

Amendment 1
Exhibit E: FY2022 AND FY2023 Performance Contract Schedule and Process

DUE DATE	DESCRIPTION
5-20-22	<p>1. The Office of Fiscal and Grants Management (OFGM) distributes the Letters of Notification to CSBs with of state and federal block grant funds.</p> <p>NOTE: <u>This is contingent on the implementation of the fiscal year budget as passed by the General Assembly and signed into law by the Governor. The Code of Virginia allows the Governor to make certain adjustments to the Budget. Changes in Federal legislation, inclement weather and uncertain revenue collections, are just a few examples of events that may require adjustments to the budget in order to maintain the balanced budget as required by Virginia's constitution.</u></p> <p>2. The Department's Office of Information Services and Technology (OIS&T) distributes the current fiscal year performance contract software through the Community Automated Reporting System (CARS) to CSBs. CSBs must only provide allocations of state and federal funds or amounts subsequently revised by or negotiated and approved by the Department and have actual appropriated amounts of local matching funds.</p>
06-24-22	<p>1. CSB must complete Exhibit A, Table 2 Board Management and Salary Cost and Integrated Behavioral and Primary Health Care Questions through the CARS application.</p> <p>2. During June and July, the OFGM prepares the electronic data interchange transfers for the first two semi- monthly payments (for July payments) of state and federal for the CSBs. This will include 1/8th of any approved amounts of federal funds that are distributed on a state fiscal year basis. All other federal funds after this disbursements must be invoiced by the CSBs pursuant to the performance contract.</p>
07-01-22	<p>1. The current fiscal year performance contract or contract revisions should be signed and submitted electronically by the CSBs. This should include any applicable Exhibits D that may be due at this time to the Office of Management Services (OMS) sent to the performancecontractsupport@dbhds.virginia.gov email address.</p> <p>2. If the CSB has not met or maintained the minimum 10 percent local matching funds requirement at the end of the previous fiscal year, it must submit a written request for a waiver, pursuant to § 37.2-509 of the Code and State Board Policy 4010, and the Minimum Ten Percent Matching Funds Waiver Request Guidelines sent to the OMS performancecontractsupport@dbhds.virginia.gov email address.</p> <p>3. The OFGM prepares the transfers for payments 3 and 4 during July and August (for August payments) of state and federal funds. If the CSB CARS report data is not complete the payment(s) may not be released until the complete report is received. Once received these two semi-monthly payments will be processed and disbursed with the next scheduled payment.</p>
07-15-22	The OIS&T distributes the end of the fiscal year performance contract report through CARS.
07-29-22	CSBs submit their June Community Consumer Submission (CCS) extract files for June.
08-19-22	<p>1. CSBs submit their complete CCS extract files for total (annual) CCS service unit data. The Department will not accept any other corrections to the end of year CCS report after this date.</p> <p>2. OFGM prepares the transfers for payments 5 and 6 during August and September (September payments) of state and federal funds.</p>

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08-31-22	<ol style="list-style-type: none"> 3. CSBs send complete end of the fiscal year report through the CARS application. 4. The OMS reviews program services sections of the reports for any discrepancies and works with the CSBs to resolves deficiencies. 5. OFGM reviews financial portions of reports for any discrepancies and works with CSBs to resolve deficiencies.
9-16-2022	<ol style="list-style-type: none"> 1. <u>CSBs must resubmit approved revised program and financial reports through the CARS application no later than 09-16-2022. This is the final closeout date. The Department will not accept CARS report corrections after this date.</u> 2. CSBs submits their July CCS monthly extract files for July. This is the initial FY 2023 CCS monthly extract files. 3. OFGM prepares transfers for payments 7 and 8 during September and October (October payments). Payments may not be released without receipt of a CSB final end of the fiscal year CCS data.
09-30-22	<ol style="list-style-type: none"> 1. All CSB signed performance contracts and applicable Exhibits D are due to the Department for final signature by the Commissioner pursuant to § 37.2-508 of the Code. <u>Inaccurate or no submission of reports from 9/16/2022 and/or unsigned performance contracts will be out of compliance and may result in a one- time, one percent reduction not to exceed \$15,000 of state funds apportioned for CSB administrative expenses.</u> 2. CSBs submit their CCS monthly extract files for August.
10-03-22	<ol style="list-style-type: none"> 1. After the Commissioner signs the contracts, a fully executed copy of the performance contract and applicable Exhibits D will be sent to the CSBs electronically by OMS. 2. OFGM prepares transfers for payments 9 and 10 during October and November (November payments).
10-14-22	CSBs submit Federal Balance Reports to the OFGM.
10-31-22	<ol style="list-style-type: none"> 1. CSBs submit CCS monthly extract files for September. 2. OFGM prepare transfers for payments 11 and 12 during November and December (December payments). Payments may not be released without receipt of September CCS submissions and final Federal Balance Reports.
11-30-22	CSBs submit their CCS monthly extract files for October.
12-02-22	<ol style="list-style-type: none"> 1. CSBs that are not local government departments or included in local government audits send one copy of their Certified Public Accountant (CPA) audit reports for the previous fiscal year on all CSB operated programs to the Department's Office of Budget and Financial Reporting (OBFR). 2. CSBs submit a copy of CPA audit reports for all contract programs for their last full fiscal year, ending on June 30th, to the OBFR. For programs with different fiscal years, reports are due three

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	<p>months after the end of the year.</p> <ol style="list-style-type: none"> The CSBs shall have a management letter and plan of correction for identified material deficiencies which must be sent with these reports. Audit reports for CSBs that are local government departments or are included in local government audits are submitted to the Auditor of Public Accounts (APA) by the local government. The CSB must forward a plan of correction for any audit deficiencies to the OBFR. To satisfy federal grant sub-recipient monitoring requirements imposed on the Department under the Single Audit Act, a CSB that is a local government department or is included in its local government audit shall contract with the same CPA audit firm that audits its locality to perform testing related to the federal grants. Alternately, the local government's internal audit department can work with the CSB and the Department to provide the necessary sub-recipient monitoring information. If the CSB receives an audit identifying material deficiencies or containing a disclaimer or prepares the plan of correction referenced in the preceding paragraph, the CSB and the Department will work together to address the deficiencies as required in the performance contract.
12-30-22	<ol style="list-style-type: none"> OFGM prepares transfers during December for payment 13 through 16 (January and February payments). CSBs end of the fiscal year performance contract reports not accurate, incomplete, and/or CCS monthly extracts for October that have not been received, payments may not be released. CSBs submit their CCS monthly extract files for November.
01-06-23	The OIS&T distributes mid-year performance contract report CARS software.
01-31-23	CSBs submit their CCS monthly extract files for December.
02-17-23	<ol style="list-style-type: none"> CSBs send complete mid-year performance contract reports and a revised Table 1: Board of Directors Membership Characteristics through the CARS application. OFGM prepares transfers during February for payment 17 and 18 (March payments) for CSBs whose monthly CCS extract for December and CARS reports not received by the end of January, payments may not be released.
02-28-23	CSBs submit their CCS extract files for January. CSBs whose monthly CCS extract files for January were not received by the end of the month, payments may not be released.
03-31-23	<ol style="list-style-type: none"> CSBs submit their CCS extract files for February. OFGM prepares transfers during March for payments 19 and 20 (April payments) for CSBs whose complete mid-year performance contract reports, payments may not be released. CSB must submit their final, complete and accurate mid-year performance contract reports through CARS.
04-28-23	<ol style="list-style-type: none"> CSBs submit their CCS monthly extract files for March by this date. OFGM prepares transfers during April for payments 21 and 22 (May payments) for CSBs whose mid-year performance contract reports have not been verified as accurate and internally consistent and whose monthly CCS3 extract files for February were not received by the end of the month. Payments may not be released.
05-31-23	<ol style="list-style-type: none"> CSBs submit their CCS monthly extract files for April for CSBs whose monthly CCS extract

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	<p>files for April were received by the end of May.</p> <p>2. <u>If April CCS extract files are not received by May 31st, this may delay or even eliminate payment 24 due to time restrictions on when the Department can send transfers to the Department of Accounts for payment 24.</u></p> <p>3. OFGM prepares transfers during May for payment 23 and 24 (June payments) for CSBs whose monthly CCS extract files for March were not received by the end of April, payments may not be released.</p>
06-30-23	CSBs submit their CCS monthly extract files for May.

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I. Administrative Performance Requirements

The CSB shall meet these administrative performance requirements in submitting its performance contract, contract revisions, and mid-year and end-of-the-fiscal year performance contract reports in the CARS application, and monthly CCS extracts to the Department.

- A.** The performance contract and any revisions submitted by the CSB shall be:
 - 1. complete all required information is displayed in the correct places and all required Exhibits, including applicable signature pages, are included;
 - 2. consistent with Letter of Notification allocations or figures subsequently revised by or negotiated with the Department;
 - 3. prepared in accordance with instructions by the Department-
 - 4. received by the due dates listed in this Exhibit E
- B.** If the CSB does not meet these performance contract requirements, the Department may delay future payments of state and federal funds until satisfactory performance is achieved.
- C.** Mid-year and end-of-the-fiscal year performance contract reports submitted by the CSB shall be:
 - 1. complete, all required information is displayed in the correct places, all required data are included in the CARS application reports, and any other required information not included in CARS are submitted;
 - 2. consistent with the state and federal grant funds allocations in the Letter of Notification or figures subsequently revised by or negotiated with the Department;
 - 3. prepared in accordance with instructions provided by the Department;
 - 4. (i) all related funding, expense, and cost data are consistent, and correct within a report, and (ii) errors identified are corrected; and
 - 5. received by the due dates listed in this Exhibit
- D.** If the CSB does not meet these requirements for its mid-year and end-of-the-fiscal year CARS reports, the Department may delay future payments until satisfactory performance is achieved. The Department may impose one-time reductions of state funds apportioned for CSB administrative expenses on a CSB for its failure to meet the requirements in its end-of-the-fiscal year CARS report may have a one percent reduction not to exceed \$15,000 unless an extension has been granted by the Department.
- E.** The CSB shall submit monthly extra files by the end of the month following the month for which the data is extracted in accordance with the CCS Extract Specifications, including the current business rules.
- F.** If the CSB fails to meet the extract submission requirements in this Exhibit, the Department may delay payments until satisfactory performance is achieved. If the Department has not provided the CCS extract application to the CSB in time for it to transmit its monthly submissions this requirement does not apply.
- G.** If the Department negotiates a corrective action plan with a CSB because of unacceptable data quality, and the CSB fails to satisfy the requirements by the end of the contract term, the Department may impose a one-time one percent reduction not to exceed a total of \$15,000 of state funds apportioned for CSB administrative expenses..
- H.** The CSB shall not allocate or transfer a one-time reduction of state funds apportioned for administrative expenses to direct service or program costs.

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I. Administrative Performance Requirements

I. Process for Obtaining an Extension of the End-of-the-Fiscal Year CARS Report Due Date

1. Extension Request: The Department will grant an extension only in very exceptional situations such as a catastrophic information system failure, a key staff person's unanticipated illness or accident, or a local emergency or disaster situation that makes it impossible to meet the due date.
 - a. It is the responsibility of the CSB to obtain and confirm the Department's approval of an extension of the due date within the time frames specified below. Failure of the CSB to fulfill this responsibility constitutes prima facie acceptance by the CSB of any resulting one-time reduction in state funds apportioned for administrative expenses.
 - b. As soon as CSB staff becomes aware that it cannot submit the end-of-the-fiscal year CARS report by the due date to the Department, the executive director must inform the Office of Management Services (OMS) through the performancecontractsupport@dbhds.virginia.gov email mailbox that it is requesting an extension of this due date. This request should be submitted as soon as possible and describe completely the reason(s) and need for the extension, and state the date on which the report will be received by the Department.
 - c. The request for an extension must be received in the OMS no later than 5:00 p.m. on the fourth business day before the due date through the performancecontractsupport@dbhds.virginia.gov email mailbox. Telephone extension requests are not acceptable and will not be processed.
 - d. The OMS will act on all requests for due date extensions that are received in accordance with this process and will notify the requesting CSBs of the status of their requests within 2 business of receipt.

J. Performance Contract Revision Instructions:

1. The CSB may revise Exhibit A of its signed contract only in the following circumstances:
2. a new, previously unavailable category or subcategory of services is implemented;
3. an existing category or subcategory of services is totally eliminated;
4. a new program offering an existing category or subcategory of services is implemented;
5. a program offering an existing category or subcategory of services is eliminated;
6. new restricted or earmarked state or federal funds are received to expand an existing service or establish a new one;
7. state or federal block grant funds are moved among program (mental health, developmental, or substance use disorder) areas or emergency or ancillary services (an exceptional situation);
8. allocations of state, federal, or local funds change; or
9. a major error is discovered in the original contract.
10. Revisions of Exhibit A shall be submitted using the CARS application