722-2559	1/1/2008	12/31/2017	3
SANDRA TROTH	783 CHURCHVIEW LANE FRIES, VA 24330	(276) 744-3352	1/1/2001	12/31/2016	2
MAYA VASS	PO BOX 743 HILLSVILLE, VA 24343	(276) 728-2303	1/1/2012	12/31/2017	2

**Table 2: Integrated Behavioral and Primary Health Care Questions**

1. Is the CSB participating in a partnership with a federally qualified health center, free clinic, or local health department to integrate the provision of behavioral health and primary health care?

Yes

2. If yes, who is the partner?

☒ a federally qualified health center

Name: Saltville Medical Clinic

☐ a free clinic

Name:

☐ a local health department, or

Name:

☐ another organization

Name:

3. Where is primary health (medical) care provided?

☐ on-site in a CSB program,

☒ on-site at the primary health care provider, or

☐ another site --specify:

4. Where is behavioral health care provided?

☒ on-site in a CSB program,

☒ on-site at the primary health care provider, or

☐ another site --specify:



**Table 2: Board Management Salary Costs**

Explanations for Table 2a	

**Table 2b: Community Service Board Employees**

1.	2.	3.	4.	5.	6.	7.
No. of FTE CSB Employees	MH	DEV	SA	SAOPA	ADMIN	TOTAL
Consumer Service FTEs	277.40	107.06	14.28	18.90		417.64
Peer Staff Service FTEs	4.15	0.00	0.00	0.00		4.15
Support Staff FTEs	58.53	34.35	7.83	2.50	50.00	153.21
TOTAL FTE CSB Employees	340.08	141.41	22.11	21.40	50.00	575.00

**Exhibit B: Continuous Quality Improvement (CQI) Process and CSB Performance Measures**

The Department shall continue to work with CSBs to achieve a welcoming, recovery-oriented, integrated services system, a transformed system for individuals receiving services and their families in which CSBs, state facilities, programs, and services staff, in collaboration with individuals and their families, are becoming more welcoming, recovery-oriented, and co-occurring disorder capable. The process for achieving this goal within limited resources is to build a system-wide CQI process in a partnership among CSBs, the Department, and other stakeholders in which there is a consistent shared vision combined with a measurable and achievable implementation process for each CSB to make progress toward this vision. Appendix E in the CSB Administrative Requirements provides further clarification for those implementation activities, so that each CSB can be successful in designing a performance improvement process at the local level.

Pursuant to Section 7: Accountability in the Community Services Performance Contract Partnership Agreement, the CSB provides the affirmations in Appendix E of the CSB Administrative Requirements of its compliance with the performance expectations and goals in that appendix. If the CSB cannot provide a particular affirmation, it shall attach an explanation to this exhibit with a plan for complying with the identified expectation or goal, including specific actions and target dates. The Department will review this plan and negotiate any changes with the CSB, whereupon, it will be part of this exhibit.

**I. Exhibit B Performance Measures**

The CSB agrees to monitor and collect data on the following Exhibit B performance measures and to report measures I.D and E using the Exhibit B Quarterly Performance Measures Report.

- A. The CSB agrees to monitor the percentage of individuals for whom the CSB is the identified case management CSB who keep a face-to-face (non-emergency) outpatient service visit within seven calendar days after having been discharged from a private psychiatric hospital or psychiatric unit in a public or private hospital following involvement in the civil involuntary admission process. This includes all individuals referred to the CSB

- upon discharge from a private psychiatric hospital or psychiatric unit in a public or private hospital who were under a temporary detention or an involuntary commitment order or who were admitted voluntarily from a commitment hearing. The Department agrees to monitor this measure for discharges from state hospitals through comparing AVATAR data on individuals discharged from state hospitals to the CSB with CCS data about their dates of mental health services after discharge from the state hospital. The Department agrees to monitor this measure for discharges from private hospitals through comparing CCS 3 data on individuals receiving inpatient services funded by the CSB and the next date on which those individuals received outpatient services after the end date for the inpatient services.
- B. The CSB agrees to monitor the percentage of adults (age 18 or older) in the Department of Justice Settlement Agreement population receiving case management services from the CSB whose case managers discussed integrated, community-based employment with them during their annual case management individual supports plan (ISP) meetings or updates. The Department agrees to monitor this measure through using CCS data and work with the CSB to increase this percentage. Refer to State Board Policy (SYS) 1044 Employment First for additional information and guidance. Integrated, community-based employment does not include sheltered employment.
  - C. The CSB agrees to monitor the percentage of adults (age 18 or older) in the Department of Justice Settlement Agreement population receiving case management services from the CSB whose ISPs, developed or updated at the annual ISP meeting or update, included employment-related or employment-readiness goals. The Department agrees to monitor this measure through using CCS data and work with the CSB to increase this percentage. Employment-related or employment-readiness goals do not include sheltered employment or prevocational services.
  - D. The CSB agrees to monitor and report in the quarterly Exhibit B Report the percentage of individuals in the Department of Justice (DOJ) Settlement Agreement population receiving case management services from the CSB whose case managers discussed community engagement opportunities with them during their most recent annual case management individual support plan (ISP) meeting or update. Community engagement is a DD Waiver service that supports and fosters the ability of an individual to acquire, retain, or improve skills necessary to build positive social behavior, interpersonal competence, greater independence, employability, and personal choice necessary to access typical activities and functions of community life such as those chosen by the general population; it does not include community opportunities with more than three individuals with disabilities.
  - E. The CSB agrees to monitor and report in the quarterly Exhibit B Report the percentage of individuals in DOJ Settlement Agreement population receiving case management services from the CSB whose individual support plans (ISPs), developed or updated at the annual ISP meeting or update, contained community engagement goals.

## **II. Data Quality Feedback**

The Department shall provide regular reports to the CSB on the completeness and validity of its CCS 3 individual and service data to improve data quality and integrity. When requested by the Department, the CSB executive director shall develop and submit a plan of correction to remedy persistent deficiencies in the CSB's CCS 3 submissions (e.g., a persistent fatal error rate of more than 10 percent of its CCS consumer records) and, upon approval of the Department, shall implement the plan of correction. Persistent deficiencies that are not resolved through this process shall be addressed with an Individual CSB Performance Measure in Exhibit D. If the CSB fails to satisfy requirements in the Exhibit D by the end of the contract term, the Department may impose a one-time, one percent reduction not to exceed \$15,000 of state funds apportioned for CSB administrative expenses on the CSB. See Exhibit I for more information.

**III. CSB Performance Measures:** The CSB and Department agree to use the CSB Performance Measures, developed by the Department in collaboration with the VACSB Data Management and Quality Assurance Committees and available on the Department's web site at [www.dbhds.virginia.gov](http://www.dbhds.virginia.gov), to monitor outcome and performance measures for CSBs and improve the CSB's performance on measures where the CSB falls below the benchmark. These performance measures include:

- o intensity of engagement of individuals receiving mental health case management services,
- o intensity of engagement of individuals receiving substance abuse outpatient services,
- o intensity of engagement of children receiving mental health case management services,
- o retention of individuals in community substance abuse services,
- o percent of individuals receiving face-to-face developmental case management services in the DOJ Settlement Agreement population for enhanced case management services,
- o percent of individuals receiving in-home developmental case management services in the DOJ Settlement Agreement population for enhanced case management services,
- o adult civil temporary detention order (TDO) admissions to state hospitals per 100,000,

**FY 2017 AND FY 2018 COMMUNITY SERVICES PERFORMANCE CONTRACT**

- o adult forensic TDO admissions to state hospitals per 100,000,
- o adult civil TDO state hospital bed day utilization per 100,000,
- o adult forensic TDO state hospital bed day utilization per 100,000,
- o adult civil state hospital bed day utilization per 100,000,
- o adult forensic state hospital bed day utilization per 100,000,
- o health well being goal measure (DOJ measure),
- o community inclusion goal measure (DOJ measure),
- o choice and self-determination goal measure (DOJ measure),
- o living arrangement measure (DOJ measure), and
- o day activity measure (DOJ measure).

**IV. Access to Substance Abuse Services for Pregnant Women**

Source of Requirement	SABG Block Grant
Type of Measure	Aggregate
Data Needed For Measure	Number of Pregnant Women Requesting Service
	Number of Pregnant Women Receiving Services Within 48 Hours
Reporting Frequency	Annually
Reporting Mechanism	Performance Contract Reports (CARS)

**Signature:** In witness thereof, the CSB provides the affirmations in Appendix E of the CSB Administrative Requirements and agrees to monitor and collect data and report on the measures in sections I, III, IV, and V, comply with requirements in section II, and use data from the Department or other sources to monitor accomplishment of performance measures in this Exhibit and the expectations, goals, and affirmations in Appendix E, as denoted by the signatures of the CSB's Chairperson and Executive Director.

\_\_\_\_\_  
Mount Rogers Community Services Board

**CSB**

By: Joseph W. Allen

Name: Joe Bean

Title: CSB Chairperson

Date: 6/22/16

By: Lisa Moore

Name: Lisa Moore

Title: CSB Executive Director

Date: 6/22/16

**FY 2017 AND FY 2018 COMMUNITY SERVICES PERFORMANCE CONTRACT**

- adult forensic TDO admissions to state hospitals per 100,000,
- adult civil TDO state hospital bed day utilization per 100,000,
- adult forensic TDO state hospital bed day utilization per 100,000,
- adult civil state hospital bed day utilization per 100,000,
- adult forensic state hospital bed day utilization per 100,000,
- health well being goal measure (DOJ measure),
- community inclusion goal measure (DOJ measure),
- choice and self-determination goal measure (DOJ measure),
- living arrangement measure (DOJ measure), and
- day activity measure (DOJ measure).

**IV. Access to Substance Abuse Services for Pregnant Women**

Source of Requirement	SABG Block Grant
Type of Measure	Aggregate
Data Needed For Measure	Number of Pregnant Women Requesting Service
	Number of Pregnant Women Receiving Services Within 48 Hours
Reporting Frequency	Annually
Reporting Mechanism	Performance Contract Reports (CARS)

**Signature:** In witness thereof, the CSB provides the affirmations in Appendix E of the CSB Administrative Requirements and agrees to monitor and collect data and report on the measures in sections I, III, IV, and V, comply with requirements in section II, and use data from the Department or other sources to monitor accomplishment of performance measures in this Exhibit and the expectations, goals, and affirmations in Appendix E, as denoted by the signatures of the CSB's Chairperson and Executive Director.

**CSB**

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: CSB Chairperson

Date: \_\_\_\_\_

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: CSB Executive Director

Date: \_\_\_\_\_



**FY 2017 AND FY 2018 COMMUNITY SERVICES PERFORMANCE CONTRACT**

FY 2017 Exhibit B Quarterly Performance Measures Report			
<b>Date of Report:</b>		<b>Quarter:</b> <input type="checkbox"/> First <input type="checkbox"/> Second <input type="checkbox"/> Third <input type="checkbox"/> Fourth Quarter	
<b>CSB Name:</b>		<b>Contact Name:</b>	
<b>Contact Telephone Number:</b>		<b>E-Mail Address:</b>	
Exh. B	Measure	Data	Data Reported
I.D	Percentage of individuals in the DOJ Settlement Agreement population receiving case management services from the CSB whose case managers discussed community engagement opportunities with them during their most recent annual case management individual support plan (ISP) meeting or update.		Number of individuals whose case managers discussed community engagement opportunities with them during their annual ISP reviews in this quarter.
			Number of individuals whose case managers conducted annual ISP reviews in this quarter.
		%	Enter 1 <sup>st</sup> number ÷ by 2 <sup>nd</sup> number x 100.
I.E	Percentage of individuals in the DOJ Settlement Agreement population receiving case management services from the CSB whose individual support plans (ISPs), developed or updated at the annual ISP meeting or update, contained community engagement goals.		Number of individuals with ISPs reviewed in this quarter whose ISPs contained community engagement goals.
			Number of individuals whose case managers conducted annual ISP reviews in this quarter.
		%	Enter 1 <sup>st</sup> number ÷ by 2 <sup>nd</sup> number x 100.

**Exhibit C: Discharge Assistance Program (DAP) Requirements**

The Department and the CSB agree to implement the following requirements for management and utilization of all current regional state DAP funds to enhance monitoring of and financial accountability for DAP funding, decrease the number of individuals on state hospital extraordinary barriers to discharge lists (EBLs), and return the greatest number of individuals with long lengths of state hospital stays to their communities. These Exhibit C requirements do not apply to new state 2014 DAP funds, which the Department allocates for individualized discharge assistance program plans (IDAPPs) that it approves.

1. The Department shall work with the VACSB, representative CSBs, and regional managers to develop clear and consistent criteria for identification of individuals who would be eligible for IDAPPs and acceptable uses of regional state DAP funds and standard terminology that all CSBs and regions shall use for collecting and reporting data about individuals, services, funds, expenditures, and costs.
2. The CSB shall comply with the current Discharge Assistance Program Manual issued by the Department, which is incorporated into and made a part of this contract by reference. If there are conflicts or inconsistencies between the Manual and this contract, applicable provisions of the contract shall control.
3. All regional state DAP funds allocated within the region shall be managed by the regional management group (RMG) and the regional utilization management and consultation team (RUMCT) on which the CSB participates in accordance with Appendices E and F of Core Services Taxonomy 7.2.
4. The CSB, through the RMG and RUMCT on which it participates, shall ensure that other funds such as Medicaid payments are used to offset the costs of approved IDAPPs to the greatest extent possible so that regional state DAP funds can be used to implement additional IDAPPs to reduce EBLs.
5. On behalf of the CSBs in the region, the regional manager funded by the Department and employed by a participating CSB shall submit mid-year and end of the fiscal year reports to the Department in a format developed by the Department in consultation with regional managers that separately displays the total actual year-to-date expenditures of regional state DAP funds for ongoing IDAPPs and for one-time IDAPPs and the amounts of obligated but unspent regional state DAP funds.
6. The CSB and state hospital representatives on the RMG on which the CSB participates shall have authority to reallocate regional state DAP funds among CSBs from CSBs that cannot use them in a reasonable time to CSBs that need additional regional state DAP funds to implement more IDAPPs to reduce EBLs.
7. If CSBs in the region cannot expend at least 90 percent and obligate at least 95 percent of the total annual regional state DAP fund allocations on a regional basis by the end of the fiscal year, the Department may work with the RMG and participating CSBs to transfer regional state DAP funds to other regions to reduce EBLs to the greatest extent possible, unless the CSBs through the regional manager provide acceptable explanations for greater amounts of unexpended or unobligated regional state DAP funds.



8. On behalf of the CSBs in a region, the regional manager shall continue submitting the quarterly summary of IDAPPs to the Department in a format developed by the Department in consultation with regional managers that displays year-to-date information about ongoing and one-time IDAPPs, including data about each individual receiving DAP services, the amounts of regional state DAP funds approved for each IDAPP, the total number of IDAPPs that have been implemented, and the projected total net regional state DAP funds obligated for these IDAPPs.
9. The Department, pursuant to sections 6.f and 7.g of this contract, may conduct utilization reviews of the CSB or region at any time to confirm the effective utilization of regional state DAP funds and the implementation of all approved ongoing and one-time IDAPPs.

**Exhibit D: Individual CSB Performance Measures**

**Signatures:** In witness thereof, the Department and the CSB have caused this performance contract amendment to be executed by the following duly authorized officials.

**Virginia Department of Behavioral Health  
and Developmental Services**

\_\_\_\_\_  
\_\_\_\_\_  
**CSB**

By: \_\_\_\_\_

By: \_\_\_\_\_

Name: Jack W. Barber, M.D.  
Title: Interim Commissioner

Name: \_\_\_\_\_  
Title: CSB Chairperson

Date: \_\_\_\_\_

Date: \_\_\_\_\_

By: \_\_\_\_\_

Name: \_\_\_\_\_  
Title: CSB Executive Director

Date: \_\_\_\_\_

**Exhibit D: Individual CSB Performance Measures**

**NOTE FROM SARAH BEAMER:**  
N/A--no need to sign; separate CIT Assessment Site Exhibit D criteria to come later?

**Signatures:** In witness thereof, the Department and the CSB have caused this performance contract amendment to be executed by the following duly authorized officials.

**Virginia Department of Behavioral Health  
and Developmental Services**

\_\_\_\_\_  
\_\_\_\_\_  
**CSB**

By: \_\_\_\_\_

By: \_\_\_\_\_

Name: Jack W. Barber, M.D.  
Title: Interim Commissioner

Name: \_\_\_\_\_  
Title: CSB Chairperson

Date: \_\_\_\_\_

Date: \_\_\_\_\_

By: \_\_\_\_\_

Name: \_\_\_\_\_  
Title: CSB Executive Director

Date: \_\_\_\_\_

**Exhibit D: Individual CSB Performance Measures for Crisis Intervention Team (CIT)  
Assessment Site Triage, Assessment, Treatment, and Referral Services**

**A. Department Responsibilities:** In order to implement the Crisis Intervention Team Assessment Site Triage, Assessment, Treatment, and Referral Services the Department agrees to comply with the following requirement:

1. The Department agrees to provide \$335,989 of ongoing state mental health funds to the CSB for triage, assessment, treatment, and referral services to provide alternatives to incarceration for individuals with serious mental illness.

**B. CSB Responsibilities:** In order to implement the CIT Services, the CSB agrees to comply with the following requirements.

1. The CSB shall work with community stakeholders, agencies, and partners across systems to coordinate the implementation and operation of the CIT Assessment Site and provide related access to appropriate services in accordance with its RFP response approved by the Department.
2. The CSB shall submit narrative semi-annual progress reports on these services through the Department's sFTP server and upload them to the Jail Diversion Folder by February 15, 2017 and September 15, 2017. Reports shall include a brief narrative of program activities for all CIT aspects of the services, implementation progress against milestones identified in the approved RFP response, and specific site-related challenges and successes for the reporting period. Instructions for naming the files are in the Data Reporting Manual provided by the Department.
3. The CSB shall include all funds, expenditures, and costs associated with these services provided to individuals residing in the CSB's service area in its quarterly CARS reports and applicable data about individuals receiving these services and the service units received in its monthly CCS 3 extracts submitted to the Department.

4. The CSB shall submit quarterly data files as instructed by the Department using the Excel Data Template provided by the Department. Quarterly data reports shall be submitted on November 15, 2016 (1<sup>st</sup> quarter), February 15, 2017 (2<sup>nd</sup> quarter), May 15, 2017 (3<sup>rd</sup> quarter), and September 15, 2017 (4<sup>th</sup> quarter). The CSB shall submit the data files through the Department's sFTP server and upload them to the Jail Diversion Folder. Instructions for naming the files are in the Data Reporting Manual provided by the Department.
5. The CSB shall cooperate with the Department in annual site visits and agree to participate in scheduled assessment site meetings.

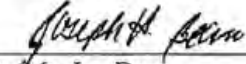
**C. Conflicts:** In the event of any conflict between provisions in this exhibit and in the contract body, the provisions of this exhibit will control.

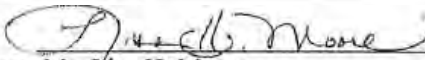
**Signatures:** In witness thereof, the Department and the CSB have caused this performance contract amendment to be executed by the following duly authorized officials.

**Virginia Department of Behavioral  
Health and Developmental Services**

By: \_\_\_\_\_  
Name: Jack Barber, M.D.  
Title: Interim Commissioner  
Date: \_\_\_\_\_

**Mount Rogers Community Services Board**

By:   
Name: Mr. Joe Bean  
Title: Chairperson of the CSB  
Date: 9/26/16

By:   
Name: Ms. Lisa H. Moore  
Title: CSB Executive Director  
Date: 9-14-16

**Exhibit E: Performance Contract Process**

**05-06-16:** The Department distributes the FY 2017 and FY 2018 Performance Contract by this date electronically. An Exhibit D may list performance measures that have been negotiated with a CSB to be included in the contract. The Department's Information Services and Technology (IS&T) office distributes the FY 2017 and FY 2018 Community Services Performance Contract package software in the Community Automated Reporting System (CARS) to CSBs. The Department distributes the FY 2017 Letters of Notification to CSBs by this date electronically with enclosures that show tentative allocations of state and federal block grant funds.

**06-24-16:** Exhibit A and other parts of the FY 2017 and FY 2018 Community Services Performance Contract, submitted electronically in CARS, are due in the IS&T by this date. Tables 1 and 2 of the Performance Contract Supplement (also in CARS) shall be submitted with the contract. While a paper copy of the entire contract is not submitted, paper copies of the following completed pages with signatures where required are due in the Office of Support Services (OSS) by this date: signature pages of the contract body and Exhibit B, Exhibit D if applicable, Exhibit F (two pages), and Exhibit G. Contracts shall conform to Letter of Notification allocations of state and federal funds or amounts subsequently revised by or negotiated with the OSS and confirmed in writing and shall contain actual appropriated amounts of local matching funds. If the CSB cannot include the minimum

10 percent local matching funds in the contract, it shall submit a written request for a waiver of the matching funds requirement, pursuant to § 37.2-509 of the Code of Virginia and State Board Policy 4010, to the OSS with its contract. This requirement also applies to end of the fiscal year performance contract reports if the reports reflect less than the minimum 10 percent local matching funds.

During June and July, CSB Financial Analysts in the Department's Office of Fiscal and Grants Management (OFGM) prepare electronic data interchange (EDI) transfers for the first two semi-monthly payments (July) of state and federal funds for all CSBs and send the transfers to the Department of Accounts.

**07-11-16:** The IS&T distributes FY 2016 end of the fiscal year performance contract report software in CARS.

**07-29-16:** CSBs submit their Community Consumer Submission (CCS) consumer, type of care, and service extract files for June to the IS&T in time to be received by this date.

CSB Financial Analysts prepare EDI transfers for payments 3 and 4 (August) of state and federal funds and send the transfers to the Department of Accounts.

During August and September, CSB Financial Analysts prepare EDI transfers for payments 5 and 6 (September) of state and federal funds for CSBs whose contracts were received and determined to be complete by **08-12-16** and, after the OSS Community Contracting Director authorizes their release, send the transfers to the Department of Accounts. Payments shall not be released without complete contracts, as defined in Exhibit E and item 1 of Exhibit L. For a CSB whose contract is received after this date, EDI transfers for these two semi-monthly payments will be processed when the contract is complete and funds will be disbursed with the next scheduled payment.

**08-19-16:** Department staff complete reviews by this date of contracts received by the due date *that* are complete and acceptable. Contracts received after the due date shall be processed in the order in which they are received.

1. The OFGM analyzes the revenue information in the contract for conformity to Letter of Notification allocations and advises the CSB to revise and resubmit financial forms in Exhibit A of its contract if necessary.
2. The Offices of Mental Health and Substance Abuse, Child and Family, and Developmental Services review and approve new service proposals and consider program issues related to existing services based on Exhibit A.
3. The OSS assesses contract completeness, examines maintenance of local matching funds, integrates new service information, makes corrections and changes on the service forms in Exhibit A, negotiates changes in Exhibit A, and finalizes the contract for signature by the Commissioner. The OSS Community Contracting Director notifies the CSB when its contract is not complete or has not been approved and advises the CSB to revise and resubmit its contract.
4. The IS&T receives CARS and CCS submissions from CSBs, maintains the community services database, and processes signed contracts into that database as they are received from the OSS.

**08-19-16:** CSBs submit their complete CCS reports for total (annual) FY 2016 CCS service unit data to the IS&T in time to be received by this date. This later date for final CCS service unit data allows for the inclusion of all units of services delivered in that fiscal year that might not be in local information systems in July.

**08-31-16:** CSBs submit their CCS monthly consumer, type of care, and service extract files for July to the IT&S in time to be received by this date.



**08-31-16:** CSBs send complete FY 2016 end of the fiscal year performance contract reports electronically in CARS to the IS&T in time to be received by this date.

IS&T staff places the reports in a temporary data base for OSS and OFGM staff to access them. The OSS Community Contracting Director reviews services sections of the reports for correctness, completeness, consistency, and acceptability; resolves discrepancies with CSBs; and communicates necessary changes to CSBs. OFGM CSB Financial Analysts review financial portions of reports for arithmetic accuracy, completeness, consistency, and conformity with state funding actions; resolve discrepancies with CSBs; and communicate necessary changes to CSBs.

Once they complete their reviews of a CSB's reports, the OSS Community Contracting Director and OFGM CSB Financial Analysts notify the CSB to submit new reports reflecting only those approved changes to IS&T. CSBs submit new reports to correct errors or inaccuracies no later than **09-16-2016**. The Department will not accept CARS report corrections after this date. Upon receipt, the process described above is repeated to ensure the new reports contain only those changes identified by OFGM and OSS staff. If the reviews document this, OSS and OFGM staff approves the reports, and IS&T staff processes final report data into the Department's community services database.

Late report submission or submitting a report without correcting errors identified by the CARS error checking program may result in the imposition by the Department of a one-time, one percent reduction not to exceed \$15,000 of state funds apportioned for CSB administrative expenses. See Exhibit I for additional information.

**08-31-16:** CSBs submit their 4<sup>th</sup> quarter FY 2016 Exhibit B Quarterly Performance Measures Reports to the OCC in time to be received by this date.

**08-31-16:** After the Commissioner signs it, the OSS sends a copy of the approved contract Exhibit A to the CSB with the signature page containing the Commissioner's signature. The CSB shall review this Exhibit A, which reflects all changes negotiated by Department staff; complete the signature page, which documents its acceptance of these changes; and return the completed signature page to the OSS Community Contracting Director.

During September and October, CSB Financial Analysts prepare EDI transfers for payments 7 and 8 (October) and, after the OSS Community Contracting Director authorizes their release, send the transfers to the Department of Accounts for payment 7 for CSBs with signed contracts that submitted their final FY 2016 CCS consumer, type of care, and service extract files by the due date and whose FY 2016 end of the fiscal year CARS reports and 4<sup>th</sup> quarter FY 2016 Exhibit B Quarterly Performance Measures Reports were received in the Department by the due date. Payments 7 and 8 shall not be released without a contract signed by the Commissioner and receipt of those CCS extract files, complete CARS reports as defined in item 2.a. of Exhibit I, and Exhibit B Reports.

**09-30-16:** CSBs submit their CCS monthly consumer, type of care, and service extract files for August to the IT&S in time to be received by this date.

During October and November, CSB Financial Analysts prepare EDI transfers for payments 9 and 10 (November), and, after the OSS Community Contracting Director authorizes their release, send the transfers to the Department of Accounts for CSBs whose complete CCS submissions for the first two months of FY 2016 and the completed contract signature page were received from the CSB.

**10-17-16:** CSBs submit Federal Balance Reports to the OFGM in time to be received by this date.

**10-31-16:** CSBs submit CCS monthly consumer, type of care, and service extract files for September to the IT&S and their 1<sup>st</sup> quarter Exhibit B Quarterly Performance Measures Reports to the OSS in time to be received by this date.



During November and December, CSB Financial Analysts prepare EDI transfers for payments 11 and 12 (December), and, after the OSS Community Contracting Director authorizes their release, send the transfers to the Department of Accounts. Payments shall not be released without receipt of September CCS submissions and 1<sup>st</sup> quarter Exhibit B Quarterly Performance Measures Reports.

**11-30-16:** CSBs submit their CCS monthly consumer, type of care, and service extract files for October to the IT&S in time to be received by this date.

**12-01-16: A.** CSBs that are not local government departments or included in local government audits send one copy of the audit report for the preceding fiscal year on all CSB operated programs to the Department's Office of Budget and Financial Reporting (OBFR) by this date. A management letter and plan of correction for deficiencies must be sent with this report. CSBs submit a copy of C.P.A. audit reports for all contract programs for their last full fiscal year, ending on June 30, to the OBFR by this date. For programs with different fiscal years, reports are due three months after the

end of the year. Management letters and plans of correction for deficiencies must be included with these reports.

**B.** Audit reports for CSBs that are local government departments or are included in local government audits are submitted to the Auditor of Public Accounts by the local government. Under a separate cover, the CSB must forward a plan of correction for any audit deficiencies that are related to or affect the CSB to the OBFR by this date. Also, to satisfy federal block grant sub-recipient monitoring requirements imposed on the Department under the Single Audit Act, a CSB that is a local government department or is included in its local government audit shall contract with the same CPA audit firm that audits its locality to perform testing related to the federal Mental Health Services and Substance Abuse Prevention and Treatment Block Grants. Alternately, the local government's internal audit department can work with the CSB and the Department to provide the necessary sub-recipient monitoring information.

If the CSB receives an audit identifying material deficiencies or containing a disclaimer or prepares the plan of correction referenced in the preceding paragraph, the CSB and the Department shall negotiate an Exhibit D that addresses the deficiencies or disclaimer and includes a proposed plan with specific timeframes to address them, and this Exhibit D and the proposed plan shall become part of this contract.

During December CSB Financial Analysts prepare EDI transfers for payment 13 (1<sup>st</sup> January), and, after the OSS Community Contracting Director authorizes their release, send the transfers to the Department of Accounts for CSBs whose FY 2016 end of the fiscal year performance contract reports have been verified as accurate and internally consistent, per items 2.b. through d. of Exhibit I, and whose CCS monthly extracts for October have been received. Payments shall not be released without verified reports and CCS submissions for October.

**12-30-16:** CSBs submit their CCS monthly consumer, type of care, and service extract files for November to the IT&S in time to be received by this date.

During January and early February, CSB Financial Analysts prepare EDI transfers for payments 14 through 16 (2<sup>nd</sup> January, February), and, after the OSS Community Contracting Director authorizes their release, send the transfers to the Department of Accounts for CSBs whose monthly CCS consumer, type of care, and service extract files for November were received by the end of December. Payments shall not be released without receipt of these monthly CCS submissions and receipt of audit reports with related management letters and plans of corrections (A at 12-01-16) or sub-recipient monitoring information and plans of corrections (B at 12-01-16).

**01-13-17:** IS&T distributes FY 2017 mid-year performance contract report software in CARS.

**01-31-17:** CSBs submit their CCS monthly consumer, type of care, and service extract files for December to the OIST and their 2<sup>nd</sup> quarter Exhibit B Quarterly Performance Measures Reports to the OSS in time to be received by this date.

**02-16-17:** CSBs send complete mid-year performance contract reports and a revised Table 1 in Exhibit H to the IS&T electronically in CARS within 45 calendar days after the end of the second quarter in time to be received by this date. IT&S staff places the reports on a shared drive for OSS and OFGM staff to access them. The offices review and act on the reports using the process described for the end of the fiscal year reports. When reports are acceptable, IS&T staff processes the data into the community services data base.

During late February, CSB Financial Analysts prepare EDI transfers for payment 17 (1<sup>st</sup> March), and, after the OSS Community Contracting Director authorizes their release, send the transfers to the Department of Accounts for CSBs whose monthly CCS consumer, type of care, and service extract files for December and 2<sup>nd</sup> quarter Exhibit B Quarterly Performance Measures Reports were received by the end of January; payments shall not be released without these monthly CCS submissions and Exhibit B Reports.

During March, CSB Financial Analysts prepare EDI transfers for payments 18 and 19 (2<sup>nd</sup> March, 1<sup>st</sup> April) and, after the OSS Community Contracting Director authorizes their release, send the transfers to the Department of Accounts for CSBs whose complete FY 2017 mid-year performance contract reports were received by the due date. Payments shall not be released without complete reports, as defined in item 2.a. of Exhibit I.

**02-28-17:** CSBs submit their CCS monthly consumer, type of care, and service extract files for January to the IS&T in time to be received by this date.

**03-31-17:** CSBs submit their CCS monthly consumer, type of care, and service extract files for February to the IS&T in time to be received by this date.

During April and early May, CSB Financial Analysts prepare EDI transfers for payments 20 through 22 (2<sup>nd</sup> April, May) and, after the OSS Community Contracting Director authorizes their release, send the transfers to the Department of Accounts for CSBs whose mid-year performance contract reports have been verified as accurate and internally consistent, per items 2.b. through d. of Exhibit I, and whose monthly CCS consumer, type of care, and service extract files for January and February were received by the end of the month following the month of the extract. Payments shall not be released without verified reports and these monthly CCS submissions.

**04-28-17:** CSBs submit their CCS monthly consumer, type of care, and service extract files for March to the IS&T and their 3<sup>rd</sup> quarter Exhibit B Quarterly Performance Measures Reports to the OSS in time to be received by this date.

During late May, CSB Financial Analysts prepare EDI transfers for payment 23 (1<sup>st</sup> June), and, after the OSS Community Contracting Director authorizes their release, send transfers to the Department of Accounts for CSBs whose monthly CCS consumer, type of care, and service extract files for March and 3<sup>rd</sup> quarter Exhibit B Quarterly Performance Measures Reports were received by the end of April. Payments shall not be released without these monthly CCS submissions and Exhibit B Reports.

**05-31-17:** CSBs submit their CCS monthly consumer, type of care, and service extract files for April to the IS&T in time to be received by this date.

During early June, CSB Financial Analysts prepare EDI transfers for payment 24 (2<sup>nd</sup> June) and, after the OSS Community Contracting Director authorizes their release, send the transfers to the

Department of Accounts, after the Department has made any final adjustments in the CSB's state and federal funds allocations, for CSBs whose monthly CCS consumer, type of care, and service extract files for April were received by the end of May. Payments shall not be released without these monthly CCS submissions.

**06-30-17:** CSBs submit their CCS monthly consumer, type of care, and service extract files for May to the IS&T by this date.

**07-13-17:** The IS&T distributes FY 2017 end of the fiscal year performance contract report software in CARS to CSBs.

**07-31-17:** CSBs submit their CCS consumer, type of care, and service extract files for June to the OIST in time to be received by this date.

**08-11-17:** CSBs submit their complete Community Consumer Submission (CCS) reports for total (annual) FY 2017 service units to the IS&T in time to be received by this date. This later date for final CCS service unit data, allows for the inclusion of all units of services delivered in the fiscal year that might not be in local information systems in July.

**08-31-17:** CSBs send complete FY 2017 end of the fiscal year performance contract reports electronically in CARS to the IS&T in time to be received by this date. If the CSB cannot include the minimum 10 percent local matching funds in its reports and a waiver has not been granted previously in the fiscal year by the Department, it shall submit a written request for a waiver of the matching funds requirement, pursuant to § 37.2-509 of the Code of Virginia and State Board Policy 4010, to the OSS with its report.

**09-01-17:** CSBs submit their 4<sup>th</sup> quarter Exhibit B Quarterly Performance Measures Reports in time to the OCC be received by this date.

#### **Performance Contract Revision Instructions**

The CSB may revise Exhibit A of its signed contract only in the following circumstances:

1. a new, previously unavailable category or subcategory of core services is implemented;
2. an existing category or subcategory of core services is totally eliminated;
3. a new program offering an existing category or subcategory of core services is implemented;
4. a program offering an existing category or subcategory of core services is eliminated;
5. new restricted or earmarked state or federal funds are received to expand an existing service or establish a new one;
6. state or federal block grant funds are moved among program (mental health, developmental, or substance abuse) areas or emergency or ancillary services (an exceptional situation);
7. allocations of state, federal, or local funds change; or
8. a major error is discovered in the original contract.

Revisions of Exhibit A shall be submitted using the CARS software and the same procedures used for the original performance contract.

#### **Exhibit F: Federal Compliances**

##### **Certification Regarding Salary: Federal Mental Health and Substance Abuse Prevention and Treatment Block Grants**

##### **Check One**

  X   1. The CSB has no employees being paid totally with Federal Mental Health Block Grant

funds or Federal Substance Abuse Block Grant (SABG) funds at a direct annual salary (not including fringe benefits and operating costs) in excess of Level II of the federal Executive Schedule.

- \_\_\_\_\_ 2. The following employees are being paid totally with Federal Mental Health or SABG funds at a direct annual salary (not including fringe benefits and operating costs) in excess of Level II of the federal Executive Schedule.

	<i>Name</i>	<i>Title</i>
1.	_____	_____
2.	_____	_____
3.	_____	_____
4.	_____	_____
5.	_____	_____
6.	_____	_____

#### **Assurances Regarding Equal Treatment for Faith-Based Organizations**

The CSB assures that it is and will continue to be in full compliance with the applicable provisions of 45 CFR Part 54, Charitable Choice Regulations, and 45 CFR Part 87, Equal Treatment for Faith-Based Organizations Regulations, in its receipt and use of federal Mental Health Services and SABG funds and federal funds for Projects for Assistance in Transitions from Homelessness programs. Both sets of regulations prohibit discrimination against religious organizations, provide for the ability of religious organizations to maintain their religious character, and prohibit religious organizations from using federal funds to finance inherently religious activities.

#### **Exhibit F: Federal Compliances**

##### **Assurances Regarding Restrictions on the Use of Federal Block Grant Funds**

The CSB assures that it is and will continue to be in full compliance with the applicable provisions of the federal Mental Health Services Block Grant (CFDA 93.958) and the federal Substance Abuse Block Grant (CFDA 93.959), including those contained in Appendix B of the CSB Administrative Requirements and the following requirements. Under no circumstances shall Federal Mental Health Services and Substance Abuse Block Grant (SABG) funds be used to:

1. provide mental health or substance abuse inpatient services<sup>1</sup>;
2. make cash payments to intended or actual recipients of services;
3. purchase or improve land, purchase, construct, or permanently improve (other than minor remodeling) any building or other facility, or purchase major medical equipment;
4. satisfy any requirement for the expenditure of non-federal funds as a condition for the receipt of federal funds;

5. provide individuals with hypodermic needles or syringes so that such individuals may use illegal drugs;
6. provide financial assistance to any entity other than a public or nonprofit private entity; or
7. provide treatment services in penal or correctional institutions of the state.

Also, no SABG prevention set-aside funds shall be used to prevent continued substance use by anyone diagnosed with a substance use disorder.

[Source: 45 CFR § 96.135]


6/22/16  
 Signature of CSB Executive Director Date

- <sup>1</sup> However, the CSB may expend SABG funds for inpatient hospital substance abuse services only when all of the following conditions are met:
- a. the individual cannot be effectively treated in a community-based, non-hospital residential program;
  - b. the daily rate of payment provided to the hospital for providing services does not exceed the comparable daily rate provided by a community-based, non-hospital residential program;
  - c. a physician determines that the following conditions have been met: (1) the physician certifies that the person's primary diagnosis is substance abuse, (2) the person cannot be treated safely in a community-based, non-hospital residential program, (3) the service can reasonably be expected to improve the person's condition or level of functioning, and (4) the hospital-based substance abuse program follows national standards of substance abuse professional practice; and
  - d. the service is provided only to the extent that it is medically necessary (e.g., only for those days that the person cannot be safely treated in a community-based residential program).

[Source: 45 CFR § 96.135]

**Exhibit G: Local Contact for Disbursement of Funds**

1. Name of the CSB: Mount Rogers Community Services Board
2. City or County designated  
as the CSB's Fiscal Agent: Wythe County

If the CSB is an operating CSB and has been authorized by the governing body of each city or county that established it to receive state and federal funds directly from the Department and act as its own fiscal agent pursuant to Subsection A.18 of § 37.2-504 of the Code of Virginia, do not complete items 3 and 4 below.

3. Name of the Fiscal Agent's City Manager or County Administrator or Executive:  
 Name: \_\_\_\_\_ Title: \_\_\_\_\_
4. Name of the Fiscal Agent's County or City Treasurer or Director of Finance:  
 Name: \_\_\_\_\_ Title: \_\_\_\_\_

5. Name, title, and address of the Fiscal Agent official or the name and address of the CSB if it acts as its own fiscal agent to whom checks should be electronically transmitted:

Name: Mount Rogers CSB Title: \_\_\_\_\_

Address: 770 West Ridge Road

Wytheville, VA 24382

This information should agree with information at the top of the payment document e-mailed to the CSB, for example: Mr. Joe Doe, Treasurer, P.O. Box 200, Winchester, VA 22501.

**Exhibit F: Federal Compliances**

**Certification Regarding Salary: Federal Mental Health and Substance Abuse Prevention and Treatment Block Grants**

***Check One***

- \_\_\_\_\_ 1. The CSB has no employees being paid totally with Federal Mental Health Block Grant funds or Federal Substance Abuse Block Grant (SABG) funds at a direct annual salary (not including fringe benefits and operating costs) in excess of Level II of the federal Executive Schedule.
- \_\_\_\_\_ 2. The following employees are being paid totally with Federal Mental Health or SABG funds at a direct annual salary (not including fringe benefits and operating costs) in excess of Level II of the federal Executive Schedule.

***Name***

***Title***

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

6. \_\_\_\_\_



## **Assurances Regarding Equal Treatment for Faith-Based Organizations**

The CSB assures that it is and will continue to be in full compliance with the applicable provisions of 45 CFR Part 54, Charitable Choice Regulations, and 45 CFR Part 87, Equal Treatment for Faith-Based Organizations Regulations, in its receipt and use of federal Mental Health Services and SABG funds and federal funds for Projects for Assistance in Transitions from Homelessness programs. Both sets of regulations prohibit discrimination against religious organizations, provide for the ability of religious organizations to maintain their religious character, and prohibit religious organizations from using federal funds to finance inherently religious activities.

### **Exhibit F: Federal Compliances**

#### **Assurances Regarding Restrictions on the Use of Federal Block Grant Funds**

The CSB assures that it is and will continue to be in full compliance with the applicable provisions of the federal Mental Health Services Block Grant (CFDA 93.958) and the federal Substance Abuse Block Grant (CFDA 93.959), including those contained in Appendix B of the CSB Administrative Requirements and the following requirements. Under no circumstances shall Federal Mental Health Services and Substance Abuse Block Grant (SABG) funds be used to:

1. provide mental health or substance abuse inpatient services<sup>1</sup>;
2. make cash payments to intended or actual recipients of services;
3. purchase or improve land, purchase, construct, or permanently improve (other than minor remodeling) any building or other facility, or purchase major medical equipment;
4. satisfy any requirement for the expenditure of non-federal funds as a condition for the receipt of federal funds;
5. provide individuals with hypodermic needles or syringes so that such individuals may use illegal drugs;
6. provide financial assistance to any entity other than a public or nonprofit private entity; or
7. provide treatment services in penal or correctional institutions of the state.

Also, no SABG prevention set-aside funds shall be used to prevent continued substance use by anyone diagnosed with a substance use disorder.

[Source: 45 CFR § 96.135]

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Signature of CSB Executive Director

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Date

<sup>1</sup> However, the CSB may expend SABG funds for inpatient hospital substance abuse services only when all of the following conditions are met:

- a. the individual cannot be effectively treated in a community-based, non-hospital residential program;
- b. the daily rate of payment provided to the hospital for providing services does not exceed the comparable daily rate provided by a community-based, non-hospital residential program;
- c. a physician determines that the following conditions have been met: (1) the physician certifies that the person's primary diagnosis is substance abuse, (2) the person cannot be treated safely in a community-based, non-hospital residential program, (3) the service can reasonably be expected to improve the person's condition or level of functioning, and (4) the hospital-based substance abuse program follows national standards of substance abuse professional practice; and

- d. the service is provided only to the extent that it is medically necessary (e.g., only for those days that the person cannot be safely treated in a community-based residential program).

[Source: 45 CFR § 96.135]

**Exhibit G: Local Contact for Disbursement of Funds**

1. Name of the CSB: \_\_\_\_\_

2. City or County designated  
as the CSB's Fiscal Agent: \_\_\_\_\_

If the CSB is an operating CSB and has been authorized by the governing body of each city or county that established it to receive state and federal funds directly from the Department and act as its own fiscal agent pursuant to Subsection A.18 of § 37.2-504 of the Code of Virginia, do not complete items 3 and 4 below.

3. Name of the Fiscal Agent's City Manager or County Administrator or Executive:

Name: \_\_\_\_\_ Title: \_\_\_\_\_

4. Name of the Fiscal Agent's County or City Treasurer or Director of Finance:

Name: \_\_\_\_\_ Title: \_\_\_\_\_

5. Name, title, and address of the Fiscal Agent official or the name and address of the CSB if it acts as its own fiscal agent to whom checks should be electronically transmitted:

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

This information should agree with information at the top of the payment document e-mailed to the CSB, for example: Mr. Joe Doe, Treasurer, P.O. Box 200, Winchester, VA 22501.

**Exhibit I: Administrative Performance Standards**

The CSB shall meet these administrative performance standards in submitting its performance contract, contract revisions, semi-annual performance contract reports in the Community Automated Reporting System (CARS), and monthly Community Consumer Submission (CCS) extracts to the Department.

1. The performance contract and any revisions submitted by the CSB shall be:
  - a. complete, that is all required information is displayed in the correct places and all required Exhibits, including applicable signature pages, are included;
  - b. consistent with Letter of Notification allocations or figures subsequently revised by or negotiated with the Department;

- c. prepared in accordance with instructions in the Department-provided CARS software and any subsequent instructional memoranda; and
- d. received by the due dates listed in Exhibit E of this contract.

If these performance contract standards are not met, the Department may delay future semi-monthly payments until satisfactory performance is achieved.

2. Semi-annual performance contract reports submitted by the CSB shall be:
  - a. complete, that is all required information is displayed in the correct places, all required data are included in the electronic CARS application reports, and any required paper forms that gather information not included in CARS are submitted;
  - b. consistent with the state and federal block grant funds allocations in the Letter of Notification or figures subsequently revised by or negotiated with the Department;
  - c. prepared in accordance with instructions;
  - d. (i) internally consistent and arithmetically accurate: all related expense, resource, and cost data are consistent, congruent, and correct within a report, and (ii) submitted only after errors identified by the CARS error checking programs are corrected; and
  - e. received by the due dates listed in Exhibit E of this contract.

If the CSB does not meet these standards for its semi-annual CARS reports, the Department may delay future semi-monthly payments until satisfactory performance is achieved. The Department may impose one-time reductions of state funds apportioned for CSB administrative expenses<sup>1</sup> on a CSB for its failure to meet the following standards in its end of the fiscal year CARS report:

- a one percent reduction not to exceed \$15,000 for failure to comply with standard 2.d; and
- a one percent reduction not to exceed \$15,000 for failure to comply with standard 2.e, unless an extension has been obtained from the Department through the process on the next page.

3. Monthly consumer, type of care, and service extract files shall be submitted by the end of the month following the month of the extract in accordance with the CCS Extract and Design Specifications, including the current Business Rules. The submissions shall satisfy the requirements in section II Data Quality Feedback of Exhibit B and the Data Quality Performance Expectation Affirmations in Appendix E of the CSB Administrative Requirements. If the CSB fails to meet the extract submission requirements in Exhibit E of this contract, the Department may delay semi-monthly payments until satisfactory performance is achieved.
4. If the Department negotiates an Exhibit D with a CSB because of unacceptable data quality, and the CSB fails to satisfy the requirements in Exhibit D by the end of the contract term, the Department may impose a one-time one percent reduction not to exceed a total of \$15,000 of state funds apportioned for CSB administrative expenses<sup>1</sup> on the CSB.
5. Substance abuse prevention units of service data and quarterly reports shall be submitted to the Department through the Social Solutions Efforts to Outcome (ETO) Prevention Data System.

<sup>1</sup> The Department will calculate state funds apportioned for CSB administrative expenses by multiplying the total state funds allocated to the CSB by the CSB's administrative percentage displayed on page AF-1 of the contract.

The CSB shall not allocate or transfer a one-time reduction of state funds apportioned for administrative expenses to direct service or program costs.

### **Process for Obtaining an Extension of the End of the Fiscal Year CARS Report Due Date**

The Department will grant an extension only in very exceptional situations such as a catastrophic information system failure, a key staff person's unanticipated illness or accident, or a local emergency or disaster situation that makes it impossible to meet the due date.

1. It is the responsibility of the CSB to obtain and confirm the Department's approval of an extension of the due date within the time frames specified below. Failure of the CSB to fulfill this responsibility constitutes prima facie acceptance by the CSB of any resulting one-time reduction in state funds apportioned for administrative expenses.
2. As soon as CSB staff becomes aware that it cannot submit the end of the year CARS report in time to be received in the Department by 5:00 p.m. on the due date, the executive director must inform the Office of Support Services (OSS) Director or Community Contracting Director that it is requesting an extension of this due date. This request should be submitted as soon as possible and it shall be in writing, describe completely the reason(s) and need for the extension, and state the date on which the report will be received by the Department.
3. The written request for an extension must be received in the OSS no later than 5:00 p.m. on the fourth business day before the due date. A facsimile transmission of the request to the OSS fax number (804-371-0092), received by that time and date, is acceptable if receipt of the transmission is confirmed with a return facsimile memo from the OSS no later than 5:00 p.m. on the third business day before the due date. Telephone extension requests are not acceptable and will not be processed.
4. The OSS will act on all requests for due date extensions that are received in accordance with this process and will notify the requesting CSBs by facsimile transmission of the status of their requests by 5:00 p.m. on the second business day before the due date.

### **Exhibit J: Other CSB Accountability Requirements**

These requirements apply to the CSB board of directors or staff and the services included in this contract. Additional requirements are contained in the CSB Administrative Requirements.

#### **I. Compliance with State Requirements**

**A. General State Requirements:** The CSB shall comply with applicable state statutes and regulations, State Board regulations and policies, and Department procedures, including the following requirements.

1. Pursuant to § 2.2-3100.1 of the Code of Virginia, the CSB shall ensure that new board members are furnished with a copy of the State and Local Government Conflict of Interests Act by the executive director or his or her designee within two weeks following a member's appointment, and new members shall read and become familiar with provisions of the act. The CSB shall ensure board members and applicable CSB staff receive training on the act. If required by § 2.2-3115 of the Code, CSB board members and staff shall file annual disclosure forms of their personal interests and such other information as is specified on the form set forth in § 2.2-3118 of the Code. Board members and staff shall comply with the Conflict of Interests Act and policies adopted by the CSB.
2. Pursuant to § 2.2-3702 of the Code, the CSB shall ensure that new board members are furnished with a copy of the Virginia Freedom of Information Act by the executive director or his or her designee within two weeks following a member's appointment, and new members shall read and become familiar with provisions of the act. The CSB shall ensure board members and applicable staff receive training on the act. Board members and staff shall comply with the Freedom of Information Act and policies adopted by the CSB.

## **B. Protection of Individuals Receiving Services**

1. **Human Rights:** The CSB shall comply with the current *Rules and Regulations to Assure the Rights of Individuals Receiving Services from Providers Licensed, Funded, or Operated by the Department of Behavioral Health and Developmental Services*. In the event of a conflict between any of the provisions in this contract and provisions in these regulations, the applicable provisions in the regulations shall apply. The CSB shall cooperate with any Department investigation of allegations or complaints of human rights violations, including providing any information needed for the investigation as required under state law and as permitted under 45 CFR § 164.512 (d) in as expeditious a manner as possible.
2. **Disputes:** The filing of a complaint or the use of the informal dispute resolution mechanism in the Human Rights Regulations by an individual or his or her family member or authorized representative shall not adversely affect the quantity, quality, or timeliness of services provided to that individual unless an action that produces such an effect is based on clinical or safety considerations and is documented in the individual's individualized services plan.
3. **Licensing:** The CSB shall comply with the *Rules and Regulations for Licensing Providers by the Department of Behavioral Health and Developmental Services*. The CSB shall establish a system to ensure ongoing compliance with applicable licensing regulations. CSB staff shall provide copies of the results of licensing reviews, including scheduled reviews, unannounced visits, and complaint investigations, to all members of the CSB board of directors in a timely manner and shall discuss the results at a regularly scheduled board meeting. The CSB shall adhere to any licensing guidance documents published by the Department.

## **C. CSB and Board of Directors Organization and Operations**

1. The CSB's organization chart shall be consistent with the current board of directors and staff organization. The organization chart shall include the local governing body or bodies that established the CSB and the board's committee structure.
2. CSB bylaws shall be consistent with local government resolutions or ordinances establishing the CSB, board policies, and the CSB's organization chart and shall have been reviewed and revised within the last two years.
3. The board of directors and executive director shall develop a board member position description, including qualifications, duties and responsibilities, and time requirements that the CSB shall provide to local governments to assist them in board appointments.
4. The executive director shall provide new board members with training on their legal, fiduciary, regulatory, policy, and programmatic powers and responsibilities and an overview of the performance contract within one month of their appointment. New board members shall receive a board manual before their first board meeting with the information needed to be an effective board member.
5. The board of directors shall adopt policies governing its operations, including board-staff relationships and communications, local and state government relationships and communications, committee operations, attendance at board meetings, oversight and monitoring of CSB operations, quality improvement, conflict of interests, freedom of information, board member training, privacy, security, and employment and evaluation of and relationship with the executive director.
6. The board shall adopt an annual meeting schedule to assist board member attendance.
7. The board of directors shall comply with the Virginia Freedom of Information act in the conduct of its meetings, including provisions governing executive sessions or closed meetings, electronic communications, and notice of meetings.



8. The board of directors shall meet frequently enough (at least six times per year) and receive sufficient information from the staff to discharge its duties and fulfill its responsibilities. This information shall include quarterly reports on service provision, funds and expenditures, and staffing in sufficient detail and performance on the behavioral health and developmental performance measures and other performance measures in Exhibit B. Board members shall receive this information at least one week before a scheduled board meeting.

**D. Reporting Fraud:** Fraud is an intentional wrongful act committed with the purpose of deceiving or causing harm to another party. Upon discovery of circumstances suggesting a reasonable possibility that a fraudulent transaction has occurred, the CSB's Executive Director shall report this information immediately to any applicable local law enforcement authorities and the Department's Internal Audit Director. All CSB financial transactions that are the result of fraud or mismanagement shall become the sole liability of the CSB, and the CSB shall refund any state or federal funds disbursed by the Department to it that were involved in those financial transactions. The CSB shall ensure that new CSB board members receive training on their fiduciary responsibilities under applicable provisions of the Code of Virginia and this contract and that all board members receive annual refresher training on their fiduciary responsibilities.

**E. Financial Management:** The CSB shall comply with following requirements, as applicable.

1. To avoid any appearance of conflict or impropriety, the CSB shall provide complete annual financial statements to its Certified Public Accountant for audit.
2. Operating CSBs and the BHA shall rebid their CPA audit contracts at least every three years once the current CPA contracts expire.
3. All financial reports prepared by the CSB for the reliance of third parties shall be reviewed by a designated staff person before the reports are presented or submitted and the reviews shall be documented.
4. All checks issued by the CSB that remain outstanding after one year shall be voided.
5. All CSB bank accounts shall be reconciled regularly, and the reconciliations shall be approved by a designated staff person not involved in preparing the reconciliation.
6. A contract administrator shall be identified for each contract for the purchase of services entered into by the CSB, and every contract shall be signed by a designated staff person and each other party to the contract, where applicable.
7. Each write-off of account receivables for services to individuals shall be approved and documented by a designated staff person. The CSB shall maintain an accounts receivable aging schedule, and debt that is deemed to be uncollectable shall be written off periodically. The CSB shall maintain a system of internal controls including separation of duties to safeguard accounts receivable assets.
8. Each payroll shall be certified by a designated staff person who does not enter or process the CSB's payroll.
9. The CSB shall maintain documentation and reports for all expenditures related to the federal Mental Health Block Grant and federal Substance Abuse Prevention and Treatment Block Grant funds contained in Exhibit A sufficient to substantiate compliance with the restrictions, conditions, and prohibitions related to those funds.
10. The CSB shall maintain an accurate list of fixed assets as defined by the CSB. Assets that are no longer working or repairable or are not retained shall be excluded from the list of assets and written off against accumulated depreciation, and their disposition shall



be documented by a designated staff person who does not have physical control over the assets. The current location of or responsibility for each asset shall be indicated on the list of fixed assets.

11. Access to the CSB's information system shall be controlled and properly documented. Access shall be terminated in a timely manner when a staff member is no longer employed by the CSB to ensure security of confidential information about individuals receiving services and compliance with the Health Insurance Portability and Accountability Act of 1996 and associated federal or state regulations.

**F. Employment of a CSB Executive Director or BHA Chief Executive Officer (CEO)**

1. When an operating CSB executive director or behavioral health authority (BHA) chief executive officer (CEO) position becomes vacant, the CSB or BHA board of directors shall conduct a broad and thorough public recruitment process that may include internal candidates and acting or interim executive directors. The CSB or BHA shall involve staff in the Department's Office of Support Services (OSS) in its recruitment and selection process in order to implement applicable provisions of § 37.2-504 or § 37.2-605 of the Code of Virginia and to ensure selection of the most qualified candidate. The CSB or BHA shall provide a current position description and salary and the advertisement for the position to the OSS for review and approval prior to advertising the position. The CSB or BHA board of directors shall invite OSS staff to meet with it to review the board's responsibilities and to review and comment on the board's screening criteria for applicants and its interview and selection procedures before the process begins. The CSB or BHA board of directors shall follow the steps outlined in the current CSB Executive Director Recruitment Process Guidance issued by the Department, adapting the steps to reflect its unique operating environment and circumstances where necessary, to have a professionally and legally defensible recruitment and selection process. Department staff shall work with the board of directors search committee to help it use the Guidance document in its process. The CSB or BHA board of directors shall include an OSS staff as a voting member of its search committee to provide the Department's perspective and feedback directly to the committee.

Prior to employing a new executive director or CEO, the CSB or BHA shall provide a copy of the application and resume of the successful applicant and the proposed salary to the OSS for review and approval for adherence to minimum qualifications and the salary range established by the Department pursuant to § 37.2-504 or § 37.2-605 and contained in the current CSB Executive Director Recruitment Process Guidance. If the CSB or BHA proposes employing the executive director or CEO above the middle of the salary range, the successful applicant shall meet the preferred qualifications in addition to the minimum qualifications. This review does not include Department approval of the selection or employment of a particular candidate for the position. Section 37.2-504 or § 37.2-605 of the Code of Virginia requires the CSB or BHA to employ its executive director or CEO under an annually renewable contract that contains performance objectives and evaluation criteria. The CSB or BHA shall provide a copy of this employment contract to the OSS for review and approval prior to employment of the new executive director or CEO or before the contract is executed.

2. When an administrative policy CSB executive director position becomes vacant, the CSB may involve staff in the Department's OSS in its recruitment and selection process in order to implement applicable provisions of § 37.2-504 or § 37.2-605 of the Code of Virginia. The CSB shall provide a current position description and the advertisement for

the position to the OSS for review prior to the position being advertised pursuant to § 37.2-504 of the Code of Virginia. Prior to employing the new executive director, the CSB shall provide a copy of the application and resume of the successful applicant to the OSS for review and approval for adherence to minimum qualifications established by the Department pursuant to § 37.2-504. This review does not include Department approval of the selection or employment of a particular candidate for the position. While § 37.2-504 of the Code of Virginia does not require an administrative policy CSB to employ its executive director under an annually renewable contract that contains performance objectives and evaluation criteria, the CSB should follow this accepted human resource management practice.

## **II. Compliance with Federal Requirements**

- A. General Federal Compliance Requirements:** The CSB shall comply with all applicable federal statutes, regulations, policies, and other requirements, including applicable provisions of the federal Project for Assistance in Transition from Homelessness (CFDA 93.150), Mental Health Services Block Grant (CFDA 93.958), Substance Abuse Block Grant (CFDA 93.959), Virginia Road2Home Project (CFDA 93.243), and VA Strategic Prevention Framework Prescription Drug Abuse & Heroin Overdose Prevention (CFDA 93.243) and requirements contained in Appendix C of the CSB Administrative Requirements and the:

1. Federal Immigration Reform and Control Act of 1986; and
2. Confidentiality of Alcohol and Substance Abuse Records, 42 C.F.R. Part 2.

Non-federal entities, including CSBs, expending \$750,000 or more in a year of federal awards shall have a single or program-specific audit conducted for that year in accordance with Office of Management and Budget Uniform Administrative Requirements, Cost Principles, and Audit Requirements for federal awards – 2 CFR Chapter I, Chapter II, Part 200 et seq.

CSBs shall prohibit the following acts by themselves, their employees, and agents performing services for them:

1. the unlawful or unauthorized manufacture, distribution, dispensation, possession, or use of alcohol or other drugs; and
2. any impairment or incapacitation from the use of alcohol or other drugs, except the use of drugs for legitimate medical purposes.

Identifying information for these federal grants is listed below.

### **CFDA 93.150**

#### **Project for Assistance in Transition from Homelessness (PATH)**

Federal Award Identification Number (FAIN): SM016047-16

Federal Award Period 09/01/2016 – 08/31/2017

Federal Awarding Agency: Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration  
Center for Mental Health Services

### **CFDA 93.958**

#### **Community Mental Health Services - Mental Health Block Grant (MHBG)**

Federal Award Identification Number (FAIN): SM010053-16

Federal Award Period 10/01/2015 - 09/30/2017

Federal Awarding Agency: Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration  
Center for Mental Health Services

**CFDA 93.959**

**Prevention and Treatment of Substance Abuse - Substance Abuse Block Grant (SABG)**

Federal Award Identification Number (FAIN): TI010053-16

Federal Award Period 10/01/2015 - 09/30/2017

Federal Awarding Agency: Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration  
Center for Substance Abuse Treatment

**CFDA 93.243**

**Virginia Road2Home Project (CABHI – Cooperative Agreement to Benefit Homeless Individuals)**

Federal Award Identification Number (FAIN): TI026051

Federal Award Period 09/30/2016 – 09/29/2017

Federal Awarding Agency: Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration  
Center for Substance Abuse Treatment

**VA SPF PFS Prescription Drug Abuse & Heroin Overdose Prevention**

Federal Award Identification Number (FAIN): SP020791

Federal Award Period 09/30/2016 – 09/29/2017

Federal Awarding Agency: Department of Health and Human Services  
Substance Abuse and Mental Health Services Administration  
Center for Substance Abuse Prevention

- B. Disaster Response and Emergency Service Preparedness Requirements:** The CSB agrees to comply with section 416 of Public Law 93-288 (the Stafford Act) and § 44-146.13 through § 44-146.28 of the Code of Virginia regarding disaster response and emergency service preparedness. These Code sections authorize the Virginia Department of Emergency Management, with assistance from the Department, to execute the *Commonwealth of Virginia Emergency Operations Plan*, as promulgated through Executive Order 50 (2012).

Disaster behavioral health assists with mitigation of the emotional, psychological, and physical effects of a natural or man-made disaster affecting survivors and responders. Disaster behavioral health support is most often required by Emergency Support Function No. 6: Mass Care, Emergency Assistance, Temporary Housing, and Human Services; Emergency Support Function No. 8: Health and Medical Services; and Emergency Support Function No. 15: External Affairs. The CSB shall:

1. provide the Department with and keep current 24/7/365 contact information for disaster response points of contact at least three persons deep;
2. report to the Department all disaster behavioral health recovery and response activities related to a disaster;
3. comply with all Department directives coordinating disaster planning, preparedness, response, and recovery to disasters; and
4. coordinate with local emergency managers, local health districts, the Department, and all appropriate stakeholders in developing a Disaster Behavioral Health Annex template for each locality's Emergency Operations Plan.

The Disaster Behavioral Health Annex template shall address: listing behavioral health services and supports, internal to CSB and at other organizations in the community, available to localities during the preparedness, response, and recovery phases of a disaster or emergency event and designating staff to provide disaster behavioral health services and supports during emergency operations.

To implement this plan, the CSB shall:

1. Develop protocols and procedures for providing behavioral health services and supports during emergency operations;
2. Seek to participate in local, regional, and statewide planning, preparedness, response, and recovery training and exercises;
3. Negotiate disaster response agreements with local governments and state facilities; and
4. Coordinate with state facilities and local health departments or other responsible local agencies, departments, or units in preparing all hazards disaster plans.

**C. Federal Certification Regarding Lobbying for the Mental Health and Substance Abuse Block Grants:** The CSB certifies, to the best of its knowledge and belief, that:

1. No federal appropriated funds have been paid or will be paid, by or on behalf of the CSB, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the CSB shall complete and submit Standard Form-L.L.L., "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The CSB shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, or cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 or more than \$100,000 for each failure.

**III. Compliance with State and Federal Requirements**

**A. Employment Anti-Discrimination:** The CSB shall conform to the applicable provisions of Title VII of the Civil Rights Act of 1964 as amended, the Equal Pay Act of 1963, Sections 503 and 504 of the Rehabilitation Act of 1973, the Vietnam Era Veterans Readjustment Act of 1974, the Age Discrimination in Employment Act of 1967, the Americans With Disabilities Act of 1990, the Virginians With Disabilities Act, the Virginia Fair Employment Contracting Act, the Civil Rights Act of 1991, regulations issued by Federal Granting Agencies, and other applicable statutes and regulations, including § 2.2-4310 of the Code of Virginia. The CSB agrees as follows.

1. The CSB will not discriminate against any employee or applicant for employment because of race, religion, color, sex, national origin, age, disability, or other basis prohibited by federal or state law relating to discrimination in employment, except where there is a bona fide occupational qualification reasonably necessary to the normal operation of the CSB. The CSB agrees to post in conspicuous places, available to

employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause.

2. The CSB, in all solicitations or advertisements for employees placed by or on behalf of the CSB, will state that it is an equal opportunity employer.
3. Notices, advertisements, and solicitations placed in accordance with federal law, rule, or regulation shall be deemed sufficient for the purpose of meeting these requirements.

**B. Service Delivery Anti-Discrimination:** The CSB shall conform to the applicable provisions of Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, the Americans With Disabilities Act of 1990, the Virginians With Disabilities Act, the Civil Rights Act of 1991, regulations issued by the U.S. Department of Health and Human Services pursuant thereto, other applicable statutes and regulations, and paragraphs 1 and 2 below.

1. Services operated or funded by the CSB have been and will continue to be operated in such a manner that no person will be excluded from participation in, denied the benefits of, or otherwise subjected to discrimination under such services on the grounds of race, religion, color, national origin, age, gender, or disability.
2. The CSB and its direct and contractual services will include these assurances in their services policies and practices and will post suitable notices of these assurances at each of their facilities in areas accessible to individuals receiving services.
3. The CSB will periodically review its operating procedures and practices to insure continued conformance with applicable statutes, regulations, and orders related to non-discrimination in service delivery.

#### FY 2017 and FY 2018 CSB Administrative Requirements

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- I. **Purpose:** The CSB Administrative Requirements include or incorporate by reference ongoing statutory, regulatory, policy, and other requirements that are not expected to change frequently. This document is incorporated into and made a part of the current Community Services Performance Contract (performance contract) by reference. Any substantive change in this document, except changes in statutory, regulatory, policy, or other requirements or in other documents incorporated by reference in it, which changes are made in accordance with processes or procedures associated with those statutes, regulations, policies, or other requirements or documents, shall be made in accordance with applicable provisions of the Partnership Agreement and shall be considered to be a performance contract amendment that requires a new contract signature page, signed by both parties. In this document, a CSB, the local government department with a policy-advisory CSB, or the behavioral health authority will be referred to as the CSB.

## II. CSB Requirements

### A. State Requirements

1. **General State Requirements:** The CSB shall comply with applicable state statutes and regulations, State Board of Behavioral Health and Developmental Services (State Board) regulations and policies, and Department procedures including:
  - a. Community Services Boards, § 37.2-500 through § 37.2-512 or Behavioral Health Authorities, § 37.2-600 through § 37.2-615 of the Code of Virginia;
  - b. State and Local Government Conflict of Interests Act, § 2.2-3100 through § 2.2-3131 of the Code;
  - c. Virginia Freedom of Information Act, § 2.2-3700 through § 2.2-3714 of the Code, including its notice of meeting and public meeting provisions;
  - d. Government Data Collection and Dissemination Practices Act, § 2.2-3800 through § 2.2-3809 of the Code;
  - e. Virginia Public Procurement Act, § 2.2-4300 through § 2.2-4377 of the Code;
  - f. Chapter 8 (Admissions and Dispositions) and other applicable provisions of Title 37.2 and other titles of the Code; and.
  - g. Applicable provisions of the current Appropriation Act.

### 2. Financial Management Requirements, Policies, and Procedures

- a. **Generally Accepted Accounting Principles:** If it is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government financial management requirements, policies, and procedures, the CSB's financial management and accounting system shall operate and produce financial statements and reports in accordance with Generally Accepted Accounting Principles. It shall include necessary personnel and financial records and a fixed assets system. It shall provide for the practice of fund accounting and adhere to cost accounting guidelines issued by the Department.

If it is an administrative policy CSB that is a city or county department or agency or is required to adhere to local government financial management requirements, policies, and procedures or it is the local government department with a policy-advisory CSB, the CSB shall comply with local government financial management requirements, policies, and procedures.

If the Department receives any complaints about the CSB's financial management operations, the Department will forward these complaints to the local government and any other appropriate authorities. In response to those complaints, the Department may conduct a review of that CSB's financial management activities.

- b. **Accounting:** CSBs shall account for all service and administrative expenses accurately and submit timely reports to the Department to document these expenses.
- c. **Annual Independent Audit:** If it is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government financial management requirements, policies, and procedures, the CSB shall obtain an independent annual audit conducted by certified public accountants. Audited financial statements shall be prepared in accordance with generally accepted accounting principles (GAAP). The appropriate GAAP basis financial reporting model is the Enterprise Fund in accordance with the requirements of Governmental Accounting Standards Board (GASB) Statement Number 34, *Basic Financial Statements- and Management's Discussion and Analysis- for State and Local Governments*. GASB 34 replaces the

previous financial reporting model *Health Care Organizations Guide*, produced by the American Institute of Certified Public Accountants. Copies of the audit and the accompanying management letter shall be provided to the Office of Budget and Financial Reporting in the Department and to each local government that established the CSB. CSBs shall, to the extent practicable, obtain unqualified audit opinions. Deficiencies and exceptions noted in an audit or management letter shall be resolved or corrected within a reasonable period of time, mutually agreed upon by the CSB and the Department.

If it is an administrative policy CSB that is a city or county department or agency or is required to adhere to local government financial management requirements, policies, and procedures or it is the local government department with a policy-advisory CSB, the CSB shall be included in the annual audit of its local government. Copies of the applicable portions of the accompanying management letter shall be provided to the Office of Budget and Financial Reporting in the Department. Deficiencies and exceptions noted in a management letter shall be resolved or corrected within a reasonable period of time, mutually agreed upon by the CSB, its local government(s), and the Department.

If an administrative policy CSB that is a city or county department or agency or is required to adhere to local government financial management requirements, policies, and procedures or the local government department with a policy-advisory CSB obtains a separate independent annual audit conducted by certified public accountants, audited financial statements shall be prepared in accordance with generally accepted accounting principles. The appropriate GAAP basis financial reporting model is the Enterprise Fund in accordance with the requirements of Governmental Accounting Standards Board (GASB) Statement Number 34, *Basic Financial Statements- and Management's Discussion and Analysis- for State and Local Governments*. The local government will determine the appropriate fund classification in consultation with its certified public accountant. Copies of the audit and the accompanying management letter shall be provided to the Office of Budget and Financial Reporting and to each local government that established the CSB. CSBs shall, to the extent practicable, obtain unqualified audit opinions. Deficiencies

and exceptions noted in an audit or management letter shall be resolved or corrected within a reasonable period of time, mutually agreed upon by the CSB and the Department.

- d. **Federal Audit Requirements:** When the Department subgrants federal grants to a CSB, the CSB shall satisfy all federal government audit requirements.
- e. **Subcontractor Audits:** Every CSB shall obtain, review, and take any necessary actions on audits of any subcontractors that provide services that are procured under the Virginia Public Procurement Act and included in a CSB's performance contract. The CSB shall provide copies of these audits to the Office of Budget and Financial Reporting in the Department.
- f. **Bonding:** If it is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government financial management requirements, policies, and procedures, CSB employees with financial responsibilities shall be bonded in accordance with local financial management policies.
- g. **Fiscal Policies and Procedures:** If it is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government financial management requirements, policies, and procedures, a CSB's written fiscal policies and procedures shall conform to applicable State Board policies and Departmental policies and procedures.
- h. **Financial Management Manual:** If it is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government financial management requirements, policies, and procedures, a CSB shall be in material compliance with the requirements in the current Financial Management Standards for Community Services Boards issued by the Department.
- i. **Local Government Approval:** CSBs shall submit their performance contracts to the local governments in their service areas for review and approval, pursuant to § 37.2-508 or § 37.2-608 of the Code of Virginia, which requires approval of the contracts by September 30. CSBs shall submit their contracts to the local governing bodies of the cities and counties that established them in accordance with the schedules determined by those governing bodies or at least 15 days before meetings at which the governing bodies are scheduled to consider approval of their contracts. Unless prohibited from doing so by its local government(s), a CSB may submit its contract to the Department before it is approved by its local government(s).
- j. **Department Review:** If a CSB is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government financial management requirements, policies, and procedures, the Department may conduct a review of the CSB's financial management activities at any time. While it does not conduct routine reviews of the CSB's financial management activities, the Department may conduct a review in response to significant deficiencies, irregularities, or problems identified in the CSB's independent annual audit or management letter or in response to complaints or information that it receives. CSBs shall submit formal plans of

correction to the Office of Budget and Financial Reporting in the Department within 45 days of receipt of official reports of reviews. Minor compliance issues shall be corrected within 45 days of submitting a plan. Action to correct major compliance issues shall be initiated within 45 days and completed within 180 days of submitting a plan, unless the Department grants an extension.

If it is an administrative policy CSB that is a city or county department or agency or is required to adhere to local government financial management requirements, policies, and procedures or it is the local government department with a policy-advisory CSB, the Department may conduct a review of a CSB's financial management activities at any time in order to fulfill its responsibilities for federal sub-recipient (CSB) monitoring requirements under the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards 2 CFR Part 200.331. While it does not conduct routine reviews of the CSB's financial management activities, the Department may conduct a review in response to significant deficiencies, irregularities, or problems identified in the CSB's audit or management letter or in response to complaints or information that it receives. Such reviews shall be limited to sub-recipient monitoring responsibilities in 2 CFR Part

200.331 associated with receipt of federal funds by the CSB. CSBs shall submit formal plans of correction to the Office of Budget and Financial Reporting in the Department within 45 days of receipt of official reports of reviews. Minor compliance issues shall be corrected within 45 days of submitting a plan. Action to correct major compliance issues shall be initiated within 45 days and completed within 180 days of submitting a plan, unless the Department grants an extension.

- k. **Balances of Unspent Funds:** In calculating amounts of unspent state funds, the Department shall prorate balances of unexpended unrestricted funds after the close of the fiscal year among unrestricted state funds, local matching funds, and fees, based on the relative proportions of those funds received by the CSB. This normally will produce identified balances of unrestricted state funds, local matching funds, and fees, rather than just balances of unrestricted state funds. Restricted state funds shall be accounted for separately, given their restricted status, and the Department shall identify balances of unexpended restricted state funds separately. CSBs shall adhere to the Unspent Balances Principles and Procedures in Appendix C.

### 3. Procurement Requirements, Policies, and Procedures

- a. **Procurement Policies and Procedures:** If it is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government procurement requirements, policies, and procedures, a CSB shall have written procurement policies and procedures in effect that address internal procurement responsibilities, small purchases and dollar thresholds, ethics, and disposal of surplus property. Written procurement policies and procedures relating to vendors shall be in effect that address how to sell to the CSB, procurement, default, and protests and appeals. All written policies and procedures shall conform to the Virginia Public Procurement Act.

If it is an administrative policy CSB that is a city or county department or agency or is required to adhere to local government procurement requirements, policies, and procedures or it is the local government department with a policy-advisory CSB, a CSB shall comply with its local government's procurement requirements, policies,

and procedures, which shall conform to the Virginia Public Procurement Act. If the Department receives any complaints about the CSB's procurement operations, the Department will forward these complaints to the local government and any other appropriate authorities. In response to those complaints, the Department may conduct a review of that CSB's procurement activities.

- b. **Department Review:** If a CSB is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government procurement requirements, policies, and procedures, the Department may conduct a review of the CSB's procurement activities at any time. While it does not conduct routine reviews of the CSB's procurement activities, the Department may conduct a review in response to significant deficiencies, irregularities, or problems identified in the CSB's independent annual audit or management letter or in response to complaints or information that it receives. The review will include a sampling of CSB subcontracts. CSBs shall submit formal plans of correction to the Office of Administrative Services in the Department within 45 days of receipt of official

reports of reviews. Minor compliance issues shall be corrected within 45 days of submitting a plan. Action to correct major compliance issues shall be initiated within 45 days and completed within 180 days of submitting a plan, unless the Department grants an extension.

#### 4. Reimbursement Requirements, Policies, and Procedures

- a. **Reimbursement System:** Each CSB's reimbursement system shall comply with § 37.2-504 and § 37.2-511 or § 37.2-605 and § 37.2-612 and with § 20-61 of the Code of Virginia and State Board Policy 6002 (FIN) 86-14. Its operation shall be described in organizational charts identifying all staff members, flow charts, and specific job descriptions for all personnel involved in the reimbursement system.
- b. **Policies and Procedures:** Written fee collection policies and procedures shall be adequate to maximize fees from individuals and responsible third party payors.
- c. **Schedule of Charges:** A schedule of charges shall exist for all services that are included in the CSB's performance contract, shall be related reasonably to the cost of the services, and shall be applicable to all recipients of the services.
- d. **Ability to Pay:** A method, approved by a CSB's board of directors that complies with applicable state and federal regulations shall be used to evaluate the ability of each individual to pay fees for the services he or she receives.
- e. **Department Review:** While it does not conduct routine reviews of the CSB's reimbursement activities, the Department may conduct a review at any time in response to significant deficiencies, irregularities, or problems identified in the CSB's independent annual audit or management letter or in response to complaints or information that it receives. CSBs shall submit formal plans of correction to the Office of Cost Accounting and Reimbursement in the Department within 45 days of receipt of official reports of reviews. Minor compliance issues shall be corrected within 45 days of submitting a plan. Action to correct major compliance issues shall be initiated within 45 days and completed within 180 days of submitting a plan, unless the Department grants an extension.

- f. Medicaid and Medicare Regulations:** CSBs shall comply with applicable federal and state Medicaid and Medicare regulations, policies, procedures, and provider agreements. Medicaid non-compliance issues identified by Department staff will be communicated to the Department of Medical Assistance Services.

**5. Human Resource Management Requirements, Policies, and Procedures**

- a. Statutory Requirements:** If it is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government human resource management requirements, policies, and procedures, a CSB shall operate a human resource management program that complies with state and federal statutes, regulations, and policies.

If it is an administrative policy CSB that is a city or county department or agency or is required to adhere to local government human resource management requirements, policies, and procedures or it is the local government department with a policy-advisory CSB, a CSB shall be part of a human resource management program that complies with state and federal statutes, regulations, and policies.

- b. Policies and Procedures:** If it is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government human resource management requirements, policies, and procedures, a CSB's written human resource management policies and procedures shall include a classification plan and uniform employee pay plan and, at a minimum, shall address:

- 1.) nature of employment;
- 2.) equal employment opportunity;
- 3.) recruitment and selection;
- 4.) criminal background and reference check requirements;
- 5.) classification and compensation, including a uniform employee pay plan;
- 6.) employment medical examinations (e.g., TB);
- 7.) nepotism (employment of relatives);
- 8.) probationary period;
- 9.) initial employee orientation;
- 10.) transfer and promotion;
- 11.) termination, layoff, and resignation;
- 12.) benefits, including types and amounts of leave, holidays, and health, disability, and other insurances;
- 13.) hours of work;
- 14.) outside employment;
- 15.) professional conduct;
- 16.) employee ethics;
- 17.) compliance with state Human Rights Regulations and the CSB's local human rights policies and procedures;
- 18.) HIPAA compliance and privacy protection;
- 19.) compliance with the Americans with Disabilities Act;
- 20.) compliance with Immigration Reform and Control Act of 1986;
- 21.) conflicts of interests and compliance with the Conflict of Interests Act;



- 22.) compliance with Fair Labor Standards Act, including exempt status, overtime, and compensatory leave;
- 23.) drug-free workplace and drug testing;
- 24.) maintenance of a positive and respectful workplace environment;
- 25.) prevention of sexual harassment;
- 26.) prevention of workplace violence;
- 27.) whistleblower protections;
- 28.) smoking;
- 29.) computer, internet, email, and other electronic equipment usage;
- 30.) progressive discipline (standards of conduct);
- 31.) employee performance evaluation;
- 32.) employee grievances;
- 33.) travel reimbursement and on-the-job expenses;
- 34.) employee to executive director and board of directors contact protocol; and
- 35.) communication with stakeholders, media, and government officials.

If it is an administrative policy CSB that is a city or county department or agency or is required to adhere to local government human resource management requirements, policies, and procedures or it is the local government department with a policy-advisory CSB, a CSB shall adhere to its local government's human resource management policies and procedures.

- c. **Job Descriptions:** If it is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government human resource management requirements, policies, and procedures, a CSB shall have written, up-to-date job descriptions for all positions. Job descriptions shall include identified essential functions, explicit responsibilities, and qualification statements, expressed in terms of knowledges, skills, and abilities as well as business necessity and bona fide occupational qualifications or requirements.
- d. **Grievance Procedure:** If it is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government human resource management, policies, procedures, and requirements, a CSB's grievance procedure shall satisfy § 15.2-1507 of the Code of Virginia.
- e. **Uniform Pay Plan:** If it is an operating CSB, a behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government human resource management requirements, policies, and procedures, a CSB shall adopt a uniform pay plan in accordance with § 15.2-1506 of the Code of Virginia and the Equal Pay Act of 1963.
- f. **Department Review:** If it is an operating CSB, the behavioral health authority, or an administrative policy CSB that is not a city or county department or agency or is not required to adhere to local government human resource management requirements, policies, and procedures, employee complaints regarding a CSB's human resource management practices will be referred back to the CSB for appropriate local remedies. The Department may conduct a human resource management review to ascertain a CSB's compliance with performance contract

requirements and assurances, based on complaints or other information received about a CSB's human resource management practices. If a review is done and deficiencies are identified, a CSB shall submit a formal plan of correction to the Office of Human Resource Management and Development in the Department within 45 days of receipt of an official report of a review. Minor compliance issues shall be corrected within 45 days of submitting the plan. Action to correct major compliance issues shall be initiated within 45 days and completed within 180 days of submitting the plan, unless the Department grants an extension.

If it is an administrative policy CSB that is a city or county department or agency or is required to adhere to local government human resource management requirements, policies, and procedures or it is the local government department with a policy-advisory CSB, employee complaints regarding a CSB's human resource management practices will be referred back to the local government for appropriate local remedies. In response to complaints that it receives, the Department may conduct a review of the local government's human resource management practices at any time.

- 6. Information Technology Capabilities and Requirements:** CSB shall meet the following requirements.
  - a. Hardware and Software Procurement:** Any hardware and software purchased by a CSB with state or federal funds shall be capable of addressing requirements established by the Department, including communications, compatibility, and network protocols and the reporting requirements in the performance contract. Such procurements may be subject to review and approval by the Office of Information Services and Technology in the Department.
  - b. Operating Systems:** CSBs shall use or have access to operating systems that are compatible with or are able to communicate with the Department's network. A CSB's computer network or system shall be capable of supporting and running the current versions of the Department's Community Automated Reporting System (CARS) software and Community Consumer Submission (CCS) extract software and should be capable of processing and reporting standardized aggregate and discrete data about individuals receiving services, services, and outcomes, provider performance measures, and funds, expenditures, and costs based on documents and requirements listed in the performance contract.
  - c. Electronic Communication:** CSBs shall ensure that their information systems communicate with those used by the Department and that this communication conforms to the security requirements of the Health Insurance Portability and Accountability Act of 1996 (HIPAA). This communication shall provide file and data exchange capabilities for automated routines and access to legally mandated systems via the TCP/IP networking protocol.
  - d. Data Access:** CSBs shall develop and implement or access automated systems that allow for output of fiscal, service, and individual data, taking into consideration the need for appropriate security and confidentiality. Output shall be in a format prescribed by the Department. In addition to regular reports, such data may be used to prepare ad hoc reports on individuals and services and to update Department files using this information. CSBs shall ensure that their information systems meet all applicable state and federal confidentiality, privacy, and security requirements,

particularly concerning the distribution of identifying information, diagnosis, service history, and service use and that their information systems are compliant with HIPAA. Each CSB shall provide to the Office of Community Contracting in the Department the names of staff for whom it has rescinded permission to access the SFTP server. Each CSB also shall provide to the Office of Community Contracting the name, email address, telephone number, and applications that additional staff have been given permission to access; this includes changing the applications for any staff previously granted access to the SFTP server. Each CSB shall keep the list of its staff with permission to access the SFTP server it provided to the Office of Community Contracting current at all times.

## **7. Planning**

- a. General Planning:** The CSB shall participate in collaborative local and regional service and management information systems planning with state facilities, other CSBs, other public and private human services agencies, and the Department, as appropriate. In accordance with § 37.2-504 or § 37.2-605 of the Code of Virginia, the CSB shall provide input into long-range planning activities that are conducted by the Department, including the Comprehensive State Plan required by § 37.2-315 of the Code of Virginia. The CSB shall work with local prevention planning bodies or coalitions composed of representatives of multiple sectors identified by Office of National Drug Control Policy's Drug-Free Communities guidance to develop community-based prevention plans based on assessed needs and resources and submit an annual Community Prevention Plan and Logic Model to the Department by timeframes identified by the Department.
- b. Participation in State Facility Planning Activities:** The CSB shall participate in collaborative planning activities with the Department to the greatest extent possible regarding the future role and structure of the state facilities.

## **8. Forensic Services**

- a.** Upon receipt of a court order pursuant to § 19.2-169.2 of the Code of Virginia, the CSB shall provide or arrange for the provision of services to restore the individual to competency to stand trial. These services shall be delivered in the local or regional jail, juvenile detention center (when a juvenile is being tried as an adult), other location in the community where the individual is currently located, or in another location suitable for the delivery of the restoration services when determined to be appropriate. These services shall include treatment and restoration services, emergency services, assessment services, the provision of medications and medication management services, and other services that may be needed by the individual in order to restore him to competency and to prevent his admission to a state hospital for these services.
- b.** Upon written notification from a state facility that an individual hospitalized for restoration to competency pursuant to § 19.2-169.2 of the Code of Virginia has been restored to competency and is being discharged back to the community, the CSB shall to the greatest extent possible provide or arrange for the provision of services in the local or regional jail, juvenile detention center (when a juvenile is being tried as an adult), other location in the community where the individual is located, or in another location suitable for the delivery of these services to that individual to ensure the maintenance of his psychiatric stability and competency to stand trial. Services shall include treatment and restoration services, emergency services, assessment services,

the provision of medications and medication management services, and other services which may be needed by the individual in order prevent his readmission to a state hospital for these services.

- c. Upon receipt of a court order pursuant to § 16.1-356 of the Code of Virginia, the CSB shall provide or arrange for the provision of a juvenile competency evaluation. Upon receipt of a court order pursuant to § 16.1-357, the CSB shall provide or arrange for the provision of services to restore a juvenile to competency to stand trial through the Department's statewide contract.
- d. Upon receipt of a court order, the CSB shall provide or arrange for the provision of forensic evaluations required by local courts in the community in accordance with State Board Policy 1041.
- e. Forensic evaluations and treatment shall be performed on an outpatient basis unless the results of an outpatient evaluation indicate that hospitalization is necessary. The CSB shall consult with local courts in placement decisions for hospitalization of

individuals with a forensic status based upon evaluation of the individual's clinical condition, need for a secure environment, and other relevant factors. The CSB's staff shall conduct an assessment of risk to provide information to the Commissioner for the determination of whether an individual with a forensic status in need of hospitalization requires placement in a civil facility or a secure facility. The CSB's staff will contact and collaborate with the Forensic Coordinator of the state hospital that serves the CSB or outside of regular business hours any other personnel designated by the state hospital to manage emergency admissions in making this determination. The CSB's assessment shall include those items required prior to admission to a state hospital, per the Continuity of Care Procedures in Appendix A of the CSB Administrative Requirements.

- f. The CSB shall designate a Forensic Admissions Coordinator, a Forensic Evaluation Coordinator, and an NGRI Coordinator to collaborate with the local courts, the forensic staff of state facilities, and the Department. The CSB shall notify the Department's Director of Forensic Services of the name, title, and contact information of these designees and shall inform the Director of any changes in these designations. The CSB shall ensure that designated staff completes the forensic training designated by the Commissioner of the Department as meeting the requirements for completion of forensic evaluations authorized under § 19.2-169.1, § 19.2-169.5, § 19.2-182.2, and § 19.2-182.5 of the Code of Virginia.
- g. The CSB shall provide discharge planning for persons found not guilty by reason of insanity. Pursuant to § 19.2-182.2 through § 19.2 -182.7, and § 19.2-182.11 of the Code of Virginia, the CSB shall provide discharge planning, collaborate with the state facility staff in preparing conditional release plans, implement the court's conditional release orders, and submit written reports to the court on the person's progress and adjustment in the community no less frequently than every six months for acquittees who have been conditionally released to a locality served by the CSB. The CSB should provide to the Department's Director of Forensic Services written monthly reports on the person's progress and adjustment in the community for their first 12 continuous months in the community for acquittees who have been conditionally released to a locality served by the CSB and copies of court orders regarding acquittees on conditional release.

- h. If an individual with a forensic status does not meet the criteria for admission to a state hospital, his psychiatric needs should be addressed in the local jail, prison, detention center, or other correctional facility in collaboration with local treatment providers.
- 9. **Access to Services for Individuals who are Deaf, Hard of Hearing, Late Deafened, or Deafblind:** The CSB should identify and develop a working relationship with the Regional Deaf Services Program and the Regional Deaf Services Coordinator that serve the CSB's service area and collaborate with them on the provision of appropriate and linguistically and culturally competent services, consultation, and referral for individuals who are deaf, hard of hearing, late deafened, or deafblind.

#### 10. Interagency Relationships

- a. Pursuant to the case management requirements of § 37.2-500 or § 37.2-601 of the Code of Virginia, the CSB shall, to the extent practicable, develop and maintain linkages with other community and state agencies and facilities that are needed to assure that individuals it serves are able to access treatment, training, rehabilitative, and habilitative mental health, developmental, or substance abuse services and supports identified in their individualized services plans. The CSB shall comply with § 37.2-504 or § 37.2-605 of the Code of Virginia regarding interagency agreements.
- b. The CSB also shall develop and maintain, in conjunction with the courts having jurisdiction in the cities or counties served by the CSB, cooperative linkages that are needed to carry out the provisions of § 37.2-805 through § 37.2-821 and related sections of the Code of Virginia pertaining to the involuntary admission process.
- c. The CSB shall develop and maintain the necessary linkages, protocols, and interagency agreements to effect the provisions of the Comprehensive Services Act for At-Risk Youth and Families (§ 2.2-5200 through § 2.2-5214 of the Code of Virginia) that relate to services that it provides. Nothing in this provision shall be construed as requiring the CSB to provide services related to this act in the absence of sufficient funds and interagency agreements.

### III. Department Requirements

#### A. State Requirements

- 1. **Information Technology:** The Department shall operate and provide technical assistance and support, to the extent practicable, to the CSB about the Community Automated Reporting System (CARS), the Community Consumer Submission (CCS) software, the FMMS, and the Prevention System referenced in the performance contract and comply with State Board Policies 1030 and 1037. Pursuant to § 37.2-504 and § 37.2-605 of the Code of Virginia, the Department shall implement procedures to protect the confidentiality of data accessed or received in accordance with the performance contract. The Department shall ensure that any software application that it issues to the CSB for reporting purposes associated with the performance contract has been field tested by a reasonable number of CSBs to assure compatibility and functionality with the major IT systems used by CSBs, is operational, and is provided to the CSB sufficiently in advance of reporting deadlines to allow the it to install and run the software application.
- 2. **Planning:** The Department shall conduct long-range planning activities related to state facility and community services, including the preparation and dissemination of the Comprehensive State Plan required by § 37.2-315 of the Code of Virginia.



## Appendix A: Continuity of Care Procedures

**Overarching Responsibility:** Sections 37.2-500 and 37.2-601 of the Code of Virginia and State Board Policy 1035 establish CSBs as the single points of entry into publicly funded mental health, developmental, and substance abuse services. Related to this principle and as required by § 37.2-505 of the Code of Virginia, it is the responsibility of CSBs to assure that individuals receive:

- preadmission screening that confirms the appropriateness of admission to a state hospital or training center (state facilities) or other (non-state) hospital or unit or another intervention and
- discharge planning services, beginning at the time of admission to the state facility, that enable timely discharge from the state facility and appropriate post-discharge, community-based services.

Throughout this Appendix, the term CSB is used to refer to an operating CSB, an administrative policy CSB, the local government department with a policy-advisory CSB, or the behavioral health authority. State hospital is defined in § 37.2-100 of the Code of Virginia as a hospital, psychiatric institute, or other institution operated by the Department that provides care and treatment for persons with mental illness. Non-state hospital is defined in § 37.2-100 as a licensed hospital that provides care and treatment for persons with mental illness. Training center is defined in § 37.2-100 as a facility operated by the Department that provides training, habilitation, or other individually focused supports to persons with intellectual disability.

These Continuity of Care Procedures must be read and implemented in conjunction with the *Collaborative Discharge Protocols for Community Services Boards and State Hospitals – Adult & Geriatric or Child & Adolescent*, incorporated by reference as part of this document and available on the Department's web site at <http://www.dbhds.virginia.gov/professionals-and-service-providers/mental-health-practices-procedures-and-law/protocols-and-procedures>, and the *Admission and Discharge Protocols for Individuals with Intellectual Disabilities*, incorporated by reference as part of this document, and available on the Department's web site at <http://www.dbhds.virginia.gov/library/developmental%20services/ods-admission-discharge-protocol.pdf>. Applicable provisions in those protocols have replaced most treatment team, discharge, and post-discharge activities that were described in earlier versions of these procedures; however a few remain in the procedures. In the event of a conflict between any Continuity of Care Procedures and the protocols, provisions in the protocols shall apply.

### A. State Hospitals

1. An individual must meet the following criteria for admission to a state hospital.
  - a. **Adults:** The individual meets one of the criteria in section A. 1.) below or one or more of the other criteria listed in section A and the criterion in section B:

#### **Section A:**

- 1.) the person has a mental illness and there is a substantial likelihood that, as a result of mental illness, the person will, in the near future,
  - a.) cause serious physical harm to himself or others as evidenced by recent behavior causing, attempting, or threatening harm and other relevant information, if any, or
  - b.) suffer serious harm due to his lack of capacity to protect himself from harm or to provide for his basic human needs<sup>1</sup>; or

<sup>1</sup> Criteria for involuntary admission for inpatient treatment to a facility pursuant to § 37.2-817.C of the Code of Virginia.

- 2.) the person has a condition that requires intensive monitoring of newly prescribed drugs with a high rate of complications or adverse reactions; or

- 3.) the person has a condition that requires intensive monitoring and intervention for toxic effects from therapeutic psychotropic medication and short term community stabilization is not deemed to be appropriate; and

***Section B:***

- 4.) all available less restrictive treatment alternatives to involuntary inpatient treatment that would offer an opportunity for the improvement of the person's condition have been investigated and determined to be inappropriate (§37.2-817.C of the Code of Virginia).
- b. **Children and Adolescents:** Due to a mental illness, the child or adolescent meets one or more of the criteria in section A and both criteria in section B:

***Section A:***

- 1.) presents a serious danger to self or others such that severe or irremediable injury is likely to result, as evidenced by recent acts or threats<sup>2</sup>; or
  - 2.) is experiencing a serious deterioration of his ability to care for himself in a developmentally age-appropriate manner, as evidenced by delusional thinking or significant impairment of functioning in hydration, nutrition, self-protection, or self control<sup>2</sup>; or
- <sup>2</sup> Criteria for parental or involuntary admission to a state hospital.
- 3.) requires monitoring of newly prescribed drugs with a high rate of complications or adverse reactions or monitoring for toxic effects from therapeutic psychotropic medication; and

***Section B:***

- 4.) is in need of inpatient treatment for a mental illness and is likely to benefit from the proposed treatment; and
- 5.) all treatment modalities have been reviewed and inpatient treatment at a state hospital is the least restrictive alternative that meets the minor's needs (§ 16.1-338, §16.1-339, and § 16.1-344 of the Code of Virginia).

The determination of least restrictive alternative should be a joint decision of the case management CSB and the receiving state hospital, with input from the individual receiving services and family members. The CSB must document specific community alternatives considered or attempted and the specific reasons why state hospital placement is the least restrictive setting for the individual at this time.

2. Admission to state hospitals is not appropriate for:
  - a. individuals who have behaviors that are due to medical disorders, neurological disorders (including head injury), or intellectual disability and who do not have a qualifying psychiatric diagnosis or serious emotional disturbance;
  - b. individuals with unstable medical conditions that require detoxification services or other extensive medical services;
  - c. individuals with a diagnosis of dementia, as defined in the Diagnostic and Statistical Manual, unless they also have significant behavioral problems, as determined by qualified state hospital staff;
  - d. individuals with primary diagnoses of adjustment disorder, anti-social personality disorder, or conduct disorder; and

- c. individuals with a primary diagnosis of substance use disorder unless it is a co-occurring disorder with a qualifying psychiatric diagnosis or serious emotional disturbance.
3. In most cases, individuals with severe or profound levels of intellectual disability are not appropriate for admission to a state hospital. However, individuals with a mental illness who are also diagnosed with mild or moderate intellectual disability but are exhibiting signs of acute mental illness may be admitted to a state hospital if they meet the preceding criteria for admission due to their mental illness and have a primary need for mental health services. Once these psychiatric symptoms subside, the person must be reassessed according to AAIDD criteria and must be discharged to an appropriate setting.
4. Individuals with a mental health disorder who are also diagnosed with a co-occurring substance use disorder may be admitted to a state hospital if they meet the preceding criteria for admission.
5. For a forensic admission to a state hospital, an individual must meet the criteria for admission to a state hospital.

#### **B. Training Centers**

1. Admission to a training center for a person with intellectual disability will occur only when all of the following circumstances exist.
  - a. The training center is the least restrictive and most appropriate available placement to meet the individual's treatment and training needs.
  - b. Programs in the community cannot provide the necessary adequate supports and services required by an individual as determined by the CSB, pursuant to § 37.2-505 or § 37.2-606 of the Code of Virginia.
  - c. It has been documented in the person's plan of care that the individual and his or her parents or authorized representative have selected ICF/ID services after being offered a choice between ICF/ID and community ID waiver services and that they agree with placement at a training center.
  - d. The training center director approves the admission to the training center, with the decision of the director being in compliance with State Board regulations that establish the procedure and standards for issuance of such approval, pursuant to § 37.2-806 of the Code of Virginia.
  - e. Documentation is present that the individual meets the AAIDD definition of intellectual disability and level 6 or 7 of the ICF/ID Level of Care.
  - f. The individual demonstrates a need for extensive or pervasive supports and training to perform activities of daily living (ICF/ID Level of Care 6 or 7).
  - g. The individual demonstrates one or more of the following conditions:
    - exhibits challenging behaviors (e.g., behavior patterns that may be manifested in self-injurious behavior, aggression toward others, or behaviors that pose public safety risks),
    - does not have a mental health diagnosis without also having an intellectual disability diagnosis, or
    - is medically fragile (e.g., has a chronic medical condition or requires specialized technological health care procedures or ongoing support to prevent adverse physical consequences).
2. After the training center director approves the admission, the CSB shall initiate the judicial certification process, pursuant to § 37.2-806 of the Code of Virginia.

3. Admission to a training center is not appropriate for obtaining:
  - a. extensive medical services required to treat an unstable medical condition,
  - b. evaluation and program development services, or
  - c. treatment of medical or behavioral problems that can be addressed in the community system of care.
4. Special Circumstances for Respite Care or Emergency Admissions
  - a. Requests for respite care admissions to training centers must meet the criteria for admission to a training center and the regulations adopted by the State Board. The admission must be based on the need for a temporary placement and will not exceed statutory time limits (21 consecutive days or a maximum of 75 days in a calendar year) set forth in § 37.2-807 of the Code of Virginia.
  - b. Emergency admissions to training centers must meet the criteria for admission to a training center and must:
    - be based on specific, current circumstances that threaten the individual's health or safety (e.g., unexpected absence or loss of the person's caretaker),
    - require that alternate care arrangements be made immediately to protect the individual, and
    - not exceed statutory time limits (21 consecutive days or a maximum of 75 days in a calendar year) set forth in § 37.2-807 of the Code of Virginia.
  - c. No person shall be admitted to a training center for a respite admission or an emergency admission unless the CSB responsible for the person's care, normally the case management CSB, has agreed in writing to begin serving the person on the day he or she is discharged from the training center, if that is less than 21 days after his or her admission, or no later than 21 days after his or her admission.

## **II. Preadmission Screening Services and Assessments Required Prior to State Facility Admission**

### **A. CSB Preadmission Screening Requirements**

1. CSBs will perform preadmission screening assessments on all individuals for whom admission, or readmission if the person is already in the hospital, to a state hospital is sought. A qualified CSB employee or designee shall conduct a comprehensive face-to-face evaluation of each individual who is being screened for admission to a state hospital. All CSB preadmission screeners for admission to state hospitals shall meet the qualifications for preadmission screeners as required in § 37.2-809 of the Code of Virginia. The preadmission screener shall forward a completed DBHDS MH Preadmission Screening Form to the receiving state hospital before the individual's arrival.
2. CSBs should ensure that employees or designees who perform preadmission screenings to a state hospital have expertise in the diagnosis and treatment of mental illnesses and consult, as appropriate, with professionals who have expertise in working with and evaluating persons with intellectual disability or substance use disorders or children and adolescents with serious emotional disturbance.
3. CSBs should ensure that employees or designees who perform preadmission screenings for admission to a training center have expertise in the diagnosis and treatment of persons with intellectual disability and consult, as appropriate, with professionals who have expertise in working with and evaluating individuals with mental health or substance use disorders.
4. Medical Screening and Medical Assessment: When it arranges for the treatment of individuals in state hospitals or local inpatient psychiatric facilities or psychiatric units of hospitals, the CSB shall assure that its staff follows the *Medical Screening and Medical*

*Assessment Guidance*, Second Edition, effective April 1, 2014. CSB staff shall coordinate care with emergency rooms, emergency room physicians, and other health and behavioral health providers to ensure the provision of timely and effective medical screening and medical assessment to promote the health and safety of and continuity of care for individuals receiving services.

5. Results of the CSB's comprehensive face-to-face evaluation of each individual who is being screened for admission to a state facility should be forwarded to the receiving state facility for its review before the person's arrival at the facility. This evaluation should include the CSB assessments listed in the following section.
6. When an individual who has not been screened for admission by a CSB arrives at a state facility, he should be screened in accordance with procedures negotiated by the state facility and the CSBs that it serves. State facility staff will not perform preadmission screening assessments.
7. Preadmission screening CSBs shall notify the state hospital immediately in cases in which the CSB preadmission screener did not recommend admission but the individual has been judicially admitted to the state hospital.
8. The case management CSB or its designee shall conduct preadmission screening assessments for the readmission of any individuals it serves in a state hospital.

**B. Assessments Required Prior to Admission to a State Hospital:** Section 37.2-815 of the Code of Virginia requires an examination, which consists of items 1 and 2 below and is conducted by an independent examiner, of the person who is the subject of a civil commitment hearing. The same Code section permits CSB staff, with certain limitations, to perform these examinations. The same items are required for a voluntary admission, but they do not have to be performed by an examiner referenced in § 37.2-815.

1. If there is reason to suspect the presence of a substance use disorder and available information is not adequate to make a determination of its existence, a substance use disorder screening, including completion of:
  - a. a comprehensive drug screen including blood alcohol concentration (BAC), with the individual's consent, and
  - b. the Substance Abuse Subtle Screening Inventory (SASSI) or Simple Screening Instrument (SSI) for adults or the adolescent version of SASSI for adolescents age 12 and older. The SASSI will not be required for youth under age 12.
2. A clinical assessment that includes:
  - a. a face-to-face interview or one conducted via two-way electronic video and audio communication system, including arrangements for translation or interpreter services for individuals when necessary;
  - b. clinical assessment information, as available, including documentation of:
    - a mental status examination, including the presence of a mental illness and a differential diagnosis of an intellectual disability,
    - determination of current use of psychotropic and other medications, including dosing requirements,
    - a medical and psychiatric history,
    - a substance use, dependence, or abuse determination, and
    - a determination of the likelihood that, as a result of mental illness, the person will, in the near future, suffer serious harm due to his lack of capacity to protect himself from harm or to provide for his basic human needs;



- c. a risk assessment that includes an evaluation of the likelihood that, as a result of mental illness, the person will, in the near future, cause serious physical harm to himself or others as evidenced by recent behavior causing, attempting, or threatening harm and other relevant information, if any;
  - d. an assessment of the person's capacity to consent to treatment, including his ability to:
    - maintain and communicate choice,
    - understand relevant information, and
    - comprehend the situation and its consequences;
  - e. a review of the temporary detention facility's records for the person, including the treating physician's evaluation, any collateral information, reports of any laboratory or toxicology tests conducted, and all admission forms and nurses' notes ;
  - f. a discussion of treatment preferences expressed by the person or contained in a document provided by the person in support of recovery;
  - g. an assessment of alternatives to involuntary inpatient treatment; and
  - h. recommendations for the placement, care, and treatment of the person.
3. To the extent practicable, a medical assessment performed by an available medical professional (i.e., an M.D. or a nurse practitioner) at, for example, the CSB or an emergency room. Elements of a medical assessment include a physical examination and a medical screening of:
- a. known medical diseases or other disabilities;
  - b. previous psychiatric and medical hospitalizations;
  - c. medications;
  - d. current use of alcohol and illicit drugs, using blood alcohol concentrations and the results of the comprehensive drug screen; and
  - e. physical symptoms that may suggest a medical problem.
4. If there is reason to suspect the presence of intellectual disability, to the extent practicable, a psychological assessment that reflects the person's current level of functioning based on the current AAIDD criteria should be performed if a recent psychological assessment is not already available to the preadmission screener.
5. When a state hospital accepts a direct admission, the Medical Officer on Duty should be contacted prior to admission to determine which of these assessments are needed. The state hospital shall communicate the results its decision in writing to the CSB within four hours.

#### **C. CSB Assessments Required Prior to Admission to a Training Center**

1. For certified admission to a training center, a completed preadmission screening report that shall include the following information:
  - a. A completed preadmission screening report, which shall include at a minimum:
    - i. an application for services;
    - ii. a medical history indicating the presence of any current medical problems as well as the presence of any known communicable disease. In all cases, the application shall include any currently prescribed medications as well as any known medication allergies;



- iii. a social history and current housing or living arrangements; and
    - iv. a psychological evaluation that reflects the individual's current functioning.
  - b. The preadmission screening report shall include the following information, as appropriate:
    - i. a current individualized education plan for school-aged individuals,
    - ii. a vocational assessment for adults,
    - iii. a completed discharge plan outlining the services to be provided upon discharge and anticipated date of discharge, and
    - iv. a statement from the individual, family member, or authorized representative requesting services in the training center.
  - c. If there is reason to suspect the presence of a substance use disorder (e.g., current or past substance dependence or addiction) and available information is not adequate to make a determination of its existence, a substance use disorder screening, including completion of:
    - i. a comprehensive drug screen including blood alcohol concentration (BAC), with the individual's consent, and
    - ii. the Substance Abuse Subtle Screening Inventory (SASSI) or Simple Screening Instrument (SSI) for adults or the adolescent version of SASSI for adolescents age 12 and older. The SASSI will not be required for youth under age 12.
  - d. When indicated, an assessment of the individual's mental status to determine the presence of a co-occurring mental illness. This mental status assessment should include:
    - i. a face-to-face interview, including arrangements for translation or interpreter services for individuals;
    - ii. clinical assessment information, as available, including documentation of the following:
      - a mental status examination,
      - current psychotropic and other medications, including dosing requirements,
      - medical and psychiatric history,
      - substance use or abuse,
      - information and recommendations of other current service providers (e.g., treating physicians) and appropriate significant persons (e.g., spouse, parents), and
      - ability to care for self; and
    - iii. assessment of capacity to consent to treatment, including an evaluation of such processes as the ability to:
      - maintain and communicate choice,
      - understand relevant information, and
      - understand the situation and its consequences.
2. For respite admissions to a training center, information requirements for the admission package are limited, but must include:
- a. an application for services;

- b. a medical history indicating the presence of any current medical problems as well as the presence of any known communicable disease. In all cases, the application shall include any currently prescribed medications as well as any known medication allergies;
  - c. a social history and current status;
  - d. a psychological evaluation that reflects the individual's current functioning.
  - e. a current individualized education plan for school-aged individuals unless the training center director or designee determines that sufficient information as to the individual's abilities and needs is included in other reports received;
  - f. a vocational assessment for adults unless the training center director or designee determines that sufficient information as to the individual's abilities and needs is included in other reports received;
  - g. a statement from the CSB that respite care is not available in the community for the individual;
  - h. a statement from the CSB that the appropriate arrangements are being made to return the individual to the CSB within the time frame required under the regulations for respite admissions to training centers; and
  - i. a statement from the individual, family member, or authorized representative specifically requesting services in the training center.
3. For emergency admissions to a training center, information required for a respite admission is required; however, if the information is not available, this requirement may be waived temporarily only if arrangements have been made for receipt of the required information within 48 hours of the emergency admission.

#### **D. Disposition of Individuals with Acute or Unstable Medical Conditions**

- 1. Individuals who are experiencing acute or unstable medical conditions will not receive medical clearance for admission to a state hospital or training center. Examples of these conditions include: untreated acute medical conditions requiring surgery or other immediate treatment, acute pneumonia, respiratory distress, acute renal failure or chronic renal failure requiring dialysis, unstable diabetes, symptoms of alcohol or drug toxicity, and erratic consciousness of unknown origin.
- 2. CSBs should have procedures in place to divert individuals who do not meet state facility admission criteria due to medical conditions to appropriate medical facilities.

#### **E. Procedures for Dealing with Inappropriate Judicial Admissions to State Facilities**

- 1. The individual's case management CSB shall immediately formulate and implement a discharge plan, as required by § 37.2-505 or § 37.2-606 of the Code of Virginia, if a state hospital determines that an individual who has been judicially admitted to the hospital is inappropriate for admission (e.g., the person does not meet the admission criteria listed in these procedures).
- 2. CSBs will be notified of the numbers of their admissions that state hospitals have determined do not meet the admission criteria in these procedures. State hospitals will report this information to the Department and the affected CSBs at least quarterly in a format prescribed by the Department. This information will be discussed during the bi-monthly utilization review and utilization management process developed and implemented by CSBs and state hospitals, which is described in the next section. This will include inappropriate jail transfers for evaluation and treatment.

### **III. CSB Participation on Interdisciplinary Treatment Teams and Coordination with State Facility in Service Planning**

Refer to the current applicable *Discharge Protocols* for other CSB requirements related to participation in treatment planning while the individual is in the state facility.

- A. Staff of the case management CSBs shall participate in readmission hearings at state hospitals by attending the hearings or participating in teleconferences or video conferences. State hospital staff will not represent CSBs at readmission hearings.
- B. CSBs and state facilities shall develop and implement a bi-monthly utilization review and utilization management process to discuss and address issues related to the CSB's utilization of state facility services. This includes reviewing the status and lengths of stay of individuals served by the CSB and developing and implementing actions to address census management issues.

### **IV. CSB Discharge Planning Responsibilities**

Refer to the current applicable *Discharge Protocols* for other CSB requirements related to discharge planning responsibilities.

- A. State facilities shall provide or arrange transportation, to the extent practicable, for individuals for discharge-related activities. Transportation includes travel from state facilities to community settings for trial visits and back to state facilities after such visits. The case management CSB shall provide or arrange transportation, to the extent practicable, for an individual whose admission to a state facility has been determined to be inappropriate, resulting in the person's discharge in accordance with § 37.2-837, § 37.2-505, § 37.2-606, or § 16.1-346.B of the Code of Virginia, and shall provide or arrange transportation for individuals when they are discharged from state facilities.

### **V. Discharge Criteria and Resolution of Disagreements about an Individual's Readiness for Discharge**

- A. Each state facility and the CSBs that it serves will use the following discharge criteria.

#### **1. State Hospitals**

- a. **Adults:** An adult will be discharged from a state hospital when hospitalization is no longer clinically appropriate. The interdisciplinary treatment team will use all of the following criteria to determine an individual's readiness for discharge:
  - 1.) the individual has a mental illness but there is not a substantial likelihood that, as a result of mental illness, the person will, in the near future,
    - a.) cause serious physical harm to himself or others as evidenced by recent behavior causing, attempting, or threatening harm and other relevant information, if any, or
    - b.) suffer serious harm due to his lack of capacity to protect himself from harm or to provide for his basic human needs; and
  - 2.) inpatient treatment goals, as documented in the person's individualized treatment plan, have been addressed sufficiently, and
  - 3.) the individual is free from serious adverse reactions to or complications from medications and is medically stable.
- b. **Children and Adolescents:** A child or an adolescent will be discharged from a state hospital when he or she no longer meets the criteria for inpatient care. The interdisciplinary treatment team will use the following criteria to determine an individual's readiness for discharge:

- 1.) the minor no longer presents a serious danger to self or others, and
- 2.) the minor is able to care for himself in a developmentally appropriate manner; and, in addition,
- 3.) the minor, if he is on psychotropic medication, is free from serious adverse effects or complications from the medications and is medically stable;

OR when any of the following apply:

- 4.) the minor is unlikely to benefit from further acute inpatient psychiatric treatment;
- 5.) the minor has stabilized to the extent that inpatient psychiatric treatment in a state hospital is no longer the least restrictive treatment intervention; or
- 6.) if the minor is a voluntary admission, the legal guardian or the minor, if he is age 14 or older, has withdrawn consent to admission (§ 16.1-338.D of the Code of Virginia),

unless continued hospitalization is authorized under § 16.1-339, § 16.1-340, or § 16.1-345 of the Code of Virginia within 48 hours of the withdrawal of consent to admission.

2. **Training Centers:** Any individual is ready for discharge from a training center when the supports that are necessary to meet his or her needs are available in the community of his or her choice.

- B. The state facility shall provide assessment information that is equivalent to the information specified in sections II.B. or II.C. (except for items B.3.a. and g. and C.3.a. and h.) of these procedures to the CSB when an individual is being considered for discharge to the community.
- C. The CSB shall be notified when the state facility interdisciplinary treatment team determines that an individual admitted to a state facility does not meet the admission criteria in these procedures and needs to be discharged in accordance with § 37.2-837 and § 37.2-505 or § 37.2-606 of the Code of Virginia.
- D. A disagreement as to whether an individual is ready for discharge from a state facility is solely a clinically-based disagreement between the state facility treatment team and the CSB that is responsible for the individual's care in the community. A dispute may occur when either:
  1. the treatment team determines that the individual is clinically ready for discharge and the CSB disagrees; or
  2. the CSB determines that an individual is clinically ready for discharge and the treatment team disagrees.

See the applicable Discharge Protocols for further guidance about resolving such disagreements.

## **VI. CSB Post-discharge Services**

Refer to the current applicable *Discharge Protocols* for other CSB requirements related to post-discharge services responsibilities.

- A. Individuals discharged from a training center who have missed their first appointment with a CSB case manager or in a day support program shall be contacted by the case management CSB within 14 calendar days.

- B. To reduce readmissions to training centers, CSBs shall, to the extent practicable, establish a developmental crisis stabilization/behavior management capability to work with individuals who have been discharged from a training center who are having difficulty adjusting to their new environments.

## **Appendix B: Federal Substance Abuse Prevention and Treatment Block Grant Requirements**

### **Certification Regarding Environmental Tobacco Smoke: Substance Abuse Prevention and Treatment (SAPT) Block Grant and Community Mental Health Services Block Grant**

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by federal programs either directly or through state or local governments, by federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are constructed, operated, or maintained with such federal funds. The law does not apply to children's services provided in private residences; portions of facilities used for inpatient drug or alcohol treatment; CSBs whose sole source of applicable federal funds is Medicare or Medicaid; or facilities where WIC coupons are redeemed. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing a performance contract, a CSB certifies that it will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services to children as defined by the Act.

A CSB agrees that it will require that the language of this certification be included in any subawards that contain provisions for children's services and that all subrecipients shall certify accordingly.

### **Special Federal Substance Abuse Prevention and Treatment Block Grant (CFDA 93.959) Compliance Requirements**

Treatment services provided with federal Substance Abuse Prevention and Treatment Block Grant (SAPT) funds must satisfy federally mandated requirements. SAPT funds must be treated as the payer of last resort only for providing services to pregnant women and women with dependent children and TB and HIV services [Source: 45 CFR § 96.137]. Relevant requirements of the Substance Abuse Prevention and Treatment Block Grants; Interim Final Rule (45 CFR Part 96) are summarized below. As subgrantees of the Department, the CSB and its subcontractors under this performance contract are responsible for compliance with these requirements. Failure to address these requirements may jeopardize all SAPT block grant funds awarded to the CSB.

1. **Meet Set-Aside Requirements:** Federal law requires that the state expend its allocation to address established minimum set-asides. In order to address these set-asides, the Department shall designate its awards to the CSB in specified categories, which may include:
  - a. primary prevention,
  - b. treatment services for substance use disorders, and
  - c. services to pregnant women and women with dependent children.

The CSB must utilize these funds for the purposes for which they are indicated in the performance contract and the letter of notification. The CSB must provide documentation in its semi-annual (2<sup>nd</sup> quarter) and annual (4<sup>th</sup> quarter) performance contract reports of expenditures of the set-asides to the Office of Substance Abuse Services and the Division of Finance and Administration in the Department to ensure that the state meets its set-aside requirements.

[Sources: 45 CFR § 96.124 and 45 CFR § 96.128]

2. **Primary Prevention Services:** Federal law requires that funds designated for primary prevention services be directed at individuals not identified to be in need of treatment. These prevention set-aside funds cannot be used to support services, such as case management, outpatient, day support, early intervention, or assessment and evaluation services for individuals identified as needing screening or treatment services. This requirement should be stated in the CSB Prevention System Operational Guidelines document. Federal law also requires that a variety of strategies be utilized, to include the following strategies.
- a. *Information Dissemination:* This strategy provides awareness and knowledge of the nature and extent of alcohol, tobacco, and drug use, abuse, and addiction and their effects on individuals, families, and communities. It also provides knowledge and awareness of available prevention programs and services. Information dissemination is characterized by one-way communication from the source to the audience, with limited contact between the two. Examples of activities conducted and methods used for this strategy include:
    - 1) clearinghouse and information resource center(s),
    - 2) resource directories,
    - 3) media campaigns,
    - 4) brochures,
    - 5) radio and TV public service announcements,
    - 6) speaking engagements,
    - 7) health fairs and health promotion, and
    - 8) information lines.
  - b. *Education:* This strategy involves two-way communication and is distinguished from the information dissemination strategy by the fact that interaction between the educator or facilitator and the participants is the basis of its activities. Activities under this strategy aim to affect critical life and social skills, including decision-making, refusal skills, critical analysis (e.g. of media messages), and systematic judgment abilities. Examples of activities conducted and methods used for this strategy include:
    - 1) classroom and small group sessions (all ages),
    - 2) parenting and family management classes,
    - 3) peer leader and helper programs,
    - 4) education programs for youth groups, and
    - 5) children of substance abusers groups.
  - c. *Alternatives:* This strategy provides for the participation of target populations in activities that exclude alcohol, tobacco, and other drug use. The assumption is that constructive and healthy activities offset the attraction to, or otherwise meet the needs usually filled by, alcohol, tobacco, and other drugs and would, therefore, minimize or obviate resort to the latter. Examples of activities conducted and methods used for this strategy include:
    - 1) drug free dances and parties,
    - 2) youth and adult leadership activities,
    - 3) community drop-in centers, and
    - 4) community-service activities.
  - d. *Problem Identification and Referral:* This strategy aims at identification of those who have indulged in illegal or age-inappropriate use of tobacco or alcohol and those persons who have indulged in the first use of illicit drugs in order to assess if their behavior can be reversed through education. It should be noted, however, that this strategy does not include

any activity designed to determine if a person is in need of treatment. Examples of activities conducted and methods used for this strategy include:

- 1) employee assistance programs,
- 2) student assistance programs, and
- 3) driving while under the influence and driving while intoxicated programs.



e. *Community-Based Process*: This strategy aims to enhance the ability of the community to provide prevention and treatment services for alcohol, tobacco, and drug abuse disorders more effectively. Activities in this strategy include organizing, planning, enhancing efficiency and effectiveness of services implementation, inter-agency collaboration, coalition building, and networking. Examples of activities conducted and methods used for this strategy include:

- 1) community and volunteer training, e.g., neighborhood action training, training of key people in the system, staff and officials training;
- 2) systemic planning;
- 3) multi-agency coordination and collaboration;
- 4) accessing services and funding; and
- 5) community team-building.

f. *Environmental*: This strategy establishes or changes written and unwritten community standards, codes, and attitudes, thereby influencing the incidence and prevalence of the abuse of alcohol, tobacco, and other drugs used in the general population. This strategy is divided into two subcategories to permit distinction between activities that center on legal and regulatory initiatives and those that relate to the service and action-oriented initiatives. Examples of activities conducted and methods used for this strategy include:

- 1) promoting the establishment and review of alcohol, tobacco, and drug use policies in schools;
- 2) technical assistance to communities to maximize local enforcement procedures affecting the availability and distribution of alcohol, tobacco, and other drugs;
- 3) modifying alcohol and tobacco advertising practices; and
- 3) product pricing strategies.

[Source: 45 CFR § 96.125]

3. **Services to Pregnant Women and Women with Dependent Children, Including Women who are Attempting to Regain Custody of their Children, Except in Cases where Parental Rights have been Terminated**: Federal law requires that funds allocated to the CSB under this set-aside must support, at a minimum, the following services, either directly or by a written memorandum of understanding:

- a. primary medical care for women, including referral for prenatal care, and child care while such women are receiving this care;
- b. primary pediatric care, including immunization for their children;
- c. gender-specific substance abuse treatment and other therapeutic interventions for women that may address issues of relationships, sexual and physical abuse, and parenting and child care while the women are receiving these services;
- d. therapeutic interventions for children in custody of women in treatment that may, among other things, address their developmental needs and their issues of sexual and physical abuse and neglect; and
- e. sufficient case management and transportation to ensure that women and their children have access to services provided by paragraphs 2.a-d.

In addition to complying with the requirements described above, the CSB shall:

- a. treat the family as a unit and, therefore, admit both women and their children into treatment services, if appropriate [Source: 45 CFR § 96.124(e)];
- b. report to the Department when it has insufficient capacity to provide treatment to the woman and make available interim services, including a referral for prenatal care, within 48 hours of the time the woman initially seeks services [Source: 45 CFR § 96.131]; and

- c. publicize the availability and priority of treatment for pregnant women [Source: 45 CFR § 96.131].
- 4. **Preference in Admission:** The CSB must give preference in admission to pregnant women who seek or are referred for and would benefit from SAPT Block Grant-funded treatment services. The CSB must give admission preference to individuals in the following order:
  - a. pregnant injecting drug users,
  - b. other pregnant substance abusers,
  - c. other injecting drug users, and
  - d. all other individuals.[Source: 45 CFR § 96.128]
- 5. **Services for persons at risk of HIV/AIDS:** Virginia is no longer considered a designated state under these regulations and is no longer required to spend five percent of the federal SAPT Block Grant on HIV Early Intervention Services (EIS). Further, Virginia is prohibited from spending federal funds on HIV EIS. Consequently, neither the Department nor the CSB may spend federal SAPT Block Grant funds for these services. However, if the CSB has an HIV rate of 10 percent or more and wishes to continue its HIV EIS during the term of this contract, it may use state general or local funds that are available to it for this purpose. If the CSB uses state general funds for HIV EIS, those funds will become restricted for that purpose, and the CSB must meet the same requirements as the federal criteria for HIV EIS activities. In any event, the CSB should determine if individuals are engaging in high risk behaviors for HIV infection and encourage them to contact their local health departments for HIV testing and preventative supplies.
- 6. **Interim Services:** Federal law requires that the CSB, if it receives any Federal Block Grant funds for operating a program of treatment for substance addiction or abuse, either directly or through arrangements with other public or private non-profit organizations, routinely make available services for persons who have sought admission to a substance abuse treatment program yet, due to lack of capacity in the program, have not been admitted to the program. While awaiting admission to the program, these individuals must be provided, at a minimum, with certain interim services, including counseling and education about HIV and tuberculosis (TB). Interim services means services that are provided until an individual is admitted to a substance abuse treatment program. The purposes of such interim services are to reduce the adverse health effects of substance abuse, promote the health of the individual, and reduce the risk of transmission of disease.
  - a. For pregnant women, interim services also include counseling about the effects of alcohol and drug abuse on the fetus and referral for prenatal care. [Source: 45 CFR § 96.121, Definitions]
  - b. At a minimum, interim services must include the following:
    - 1) counseling and education about HIV and tuberculosis (TB),
    - 2) the risks of needle sharing, the risks of transmission to sexual partners and infants, and
    - 3) the steps that can be taken to ensure the HIV and TB transmission does not occur and include referral for HIV or TB treatment services, if necessary.[Source: 45 CFR §§ 96.121 and 96.126]
- 7. **Services for Individuals with Intravenous Drug Use:** If the CSB offers a program that treats individuals for intravenous drug abuse, it must:
  - a. provide notice to the Department within seven days when the program reaches 90 percent of capacity;
  - b. admit each individual who requests and is in need of treatment for intravenous drug abuse not later than:

- 1) 14 days after making the request, or
- 2) 120 days after making the request if the program
  - has no capacity to admit the person on the date of the request, and
  - within 48 hours of the request makes interim services as defined in 45 CFR § 96.126 available until the individual is admitted to the program;
- c. maintain an active waiting list that includes a unique identifier for each injecting drug abuser seeking treatment, including individuals receiving interim services while awaiting admission;
- d. have a mechanism in place that enables the program to:
  - 1) maintain contact with individuals awaiting admission, and
  - 2) admit or transfer individuals on the waiting list at the earliest possible time to an appropriate treatment program within a reasonable geographic area;
- e. take individuals awaiting treatment off the waiting list only when one of the following conditions exists:
  - 1) such persons cannot be located for admission, or
  - 2) such persons refuse treatment; and
- f. encourage individuals in need of treatment for intravenous drug use to undergo such treatment, using outreach methods that are scientifically sound and that can reasonably be expected to be effective; such outreach methods include:
  - 1) selecting, training, and supervising outreach workers;
  - 2) contacting, communicating, and following-up with high risk substance abusers, their associates, and neighborhood residents, within the constraints of federal and state confidentiality requirements, including 42 CFR Part 2;
  - 3) promoting awareness among injecting drug users about the relationship between injecting drug abuse and communicable diseases, such as HIV;
  - 4) recommending steps that can be taken to ensure that HIV transmission does not occur; and
  - 5) encouraging entry into treatment.

[Sources: 45 CFR §§ 96.121 and 96.126]

#### **8. Tuberculosis (TB) Services:**

- a. Federal law requires that the CSB, if it receives any Federal Block Grant funds for operating a program of treatment for substance addiction or abuse, either directly or through arrangements with other public or private non-profit organizations, routinely make available the following tuberculosis services to each individual receiving treatment for substance abuse [45 CFR § 96.121 (Definitions)]:
  - 1) counseling individuals with respect to tuberculosis,
  - 2) testing to determine whether the individual has been infected with mycobacteria tuberculosis to identify the appropriate form of treatment for the person, and
  - 3) providing for or referring the individuals infected with mycobacteria tuberculosis for appropriate medical evaluation and treatment.
- b. The CSB must follow the protocols established by the Department and the Department of Health and distributed by the Department of Health for screening for, detecting, and providing access to treatment for tuberculosis.
- c. All individuals with active TB shall be reported to the appropriate state official (the Virginia Department of Health, Division of TB Control), as required by state law and in accordance with federal and state confidentiality requirements, including 42 CFR Part 2.
- d. The CSB shall:
  - 1) establish mechanisms to ensure that individuals receive such services, and
  - 2) refer individuals who are denied admission due to lack of service capacity to other providers of TB services.

[Source: 45 CFR § 96.127]

## **9. Other Requirements**

- a. The CSB shall make available continuing education about treatment services and prevention activities to employees in SAPT Block Grant-funded treatment and prevention programs, practices, and strategies. The CSB shall ensure that the prevention director or manager and full time prevention staff are trained in the current version of the Substance Abuse Prevention Skills Training (SAPST) to develop core knowledge and competencies for the implementation of the Strategic Prevention Framework. The CSB shall ensure that any other staff supervising prevention staff has completed the current version of the SAPST so that he or she has the capacity to understand fully the requirements for implementation of the Strategic Prevention Framework (SPF). The CSB shall report staff time in the Social Solutions Efforts to Outcomes (ETO) Prevention Data System for any staff supported in full or in part by SAPT Block Grant Prevention set-aside funds.
- b. The CSB shall develop and implement a Prevention System Operating Guidance Document that contains the key elements outlined in the Department's Prevention System Operating Guidance Document template available at <http://www.virginiapreventionworks.org>.
- c. The CSB shall implement and maintain a system to protect individual services records maintained by SAPT Block Grant-funded services from inappropriate disclosures. This system shall comply with applicable federal and state laws and regulations, including 42 CFR, and provide for employee education about the confidentiality requirements and the fact that disciplinary action may be taken for inappropriate disclosures. [Source: 45 CFR § 96.132]

10. **Faith-Based Service Providers:** In awarding contracts for substance abuse treatment, prevention, or support services, the CSB shall consider bids from faith-based organizations on the same competitive basis as bids from other non-profit organizations. Any contract with a faith-based organization shall stipulate compliance with the provisions of 42 CFR Parts 54 and 54a and 45 CFR Parts 96, 260, and 1050. Funding awarded through such contracts shall not be used for inherently religious activities, such as worship, religious instruction, or proselytizing. Such organizations are exempt from the requirements of Title VII of the Civil Rights Act regarding employment discrimination based on religion. However, such organizations are not exempt from other provisions of Title VII or from other statutory or regulatory prohibitions against employment discrimination based on disability or age. These organizations are subject to the same licensing and human rights regulations as other providers of substance abuse services. The CSB shall be responsible for assuring that the faith-based organization complies with the provisions described in these sections. The CSB shall provide individuals referred to services provided by a faith-based organization with notice of their right to services from an alternative provider. The CSB shall notify the Office of Substance Abuse Services in the Department each time such a referral is required.

11. **Prevention Services Addressing Youth Tobacco Use, Retail Tobacco Access, and Underage Drinking:** The CSB shall select and implement evidence-based programs, practices, and strategies that target youth tobacco use, retail access, and underage drinking based on prevalence rates of youth tobacco and alcohol use that are above the state average; youth retail access rates above the state average, and age of first use for tobacco and alcohol use that fall below state rates based on the CSB's service area. All activities shall be placed into the Social Solutions Efforts to Outcomes (ETO) Prevention Data System.

[Sources: 42 USC 300x-26 and 45 CFR § 96.130]

12. **Theoretical Frameworks for Evidence-Based Programs, Practices, and Strategies:** The CSB shall utilize the Institute of Medicine model to identify target populations based on levels of risk - universal, selective, and indicated. Substance abuse prevention services may not be delivered to persons who have substance use disorders in an effort to prevent continued

substance use. The CSB shall utilize the six CSAP evidenced-based strategies: information dissemination, education and skill building, alternatives, problem identification and referral, community-based process, and environmental approaches. Seventy-five percent SAPT Block grant prevention services administered shall be included in a federal list or registry of evidence-based programs, practices, and strategies interventions. A minimum of 25 percent of prevention services shall be environmental strategies. Of the six CSAP strategies, a minimum of 25 percent of SAPT block grant-funded prevention services shall be the community-based process and coalition strategy and 25 percent shall be environmental strategies. [Source: 45 CFR § 96.125]

## **Appendix C: Unspent Balances Principles and Procedures**

Unspent balances means amounts of unrestricted and restricted state general funds, hereafter referred to as state funds unless clarity requires more specificity, disbursed to CSBs pursuant to 790 Grants to Localities in the current Appropriation Act that remain unexpended after the end of the fiscal year in which they were disbursed by the Department.

### **Unspent Balances Principles and Procedures**

- 1. Applicability:** These principles and procedures apply equally to all CSBs. Implementation of some details of these principles and procedures may need to vary by type of CSB, but the overall framework should apply consistently. For example, given the administrative and financial relationships between some administrative policy CSBs or the local government department with an advisory CSB and their local governments, there may be a need to modify the application of some principles or procedures to accommodate those relationships. These principles and procedures shall apply to all unspent balances of state funds present in a CSB's accounts and reflected in its financial management system.
- 2. CSB Allocations of State Funds not Affected by Amounts of Unspent Balances:** Given provisions in State Board Policy 6005 and § 37.2-509 or § 37.2-611 of the Code of Virginia, the Department shall allocate funds in Grants to Localities of the Appropriation Act without applying estimated year-end balances of unspent state funds to the next year's awards to CSBs.
- 3. Calculation of Balances:** In order to calculate the correct amounts of unspent state fund balances, the Department shall continue to calculate unspent balances for all types of funds sources, except for federal grants. Balances will be determined for restricted and unrestricted state funds, local matching funds, and fees, based on the end of the fiscal year Community Automated Reporting System (CARS) reports submitted by all CSBs no later than the deadline in Exhibit E of the performance contract for the preceding state fiscal year. The Department will continue to communicate information about individual balances to each CSB.
- 4. Reserve Funds:** A CSB shall place all unspent balances of unrestricted and restricted state funds that it has accumulated from previous fiscal years in a separate reserve or contingency fund. The CSB shall use this reserve fund only for mental health, developmental, and substance abuse services purposes and as specified in these principles and procedures.

In the case of a CSB reporting under the Governmental Health Care Enterprise accounting standards, unspent balances of unrestricted or restricted state funds would be deferred to the following fiscal year and not reported as income in the year from which the income was deferred. These deferrals would be reported as balances in CARS reports submitted by the CSB. Deferred state funds would continue to be deferred until spent for services in the performance contract or until the end of the biennium in which they were appropriated. When these balances are spent, they would be reflected as state retained earnings in the end of the fiscal year CARS reports. However, balances of unexpended state funds must be reflected in the net assets part of the CSB's audit report.



Reserve or contingency funds must not be established using current fiscal year funds, which are appropriated, granted, and disbursed for the provision of services in that fiscal year. This is particularly relevant for funds earmarked or restricted by funding sources such as the General Assembly, since these funds cannot be used for another purpose. Transferring current fiscal year state funds into a reserve or contingency fund or otherwise intentionally not expending them solely for the purpose of creating or increasing a reserve or contingency fund is a violation of the legislative intent of the Appropriation Act and is not acceptable.

5. **Maintenance of Effort:** Pursuant to State Board Policy 6005 and based on the Appropriation Act prohibition against using state funds to supplant funds provided by local governments for existing services, there should be no reduction of local matching funds as a result of a CSB's retention of any balances of unspent state funds.
6. **Size of Reserve Funds:** The maximum acceptable amount of unspent state fund balances that a CSB may accumulate in a reserve fund or otherwise is equal to the amount of all state funds received from the Department during the current fiscal year. If this amount of all state funds is less than a total amount of state funds received by the CSB during any one of the preceding five fiscal years, that larger amount shall constitute the acceptable maximum amount of unspent state fund balances that may be accumulated in a reserve account. If a CSB has accumulated more than this amount, it must expend enough of those reserve funds on allowable uses for mental health, developmental, or substance abuse services purposes to reduce the amount of accumulated state fund balances to less than the amount of all state funds received from the Department during the current fiscal year.

In calculating the amount of acceptable accumulated state fund balances, amounts of long term capital obligations incurred by a CSB and long term liabilities (e.g., compensated absences) assumed by a CSB shall be excluded from the calculation. If a CSB has a plan approved by its CSB board to reserve a portion of accumulated balances toward an identified future capital expense, the reserved amounts of state funds shall be excluded from the maximum acceptable amount of unspent state fund balances.

7. **Unspent Balances for Regional Programs:** While all unspent balances exist in CSB financial management systems, unspent balances for a regional program may be handled by the CSBs participating in the regional program as determined by them. All of the participating CSBs must review and approve how these balances are handled. Balances for regional programs may be prorated to each participating CSB for its own locally determined uses or allocated to a CSB or CSBs for regionally approved uses, or the CSB that functions as the regional program's fiscal agent may retain and expend the funds for purposes determined by all of the participating CSBs. Procedures for handling regional program balances of unspent funds should be included in the regional program memorandum of agreement for the program among the participating CSBs, and those procedures must be consistent with the principles and procedures in this Appendix and the applicable provisions of the current performance contract.
8. **Effective Period of Restrictions on State General Funds:** Allowable uses of state funds appropriated in the Grants to Localities item of the Appropriation Act for identified purposes (restricted funds) remain in effect for each fiscal year through the end of the biennium in which those restricted funds were originally appropriated. However, after the end of the fiscal year in which the restricted funds were disbursed to CSBs, any unexpended balances of these state funds are no longer restricted and would be considered unrestricted state funds.
9. **Use of Unexpended Restricted State Funds During the Current Fiscal Year:** The Department will not approve requests from CSBs to transfer unexpended restricted state funds during the current fiscal year to be used for another purpose. Restricted state funds must be used for the purposes for which they were appropriated in the biennium in which they were



appropriated. Instead, a CSB should use unspent funds from prior fiscal years in its reserve fund if additional funds are needed for this other purpose.

**10. Allowable Uses of Unspent State Fund Balances:** Consistent with the intent of the Grants to Localities item in the Appropriation Act and § 37.2-500 or § 37.2-601 of the Code of Virginia, CSBs may use unspent balances of state funds only for mental health, developmental, and substance abuse services purposes. Any other uses of unspent state fund balances are not acceptable and are a violation of the CSB's performance contract with the Department.

**11. Preferred Acceptable Uses of Accumulated Unspent State Fund Balances From Previous Fiscal Years:** CSBs may use unspent state fund balances from previous fiscal years for the following purposes:

- a. Purchase, construction, renovation, or replacement of land or buildings used to provide mental health, developmental, or substance abuse services;
- b. Purchase, replacement, or repair of vehicles used to transport individuals receiving services or to provide services (e.g., vehicles for case management or emergency services staff);
- c. Start up expenses for new programs, including security deposits for housing and utilities, advance rental payments, facility furnishings, supplies, prepaid expenses such as insurance premiums, and staff recruitment and training;
- d. Purchase, replacement, or repair of other capital equipment, including facility-related machinery, equipment, or furnishings;
- e. Initiation of Discharge Assistance Plans to enable individuals on state facility ready for discharge lists to be discharged to community settings while other support for the placements is being arranged;
- f. Purchase, replacement, or repair of information system equipment or software, including telecommunications equipment or software; and
- g. Purchase, construction, renovation, or replacement of land or buildings used for the CSB's management and administrative operations.

**12. Other Acceptable Uses of Accumulated Unspent State Fund Balances From Previous Fiscal Years:** Normally, unspent balances of state funds from previous fiscal years should be used only for one-time, non-recurring expenditures and not for supporting ongoing obligations. However, in exceptional circumstances, unspent balances may be used to temporarily absorb the short term effects of a budget reduction or an unanticipated funds shortfall during the current fiscal year until more permanent actions are taken to implement the budget reduction or address the shortfall. Also, State Board Policy 6005 states that, if a CSB is certain that the source of balances of unspent state funds can be sustained in the future, for instance savings from a permanent reduction in staffing, then the balances could be used for ongoing obligations, although a preferable alternative would be to move the funds from the activity where they were not spent to the other ongoing use.

**13. Collective Uses of Unspent Balances:** A group of CSBs may pool amounts of their unspent balances to address one-time issues or needs that are addressed more effectively or efficiently on a collective basis. The use of these pooled unspent balances shall be consistent with the principles and procedures in this Appendix.

**14. Performance Contract Documentation:** All uses of unspent balances of state funds shall be documented in the CSB's performance contract for the year in which the unspent balances are expended. If the balances will be used to support operational costs, the funds shall be shown as state retained earnings in the performance contract and in the CARS mid-year report, if the expense occurs in the first two quarters, and in the end of the fiscal year CARS report.

If the balances will be used for major capital expenses, such as the purchase, construction, major renovation, or replacement of land or buildings used to provide mental health, developmental, or substance abuse services or the CSB's management and administrative operations or the purchase or replacement of information system equipment, these costs shall not be shown as state retained earnings, but shall be described separately on the Financial Comments page (AF-2) of the performance contract and the CARS reports. Balances used for major capital expenses shall not be included on pages AF-2 or AF-3 through AF-8 or in the costs shown on Forms 11, 21, 31, or 01 of the performance contract or CARS reports because these expenses would distort the ongoing costs of the services in which the major capital expenses would be included.

In either case, for each separate use of unspent balances of state funds, the amount expended and the category (from those listed in sections 11 and 12) of the expenditure shall be shown on the Financial Comments page of the performance contract, if the expenditure was planned at the beginning of the contract term, and the end of the fiscal year CARS report. While the amount of unspent balances expended must be shown, CSBs do not have to list the specific sources of those balances, such as unrestricted state funds or particular restricted state funds. Uses of unspent balances of state funds shall be reviewed and approved by the Department in accordance with the principles and procedures in this Appendix and the Performance Contract Process in Exhibit E of the performance contract.

CSBs may maintain their accounting records on a cash or accrual basis for day-to-day accounting and financial management purposes; however its CARS reporting must be in compliance with Generally Accepted Accounting Principles (GAAP). CSBs may submit CARS reports to the Department on a cash or modified accrual basis, but they must report on a consistent basis; and the CARS reports must include all funds contained in the performance contract that are received by the CSB during the reporting period.

- 15. Review of Unspent Balances:** In exercising its stewardship responsibility to ensure the most effective, prudent, and accountable uses of state funds, the Department may review available unspent balances of state funds with a CSB that exhibits a persistent pattern of providing lower levels of services while generating significant balances of unspent state funds, and the Department may take actions authorized by State Board Policy 6005 to address this situation.

#### **Appendix D: User Acceptance Testing Process**

User acceptance testing (UAT) measures the quality and usability of an application. Several factors make UAT necessary for any software development or modification project, especially for complex applications like CCS 3 that interface with many IT vendor-supplied data files and are used by many different end users in different ways.

1. UAT reduces the cost of developing the application. Fixing issues before the application is released is always less expensive in terms of costs and time.
2. Ensuring the application works as expected. By the time an application has reached the UAT process, the code should work as required. Unpredictability is one of the least desirable outcomes of using any application.

In the UAT process, end users test the business functionality of the application to determine if it can support day-to-day business practices and user scenarios and to ensure the application is correct and sufficient for business usage. The CSBs and Department will use the following UAT process for major new releases of CCS 3 or other applications that involve the addition of new data elements or reporting requirements or other functions that would require significant work by CSB IT staff and vendors. All days in the time frame are calendar days.

Department and CSB User Acceptance Testing Process	
Time Frame	Action
D Day	Date data must be received by the Department (e.g., CCS 3 monthly submissions).
D - 15	The Department issues the final version of the new release to CSBs for their use.
D - 20	UAT is completed and application release is completed.
D - 35	UAT CSBs receive the beta version of the new CCS 3 release and UAT begins.
D - 50	CSBs begin collecting new data elements that will be in the new CCS 3 release. Not all releases will involve new data elements, so for some releases, this date would not be applicable.
D - 140	The Department issues the final revised CCS 3 Extract Specifications that will apply to the new release. The revised specifications will be accompanied by agreed upon requirements specifications outlining all of the other changes in the new release. CSBs use the revised specifications to modify internal business practices and work with their IT vendors to modify their EHRs and CCS 3 extracts.
Unknown	The time prior to D-150 in which the Department and CSBs develop and negotiate the proposed application changes. The time needed for this step is unknown and will vary for each new release depending on the content of the release.

Shorter processes that modify this UAT process will be used for minor releases of CCS 3 or other applications that involve small modifications of the application and do not involve collecting new data elements. For example, bug fixes or correcting vendor or CSB names or adding values in existing look up tables may start at D-35.

## Appendix E: Continuous Quality Improvement (CQI) Process

**Introduction:** Meaningful performance expectations are part of a CQI process developed and supported by the Department and CSBs that will monitor CSB progress in achieving those expectations to improve the quality, accessibility, integration and welcoming, person-centeredness, and responsiveness of services locally and to provide a platform for system-wide improvement efforts. Generally, performance expectations reflect requirements based in statute, regulation, or policy. The capacity to measure progress in achieving performance expectations and goals, provide feedback, and plan and implement CQI strategies shall exist at local, regional, and state levels.

Implementing the CQI process will be a multi-year, iterative, and collaborative effort to assess and enhance CSB and system-wide performance over time through a partnership among CSBs and the Department in which they are working to achieve a shared vision of a transformed services system. In this process, CSBs and the Department engage with stakeholders to perform meaningful self-assessments of current operations, determine relevant CQI performance expectations and goals, and establish benchmarks for goals, determined by baseline performance, to convert those goals to expectations. Because this CQI process focuses on improving services and to strengthen the engagement of CSBs in this process and preserve essential services for individuals, funding will not be based on or associated with CSB performance in achieving these expectations and goals. The Department and the CSB may negotiate CSB performance measures in Exhibit D of the performance contract reflecting actions or requirements to meet expectations and goals in the CSB's CQI plan. As this joint CQI process evolves and expands, the Department and the Virginia Association of Community Services Boards will utilize data and reports submitted by CSBs to conduct a broader scale evaluation of service system performance and identify opportunities for CQI activities across all program areas.

### I. CQI Performance Expectations and Goals

#### A. General Performance Goal and Expectation Affirmations

1. For individuals currently receiving services, the CSB has a protocol in effect 24 hours

per day, seven days per week (a) for service providers to alert emergency services staff about individuals deemed to be at risk of needing an emergency intervention, (b) for service providers to provide essential clinical information, which should include advance directives, wellness recovery action plans, or safety and support plans to the extent they are available, that would assist in facilitating the disposition of the emergency intervention, and (c) for emergency services staff to inform the case manager of the disposition of the emergency intervention. Individuals with co-occurring mental health and substance use disorders are welcomed and engaged promptly in an integrated screening and assessment process to determine the best response or disposition for continuing care. The CSB shall provide this protocol to the Department upon request. During its inspections, the Department's Licensing Office may examine this protocol to verify this affirmation as it reviews the CSB's policies and procedures.

2. For individuals hospitalized through the civil involuntary admission process in a state hospital, private psychiatric hospital, or psychiatric unit in a public or private hospital, including those who were under a temporary detention or an involuntary commitment order or were admitted voluntarily from a commitment hearing, and referred to the CSB, the CSB that will provide services upon the individual's discharge has in place a protocol to assure the timely discharge of and engage those individuals in appropriate CSB services and supports upon their return to the community. The CSB monitors and

strives to increase the rate at which these individuals keep scheduled face-to-face (non-emergency) service visits within seven business days after discharge from the hospital or unit. Since these individuals frequently experience co-occurring mental health and substance use disorders, CSB services are planned as co-occurring capable and promote successful engagement of these individuals in continuing integrated care. The CSB shall provide this protocol to the Department upon request. During its inspections, the Department's Licensing Office may examine this protocol to verify this affirmation as it reviews the CSB's policies and procedures.

#### **B. Emergency Services Performance Goal and Expectation Affirmations**

2. When an immediate face-to-face intervention by a certified preadmission screening evaluator is appropriate to determine the possible need for involuntary hospitalization, the intervention is completed by a certified preadmission screening evaluator who is available within one hour of initial contact for urban CSBs and within two hours of initial contact for rural CSBs. Urban and rural CSBs are listed in the current Overview of Community Services in Virginia at [www.dbhds.virginia.gov/OCC-default.htm](http://www.dbhds.virginia.gov/OCC-default.htm).
3. Every preadmission screening evaluator hired after July 1, 2008 meets the educational qualifications endorsed in October 2007 by the Department and the Virginia Association of Community Services Boards. During its inspections, the Department's Licensing Office may verify this affirmation as it reviews personnel records.
4. Every preadmission screening evaluator employed by the CSB has completed the certification program approved by the Department before performing preadmission screenings, and documentation of satisfactory completion is available for review. During its inspections, the Department's Licensing Office may verify this affirmation as it reviews personnel or training records or documentation.
5. Every preadmission screening evaluator is hired with knowledge, skills, and abilities to establish a welcoming environment for individuals with co-occurring disorders and performing hopeful engagement and integrated screening and assessment.
6. Pursuant to subsection B of § 37.2-817 of the Code of Virginia, a preadmission screening evaluator, or through a mutual arrangement an evaluator from another CSB, attends each commitment hearing, initial (up to 30 days) or recommitment (up to 180 days), for an adult held in the CSB's service area or for an adult receiving services from the CSB held outside of its service area in person, or, if that is not possible, the

preadmission screening evaluator participates in the hearing through two-way electronic video and audio or telephonic communication systems, as authorized by subsection B of § 37.2-804.1 of the Code of Virginia, for the purposes of presenting preadmission screening reports and recommended treatment plans and facilitating least restrictive dispositions.

7. In preparing preadmission screening reports, the preadmission screening evaluator considers all available relevant clinical information, including a review of clinical records, wellness recovery action plans, advance directives, and information or recommendations provided by other current service providers or appropriate significant other persons (e.g., family members or partners). Reports reference the relevant clinical information used by the preadmission screening evaluator. During its inspections, the Department's Licensing Office may verify this affirmation as it reviews services records, including records selected from a sample identified by the CSB for individuals who received preadmission screening evaluations.
8. If the emergency services intervention occurs when an individual has been admitted to a hospital or hospital emergency room, the preadmission screening evaluator informs the charge nurse or requesting medical doctor of the disposition, including leaving a written clinical note describing the assessment and recommended disposition or a copy of the preadmission screening form containing this information, and this action is documented in the individual's service record at the CSB with a progress note or with a notation on the preadmission screening form that is included in the individual's service record. During its inspections, the Department's Licensing Office may verify this affirmation as it reviews services records, including records selected from a sample identified by the CSB for individuals who received preadmission screening evaluations, for a progress note or a copy of the preadmission screening form.

**C. Mental Health and Substance Abuse Case Management Services Performance Expectation Affirmations**

- 3.) Case managers are hired with the goal of becoming welcoming, recovery-oriented, and co-occurring competent to engage all individuals receiving services in empathetic, hopeful, integrated relationships to help them address multiple issues successfully.
- 4.) Reviews of the individualized services plan (ISP), including necessary assessment updates, are conducted with the individual quarterly or every 90 days and include significant changes in the individual's status, engagement, participation in recovery planning, and preferences for services; and the ISP is revised accordingly to include an individual-directed wellness plan that addresses crisis self-management strategies and implements advance directives, as desired by the individual. For those individuals who express a choice to discontinue case management services because of their dissatisfaction with care, the provider reviews the ISP to consider reasonable solutions to address the individual's concerns. During its inspections, the Department's Licensing Office may verify this affirmation as it reviews ISPs, including those from a sample identified by the CSB of individuals who discontinued case management services.
- 5.) The CSB has policies and procedures in effect to ensure that, during normal business hours, case management services are available to respond in person, electronically, or by telephone to preadmission screening evaluators of individuals with open cases at the CSB to provide relevant clinical information in order to help facilitate appropriate dispositions related to the civil involuntary admissions process established in Chapter 8 of Title 37.2 of the Code of Virginia. During its inspections, the Department's Licensing Office may verify this affirmation as it examines the CSB's policies and procedures.



- 6.) For an individual who has been discharged from a state hospital, private psychiatric hospital, or psychiatric unit in a public or private hospital or released from a commitment hearing and has been referred to the CSB and determined by it to be appropriate for its case management services program, a preliminary assessment is initiated at first contact and completed, within 14 but in no case more than 30 calendar days of referral, and an individualized services plan (ISP) is initiated within 24 hours of the individual's admission to a program area for services in its case management services program and updated when required by the Department's licensing regulations. A copy of an advance directive, a wellness recovery action plan, or a similar expression of an individual's treatment preferences, if available, is included in the clinical record. During its inspections, the Department's Licensing Office may verify these affirmations as it reviews services records.
- 7.) For individuals for whom case management services will be discontinued due to failure to keep scheduled appointments, outreach attempts, including home visits, telephone calls, letters, and contacts with others as appropriate, to reengage the individual are documented. The CSB has a procedure in place to routinely review the rate of and reasons for refused or discontinued case management services and takes appropriate actions when possible to reduce that rate and address those reasons. The CSB shall provide a copy of this procedure to the Department upon request. During its inspections, the Department's Licensing Office may examine this procedure to verify this affirmation.

## **II. Co-Occurring Mental Health and Substance Use Disorder Performance Expectation Affirmations**

- A. The CSB ensures that, as part of its regular intake processes, every adolescent (ages 12 to 18) and adult presenting for mental health or substance abuse services is screened, based on clear clinical indications noted in the services record or use of a validated brief screening instrument, for co-occurring mental health and substance use disorders. If screening indicates a need, the CSB assesses the individual for co-occurring disorders. During its on-site reviews, staff from the Department's Office of Substance Abuse Services may examine a sample of service records to verify this affirmation.
- B. If the CSB has not conducted an organizational self-assessment of service integration in the last three years using the COMPASS, COMPASSEZ, or DDCAT/DDMHT tool as part of the Virginia System Integration Project (VASIP) process, the CSB conducts an organizational self-assessment of service integration during the term of this contract with one of these tools and uses the results of this self-assessment as part of its continuous quality improvement plan and process. The CSB shall provide the results of its continuous quality improvement activities for service integration to the Department's Office of Substance Abuse Services during its on-site review of the CSB.
- C. In the CSB's information system, individuals are identified as having co-occurring mental health and substance use disorders if there is (1) an Axis I or Axis II mental health diagnosis and (a) an Axis I substance use disorder diagnosis or (b) admission to the substance abuse program area (denoted in a type of care record) or (2) an Axis I substance use disorder diagnosis and (a) an Axis I or Axis II mental health diagnosis or (b) admission to the mental health program area (denoted in a type of care record). The Department will monitor this affirmation by analyzing the CSB's CCS 3 submissions and reviewing any continuous quality improvement plan submitted by the CSB.

## **III. Data Quality Performance Expectation Affirmations**

- A. The CSB submits 100 percent of its monthly CCS consumer, type of care, and services file extracts to the Department in accordance with the schedule in Exhibit E of the performance



contract and the current CCS 3 Extract Specifications and Business Rules, a submission for each month by the end of the following month for which the extracts are due. The Department will monitor this measure quarterly by analyzing the CSB's CCS submissions and may negotiate an Exhibit D with the CSB if it fails to meet this goal for more than two months in a quarter.

- B. The CSB monitors the total number of consumer records rejected due to fatal errors divided by the total consumer records in the CSB's monthly CCS consumer extract file. If the CSB experiences a fatal error rate of more than five percent of its CCS consumer records in more than one monthly submission, the CSB develops and implements a data quality improvement plan to achieve the goal of no more than five percent of its CCS consumer records containing fatal errors within a timeframe negotiated with the Department. The Department will monitor this affirmation by analyzing the CSB's CCS submissions.
- C. The CSB ensures that all required CCS data is collected and entered into its information system when a case is opened or an individual is admitted to a program area, updated at least annually when an individual remains in service that long, and updated when an individual is discharged from a program area or his case is closed. The CSB identifies situations where data is missing or incomplete and implements a data quality improvement plan to increase the completeness, accuracy, and quality of CCS data that it collects and reports. The CSB monitors the total number of individuals without service records submitted showing receipt of any substance abuse service within the prior 90 days divided by the total number of individuals with a TypeOfCare record showing a substance abuse discharge in those 90 days. If more than 10 percent of the individuals it serves have not received any substance abuse service within the prior 90 days and have not been discharged from the substance abuse program area, the CSB develops and implements a data quality improvement plan to reduce that percentage to no more than 10 percent. The Department will monitor this affirmation by analyzing the CSB's CCS submissions.

#### **IV. Employment and Housing Opportunities Expectation Affirmations**

- A. The CSB reviews and revises, if necessary, its joint written agreement, required by subdivision A.12 of § 37.2-504 or subsection 14 of § 37.2-605 of the Code of Virginia, with the Department of Aging and Rehabilitative Services (DARS) regional office to ensure the availability of employment services and specify DARS services to be provided to individuals receiving services from the CSB. The CSB works with employment service organizations (ESOs) where they exist to support the availability of employment services and identify ESO services available to individuals receiving services from the CSB. Where ESOs do not exist, the CSB works with other entities to develop employment services in accordance with State Board Policy 1044 (SYS) 12-1 to meet the needs of employment age (18-64) adults who choose integrated employment.
- B. Pursuant to State Board Policy 1044, the CSB ensures its case managers discuss integrated, community-based employment services at least annually with adults currently receiving services from it, include employment-related goals in their individualized services and supports plans if they want to work, and when appropriate and as practicable engage them in seeking employment services that comply with the policy in a timely manner.
- C. The CSB reviews and revises, if necessary, its joint written agreements, required by subdivision 12 of subsection A of § 37.2-504 or subsection 14 of § 37.2-605 of the Code of Virginia, with public housing agencies, where they exist, and works with planning district commissions, local governments, private developers, and other stakeholders to maximize federal, state, and local resources for the development of and access to affordable housing and appropriate supports for individuals receiving services from the CSB.
- D. The CSB works with the Department through the VACSB Data Management Committee, at the direction of the VACSB Executive Directors Forum, to collaboratively establish clear

employment and stable housing policy and outcome goals and develop and monitor key housing and employment outcome measures.

**FY 2017 and FY 2018 Community Services Performance Contract: Central Office,  
State Facility, and Community Services Board Partnership Agreement**

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**Section 1: Purpose**

Collaboration through partnerships is the foundation of Virginia's public system of mental health, developmental, and substance abuse services. The central office of the Department of Behavioral Health and Developmental Services (Department), state hospitals and training centers (state facilities) operated by the Department, and community services boards (CSBs), which are entities of local governments, are the operational partners in Virginia's public system for providing these services. CSBs include operating CSBs, administrative policy CSBs, and the policy-advisory CSB to a local government department and the behavioral health authority that are established pursuant to Chapters 5 and 6, respectively, of Title 37.2 of the Code of Virginia.

Pursuant to State Board Policy 1034, the partners enter into this agreement to implement the vision statement articulated in State Board Policy 1036 and to improve the quality of care provided to individuals receiving services (individuals) and enhance the quality of their lives. The goal of this agreement is to establish a fully collaborative partnership process through which CSBs, the central office, and state facilities can reach agreements on operational and policy matters and issues. In areas where it has specific statutory accountability, responsibility, or authority, the central office will make decisions or determinations with the fullest possible participation and involvement by the other partners. In all other areas, the partners will make decisions or determinations jointly. The partners also agree to make decisions and resolve problems at the level closest to the issue or situation whenever possible. Nothing in this partnership agreement nullifies, abridges, or otherwise limits or affects the legal responsibilities or authorities of each partner, nor does this agreement create any new rights or benefits on behalf of any third parties.

The partners share a common desire for the system of care to excel in the delivery and seamless continuity of services for individuals and their families and seek similar collaborations or opportunities for partnerships with advocacy groups for individuals and their families and other system stakeholders. We believe that a collaborative strategic planning process helps to identify the needs of individuals and ensures effective resource allocation and operational decisions that contribute to the continuity and effectiveness of care provided across the public mental health,

developmental, and substance abuse services system. We agree to engage in such a collaborative planning process.

The central office, state facility, and CSB partnership reflects a common purpose derived from:

1. Codified roles defined in Chapters 3, 4, 5, 6, 7, and 8 of Title 37.2 of the Code of Virginia, as delineated in the community services performance contract;
2. Philosophical agreement on the importance of services and supports that are person-centered and individually focused and other core goals and values contained in this agreement;
3. Operational linkages associated with funding, program planning and assessment, and joint efforts to address challenges to the public system of services; and
4. Quality improvement-focused accountability to individuals receiving services and family members, local and state governments, and the public at large, as described in the accountability section of this partnership agreement.

This partnership agreement also establishes a framework for covering other relationships that may exist among the partners. Examples of these relationships include regional initiatives such as the Region IV Acute Care Pilot Project, regional utilization management teams, regional crisis stabilization programs, the planning partnership regions, and the initiative to promote integrated services for individuals with co-occurring mental health and substance use disorders.

## **Section 2: Roles and Responsibilities**

Although this partnership philosophy helps to ensure positive working relationships, each partner has a unique role in providing public mental health, developmental, and substance abuse services. These distinct roles promote varying levels of expertise and create opportunities for identifying the most effective mechanisms for planning, delivering, and evaluating services.

### ***Central Office***

1. Ensures through distribution of available state and federal funding that an individually focused and community-based system of care, supported by community and state facility resources, exists for the delivery of publicly funded services and supports to individuals with mental health or substance use disorders or intellectual disability.
2. Promotes at all locations of the public mental health, developmental, and substance abuse service delivery system (including the central office) quality improvement efforts that focus on individual outcome and provider performance measures designed to enhance service quality, accessibility, and availability, and provides assistance to the greatest extent practicable with Department-initiated surveys and data requests.
3. Supports and encourages the maximum involvement and participation of individuals receiving services and family members of individuals receiving services in policy formulation and services planning, delivery, monitoring, and evaluation.
4. Ensures fiscal accountability that is required in applicable provisions of the Code of Virginia, relevant state and federal regulations, and policies of the State Board of Behavioral Health and Developmental Services.
5. Promotes identification of state-of-the-art, best or promising practice, or evidence-based programming and resources that exist as models for consideration by other partners.
6. Seeks opportunities to affect regulatory, policy, funding, and other decisions made by the Governor, the Secretary of Health and Human Resources, the General Assembly, the Department of Medical Assistance Services and other state agencies, and federal agencies that interact with or affect the other partners.
7. Encourages and facilitates state interagency collaboration and cooperation to meet the service needs of individuals and to identify and address statewide interagency issues that affect or support an effective system of care.

8. Serves as the single point of accountability to the Governor and the General Assembly for the public system of mental health, developmental, and substance abuse services.
9. Problem solves and collaborates with a CSB and state facility together on a complex or difficult situation involving an individual who is receiving services when the CSB and state facility have not been able to resolve the situation successfully at their level.

#### ***Community Services Boards***

1. Pursuant to § 37.2-500 of the Code of Virginia and State Board Policy 1035, serve as the single points of entry into the publicly funded system of individually focused and community-based services and supports for individuals with mental health or substance use disorders or intellectual disability, including individuals with co-occurring disorders in accordance with State Board Policy 1015.
2. Serve as the local points of accountability for the public mental health, developmental, and substance abuse service delivery system.
3. To the fullest extent that resources allow, promote the delivery of community-based services that address the specific needs of individuals, particularly those with complex needs, with a focus on service quality, accessibility, integration, and availability and on self-determination, empowerment, and recovery.
4. Support and encourage the maximum involvement and participation of individuals receiving services and family members of individuals receiving services in policy formulation and services planning, delivery, monitoring, and evaluation.
5. Establish services and linkages that promote seamless and efficient transitions of individuals between state facility and community services.
6. Promote sharing of program knowledge and skills with other partners to identify models of service delivery that have demonstrated positive outcomes for individuals receiving services.
7. Problem-solve and collaborate with state facilities on complex or difficult situations involving individuals receiving services.
8. Encourage and facilitate local interagency collaboration and cooperation to meet the other services and supports needs, including employment and stable housing, of individuals receiving services.

#### ***State Facilities***

1. Provide psychiatric hospitalization and other services to individuals identified by CSBs as meeting statutory requirements for admission in § 37.2-817 of the Code of Virginia and criteria in the Continuity of Care Procedures in the CSB Administrative Requirements, including the development of specific capabilities to meet the needs of individuals with co-occurring mental health and substance use disorders in accordance with State Board Policy 1015.
2. Within the resources available, provide residential, training, or habilitation services to individuals with intellectual disability identified by CSBs as needing those services in a training center and who are certified for admission pursuant to § 37.2-806 of the Code of Virginia.
3. To the fullest extent that resources allow, provide services that address the specific needs of individuals with a focus on service quality, accessibility, and availability and on self-determination, empowerment, and recovery.

4. Support and encourage the involvement and participation of individuals receiving services and family members of individuals receiving services in policy formulation and services planning, delivery, monitoring, and evaluation.
5. Establish services and linkages that promote seamless and efficient transitions of individuals between state facility and community services.
6. Promote sharing of program knowledge and skills with other partners to identify models of service delivery that have demonstrated positive outcomes for individuals.
7. Problem-solve and collaborate with CSBs on complex or difficult situations involving individuals receiving services.

Recognizing that these unique roles create distinct visions and perceptions of individual and service needs at each point (statewide, communities, and state facilities) of services planning, management, delivery, and evaluation, the partners are committed to maintaining effective lines of communication with each other and with other providers involved in the services system through their participation in regional partnerships generally and for addressing particular challenges or concerns. Mechanisms for communication include the System Leadership Council; representation on work groups, task forces, and committees; use of websites and electronic communication; consultation activities; and circulation of drafts for soliciting input from other partners. When the need for a requirement is identified, the partners agree to use a participatory process, similar to the process used by the central office to develop departmental instructions for state facilities, to establish the requirement.

These efforts by the partners will help to ensure that individuals have access to a public, individually focused, person-centered, community-based, and integrated system of mental health, developmental, and substance abuse services that maximizes available resources, adheres to the most effective, evidence-based, best, or promising service delivery practices, utilizes the extensive expertise that is available within the public system of care, and encourages and supports the self-determination, empowerment, and recovery of individuals receiving services, including the provision of services by them.

### **Section 3: Core Values**

The central office, state facilities, and CSBs, the partners to this agreement, share a common desire for the public system of care to excel in the delivery and seamless continuity of services to individuals receiving services and their families. While they are interdependent, each partner works independently with both shared and distinct points of accountability, such as state, local or federal governments, other funding sources, individuals receiving services, and families. The partners embrace common core values that guide the central office, state facilities, and CSBs in developing and implementing policies, planning services, making decisions, providing services, and measuring the effectiveness of service delivery.

#### ***Vision Statement***

Our core values are based on our vision, articulated in State Board Policy 1036, for the public mental health, developmental, and substance abuse services system. Our vision is of a community-based system of services and supports driven by individuals receiving services that promotes self-determination, empowerment, recovery, resilience, health, and the highest possible level of participation by individuals receiving services in all aspects of community life, including work, school, family, and other meaningful relationships. This vision also incorporates the principles of inclusion, participation, and partnership.

### *Core Values*

1. The central office, state facilities, and CSBs are working in partnership; we hold each other accountable for adhering to our core values.
2. As partners, we will focus on fostering a culture of responsiveness, finding solutions, accepting responsibility, emphasizing flexibility, and striving for continuous quality improvement.
3. As partners, we will make decisions and resolve problems at the level closest to the issue or situation whenever possible.
4. Services should be provided in the least restrictive and most integrated environment possible. Most integrated environment means a setting that enables individuals with disabilities to interact with persons without disabilities to the fullest extent possible.
5. All services should be designed to be welcoming, accessible, and capable of providing interventions properly matched to the needs of individuals with co-occurring disorders.
6. Community and state facility services are integral components of a seamless public, individual-driven, and community-based system of care.
7. The goal of all components of our public system of care is that the individuals we serve recover, realize their fullest potential, or move to independence from our care.
8. The participation of the individual and, when one is appointed or designated, the individual's authorized representative in treatment planning and service evaluation is necessary and valuable and has a positive effect on service quality and outcomes.
9. The individual's responsibility for and active participation in his or her care and treatment are very important and should be supported and encouraged whenever possible.
10. Individuals receiving services have a right to be free from abuse, neglect, or exploitation and to have their human rights assured and protected.
11. Choice is a critically important aspect of participation and dignity for individuals receiving services, and it contributes to their satisfaction and desirable outcomes. Individuals should be provided as much as possible with responsible and realistic opportunities to choose.
12. Family awareness and education about a person's disability or illness and services are valuable whenever the individual with the disability supports these activities.
13. Whenever it is clinically appropriate, children and adolescents should receive services provided in a manner that supports maintenance of their home and family environment. Family includes single parents, grandparents, older siblings, aunts or uncles, and other persons who have accepted the child or adolescent as part of their family.
14. Children and adolescents should be in school and functioning adequately enough that the school can maintain them and provide an education for them.
15. Living in safe, stable, decent, and affordable housing in the community, consistent with State Board Policy 4023 (CSB) 86-24 Housing Supports, with the highest level of independence possible is a desired outcome for adults receiving services.
16. Gaining or maintaining meaningful employment, consistent with State Board Policy 1044 (SYS) 12-1 Employment First, improves the quality of life for adults with mental health or substance use disorders or intellectual disability and is a desired outcome for adults receiving services.



17. Lack of involvement or a reduced level of involvement with the criminal justice system, including court-ordered criminal justice services, improves the quality of life of all individuals.
18. Pursuant to State Board Policy 1038, the public, individually focused, and community-based mental health, developmental, and substance abuse services system serves as a safety net for individuals, particularly people who are uninsured or under-insured, who do not have access to other service providers or alternatives.

#### **Section 4: Indicators Reflecting Core Values**

Nationwide, service providers, funding sources, and regulators have sought instruments and methods to measure system effectiveness. No one system of evaluation is accepted as the method, as perspectives about the system and desired outcomes vary, depending on the unique role (e.g., as

an individual receiving services, family member, payer, provider, advocate, or member of the community) that one has within the system.

Simple, cost-effective measures reflecting a limited number of core values or expectations identified by the central office, state facilities, and CSBs guide the public system of care in Virginia. Any indicators or measures should reflect the core values listed in the preceding section. The partners agree to identify, prioritize, collect, and utilize these measures as part of the quality assurance systems mentioned in section 6 of this agreement and in the quality improvement plan described in section 6.b of the community services performance contract.

#### **Section 5: Advancing the Vision**

The partners agree to engage in activities to advance the achievement of the Vision Statement contained in State Board Policy 1036 and section 3 of this agreement, including these activities.

1. **Recovery:** The partners agree, to the greatest extent possible, to:
  - a. provide more opportunities for individuals receiving services to be involved in decision-making,
  - b. increase recovery-oriented, peer-provided, and consumer-run services,
  - c. educate staff and individuals receiving services about recovery, and
  - d. assess and increase the recovery orientation of CSBs, the Central Office, and state hospitals.
2. **Integrated Services:** The partners agree to advance the values and principles in the Charter Agreement signed by the CSB and the central office and to increase effective screening and assessment of individuals for co-occurring disorders to the greatest extent possible.
3. **Person-Centered Planning:** The partners agree to promote awareness of the principles of person-centered planning, disseminate and share information about person-centered planning, and participate on work groups focused on implementing person-centered planning.

#### **Section 6: Critical Success Factors**

The partners agree to engage in activities that will address the seven critical success factors identified in *Envision the Possibilities: An Integrated Strategic Plan for Virginia's Mental Health, Mental Retardation and Substance Abuse Services System*, January 2006. These critical success factors, listed below and described more fully in the *Integrated Strategic Plan*, are required to transform the current service system's crisis response orientation to one that provides incentives and

rewards for implementing the vision of a recovery and resilience-oriented and person-centered system of services and supports. Successful achievement of these critical success factors will require the support and collective ownership of all system stakeholders.

1. Virginia successfully implements a recovery and resilience-oriented and person-centered system of services and supports.
2. Publicly funded services and supports that meet growing mental health, developmental, and substance abuse services needs are available and accessible across the Commonwealth.
3. Funding incentives and practices support and sustain quality care focused on individuals receiving services and supports, promote innovation, and assure efficiency and cost-effectiveness.
4. State facility and community infrastructure and technology efficiently and appropriately meet the needs of individuals receiving services and supports.
5. A competent and well-trained mental health, developmental, and substance abuse services system workforce provides needed services and supports.
6. Effective service delivery and utilization management assures that individuals and their families receive services and supports that are appropriate to their needs.
7. Mental health, developmental, and substance abuse services and supports meet the highest standards of quality and accountability.

#### **Section 7: Accountability**

The central office, state facilities, and CSBs agree that it is necessary and important to have a system of accountability. The partners also agree that any successful accountability system requires early detection with faithful, accurate, and complete reporting and review of agreed-upon accountability indicators. The partners further agree that early detection of problems and collaborative efforts to seek resolutions improve accountability. To that end, the partners commit themselves to a problem identification process defined by open sharing of performance concerns and a mutually supportive effort toward problem resolution. Technical assistance, provided in a non-punitive manner designed not to “catch” problems but to resolve them, is a key component in an effective system of accountability.

Where possible, joint work groups, representing CSBs, the central office, and state facilities, shall review all surveys, measures, or other requirements for relevance, cost benefit, validity, efficiency, and consistency with this statement prior to implementation and on an ongoing basis as requirements change. In areas where it has specific statutory accountability, responsibility, or authority, the central office will make decisions or determinations with the fullest possible participation and involvement by the other partners. In all other areas, the partners will make decisions or determinations jointly.

The partners agree that when accreditation or another publicly recognized independent review addresses an accountability issue or requirement, where possible, compliance with this outside review will constitute adherence to the accountability measure or reporting requirement. Where accountability and compliance rely on affirmations, the partners agree to make due diligence efforts to comply fully. The central office reserves the powers given to the department to review and audit operations for compliance and veracity and upon cause to take actions necessary to ensure accountability and compliance.

### *Desirable and Necessary Accountability Areas*

1. **Mission of the System.** As part of a mutual process, the partners, with maximum input from stakeholders and individuals receiving services, will define a small number of key missions for the public community and state facility services system and a small number of measures for these missions. State facilities and CSBs will report on these measures at a minimum frequency necessary to determine the level and pattern of performance over several years.
2. **Central Office Accountability.** In addition to internal governmental accountability, the central office agrees to support the mission of the public services system by carrying out its functions in accordance with the vision and values articulated in section 3. Accountability for the central office will be defined by the fewest necessary measures of key activities that will be reported at a minimum frequency necessary to determine the level and pattern of performance over several years.
3. **State Facility Accountability.** In addition to internal governmental accountability, state facilities agree to support the mission of the public services system by carrying out their functions in accordance with the vision and values articulated in section 3. Accountability for state facilities will be defined by the fewest necessary measures of key activities that will be reported at a minimum frequency necessary to determine the level and pattern of performance over several years.
4. **CSB Accountability.** In addition to internal governmental accountability, CSBs agree to support the mission of the public services system by carrying out their functions in accordance with the vision and values articulated in section 3. Accountability for CSBs will be defined by the fewest necessary measures of key activities that will be reported at a minimum frequency necessary to determine the level and pattern of performance over several years.
5. **Legislative Accountability.** Additional reporting or responses may be required of CSBs, the central office, or state facilities by the General Assembly or for a legislative request or study.
6. **Quality Improvement.** CSBs, state facilities, and the central office will manage internal quality improvement, quality assurance, and corporate compliance systems to monitor activities, detect and address problems, and minimize risk. These activities require no standardized reporting outside of that contained in law, regulation, or policy. The partners agree to identify and, wherever possible, implement evidence-based best practices and programs to improve the quality of care that they provide. In the critically important area of service integration for individuals with co-occurring disorders, the partners agree to
  - a. engage in periodic organizational self-assessment using identified tools,
  - b. develop a work plan that prioritizes quality improvement opportunities in this area,
  - c. monitor progress in these areas on a regular basis, and
  - d. adjust the work plan as appropriate.
7. **Fiscal.** Funds awarded or transferred by one partner to another for a specific identified purpose should have sufficient means of accountability to ensure that expenditures of funds were for the purposes identified. The main indicators for this accountability include an annual CPA audit by an independent auditing firm or an audit by the Auditor of Public Accounts and reports from the recipient of the funds that display the amounts of expenditures and revenues, the purposes for which the expenditures were made and, where necessary, the types and amounts of services provided. The frequency and detail of this reporting shall reflect the minimum necessary.

8. **Compliance with Departmental Regulatory Requirements for Service Delivery.** In general, regulations ensure that entities operate within the scope of acceptable practice. The system of department licensing, in which a licensed entity demonstrates compliance by policy, procedure, or practice with regulatory requirements for service delivery, is a key accountability mechanism. Where a service is not subject to state licensing, the partners may define minimum standards of acceptable practice. Where CSBs obtain nationally recognized accreditation covering services for which the department requires a license, the department, to the degree practical and with the fullest possible participation and involvement by the other partners, will consider substituting the accreditation in whole or in part for the application of specific licensing standards.
9. **Compliance with Federal and Non-Department Standards and Requirements.** In areas where it has specific statutory accountability, responsibility, or authority, the central office will make decisions or determinations with the fullest possible participation and involvement by the other partners. In all other areas, the partners will make decisions or determinations jointly. The central office agrees to identify the minimum documentation needed from the other partners to indicate their compliance with applicable federal and non-departmental standards and requirements. Where possible, this documentation shall include affirmations by CSBs or state facilities in lieu of direct documentation. The partners shall define jointly the least intrusive and least costly compliance strategies, as necessary.
10. **Compliance with Department-Determined Requirements.** In areas where it has specific statutory accountability, responsibility, or authority, the central office will make decisions or determinations with the fullest possible participation and involvement by the other partners. In all other areas, the partners will make decisions or determinations jointly. The central office agrees to define the minimum compliance system necessary to ensure that CSBs and state facilities perform due diligence in regard to requirements established by the central office and that this definition will include only the minimum necessary to meet the intent of the state law or State Board policy for which the requirement is created. Where equivalent local government standards are in place, compliance with the local standards shall be acceptable.
11. **Medicaid Requirements.** The central office agrees to work proactively with the Department of Medical Assistance Services (DMAS) to create an effective system of accountability that will ensure services paid for by the DMAS meet minimum standards for quality care and for the defined benefit. The central office, and CSBs to the fullest extent possible, will endeavor to assist the DMAS in regulatory and compliance simplification in order to focus accountability on the key and most important elements.
12. **Maximizing State and Federal Funding Resources.** The partners agree to collect and utilize available revenues from all appropriate sources to pay for services in order to extend the use of state and federal funds as much as possible to serve the greatest number of individuals in need of services. Sources include Medicaid cost-based, fee-for service, Targeted Case Management, Rehabilitation (State Plan Option), and ID Waiver payments; other third party payers; auxiliary grants; food stamps; SSI, SSDI, and direct payments from individuals; payments or contributions of other resources from other agencies such as local social services or health departments; and other state or local funding sources.
13. **Information for Decision-Making.** The partners agree to work collaboratively to
  - a. improve the accuracy, timeliness, and usefulness of data provided to funding sources and stakeholders;
  - b. enhance infrastructure and support for information technology systems and staffing; and
  - c. use this information in their decision-making about resources, services, policies, and procedures and to communicate more effectively with funding sources and stakeholders about the activities of the public services system and its impact on individuals receiving services and their families.

## **Section 8: Involvement and Participation of Individuals Receiving Services and Their Family Members**

- 1. Involvement and Participation of Individuals Receiving Services and Their Family Members:** CSBs, state facilities, and the central office agree to take all necessary and appropriate actions in accordance with State Board Policy 1040 to actively involve and support the maximum participation of individuals receiving services and their family members in policy formulation and services planning, delivery, monitoring, and evaluation.
- 2. Involvement in Individualized Services Planning and Delivery by Individuals Receiving Services and Their Family Members:** CSBs and state facilities agree to involve individuals receiving services and, with the consent of individuals where applicable, family members, authorized representatives, and significant others in their care, including the maximum degree of participation in individualized services planning and treatment decisions and activities, unless their involvement is not clinically appropriate.
- 3. Language:** CSBs and state facilities agree that they will endeavor to deliver services in a manner that is understood by individuals receiving services. This involves communicating orally and in writing in the preferred languages of individuals, including Braille and American Sign Language when applicable, and at appropriate reading comprehension levels.
- 4. Culturally Competent Services:** CSBs and state facilities agree that in delivering services they will endeavor to address to a reasonable extent the cultural and linguistic characteristics of the geographic areas and populations that they serve.

**Section 9: System Leadership Council.** The System Leadership Council, established by the partners through this agreement, includes representatives of the central office, state facilities, the State Board of Behavioral Health and Developmental Services, CSBs, individuals receiving services and their families, local governments, the criminal justice system, private providers, the DMAS, and other stakeholders. The Council will meet as needed to:

1. identify, discuss, and resolve issues and problems;
2. examine current system functioning and identify ways to improve or enhance the operations of the public mental health, developmental, and substance abuse services system; and
3. identify, develop, propose, and monitor the implementation of new service modalities, systemic innovations, and other approaches for improving the accessibility, responsiveness, and cost effectiveness of publicly funded mental health, developmental, and substance abuse services.

**Section 10: Communication.** CSBs, state facilities, and the central office agree to communicate fully with each other to the greatest extent possible. Each partner agrees to respond in a timely manner to requests for information from other partners, considering the type, amount, and availability of the information requested.

**Section 11: Quality Improvement.** On an ongoing basis, the partners agree to work together to identify and resolve barriers and policy and procedural issues that interfere with the most effective and efficient delivery of public mental health, developmental, and substance abuse services.

**Section 12: Reviews, Consultation, and Technical Assistance.** CSBs, state facilities, and the central office agree, within the constraints of available resources, to participate in review, consultation, and technical assistance activities to improve the quality of services provided to individuals and to enhance the effectiveness and efficiency of their operations.

**Section 13: Revision.** This is a long-term agreement that should not need to be revised or amended annually. However, the partners agree that this agreement may be revised at any time with the mutual consent of the parties. When revisions become necessary, they will be developed

and coordinated through the System Leadership Council. Finally, either party may terminate this agreement with six months written notice to the other party and to the System Leadership Council.

**Section 14: Relationship to the Community Services Performance Contract.** This partnership agreement by agreement of the parties is hereby incorporated into and made a part of the current community services performance contract by reference.

IN RE: RESOLUTION – SUPPORT OF WYTHE COUNTY AND AMENDMENT TO VA CODE  
§58.1-3831 (LEVY TAXATION UPON THE SALE OF CIGARETTES)

Jonathan D. Sweet explained the Resolution (listed below) that to lessen the burden on property taxes through the implementation of a cigarette tax which has been approved by other cities and counties in the Commonwealth by state legislation through an amendment to include Grayson. If it's the Board consideration staff will draft a consistent resolution to be adopted in December. Supervisor Fant asked for clarification that they are just asking us to support the effort to get the General Assembly and the Governor to approve and give counties the authority to approve the tax but doesn't necessarily mean they must. Mr. Sweet noted that is correct. Supervisor Rosenbaum made the motion to approve a support Resolution per the Wythe Resolution; duly seconded by Supervisor Fant. Motion carried 5-0.

CODE OF VIRGINIA  
TITLE 58.1 TAXATION  
CHAPTER 38 – MISCELLANEOUS TAXES

At a regularly scheduled meeting of the Grayson County Board of Supervisors held on November 10<sup>th</sup>, 2016, on a motion by \_\_\_\_\_, seconded by \_\_\_\_\_, the following resolution was adopted by a vote of \_\_\_\_ to \_\_\_\_.

**WHEREAS**, the County of Grayson, Virginia request that all Counties in Virginia have equal rights; and,

**WHEREAS**, the County of Grayson, respectively request that the Code of Virginia be amended to provide equal rights; and,

**WHEREAS**, the County of Grayson has been required to fund shortfalls in state and federal funding; and,

**WHEREAS**, the County of Grayson has identified a means to lessen the burden on property taxes by implementing a cigarette tax that has previously been approved for certain counties, and all cities and towns by state legislative action; and,



**NOW, THEREFORE, BE IT RESOLVED THAT** the Grayson County Board of Supervisors hereby request that Section 58.1-3831 be amended to allow all Virginia Counties to have the power to levy tax upon the sale or use of cigarettes; and

**BE IT FURTHER RESOLVED THAT** a copy of the requested changes be attached to this resolution.

By: \_\_\_\_\_  
Brenda R. Sutherland, Chair  
Grayson County Board of Supervisors

Attest: \_\_\_\_\_  
Jonathan D. Sweet, Clerk  
Grayson County Board of Supervisors

IN RE: GRAYSON COUNTY ROAD VIEWERS

By recommendation from Mr. Sweet:

Because of the County's recent good fortune to have received significant funding for secondary road construction projects, the County has systematically worked through the list of various county roads that were identified in 2009 to be placed on the County's SSYP for improvement by adopted resolution.

To plan and prepare for new projects to include on subsequent SSYP's, staff recommends that the Board of Supervisors develop a logical methodology to be used in evaluating potential county roads for future inclusion. The proposed methodology would consist of the creation of an ad hoc committee with citizen appointments coming from each of the four county districts, along with one county staff member, and one BOS. The committee will closely liaise with a VDOT representative during this process. This committee will consider roads for evaluation that are appropriately submitted by the public, by the BOS members, by VDOT, by county staff, and identified in the field by the committee themselves.

The criteria the committee will employ to evaluate eligible projects and ultimately prioritize projects should consist of:

1. Rural Rustic Road Eligibility      Yes = 5 Points and No = 1 Point
2. Major Safety Concerns              Yes = 5 Points and No = 1 Point
3. ADV Count
4. Number of Residents Served by Road
5. General Condition of Road

The criteria points 3. through 5. shall be equally weighted and the roads will receive the number of points based on the number of roads evaluated (ex: If 8 roads are evaluated, then the scale will be from 1-8 with 8 points being the highest.) *\*See attached spreadsheet.*

The committee will compile a list of roads; plug them into its evaluation matrix; share the matrix with VDOT for their data input on ADV Count, safety concerns, SSYP program eligibility, and Rural Rustic Road eligibility; then collectively travel to and physically evaluate the roads for Number of Residence Served and Condition of the Road; and then score and rank the road projects based on the approved methodology.

Once the Road Viewer's Committee has concluded their process, they shall submit their findings to the Board of Supervisors for their information and consideration by no later than April 30<sup>th</sup> of each year so that the Board may utilize this reconnaissance data in the preparation of the County's SSYP.

Please do not hesitate to contact me with any questions you may have regarding this memo or the components that comprise the recommendation contained herein.

Grayson County Road Viewers' Review Criteria

(Example:)

Road Name:	Rural Rustic:	# of Residents Served:	ADV Count:	Safety Concerns:	Condition of Road:	SSYP Eligibility:	Est. Cost:	Points:	Ranking:
Road A	Yes	4	120	Yes	8	Yes	\$X	24.5	3
Road B	Yes	7	65	Yes	4	Yes	\$X	21	5
Road C	Yes	18	145	Yes	5	Yes	\$X	28	1
Road D	Yes	12	150	No	3	Yes	\$X	26	2
Road E	No	20	175	No	2	Yes	\$X	20	6
Road F	Yes	17	89	No	7	Yes	\$X	23	4
Road G	No	6	60	No	1	No	\$X	8	*8
Road H	Yes	4	40	Yes	6	No	\$X	18.5	*7

The Board of Supervisors will review this recommendation and address at a later meeting.

IN RE: EAGLE BOTTOM HOUSING PROJECT DOCUMENTS

Jonathan D. Sweet explained the Eagle Bottom Community Development Block Grant – (the housing rehab project). The Board will need to authorize Board Chair or County

Administrator to sign documents for the County to receive the funding. Copies will be on file in the County Administration Office. Supervisor Fant made the motion to authorize signature of documents; duly seconded by Supervisor Hash. Motion carried 5-0.

#### IN RE: COUNTY ADMINISTRATOR'S REPORT

Jonathan D. Sweet noted the following:

- ✓ Had a good turnout for our Health Fair that was held in October.
- ✓ A ribbon cutting will be held next Tuesday, November 15, 2016 for our GATE Center – Grayson Agriculture & Technical Education Center.
- ✓ Asked the Board of Supervisors to help find a board member due to his resignation from the Twin County Free Clinic Board.

#### IN RE: INFORMATIONAL ITEMS

As presented.

#### IN RE: REGISTERED SPEAKERS AND PUBLIC COMMENT(S)

None

#### IN RE: BOARD OF SUPERVISORS' TIME

Supervisor Sutherland noted that there will be a free health fair that will be held at Crossroads on Friday, November 18, 2016 from 10 a.m. – 2 p.m.

#### IN RE: COLOSED SESSION

Supervisor Fant made the motion to go into closed session pursuant to §2.2-3711(A)(1) of the Code of Virginia, relating to a personal matter; duly seconded by Supervisor Hash. Motion carried 5-0.

Supervisor Rosenbaum made the motion to come out of closed session; duly seconded by Supervisor Fant. Motion carried 5-0.

Whereas, the Grayson County Board of Supervisors has convened a closed session on this 10th, day of November 2016, pursuant to an affirmative recorded vote and in accordance with provision of the Virginia Freedom of Information Act; and

Whereas, Section 2.2-3711 of the Code of Virginia requires a certification by this Board of Supervisors that such closed session was conducted in conformity with Virginia law;

Now, Therefore Be It Resolved that the Board of Supervisors hereby certifies that, to the best of each member's knowledge, (I) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed session to

which this certification resolution applies, and (II) only such public business matters as were identified in the motion convening the closed session were heard, discussed or considered by the Board of Supervisors with recorded confirmation from members as follows: Michael S. Hash – I so certify; Glen E. Rosenbaum – I so certify; Kenneth R. Belton – I so certify; John S. Fant – I so certify; Brenda R. Sutherland – I so certify.

Supervisor Rosenbaum made the motion to appoint Mitchell L. Smith as interim County Administrator with adjusted pay effective January 16, 2017; duly seconded by Supervisor Belton. Motion carried 5-0.

Supervisor Belton made the motion to appoint Leesa A. Gayheart as interim Deputy County Administrator with adjusted pay effective January 16, 2017; duly seconded by Supervisor Hash. Motion carried 5-0.

IN RE: ADJOURN

Supervisor Hash made the motion to adjourn; duly seconded by Supervisor Fant. Motion carried 5-0.