

St. Clair County Mental Health Board

Requirements and Guidelines For Funding



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Introduction

The Community Mental Health Act [Ill. Compiled Statutes, Chapter 405, Act 20, Section 0.1 *et seq.*] (The Act) provides that a Community Mental Health Board, a unit of local government will plan, fund, coordinate, and evaluate public services and facilities for the treatment of persons with mental illness, developmental disabilities, and substance abuse problems in its geographic area. The St. Clair County Mental Health Board (the Board) promulgates rules and regulations to administer services and facilities that it directs, supervises, or funds consistent with the provision of the Act. The Community Mental Health Act defines mental health services as those services related to intellectual/developmental disabilities, mental illness/mental health, and services related to substance use disorders.

The Board is committed to being a responsible trustee of St. Clair County's mental health tax and seeks to contract in a manner which assures quality services at a reasonable cost.

This document sets forth the service, financial and administrative accountability requirements of the Board. Furthermore, these requirements and guidelines explain the criteria by which the Board monitors and evaluates compliance with the Board's service, fiscal and administrative requirements.

I. Service Area of the Board

- A. The service area of the Board, in accordance with the Act, shall be all of St. Clair County, Illinois.
- B. Services which are purchased by the Board with St. Clair County tax funds, in accordance with the Act, will be for St. Clair County residents.

II. Eligibility Requirements for Board Funding

A. General

Any individual or organization which meets the relevant, appropriate criteria is eligible to receive Board funds. These criteria are:

1. An individual will be appropriately professionally certified or licensed by the applicable state or national board or organization.
2. An organization may be public or private, not-for-profit or for profit, or a governmental unit.
3. An organization will demonstrate that it has the appropriate professional staff with the appropriate academic certification, state licensure, and appropriate experience.
4. An organization or an individual will demonstrate financial reliability and stability.
5. An organization or an individual will demonstrate the capability of appropriate, service, fiscal, and administrative accountability.

B. Funding

The Board's funding will supplement, and not supplant, other funding sources. If another source of funding can support a service, the Board expects those funds to be used for that service.

C. Service Recipients

Service recipients will be St. Clair County residents. In instances where clear benefit exists to the County, such as crisis intervention services, services may be to non-St. Clair County residents.

III. Funding Practices and Methods

A. General

1. Planning

- a) The St. Clair County Mental Health Board annually prepares and approves a service and budget plan. St. Clair County levies a mental health tax based on these plans. The Board, by legal statute, administers these County funds.
- b) The Board also administers and manages funds from state and federal sources. The management of such funds will follow all Board/County guidelines and any additional requirements according to the funding source.

2. Type of Contracts/Awards is:

- a) *Grant Contracts.*
- b) *Purchase of Service (POS) Contracts.*
- c) *Consultant Contracts.*
- d) *Capital Expenditures*

3. Awarding of Contracts

This section describes the most common ways the Board awards contracts. The Board contracts for a maximum of one year.

The Board may at times be approached to administratively manage or may seek, and receive private, state, or federal funds to provide services. The Board will follow the rules and regulations and the contractual obligations of these funds' sources throughout the administration of these funds.

a) *Request for Proposal (RFP)*

The Board may award funds through a request for proposal bidding process in which providers of service are invited to submit proposals according to appropriate specifications. These specifications in many instances require that individuals or organizations meet qualifications set forth in state, federal, or county statutes and their respective rules and regulations. When such legal requirements exist, an individual or organization will demonstrate the capability to meet these to be eligible to respond.

b) *Direct Solicitation*

The Board when it deems necessary, may award funds through direct solicitation. This includes but is not limited to when providers of certain services are limited, or when providers who meet legal requirements are limited. In instances when the Board has targeted a particular population for services, a provider already serving the particular target population may be solicited. In such instances, the Board may directly negotiate with the specific provider.

c) Fiscal Agent and Pass Through

The St. Clair County Mental Health Board may award funds acting as a fiscal agent for a particular individual or organization. Awarding of these funds follows the instructions and guidelines of the individual and organization. Federal or state funds are occasionally awarded to individual organizations, planning groups or coalitions of organizations. These groups need an administrative individual or organization to manage the funding, to contract with providers, to coordinate the activities, to meet the reporting requirements and to monitor the service implementation. As fiscal agent, the Board serves as that administrative individual or organization. The Board will consider each request to serve as fiscal agent, and if approved, develop an appropriate contractual agreement. The Board will follow the contractual obligations and the appropriate rules and regulations related to the original source of the particular funds and will execute appropriate subcontracts with providers of service.

d) Funding Application Period

New and continuation funding applications will be made available not later than 30 days prior to the start of the new funding (fiscal) year. An on-line funding application will be utilized, and applicants must adhere to all timelines. Late applications will not be accepted.

e) Petitioning the Board – One time Request, \$2,500 or less

Any service provider may petition the Board for a one-time funding of \$2,500 or less. The individual or organization interested in obtaining funds will submit a concise description of the purpose of the funding and the amount of funding desired to the Board's Executive Director. The Executive Director will present the request at the next regularly scheduled Finance Committee for a recommendation to the Full Board. The Committee will examine the substance of the request and how it relates to the Board's priorities and fund availability. After consideration by the Committee, the Full Board may act upon the Committee's recommendation. The individual or organization may, if desired, make a presentation to the Finance Committee.

e) Capital Development Request

Any service provider may petition the Board for one-time funding for the purpose of capital development. The organization interested in obtaining funds will submit a concise description of the purpose of the funding and the amount of funding desired to the Board's Executive Director. The Executive Director will present the request at the next regularly scheduled Finance Committee for a recommendation to the Full Board. The Committee will examine the substance of the request and how it relates to the Board's priorities and fund availability. After consideration by the Committee, the Full Board may act upon the Committee's recommendation. The individual or organization may, if desired, make a presentation to the Finance Committee.

f) Board Fiscal Year

July 1 to June 30.

4. Allocation and Decision Process

All Board allocation and contracting decisions are made in meetings open to the public. To the extent possible, final decisions will be predicated on the availability of funds and how well an application matches up with the statutory mandates, priorities, and criteria.

a) The Board for funding process shall include the following steps:

- i. Public notification of the availability of funding shall be posted on the Board's web page 30 days prior to the start of the funding period. This announcement will provide information necessary for an organization to apply for funding.
- ii. Technical assistance will be made available upon request at any time prior to the due date of the application.
- iii. Completed applications will be due on a date specified in the public notice and on the Board web page.
- iv. Staff will complete a summary of each application for review and discussion a scheduled Board Finance Committee meeting.
- v. The Finance Committee will complete preliminary funding recommendations, which will be presented to the full Board for action.
- vi. Once authorized by the Board, staff will implement the spending plan and complete the contracting process.

5. Contract Development

a) General

After the St. Clair County Mental Health Board has approved the spending plan, the contracting process begins. Once the Board has approved a spending plan, the providers will be notified. A contract negotiation session will be held to initiate the contracting process. The two-step contracting process involves completion of these four forms: *Service Delivery and Payment Plan*, *Program Summary*, *Compliance Reporting Requirements* and *Contract*. The finished product is the legal document governing the relationship between the St. Clair County Mental Health Board and a provider of service or another deliverable. The contract shall include the boilerplate contract and the appendices as listed below. Completion of the contract requires the signatures of authorized representatives of the Board and provider. The contract is not considered to be executed until all signatures are obtained.

i. *Service Delivery and Payment Plan – Appendix A*

This document delineates the key aspects of service delivery and payment. It contains basic identifying information, the unit of service definition, and the unit rate. Additionally, the organization uses the form to project the number of clients to be served, the number of service units which will be delivered in each month, and the amount of Board funds and other funds which will support these services. The information contained on this form may be revised throughout the fiscal year if necessary.

ii. *Reporting Compliance Requirements – Appendix B*

This document provides a checklist of required documents and/or information that will be required during the Contract. Due dates are incorporated within the document. Failure to comply will result in withholding of payment.

iii. *Program Summary – Appendix C*

This document defines the key characteristics regarding the services or deliverables being purchased by the St. Clair County Mental Health Board. It provides funding statistics, program description, service characteristics, documentation requirements and monitoring specifications.

b) Timelines

The Board will not be obligated for payments for services to a provider without a signed contract, and any provider that fails to meet timelines without good cause delivers service at their own risk. The Board's Executive Director may exempt a provider from the timeline requirement for good cause.

c) Contract Addendum

The need for a contract amendment is driven by a change in conditions delineated in the original agreement. The provider or Board's Executive Director can submit a formal request for an amendment to initiate the amendment process. The final decision regarding whether an amendment is necessary rests with the Board's Executive Director. Proposed amendments that increase or decrease an agency's allocation shall require the formal approval of the Board.

B. Payment Methods and Practices

1. General

The St. Clair County Mental Health Board will pay for services or disburse grant funds according to its *Requirements and Guidelines for Funding* and the relevant provision of individual contracts. Payment will be made for the approved contractual services provided to the approved individuals defined in the contract, and total payment will not exceed the maximum amount stated in the contract. The Board is not obligated and will not make any payments for services or deliverables that exceed the stated contractual amounts or are not part of the defined services of an individual contract. Although the Board's preferred method of payment is purchase of service, funds may also be disbursed through grant, capitation, or by other method. Payment method and practices will vary depending upon the funding method and the funding purpose. Whatever payment method is issued, the objectives are to assure the following:

Board funds support the approved services to the approved individuals.

Board funds do not supplant other funds.

The Board's level of payment is reasonable and cost efficient.

- a) Board payments may support a unit of service completely or, at times, partially support a service. When Board payments are expected to cover the full cost of the unit of service, an individual or organization may not receive payment from another source for the same service. When Board payment is partially supporting a service, a provider may be billing and /or receiving payments from another source. In these instances, the individual or organization shall follow the specific parameters detailed in their contract.
- b) An individual or organization under contract must submit an appropriate voucher via the Board's On-Line Reporting and Billing System. Vouchers must be submitted by the 10th calendar day of the month and payment will be provided within 20 working days of receipt of an appropriate, accurate voucher.

2. Purchase of Service

- a) All requirements listed under “*Payment Methods and Practices, III. B.1. General a) – b)*” is applicable to the POS Contracts unless specifically deleted herein.
- b) The Board will provide payment at a defined unit rate for services after they have been delivered. These payments will follow the payment plan detailed in the Contract.
- c) The St. Clair County Mental Health Board will determine a unit rate for each service. A unit rate is the amount that the Board will pay for one unit of a particular service. The Board may use different rate setting methodologies.
- d) Unless a provider’s contract states differently, monthly vouchering is required.
- e) The Board’s payment will be based on the actual number of service units delivered and will not exceed the maximum annual contract amount.
- f) If an individual or organization fails to deliver the total amount of planned services in one month, the Board permits the unused planned units to be applied to any other month in the fiscal year, with reconciliation occurring on a quarterly basis. Therefore, if an individual or organization exceeds planned units one month and falls short in another month, the units will automatically shift from one month to another within that quarter. In addition, any remaining units from one quarter may be carried over into the next quarter.

3. Grant

- a) All requirements under “*Payment Methods and Practices, III. B.1. General a) – b)*” are applicable to the Grant Contracts unless specifically deleted herein.
- b) The Board will provide payments on a grant basis according to the plan specified in the agreement.
- c) The Board will reimburse an individual or an organization for actual allowable expenses not to exceed the planned distribution of funds.
- d) A completed voucher showing service units for the time period will be submitted on a monthly basis via the Board’s On-Line Reporting and Billing System.
- e) The Executive Director may temporarily interrupt Board grant payments when a deliverable and/or other performance indicator deviates from the plan.
- f) If a contractee fails to expend 15% or more of the planned funds
For a fiscal year or fails to meet service projections by 10% for a fiscal year or any continuous 12-month period, the contractee will submit in writing the reasons for such performance and a corrective plan. The Board staff will analyze the report and present their analysis and recommendation to the full Board. If the Board still desires to purchase these services and determines the reasons and corrective action plan are reasonable and sound, funding may continue. If the Board determines the reasons and the corrective action plan are not reasonable and sound, or if the contractee does not present a plan, the Board may discontinue funding or reduce the funding level.

4. Consultant

Payment is tied to a specific task or activity defined in the program plan. Typically, payment is tied to an hourly rate or completion of specific tasks (i.e., deliverables). Approved expenses associated with the contract shall be defined in the contract and included as a portion of the overall contract maximum.

5. Fiscal Agent

- a) All requirements under "*Payment Methods and Practices, III.B.1. General a) – b)*" is applicable to the Fiscal Agent Contracts unless specifically deleted herein.
- b) The St. Clair County Mental Health Board will pay an individual or organization receiving state, federal, or other funds in accordance with all applicable state and federal laws, rules, regulations, and guidelines as well as complying with the Board's *Requirements and Guidelines for Funding*, contained therein.
- c) As the Fiscal Agent, the Board will follow the disbursement guidelines and contractual obligations which it has with the funder. An individual or organization under contract with the Board will be expected to follow the required procedures.
- d) The Board will not disburse funds which have been designated under contract from another source until they have been disbursed to the Board from the other source.
- e) The individual or organization under contract must follow all applicable federal or state laws, rules, regulations, or other funder rules and regulations.
- f) The Board may administer other funds on behalf of the St. Clair County Board. An intergovernmental agreement will be executed between the respective entities defining the purpose, term, payment, and mutual responsibilities of the parties in the management of the funds. The management of such funds will comply with Board Funding Guidelines & Requirements.
- g) All individuals or organizations under contract are expected to comply with the originating funding source's requirements, and to provide the appropriate fiscal and service information as required in addition to any Board requirements.
- h) Any such information shall be provided at the frequency designated in the subcontract.
- h) Board staff will be allowed to monitor any fiscal service record according to the relevant rules and regulations and/or laws governing the originating source of funds.
- i) The individual or organization agrees to provide any fiscal and service information which the St. Clair County Mental Health Board needs to comply with the original funding source's reporting requirements. This includes execution of appropriate releases to review client records.

6. Advance Payment Request

- a) The Board will entertain requests for advancement of contract funds, an amount equal to up to six months of the approved annual contract amount.
- b) Any request must be in writing to the Executive Director. Request will be placed on the agenda of the next regularly scheduled Finance Committee meeting.
- c) The full Board upon the approval of the Finance Committee has the final decision-making authority on such request.

- d) Any agency given an advancement of funds will continue to report monthly service activity. For those POS cost centers, a final financial reconciliation will be completed at the conclusion of the contract period.
- e) Total funds advanced would not exceed the total contract amount.

IV. Accountability & Administrative Requirements

A. General

1. Meetings

- a) An organization under contract with the St. Clair County Mental Health Board will notify the St. Clair County Mental Health Board of their Board of Director's meetings on a timely basis. Upon request, such organization agrees to allow a Mental Health Board staff to attend their Board meeting(s).
- b) An organization under contract with the Board will provide to the Mental Health Board minutes of their Board of Director's meetings on a timely basis as specified in the contract.
- c) Make available copies of site, monitoring compliance, licensure/certification, evaluation, and audit visits performed by any funding authority for annual inspection.

2. Planning

- a) An individual or organization under contract with the Board will provide the Board with a full copy of any request or application for new or adjusted public funding for mental health, intellectual/developmental disabilities, and/or substance use disorder services within one week of the time submitted to the funding body. State statute requires the Mental Health Board to review and provide comment on such requests and applications. This includes applications to units of federal, state, and local governments.
- b) An individual or organization which is under contract with the Board and receives funds from the Illinois Department of Human Services or funds for mental health, intellectual/developmental disability, and/or substance use disorder services from another Department of Illinois State Government, will submit to the Board the following within one week of submission to the State Department:
 - i. Budget applications
 - ii. Service plans
 - iii. Program Service and Funding Plans
 - iv. End of Year Service and Fiscal Reports, and,
 - v. Any documents commonly referred to as "Agency Plans."
- c) All Board funded agencies and programs shall strive to conform to appropriate standards established by recognized accrediting bodies in their field of service.
- d) Accredited agencies and programs shall provide the Board with copies of relevant documents and correspondence between the agency and the accrediting body regarding agency and program compliance with accreditation standards.

3. Admission Requirements

- a) The organization will maintain Service admission criteria in accordance with generally accepted standards and provide the Board a copy as requested.
- c) Admission criteria shall be applied fairly and equally to all applicants without regard to their ability to pay, or their race, sex, creed, color, national origin, or handicap.

4. Service Standards

- a) The organization shall provide and maintain all Services under this Agreement in accordance with generally accepted mental health, developmental disability, substance use disorder service standards as accepted or adopted by the St. Clair County Mental Health Board, as they apply to the Services funded by this Agreement, in accordance with current Provider Plan submitted to the Mental Health Board.
- b) If applicable, the Provider shall provide and maintain all Services under this Agreement in accordance with generally accepted mental health standards as accepted or adopted by the Illinois Department of Human Services, including (1) Mental Health Clinic Service Standard and Provider Requirements as set forth in Title 59 Illinois Administrative Code, Part 132, and (2) System Design and Operational Procedures set forth in 59 Illinois Administrative Code, Part 103 and (3) 77 Illinois Administrative Code 2090.
- c) . The organization will adhere to all state and federal regulations regarding confidentiality of patient records, including but not limited to: (1) Mental Health and Developmental Disabilities Confidentiality Act, 740 ILCS 110/1 et seq., (2) 42 CFR Part 2 (“Confidentiality of Substance Use Disorder Patient Records”), and the Alcoholism and Other Drug Abuse and Dependency Act, 20 ILCS 301/1-1 et. seq.

5. Program Guidelines.

- a) For Board funded programs, the organization shall provide the Board with copies of program guidelines which include, but are not limited to eligibility criteria, assessment protocol, specific treatment modalities, and evaluation activities.

6. Program Services

- a) Provide services to each eligible client in accordance with a written individual plan (wherein applicable) which identifies client needs and assess as determined by assessment. At a minimum, the plan will describe long term goals, measurable short-term objectives and expected outcomes of services with evaluative updates at least annually. Client files shall reflect written documentation of service units billed for reimbursement.
- b) Comply with all applicable Illinois and Federal laws and regulations with respect to safeguarding the use and disclosure of confidential information about recipients of services.
- c) Admission and discharge policies and procedures shall be set forth in writing and be available for review.
- d) Professional staff must be licensed, registered, or certified by the State of Illinois as applicable to the discipline and current Illinois regulations/requirements.

7. Financial

- a) The St. Clair County Mental Health Board requires that its funds support effective services to eligible individuals in a cost-effective manner, and expects the cost of services to be reasonable, necessary, and related to the provision of services. An individual or organization under contract to the Board agrees to provide any requested financial information or access to any financial record so that the Board may make such determinations. The organization shall maintain written policies regarding its fiscal activities, including but not limited to payroll, purchasing, cash management, relevant fee schedules, contracts, and risk management.
- b) An individual or organization under contract with the Board will establish and maintain a modified accrual accounting system in accordance with generally accepted accounting principles to include a level of documentation, classification of entries and audit trails. The Board requires an individual or organization to comply with government required and generally accepted accounting procedures appropriate for the type of organization.
 - i All accounting entries must be supported by appropriate source documents. All fiscal records shall be maintained for five (5) years after the end of each contract term.
 - ii. Amounts charged to Board funded cost centers for personnel services must be based on documented payrolls. Payrolls must be supported by time and attendance records for individual employees.
 - iii. The salaries and position titles of staff charged to Board funded programs must be delineated in a personnel matrix attachment to the contract.
 - iv. The Board may establish additional accounting requirements for any funded program.
 - v. Board funds may only be used for expenses that are reasonable, necessary, and related to the provision of services as specified in the contract. All allowable expenses that can be identified to a specific Board funded program should be charged to that program on a direct basis. Allowable reimbursable expenses not directly identified to a Board funded program must be allocated to all programs, both funded and non-funded.
 - vi. The following is a list of non-allowable expenses:
 1. Contingency reserve fund contributions
 2. Contributions and donations
 3. Entertainment
 4. Compensation for board members
 5. Fines and penalties
 6. Interest expenses
 7. Rental income received must be used to reduce the reimbursable expense by Board funds for the item rented. Capital expenditure greater than \$500, unless funds are specified for such purpose
 8. Supplanting funding from another revenue stream. The Board may delay allocation decisions when anticipated funds from other sources may be influenced by their decisions
 9. Expenses or items not otherwise approved through the budget or budget amendment process
 10. Expenses incurred outside the term of the contract
 11. Contributions to any political candidate or party or to another charitable purpose
 12. Excessive administrative costs including:
 - Unless proof of a Negotiated Indirect Cost Rate Agreement (NICRA) any indirect administrative cost rate more than 10% of the non-administrative portion of the budget.

- Any indirect administrative costs that exceed those approved in the program/service budget.

13. The Board at their discretion may elect not to fund an application based on what is deemed to be in the best interest of the county.

- c) An individual or organization under contract with the Board will record income and expenses by specific cost centers for Board funds. This does not apply to situations where Board awarded funds are serving as a match for other funds, or where the Board has provided an exemption. An individual or organization under contract with the Board will provide income and expense reports for these cost centers including detailed trial balances of expenses, if requested. This applies to cost centers in which Board funds are commingled with other funding.
- d) Expenses which cannot be directly charged to a cost center or expenses commonly referred to as indirect or administrative expenses will be allocated in accordance with a generally acceptable method of cost allocation. An individual or organization under contract with the Board will provide its cost allocation methodology and schedule to the Board upon request and at any time involving rate negotiation for the purchase of service.
- e) Each agency is required to have an annual audit. If the agency's combined purchase of service or grant contract is less than \$50,000, the agency will be required to submit revenue and expense data in a form prescribed by the Board. The agency will submit the annual financial audit as of the close of its fiscal year. The audit is to be performed in accordance with generally accepted auditing standards by an independent certified public accountant registered by the State of Illinois. The resultant audit report is to be prepared in accordance with applicable "Government Auditing Standards" issued by the Comptroller General of the United States. The report shall contain the basic financial statements presenting the financial position of the agency, the results of its operations and changes in fund balances. The report shall also contain the auditor's opinion financial statements, taken as a whole, or an assertion to the effect that an opinion cannot be expressed. If the auditor expressed a qualified opinion, a disclaimer of opinion, or any adverse opinion, the reason for the opinion must be stated. The following supplementary financial shall be included in the audit reports:
- i. Schedule of Operating Income by Board Funded Program. Individual sources of income should not be combined. For example, funds received from several state or federal agencies should not be combined into one classification, such as "State of Illinois" or "Federal Government."
 - ii. Schedule of Operating Expenses by Board Funded Program. This schedule is to reflect program expenses in accordance with the Board reporting requirements including the reasonable allocation of administrative expenses to the various programs.
 - iii. Board Payment Confirmation: Board payment confirmation made to an agency required by the independent auditor during the audit is to be secured from the Board office.
 - iv. Auditor Opinion on Supplementary Information: The independent auditor should clearly establish his/her position regarding the supplementary financial information presented in the Schedule of Operating Income by Program and Operating Expenses by Program. This can be done either by extending the overall opinion on the basic financial statements or by a supplementary opinion. If the independent auditor determines that the additional procedures necessary to permit a supplementary opinion on the schedules of operating income and expenses would materially

- increase the audit time, he/she may alternatively state the source of the information and the extent of his/her examination and responsibility assumed, if any.
- v. Capital Improvement Funds: If the agency has received Board capital improvement funds during the last year, the audit shall include an accounting of the receipt and use of those funds.
 - vi. Internal Controls: the independent auditor should communicate, in written form, material weaknesses in the agency's internal controls when it impacts the Board Funding. Copies of these communications are to be forwarded to the Board with the audit report.
 - vii. Filing of Audit Report: the audit report is to be filed with the Board within 120 days of the end of the agency's fiscal year. To facilitate meeting filing requirements, agencies are encouraged to contract with certified public accountants before the end of the fiscal year.
 - viii. Request for Exceptions: A request for exceptions to these audit requirements or for an extension of time to file the audit report must be submitted in writing to the executive director of the Board. In all cases, approval shall be obtained prior to extensions and/or exceptions being implemented.
 - ix. Penalty: Failure to meet these audit requirements shall be cause for termination or suspension of Board funding.
 - x. Records: All fiscal and service records must be maintained for five years after the end of each budget period, and if need remains, such as unresolved issues arising from an audit, related records must be retained until the matter is completely resolved.
 - xi. An individual or organization under contract with the Board will submit to the Board any changes to an audit, related to the last five years, within 30 days of that individual's or organization's receipt of that change.
 - xii. In the event there is a disagreement about audit findings, an individual or organization will allow the St. Clair County Mental Health Board to have an independent auditor perform an audit at the Board's expense.
 - xiii. At the discretion of the Board, audit requirement may be waived for contracts with consultants, or contracts less than \$15,000. The waiver shall be specified in the contract.

f) An individual or organization under contract with the Board and receiving funds under grant methodology will submit a Quarterly Operating Funds Statements of Income and Expense by Cost Center for Board funds. In addition, an end of year financial report will be submitted not later than 45 days after the close of the fiscal year.

g) Any not-for-profit organization under contract will supply a copy of the following tax documents when they are filed:

- (1) Illinois AG990-Ill,
- (2) Federal Form 990.

h) All clients of the Provider in the Services funded by the Mental Health Board may be charged a fee in accordance to a fee schedule adopted by the Board of Directors of the Provider, which fee schedule shall be in full compliance with the federal False Claims Act, 31 USC § 3729, et seq.; the Illinois Public Aid Code, 305 ILCS 5/1- 1 et seq.; and the federal Medicare/Medicaid Anti-Fraud statute, 42 USC 1320 et seq. or any other federal or state statute if applicable, and reviewed by the Mental Health Board. However, no client shall be refused service due to his or her ability or inability to pay. If a client is unable to pay a fee according to the schedule, the client shall be charged a reduced fee or no fee at all in accordance with his or her financial ability.

8. Monitoring and Evaluation

- a) An individual or organization under contract with the Board will report services and other contractual activities on a monthly basis according to a Board approved data collection and reporting system. Outcome measures will be reported as specified in Attachment A of Appendix B of the contract.
- b) An individual or organization under contract with the Board will agree to on-site monitoring by Board staff. This monitoring will be used to determine the degree of compliance with the contract and with the *Requirements and Guidelines for Funding*. Frequency will vary depending on the type of service and the results of previous monitoring visits.
- c) An individual or organization under contract with the Board will make available to staff of the Board any financial document, recipient service document, and/or case record necessary to verify contractual service delivery and billing, and compliance with the contract and the *Requirements and Guidelines for Funding*.
- d) An individual or organization under contract with the Board will allow Board staff to conduct monitoring and evaluation efforts to determine the effectiveness and quality of services.
- e) The Board may require the implementation of evaluation and service outcome measures for its contracts. An individual or organization under contract with the Board will comply with the Reporting Compliance Requirements and will report such information at the required frequency.
- f) When Board funds are a match or commingled with other funds, Board staff will monitor the cost center which contains those funds, using the appropriate rules and regulations which govern such funds. An individual or organization will allow Board staff to conduct such monitoring and provide the necessary information for such monitoring.
- g) An individual or organization under contract with the St. Clair County Mental Health Board will allow Board staff to monitor fiscal records necessary to insure that proper billing has occurred and that additional billing for the same service to another source has not occurred.
- h) An individual or organization under contract with the St. Clair County Mental Health Board will allow Board staff to monitor fiscal records necessary to ensure that expenses allocated to Board funded cost centers are reasonable and allowable.

9. Corporate Relationships

- a) The Board requires that an individual or organization under Board contract will identify any corporation with which there is a related relationship. This includes corporations in which shared Board members exist, management or subcontracts for services exist, or shares are owned.

8. Payment Suspension

- a) The St. Clair County Mental Health Board may suspend payment(s) to an individual or organization for noncompliance with the Board's contract or with the *Requirements for Guidelines and Funding*. Payments may also be suspended should the individual or organization be investigated for, or found accountable for ethical or legal charges, whether by independent audit, other funding agency, or other authority.
- b) The Executive Director may temporarily suspend payments following consultation with a ranking officer of the Board. The Board will then consider the suspension at its next regularly scheduled Executive Committee meeting or at a Full Board meeting.
- c) Notice of suspension will occur in writing to the individual or organization before payments are suspended. The notice will specify the reason(s) for the suspension, the cost center or contracted service affected the beginning date and the actions necessary to end the suspension. Payments withheld by the Mental Health Board during the suspension continue to accrue to the account of the individual or organization and will be paid or not paid consistent with the terms of the resolution determined by the Board.
- d) The individual or organization will respond, in writing, to the Board's office address within ten working days of the date of the Board's notification to suspend payments. The response will include a plan of action to correct the situation leading to the suspension and include a time frame for corrective action.
- e) The individual or organization may address the Executive Committee or the Full Board when the suspension is reviewed. The Board will send written notification of its actions.

9. Cancellation of Contract

- a) The Board reserves the right to terminate an individual's or organization's contract at any time upon 30-day notice.

C. Fiscal Agent

1. All individuals or organizations under contract are expected to comply with the originating funding source's requirements, and to provide the appropriate fiscal and service information as required in addition to any Board requirements.
2. Any such information shall be provided at the frequency designated in the subcontract.
3. Board staff will be allowed to monitor any fiscal or service record according to the relevant rules and regulations and/or laws governing the originating source of funds.
4. The individual or organization agrees to provide any fiscal and service information which the St. Clair County Mental Health Board needs to comply with the original funding source's reporting requirements.

7/20/2021