



ARLINGTON COUNTY, VIRGINIA

**County Board Agenda Item
Meeting of September 25, 2010**

DATE: September 01, 2010

SUBJECT: Arlington Community Services Board FY 2011 Performance Contract with Virginia Department of Behavioral Health and Developmental Services

C. M. RECOMMENDATION:

Approve the FY 2011 Performance Contract between the Arlington Community Services Board and the Virginia Department of Behavioral Health and Developmental Services (DBHDS).

ISSUES: As part of the regular annual process, the County Board is requested to approve the performance contract between the Community Services Board and the DBHDS. No issues have been identified.

DISCUSSION: Under legislation approved by the General Assembly in the 1998 session, the Community Services Board submits to DBHDS an annual Performance Contract that specifies the funding and delivery of human services to individuals with mental illness, intellectual disabilities, or substance abuse disorders. The contract identifies state and local budgeted funds, the amount of service units provided directly or through contract to Arlington consumers, implementation requirements and mandates regarding care, as well as definitions of identified consumer outcome measures and principles and guidelines for the management of regional programs. The attached contract was approved by the Community Services Board on June 16, 2010.

FISCAL IMPACT: None. The State Performance Contract presented for County Board approval is consistent with the FY 2011 Budget adopted in April 2010 except where carryover funds from FY 2010 have been requested for grant-funded projects.

County Manager:

County Attorney:

Staff: Michael Peter, Behavioral Healthcare, DHS, x5003

51.

PROPOSED
ARLINGTON COUNTY
COMMUNITY SERVICES
PERFORMANCE CONTRACT
(AND PARTNERSHIP AGREEMENT)

**VIRGINIA DEPARTMENT OF BEHAVIORAL HEALTH
AND DEVELOPMENTAL SERVICES**

FISCAL YEAR 2011

Submission to CSB: June 16, 2010
Submission to Arlington County Board: September 25, 2010

FY 2011 Community Services Performance Contract

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FY 2011 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 ensure delivery of publicly funded services and supports to individuals with mental health or substance use disorders or intellectual disability and authorizes the Department to fund community mental health and substance abuse and mental retardation services, hereafter referred to as behavioral health and developmental services in this contract.
- b. Sections 37.2-500 through 37.2-511 of the Code of Virginia require cities and counties to establish community services boards for the purpose of providing local public behavioral health and developmental services; §§ 37.2-600 through 37.2-614 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 on page 19 of this contract will be referred to as the Board or CSB.
- c. Section 37.2-500 or 37.2-601 of the Code of Virginia states that, in order to provide comprehensive behavioral health and developmental services within a continuum of care, the Board shall function as the single point of entry into publicly funded behavioral health and developmental services. The Board fulfills this function in accordance with State Board Policy 1035 for any person who is located in the Board's service area and needs behavioral health or developmental services.
- d. 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 Board.
- e. The Board is applying for the assistance provided under Chapter 5 or 6 of Title 37.2 of the Code of Virginia by submitting this performance contract to the Department in accordance with § 37.2-508 or § 37.2-608 of the Code of Virginia.
- f. This contract establishes requirements and responsibilities for the Board and the Department that are not established through other means, such as statute or regulation. The Community Services Board Administrative Requirements, which, by agreement of the parties, is hereby incorporated into and made a part of this contract by reference, includes or incorporates by reference ongoing statutory, regulatory, policy, and other requirements that are not contained in this contract. This document is available on the Department's web site at www.dbhds.virginia.gov/OCC-default.htm.
- g. The Department and the Board enter into this performance contract for the purpose of funding services provided directly or contractually by the Board in a manner that ensures accountability to the Department and quality of care for individuals receiving services and implements the vision, articulated in State Board Policy 1036, of an individual-driven system of services and supports 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; and the Board and the Department agree as follows.

2. **Relationship:** The Department functions as the state authority for the public behavioral health and developmental services system, and the Board functions as the local authority for that system. The relationship between and roles and responsibilities of the Department and the Board are described in the Partnership Agreement between the parties, which, by agreement of the parties, is hereby incorporated into and made a part of this contract by reference. This contract shall not be construed to establish any employer-employee or principal-agent relationship between employees of the Board or its board of directors and the Department.

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3. **Contract Term:** This contract shall be in effect for a term of one year, commencing on July 1, 2010 and ending on June 30, 2011.
4. **Scope of Services**
 - a. **Services:** Exhibit A of this contract includes all behavioral health (mental health and substance abuse) and developmental services provided or contracted by the Board 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, by agreement of the parties, is hereby incorporated into and made a part of this contract by reference. The Core Services Taxonomy is available on the Department's web site at www.dbhds.virginia.gov/OCC-default.htm.
 - b. **Expenses for Services:** The Board shall provide to the extent practicable those services that are funded within the revenues and expenses set forth in Exhibit A and documented in the Board's financial management system. The Board shall distribute its administrative and management expenses across some or all of the three program areas on a basis that is in accordance with Uniform Cost Report principles, is auditable, and satisfies Generally Accepted Accounting Principles.
 - c. **Continuity of Care:** In order to partially fulfill its responsibility in § 37.2-500 or 37.2-601 of the Code of Virginia and State Board Policy 1035 to function as the single point of entry into publicly funded services in its service area, the Board shall follow the *Continuity of Care Procedures*, included in the Community Services Board Requirements as Appendix A.
 - 1.) **Coordination of Intellectual Disability Waiver Services:** The Board shall provide case management services to individuals who are receiving services under the Medicaid Intellectual Disability Home and Community-Based Waiver (ID Waiver). 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 Board shall develop individual service authorization requests (ISARs) for Waiver services and submit them to the Department for preauthorization, pursuant to the current DMAS/DBHDS Interagency Agreement (November, 2007), under which the Department preauthorizes ISARs as a delegated function from the DMAS. As part of its specific case management responsibilities for individuals receiving ID Waiver services, the Board shall coordinate and monitor the delivery of all services to individuals it serves, including monitoring the receipt of services in an individual's ISAR that are provided by independent vendors, who are reimbursed directly by the DMAS, to the extent that the Board is not prohibited from doing so by such vendors (reference the DMAS *Intellectual Disability Community Services Manual*). The Board may 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 Board shall not restrict or seek to influence an individual's choice among qualified service providers. This prohibition is not intended to restrict the ability of Board case managers to make recommendations, based on their professional judgment, to individuals regarding those available service options that best meet the terms of the individuals' ISPs and allow for the most effective coordination of services. This section does not, nor shall it be construed to, make the Board legally liable for the actions of independent vendors of ID Waiver services who are reimbursed directly by the DMAS.
 - 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 Board 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.

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- 3.) **Coordination with Local Psychiatric Hospitals:** When the Board performed the preadmission screening and referral to the Board is likely upon the discharge of an involuntarily admitted individual, the Board 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 in the least restrictive setting and to avoid the use of these facilities when the service is no longer needed.
- 4.) **Access to Services:** The Board 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 an intellectual disability or a substance use disorder, the person is receiving more than one other service from the Board, or a licensed clinician employed or contracted by the Board 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.
- 5.) **PACT Criteria:** If the Board receives state general or federal funds for a Program of Assertive Community Treatment (PACT), it shall satisfy the following criteria:
 - a.) Meet PACT state hospital bed use targets.
 - b.) Prioritize providing services to individuals with serious mental illnesses who are frequent recipients of inpatient services or are homeless.
 - c.) Achieve and maintain a caseload of 80 individuals receiving services after two years from the date of initial funding by the Department.
 - d.) Participate in technical assistance provided by the Department.

If the Board receives state general or federal funds for a new PACT during the term of this contract or in the fiscal year immediately preceding that term, it also shall satisfy the following conditions:

 - a.) Procure team training and technical assistance quarterly.
 - b.) Meet bimonthly with other PACT programs (the network of CSB PACTs).
- 6.) **Preadmission Screening:** The Board 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 Community Services Board Administrative Requirements for any person who is located in the Board's service area.
- 7.) **Discharge Planning:** The Board 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 Discharge Planning Protocols, which, by agreement of the parties, are incorporated into and made a part of this contract by reference.
- d. **Populations Served:** The Board shall provide needed services to adults with serious mental illnesses, children with or at risk of serious emotional disturbance, and individuals with intellectual disability, or substance use disorder to the greatest extent possible within the resources available to it for this purpose. In accordance with § 37.2-508 or § 37.2-608 of the Code of Virginia, the Board shall report the unduplicated numbers of adults with serious mental illnesses, children with or at risk of serious emotional disturbance, and individuals with intellectual disability, or substance use disorder that it serves during the term of this contract. These populations are defined in the Core Services Taxonomy.

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- 5. Resources:** Exhibit A of this contract includes the following resources: state general funds and federal funds appropriated by the General Assembly and allocated by the Department to the Board; balances of unexpended or unencumbered state general and federal funds retained by the Board 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 general funds; Medicaid Targeted Case Management, Rehabilitative Services (State Plan Option), and Intellectual Disability Home and Community-Based Waiver fees and any other fees, as required by § 37.2-504 or § 37.2-605 of the Code of Virginia; and any other revenues associated with or generated by the services shown in Exhibit A. The Board may choose to include only the minimum 10 percent local matching funds in the contract, rather than all local matching funds.
- a. Allocations of State General and Federal Funds:** The Department shall inform the Board of its state general and federal fund allocations in a letter of notification. The Department may adjust allocation amounts during the term of this contract. The Commissioner or his designee shall communicate all adjustments to the Board in writing. Allocations of state general 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. Allocations shall not be based on numbers of adults with serious mental illnesses, children with or at risk of serious emotional disturbance, or individuals with intellectual disability, or substance use disorder who receive services from the Board.
 - b. Allocations of New Appropriations of Additional State General Funds:** The Department shall work with representatives of the Board to develop a conceptual framework for allocating new appropriations of additional state general funds. This framework shall include a methodology for identifying the minimum amount of the appropriation needed by the smallest Boards to implement the intent of the new appropriation and criteria for allocating the remainder of the appropriation using population as a significant factor.
 - c. Conditions on the Use of Resources:** The Department can attach service requirements or specific conditions that it establishes for use of funds, separate from those established by other authorities, for example, applicable statutory or regulatory requirements such as licensing or human rights regulations or federal anti-discrimination requirements, only to the state general and federal funds that it allocates to the Board and to the 10 percent local matching funds that are required to obtain the Board's state general fund allocations.
- 6. Board Responsibilities**
- a. State Hospital Bed Utilization:** In accordance with § 37.2-508 or § 37.2-608 of the Code of Virginia, the Board shall identify or develop jointly with the Department and with input from private providers involved with the public behavioral health and developmental services system mechanisms, such as the Discharge Protocols, Extraordinary Barriers to Discharge lists, and reinvestment, restructuring, or system transformation projects and activities, 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 Board is the case management board.
 - b. Quality of Care**
 - 1.) Clinical Consultation:** The Board may request the Department to provide professional consultations for clinically complex or difficult or medically complicated cases within the resources available for this purpose in the Department or its facilities and as permitted under 45 CFR § 164.506 (c) (1) when individuals or their authorized representatives have requested second opinions and with valid authorizations that comply with the Human Rights Regulations and the HIPAA Privacy Rule or when staff of the Board request such consultations for individuals it serves in the community, if the Board is not able to provide those second opinions or obtain this consultation within its resources.

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- 2.) **Quality Improvement and Risk Management:** The Board shall, to the extent possible, develop and implement quality improvement processes that utilize individual outcome measures, provider performance measures, and other data or participate in its local government's quality improvement processes to improve services, ensure that services are provided in accordance with current acceptable professional practice, and enable the ongoing review of all major areas of the Board's responsibilities under this contract.

The Board shall, to the extent practicable, develop, implement, and maintain, itself or in affiliation with other Boards, a quality improvement plan incorporating Board provider performance measures, individual outcome measures, and human rights information. The Board shall, to the extent practicable, develop, implement, and maintain, itself or in affiliation with other Boards, a risk management plan or the Board shall participate in a local government's risk management plan. The Board shall work with the Department through the System Leadership Council to identify how the Board will address quality improvement activities.

The Board shall implement, in collaboration with other Boards in its region, the state hospitals and training centers serving its region, and private providers involved with the public behavioral health and developmental services system, regional utilization management procedures and practices that reflect the Regional Utilization Management Guidance document, adopted by the System Leadership Council on January 10, 2007, which, by agreement of the parties, is hereby incorporated into and made a part of this contract by reference. This document is available on the Department's web site at www.dbhds.virginia.gov/OCC-default.htm.

- 3.) **Continuous Quality Improvement Process:** The Board shall address and report on the performance expectations and goals in Exhibit B of this contract as part of the Continuous Quality Improvement Process supported by the Department and the Board.

4.) Individual Outcome and Board Provider Performance Measures

- a.) **Measures:** Pursuant to § 37.2-508 or § 37.2-608 of the Code of Virginia, the Board shall report the individual outcome, Board provider performance, individual satisfaction, and individual and family member participation and involvement measures in Exhibit C of this contract to the Department. These reporting requirements are contingent on the Department supplying any necessary specifications and software to the Board in time for the Board to make needed changes in its information systems.
- b.) **Board Performance Measures:** The Department may negotiate specific, time-limited measures with the Board to address identified performance concerns or issues. When negotiated, such measures will 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 Board shall participate in an assessment of the satisfaction of individuals receiving services in accordance with Exhibit C of this contract.
- d.) **Substance Abuse Youth Surveys:** The Board shall work closely with community-based prevention planning groups, schools, and local governments to support and enable the administration of the Virginia Community Youth Survey and the Virginia Youth Tobacco Survey, which are mandated by federal funding sources and are necessary for continuation of federal block grant funding.
- e.) **Prevention Services Participants and Program Evaluations:** The Board shall evaluate a minimum of 20 percent of participants in evidence-based prevention programs using program-specific instruments, which are evaluation instruments and processes developed by the program developer for that program. The Board shall

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conduct program-specific evaluations of all federal Substance Abuse Prevention and Treatment grant-supported prevention programs as agreed in the grant contract with the Department. The Board shall use community-level abstinence data from regional community youth survey data for alcohol, tobacco, and other drug use, perceptions of harm and disapproval, and other indicator data, including archival data listed in the National Outcome Measures, for outcome evaluation of environmental strategies and community-based processes.

- f.) **Recovery Orientation:** The Board shall implement a plan for assessing and increasing its recovery orientation over time, initially for adults with serious mental illnesses, in accordance with Exhibit C and Section 5, Advancing the Vision, of the Partnership Agreement and shall report on its recovery orientation to the Department by March 31, 2011.
- 5.) **Program and Service Reviews:** The Department may conduct or contract for reviews of programs or services provided or contracted by the Board 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.
 - 6.) **Response to Complaints:** The Board shall implement procedures 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 Board shall acknowledge complaints that the Department refers to it within five days of receipt and provide follow up commentary on them to the Department within 10 days of receipt.
- c. **Reporting Requirements**
- 1.) **Board Responsibilities:** For purposes of reporting to the Department, the Board shall comply with State Board Policy 1037 and:
 - 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) and under §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), which are available on the Department's web site at www.dbhds.virginia.gov/OCC-dafault.htm and are hereby incorporated into and made a part of this contract by reference and by agreement of the parties;
 - 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), formerly the Uniform Facility Data Set (UFDS), 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;

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- d.) report Inventory of Mental Health Organizations information and data in accordance with federal requests to the greatest extent possible;
- e.) report KIT Prevention System data on all substance abuse prevention services provided by the Board, including services that are supported by the Substance Abuse Prevention and Treatment (SAPT) Block Grant allocation, LINK prevention and education services funded with the 20 percent SAPT set aside, and prevention services funded by other grants KIT Prevention System and reported under substance abuse in CARS-ACCESS, and enter KIT Prevention System data on goals, objectives, and programs approved by the community prevention planning coalition by June 15;
- 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 individual, service, financial, and other information on Part C services that it provides, previously reported through the CARS and CCS, to the Department through a separate reporting system maintained by the Department;
- h.) report individual, service, financial, and other information on jail diversion and juvenile detention center services, previously reported through separate manual reports, only through the CARS and CCS; and
- i.) report data and information required by the current Appropriation Act.

2.) Routine Reporting Requirements: The Board shall account for all services, revenues, 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 Board shall provide the following information and meet the following reporting requirements:

- a.) types and service capacities of services provided, costs for services provided, and revenues received by source and amount and expenses paid by program area and for services available outside of a program area, reported mid-year and at the end of the fiscal year through CARS, and types and amounts of services provided to each individual, reported monthly through the current CCS;
- b.) demographic characteristics of individuals served through the current CCS;
- c.) numbers of adults with serious mental illnesses, children with serious emotional disturbance, children at risk of serious emotional disturbance, and individuals with intellectual disability, or substance use disorder through the current CCS;
- d.) performance expectations and goals and individual outcome and Board provider performance measures in Exhibits B and C;
- e.) 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);
- f.) State Facility Discharge Waiting List Data Base reports using ACCESS software supplied by the Department;
- g.) Federal Balance Report (October 31);
- h.) Total numbers of individuals served for the Mandatory Outpatient Treatment, Discharge Assistance Project, Mental Health Child and Adolescent Services

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Initiative, MR Waiver Services, and other Consumer Designation (900) Codes through the current CCS;

- i.) PATH reports (mid-year and at the end of the fiscal year);
- j.) Uniform Cost Report information through CARS (annually) and
- k.) other reporting requirements in the current CCS Extract or Design Specifications.

3.) Subsequent Reporting Requirements: In accordance with State Board Policy 1037, the Board shall work with the Department 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 Board also shall work with the Department in planning and developing any additional reporting or documentation requirements beyond those identified in this contract, such as the federal mental health and substance abuse National Outcomes Measures (NOMS) when they become effective, to ensure that such requirements are consistent with the current Core Services Taxonomy, the current CCS, and TEDS and other federal reporting requirements.

4.) Streamlining Reporting Requirements: The Board shall work with the Department through the VACSB Data Management Committee to review existing reporting requirements outside of the current CCS to determine if they are still necessary and, if they are, to streamline those reporting requirements as much as possible.

d. Discharge Assistance Project (DAP)

1.) Board Responsibilities: If it participates in any DAP funded by the Department, the Board shall manage, account for, and report DAP funds allocated to it as a restricted fund. The Board shall be responsible for ensuring the effective utilization of those funds, without submitting individualized services plans (ISPs) to the Department for approval or preauthorization. The Board shall submit all DAP ISPs to the Department for information purposes and shall inform the Department whenever an individual is admitted to or discharged from a DAP-funded placement.

2.) Department Review: The Board agrees to participate in any utilization review or utilization management activities conducted by the Department involving services provided under the DAP. Protected health information may be disclosed as permitted under 45 CFR §§ 164.506 (c) (1), (3), and (4) and 164.512 (k) (6) (ii).

e. Compliance Requirements: The Board shall comply with all applicable federal, state, and local laws and regulations, including those contained or referenced in the Community Services Board Administrative Requirements and in Exhibits F and K 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 Board shall comply with the Health Insurance Portability and Accountability Act of 1996 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 Board shall ensure sensitive

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data, including HIPAA-protected health information and other confidential data, exchanged electronically with the Department meets the requirements in the FIPS 140-2 standard. The Department will accept 128 bit encryption methods that are FIPS 140-2 compliant.

The Board shall follow the procedures and satisfy the requirements in the Performance Contract Process and the Administrative Performance Standards, contained in Exhibits E and I respectively of this contract. The Board shall document its compliance with §§ 37.2-501, 37.2-504, and 37.2-508 or §§ 37.2-602, 37.2-605, and 37.2-608 of the Code of Virginia in Exhibits G and H of this contract.

- f. **Regional Programs:** The Board 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 current Core Services Taxonomy. The Board agrees to participate in any utilization review or utilization management activities conducted by the Department involving services provided through a regional program. Protected health information may be disclosed as permitted under 45 CFR §§ 164.506 (c) (1) and (3) and 164.512 (k) (6) (ii).
- g. **Joint Agreements:** If the Board enters into a joint agreement pursuant to § 37.2-512 or § 37.2-615 of the Code of Virginia, the Board shall describe the agreement in Exhibit J of this contract and shall attach a copy of the joint agreement to that Exhibit.
- h. **Intensive Care Coordination for the Comprehensive Services Act**
 - 1.) As the single point of entry into publicly funded behavioral health and developmental services pursuant to § 37.2-500 of the Code of Virginia and as the exclusive provider of Medicaid targeted mental health and developmental case management services, the Board is the most appropriate provider of intensive care coordination (ICC) services through the Comprehensive Services Act for At-Risk Youth and Families (CSA). The Board 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 families. If there is more than one CPMT in the Board's service area, the CPMTs and the Board may work together as a region to develop a plan for ICC services.
 - 2.) If the Board 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 the Board contracts with another entity to provide ICC services, the Board shall remain fully responsible for ICC services, including monitoring the services provided under the contract. Subject to the approval of the local CPMT(s), the Board may phase in ICC services as a way to facilitate meaningful integration of ICC services with existing services and supports or as a means of maximizing the limited resources available within the community.

7. Department Responsibilities

- a. **Funding:** The Department shall disburse the state general funds displayed in Exhibit A, subject to the Board's compliance with the provisions of this contract, prospectively on a semi-monthly basis to the Board. Payments may be revised to reflect funding adjustments.

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The Department shall disburse federal grant funds that it receives to the Board 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.) The Department shall make state facility services available, if appropriate, through its state hospitals and training centers, when individuals located in the Board's service area meet the admission criteria for these services.
- 2.) The Department shall track, monitor, and report on the Board's utilization of state hospital and training center beds and provide data to the Board about individuals receiving services from its service area who are served in state hospitals and training centers as permitted under 45 CFR §§ 164.506 (c) (1), (2), and (4) and 164.512 (k) (6) (ii). The Department shall post state hospital and training center bed utilization by the Board for all types of beds (adult, geriatric, child and adolescent, and forensic) on its Internet web site.
- 3.) The Department shall manage its state hospitals and training centers in accordance with State Board Policy 1035 to support service linkages with the Board, including adherence to the applicable provisions of the *Continuity of Care Procedures*, attached to the Community Services Board Requirements as Appendix A, and the *Discharge Planning Protocols*. The Department shall assure that its state hospitals and training centers use teleconferencing technology to the extent practicable and whenever possible to facilitate the Board's participation in treatment planning activities and the Board's fulfillment of its discharge planning responsibilities for individuals in state hospitals and training centers for whom it is the case management Board.
- 4.) The Department shall involve the Board, as applicable and to the greatest extent possible, in collaborative planning activities regarding the future role and structure of state hospitals and training centers.
- 5.) **Recovery Orientation:** The Department shall ensure that each state hospital shall implement a plan for assessing and increasing its recovery orientation over time, initially for adults with serious mental illnesses, 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 March 31, 2011.

c. Quality of Care

- 1.) The Department with participation from the Board shall identify individual outcome, Board provider performance, individual satisfaction, and individual and family member participation and involvement measures and emergency services and case management services performance expectations and goals for inclusion in this contract, pursuant to § 37.2-508 or § 37.2-608 of the Code of Virginia, and shall collect information about these measures and performance expectations and goals and work with the Board to use them as part of the Continuous Quality Improvement Process described in Exhibit B to improve services.
- 2.) The Department may provide professional consultations to the Board upon request for clinically complex or difficult or medically complicated cases within resources available for this purpose in the Department or its facilities and as permitted under 45 CFR § 164.506 (c) (1) when individuals receiving services or their authorized representatives have requested second opinions and with valid authorizations that comply with the Human Rights Regulations and the HIPAA Privacy Rule or when staff of the Board request such consultations for individuals it serves in the community, if the Board is not able to provide those second opinions or obtain this consultation within its resources.

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- 3.) The Department shall work with the Board, state hospitals and training centers serving it, and private providers involved with the public behavioral health and developmental services system, to implement regional utilization management procedures and practices reflected in the Regional Utilization Management Guidance document, adopted by the System Leadership Council on January 10, 2007, which, by agreement of the parties, is hereby 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, initially for adults with serious mental illnesses, in accordance with Exhibit C and Section 5, Advancing the Vision, of the Partnership Agreement and shall report on its recovery orientation on its web site by March 31, 2011. It shall work with the Board within the resources available to support the Board's efforts to assess and increase its recovery orientation over time and review and provide feedback to the Board on its efforts in this area.
- 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 Discharge Planning Protocols, and the Continuity of Care Procedures, included in the Community Services Board Administrative Requirements as Appendix A.

d. Reporting Requirements

- 1.) In accordance with State Board Policy 1037, the Department shall work with representatives of Boards, including 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 with the current Core Services Taxonomy, the current Community Consumer Submission (CCS), and TEDS and other federal reporting requirements. The Department also shall work with representatives of Boards, including the DMC, in planning and developing any additional reporting or documentation requirements beyond those identified in this contract, such as the federal mental health and substance abuse National Outcomes Measures (NOMS) when they become effective, to ensure that such requirements are consistent with the current Core Services Taxonomy, the current CCS, and TEDS and other federal reporting requirements.
- 2.) The Department shall collaborate with representatives of the Boards, including the DMC, in the implementation and modification of the current Community Consumer Submission (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 Board through the CCS as permitted under 45 CFR §§ 164.506 (c) (1) and (3) and 164.512 (a) (1) and under § 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.
- 3.) The Department shall work with representatives of the Boards, including the DMC, to reduce the number of data elements required whenever this is possible.
- 4.) The Department shall ensure that all surveys and requests for data have been reviewed for cost effectiveness and developed through a joint Department and Board process. The Department shall comply with the Procedures for Approving CSB Surveys, Questionnaires, and Data Collection Instruments and Establishing Reporting Requirements, issued by Commissioner Reinhard on November 9, 2007.

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5.) The Department shall work with representatives of the Boards, including the DMC, to review existing reporting requirements outside of the current CCS to determine if they are still necessary and, if they are, to streamline those reporting requirements as much as possible.

e. Discharge Assistance Project

1.) **Department Responsibilities:** If the Board participates in any DAP funded by the Department, the Department shall fund and monitor the DAP as a restricted fund. The Department agrees that the Board shall be responsible for ensuring the effective utilization of those funds, without submitting individualized services plans to the Department for preauthorization or approval.

2.) **Department Review:** The Department may conduct utilization review or utilization management activities involving services provided by the Board under the DAP. If such activities involve the disclosure of protected health information, the information may be used and disclosed as permitted under 45 CFR §§ 164.506 (c) (1), (3), and (4) and 164.512 (k) (6) (ii).

f. **Compliance Requirements:** The Department shall comply with all applicable state and federal statutes and regulations, including those contained or referenced in the Community Services Board Requirements and in Exhibits F and K of this contract, as they affect the operation of this contract. Any substantive change in the Community Services Board 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 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 shall ensure that any sensitive data, including HIPAA-protected health information and other confidential data, exchanged electronically with the Board meets the requirements in the FIPS 140-2 standard. The Department will use 128 bit encryption methods that are FIPS 140-2 compliant.

If the Board's receipt of DAP 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 DAP or state facility reinvestment project funds, as authorized by that *Code* section and State Board Policy 4010.

g. **Communication:** The Department shall provide technical assistance and written notification 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 respond in a timely manner to written correspondence from the Board that requests information or a response.

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- h. Regional Programs:** The Department may conduct utilization review or utilization management activities involving services provided by the Board through a regional program. If such activities involve the disclosure of protected health 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). If the Board's participation in 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, 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, as authorized by that *Code* section and State Board Policy 4010.
 - i. Peer Review Process:** The Department shall implement a process in collaboration with volunteer Boards 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.
- 8. Subcontracting:** The Board may subcontract any of the requirements in this contract. The Board 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 must comply with applicable statutes, regulations, and guidelines, including the Virginia Public Procurement Act. All subcontracted activities shall be formalized in written contracts between the Board and subcontractors. The Board agrees to provide copies of such contracts or other documents to the Department upon request.

A subcontract means a written agreement between the Board and another party under which the other party performs any of the Board'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 Board from another organization or agency or a person on behalf of an individual. If the Board hires an individual not as an employee but as a contractor (e.g., a part-time psychiatrist) to work within its programs, this does not constitute subcontracting under this section. Board 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 must, as applicable and at a minimum, state the activities to be performed, the time schedule and duration, the policies and requirements, including data reporting, that are applicable to the subcontractor, the maximum amount of money for which the Board 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 Board as a condition of doing business with the Board.
- b. Subcontractor Compliance:** The Board 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 Board 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 Board shall require all subcontractors that provide services to individuals and are licensed by the Department to maintain compliance with the Human

FY 2011 Community Services Performance Contract

Rights Regulations adopted by the State Board. The Board shall, to the greatest extent practicable, require all other subcontractors that provide services purchased by the Board for individuals and are not licensed by the Department to develop and implement policies and procedures that comply with the Board's human rights policies and procedures or to allow the Board to handle allegations of human rights violations on behalf of individuals served by the Board 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 Board may comply with these requirements on behalf of those providers, if both parties agree.

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

9. Terms and Conditions

- a. **Availability of Funds:** The Department and the Board 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, and terminating the contract, to assure Board compliance with this contract. Specific remedies, described in Exhibit I of this contract, may be taken if the Board 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 Board 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 adjustment of allocations or payments pursuant to section 5 of this contract;
 - 2.) termination or suspension of the performance 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 performance contract;
 - 5.) determination that an expenditure is not allowable under this contract; and
 - 6.) determination that the performance contract is void.

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

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- 2.) The Board 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 Board and the Department under this contract shall cease immediately. The Board and the Department shall make all reasonable efforts to ameliorate any negative consequences or effects of contract termination on individuals receiving services and Board 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 Board an adequate opportunity to use the dispute resolution process described in section 9.f of this contract. A written notice specifying the cause must be delivered to the Board's board chairman 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 Board 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 Board to address a particular situation or condition identified by the Department or the Board that may, if unresolved, result in termination of the contract, 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 Board'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 Board, 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 Board 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

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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 Board 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 Board'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 Board or the Department may seek judicial review of the final decision as provided in § 2.2-4365 of the Code of Virginia 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 Board. 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 Board shall defend or compromise, as appropriate, all claims, suits, actions, or proceedings arising from its performance of this contract. The Board 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. These responsibilities may be discharged by means of a proper and sufficient self-insurance program operated by the state or a city or county government. The Board shall provide a copy of any such 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 Board or the Department.
- i. 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. Areas for Future Resolution: On an ongoing basis, the Board and the Department 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 services. This section identifies issues

FY 2011 Community Services Performance Contract

and topics that the Board and the Department agree to work on collaboratively during the term of this contract in order to resolve them during that period or later, if necessary. Issues and topics may be added at any time by mutual agreement through amendment of this contract. The Board or representatives of the Board and the Department will establish work groups where appropriate to address these issues and topics. The Department and the Board also may address issues and topics through the System Leadership Council, which is described in the Partnership Agreement.

- a. **Evidence-Based or Best Clinical Practices:** Identify evidence-based practices or best clinical practices that will improve the quality of behavioral health or developmental services and address the service needs of individuals with co-occurring disorders and develop strategies for the implementation of these practices to the extent practicable.
- b. **Mental Health and Substance Abuse Services Performance Expectations and Goals:** Review the results of the previous year's implementation and consider revisions of the performance expectations and goals that address emergency services and case management services and expand this continuous quality improvement approach to other services provided by the Board, including preadmission screening and discharge planning and local, regional, and statewide utilization management; and to state facility operations.
- c. **Data Quality and Use:** Through the Moving Forward Work Group, the VACSB Data Management Committee, and similar mechanisms, work collaboratively to (i) monitor and increase the timeliness and quality of data submitted through the current Community Consumer Submission in accordance with the current CCS Extract Specifications and Design Specifications (including the current Business Rules); (ii) address current and future data and information needs, including communicating more effectively about the volume of services provided and how these services affect the lives of individuals; (iii) achieve the values and benefits of interoperability or the ability to reliably exchange information without error, in a secure fashion, with different information technology systems, software applications, and networks in various settings; to exchange this information with its clinical or operational meaning preserved and unaltered; and to do so in the course of the process of service delivery to promote the continuity of that process and (iv) plan for the implementation of electronic Health Information Exchange and Electronic Health Records by July 1, 2012 to improve the quality and accessibility of services and streamline and reduce reporting and documentation requirements.
- d. **Regional Management Structures or Processes for Individuals Moving Among Regions or Providers:** Through the Regional Utilization Management/Continuous Quality Improvement (RUM/CQI) Work Group, develop clear regional management structures or processes to deal with individuals transferring between private providers participating as signatories in regional partnerships and Boards or state facilities within a region or across regions or individuals transferring from Boards or state facilities in one region to Boards or state facilities in another region. The structures or processes should focus on behavioral rather than diagnostic criteria, individuals and their unique situations rather than population groupings, shared responsibilities and joint ownership, and problem solving. The structures or processes should be as consistent as possible among regions, while allowing variations needed to accommodate particular or unique circumstances in regions. The RUM/CQI Work Group shall develop these structures or processes for consideration and possible adoption in FY 2011 and, where appropriate, inclusion in the FY 2011 contract.

FY 2011 Community Services Performance Contract

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

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

Arlington County

Community Services Board
Board

By: _____

By: _____

Name: James W. Stewart, III
Title: Commissioner

Name: Carol Skelly
Title: Chairman of the Board

Date: _____

Date: _____

By: _____

Name: Cynthia L. Kemp
Title: Board Executive Director

Date: _____

Exhibit A

Arlington County Community Services Board

Consolidated Budget				
Revenue Source	Mental Health	Developmental Services	Substance Abuse	TOTAL
State Funds	2,138,272	779,999	1,052,314	3,970,585
State Restricted Funds	3,969,245	0	103,679	4,072,924
Local Matching Funds	8,629,069	6,709,391	3,770,774	19,109,234
Total Fees	1,899,263	329,758	56,813	2,285,834
Transfer Fees (To)/From	0	0	0	0
Federal Funds	572,532	0	1,025,719	1,598,251
Other Funds	0	0	0	0
State Retained Earnings	0	0	0	0
Federal Retained Earnings	0	0	0	0
Other Retained Earnings	0	0	0	0
Subtotal Funds	17,208,381	7,819,148	6,009,299	31,036,828
State Funds One-Time	0	0	0	0
State Restricted Funds One-Time	0	0	0	0
Federal Funds One-Time	0	0	0	0
Subtotal One -Time Funds	0	0	0	0
TOTAL ALL FUNDS	17,208,381	7,819,148	6,009,299	31,036,828
Cost for MH/DVS/SA	15,437,936	7,747,656	5,546,434	28,732,026
Cost for Services Available Outside of a Program Area				2,615,625
Total Cost				31,347,651

Local Match Computation	
Total State Funds	8,043,509
Local Matching Funds	19,109,234
Total State and Local Funds	27,152,743
% Local Match	70.38%

Administration Expenses	
Total Admin. Expenses	4,024,542
Total Expenses	31,347,651
% Administration	12.84%

FY2011 Community Services Performance Contract
Arlington County Community Services Board
Comments

<i>Comment1</i>	FY 2011 Performance Contract includes no retained fund projections. Will be
<i>Comment2</i>	added at revision and reflected in mid-year report. Major additions expected.
<i>Comment3</i>	MH Transfer In/(Out) Regional DAP (\$213,794) estimate provided by Fairfax acting
<i>Comment4</i>	as fiscal agent for region.
<i>Comment5</i>	SA Other Federal - CSB (\$216,000) - Annual funding from Office of National Drug
<i>Comment6</i>	Control Policy (ONDCP) focused on High Intensity Drug Trafficking Area (HIDTA).
<i>Comment7</i>	Funds used for SA treatment for incarcerated consumers and for additional
<i>Comment8</i>	intensive residential treatment post-jail.
<i>Comment9</i>	
<i>Comment10</i>	
<i>Comment11</i>	
<i>Comment12</i>	
<i>Comment13</i>	
<i>Comment14</i>	
<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>	

FY 2011 Performance Contract Financial Summary

Mental Health

Arlington County Community Services Board

Revenue Source	<u>Revenue</u>
<u>Fees</u>	
MH Medicaid Fees	1,667,347
MH Fees: Other	<u>231,916</u>
Total MH Fees	1,899,263
MH Transfer Fees (To)/From	0
MH Net Fees	<u>1,899,263</u>
<u>Restricted Funds</u>	
Federal	
MH FBG SED C & A	23,176
MH FBG SMI	37,416
MH FBG PACT	0
MH FBG Geriatrics	500,000
MH FBG Consumer Services	0
MH Fed PATH	11,940
MH Other Federal - DBHDS	0
MH Other Federal - CSB	0
Total Federal Restricted MH Funds	<u>572,532</u>
State	
MH Acute Care (Fiscal Agent)	0
MH Transfer In/(Out) Acute Care	0
MH Net Acute Care	<u>0</u>
MH Regional DAP (Fiscal Agent)	0
MH Transfer In/(Out) Regional DAP	213,794
MH Net Regional DAP	<u>213,794</u>
MH Facility Reinvestment (Fiscal Agent)	0
MH Transfer In/(Out) Facility Reinvestment	0
MH Net Facility Reinvestment	<u>0</u>
MH Regional DAD/Wintex (Fiscal Agent)	0
MH Transfer In/(Out) Regional DAD/Wintex	0
MH Net Regional DAD/Wintex	<u>0</u>
MH Crisis Stabilization (Fiscal Agent)	273,852
MH Transfer In/(Out) Crisis Stabilization	0
MH Net Crisis Stabilization	<u>273,852</u>
MH Recovery (Fiscal Agent)	92,000
MH Transfer In/(Out) Recovery	0
MH Net Recovery	<u>92,000</u>
MH Transformation (Fiscal Agent)	70,000
MH Transfer In/(Out) Transformation	0
MH Net Transformation	<u>70,000</u>
MH DAD/Wintex	110,000
MH PACT	665,000
MH Discharge Assistance (DAP)	976,027

FY 2011 Performance Contract Financial Summary

Mental Health

Arlington County Community Services Board

Revenue Source	<u>Revenue</u>
MH Child & Adolescent Services Initiative	84,766
MH Pharmacy	483,314
MH Demo Proj-System of Care (Child)	0
MH Juvenile Detention	0
MH Jail Diversion/Service	75,000
MH Geriatrics	522,500
MH Law Reform	331,492
MH Children's Outpatient	71,500
Total State Restricted MH Funds	3,969,245
<u>Other Funds</u>	
MH Other Funds	0
MH Federal Retained Earnings	0
MH State Retained Earnings	0
MH State Retained Earnings - Regional Prog	0
MH Other Retained Earnings	0
Total Other MH Funds	0
<u>State Funds</u>	
MH State General Funds	2,117,883
MH State Regional Deaf Services	0
MH State NGRI	0
MH State Children's Services	20,389
Total State MH Funds	2,138,272
<u>Local Matching Funds</u>	
MH In-Kind	0
MH Contributions	0
MH Local Other	0
MH Local Government	8,629,069
Total Local MH Funds	8,629,069
Total MH Revenue	17,208,381
<u>MH One Time Funds</u>	
MH FBG SWVMH Board	0
MH FBG SMI	0
MH FBG SED C & A	0
MH FBG Consumer Services	0
MH Fed Emergency Preparedness and Response	0
MH State General Funds	0
Total One Time MH Funds	0
Total All MH Revenue	17,208,381

FY 2011 Performance Contract Financial Summary
Developmental Services (DVS)
Arlington County Community Services Board

Revenue Sources	Revenue
<u>Fees</u>	
DVS Medicaid Fees	306,000
DVS Medicaid ICF/DVS	0
DVS Fees: Other	23,758
Total DVS Fees	329,758
DVS Transfer Fees (To)/From	0
DVS Net Fees	329,758
<u>Restricted Funds</u>	
<u>Federal</u>	
DVS Other Federal - DBHDS	0
DVS Other Federal - CSB	0
Total Federal Restricted DVS Funds	0
<u>State</u>	
DVS Facility Reinvestment (Fiscal Agent)	0
DVS Transfer In/(Out) Facility Reinvestment	0
DVS Net Facility Reinvestment	0
DVS Transformation	0
Total State Restricted DVS Funds	0
<u>Other Funds</u>	
DVS Workshop Sales	0
DVS Other Funds	0
DVS State Retained Earnings	0
DVS Other Retained Earnings	0
Total Other DVS Funds	0
<u>State Funds</u>	
DVS State General Funds	771,458
DVS OBRA	8,541
DVS Family Support	0
DVS Children's Family Support	0
Total State DVS Funds	779,999

**FY 2011 Performance Contract Financial Summary
Developmental Services (DVS)**

Arlington County Community Services Board

Revenue Sources	Revenue
<u>Local Matching Funds</u>	
DVS In-Kind	0
DVS Contributions	0
DVS Local Other	0
DVS Local Government	6,709,391
Total Local DVS Funds	6,709,391
Total DVS Revenue	7,819,148
<u>DVS One Time Funds</u>	
DVS Waiver-Start Up	0
Total One Time DVS Funds	0
Total ALL DVS Revenue	7,819,148

FY 2011 Performance Contract Financial Summary

Substance Abuse

Arlington County Community Services Board

Revenue Sources	Revenue
<u>Fees</u>	
SA Medicaid Fees	0
SA Fees: Other	56,813
Total SA Fees	56,813
SA Transfer Fees (To)/From	0
SA Net Fees	56,813
<u>Restricted Funds</u>	
Federal	
SA FBG Alcohol/Drug Trmt	437,640
SA FBG Women (Includes LINK-6 CSBs)	76,137
SA FBG Prevention-Women (LINK)	0
SA FBG SARPOS	94,197
SA FBG Facility Diversion	0
SA FBG Jail Services	0
SA FBG Crisis Intervention	0
SA FBG Prevention	181,745
SA FBG Co-Occurring	20,000
SA FBG Prev-Strengthening Families	0
SA FBG New Directions	0
SA FBG Recovery	0
SA Fed VASIP/COSIG (Fiscal Agent)	0
SA Fed Transfer In/(Out) VASIP/COSIG	0
SA Net VASIP/COSIG	0
SA Fed Project REMOTE	0
SA Fed "Returning to Work"	0
SA Fed Project TREAT	0
SA Other Federal - DBHDS	0
SA Other Federal - CSB	216,000
Total Federal Restricted SA Funds	1,025,719
State	
SA Facility Reinvestment (Fiscal Agent)	0
SA Transfer In/(Out) Facility Reinvestment	0
SA Net Facility Reinvestment	0
SA Facility Diversion	0
SA Women (Includes LINK - 4 CSBs)	0
SA Crisis Stabilization	0
SA MAT	0
SA Transformation	0
SA SARPOS	39,281
SA Recovery	0
SA HIV/AIDS	64,398
Total State Restricted SA Funds	103,679

FY 2011 Performance Contract Financial Summary

Substance Abuse

Arlington County Community Services Board

Revenue Sources	Revenue
<u>Other Funds</u>	
SA Other Funds	0
SA Federal Retained Earnings	0
SA State Retained Earnings	0
SA State Retained Earnings-Regional Prog	0
SA Other Retained Earnings	0
Total Other SA Funds	0
<u>State Funds</u>	
SA State General Funds	1,052,314
SA Region V Residential	0
SA Postpartum - Women	0
SA Jail Services/Juv Detention	0
Total State SA Funds	1,052,314
<u>Local Matching Funds</u>	
SA In-Kind	0
SA Contributions	0
SA Local Other	0
SA Local Government	3,770,774
Total Local SA Funds	3,770,774
Total SA Revenue	6,009,299
<u>SA One Time Funds</u>	
SA FBG Alcohol/Drug Trmt	0
SA FBG Women (includes LINK-6 CSBs)	0
SA FBG Prevention	0
SA State General Funds	0
Total One Time SA Funds	0
Total ALL SA Revenue	6,009,299

FY 2011 Community Services Performance Contract

Local Government Tax Appropriations

Arlington County Community Services Board

City/County	Tax Appropriation
Arlington County	19,109,234
Total Local Government Tax Funds:	19,109,234

FY 2011 Community Services Performance Contract

Supplemental Information

Reconciliation of Financial Report and Utilization Data (Core Services) Expenses

Arlington County Community Services Board

	MH	DVS	SA	Services Outside Prog. Area	Total
Financial Report Revenue	17,208,381	7,819,148	6,009,299		31,036,828
Utilization Data Expenses	15,437,936	7,747,656	5,546,434	2,615,625	31,347,651
Difference	1,770,445	71,492	462,865	-2,615,625	-310,823

Difference results from

Other 310,823

Explanation of Other: MH Local Inpatient (\$310,823) included on the service side, but not on revenue side as Fairfax acts as fiscal agent (per agreement). Estimate provided by Fairfax.

FY 2011 Community Services Performance Contract

CSB 100 Mental Health Services

Arlington County Community Services Board

Report for Form 11

Core Services Code	Costs
250 Acute Psychiatric or SA Inpatient Services	\$310,823
310 Outpatient Services	\$4,940,094
350 Assertive Community Treatment	\$1,155,156
320 Case Management Services	\$3,188,203
420 Ambulatory Crisis Stabilization Services	\$4,101
425 Rehabilitation/Habilitation	\$519,989
430 Sheltered Employment	\$71,322
465 Group Supported Employment	\$8,826
460 Individual Supported Employment	\$263,067
501 Highly Intensive Residential Services	\$874,936
510 Residential Crisis Stabilization Services	\$481,247
521 Intensive Residential Services	\$1,522,288
551 Supervised Residential Services	\$239,784
581 Supportive Residential Services	\$1,858,100
Total Costs	\$15,437,936

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CSB 200 Developmental Services

Arlington County Community Services Board

Report for Form 21

Core Services Code	Costs
320 Case Management Services	\$1,309,859
425 Rehabilitation/Habilitation	\$2,258,095
430 Sheltered Employment	\$303,220
465 Group Supported Employment	\$775,663
460 Individual Supported Employment	\$231,550
521 Intensive Residential Services	\$1,927,256
551 Supervised Residential Services	\$787,893
581 Supportive Residential Services	\$154,120
Total Costs	\$7,747,656

FY 2011 Community Services Performance Contract
CSB 300 Substance Abuse Services
Arlington County Community Services Board

Report for Form 31

Core Services Code	Costs
250 Acute Psychiatric or SA Inpatient Services	\$3,936
310 Outpatient Services	\$1,817,934
320 Case Management Services	\$485,067
501 Highly Intensive Residential Services	\$805,520
521 Intensive Residential Services	\$1,887,753
551 Supervised Residential Services	\$264,986
610 Prevention Services	\$281,238
Total Costs	\$5,546,434

FY 2011 Community Services Performance Contract
CSB 400 Services Available Outside of a Program Area
Arlington County Community Services Board

Report for Form 01

Core Services Code	Costs
100 Emergency Services	\$1,540,464
318 Motivational Treatment Services	\$75,434
390 Consumer Monitoring Services	\$261,071
720 Assessment and Evaluation Services	\$605,688
620 Early Intervention Services	\$30,308
730 Consumer Run Services	\$102,660
Total Costs	\$2,615,625

FY 2011 Community Services Performance Contract

Exhibit B: Continuous Quality Improvement Process

Introduction: The Department shall continue to work with Boards to achieve a welcoming, recovery-oriented, integrated services system, a transformed system for individuals receiving services and their families in which Boards, 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 continuous quality improvement process, in a partnership among Boards, the Department, and other stakeholders, in which there is a consistent shared vision combined with a measurable and achievable implementation process for each Board to make progress toward this vision. This contract provides further clarification for those implementation activities, so that each Board can be successful in designing a performance improvement process at the local level.

Meaningful performance expectations are part of a continuous quality improvement (CQI) process being developed and supported by the Department and the Board that will monitor the Board's 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 established requirements based in statute, regulation, or policy. Performance goals are developmental; once baseline measures are established and implemented, they will become expectations. The initial performance expectations and goals focus on the areas of the public behavioral health and developmental services system that have the primary interactions with individuals who are at risk of involvement in the civil admissions process established in Chapter 8 of Title 37.2 of the Code of Virginia, are directly involved in that process, are receiving case management services from the Board, or require service linkages between state facility or local inpatient services and other community services. This emphasis is consistent with the Department's and the Board's interest in assuring that individuals receive the services and supports necessary to link them with the most appropriate resources needed to support their recovery, empowerment, and self-determination. It also is consistent with the recognition that many of these individuals will have co-occurring mental health and substance use disorders or intellectual disability and will need services that are designed to welcome and engage them in co-occurring capable services. 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 Board and system wide performance over time through a partnership among Boards and the Department in which they are working to achieve a shared vision of a transformed services system. In this process, Boards 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. Then, each Board assesses and reports to the Department on its progress toward achieving these expectations and goals and develops and implements a CQI plan to meet them. As benchmarks are attained and expectations and goals are achieved, Boards and the Department review and revise the performance expectations, goals, and benchmarks or establish new ones. Because this CQI process focuses on improving services and to strengthen the engagement of Boards in this process and preserve essential services for individuals, funding will not be based on or associated with Board performance in achieving these expectations and goals. The Department and the Board may negotiate Board performance measures in Exhibit D reflecting actions or requirements to meet expectations and goals in the Board's CQI plan. As this joint CQI process evolves and expands, the Department and the VACSB will utilize data and reports submitted by Boards to conduct a broader scale evaluation of service system performance and to identify opportunities for CQI activities across all program areas.

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I. CQI Performance Expectations and Goals for Emergency Services and Mental Health and Substance Abuse Case Management Services

A. General Performance Goals

1. For individuals currently receiving services, the Board shall have 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 should be welcomed and engaged promptly in an integrated screening and assessment process to determine the best response or disposition for continuing care.
2. For individuals hospitalized through the civil involuntary admission process in a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital, including those who were under a temporary detention order or an involuntary commitment order or were admitted voluntarily from a commitment hearing, and referred to the Board, the Board that will provide services upon the individual's discharge shall have in place a protocol to engage those individuals in appropriate Board services and supports upon their return to the community. The Board shall monitor and strive 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, Board services should be planned as co-occurring capable and should promote successful engagement of these individuals in continuing integrated care.

B. Emergency Services Performance Expectations

1. Every preadmission screening evaluator hired after July 1, 2008 shall meet the educational qualifications endorsed in October 2007 by the Department and the Virginia Association of Community Services Boards.
2. Every preadmission screening evaluator shall complete the certification program approved by the Department, and documentation of satisfactory completion shall be accessible for review.
3. Every preadmission screening evaluator shall be hired with the goal of welcoming individuals with co-occurring disorders and performing hopeful engagement and integrated screening and assessment.
4. Pursuant to subsection B of § 37.2-815 of the Code of Virginia, a preadmission screening evaluator or, through a mutual arrangement, an evaluator from another Board shall attend each commitment hearing, original (up to 30 days) or recommitment (up to 180 days), for an adult held in the Board's service area or for an adult receiving services from the Board held outside of its service area in person, or, if that is not possible, the preadmission screening evaluator shall participate 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.
5. In preparing preadmission screening reports, the preadmission screening evaluator shall consider all available relevant clinical information, including a review of clinical records, wellness recovery action plans, advance directives, and information or recommendations

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provided by other current service providers or appropriate significant persons (e.g., family members or partners). Reports shall reference the relevant clinical information used by the preadmission screening evaluator.

6. If the emergency services intervention occurs in a hospital or clinic setting, the preadmission screening evaluator shall inform 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.

C. Emergency Services Performance Goals

1. Telephone access to clinicians employed or contracted by the Board to provide emergency services shall be available 24 hours per day, seven days per week. Initial telephone responders in emergency services shall triage calls and, for callers with emergency needs, shall be able to link the caller with a preadmission screening evaluator within 15 minutes of his or her initial call.
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 shall be completed by a certified preadmission screening evaluator who shall be available within one hour of initial contact for urban Boards and within two hours of initial contact for rural Boards. Urban and rural Boards are defined and listed in the current Overview of Community Services in Virginia on the Department's web site.

D. Mental Health and Substance Abuse Case Management Services Performance Expectations

1. Case managers employed or contracted by the Board shall meet the knowledge, skills, and abilities qualifications in the Case Management Licensing Regulations, 12 VAC 35-105-1250.
2. 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.
3. Case managers shall be 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, shall be conducted face-to-face with the individual every 90 days and shall include significant changes in the individual's status, engagement, participation in recovery planning, and preferences for services; and the ISP shall be 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 must review the ISP to consider reasonable solutions to address the individual's concerns.
5. The Board shall have policies and procedures in effect to ensure that, during normal business hours, case management services shall be available to respond in person, electronically, or by telephone to preadmission screening evaluators of individuals with open cases at the Board 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.

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E. Mental Health and Substance Abuse Case Management Services Performance Goals

1. For an individual who has been discharged from a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital or released from a commitment hearing and has been referred to the Board and determined by it to be appropriate for its case management services program, a preliminary assessment shall be initiated at first contact and completed, preferably within 14 but in no case more than 30 calendar days of referral, and an individualized services plan (ISP) shall be 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, shall be included in the clinical record.
2. 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 shall be documented. The Board shall have a procedure in place to routinely review the rate of and reasons for refused or discontinued case management services and shall take appropriate actions when possible to reduce that rate and address those reasons.

II. Co-Occurring Mental Health and Substance Use Disorders Performance Expectations

- A. The Board, as part of its regular intake processes, shall ensure that 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 Board shall assess the individual for co-occurring mental health and substance use disorders.
- B. If the Board has not conducted an organizational self-assessment of service integration using the COMPASS tool as part of the Virginia System Integration Project (VASIP) process. The Board shall conduct at least one organizational self-assessment of service integration using the COMPASS tool during the term of this contract and use the results of this self-assessment as part of its continuous quality improvement plan and process.
- C. In the Board's information system, individuals shall be 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).

III. Data Quality Performance Expectations and Goals

A. Data Quality Performance Expectations

1. The Board shall submit complete Community Consumer Submission (CCS) consumer, type of care, and services file extracts to the Department in accordance with the schedule in Exhibit E of this contract and the CCS 3 Extract Specifications - Version 7 and current CCS 3 Business Rules, a submission for each month by the end of the following month.
2. If the Board experiences a fatal error rate of more than five percent of its CCS consumer records in more than one monthly submission, the Board shall develop and implement 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.

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3. The Board shall ensure 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 Board shall identify situations where data is missing or incomplete and implement a data quality improvement plan to increase the completeness, accuracy, and quality of CCS data that it collects and reports.

IV. Continuous Quality Improvement Process Affirmations

Pursuant to Section 7: Accountability in the Community Services Performance Contract Central Office, State Facility, and Community Services Board Partnership Agreement, the Board provides the following affirmations of its compliance with the listed Emergency Services, Case Management, and Data Quality Performance Expectations and Goals. If the Board cannot comply with a particular affirmation, the Board 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 Board, whereupon, the plan will become part of this exhibit.

Expectation or Goal

Affirmation

- I.A.1. For individuals currently receiving services, the Board 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. The Board will provide a copy this protocol to the Department upon request. During its inspections, the Department's Licensing Office will examine this protocol to verify this affirmation as it reviews the Board's policies and procedures.
- I.A.2. For individuals hospitalized through the civil involuntary admission process in a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital, including those who were under a temporary detention order or an involuntary commitment order or were admitted voluntarily from a commitment hearing, and referred to the Board, for whom the Board will provide services upon the individual's discharge, the Board has in place a protocol to engage those individuals in appropriate Board services and supports upon their return to the community. The Board will provide this protocol to the Department upon request. During its inspections, the Department's Licensing Office will examine this protocol to verify this affirmation as it reviews the Board's policies and procedures.
- I.B.1. 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 will verify this affirmation as it reviews personnel records.
- I.B.2. Every preadmission screening evaluator employed by the Board has completed the certification program approved by the Department before performing preadmission screenings. During its inspections, the Department's Licensing Office will verify this affirmation as it reviews personnel or training records or documentation.

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- I.B.5. In preparing preadmission screening reports, preadmission screening evaluators consider 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 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 will verify this affirmation as it reviews services records, including records selected from a sample identified by the Board for individuals who received preadmission screening evaluations.
- I.B.6. If the emergency services intervention occurs in a hospital or clinic setting, the Board's 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 Board 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 will verify this affirmation as it reviews services records, including records selected from a sample identified by the Board for individuals who received preadmission screening evaluations, for a progress note or a copy of the preadmission screening form.
- I.D.1. Case managers employed or contracted by the Board meet the knowledge, skills, and abilities qualifications in the Case Management Licensing Regulations. During its inspections, the Department's Licensing Office will verify this affirmation as it reviews personnel records.
- I.D.2. Individuals receiving case management services are offered a choice of case managers to the extent possible, and this is documented by a procedure to address requests for changing a case manager. The Board will provide a copy this procedure to the Department upon request. During its inspections, the Department's Licensing Office will verify this affirmation as it reviews services records and by examining the procedure.
- I.D.3. Reviews of the ISP, including necessary assessment updates, are conducted face-to-face with the individual every 90 days and include significant changes in the individual's status, engagement, participation in recovery planning, and preferences for services; and the individualized services plan (ISP) shall be 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 will verify this affirmation as it reviews services records, including records from a sample identified by the Board for individuals who discontinued case management services.
- I.D.4. The Board has policies and procedures in effect so 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 Board 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 will verify this affirmation as it examines the Board's policies and procedures.

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- I.E.1. a. For an individual who has been discharged from a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital or released from a commitment hearing and has been referred to the Board and determined by it to be appropriate for its case management services program, 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.
- b. A copy of an advance directive, a wellness recovery action plan, or a similar expression of the treatment preferences of an individual receiving services, if available, is included in the individual's clinical record.

During its inspections, the Department's Licensing Office will verify these affirmations as it reviews service records.

- I.E.2. 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 Board has a procedure in place to routinely review the rate of and reasons for refused or discontinued case management services and shall take appropriate actions when possible to reduce that rate and address those reasons. The Board will provide a copy of this procedure to the Department upon request. During its inspections, the Department's Licensing Office will examine this procedure to verify this affirmation.
- II.A. The Board ensures that, as part of its regular intake processes, every adolescent (ages 13 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 Board assesses the individual for co-occurring mental health and substance use disorders. During its on-site reviews, the staff from the Department's Office of Substance Abuse Services will examine a sample of service records to verify this affirmation.
- II.B. If the Board has not conducted an organizational self-assessment of service integration using the COMPASS tool as part of the Virginia Services Integration Project (VASIP) process, the Board will conduct an organizational self-assessment during the term of this contract of service integration using the COMPASS tool and use the results of this self-assessment as part of its continuous quality improvement plan and process. The Board will 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 Board.
- II.C. The Board agrees that in its information system, individuals shall be 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 Board's CCS 3 submissions and reviewing any continuous quality improvement plan submitted by the Board.
- III.A.1. The Board agrees to submit 100 percent of its monthly CCS consumer, type of care, and services file extracts submitted to the Department in accordance with the schedule in

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Exhibit E of this contract and the CCS 3 Extract Specifications - Version 7 and current CCS 3 Business Rules, a submission for each month by the end of the month following the month for which the extracts are due. The Department will monitor this measure quarterly by analyzing the Board's CCS submissions and negotiate an Exhibit D with the Board if it fails to meet this goal for more than two months in a quarter.

- III.A.2. The Board agrees to monitor the total number of consumer records rejected due to fatal errors divided by the total consumer records in the Board's monthly CCS consumer extract file. If the Board experiences a fatal error rate of more than five percent of its CCS consumer records in more than one monthly submission, the Board agrees to develop and implement 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 Board's CCS submissions.
- III.A.3. The Board agrees to monitor 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 Board agrees to develop and implement a data quality improvement plan to reduce that percentage to no more than 10 percent. The Department will monitor this affirmation by analyzing the Board's CCS submissions.

V. Continuous Quality Improvement Process Measures

The Board agrees to monitor and collect data and report on the following measures, using the attached Exhibit B Required Measures Report, or to use data from the Department or other sources to monitor its accomplishment of the performance expectations and goals in this exhibit.

Expectation or Goal

Measure

- I.A.2. The Board agrees to monitor and report quarterly to the Department on the percentage of individuals referred to the Board who keep a face-to-face (non-emergency) service visit within seven business days after having been discharged from a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital following involvement in the civil involuntary admission process. This includes all individuals referred to the Board upon discharge from a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital who were under a temporary detention order or an involuntary commitment order or who were admitted voluntarily from a commitment hearing. The Department agrees to monitor part of this measure through comparing AVATAR data on individuals discharged from state hospitals to the Board with CCS data about their admission to the mental health program area and dates of service after discharge from the hospital or unit.
- I.B.4. The Board agrees to report the total number of original commitment (up to 30 days) and recommitment (up to 180 days) hearings for adults, attended each quarter by its preadmission screening evaluators for individuals it serves or on behalf of other Boards in person or via two-way electronic video and audio or telephonic communication systems to the Department quarterly.
- I.C.2. The Board agrees to collect in its two week sample of its emergency services each quarter, the time within which the preadmission screening evaluator is available when an

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immediate face-to-face intervention by a certified preadmission screening evaluator is appropriate to determine the need for involuntary hospitalization and to monitor achievement of the goal that the evaluator be available within one hour of initial contact for an urban board or within two hours for a rural board. The Board agrees to maintain documentation of these samples, including information about circumstances in which this goal is not met, locally for three years and to report a summary and analysis of the information quarterly to the Department.

VI. Continuous Quality Improvement Data Feedback

- A. For purposes of improving data quality and integrity, the Department shall provide regular reports to the Board on the completeness and validity of the individual and service data that it submits through CCS 3. When requested by the Department, the executive director of the Board shall develop and submit a plan of correction to the Department to remedy persistent deficiencies in the Board'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 a Board Performance Measure in Exhibit D.
- B. For purposes of furthering transparent accountability, the Department shall develop summary and comparative reports using CCS 3 and other data submitted by Boards and place these reports on its web site. Reports shall include information about numbers of individuals served, their characteristics, services availability, services provided, state hospital utilization rates, continuity of care between inpatient facilities and community services, emergency services responsiveness, community tenure, retention of individuals in services, Medicaid utilization, and penetration rates and the timeliness and completeness of CCS submissions. Before developing reports, the Department shall consult with the Executive Directors Forum and the Data Management Committee of the Virginia Association of Community Services Boards about the types and formats of these reports and shall work through the Performance Expectations Steering Committee to develop formats and explanations for agreed-upon reports.

Signature: In witness thereof, the Board provides the affirmations in section IV of this Exhibit and agrees to monitor and collect data and report on the measures in section IV of this Exhibit or to use data from the Department or other sources to monitor the accomplishment of the performance expectations and goals in this Exhibit, as denoted by the signature of the Board's Executive Director.

Arlington County

Community Services Board
Board

By: _____

Name: Cynthia L. Kemp

Title: Executive Director

Date: _____

FY 2011 Community Services Performance Contract

Date of Report:		Quarter: <input type="checkbox"/> First <input type="checkbox"/> Second <input type="checkbox"/> Third <input type="checkbox"/> Fourth Quarter	
CSB Name:		Contact Name:	
Contact Telephone Number:		E-Mail Address:	
Exh. B	Expectation or Goal Measure	Data	Data Reported
I.A.2	Percentage of individuals referred to the Board who keep a face-to-face (non-emergency) service visit within seven calendar days after having been discharged from a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital following involvement in the civil involuntary admission process. This includes all individuals referred to the Board upon discharge from a state hospital, a private psychiatric hospital, or a psychiatric unit in a public or private hospital who were under a temporary detention order or an involuntary commitment order or who were admitted voluntarily from a commitment hearing.		Number of individuals who kept scheduled face-to-face (non-emergency) service visits within seven days of discharge from the hospital or unit in this quarter.
I.B.4	Pursuant to subsection B of § 37.2-815 of the Code of Virginia, a preadmission screening evaluator or, through a mutual arrangement, an evaluator from another Board, shall attend each commitment hearing, original (up to 30 days) or recommitment (up to 180 days), for an adult held in the Board's service area or for an adult receiving services from the Board held outside of its service area in person. See I.B.4 for a complete statement of this goal measure.	%	Enter 1 st number ÷ by 2 nd number x 100.
I.C.2	When an immediate face-to-face intervention by a certified preadmission screening evaluator is appropriate to determine the need for involuntary hospitalization, the intervention shall be completed by a certified preadmission screening evaluator who shall be available within one hour of initial contact for urban Boards and within two hours of initial contact for rural Boards.		Total number of original commitment and recommitment hearings for adults attended each quarter by the Board's preadmission screening evaluators for individuals it serves or on behalf of other Boards.
			Number of individuals who required a face-to-face evaluation for possible involuntary hospitalization who saw a certified preadmission screening evaluator face-to-face within one or two hours of initial contact during the two-week sample of emergency services each quarter.
			The total number of individuals who saw a certified preadmission screening evaluator for evaluation of possible involuntary hospitalization during quarterly two week sample of emergency services.
		%	Enter 1 st number ÷ by 2 nd number x 100.

FY 2011 Community Services Performance Contract

Exhibit C: Statewide Individual Outcome and Board Performance Measures

Measure	Access for Pregnant Women
Program Area	Substance Abuse Services Only
Source of Requirement	SAPT 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

Other Board Provider Performance and Individual Outcome Measures will be collected through the current CCS, which CSBs submit to provide TEDS data and to satisfy federal Mental Health and SAPT Block Grant requirements. These measures include changes in employment status and type of residence, number of arrests, and type and frequency of alcohol or other drug use.

The Board also agrees to participate in the conduct of the following surveys:

1. Annual Survey of Individuals Receiving MH and SA Outpatient Services,
2. Annual Youth Services Survey for Families (i.e., Child MH survey), and
3. ID Family Survey (done at the time of the individual's annual planning meeting).

As part of its continuous quality improvement process and in accordance with Section 5, Advancing the Vision, of the Partnership Agreement and recommendations in the *Services System Transformation Initiative Data/Outcomes Measures Workgroup Report* (September 1, 2006), the Board 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 Board and the ROSI Provider Survey (23 item Administrative Profile) annually. The Board shall administer both ROSI surveys and report the results to the Department by March 31, 2011. The Board may submit the results of both ROSI surveys through the Department's Internet web portal. In administering the ROSI, the Board shall involve individuals receiving services, for instance by training and hiring individuals receiving services to administer the ROSI and to compile and analyze the results.

The Board and the Department agree to use the Web Site CSB and State Facility Accountability Measures, available on the Department's web site at www.dbhds.virginia.gov/WAM.htm, to monitor outcome and performance measures for CSBs and state facilities.

FY 2011 Community Services Performance Contract

Exhibit D: Board Performance Measures

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

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

Arlington County
Community Services Board
Board

By: _____

Name: James W. Stewart, III
Title: Commissioner

Date: _____

By: _____

Name: Carol Skelly
Title: Chairman of the Board

Date: _____

By: _____

Name: Cynthia L. Kemp
Title: Board Executive Director

Date: _____

FY 2011 Community Services Performance Contract

Exhibit E: Performance Contract Process and Contract Revision Instructions

- 05-03-10:** The Department distributes the FY 2011 Performance Contract to Boards electronically on **May 3**.
- 05-07-10:** The Department distributes the FY 2011 Letters of Notification to Boards on **May 7**, with enclosures that show tentative allocations of state and federal block grant funds. Another enclosure may list performance measures that have been negotiated with a Board to be included in Exhibit D of the contract. The Office of Information Technology Services (OITS) completes distribution of the FY 2011 Community Services Performance Contract package software in the Community Automated Reporting System (CARS) to CSBs by **May 7**.
- 06-18-10:** Exhibit A and other parts of the FY 2011 Community Services Performance Contract, submitted electronically in CARS, are due in the OITS *in time to be received by June 18*. Tables 1 and 2 of the Performance Contract Supplement (also in CARS) must be submitted with the contract. *While a paper copy of the complete contract is not submitted*, paper copies of the following completed pages with signatures where required are due in the Office of Community Contracting (OCC) by **June 18**: the signature page of the contract body; the Board's current organization chart (page 3 of Exhibit H); the signature page in Exhibit B; Exhibit D, if applicable; Exhibit F (two pages); page 1 of Exhibit G; Exhibit J (if applicable); and the signature page of the Partnership Agreement (page 11). Page 2 of Exhibit G must be submitted as soon as possible and no later than **September 30**.
- Contracts must conform to Letter of Notification allocations of state and federal funds, or amounts subsequently revised by or negotiated with the OCC and confirmed in writing, and must contain actual appropriated amounts of local matching funds. If the Board cannot include the minimum 10 percent local matching funds in the contract, it must 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 OCC with its contract. This requirement also applies to mid-year and end of the fiscal year performance contract reports, submitted after the ends of the 2nd and 4th quarters, and contract revisions, if either report or the contract revision reflects less than the minimum 10 percent local matching funds.
- 06-30-10:** CSB Financial Analysts in the Department's Office of Fiscal and Grants Management prepare Electronic Data Interchange (EDI) transfers for the *first two semi-monthly payments* (both July payments) of state and federal funds for all Boards and send the requests to the Department of Accounts, starting with the transmission on **June 30**.
- 07-14-10:** CSB Financial Analysts receive authorizations to prepare EDI transfers for *payments 3 through 6* (both August and September) of state and federal funds for Boards whose contracts were received and determined to be complete by July 14 and, after OCC Administrators authorize their release, prepare and send the transfers to the Department of Accounts, starting with the transmission on **July 30**. Payments will not be released without complete contracts, as defined in item 1 of Exhibit I. For a Board whose contract is received after July 14, EDI transfers for these four semi-monthly payments will be processed within two weeks of receipt of the contract, if the contract is complete.
- 07-22-10:** Department staff complete reviews by **July 22** of FY 2011 contracts received by June 18 that are complete and acceptable. Contracts received after June 19 will be processed in the order in which they are received.
1. The **Office of Fiscal and Grants Management (OFGM)** analyzes the revenue information in the contract for conformity to Letter of Notification allocations and makes corrections and changes on the financial forms in Exhibit A of the contract.

FY 2011 Community Services Performance Contract

2. The **Offices of Mental Health, Child and Family, Developmental, and Substance Abuse Services** review and approve new service proposals and consider program issues related to existing services, based on Exhibit A.
3. The **Office of Community Contracting (OCC)** assesses contract completeness, examines maintenance of local matching funds, analyzes existing service levels for numbers of individuals served, 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 OCC Administrator notifies the Board when its contract is not complete or has not been approved and advises the Board to revise and resubmit its contract.
4. The **Office of Information Technology Services (OITS)** receives CARS and Community Consumer Submission (CCS) submissions from the Boards, maintains the community database, and processes signed contracts into that database as they are received from the OCC.

07-30-10: Boards submit their final FY 2010 CCS consumer, type of care, and service extract files for June to the OITS in time to be received by **July 30**. Boards submit their final FY 2010 quarterly System Transformation Initiative (STI) reports in time to be received in the OCC by **July 30**.

08-20-10: The OITS distributes the FY 2010 end of the fiscal year performance contract report software (CARS) by **August 20**.

08-27-10: Boards submit their complete CCS reports for total (annual) FY 2010 CCS service unit data to the OITS in time to be received by **August 27**. This later date for final FY 2010 CCS service unit data, as opposed to July 31, 2010, allows for the inclusion of all units of services delivered in FY 2010, which might not be in local information systems in July.

08-31-10: Boards submit their CCS FY 2011 monthly consumer, type of care, and service extract files for July to the OITS in time to be received by **August 31**.

09-15-10: CSB Financial Analysts receive authorization to prepare EDI transfers for *payments 7 and 8* (October) and, after OCC Administrators authorize their release, prepare and send the transfers to the Department of Accounts, for transmission starting on **September 30** for payment 7 for Boards with signed contracts and that submitted their final FY 2010 CCS consumer, type of care, and service extract files and their final FY 2010 quarterly STI reports by July 30. Payments 7 and 8 will not be released without a contract signed by the Commissioner and receipt of those CCS extract files and final STI reports.

After the Commissioner signs it, the OCC sends a copy of the approved contract Exhibit A to the Board, with the signature page containing only the Commissioner's signature. The Board must review this contract, which reflects all of the changes negotiated by Department staff (see 7-22-10); complete the signature page, which documents its acceptance of these changes; and return the completed signature page to the OCC.

10-01-10: Boards send complete FY 2010 end of the fiscal year performance contract reports that include Uniform Cost Report information electronically in CARS to the OITS *in time to be received by* **October 1**.

OITS staff places the reports in a temporary data base for OCC and OFGM staff to access them and print paper copies of the reports. OCC Administrators review services sections of reports for correctness, completeness, consistency, and acceptability; resolve discrepancies with Boards; communicate necessary changes to Boards; and make the changes on the paper copies of the reports. CSB Financial Analysts review the financial portions of reports for arithmetic accuracy, completeness, consistency, and conformity with state funding actions; resolve discrepancies with Boards; communicate necessary changes to Boards; and make the changes on the paper copies of reports.

FY 2011 Community Services Performance Contract

Once OCC and OFGM staffs complete their reviews and corrections of a Board's reports, the OCC administrator notifies the Board to submit new reports, reflecting only those approved changes, to OITS. Upon receipt, the process described above is repeated to ensure the new reports contain only those changes identified by OFGM and OCC staff. If the reviews document this, OCC and OFGM staffs approve the reports. OITS staff then processes final report data into the Department's community database.

Late report submission, if an extension of the October 1 due date has not been obtained through the process in Exhibit I of this contract, or submitting a report without correcting errors identified by the CARS error checking program will result in a letter from the Commissioner to the Board Chairman and local government officials. See Exhibit I for additional information.

Boards submit their CCS FY 2011 monthly consumer, type of care, and service extract files for August to the OITS in time to be received by **October 1**.

10-01-10: Boards 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 board-operated programs to the Department's Office of Budget and Financial Reporting by **October 1**. A management letter and plan of correction for deficiencies must be sent with this report. Boards 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 Office of Budget and Financial Reporting by **October 1**. 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.

Audit reports for Boards 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 Board must forward a plan of correction for any audit deficiencies that are related to or affect the Board to the Office of Budget and Financial Reporting by **October 1**. Also, in order to satisfy federal block grant sub-recipient monitoring requirements imposed on the Department under the Single Audit Act, a Board 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. Alternatively, the local government's internal audit department can work with the Board and the Department to provide the necessary sub-recipient monitoring information.

If the Board receives an audit identifying material deficiencies or containing a disclaimer or prepares the plan of correction referenced in the preceding paragraph, the Board 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.

10-13-10: CSB Financial Analysts receive authorization to prepare EDI transfers for *payments 9 and 10* (November), and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, beginning with the transmission on **October 30** for Boards whose complete FY 2010 end of the fiscal year performance contract reports were received by October 1. Payments will not be released without (1) complete reports, as defined in item 2.a. of Exhibit I of this contract, (2) complete CCS submissions (see 07-31-10 and 08-27-10) for FY 2010 and for the first two months of FY 2011, and (3) the completed signature page received from the Board (see 9-15-10).

10-29-10: If necessary, Boards submit new FY 2010 end of the fiscal year performance contract reports not later than **October 29** that correct errors or inaccuracies. The Department will not accept CARS report revisions after October 29. Boards submit CCS FY 2011

FY 2011 Community Services Performance Contract

monthly consumer, type of care, and service extract files for September to the OITS in time to be received by **October 29**.

11-12-10: CSB Financial Analysts receive authorization to prepare EDI transfers for *payments 11 and 12* (December), and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, beginning with the transmission on **November 30**.

11-30-10: Boards submit their CCS FY 2011 monthly consumer, type of care, and service extract files for October to the OITS in time to be received by **November 30**.

12-15-10: CSB Financial Analysts receive authorization to prepare EDI transfers for *payment 13* (first January), and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, beginning with the transmission on **January 4** for Boards whose FY 2010 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, whose CCS submissions for FY 2010 are complete, and whose CCS monthly extracts for September and October have been received. Payments will not be released without verified reports, complete CCS submissions for FY 2010, and CCS submissions for September and October.

12-31-10: Boards submit their CCS FY 2011 monthly consumer, type of care, and service extract files for November to the OITS in time to be received by **December 31**.

01-04-11: The Department distributes the exposure draft of the FY 2012 performance contract for a 60-day public comment period pursuant to § 37.2-508 of the Code of Virginia.

CSB Financial Analysts receive authorization to prepare EDI transfers for *payments 14 through 16* (second January, February), and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, beginning with the transmission on **January 14** for Boards whose monthly CCS consumer, type of care, and service extract files for November were received by the end of the month following the month of the extract. Payments will not be released without receipt of these monthly CCS submissions.

01-07-11: The OITS distributes FY 2011 mid-year performance contract report software by **January 7**.

01-31-11: Boards submit their CCS FY 2011 monthly consumer, type of care, and service extract files for December to the OITS in time to be received by **January 31**.

02-16-11: Boards send complete mid-year performance contract reports and a revised Table 1 in Exhibit H to the OITS electronically in CARS-ACCESS *within 45 calendar days after the end of the second quarter, in time to be received by February 16*. OITS staff places the reports on a shared drive for OCC and OFGM staff to access them. The offices review and act on the reports using the process described at 10-01-10. When reports are acceptable, OITS staff processes the data into the Department's community data base.

CSB Financial Analysts receive authorization to prepare EDI transfers for *payment 17* (first March), and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, beginning with the transmission on **February 25** for Boards whose monthly CCS consumer, type of care, and service extract files for December were received by the end of the month following the month of the extract. Payments will not be released without these monthly CCS submissions.

02-25-11: CSB Financial Analysts receive authorization to prepare EDI transfers for *payments 18 and 19* (2nd March, 1st April) and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, starting with the transmission on **March 11** for Boards whose complete FY 2011 mid-year performance contract reports were received by February 16. Payments will not be released without

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complete reports, as defined in item 2.a. of Exhibit I. Boards submit their CCS FY 2011 monthly consumer, type of care, and service extract files for January to the OITS in time to be received by **February 28**.

- 03-31-11:** Boards submit their CCS FY 2011 monthly consumer, type of care, and service extract files for February to the OITS in time to be received by **March 31**.
- 04-01-11:** CSB Financial Analysts receive authorization to prepare EDI transfers for *payments 20 through 22* (2nd April, May) and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, starting with the transmission on **April 15** for Boards whose FY 2011 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 will not be released without verified reports and without these monthly CCS submissions.
- 04-15-11:** The Department distributes final revised FY 2011 Letters of Notification to Boards by **April 15**, with enclosures reflecting any changes in allocations of state and federal block grant funds since the original Letters of Notification (issued May 7, 2010) for Boards to use in preparing their final FY 2010 contract revisions.
- 04-29-11:** Boards submit their CCS FY 2011 monthly consumer, type of care, and service extract files for March to the OITS in time to be received by **April 29**.
- 05-02-11:** The Department distributes the FY 2012 Community Services Performance Contract and Letters of Notification to Boards on **May 2**, with enclosures showing tentative allocations of state and federal funds. The OITS completes distribution of the FY 2012 Community Services Performance Contract package software (CARS) to CSBs by **May 9**.
- The final revised FY 2011 Performance Contract Exhibit A, prepared in accordance with instructions in this Exhibit, is due in the OITS by **May 2**. Final contract revisions must conform to final revised Letter of Notification allocations, or amounts subsequently revised by or negotiated with the Department and confirmed in writing, and must contain actual amounts of local matching funds. Revised contracts are reviewed and acted on using the process at **7-22-10**. If the Board cannot include the minimum 10 percent local matching funds in its revised contract, it must 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 OCC with its revised contract.
- 05-13-11:** CSB Financial Analysts receive authorization to prepare EDI transfers for *payment 23* (first June), and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts, beginning with the transmission on **May 27** for Boards whose monthly CCS consumer, type of care, and service extract files for March were received by April 29. Payments will not be released without these monthly CCS submissions.
- 05-27-11:** Boards submit their CCS FY 2011 monthly consumer, type of care, and service extract files for April to the OITS in time to be received by **May 27**.
- 06-01-11:** CSB Financial Analysts receive authorization to prepare EDI transfers for *payment 24* and, after OCC Administrators authorize their release, prepare and send these transfers to the Department of Accounts for transmission on **June 15**, after the Department has made any final adjustments in the Board's state and federal funds allocations, for Boards whose monthly CCS consumer, type of care, and service extract files for April were received by May 27. Payments will not be released without these monthly CCS submissions.

FY 2011 Community Services Performance Contract

- 06-17-11:** The FY 2012 Community Services Performance Contract, submitted electronically in CARS, is due in the OITS and the paper copies of the applicable parts of the contract are due in the OCC by **June 17**.
- 06-30-11:** Boards submit their CCS FY 2011 monthly consumer, type of care, and service extract files for May to the OITS by **June 30**.
- 07-15-11:** The OITS distributes FY 2011 end of the fiscal year performance contract report software (CARS) to Boards.
- 07-31-11:** Boards submit their final CCS FY 2011 consumer, type of care, and service extract files for June to the OITS in time to be received by **July 31**.
- 08-31-11:** Boards submit their complete Community Consumer Submission (CCS) reports for total (annual) FY 2011 service units to the OITS in time to be received by **August 31**. This later date for final FY 2011 CCS service unit data, as opposed to July 30, 2011, allows for the inclusion of all units of services delivered in FY 2011, which might not be in local information systems in July.
- 10-01-11:** Boards send complete FY 2011 end of the fiscal year performance contract reports electronically in CARS to the OITS *in time to be received by* **October 1**.

Performance Contract Process and Contract Revision Instructions

The Board may revise Exhibit A of its signed performance 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 earmarked state general or federal funds are received to expand an existing service or establish a new one;
6. state general or federal block grant funds are moved between program (MH, MR, SA) areas (an exceptional situation);
7. allocations of state general, federal, or local funds change; or
8. a major error is discovered in the original contract.

Contract revisions should not be made to reflect minor deviations from the contract level in numbers of individuals to be served within existing programs and services.

To avoid frequent submissions of revisions, these circumstances should be consolidated and reflected in revisions that are periodically sent to the Department. A final revision must be submitted before the end of the term of this contract, as specified in this Exhibit, so that any discrepancies in state general or federal fund disbursements can be resolved and any other changes can be reflected in the final revision.

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

FY 2011 Community Services Performance Contract

Exhibit F: Federal Compliances

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

Check One

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

FY 2011 Community Services Performance Contract

Exhibit F: Federal Compliances

Assurances Regarding Restrictions on the Use of Federal Block Grant Funds

The Board 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 Prevention and Treatment Block Grant (CFDA 93.959), including those contained in the Community Services Board Administrative Requirements and the following requirements. Under no circumstances shall Federal Mental Health Services and Substance Abuse Prevention and Treatment Block Grant funds be used to:

1. provide mental health or substance abuse inpatient services¹;
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.

[Source: 45 CFR § 96.135]

Signature of Board Executive Director

Date

¹ However, the Board may expend SAPT Block Grant 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]

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Exhibit G: Local Government Approval of the Community Services Performance Contract – Page 1

1. Name of the Board: Arlington County Community Services Board

2. City or County designated as the Board's Fiscal Agent: Arlington County, Virginia

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

Name: Michael Brown Title: County Manager

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

Name: Francis X. O'Leary Title: Treasurer, Arlington County

5. Name of the Fiscal Agent official to whom checks should be electronically transmitted:

Name: Francis X. O'Leary Title: Treasurer, Arlington County

Address: Arlington County, Virginia

2100 Clarendon Boulevard, Suite 201

Arlington, VA 22201

Note: Subsection A.18 of § 37.2-504 of the Code of Virginia authorizes an operating community services board to receive state and federal funds directly from the Department and act as its own fiscal agent when authorized to do so by the governing body of each city or county that established it.

FY 2011 Community Services Performance Contract

Exhibit G: Local Government Approval of the Community Services Performance Contract – Page 2

Name of City or County ¹	Date Contract Submitted to Local Government ²	Date and Type of Approval ³
Arlington County, Virginia	July 17, 2010	

1. Enter the name of each city or county that established the Board in the left column.
2. Enter the date on which the Board submitted its contract to each local government.
3. Enter the date on which that city or county approved the Board's performance contract by formal vote and the type of action taken (e.g., passage of an ordinance or resolution or a motion and voice vote). The first page of Exhibit G must be submitted with the performance contract. The second page must be submitted to the Office of Community Contracting in the Department as soon as possible and no later than the last business day in September. By that date, if a local government has not acted upon the Board's contract, enter No Action Taken in this column.

FY 2011 Community Services Performance Contract Supplement

Table 1: Board of Directors Membership Characteristics

Name of CSB:	Arlington County Community Services Board				
Total Appointments:	<input type="text" value="18"/>	Vacancies:	<input type="text" value="1"/>	Filled Appointments:	<input type="text" value="17"/>
Number of Consumers:	<input type="text" value="1"/>	Number of Family Members:	<input type="text" value="10"/>		

FY 2011 Community Services Performance Contract

Exhibit H: Board Membership

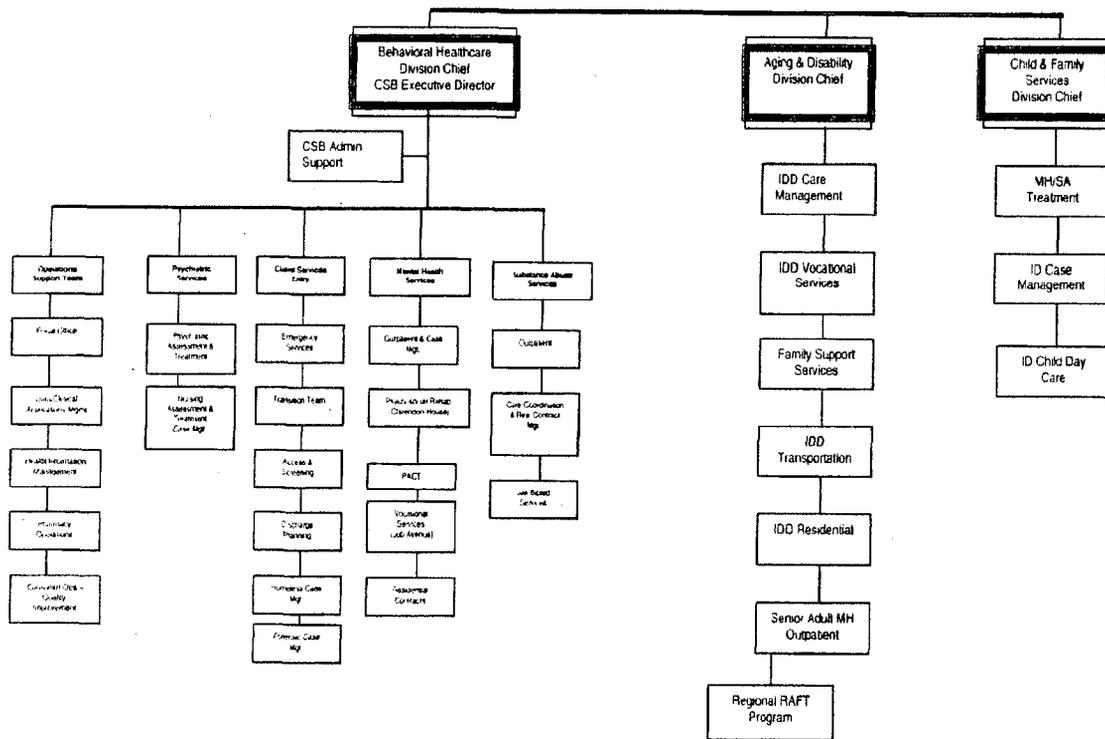
Table 1: Board Membership Characteristics			
Name of Board			
Total Appointments:	Vacancies:	Filled Appointments:	
Number of Consumers and Family Members (Ref. § 37.2-100 for Definitions)			
Number of Consumers or Former Consumers		Number of Family Members of Consumers or Former Consumers	
§ 37.2-501 and § 37.2-602 of the Code of Virginia require appointments to the Board to be broadly representative of the community. One-third of the appointments to the Board shall be identified consumers or former consumers or family members of consumers or former consumers, at least one of whom shall be a consumer receiving services.			

Use Table 1 in the Performance Contract Supplement (CARS) to complete this table.

Exhibit H: Board Organization Chart

Attach the Board's organization chart here.

ARLINGTON COUNTY, VIRGINIA
Department of Human Services
CSB Programs of Behavioral Health and Developmental Services
FY 2011



**FY 2011 Community Services Performance Contract
Exhibit D: CSB Board of Directors Membership List**

Arlington County Community Services Board

Name	Address	Phone Number	Start Date	End Date	Term No.
Brian Berke	CTP 1st Floor - 1425 Courthouse Road Arlington, VA 2220	(703) 228-4327	01/26/2010	06/30/2013	1
Scott Brannon	2904 South 13th Road Suite 202 Arlington, VA 22204	(703) 979-4673	07/01/2009	06/30/2012	2
Judith Deane	5533 North 17th Street Arlington, VA 22205	(703) 973-3981	02/23/2010	06/30/2013	1
Kathleen Donovan	1300 South Narwood Street Arlington, VA 22204	(703) 521-3346	06/24/2008	06/30/2011	3
Cynthia Fagnoni	1911 North Kenmore Street Arlington, VA 22207	(703) 527-6710	02/23/2010	06/30/2013	1
Barry Gale	3735 North Vernon St. Arlington, VA 22207	(703) 532-7257	07/01/2010	06/30/2013	2
Anne Marie Hermann	2514 North Quebec Street Arlington, VA 22207	(703) 524-3684	07/01/2009	06/30/2012	1
Barbara Frances Jones	3726 North Randolph Street Arlington, VA 22207	(703) 294-4167	07/01/2010	06/30/2013	2
David Kidwell	1435 North Courthouse Road Arlington, VA 22201	(703) 228-4492	09/29/2009	06/30/2012	1
Susan Lowry	1701 North Kenilworth Street Arlington, VA 22205	(703) 536-0341	07/01/2009	06/30/2012	2
James Mack	3615 North 38th St. Arlington, VA 22207	(703) 524-2914	07/01/2010	06/30/2013	2
Janice McDonald	813 North Lincoln Street Arlington, VA 22205	(703) 536-0341	07/22/2008	06/30/2011	1
Van Newstrom	515 26th Street South Arlington, VA 22202	(703) 683-5911	07/01/2010	06/30/2013	2
David Joseph O'Connor	5543 North 14th Road Arlington, VA 22205	(703) 532-3124	06/16/2009	06/30/2012	1
Jenette O'Keefe	4867 Old Dominion Drive Arlington, VA 22207	(703) 395-3363	06/24/2008	06/30/2011	2
Carol Skelly	2818 Key Boulevard Arlington, VA 22201	(703) 522-2007	06/24/2008	06/30/2011	2
Naomi Verdugo	885 North Lexington Street Arlington, VA 22205	(703) 841-5192	07/01/2010	06/30/2013	3

FY 2011 Community Services Performance Contract Supplement

Table 2: Board Management Salary Costs

Name of CSB:	Arlington County Community Services Board		FY 2011	
Table 2a:	FY 2011	Salary Range	Budgeted Tot.	Tenure
Management Position Title	Beginning	Ending	Salary Cost	(yrs)
Administrative/Finance Director	\$52,581.00	\$88,546.00	\$88,881.00	4.00
Developmental Services Director	\$56,701.00	\$93,746.00	\$94,090.00	4.00
Executive Director	\$59,696.00	\$156,582.00	\$130,953.00	7.00
Management Information System Director	\$50,315.00	\$83,221.00	\$66,877.00	2.00
Medical/Psychiatric Services Director	\$76,211.00	\$206,170.00	\$192,174.00	0.00
Mental Health Services Director	\$56,701.00	\$116,709.00	\$121,614.00	7.00
Substance Abuse Services Director	\$56,701.00	\$116,709.00	\$105,735.00	7.00

FY 2011 Community Services Performance Contract Supplement

Arlington County Community Services Board

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	MR	SA	Srv Outside Pgm	ADMIN	TOTAL
Consumer Service FTEs	74.80	9.75	23.00	20.20		127.75
Peer Staff Service FTEs	0.50	0.00	0.00	0.00		0.50
Support Staff FTEs	20.40	3.33	8.77	3.45	16.00	51.95
TOTAL FTE CSB Employees	95.70	13.08	31.77	23.65	16.00	180.20

Brian Berke
CTP 1st Floor - 1425 Courthouse Road
Arlington, VA 22201

Judith Deane
5533 North 17th Street
Arlington, VA 22205

Cynthia Fagnoni
1911 North Kenmore Street
Arlington, VA 22207

Anne Marie Hermann
2514 North Quebec Street
Arlington, VA 22207

David Kidwell
1435 North Courthouse Road
Arlington, VA 22201

James Mack
3615 North 38th St.
Arlington, VA 22207

Van Newstrom
515 26th Street South
Arlington, VA 22202

Jenette O'Keefe
4867 Old Dominion Drive
Arlington, VA 22207

Naomi Verdugo
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Arlington, VA 22205

Scott Brannon
2904 South 13th Road Suite 202
Arlington, VA 22204

Kathleen Donovan
1300 South Norwood Street
Arlington, VA 22204

Barry Gale
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Arlington, VA 22207

Barbara Frances Jones
3726 North Randolph Street
Arlington, VA 22207

Susan Lowry
1701 North Kenilworth Street
Arlington, VA 22205

Janice McDonald
813 North Lincoln Street
Arlington, VA 22205

David Joseph O'Connor
5543 North 14th Road
Arlington, VA 22205

Carol Skelly
2818 Key Boulevard
Arlington, VA 22201

FY 2011 Community Services Performance Contract

Exhibit I: Administrative Performance Standards

Standards

The Board shall meet these administrative performance standards in submitting its performance contract, contract revisions, mid-year and end of fiscal year performance contract reports in the Community Automated Reports System (CARS), and monthly Community Consumer Submission (CCS) extracts to the Department.

1. The performance contract and any revisions submitted by the Board shall be:
 - a. complete, that is all required information is displayed in the correct places and all required Exhibits and Forms, 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. The current contract term mid-year and the previous contract term end of fiscal year performance contract reports submitted by the Board 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 general and federal block grant funds allocations in the most recent 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 expenses, revenues, and service, cost, and individual 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, unless, pursuant to the process on the next page, an extension of the due date for the end of the fiscal year report has been obtained from the Department.

If these standards are not met for mid-year reports, the Department may delay future semi-monthly payments until satisfactory performance is achieved. If the Board does not meet these standards for its end of the fiscal year reports, the Department may delay future semi-monthly payments until satisfactory performance is achieved, and the Commissioner may contact the Board and local government officials about failure to comply with both aspects of standard 2.d or to satisfy standard 2.e.

3. Monthly consumer, type of care, and service extract files must 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). If the Board fails to meet the extract submission requirements in Exhibit E of this contract, the Department may delay future semi-monthly payments until satisfactory performance is achieved.
4. Substance abuse prevention units of service data in the Board's CARS end of fiscal year report must be identical to the service unit data that the Board submitted to the Department through the KIT Prevention System.

FY 2011 Community Services Performance Contract

Exhibit I: Administrative Performance Standards

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

Extensions will be granted only in very exceptional situations, for example, unanticipated staff, hardware, or software problems such as an ITS failure, a key staff person's illness or accident, or an emergency that makes it impossible to meet the due date.

1. It is the responsibility of the Board to seek, negotiate, obtain, and confirm the Department's approval of an extension of the due date within the time frames specified below.
2. As soon as the Board becomes aware that its end of the fiscal year report cannot be submitted in time to be received in the Department by 5:00 p.m. on the first business day of October in the current contract term, its executive director must inform the Office of Community Contracting Director or its Community Contracting Administrator that it is requesting an extension of this due date. This request should be submitted as soon as possible and it must be in writing, describe completely the reason(s) and need for the extension, and state the date on which the Department will receive the report.
3. The written request for an extension must be received in the Office of Community Contracting no later than 5:00 p.m. on the fourth business day before the date in the second step. A facsimile transmission of the request to the number used by the Office of Community Contracting (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 Office no later than 5:00 p.m. on the third business day before the date in the second step. Telephone extension requests are not acceptable and will not be processed.
4. The Office of Community Contracting will act on all requests for due date extensions that are received in accordance with this process and will notify the requesting Boards by facsimile transmission of the status of their requests by 5:00 p.m. on the second business day before the date in the second step.
5. If an extension of the end of the fiscal year report due date is granted, this will not result in automatic continuation of semi-monthly payments. All of the requirements for these payments, contained in Exhibit E, must be satisfied for semi-monthly payments to continue.

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Exhibit J: Joint Agreements

If the Board enters into a joint agreement pursuant to § 37.2-512 or § 37.2-615 of the Code of Virginia, the Board shall describe the agreement in this exhibit and attach a copy of the joint agreement to this Exhibit.

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Exhibit K: General Requirements

These general requirements apply to the Board and the Department and the services included in this contract. Any substantive change in these requirements, except changes in statutory, regulatory, policy, or other requirements which are made in accordance with processes or procedures associated with those statutes, regulations, policies, or other requirements, 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.

I. Board Requirements

A. State Requirements

1. **General State Requirements:** The Board 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 § 2.2-3127 of the Code of Virginia;
 - c. Virginia Freedom of Information Act, § 2.2-3700 through § 2.2 -3714 of the Code of Virginia, 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 of Virginia;
 - e. Virginia Public Procurement Act, § 2.2-4300 through § 2.2-4377 of the Code of Virginia;
 - f. Chapter 8 (Admissions and Dispositions) and other applicable provisions of Title 37.2 and other titles of the Code of Virginia; and
 - g. Applicable provisions of the current Appropriation Act.
2. **Protection of Individuals Receiving Services**
 - a. **Human Rights:** The Board shall comply with the *Rules and Regulations to Assure the Rights of Individuals Receiving Services from Providers of Mental Health, Mental Retardation and Substance Abuse Services*. In the event of a conflict between any of the provisions of this contract and provisions in these regulations, the applicable provisions of the regulations shall apply. The Board 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.
 - b. **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 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 (ISP).
 - c. **Dispute Resolution Mechanism:** The Board shall develop its own procedures for satisfying requirements in § 37.2-504 or § 37.2-605 of the Code of Virginia for a local dispute resolution mechanism for individuals receiving services.

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- d. Licensing:** The Board shall comply with the *Rules and Regulations for the Licensing of Providers of Mental Health, Mental Retardation and Substance Abuse Services*. The Board shall establish a system to ensure ongoing compliance with applicable licensing regulations. Results of licensing reviews, including scheduled reviews, unannounced visits, and complaint investigations, shall be provided to all members of the Board in a timely manner.

3. Planning

- a. General Planning:** The Board shall participate in collaborative local and regional service and management information systems planning with state facilities, other Boards, 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 Board 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 Board shall report unduplicated community waiting list information to the Department when required for the Comprehensive State Plan update. The Board shall work with local prevention planning bodies composed of representatives of multiple systems and groups to develop community-based prevention plans based on assessed needs and resources and submit annual Community Prevention Plan reports to the Department.
- b. Participation in State Facility Planning Activities:** The Board shall participate in collaborative planning activities with the Department to the greatest extent possible regarding the future role and structure of the state facilities that it operates.

4. Interagency Relationships

- a.** Pursuant to the case management requirements of § 37.2-500 or § 37.2-601 of the Code of Virginia, the Board 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 behavioral health or developmental services and supports identified in their individualized services plans. The Board shall comply with the provisions of § 37.2-504 or § 37.2-605 of the Code of Virginia regarding interagency agreements.
- b.** The Board also shall develop and maintain, in conjunction with the courts having jurisdiction in the cities or counties served by the Board, 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 Board 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 Board to provide services related to this act in the absence of sufficient funds and interagency agreements.

5. Forensic Services

- a.** Upon receipt of a court order pursuant to § 19.2-169.2 of the Code of Virginia, the Board shall provide or arrange for the provision of services to restore the individual to competency to stand trial. These services shall be provided in the local or regional jail, juvenile detention center (when a juvenile is being tried as an adult), or other location in the community where the individual is currently located. These services shall include treatment and restoration services, emergency services, assessment services, the provision of medications and medication management services, and

FY 2011 Community Services Performance Contract

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 Board 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), or other location in the community where the individual is located 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 Board shall perform a juvenile competency evaluation. Upon receipt of a court order pursuant to § 16.1-357, the Board shall provide services to restore a juvenile to competency to stand trial through the Department's statewide contract.
- d. Upon receipt of a court order, the Board 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 Board 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 Board'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 Board's staff will contact and collaborate with the Forensic Coordinator of the state hospital that serves the Board in making this determination. The Board'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 Community Services Board Administrative Requirements.
- f. The Board 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 Board 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 Board shall ensure that designated staff complete the forensic training necessary to maintain forensic certification.
- g. The Board 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 Board 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 Board. The Board 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

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conditionally released to a locality served by the Board 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.

6. Access to Services for Individuals who are Deaf, Hard of Hearing, Late Deafened, or Deafblind: The Board should identify and develop a working relationship with the Regional Deaf Services Program and the Regional Deaf Services Coordinator that serve the Board'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.

7. Providing Information: The Board shall provide any information requested by the Department 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 provision of information shall comply with applicable laws and regulations governing the confidentiality, privacy, and security of information regarding individuals receiving services from the Board.

B. Federal Requirements

1. General Federal Compliance Requirements: The Board shall comply with all applicable federal statutes, regulations, policies, and other requirements; including applicable provisions of the federal Mental Health Services Block Grant (CFDA 93.958) and the federal Substance Abuse Prevention and Treatment Block Grant (CFDA 93.959) Requirements contained in Appendix C of this Document, and:

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

Non-federal entities, including Boards, expending \$500,000 or more in a year in federal awards shall have a single or program-specific audit conducted for that year in accordance with Office of Management and Budget Circular A-133.

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

- a. the unlawful or unauthorized manufacture, distribution, dispensation, possession, or use of alcohol or other drugs; and
- b. any impairment or incapacitation from the use of alcohol or other drugs (except the use of drugs for legitimate medical purposes).

2. Disaster Response and Emergency Service Preparedness Requirements: The Board agrees to comply with section 416 of Public Law 93-288 and § 44-146.13 through § 44-146.28 of the Code of Virginia regarding disaster response and emergency service preparedness. Section 416 of P.L. 93-288 authorizes the State Office of Emergency Services to require the Department to comply with the *Commonwealth of Virginia Emergency Operations Plan, Volume 2, Emergency Support Function No. 8: Health and Medical Services, Section 4: Emergency Mental Health Services*. Section 4 requires the Board to comply with Department directives coordinating disaster planning, preparedness, and response to emergencies and to develop procedures for responding to major disasters. These procedures must address:

- a. conducting preparedness training activities;

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- b. designating staff to provide counseling;
 - c. coordinating with state facilities and local health departments or other responsible local agencies, departments, or units in preparing Board all hazards disaster plans;
 - d. providing crisis counseling and support to local agencies, including volunteer agencies;
 - e. negotiating disaster response agreements with local governments and state facilities; and
 - f. identifying community resources.
3. **Federal Certification Regarding Lobbying for the Mental Health and Substance Abuse Prevention and Treatment Block Grants:** The Board certifies, to the best of its knowledge and belief, that:
- a. No federal appropriated funds have been paid or will be paid, by or on behalf of the Board, 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.
 - b. 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 Board shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
 - c. The Board 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, and 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.

C. State and Federal Requirements

1. **Employment Anti-Discrimination:** The Board 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 Board agrees as follows.
- a. The Board 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 state law relating to discrimination in employment, except where there is a bona fide occupational qualification reasonably necessary to the normal operation

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of the Board. The Board agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause.

- b. The Board, in all solicitations or advertisements for employees placed by or on behalf of the Board, will state that it is an equal opportunity employer.
 - c. Notices, advertisements, and solicitations placed in accordance with federal law, rule, or regulation shall be deemed sufficient for the purpose of meeting these requirements.
2. **Service Delivery Anti-Discrimination:** The Board 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 a and b below.
- a. Services operated or funded by the Board 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.
 - b. The Board 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.
 - c. The Board 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.

II. Department Requirements

A. State Requirements

1. **Human Rights:** The Department shall operate the statewide human rights system described in the Human Rights Regulations, 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 an individual receiving services from the Board.
2. **Licensing:** The Department shall license programs and services that meet the requirements of the Licensing Regulations 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 Board regarding its efforts to coordinate and monitor services provided by independent providers licensed by the Department. Pursuant to the Licensing Review Protocol for CARF-Accredited Board Outpatient and Day Support Services, contained in the Community Services Boards Administrative Requirements, the Department's Office of Licensing shall accept CARF surveys as a review of regulation compliance for those licensing regulations or standards that are the same for outpatient and day support services at Boards that have triennial licenses for these services. These regulations or standards are identified in the crosswalk between the licensing regulations and CARF standards in the CSB Administrative Requirements.
3. **Reviews:** The Department shall review and take appropriate action on audits submitted by the Board in accordance with the provisions of this contract. The Department may conduct procurement, financial management, reimbursement, and human resource

FY 2011 Community Services Performance Contract

management reviews of a Board's operations, in accordance with provisions in the Community Services Board Administrative Requirements.

4. **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.
5. **Information Technology:** The Department shall operate and provide technical assistance and support, to the extent practicable, to the Board about the CARS information system and the Community Consumer Submission (CCS) software referenced in this contract and comply with State Board Policies 1030 and 1037. The Department shall operate the FIMS and the KIT Prevention System referenced in this contract. 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 in accordance with this contract. The Department shall ensure that any software application that it issues to the Board for reporting purposes associated with this contract has been field tested by a reasonable number of Boards to assure compatibility and functionality with the major IT systems used by Boards, is operational, and is provided to the Board sufficiently in advance of reporting deadlines to allow the Board to install and run the software application.
6. **Providing Information:** The Department shall provide any information requested by the Board 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.

**FY 2011 Community Services Performance Contract Central Office,
State Facility, and Community Services Board Partnership Agreement**

Section 1: Purpose

Collaboration through partnerships is the foundation of Virginia's public system of behavioral health (mental health and substance abuse) and developmental (mental retardation) services. The Central Office of the Department of Behavioral Health and Developmental Services (the Central Office), 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 local government departments with policy-advisory CSBs and behavioral health authorities 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 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 behavioral health and developmental 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 individual-driven and other core goals and values contained in this partnership 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, reinvestment and restructuring projects, and the system transformation initiative, the planning partnership regions, and the initiative to promote integrated services for individuals with co-occurring mental health and substance use disorders.

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This partnership agreement contains sections that address: Roles and Responsibilities; Core Values; Indicators Reflecting Core Values; Advancing the Vision; Critical Success Factors; Accountability; Involvement and Participation of Individuals Receiving Services and Their Family Members; System Leadership Council; Communication; Quality Improvement; Reviews, Consultation, and Technical Assistance; Revision; Relationship to the Community Services Performance Contract; and Signatures.

Section 2: Roles and Responsibilities

Although this partnership philosophy helps to ensure positive working relationships, each partner has a unique role in providing public behavioral health and developmental 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 funding that an individual-driven 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 behavioral health and developmental 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 behavioral health and developmental services.
9. Problem solves and collaborates with a CSB and State Facility together on a complex or difficult situation involving an individual receiving services when the CSB and State Facility have not been able to resolve the situation successfully at their level.

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Community Services Boards

1. Pursuant to State Board Policy 1035, serve as the single points of entry into the publicly funded system of individual-driven 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 behavioral health and developmental 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 local 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 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 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 General Requirements Document, 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.
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 local community services.

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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, individual-driven, person-centered, community-based, and integrated system of behavioral health and developmental 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 behavioral health and developmental services system. Our vision is of a individual-driven and community-based system of services and supports 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 includes 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.

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2. As partners, we will focus on fostering a culture of responsiveness instead of regulation, finding solutions rather than assigning responsibility, emphasizing flexibility over rigidity, and striving for continuous quality improvement, not just process streamlining.
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 non-disabled persons 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 persons 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 independently or in safe and affordable housing in the community with the highest level of independence possible is desired for adults receiving services.
16. Gaining or maintaining meaningful employment or participating in employment readiness activities improves the quality of life for adults with mental health or substance use disorders or intellectual disability.

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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, individual-driven, and community-based behavioral health and developmental 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. implement recommendations of the System Transformation Initiative Data/Monitoring Work Group, for example, use the ROSI or a similar mechanism to assess the recovery orientation of the CSB, the Central Office, or a State Facility.
2. **Integrated Services:** The partners agree to advance the values and principles in the Charter Agreement signed by the Board 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

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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 behavioral health and developmental 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 behavioral health and developmental 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. Behavioral health and developmental 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.

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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.

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- 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 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

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- 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, and other stakeholders. The Council will meet at least quarterly to, among other responsibilities:

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 behavioral health and developmental 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 behavioral health and developmental 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.

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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 behavioral health and developmental 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 does not and 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.

Section 15: Signatures. In witness thereof, the CSB and the Department, acting on behalf of the Central Office and the State Facilities that it operates, have caused this partnership agreement to be executed by the following duly authorized officials.

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

Arlington County

Community Services Board
Community Services Board

By: _____

By: _____

Name: James W. Stewart, III
Title: Commissioner

Name: Cynthia L. Kemp
Title: Executive Director

Date: _____

Date: _____