**EXHIBIT C3 – ME REQUIRED REPORTS, PLANS, AND FUNCTIONAL TASKS**

All Requirements in **Table 2** must be submitted to the Contract Manager electronically and be uploaded to the ME’s secure web-based document vault.

| **Table 2 – Required Submissions** | | | | |
| --- | --- | --- | --- | --- |
| **Section** | **Requirement** | **Required by** | **Frequency** | **Due No Later Than:** |
|  | **Recurring Required Reports and Plans** | | | |
| **Provider Tangible Property Inventory -** *Template 1* | | Section B-7.2; Guidance 2 | Initial; Annual | Initial: within 30 days of execution; Annual: July 31 |
| **Regional planning documents** | | Section C-1.1.2 | As Needed | As Needed |
| **Triennial Needs Assessment** | | Section C-1.1.6 | Every 3 years | October 31, beginning 2016, 2019, 2022 |
| **Managing Entity Annual Business Operations Plan**  *Template 4, including:*   * *Catalog of Care – Template 4 Supplemental* * *Updates to SMHTF Discharge Reintegration Plan* * *Updates to Triennial Needs Assessment* * *Updates to Care Coordination Plan* * *Updates to Quality Assurance Plan* * *Annual ALF-LMH Plan* * *Annual Network Service Provider Monitoring Plan* | | Section C-1.1.7 | Annually | July 31 |
| **Enhancement Plan** | | Section C-1.1.8 | Annually, beginning 2017 | September 1 |
| **Record Transition Plan -** *Guidance 3* | | Section C-1.1.9 | Once | Within 90 days of execution |
| **Care Coordination Plan** | | Section C-1.1.10 | Initial | Within 60 days of execution |
| **Quality Assurance Plan** | | Section C-1.1.11 | Initial | Within 60 days of execution |
| **Fraud and Abuse Prevention Protocol** | | Section C-1.2.6 | Once | Within 60 days of execution |
| **Network Service Provider Monitoring Plan** | | Section C-1.3.1 | Initial | Within 30 days of execution |
| **Information Tec****hnology Plan** | | Section C-1.4.6 | Once | Within 60 days of execution |
| **Procurement Policy** | | Section C-2.2.5 | Once | Within 90 days of execution |
| **EOG/OPB Return on Investment Reports** | | Section C2-3.2 | As Directed | As Directed by EOG |
| **Conditional Release Report -***Template 22* | | Guidance 6 | Monthly | 15th of each month |
| **Forensic Diversion Report -** *Template 23* | |
| **Regional Action Steps to Forensic Goals -** *Template 26* | |
| **National Voters Registration Act Quarterly Report** | | Guidance 25 | Quarterly | January 10; April 10; July 10; October 10 |
| **Forensic Multidisciplinary Team Report -** *Template 25* | | Guidance 28 | Monthly | 15th of each month |
|  | **Required Financial Forms and Documents** | | | |
| **Managing Entity Operating and Capital Budget**  *Template: Form CF-MH 1042, per ch. 65E-14, F.A.C.* | | Section C-2.4.3 | As Needed | 30 days after any amendment to Exhibit F1 |
| **Managing Entity Fixed Advance Payment Invoice -** *Template 10* | | Sections F-2.2 and F-3.1.1 | Annually | July 1 |
| **Interest remittance and documentation of interest on advances** | | Section F-2.3 | Quarterly | As Needed |
| **Managing Entity Monthly Fixed Payment Invoice -** *Template 10* | | Section F-3.1.1 | Monthly; and  FY Final: Annually | 20th of month following service delivery  FY Final: August 15 |
| **SAMH Managing Entity Monthly Progress Report -** *Template 11* | | Sections F-3.1.2 and F-3.3 |
| **SAMH Managing Entity Monthly Expenditure Report –**  *Template 12* | | Section F-3.1.3 |
| **SAMH Managing Entity Monthly Carry Forward Expenditure Report -** *Template 13* | | Section F-3.1.4 | Monthly | 20th of month following service delivery;  FY Final: August 15 |
| **Cost Allocation Plan -** *Template 14* | | Section F-4 | Initial,  Annual Update,  and Revisions as needed | Initial: Within 30 days of execution;  Annual Update: August 31;  Revisions: Within 20 days of notifying the Department |
| **Managing Entity Spending Plan for Carry Forward Report**  *Template 15* | | Section F-5.2 | Annually | Within 30 days of confirmation of approved amount from the Department |
| **Financial and Compliance Audit** | | Attachment 1 | Annually, and  As needed | The earlier of: 180 days after the end of the provider’s fiscal year or 30 days after the ME’s receipt of the audit report |
| **BNet Statement of Program Cost** | | Guidance 12 | Annually | September 1 |
|  | **Required Data Submission and Performance Reporting** | | | |
| **Substance Abuse and Mental Health Block Grant Report -**  *Template 2* | | Section B1-4.2 | Semi-annually | February 15  August 15 |
| **Narrative Report for the SAMH Block Grant -** *Template 3* | | Section B1-4.3 | Annually | May 30 |
| **Monthly Data Submission to SAMH Data System** | | Section C-1.4.4 | Monthly | 18th of each month |
| **Submission of Corrected Records to SAMH Data System** | | Section C-1.4.14 | As needed | Within 60 days after initial record submission |
| **Data required by Federal or State Grant Awards**  *Other than Sections C3-3.7 and C3-3.8, below* | | Section C-1.4.15 | As needed | As established by Grantor timeframes |
| **Quarterly Report** | | Section C-2.4.6 | Quarterly | October 20; January 20; April 20; August 15 |
| **Family Intensive Treatment (FIT) Report -** *Template 17* | | Guidance 18 | Monthly | 20th of each month |
| **Women’s Special Funding Data Reporting** | | Guidance 26 | Monthly | 18th of each month |
| **Transitional Voucher Incidental Summary** | | Guidance 29 | Monthly | 20th of each month |
| **Monthly Care Coordination Report -** *Template 21* | | Guidance 4 | Monthly | 20th of month following service delivery  FY Final: August 15 |
|  | **Required Contract Forms and Documents** | | | |
| **Proof of Insurance** | | Section 4.5 and  Section A-4.2 | Annually; and  As needed | Initial: upon execution; Annual: March 31; and  As needed: Within 30 days of a modification of terms |
| **Employment Screening Affidavit** | | Section 4.14.2 | Annually | Later of July 1 or Anniversary of Previous Annual |
| **Security Agreement Form** | | Section 5.5.3 | Annually | Upon execution; Updated annually |
| **Civil Rights Compliance Checklist -** *CF Form 946* | | Section 7.13 & CFOP 60-16  45 CFR, Part 80 | Initial,  and Annually | Initial: Within 30 days of execution,  Thereafter: July 15 |
| **Emergency Preparedness Plan** | | Section 9.2 | Initial, and  Annual Update | Initial: Within 30 days of execution;  Update: every 12 months after acceptance of Initial |
|  | **Functional Tasks and Deadlines** | | | |
| **Notification of Network Service Provider performance that may interrupt service delivery or involve media coverage** | | Section C-1.2.5 | As needed | Within 48 hours |
| **Incident Report Submission to IRAS- Management & Oversight** | | Sections 4.13 and C-1.2.8 | Upon discovery of an incident |
| **Designate CCP Providers** | | Section C-1.6.2.1 | Once; and  As needed | Initial: Within 60 days of execution;  As needed: Within 10 days of any change |
| **Staffing Changes – CEO, COO, CFO** | | Section C-2.1.2 | As needed | Within 5 business days of any change |
| **Staff Designations:**   * **Responsible for providing immediate response** * **Consumer Affairs Representative** * **Facility Representative** * **Network Service Provider Affairs Ombudsman** * **Data Officer** * **Lead Housing Coordinator** | | Section C-2.1.4 | Initial | Initial: upon execution |
| **Establish & maintain internet-based electronic vault for access contract-related documents** | | Sections C-2.2.6 and  C-2.4.2 | Once; and  As needed | Initial: Within 60 days of assignment  As Needed: New documents within 10 business days |