



Travis County Commissioners Court Agenda Request

Meeting Date: 07/31/2012, 9:00 AM, Voting Session

Prepared By/Phone Number: Alan Miller, Planning and Budget Office, 854-9726

Elected/Appointed Official/Dept. Head: Leslie Browder, County Executive
Planning and Budget

Commissioners Court Sponsor: Judge Biscoe

Review and approve requests regarding grant programs, applications, contracts and permissions to continue:

- A. New application to the Texas Veteran's Commission Fund for Veteran's Assistance to expand services to expand services offered by the Veteran's Court Program to include substance abuse treatment;
- B. New application to the Center for Effective Public Policy for a Bureau of Justice Assistance Grant to provide permanent supportive housing for chronically homeless, mentally ill individuals and frequent offenders;
- C. Application to the U.S. Department of Health and Human Services, Administration of Children Youth and Families for a two-year continuation of the Parenting in Recovery grant in Health and Human Services and Veterans Services to provide substance abuse treatment and services to child welfare involved mothers enrolled in the Family Drug Treatment Court.
- D. Contract with the Texas Commission on Environmental Quality in the District Attorney's Office to continue a program for the prosecution of environmental crimes;
- E. Annual contract with the Automobile Burglary and Theft Prevention Authority and related amended application to continue the Sheriff's Combined Auto Theft Task Force Program in the Travis County Sheriff's Office;
- F. Amendment to the contract with the Corporation for National and Community Service (through the OneStar Foundation) to close-out the FY 11 AmeriCorps grant in Health and Human Services and Veterans Service; and
- G. Approval of current year projects in the Travis County Sheriff's Office to be paid with resources from the State Criminal Alien Assistance Program (SCAAP).

BACKGROUND/SUMMARY OF REQUEST AND ATTACHMENTS:

Item A is a new grant program to augment the services of the existing Veterans Service Grant. The Grant provides funds for substance abuse treatment.

Item B is also a new grant program. This grant would provide funds to purchase permanent housing for individuals that are homeless and are frequently entering the Criminal Justice System as a result of homelessness and mental health issues.

Item C is an application to continue the existing Parenting in Recovery Grant Program for two additional years.

Item D is a contract to continue to receive funding from the Texas Commission of Environmental Quality to provide staff and operating funds to prosecute environmental crimes.

Item E is the annual contract for the Combined Auto Theft Task Force.

Item F is a final contract amendment to close-out the FY 2011 AmeriCorps grant contract.

Item G is to approve the allocation of the Fy 2011 SCAAP funds to specific projects.

STAFF RECOMMENDATIONS:

PBO recommends approval.

ISSUES AND OPPORTUNITIES:

Additional information is provided on each item's grant summary sheet.

FISCAL IMPACT AND SOURCE OF FUNDING:

Items A, B and D have no grant match requirements.

Item C has a cash match requirement of \$214,286 that is currently proposed as an earmark against Allocated Reserves for FY 2013. In the event the grant is unsuccessful, the Department may be requesting part of this earmark to close-out the program.

Item E has a match requirement. The County's portion of the cash match is \$121,272 and the County Cost Share is \$173,811. Both match requirements are fully funded in the Sheriff's Office.

Item F has no fiscal impact on the overall grant award and merely closes out the old grant program to make way for the upcoming FY 2012 grant.

Item G allocates the FY 2011 SCAAP grant in the Sheriff's Office. The largest projects are for control panel replacements and security camera upgrades.

REQUIRED AUTHORIZATIONS:

Planning and Budget Office
County Judge's Office

Leslie Browder
Cheryl Aker

GRANT APPLICATIONS, CONTRACTS AND PERMISSIONS TO CONTINUE
FY 2012

The following list represents those actions required by the Commissioners Court for departments to apply for, accept, or continue to operate grant programs. This regular agenda item contains this summary sheet, as well as backup material that is attached for clarification.

| Dept. | Grant Title | Grant Period | Grant Award | County Cost Share | County Contribution | In-Kind Contribution | Program Total | FTEs | PBO Notes | Auditor's Assessment | Page # | | |
|---------------------------------|-------------|--|-------------------------|-------------------|---------------------|----------------------|---------------|-------------|-----------|----------------------|--------|----|-----|
| Application | | | | | | | | | | | | | |
| A | 124 | Travis County Veterans Commission-Suppliment | 01/01/2013 - 12/31/13 | | \$61,057 | \$0 | \$0 | \$0 | \$61,057 | - | R | MC | 11 |
| B | 155 | Justice Reinvestment Initiative | 10/01/2012 - 09/30/12 | | \$451,812 | \$0 | \$0 | \$0 | \$451,812 | - | R | EC | 35 |
| C | 158 | Parenting in Recovery II | 09/28/12 - 09/27/13 | | \$500,000 | \$0 | \$214,286 | \$0 | \$714,286 | 2.00 | R | EC | 134 |
| Contracts | | | | | | | | | | | | | |
| D | 123 | Texas Commission on Environmental Quality Intergovernmental Cooperative Reimbursement Agreement with Travis County | 09/01/2012 - 08/31/2015 | | \$612,372 | \$0 | \$0 | \$0 | \$612,372 | 2.00 | R | | 261 |
| E | 137 | Sheriff's Combined Auto Theft Task Force | 09/01/2012 - 08/31/2012 | \$173,811 | \$641,481 | \$236,537 | \$0 | \$1,051,829 | 12.00 | R | EC | | 278 |
| F | 158 | AmeriCorps* | 08/01/10 - 07/31/2011 | \$0 | \$270,282 | \$164,415 | \$201,136 | \$635,833 | 9.000 | R | MC | | 320 |
| <i>* Amended from original.</i> | | | | | | | | | | | | | |
| Status Report | | | | | | | | | | | | | |
| G | 137 | State Criminal Alien Assistance Program SCAAP 11 | 07/01/2009 - 06/30/2010 | | \$683,501 | \$0 | \$0 | \$0 | \$683,501 | - | R | MC | 328 |

PBO Notes:

R - PBO recommends approval.
NR - PBO does not recommend approval
D - PBO recommends item be discussed.

County Auditor's Complexity Assessment measuring Impact to their Office's Resources/Workload

S - Simple
MC - Moderately Complex
C - Complex
EC - Extremely Complex

FY 2012 Grant Summary Report
Grant Applications approved by Commissioners Court

The following is a list of grants for which application has been submitted since October 1, 2011, and the notification of award has not yet been received.

| Dept | Name of Grant | Grant Term | Grant Award | County Cost Share | County Contribution | In-Kind Contribution | Program Total | FTEs | Approval Date |
|-------------|---|-----------------------|--------------------|--------------------------|----------------------------|-----------------------------|----------------------|-------------|----------------------|
| 49 | Little Webberville Park Boat Ramp Renovation Grant | 6/01/2012-05/31/2015 | \$77,502 | \$0 | \$25,834 | \$0 | \$103,336 | - | 10/25/2011 |
| 49 | Webberville Park Boat Renovation Grant | 6/01/2012-5/31/2015 | \$129,793 | \$0 | \$43,624 | \$0 | \$173,417 | - | 10/25/2011 |
| 49 | Dink Pearson Park Boat Ramp Grant | 6/01/2013-5/31/2016 | \$500,000 | \$0 | \$166,667 | \$0 | \$666,667 | - | 10/25/2011 |
| 58 | AmeriCorps | 8/1/2012-7/31/2013 | \$298,671 | \$0 | \$437,941 | \$73,677 | \$810,289 | 28.00 | 11/1/2011 |
| 47 | State Homeland Security Grant program (through CAPCOG)- SCBA equipment | 10/01/2012-11/30/2014 | \$40,000 | \$0 | \$0 | \$0 | \$40,000 | - | 1/10/2012 |
| 47 | State Homeland Security Grant program (through CAPCOG)- equipment licenses | 10/01/2012-11/30/2014 | \$8,000 | \$0 | \$0 | \$0 | \$8,000 | - | 1/10/2012 |
| 47 | State Homeland Security Grant program (through CAPCOG)- maintenance contract | 10/01/2012-11/30/2014 | \$30,000 | \$0 | \$0 | \$0 | \$30,000 | - | 1/10/2012 |
| 47 | State Homeland Security Grant program (through CAPCOG)- replacement equipment | 10/01/2012-11/30/2014 | \$30,000 | \$0 | \$0 | \$0 | \$30,000 | - | 1/10/2012 |
| 47 | State Homeland Security Grant program (through CAPCOG)- chemical protective clothing | 10/01/2012-11/30/2014 | \$40,000 | \$0 | \$0 | \$0 | \$40,000 | - | 1/10/2012 |
| 47 | State Homeland Security Grant program (through CAPCOG)- radiological isotope identifier | 10/01/2012-11/30/2014 | \$33,500 | \$0 | \$0 | \$0 | \$33,500 | - | 1/10/2012 |
| 47 | State Homeland Security Grant program (through CAPCOG)- dosimeters | 10/01/2012-11/30/2014 | \$8,000 | \$0 | \$0 | \$0 | \$8,000 | - | 1/10/2012 |
| 49 | FY 12 Habitat Conservation Plan Land Acquisition Assistance Grant | 5/1/2012-8/30/2014 | \$4,834,800 | \$0 | \$3,223,200 | \$0 | \$8,058,000 | - | 1/17/2012 |
| 49 | Emergency Management Performance Grant | 10/1/2011-9/30/2012 | \$138,465 | \$138,464 | \$0 | \$0 | \$276,929 | 3.00 | 1/24/2012 |
| 24 | Travis County Veterans Court | 7/01/2012-6/30/2013 | \$53,414 | \$0 | \$0 | \$0 | \$53,414 | - | 1/31/2012 |

| Dept | Name of Grant | Grant Term | Grant Award | County Cost Share | County Contribution | In-Kind Contribution | Program Total | FTEs | Approval Date |
|------|---|---------------------|-------------|-------------------|---------------------|----------------------|---------------|------|---------------|
| 45 | Drug Court & In-Home Family Services | 9/01/2012-8/31/2013 | \$181,000 | \$20,011 | \$0 | \$0 | \$201,011 | 0.24 | 1/31/2012 |
| 45 | Juvenile Accountability Block Grant (JABG) Local Assessment Center | 9/01/2012-8/31/2012 | \$101,525 | \$11,280 | \$0 | \$0 | \$112,805 | 1.34 | 1/31/2012 |
| 19 | Underage Drinking Prevention Program | 10/1/2012-9/30/2013 | \$161,205 | \$230,502 | \$35,951 | \$53,875 | \$481,533 | 3.50 | 2/7/2012 |
| 24 | Veterans Court Grant | 9/1/2012-8/31/2013 | \$226,516 | \$0 | \$0 | \$0 | \$226,516 | 2.00 | 2/7/2012 |
| 39 | Travis County Adult Probation DWI Court | 9/30/2012-9/29/2013 | \$206,515 | \$0 | \$0 | \$0 | \$206,515 | 3.05 | 2/7/2012 |
| 24 | Family Drug Treatment Court | 9/1/2012-8/31/2013 | \$137,388 | \$0 | \$0 | \$0 | \$137,388 | 1.00 | 2/14/2012 |
| 37 | TCSO Child Abuse Victim Services Personnel | 9/1/2012-8/31/2013 | \$24,997 | \$0 | \$24,997 | \$0 | \$49,994 | 1.00 | 2/14/2012 |
| 39 | Travis County Adult Probation DWI Court | 9/1/2012-8/31/2013 | \$229,112 | \$0 | \$0 | \$0 | \$229,112 | 4.00 | 2/14/2012 |
| 42 | Drug Diversion Court | 9/1/2012-8/31/2013 | \$132,585 | \$0 | \$0 | \$0 | \$132,585 | 1.00 | 2/14/2012 |
| 45 | Travis County Juvenile Treatment Drug Court-SAMSHA/CSAT | 9/1/2012-8/31/2013 | \$199,766 | \$0 | \$0 | \$0 | \$199,766 | - | 2/14/2012 |
| 19 | Family Violence Accelerated Prosecution Program | 09/01/12-08/31/13 | \$121,905 | \$31,534 | \$16,365 | \$17,742 | \$187,546 | 2.28 | 2/21/2012 |
| 45 | Travis County Eagle Resource Project | 09/01/12-08/31/13 | \$31,926 | \$0 | \$0 | \$0 | \$31,926 | - | 2/21/2012 |
| 45 | Trama Informed Assessment and Response Program | 09/01/12-08/31/13 | \$192,666 | \$0 | \$0 | \$0 | \$192,666 | 0.50 | 2/21/2012 |
| 47 | Fire Mitigation Assistance Grant Hodde Lane #2957 | 09/04/11-09/19/11 | \$38,605 | \$12,868 | \$0 | \$0 | \$51,473 | - | 3/13/2012 |
| 47 | Fire Mitigation Assistance Grant Pedernales #2959 | 09/04/11-09/19/11 | \$333,005 | \$111,002 | \$0 | \$0 | \$444,007 | - | 3/13/2012 |
| 47 | Fire Mitigation Assistance Grant Steiner #2960 | 09/04/11-09/19/11 | \$385,016 | \$128,339 | \$0 | \$0 | \$513,355 | - | 3/13/2012 |
| 49 | Travis County Fuels Reduction Project (aka Wildfire Mitigation Grant) | 09/01/12-08/31/14 | \$200,775 | \$66,925 | \$0 | \$0 | \$267,700 | - | 3/20/2012 |
| 58 | Parenting In Recovery* | 09/30/11-09/29/12 | \$583,843 | \$62,818 | \$80,000 | \$52,212 | \$778,873 | 1.00 | 3/20/2012 |

| Dept | Name of Grant | Grant Term | Grant Award | County Cost Share | County Contribution | In-Kind Contribution | Program Total | FTEs | Approval Date |
|------|---|----------------------------|--------------|-------------------|---------------------|----------------------|---------------|-------|---------------|
| 45 | Residential Substance Abuse Treatment (RSAT) Program | 10/01/12 09/30/13 | \$143,743 | \$47,914 | \$0 | \$0 | \$191,657 | 1.75 | 3/20/2012 |
| 45 | Trama Informed Assessment and Response Program* | 09/01/12 08/31/13 | \$192,666.00 | \$0.00 | \$0 | \$0 | \$192,666.00 | 0.50 | 3/27/2012 |
| 45 | Travis County Eagle Resource Project* | 09/01/12 08/31/13 | \$31,926.00 | \$0.00 | \$0 | \$0 | \$31,926.00 | - | 3/27/2012 |
| 39 | Travis County Adult Probation Co-Occurring Re-entry Services | 10/01/2012 9/30/2012 | \$565,345.00 | \$0.00 | \$0 | \$0 | \$565,345.00 | 3.00 | 4/17/2012 |
| 57 | NEH Preservation Assistance | 2/01/2012 8/1/2013 | \$6,000.00 | \$0.00 | \$0 | \$0 | \$6,000.00 | - | 4/17/2012 |
| 39 | SCATTF - Sheriff's Combined Auto Theft Task Force | 09/01/12 08/31/13 | \$1,007,657 | \$173,811 | \$236,537 | \$0 | \$1,418,005 | 12.00 | 5/1/2012 |
| 45 | Youth Reentry Program | 10/01/12 03/31/15 | \$1,047,504 | \$0 | \$0 | \$0 | \$1,047,504 | 3.00 | 5/1/2012 |
| 39 | Domestic Violence Accountability Management Program | 10/01/2012 09/30/2014 | \$499,956 | \$0 | \$0 | \$0 | \$499,956 | 3.00 | 5/15/2012 |
| 45 | National School Lunch/Breakfast program and USDA School Commodity Program | 07/01/2012 06/30/2013 | \$217,219 | \$0 | \$0 | \$0 | \$217,219 | - | 6/12/2012 |
| 137 | State Alien Assistance Program SCAAP 12 | 07/01/2010 - 06/30/2011 | \$683,501 | \$0 | \$0 | \$0 | \$683,501 | - | 6/26/2012 |
| 158 | Basic Transportation Needs Fund Bus Pass Program | 09/01/2012 - 08/31/2013 | \$5,790 | \$0 | \$0 | \$0 | \$5,790 | - | 6/26/2012 |
| 137 | Sheriff's Office Command & Support Vessel | 06/01/2012 - 03/31/2013 | \$413,236 | \$0 | \$0 | \$0 | \$413,236 | - | 7/3/2012 |
| 124 | Indigent Defense System Evaluation Grant | 07/01/12 - 03/31/14 | \$230,318 | \$0 | \$0 | \$0 | \$230,318 | 1.00 | 7/10/2012 |
| 158 | Children's Success Initiative | 09/28/12 - 09/27/13 | \$670,593 | \$113,995 | \$0 | \$4,345 | \$788,933 | 15.15 | 7/10/2012 |

*Amended from original agreement.

\$15,425,949 \$1,149,463 \$4,291,116 \$201,851 \$21,068,379 91.31

**FY 2012 Grant Summary Report
Grants Approved by Commissioners Court**

The following is a list of grants that have been received by Travis County since October 1, 2011

| Dept | Name of Grant | Grant Term | Grant Award | County Cost Share | County Contribution | In-Kind Contribution | Program Total | FTEs | Approval Date |
|-------------|--|-----------------------|--------------------|--------------------------|----------------------------|-----------------------------|----------------------|-------------|----------------------|
| 24 | Drug Diversion Court | 9/01/2011-8/31/2012 | \$132,702 | \$0 | \$0 | \$0 | \$132,702 | 1.00 | 10/4/2011 |
| 24 | Travis County Veteran's Court | 9/01/2011-8/31/2012 | \$155,000 | \$0 | \$0 | \$0 | \$155,000 | 2.00 | 10/4/2011 |
| 22 | Family Drug Treatment Court | 9/01/2011-8/31/2012 | \$119,185 | \$0 | \$0 | \$0 | \$119,185 | 1.00 | 10/4/2011 |
| 39 | DWI Court | 9/01/2011-8/31/2012 | \$231,620 | \$0 | \$0 | \$0 | \$231,620 | 4.00 | 10/4/2011 |
| 49 | Low-Income Repair Assistance, Retrofit, and Accelerated Vehicle Retirement Program (LIRAP) Local Initiatives Projects* | 5/06/2008-8/31/2013 | \$1,650,140 | \$0 | \$0 | \$155,101 | \$1,805,241 | - | 10/4/2011 |
| 45 | Travis County Psychology Internship Program | 9/01/2011-8/31/2016 | \$464,733 | \$99,779 | \$0 | \$0 | \$564,512 | - | 10/11/2011 |
| 58 | Comprehensive Energy Assistance Program* | 1/01/2011-12/31/2011 | \$5,519,883 | \$0 | \$0 | \$0 | \$5,519,883 | - | 10/18/2011 |
| 37 | Austin/Travis County Human Trafficking LE Task Force* | 1/01/2011-9/30/2012 | \$15,000 | \$0 | \$0 | \$0 | \$15,000 | - | 10/18/2011 |
| 24 | Drug Diversion Court* | 9/01/2010-8/31/2011 | \$188,422 | \$0 | \$19,132 | \$0 | \$207,554 | 1.00 | 10/18/2011 |
| 37 | 2012 Target & Blue Law Enforcement Grant | 10/1/2011-9/30/2012 | \$500 | \$0 | \$0 | \$0 | \$500 | - | 10/25/2011 |
| 45 | Juvenile Services Solicitation for the Front End Therapeutic Services Program | 9/1/2011-8/31/2012 | \$21,000 | \$0 | \$0 | \$0 | \$21,000 | - | 10/25/2011 |
| 45 | Travis County Eagle Resource Project | 9/1/2011-8/31/2012 | \$39,907 | \$0 | \$0 | \$0 | \$39,907 | - | 10/25/2011 |
| 58 | Travis County Family Drug Treatment Court - Children's Continuum | 10/1/2011 - 9/30/2014 | \$550,000 | \$0 | \$28,012 | \$155,321 | \$733,333 | 4.00 | 11/1/2011 |
| 47 | Emergency Management Performance Grant | 10/1/2010-3/31/2012 | \$78,753 | \$78,753 | \$0 | \$0 | \$157,506 | 3.00 | 11/8/2011 |
| 37 | State Criminal Alien Assistance Program (SCAAP) | 7/1/2009-6/30/2010 | \$683,501 | \$0 | \$0 | \$0 | \$683,501 | - | 11/22/2011 |

| Dept | Name of Grant | Grant Term | Grant Award | County Cost Share | County Contribution | In-Kind Contribution | Program Total | FTEs | Approval Date |
|------|---|-----------------------|-------------|-------------------|---------------------|----------------------|---------------|------|---------------|
| 58 | Comprehensive Energy Assistance Program* | 1/1/2011-12/31/2011 | \$5,519,883 | \$0 | \$0 | \$0 | \$5,519,883 | - | 11/22/2011 |
| 47 | Urban Area Security Initiative* | 8/1/2010-13/31/2012 | \$250,000 | \$0 | \$0 | \$0 | \$250,000 | 1.00 | 11/22/2011 |
| 45 | Leadership Academy Dual Diagnosis Unit-Residential Substance Abuse Treatment Program | 10/1/2011-9/30/2012 | \$142,535 | \$47,512 | \$0 | \$0 | \$190,047 | 1.82 | 11/29/2011 |
| 58 | Seniors and Volunteers for Childhood Immunization (SVCI) | 9/1/2011-8/31/2012 | \$8,846 | \$0 | \$0 | \$0 | \$8,846 | 0.20 | 11/29/2011 |
| 58 | Coming of Age (DADS) | 9/1/2011-8/31/2012 | \$24,484 | \$24,484 | \$0 | \$0 | \$48,968 | - | 11/29/2011 |
| 58 | Coming of Age (CNCS)* | 10/1/2010-3/31/2012 | \$75,743 | \$22,723 | | | \$98,466 | 0.59 | 11/29/2011 |
| 58 | Emergency Food and Shelter Program, Phase 30 | 1/1/2012-12/31/2012 | \$100,000 | \$0 | \$0 | \$0 | \$100,000 | - | 12/6/2011 |
| 34 | Bulletproof Vest Partnership - CN4 | 4/1/2011-9/30/2012 | \$493 | \$493 | \$0 | \$0 | \$986 | - | 12/13/2011 |
| 42 | Drug Diversion Court* | 09/01/2011-08/31/2012 | \$132,702 | \$0 | \$4,605 | \$2,602 | \$139,909 | 1.00 | 1/3/2012 |
| 58 | DOE Weatherization Assistance Program | 04/01/2011-03/31/2012 | \$212,612 | \$0 | \$0 | \$0 | \$212,612 | - | 1/10/2012 |
| 49 | Low-Income Repair Assistance, Retrofit, and Accelerated Vehicle Retirement Program (LIRAP) | 1/24/2012-8/31/2013 | \$175,000 | \$0 | \$0 | \$0 | \$175,000 | - | 1/17/2012 |
| 37 | Travis County Sheriff's Office Response Equipment | 12/01/2011-5/31/2012 | \$100,000 | \$0 | \$0 | \$0 | \$100,000 | - | 1/31/2012 |
| 24 | Formula Grant - Indigent Defense Grants Program | 10/01/2011-9/30/2012 | \$441,998 | \$0 | \$0 | \$0 | \$441,998 | - | 1/31/2012 |
| 23 | Texas Commission on Environmental Quality Intergovernmental Cooperative Reimbursement Agreement with Travis County* | 11/19/2012-8/31/2012 | \$590,797 | \$0 | \$0 | \$0 | \$590,797 | 2.00 | 1/31/2012 |
| 59 | Capital Area Trauma Advisory Council | 5/1/2011-8/31/2012 | \$5,888 | \$0 | \$0 | \$0 | \$5,888 | - | 2/7/2012 |
| 58 | ARRA WAP Weatherization Assistance Program* | 09/01/2009-02/28/2012 | \$7,622,699 | \$0 | \$0 | \$0 | \$7,622,699 | 3.00 | 2/21/2012 |

| Dept | Name of Grant | Grant Term | Grant Award | County Cost Share | County Contribution | In-Kind Contribution | Program Total | FTEs | Approval Date |
|------|--|---------------------------|--------------|-------------------|---------------------|----------------------|---------------|-------|---------------|
| 40 | OVW FY2010 Safe Havens: Supervised Visitation and Safe Exchange Grant Program* | 10/01/2010 09/30/2013 | \$400,000 | \$0 | \$0 | \$0 | \$400,000 | - | 2/28/2012 |
| 37 | TxDOT Impaired Driving Mobilization Grant | 03/07/12 09/30/12 | \$18,102 | \$6,100 | \$0 | \$0 | \$24,202 | | 3/13/2012 |
| 37 | 2009 COPS LE Technology Grant* | 03/11/12 09/10/12 | \$300,000 | \$0 | \$0 | \$0 | \$300,000 | | 3/13/2012 |
| 49 | LIRAP Local Initiative Projects (LIP)* | 05/06/08 08/31/13 | \$1,688,163 | \$0 | \$0 | \$0 | \$1,688,163 | - | 3/20/2012 |
| 17 | Ransom and Sarah Williams Farmstead Educational Outreach Project | 10/1/2011- 9/30/2013 | \$7,500 | \$0 | \$7,500 | \$0 | \$15,000 | - | 3/27/2012 |
| 58 | Coming of Age (CNCS) | 4/1/2012- 3/31/2013 | \$50,495 | \$321,591 | \$0 | \$0 | \$372,086 | 6.80 | 3/27/2012 |
| 42 | Drug Diversion Court* | 09/01/2011- 08/31/2012 | \$132,702 | \$0 | \$7,930 | \$0 | \$140,632 | 1.00 | 4/3/2012 |
| 58 | Share the Warmth | 04/01/12 09/30/12 | \$24,500 | \$0 | \$0 | \$0 | \$24,500 | - | 4/24/2012 |
| 21 | Electronic Disposition Reporting | 04/15/2012 08/31/12 | \$34,939 | \$0 | \$0 | \$0 | \$34,939 | - | 5/8/2012 |
| 31 | Full Services Community Schools - East Austin Children's Promise | 02/01/2011 09/30/2011 | \$7,215 | \$0 | \$0 | \$7,215 | \$14,430 | 0.20 | 5/8/2012 |
| 31 | Full Services Community Schools - East Austin Children's Promise* | 10/01/2011 09/30/2012 | \$10,000 | \$0 | \$0 | \$7,215 | \$17,215 | 0.20 | 5/8/2012 |
| 58 | AmeriCorps* | 8/1/2011 - 7/31/2012 | \$298,922 | \$236,045 | \$0 | \$183,061 | \$718,028 | 26.5 | 6/5/2012 |
| 149 | Onion Creek Greenway Phase 1 Urban Outdoor Grant* | 10/02/09 - 07/15/2013 | \$1,000,000 | \$0 | \$1,000,000 | \$0 | \$2,000,000 | 0 | 6/26/2012 |
| | | | \$29,226,564 | \$837,480 | \$1,067,179 | \$510,515 | \$31,641,738 | 60.31 | |

*Amended from original agreement.

FY 2012 Grants Summary Report

Permission to Continue

| Dept | Name of Grant | Grant Term per Application | Amount requested for PTC | | | Filled FTEs | PTC Expiration Date | Cm. Ct. PTC Approval Date | Cm. Ct. Contract Approval Date | Has the General Fund been Reimbursed? |
|---------------|--|----------------------------|--------------------------|--------------------|------------------|--------------|---------------------|---------------------------|--------------------------------|---------------------------------------|
| | | | Personnel Cost | Operating Transfer | Total Request | | | | | |
| 58 | Comprehensive Energy Assistance Program | 1/1/2012-12/31/2012 | \$29,196 | \$29,196 | \$58,392 | 4.00 | 3/31/2012 | 12/27/2011 | N/A | No |
| 58 | Comprehensive Energy Assistance Program* | 1/1/2012-12/31/2012 | \$0 | \$0 | \$175,000 | 0.00 | 3/31/2012 | 12/27/2011 | N/A | No |
| 58 | Casey Family Programs Community and Family Reintegration Project | 1/1/2012-12/31/2012 | \$15,196 | \$15,196 | \$30,392 | 1.00 | 3/31/2012 | 12/27/2011 | N/A | No |
| 58 | Casey Family Programs Community and Family Reintegration Project | 1/1/2012-12/31/2012 | \$29,196 | \$29,196 | \$58,392 | 1.00 | 6/30/2012 | 3/20/2012 | N/A | No |
| 58 | Comprehensive Energy Assistance Program | 1/1/2012-12/31/2012 | \$29,196 | \$29,196 | \$58,392 | 4.00 | 5/31/2012 | 3/27/2012 | N/A | No |
| 58 | Comprehensive Energy Assistance Program | 1/1/2012-12/31/2012 | \$29,196 | \$29,196 | \$58,392 | 4.00 | 8/31/2012 | 6/5/2012 | N/A | No |
| 158 | Casey Family Programs Community and Family Reintegration Project | 1/1/2012-12/31/2012 | \$15,862 | \$0 | \$15,862 | 1.00 | 9/30/2012 | 6/26/2012 | N/A | No |
| 158 | AmeriCorps | 08/01/12 - 07/31/13 | \$79,018 | \$0 | \$79,018 | 28.00 | 9/30/2012 | 7/24/2012 | N/A | No |
| Totals | | | \$226,860 | \$131,980 | \$533,840 | 43.00 | | | | |

*This portion of the request is not a typical permission to continue and will temporarily use General Fund resources for grant program operating expenses. Expenses will be made in the General Fund and reclassified against the grant once funds are available.

TRAVIS COUNTY FY 09 - FY 14 PLANNING TOOL FOR AMERICAN RECOVERY AND REINVESTMENT ACT (ARRA) AND LARGE MULTI-YEAR GRANT CONTRACTS

The potential impact in future years to the County is shown for planning purposes only. County funding determinations will be made annually by the Commissioners Court based on the availability funding and progress of the program. ARRA Grants are highlighted in bold.

Future year amounts are estimated if not known and impact amounts may be reduced if additional Non-County funding is identified. Amounts shown in a particular year may not represent the actual grant term allocation since terms may overlap the County's Fiscal Year.

| Grant Contracts approved by Commissioners Court | | FY 09 | | FY 10 | | FY 11 | | FY 12 | | FY 13 | | FY 14 | |
|---|---|-------------|--------------------|--------------|--------------------|-------------|--------------------|-------------|--------------------|-------------|--------------------|-------------|--------------------|
| Dept | Grant Title | Grant Award | Add. County Impact | Grant Award | Add. County Impact | Grant Award | Add. County Impact | Grant Award | Add. County Impact | Grant Award | Add. County Impact | Grant Award | Add. County Impact |
| Criminal Justice Planning | Travis County Mental Public Defenders Office. To establish the nation's first stand alone Mental Health Public Defenders Office. Full impact in FY 12 when grant is no longer available. | \$ 375,000 | \$ 250,000 | \$ 250,000 | \$ 375,000 | \$ 125,000 | \$ 500,000 | \$ - | \$ 625,000 | \$ - | \$ 625,000 | | \$ 625,000 |
| Criminal Justice Planning | Office of Parental Representation. County impact is intended to be offset by reductions to Civil Indigent Attorney Fees. Full impact in FY 12 when grant is no longer available. Impact amounts will be updated to take into account internal reallocations and any potential costs/savings to indigent attorneys fees that are centrally budgeted. | \$ 300,000 | \$ 307,743 | \$ 100,000 | \$ 102,360 | \$ 50,000 | \$ 152,360 | \$ - | \$ 152,360 | \$ - | \$ 152,360 | \$ - | \$ 152,360 |
| Criminal Justice Planning | Office of Child Representation. County impact is intended to be offset by reductions to Civil Indigent Attorney Fees. FY 11 is last year of grant. Impact amounts will be updated to take into account internal reallocations and any potential costs/savings to indigent attorneys fees that are centrally budgeted. | \$ 300,000 | \$ 301,812 | \$ 100,000 | \$ 102,358 | \$ 50,000 | \$ 152,359 | \$ - | \$ 152,359 | \$ - | \$ 152,359 | \$ - | \$ 152,359 |
| Criminal Justice Planning | Travis County Information Management Strategy for Criminal Justice (ARRA). Includes technology funding for (Constables, Records Management, Adult Probation, Juvenile Probation, Court Administration, County Attorney's Office, District Attorney's Office and Manor Police Department). | \$ - | \$ - | \$ 487,359 | \$ - | \$ - | \$ 26,432 | \$ - | \$ 26,432 | \$ - | \$ 26,432 | | \$ 26,432 |
| Facilities Management | Energy Efficiency and Conservation Block Grant (ARRA). For Retrofit of the Travis County Executive Office Building HVAC System. One-time grant and includes a \$1.2 million County contribution in FY 10 to complete project. | | \$ - | \$ 2,207,900 | \$ 1,292,000 | | \$ - | | \$ - | | \$ - | | \$ - |
| Travis County Sheriff's Office | 2009 Byrne Justice Assistance Grant (ARRA). One-time grant for one-time capital purchases. Does not require a County match or program to continue after grant term ends on 9/30/12. | \$ - | \$ - | \$ 123,750 | \$ - | \$ 165,000 | \$ - | \$ 165,000 | \$ - | \$ - | \$ - | | \$ - |
| Travis County Sheriff's Office | Travis County Sheriff's Office Response Equipment (ARRA) - One-time funds | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 100,000 | \$ - | \$ - | \$ - |
| Travis County Sheriff's Office/County Attorney's Office | Recovery Act - STOP Violence Against Women Act. TC Expedited Victims Restoration Grant (ARRA). One-time ARRA funding for laptops for TCSO and one-time funding for a Victim Counselor, laptop computer, and operating expenses for the County Attorney's Office. Grant ends March 2011, but for simplification purposes the award is shown fully in 2010. No County match or commitment after grant ends. | \$ - | \$ - | \$ 64,599 | \$ - | | \$ - | | \$ - | | \$ - | | \$ - |

2

| | | | | | | | | | | | | | | |
|---------------------------------------|--|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|------|
| Community Supervision and Corrections | Recovery Act Combating Criminal Narcotics Activity Stemming from the Southern Border of the US: Enhancing Southern Border Jails, Community Corrections and Detention Operations. (ARRA) Grant will supplement department's state funding to help keep all current probation officer positions. This two year funding goes to the State and there is no County obligation or impact. Full amount of grant is believed to be spent by FY 11. | | | | | | | | | | | | | |
| District Attorney | Interlocal Agreement for the Austin/Travis County Family Violence Protection Team. Includes funding for the District Attorney's Office, County Attorney's Office, Travis County Sheriff's Office, and Constable Pct 5. Grant is coordinated by the City of Austin. It is possible that the responsibility to apply for the Grant may fall to the County for FY 11 and beyond. | \$ 342,793 | \$ - | \$ 342,793 | \$ - | \$ 342,793 | \$ - | \$ 342,793 | \$ - | \$ 342,793 | \$ - | \$ 342,793 | \$ - | \$ - |
| Transportation and Natural Resources | Local Transportation Project - Advanced Funding Agreement (ARRA). ARRA funding to upgrade 4 roads by milling and overlaying roadway. Grant is a one-time grant with the potential for estimated \$13,741 contribution from the Road and Bridge Fund. | \$ - | \$ - | \$ 687,047 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Health and Human Services | 2009 Phase 27 ARRA Emergency Food and Shelter Program. The grant is a one-year one-time grant for emergency utility assistance that does not require a County match or program to continue after termination. | \$ 41,666 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Health and Human Services | Americorps. Grant match is handled internally within the existing budget of the Texas AgriLife Extension Service. Assumes grant will continue each year. | \$ 288,139 | \$ - | \$ 298,297 | \$ - | \$ 298,297 | \$ - | \$ 298,297 | \$ - | \$ 298,297 | \$ - | \$ 281,297 | \$ - | \$ - |
| Health and Human Services | Parenting in Recovery. FY 09 is Year Two of a Potential Five Year Grant. The full impact will occur in FY 13 when grant funding is no longer available. | \$ 500,000 | \$ 77,726 | \$ 500,000 | \$ 80,000 | \$ 500,000 | \$ 80,000 | \$ 500,000 | \$ 80,000 | \$ - | \$ 580,000 | \$ - | \$ 580,000 | |
| Health and Human Services | ARRA Texas Weatherization Assistance Program. Provide weatherization services to low income households | | \$ - | \$ 2,311,350 | TBD | \$ 5,311,349 | TBD | | \$ - | | \$ - | | \$ - | |
| Health and Human Services | Community Development Block Grant ARRA (CDBG-R) Funds to be used for approx 39 water connections for Plainview Estates. | \$ 90,000 | \$ - | \$ 136,300 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | |
| Health and Human Services | Community Development Block Grant (CDBG). Impact amounts are based on the amounts added for staff added in HHS and County Auditor's Office to support the grant. The Auditor's staff person also supports other large federal grants, but is only listed here for simplification. Actual amounts may vary by year. Assumes grant will continue each year. | \$ 833,133 | \$ 223,908 | \$ 866,380 | \$ 223,908 | \$ 866,380 | \$ 223,908 | \$ 866,380 | \$ 223,908 | \$ 866,380 | \$ 223,908 | \$ 866,390 | \$ 223,908 | |
| Health and Human Services | Community Putting Prevention to Work (Tobacco Free Worksite Policy). Interlocal with the City of Austin to receive ARRA funds to development a tobacco free worksite policy for County facilities. Includes 1.5 FTE to support program. In addition, there are existing resources provided by the State that are available through the employee clinic to help employee to quit tobacco use. Ends Feb 2012. | \$ - | | \$ - | \$ - | \$ 100,000 | \$ - | \$ 100,000 | \$ - | \$ - | \$ - | \$ - | \$ - | |
| Totals | | \$ 3,070,731 | \$ 1,161,189 | \$ 8,619,525 | \$ 2,175,626 | \$ 7,952,569 | \$ 1,135,059 | \$ 2,272,470 | \$ 1,260,059 | \$ 1,607,470 | \$ 1,760,059 | \$ 1,490,480 | \$ 1,760,059 | |

County Impact includes the grant match amount that is not internally funded or costs that required a budget increase and the amount that may be required by the County upon termination of the grant. This amount does not include all costs related to the administration of the grant that are incurred by the County. Existing grants with approved contracts for the current year with pending applications for the following year are shown only on the contracts sheet to avoid duplication.

01

TEXAS VETERANS COMMISSION GRANT SUMMARY SHEET

| | | |
|------------|---|---|
| Check One: | Application Approval: <input checked="" type="checkbox"/> | Grant Extension: <input type="checkbox"/> |
| | Contract Approval: <input type="checkbox"/> | Status Report: <input type="checkbox"/> |

| | |
|-----------------------|--|
| Department/Division: | Travis County Criminal Courts |
| Contact Person/Title: | Debra Hale, Director of Court Management |
| Phone Number: | (512) 854-9224 |

| | | | | |
|---|---|---|-----|----------|
| Grant Title: | Travis County Veterans Commission | | | |
| Grant Period: | From: | 01/01/13 | To: | 12/31/13 |
| Grantor: | Texas Veterans Commission Fund for Veterans' Assistance | | | |
| American Recovery and Reinvestment Act (ARRA) Grant | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> | | |

| | | | |
|------------------|---|--|-------------------------------------|
| Check One: | New: <input checked="" type="checkbox"/> | Continuation: <input type="checkbox"/> | Amendment: <input type="checkbox"/> |
| Check One: | One-Time Award: <input checked="" type="checkbox"/> | Ongoing Award: <input type="checkbox"/> | |
| Type of Payment: | Advance: <input type="checkbox"/> | Reimbursement: <input checked="" type="checkbox"/> | |

| Grant Categories/ Funding Source | Federal Funds | State Funds | Local Funds | County Match | In-Kind | TOTAL |
|-------------------------------------|------------------|----------------|----------------|-----------------|---------|-------------|
| Personnel: | | 0.00 | | | | 0.00 |
| Operating: | | \$58,150.00 | | | | \$58,150.00 |
| Capital Equipment: | | 0.00 | | | | 0.00 |
| Indirect Costs: | | \$2,907.00 | | | | \$2,907.00 |
| Total: | 0 | \$61,057.00 | 0 | 0 | 0 | \$61,057.00 |
| FTEs: | | 0.00 | | | | 0.00 |

| | |
|---|---------------------------|
| Auditor's Office Review: <input checked="" type="checkbox"/> | Staff Initials: <u>RP</u> |
| Auditor's Office Comments: _____ | |
| County Attorney's Office Contract Review: <input checked="" type="checkbox"/> | Staff Initials: _____ |

| Performance Measures | Projected FY 12 Measure | Progress To Date: | | | | Projected FY 13 Measure |
|---|-------------------------------|-------------------|--------------|--------------|--------------|-------------------------------|
| | | 03/31/13 | 06/30/13 | 09/30/13 | 12/31/13 | |
| Applicable Depart. Measures | | | | | | |
| # of defendants screened for eligibility for court | 360 | 90 Proj. | 180 Proj. | 270 Proj. | 360 Proj. | 360 |
| # of defendants accepted into court | 40 | 12 Proj. | 25 Proj. | 37 Proj. | 40 Proj. | 40 |

| Measures For Grant | | | | | | |
|--|----|----------|----------|----------|----------|----|
| Provide linkage to appropriate treatment for identified veterans | 50 | 13 Proj. | 26 Proj. | 39 Proj. | 50 Proj. | 50 |
| Outcome Impact Description | | | | | | |
| At least 40 veterans will receive treatment and services through the VA while prosecution is deferred to better serve the ends of justice. | 40 | 12 Proj. | 25 Proj. | 37 Proj. | 40 Proj. | 40 |

PBO Recommendation:

The Criminal Courts is requesting approval of an application to the Texas Veterans Commission Fund for Veterans' Assistance for a grant to add a substance abuse treatment component to the existing Veterans Court grant. The grant provides \$62,057, in additional funding all for treatment services and indirect costs.

This grant requires no additional County match and no commitment to continue funding after the grant has terminated. PBO recommends approval.

1. Brief Narrative - Summary of Grant: What is the goal of the program? How does the grant fit into the current activities of the department? Is the grant starting a new program, or is it enhancing an existing program?

It is the goal of the Travis County Veterans Court to link misdemeanor and felony veteran defendants to the VA for assessment and treatment services, monitor their treatment compliance, and divert them from further criminal sanctions. The court will focus on those defendants with Post Traumatic Stress Disorders, Traumatic Brain Injury, and other mental health disorders that resulted from combat related experiences. 79% of offenders with mental health disorders have issues with substance abuse. It is anticipated that a large number of the Court's participants will need substance abuse intervention. The Veterans Commission Grant primarily funds substance abuse treatment for veterans participating in the Veterans Court Program.

Grant funding from the Veterans Commission was first awarded to the Travis County Veterans Court Program effective September 1, 2010. The Veterans Court held its first docket on November 10, 2010. On July 19, 2012 the court is scheduled to accept its' 63rd veteran into the court. So far the court has seen 10 veterans graduate successfully. The Texas Veterans Commission grant, which had been extended until December 31, 2011, was not renewed.

The Travis County Veterans Court Program is again requesting that the Veterans Commission Grant fund substance abuse treatment, as well as drug and alcohol detection services during the period between January 1, 2013 and December 31, 2013. It should be noted that a continuation grant application will also be submitted to the Governor's

Office Criminal Justice Division requesting the funding to continue the Veterans Court Program.

2. Departmental Resource Commitment: What are the long term County funding requirements of the grant?

There are no long term County Funding requirements for this grant.

3. County Commitment to the Grant: Is a county match required? If so, how does the department propose to fund the grant match? Please explain.

There is no county match for this grant.

4. Does the grant program have an indirect cost allocation, in accordance with the grant rules? If not, please explain why not.

Yes, we are requesting a 5% indirect cost allocation.

5. County Commitment to the Program Upon Discontinuation of Grant by Grantor: Will the program discontinue upon discontinuance of the grant funding? (Yes/No) If No: What is the proposed funding mechanism: (1) Request additional funding (2) Use departmental resources. If (2) is answered, provide details about what internal resources are to be provided and what other programs will be discontinued as a result.

It is unknown whether this program will discontinue without grant funding. We will seek additional funding from other sources.

6. If this is a new program, please provide information why the County should expand into this area.

The Travis County Veterans Intervention Project Jail Survey report published in July, 2009 indicates that about 150 veterans are incarcerated in the Travis County Jail at any one time. About one-third of these veterans were arrested more than once during the 90 day survey period. It is anticipated that an increasing number of veterans will be returning from deployment to central Texas. It is hoped that with the collaboration of the local veteran's service delivery system and our Courts, this group of veterans can address their treatment needs and decrease the likelihood of their return to our jail.

7. Please explain how this program will affect your current operations. Please tie the performance measures for this program back to the critical performance measures for your department or office.

This court docket will be an additional docket scheduled in County Court at Law #4 bi-weekly. Although there are specialty dockets for defendants with mental health or substance abuse issues, the unique treatment needs of this target population has not been previously addressed.

Texas Veterans Commission Fund for Veterans' Assistance

Grant VIIIH – July 2012

Grant Application

Applicant Organization Name:

Travis County, Texas

Texas Veterans Commission
P.O. Box 12277
Austin, Texas 78711-2277
Phone: (512) 463-1157
E-mail: grants@tvc.state.tx.us
Web site: www.tvc.state.tx.us

**Grants Applications must be RECEIVED
by 5:00 p.m. (Central Time) on August 7, 2012 to be considered.**

Thank you for your interest in applying for a grant through the Texas Veterans Commission (TVC) Fund for Veterans' Assistance (FVA). The purpose of grants from the FVA is to address the needs of Texas veterans, their families and surviving spouses.

The information requested in this Grant Application is necessary for TVC to have an accurate understanding of your organization, proposed project and how it can address the needs of veterans and their families. **The Commission has authorized TVC staff to reject incomplete, ineligible or inaccurate applications.** Therefore, if you have questions about information requested in this Grant Application, please consult the Application Information FVA Fiscal Guidelines, or contact FVA staff at grants@tvc.state.tx.us or by phone at (512) 463-1157.

The Grant Application is consistent with Commission rules and policies and, if your application is approved for funding, will allow the TVC to quickly develop the Grant Agreement. The Commission's action on Grant Applications is final.

FVA staff is committed to providing a superior level of technical assistance throughout the application, award, reporting and closeout process. We look forward to working with all of you as we ensure that Texas veterans and their families receive the first-class support they have earned through their service to our country.

Applicant Organization Information

Organization Name: Travis County Criminal Courts

Mailing Address: 509 W. 11th St, suite 2.700

City: Austin

State: TX

Zip Code: 78701

Physical Address (if different from mailing address):

Organization Telephone: 512-854-3829

Organization Website Address: www.co.travis.tx.us

Texas House of Representatives District Number(s) of where project services will be provided: 10, 21, 24

Texas Senate District Number(s) of where project services will be provided: 14, 25

Employer Identification Number: 74-6000192

Authorized Representative of Organization (representative with signature authority)

First Name: Samuel

Initial: T.

Last Name: Biscoe

Title: The Honorable Judge

Telephone: 512-854-9555

Fax: 512-854-9535

Email: sam.biscoe@co.travis.tx.us

Mailing Address (if different from organization mailing address): PO Box 1748

City: Austin

State: TX

Zip Code: 78767

Applicant Contact for Grant Project

First Name: Jackson Glass

Initial: W

Last Name: Glass

Telephone: 512-854-3829

Fax: 512-854-4464

Email: Jackson.glass@co.travis.tx.us

Mailing Address (if different from organization mailing address):

City:

State:

Zip Code:

Grant Writer (if applicable)

Name: Jackson Glass

Telephone: (512) 585-8382

Email: jackson.glass@co.travis.tx.us

Checklist of Required Attachments

Ensure that the documents listed below are included with the completed application package. **If a required attachment is not included, the application will be considered incomplete and will not be evaluated further.**

The following documents are required from **ALL** applicants. Counties and Municipalities are not required to submit #1-4.

1. Copy of cover page from the organization's general liability, professional liability and/or malpractice insurance.
2. Copy of the IRS Federal Tax Exemption Letter.
3. Copy of the Certificate of Filing from the Corporations Section of the Texas Secretary of State.
4. Financial Documentation
An applicant must submit financial documents based on the amount of the grant request to show financial stability in order to be eligible for a grant award. Criteria for the determination of financial stability are specified in the FVA Fiscal Guidelines and available on the TVC website.
5. List of board members or governing body. Please include name, title, and any military designations.

| Amount of Grant Funds Requested | Required Financial Documents |
|---------------------------------|--|
| \$250,000 - \$500,000 | Most recent audit report, including the management letter |
| \$100,000 - \$249,999 | Most recent audit report, including the management letter <u>or</u> independently reviewed financial statements |
| \$5,000 - \$99,999 | Most recent audit report, including the management letter <u>or</u> independently reviewed financial statements <u>or</u> a compilation of financial statements (compilation report) |

Grant Assurances

All applicants must agree to the following assurances. This page must be signed and dated by the Authorized Representative who can obligate this organization in a contractual agreement.

Applicant assures that:

1. It has read and understood the FVA Fiscal Guidelines.
2. It will restrict the use of TVC grant funds to activities and/or purposes that are authorized under the grant agreement.
3. It will comply with applicable laws including those pertaining to anti-discrimination measures for employment and services.
4. It will, upon request, cooperate with all data collection and evaluation activities undertaken by the Texas Veterans Commission and give any authorized representative of the State of Texas (i.e., State Auditor's Office) access to any copies of all financial records, books, papers, or documents at no cost to the TVC.
5. It understands and agrees that the Commission may, in its sole discretion, grant funds in greater or lesser amounts and/or for greater or lesser periods of time than requested in this application.
6. It understands and agrees that the application, once received by the Commission, becomes the property of the Commission, and any or all ideas contained therein may be used by the Commission.
7. It will provide written reports detailing the use of TVC grant funds consistent with the proposed use described in the grant agreement.
8. It will promptly notify the Texas Veterans Commission if any organizational or project changes occur such that information contained in its grant agreement is no longer correct, or that would render the organization ineligible for a TVC grant award.
9. It will not use any TVC grant funds for the purpose of lobbying as defined in Chapter 305 of the Texas Government Code.
10. It will comply with state and federal laws, regulations, rules, and agency policies, and all applicable OMB Circulars.
11. It will maintain its tax exempt status under Section 501 of the Internal Revenue Code of 1954, for the life of the grant, and will notify TVC immediately if such status changes.
12. For housing construction or modification grants, it will, for any grant-funded project, abide by the Texas Minimum Construction Standards, as well as any local, state or federal rules, statutes, or codes adopted by the local government to regulate construction in that area. It will also make available all required building or construction permits along with any blue prints that are created for the project.
13. For housing construction or modification grants, it will provide TVC with the physical address of any construction of housing modification project that is funded under the grant once construction begins.
14. For housing construction or modification grants which are funded by the Housing Trust Fund, it will maintain compliance with Texas Government Code §2306.202, which provides that assistance will be provided only to those persons who meet the income requirements set forth in that statute.

I have read these assurances and understand that the grant will be subject to these assurances if this application is approved for funding. I certify that the applicant will comply with these assurances if the application is approved.

Authorized Representative Signature

Date

Applicant Organization Name:

Before completing the Application, please be sure to read thoroughly the FVA Fiscal Guidelines and the Application Instructions for specific information related to questions.

Part 1: Organization Information

1.1 Organization Overview

Write a brief description of the organization, including (1) your organization's mission statement, (2) major programs and/or services provided by your organization, and (3) how long your organization has provided services to veterans in Texas. (300 words maximum)

The mission of the Travis County Criminal Courts is to provide a judicial forum in which conflicts can be resolved and criminal laws can be enforced. In addition to operating the 13 general jurisdiction Criminal District and County Courts, the Travis County Criminal Courts Department operates 5 specialty courts: Veterans Court, Drug Court, Domestic Violence Court, DWI Court and Mental Health Court.

The Veterans Court serves veterans who have been arrested and who have also been assessed as having one or more of the following conditions: a Traumatic Brain Injury (TBI), Post Traumatic Stress Disorder (PTSD), or other psychological issues, such as depression or anxiety, related to their military service in a combat theater. They are also assessed for substance abuse and other issues that may increase their risk to the community and to themselves. In addition to being connected with services at the V. A., veteran participants are also frequently referred to community resources for substance abuse treatment, employment assistance, and peer support. In some cases, veterans are paired with other veterans who serve as volunteer mentors to assist them with navigating the VA system and accessing supportive services for veterans.

The Veterans Court held its first docket on November 10, 2010 and has grown steadily. As of July 19, 2012, the court has accepted over 60 veterans with PTSD or other mental health and substance abuse issues as a result of their deployment to a combat zone.

1.2 Organizational Structure

Please describe your organization's structure (ex. governing body). Also, provide a short description of the key staff's background (title, job description, education and experience, and any military experience). (500 words maximum)

The Veterans Court is administered by the office of the Criminal Courts Administration, which operates under the auspice of Travis County. It is led by Director Debra Hale, who has 25 years of experience in the criminal justice field.

The Veterans Court Program Manager is Jackson Glass, M.Ed, LCDC. Mr. Glass has worked in the criminal justice field for 33 years. He has spent most of that time involved in treatment and rehabilitation services, including 10 years as a probation officer in Tarrant County, over 8 years as a chemical dependency counselor with the Superior Court in Washington, DC, 10 years as the program manager of the Travis County CSCD SMART program and 2 years as the manager of the CSCD outpatient treatment facility, the Counseling Center, which he developed and staffed.

The Veterans Court Caseworker is Jolene Grajczyk, M.Ed, LCDC. Miss Grajczyk is a 23 year veteran of the United States Air Force. She has worked in the criminal justice field for 9 years.

During this time she worked with offenders struggling with addiction in a prison setting, residential setting and outpatient treatment program setting.

1.3 Partnerships

Please list partner agencies and/or organizations and describe how you coordinate services with them. (300 words maximum)

The Veterans Court operates as a separate entity, although it works in collaboration with the Veterans Administration to help veterans obtain diagnoses, appropriate treatment and other supportive services.

1.4 Other Grants

Please list all grants received by your organization within the last two (2) years in the table below. Please include any current/previous FVA grants.

Please note that these grants are representative of the office of the Criminal Courts Administration and not for Travis County.

| Grantor Agency | Grant Amount | Begin Date | End Date | Summary of Grant Project |
|---------------------------|--------------|------------|----------|---|
| Governor's Office CJD | \$155,000 | 9-1-11 | 8-31-12 | Operation of a Veterans Court to assist veterans experiencing Traumatic Brain Injuries, Post Traumatic Stress Disorder, or other psychological disorders related to military deployment to combat or high risk areas. |
| Governor's Office CJD | \$166,003 | 9-1-10 | 8-31-11 | Same as above |
| Governor's Office CJD | \$48,895 | 4-1-10 | 8-31-10 | Partial year implementation grant to start the Veterans Court Program. |
| Texas Veterans Commission | \$40,000 | 9-1-10 | 12-31-11 | Funding for veterans counseling/treatment services, supplies, equipment, travel and training. |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

Total : \$409,898

1.5 Grant Experience

Please indicate any areas your organization has experience with regarding previous or current grants. Check all that apply.

- State/Federal Grants
- Reimbursement Grants
- Foundation Grants
- Veteran Grants

Part 2: Grant Project Information

2.1 Grant Project Service Category

Please choose only one of the service category boxes that best describes the primary focus of the proposed project. *Refer to the Grant Instructions for definitions of the following categories.*

General Assistance Grants

- Financial Assistance
- Homeless/Housing
- Counseling
- Transportation
- Family Services
- Legal
- Referral
- Supportive Services
- Other – (please explain in 1-2 words)

H4TXH

- Rental Assistance
- Housing Construction
- Housing Modification
- Housing Assistance for Dependents of Veterans receiving long term rehabilitation
- Homeless Housing services

2.2 Project Summary

Project Name (if applicable):

Provide a summary of the proposed project. (100 words maximum)

The Travis County Veterans Court program assists honorably discharged veterans arrested in Travis County who are experiencing mental health issues, such as Post Traumatic Stress Disorder (PTSD), depression, anxiety, etc. and/or Traumatic Brain Injuries (TBI), resulting from their military service in combat or in a dangerous military environment. Veterans Court staff identify those individuals who meet the criteria and link them with the Veterans Administration so they may obtain proper diagnoses and treatment services necessary to reduce their risk of re-offending and endangering the public, as well as themselves. Following the National Drug Court model, the Veterans Court utilizes the 10 key components of effective courts and regular judicial contact to support the participant's motivation for change and continued involvement in treatment efforts that lead to a reduction of risk for recidivism and self-harm.

2.3 Geographic Service Area

Regions

Please check all regions in which services will be provided through the proposed project. *Refer to the Grant Instructions for the FVA Region Map and County List.*

- 1. Panhandle Region

- 2. West Texas Region
- 3. Alamo Region
- 4. South Texas Region
- 5. Gulf Coast Region
- 6. Central Texas Region
- 7. East Texas Region
- 8. North Texas Region
- 9. Statewide

Counties

Please list all counties to be served by the proposed project. If the service area covers the entire state, list "statewide."

Travis County.

2.4 Eligibility Definition

1. Please provide definitions of who will be eligible to participate in the program (veteran, dependent, family member, etc.) Describe any other restrictions on participation and how your organization will prioritize need. (150 word maximum)

In order to be eligible for the Veterans Court program, veterans or active duty service men and women must have been deployed to a combat zone or other region that poses a high level of risk. They must be diagnosed with at least one of the following: Traumatic Brain Injury (TBI), Post Traumatic Stress Disorder (PTSD), or a mental health disorder related to their military service as described above. Verification of their military service, as well as their deployment to a combat or dangerous region, is verified by the Veterans Administration. A diagnosis of TBI, PTSD or other mental health disorder is done through an evaluation by the Veterans Administration, which is then documented by the evaluating physician/psychiatrist. A copy of this documentation is obtained from the VA, or in cases of active duty service members, from the medical records of the military branch in which the individual is serving.

2. What specific documents will you use to prove client eligibility? (Note which government forms copied, the method of retention and how the information will be housed in a centralized location.) (150 word maximum)

DD214, VA Assessment form containing diagnosis, offense report.

3. If applying for H4TXH funds, provide definition for "low income." Grants funded by the Housing Trust Fund will comply with Texas Government Code §2306.202, which states that assistance will be provided only to those persons who meet the income requirements set forth in the statute. (150 word maximum)

N/A.

4. If applicable to the program, provide a definition for "disabled veteran." (150 word maximum)

N/A.

Part 3: Reporting and Management

Organizations receiving funding will be required to periodically report project activity and expenditures as outlined in their Grant Agreement. Project progress will be measured using Commission-established benchmarks. Organizations unable to meet benchmarks may be subject to Corrective Action. Expenditure and Performance Benchmarks are as follows:

| Grant Period Elapsed | Portion of Total Award to be Expended | Portion of Required Performance Measures Met |
|----------------------|---------------------------------------|--|
| 25% | 15% | 15% |
| 50% | 40% | 40% |
| 75% | 70% | 70% |

3.1 Performance Measures

Organizations receiving grant funds will track performance by counting each individual veteran, their dependents, and survivors that receive grant-funded service. The number of unduplicated veterans, dependents and survivors as well as cumulative will be reported monthly to TVC using the Monthly Performance and Expenditure Report Form. Projected performance should reflect the total number of **unduplicated** veterans, dependents and survivors that the applicant organization anticipates serving throughout the grant term through the proposed project. Please list the projected number of veterans, dependents, and surviving spouses to be served and the tool by which numbers served will be measured in the table below. If the proposed project will not serve one of the categories, please list "N/A." Refer to Grant Instructions for detailed directions.

| Performance Measure/Deliverable | Tool Used to Measure Performance | Projected Performance/Result for the Grant Period |
|---|----------------------------------|---|
| Number of veterans served. (Required performance measure for all applicants.) | Veterans Court Database | 40 |
| Number of dependents served. (Required performance measure if served.) | N/A | N/A |
| Number of veterans' surviving spouses served. (Required performance measure if served.) | N/A | N/A |

If you are applying for a H4TXH construction grant please define your performance benchmarks specific to the completion of your construction projects.

| Grant Period Elapsed | Grantee Defined Performance Benchmarks |
|----------------------|--|
| 25% | |
| 50% | |
| 75% | |

If applying for H4TXH construction grant, please describe the Stages of Construction to take place as part of the program.

| Number of Stages of Construction | Defined Description of Stages of Construction |
|----------------------------------|---|
| 1 | |
| 2 | |
| 3 | |
| 4 | |
| 5 | |
| 6 | |
| 7 | |
| 8 | |
| 9 | |
| 10 | |
| 11 | |
| 12 | |

3.2 Performance Reporting

Describe how data for each Performance Measure will be collected and maintained. Backup for any data or reports submitted to the FVA must be maintained, available upon request and must equate. Please answer the following:

1. What tools will be used to a.) **collect** and b.) **consolidate** data (software, spreadsheet)? Please note: case files and phone logs are not adequate by themselves. (100 words maximum)

a&b: The Veterans Court utilizes a database system called Referral and Client Management System (RACMS) to collect and maintain records of all cases referred, assessed, accepted, rejected and discharged from the program. This system provides reports documenting the numbers needed to measure figures indicative of program progress and success, such as number of veterans referred, accepted and completing the program. RACMS also allows the staff to enter notes documenting each veteran's linkage to VA and community resources.

2. Describe the process to provide data on required performance measures. Explain the ability to breakout all measures individually, cumulatively, and by month. (200 words maximum)

The Travis County Veterans Court will submit a monthly report documenting any and all data required by the Texas Veterans Commission. Our data collection methods will allow us to

accurately report number of veterans served, amount of grant funds expended and any other information required by the Texas Veterans Commission.

3.3 Fiscal Reporting

Please describe your plan, policies, and/or procedures for grant fiscal management and how reporting activities will be managed and monitored. Describe your fiscal management system, including software used. (300 words maximum)

Travis County has implemented a shared responsibility agreement between the Department receiving the grant and the Travis County Auditor's Office. The department receiving the grant award is responsible for the following roles (including but not limited to):

- Assign an employee to act as grant coordinator to manage the day to day operations of the grant and ensure that all requirements are met. Grant coordinator will be the point of contact with all other Offices/Departments in the County and the vendors.
- Establish proper policies and procedures to ensure that all grant requirements can be met in a timely and efficient manner.
- Monitor internal controls to assure funds are properly expended and documented.
- Ensure compliance with statutes, regulations and grant terms and conditions. The Travis County Auditor's Office is responsible for monitoring compliance with the financial provisions of the grant, as well as the financial reporting of the grant.

3.4 Sustainability Plan

Describe the plan for continuing the project after the grant period ends. Also, explain the organization's commitment to continuing the grant project using existing financial or other resources. Describe how you can continue this program without TVC funding. (300 words maximum)

The Travis County Criminal Courts will also submit a grant application to the Governor's Office for continued funding of this program to fund other resources needed to administer the Veterans Court Program.

Part 4: Budget and Budget Narrative

4.1. Budget Summary and Tables

Enter the amount of Project Costs in Column A (*Please refer to the Grant Instructions for detailed directions*).

Grant Period: (list if different from 1/1/13-12/31/2013)

Amount of Grant Funds Requested: \$61,057

Indirect Costs cannot exceed 7% of total grant award

IMPORTANT:

- Do not include indirect salary costs as direct costs under the Personnel category. (Refer to the Fiscal Guidelines "Use of Funds" Section 4 for a description of Indirect and Administrative Costs.)
- H4TXH proposed budgets may include capital expenditures. Please refer to FVA Fiscal Guidelines.

| Budget Table 1 | | Total Budget |
|-----------------------|--|---------------------|
| | Budget Category | Total Costs |
| | Direct Costs | |
| 1 | Personnel (total salary and benefits from Budget Table 2) | \$0 |
| 2 | Client Services (including counseling, support such as rental assistance, bill payments, etc., transportation, and contracted services, including contract personnel providing services to clients) | \$56,750 |
| 3 | Equipment (non-capitalized) | \$0 |
| 4 | Supplies and Materials | \$1,400 |
| 5 | Travel | \$0 |
| 6 | Other (Provide detail in Budget Narrative) | \$0 |
| A | Total Direct Costs (Line 1 thru 6) | \$58,150 |
| B | Indirect Costs (not to exceed 7% total award) | \$2,907 |
| C | TOTAL BUDGET (sum lines A and B) | \$61,057 |

4.2 Budget Narrative

The Budget Narrative MUST include a description of each line-item in Budget Tables 1 and 2, and **MUST** also include a calculation showing how you arrived at the budgeted amount for each line item. **Lack of calculations will result in an unsatisfactory Budget rating.** (Please refer to the Grant Instructions for detailed directions.)

Table 1-2 Client Services

Client services will fund three types of services for veterans:

#1. substance abuse intensive outpatient treatment and aftercare for 15 veterans unable to access treatment through the VA (15 veterans x \$1,786 = \$26,790);

#2. Substance abuse inpatient treatment for 2 veterans needing a short-term, 28 day program (not available through the VA) (\$130 per day X 28 days=\$3640 x two veterans= \$7,280)

#3. Secure Remote Alcohol Monitoring (SCRAM) ankle bracelets to detect alcohol use for court participants (7 veterans per month X 12 months= 84 months X \$270 per month= \$22,680).

Substance abuse intensive outpatient treatment and aftercare (\$26,790) + substance abuse inpatient treatment (\$7,280) + SCRAM (\$22,680) = **Total Client Services = \$56,750.**

Table 1-3 Equipment (non-capitalized)

Table 1-4 Supplies and Materials

Supplies will consist of 250 urinalysis test cups, with detection slips. Each cup costs \$5.60. (250 cups X \$5.60= \$1,400). **Total Supplies and Materials = \$1,400**

Table 1-5 Travel

Table 1-6 Other (List line items by category.e.g, Repairs and Maintenance, Utilities, Rental of Space. Next, list the expected costs by line item and the total for the category. The grand total must tie to Table 1 'Other'.)

Table 1-B Indirect Costs (Do not need to enter a narrative explanation for these costs - 7% allowable.)

\$2,907 (5%).

Table 2-A Salaries and Wages (Support each position included in Budget Table 2 Personnel Breakdown.)

Table 2-B Employee Benefits (Please only list the applicable benefit categories by employee as noted in Budget Table 2.)

Part 5: Statement of Work

Statement of Work MUST include the following: 1) a **detailed** description of the project including services to be provided and goals of the project, 2) how the organization determined/assessed the need(s) for the project within the geographic area of service; 3) how the project meets that determined need(s); 4) how the organization will target/reach veterans to provide the services of the project. 5) how the organization will recognize TVC if funded. *Please refer to the Grant Instructions for detailed directions.* (Total 2,500 words maximum)

5.1 Detailed Description

Please provide a detailed description of the project including the services to be provided and the goals of the project.

The Travis County Veterans Court will address veterans arrested for misdemeanor and felony offenses. Participants in the court docket should be eligible for Veterans Administration treatment options linked primarily to Post Traumatic Stress Disorder, Traumatic Brain Injury, or mental health disorders. In lieu of a final conviction, participants will be allowed to complete a court supervised treatment program. Each participant will have an individualized treatment plan which will address mental health and/or substance abuse issues, as well as other issues that may impact their successful adjustment in the community. Regular judicial intervention will support the participant's continued involvement in treatment. Aside from VA treatment, participants will be asked to agree to drug testing and/or alcohol monitoring, when appropriate, attendance at support group meetings, and other individual or group counseling as deemed appropriate. Participants may be linked with peer mentors who can assist with issues of readjusting to civilian life and navigating through the VA treatment/benefit system. It is the objective that, through collaboration between local veterans service delivery systems and the Travis County Courts, this group of veterans can address their treatment needs and decrease the likelihood of re-offending and engaging in behavior that puts themselves or others at risk.

The Travis County Veterans Court plans to screen at least 360 veterans for preliminary eligibility to participate in the program, and to link at least 50 combat veterans to VA services, regardless of their eligibility for the court. The goal is to accept and serve 40 active participants in the Veterans Court by the end of FY12.

The Veterans Commission grant funds will be used for intensive treatment for participants unable to access Veterans Administration services due to conflicts with employment and/or school schedules. Additionally, grant funds will be used to fund alcohol monitoring/detection equipment for veterans as well as urinalysis test cups to test for illegal substances.

5.2 Need Determined

Please provide a description of how your organization determined, identified, and assessed a need(s) for the project within the area of service.

The need for a Veterans Court was established after a research project that captured the number of veterans processed into the Travis County jail during one 90 day period in 2009. That Survey Report, published in July, 2009, indicated that about 150 veterans are incarcerated in the Travis County Jail at any one time. About one-third of these veterans were arrested more than once during the 90 day survey period. 73% of the cases during this period were misdemeanor offenses. Of this group, 65% of the arrested veterans were not linked to VA services. This data supported the need to address our arrested veterans, many of whom are not utilizing VA services. Also, nationwide data indicates that about 79% of offenders with mental health disorders, such as these, have co-occurring substance abuse problems. Thus far we have found that almost every one of the Court's participants needs substance abuse intervention in addition to treatment for their mental health issues. Furthermore, according to military figures, hundreds of soldiers are expected to return to the Central Texas region over the next year. Many of these returning service members will return with TBIs, PTSD or other mental health needs related to their deployment(s) and will often wind up in the criminal justice system. Each of these veterans pose a high risk for being arrested and each can benefit from the support of the Veterans Court program.

5.3 Need Met

Please describe how the project meets identified need(s).

The Veterans Court meets the needs of the veteran community by identifying those returning from combat who may pose the greatest risk to the community and to themselves, by linking them with supportive services offered by the VA and other community resources, engaging them in treatment and enhancing their motivation to continue in the treatment process in order to reduce their risk level.

5.4 Outreach

Please describe how your organization will target and reach veterans to provide project services.

Each morning, the Veterans Court manager and caseworker will obtain a list of all veterans booked into the Travis County jail for the preceding 24 hour period. They will then contact the V.A.'s Veterans Justice Outreach Specialist (VJOS) to verify the individual's veteran status and eligibility for VA services. The manager and caseworker will then contact the veteran and/or his/her attorney to provide them with information regarding the Veterans Court program.

5.5 Recognition

Please describe how your organization will recognize the TVC/FVA with regard to funding received (ex. brochures, website, link on website to TVC/FVA website).

The Travis County Veterans Program will acknowledge the support of the Texas Veterans Commission in our Veterans Court brochure, as well as any articles or other publications related to the Veterans Court. We will also recognize the grant support when doing presentations and other public forms in which we participate.

Part 6: Current or Previous FVA Grantees

This section is to be completed only by organizations that currently have or have previously had an FVA grant. Refer to the Grant Instructions for detailed directions.

6.1 Previous Grant Contract Number

FVA_11_0022

6.2 Amount Previously Awarded

\$40,000

6.3 Grant Period Dates

9/01/10 -12/31/11

6.4 Benchmarks

Performance

Did you meet your performance benchmarks? Yes No

If no, please explain why. (250 words maximum)

The Veterans Court initially hoped to accept 25 veterans into the program during its first year. On August 23, 2011, the court met this goal by admitting its 25th veteran into the program. The Veterans Court exceeded the number of veterans screened for eligibility to the court as well as linking veterans with VA services.

Expenditure

Did you meet your expenditure benchmarks? Yes No

If no, please explain why. (250 words maximum)

The Veterans Court did not meet the benchmarks of utilizing funds for treatment services. The reason these benchmarks were two-fold: 1. There was a longer than expected (but normal) lag time of establishing the Veterans Court and getting the numbers of veterans into the court in time to meet the quarterly expectations (now that the court is fully operational and veterans are entering at a more rapid and regular pace, we expect that we will be able to meet these benchmarks in a consistent and timely manner); 2. The company that produces the SCRAM (alcohol monitoring) device announced a program for newly established Veterans Courts nationwide which offered the SCRAM monitoring services free of charge. We took full advantage of this, which meant that we did not have to utilize grant money to pay for this service (saving the Texas Veterans Commission over \$10,000). Unfortunately, we have recently been notified that this program is coming to an end and that we will be required to pay for SCRAM monitoring in the future, although at a reduced rate.

6.5 Grant Successes and Challenges

Please provide a detailed description of the success and challenges of your FVA grant-funded project. (300 words maximum)

The Travis County Veterans Court has been successful in meeting its goals of serving veterans and linking veterans returning from combat with services to help them cope with the lasting effects of their service. Since its first docket on November 10, 2010, the court has accepted over 60 veterans diagnosed with PTSD or other combat-related mental health issues, as well as co-occurring substance abuse disorders. Developing and beginning a specialty treatment court such as the Travis County Veterans Court is a monumental task. This required the cooperation and support of the County Attorney's Office, the Department of Veterans Affairs (VA), the Office of the Governor, the Texas Veterans Commission and local organizations, such as the Veterans Intervention Project (V.I.P.) and the Austin Veterans and Family Action Committee (AVFAC). In supporting our efforts, each individual and organization was responsible for helping combat veterans access treatment, benefits and other services that helped them adjust back into the community and to avoid a criminal conviction that could further hinder their transition to post-service life. By providing them with the same level of commitment that they displayed in serving their country, we have been able to help these veterans overcome the often debilitating effects of deployment into a combat zone.

Furthermore, through training and education, members of the Veterans Court team were able to make decisions in accordance with evidence-based practices. The court was also able to incorporate the ten key components of successful treatment courts, which increases our success in helping the veterans participating in the court.

The biggest challenge we have faced has been attempting to estimate the amount of money that would be needed to achieve our goals during our first year. Now that we have been operating for 18 months, we are better able to project the cost of services needed to assist our veterans in our program.

GRANT SUMMARY SHEET

| | | |
|-----------------------|---|--|
| Check One: | Application Approval: <input checked="" type="checkbox"/> | Permission to Continue: <input type="checkbox"/> |
| | Contract Approval: <input type="checkbox"/> | Status Report: <input type="checkbox"/> |
| Check One: | Original: <input checked="" type="checkbox"/> | Amendment: <input type="checkbox"/> |
| Check One: | New Grant: <input checked="" type="checkbox"/> | Continuation Grant: <input type="checkbox"/> |
| Department/Division: | Criminal Justice Planning (55/00) | |
| Contact Person/Title: | Cathy McClaugherty/Senior Planner | |
| Phone Number: | 854-4713 | |

| | | | |
|---|--|---------------------------------|---------------------------------|
| Grant Title: | Justice Reinvestment Initiative (JRI) | | |
| Grant Period: | From: | 10/01/2012 | To: 09/30/2014 |
| Fund Source: | Federal: <input checked="" type="checkbox"/> | State: <input type="checkbox"/> | Local: <input type="checkbox"/> |
| Grantor: | Center for Effective Public Policy | | |
| Will County provide grants funds to a subrecipient? | Yes: <input checked="" type="checkbox"/> | No: <input type="checkbox"/> | |
| Are the grant funds pass-through another agency? If yes list originating agency below | Yes: <input checked="" type="checkbox"/> | No: <input type="checkbox"/> | |
| Originating Grantor: | Office of Justice Programs, U.S. Department of Justice, Bureau of Justice Assistance | | |

| Budget Categories | Grant Funds | County Cost Share | County Contribution | In-Kind | TOTAL |
|--------------------|------------------|-------------------|---------------------|------------|------------------|
| Personnel: | 0 | 0 | 0 | 0 | \$0 |
| Operating: | 451,812 | 0 | 0 | 0 | \$451,812 |
| Capital Equipment: | 0 | 0 | 0 | 0 | \$0 |
| Indirect Costs: | 0 | 0 | 0 | 0 | \$0 |
| Total: | \$451,812 | \$0 | \$0 | \$0 | \$451,812 |
| FTEs: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

| Permission to Continue Information | | | | | |
|------------------------------------|----------------|--------------------|-----------------|------------|---------------------|
| Funding Source (Account number) | Personnel Cost | Operating Transfer | Estimated Total | Filled FTE | PTC Expiration Date |
| | 0 | 0 | \$0 | 0.00 | |

| Department | Review | Staff Initials | Comments |
|-----------------|-------------------------------------|----------------|----------|
| County Auditor | <input checked="" type="checkbox"/> | JC | |
| County Attorney | <input checked="" type="checkbox"/> | JC | |

| Performance Measures | Projected FY 12 Measure | Progress To Date: | | | | Projected FY 13 Measure |
|---|---|-------------------|---------|---------|---------|-------------------------|
| | | 12/31/11 | 3/31/12 | 6/30/12 | 9/30/12 | |
| Applicable Depart. Measures | | | | | | |
| | | | | | | |
| | | | | | | |
| Measures For Grant | | | | | | |
| | | | | | | |
| Outcome Impact Description | | | | | | |
| Reduce frequency of arrest and jail bed day consumption for program participants. | | | | | | 60% reduction |
| Outcome Impact Description | | | | | | |
| Reduce the number of emergency room visits and ambulance transports for program participants. | | | | | | 30% reduction |
| Outcome Impact Description | Please refer to Attachment G for all performance measures tied to this program. | | | | | |

PBO Recommendation:

This is an application for federal funding through the Center for Effective Public Policy for permanent supportive housing for at risk Travis County residents. There is no match nor any continuing obligations for the County. The department may seek resources from the General Fund in future fiscal years if this program is successful. PBO recommends approval.

1. Brief Narrative - Summary of Grant: What is the goal of the program? How does the grant fit into the current activities of the department? Is the grant starting a new program, or is it enhancing an existing program?

The goal of this grant is to create a pilot program that provides partial funding for permanent supportive housing (PSH) units and funding for support services, such as case management, counseling, etc, to a target population of chronically homeless, mentally ill individuals who cycle in and out of the local jail on a frequent basis ("frequent fliers").

2. Departmental Resource Commitment: What are the long term County funding requirements of the grant?

The County has no long-term funding requirements or commitments for this grant, aside from commitment of CJP staff time to monitor and evaluate the progress of the pilot program that would be created by this grant.

3. County Commitment to the Grant: Is a county match required? If so, how does the department propose to fund the grant match? Please explain.

No.

4. Does the grant program have an indirect cost allocation, in accordance with the grant rules? If not, please explain why not.

No, not provided by grantor at this time.

5. County Commitment to the Program Upon Discontinuation of Grant by Grantor: Will the program discontinue upon discontinuance of the grant funding? (Yes/No) If No: What is the proposed funding mechanism: (1) Request additional funding (2) Use departmental resources. If (2) is answered, provide details about what internal resources are to be provided and what other programs will be discontinued as a result.

Yes.

6. If this is a new program, please provide information why the County should expand into this area.

The City of Austin has developed a permanent supportive housing plan to address homelessness in the community and Travis County has partnered on this initiative. Studies show that being housed greatly reduces the likelihood that an individual will be incarcerated, amongst other risk factors. It is also proven that providing housing alone is not as effective a deterrent as is housing coupled with support services, such as counseling and substance abuse treatment. Through the pilot program proposed by this grant, we hope to make a foray into housing and providing support services to one of the most difficult populations to impact: chronically homeless, mentally ill frequent residents of the Travis County Jail. We hope that, with time, doing so will prove to be a cost-effective measure of dealing with this population in a humane way.

7. Please explain how this program will affect your current operations. Please tie the performance measures for this program back to the critical performance measures for your department or office.

Criminal Justice Planning has been tasked with monitoring the jail population and creating and supervising jail management and reduction programs and initiatives. We hope that this pilot PSH program will, in two to five years, have a significant impact on the County's jail population and result in a measurable decrease in our average daily population. If this does happen, it will justify sustaining the program (or a program similar to it).



JUSTICE & PUBLIC SAFETY DIVISION

Roger Jefferies, County Executive

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Roger Jefferies
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Counseling & Education Services
Caryl Colburn
(512) 854-9540

Juvenile Public Defender
Kameron D. Johnson
(512) 854-4128

To: Travis County Auditor's Office

From: Cathy McClaugherty, Senior Planner

Date: July 24, 2012

SUBJECT: Clarification of submission process for Justice Reinvestment Initiative (JRI) grant

This memo outlines the process for submitting the Justice Reinvestment Initiative (JRI) Phase II grant. The completed grant application (narrative and all attachments) will be submitted via email to Becki Ney, principal with the Center for Effective Public Policy (CEPP), at bney@cepp.com. CEPP is the JRI technical assistance provider for Travis County, as assigned by the Department of Justice, Office of Justice Programs, Bureau of Justice Assistance (BJA). Ms. Ney will attach a cover memo and submit the application placket directly to BJA for their consideration. As stated within the narrative, Travis County's relationship with BJA for this initiative is unique and the process for submitting the JRI grant has been an informal one. The grant process will be formalized into a more traditional grant format once the application has been submitted and approved by BJA.

Justice Reinvestment Initiative Phase II Travis County, Texas

Background

In February 2009, Travis County, Texas, was one of three counties out of a national pool of twenty-three jurisdictions selected to participate in the Urban Institute's Justice Reinvestment at the Local Level (JRLL) initiative. The goals of the project were to develop, implement, and evaluate a local, data-driven, collaborative, strategic plan to achieve meaningful reductions in the jail population and to guide the reinvestment of jail reduction savings into more proactive public safety measures in the community.

The Urban Institute merged their justice reinvestment efforts with the Bureau of Justice Assistance's Justice Reinvestment Initiative (JRI), to better reflect the initiative's national scope. Funding opportunities under JRI were announced in late 2010 and, because of ongoing justice reinvestment work, Travis County was eligible to apply. Travis County Criminal Justice Planning submitted an application to the Bureau of Justice Assistance to become a Phase II JRI site, with eligibility to receive technical assistance and grant funding. The initial application requested \$452,250 to pay for support services for a select group of chronically homeless, mentally ill, frequent users of the jail targeted for permanent supportive housing in Travis County and would leverage existing permanent supportive housing (PSH) units.

In October 2011, Travis County was given permission to proceed as a Phase II JRI site. The Center for Effective Public Policy was selected as our technical assistance provider and has been working with us to implement our justice reinvestment strategy.

The Community Consortium

As a part of this initiative, the Travis County JRI Community Consortium (also known as the Community Consortium) was formed in November 2011. The Community Consortium is functioning as the task force leading local justice reinvestment efforts. The Community Consortium chair is Roger Jefferies, County Executive for Travis County Justice and Public Safety. Staff to the Community Consortium includes Cathy McClaugherty (Criminal Justice Planning), Tonya Mills (Justice and Public Safety), and Kimberly Pierce (Criminal Justice Planning). Other staff may be utilized from Criminal Justice Planning or other member agencies, as needed. Staff's role is to work closely with the JRI technical assistance providers and to support all aspects of the work of the Community Consortium (facilitation of timely and accurate communication between all parties; collection of data and information; preparation of meeting goals and agendas; reports and presentations; and documentation of the Community Consortium's work).

The Community Consortium has met four times and has committed to continue meeting through the duration of the JRI initiative in Travis County. Meetings have been facilitated by the Center for Effective Public Policy (CEPP), the technical assistance provider assigned to the project by the Bureau of Justice Assistance. The Community Consortium is comprised of members from Travis County departments, including: Adult Probation; the County Attorney's Office; Criminal Courts Administration; Criminal Justice Planning; the District Attorney's Office; the Mental Health Public Defender Office; Planning and Budget Office; Pretrial Services; the Purchasing Department; the Travis County Sheriff's Office (Research and Planning, as well representatives from the jail); Travis County Health and Human Services & Veteran's Services; and members of the

local judiciary. Additional members represent Austin-Travis County Integral Care (ATCIC, the local mental health authority); City of Austin Health and Human Services; the Corporation for Supportive Housing (CSH, Texas program); the Downtown Austin Alliance; the Downtown Austin Community Court (DACC); Ending Community Homelessness Coalition (ECHO); and the Seton Healthcare Family.

Community Consortium members have agreed to

- Serve as liaison to the constituency/agency/interest area they represent, carrying key discussion points to these individuals and reporting feedback to the Consortium;
- Commit the time, energy, and creativity needed to assist the Initiative in realizing its goals and objectives;
- Respond to communications from staff and leadership, ensuring plans are carried out and being accountable to the goals of the initiative; and
- Make staff available for data collection and other duties, as needed.

The Community Consortium developed and signed a charter, outlining the initiative's mission, vision, and goals (Attachment A), in lieu of a memorandum of understanding with each department or agency represented. The overall mission of the Community Consortium, as outlined in the Charter, is to oversee the implementation of the JRI Phase II initiative, while the broader vision for the group is to "prevent and end chronic homelessness among criminal justice-involved people with mental illness and demonstrate a reduction of criminal justice costs". The Community Consortium has agreed to accomplish all of the goals and tasks associated with Phase II of the JRI initiative, which are:

- Establish a collaborative team to oversee the initiative and carry out Consortium's implementation plan.
- Establish a vision and charter to guide its work.
- Establish a feasible referral process for targeting the homeless population having the greatest impact on the criminal justice system.
- Develop a detailed implementation plan and budget for submission to BJA.
- Conduct data collection and analysis to inform planning, implementation and evaluation.
- Keep all agencies involved in the effort informed and knowledgeable about the vision and goals for the effort.
- Establish performance indicators to measure the effectiveness of the effort.
- Engage the community and other stakeholders as appropriate.
- Develop a plan for sustaining the effort beyond the grant period.

Specifically, the Community Consortium will work to implement its reinvestment strategy, which includes:

- Establishing permanent supportive housing for justice involved chronically homeless/mentally ill that includes easily accessible, long-term supportive services, and case management.
- Reducing the use of jail resources for the mentally ill and chronically homeless.
- Developing a range of noncriminal responses to the chronically homeless and mentally ill.

- Establishing an effective transition and reentry process for chronically homeless and mentally ill.
- Improving housing stability of justice-involved homeless
- Working with justice-involved homeless and mentally ill individuals in a collaborative and holistic manner.
- Establishing an effective, proactive community outreach and recruitment arm to work with the chronically homeless and mentally ill wherever they may be.

Reinvestment Strategy Overview

Travis County's request will supplement housing vouchers and will pay for support services for a subset of the chronically homeless, mentally ill, frequent users of the jail, targeted for PSH in Travis County. The recommended support services are intensive case management (including assessment; service planning; identifying and addressing needs, through direct provision or referrals; ongoing support and counseling; and addressing income stability); psychiatric services; psychotropic medication management; substance abuse treatment; counseling; and basic needs (including food and transportation). These support services will be provided by the experts in this field: the local community non-profit agencies that are already working with this segment of the homeless population.

Travis County has partnered with the Housing Authority of Travis County (HATC) to provide project-based housing vouchers that will pay for rental subsidies for program participants. Because dedicating housing subsidies to the chronically homeless requires a greater monthly outlay from HATC, tenant-paid rent is calculated at 30% of income.

The average HATC tenant pays about \$300 of a monthly \$700 rent, while this program's PSH clients (who may initially have no income) will pay nothing. In future years, HATC's Housing and Urban Development (HUD) voucher allocation will expand to cover initial costs, but the project proposes to cover the average \$300 per tenant monthly cost to seed HATC's year-one efforts, at a total cost of \$82,800. This is seed money for year one of the project, as Housing and Urban Development (HUD) reimburses the full cost (in this instance, up to the market rate of \$700/month) for each housing voucher expended after the first year. Because these vouchers are project-based, they will remain attached to the project, to be used whether a program participant remains with the program or is replaced by a different participant in the future, for whatever reason.

Housing dollars are scarce and units of housing for our criminally-involved target population are equally difficult to come by. The Community Consortium proposes shifting our approach from serving 50 chronically homeless, mentally ill, frequent users of the jail over one year to serving 23 chronically homeless, mentally ill, frequent users of the jail over a period of two years, thereby creating a "pilot" program. Extending the pilot program to two years will allow more time to serve our target population and measure performance and outcomes, while incentivizing providers to participate in a more stable program with greater continuity of funding and the potential to demonstrate better outcomes. The goal is to demonstrate success with a difficult population that many housing providers may be cautious to serve, creating future opportunities for collaboration and expansion.

Housing providers will be identified via an RFQ (Request for Qualifications), to be released by the Travis County Housing Authority (TCHA), pending approval of funding

by BJA. The proposed release date for the RFQ is on or before August 1, 2012, with a closing date of September 1, 2012 and an anticipated program start-up date of October 1, 2012. Please see Attachment B. Providers have been briefed on the initiative via distribution of a written assessment of availability and services, followed up by meetings with the Community Consortium and CEPP, as well as a meeting with ECHO (housing advocate and member of the Consortium), to ask questions and engage in dialogue, specific to this initiative.

Travis County Criminal Justice Planning will release an RFI (Request for Information) to gauge community availability and interest in provision of the support services, that are intended to complement the PSH units. In keeping with Travis County's Purchasing Office policies and procedures, Travis County may enter into contracts for professional and social services in the amount of \$50,000 or less without going to Commissioner's Court for approval. Contracts in excess of the \$50,000 threshold will require either a competitive bid process or a Commissioners' Court exemption before a contract can be executed. Travis County retains the option of providing support services through either means. Criminal Justice Planning (a member agency of the Community Consortium and staff support for the Community Consortium) will be the recipient of any grant funds, which will then be subcontracted to approved housing and/or service providers. It should be noted that the Community Consortium will entertain working with a provider(s) that can offer both housing and support services or with partnerships that include a separate provider(s) for housing and for support services.

Currently, Travis County Criminal Justice Planning links a limited number of individuals reentering the community from the county jail to emergency (transitional) housing. In fiscal year 2011, funding allowed approximately 42 individuals to receive emergency housing, typically for 30 days, but for no longer than 90 days. By partnering with our community to directly provide permanent supportive housing to the most at-risk of this population, Travis County will significantly change the way it approaches housing homeless frequent users of our jails. Permanent supportive housing, or PSH, is defined as "...permanent, affordable housing linked to a range of support services that enable tenants to live independently and participate in community life. It is a cost effective and successful alternative to more expensive and less efficacious emergency services or institutional settings." This approach is supported by evidence-based practice. Research conducted and gathered by the Corporation for Supportive Housing indicates that individuals in PSH have incarceration rates reduced by 50%; have 50% fewer hospital emergency room visits; are 85% less likely to need emergency detoxification services; and have a 50% increase in earned income.

In 2010, the City of Austin passed a resolution prioritizing PSH funding and began work on a strategy directed towards the construction and operation of 350 PSH units, to be phased in by 2014. Priority was given to 225 households identified as frequent users of "public systems." Permanent supportive housing can be offered in diverse settings but is typically apartment units; is targeted to households earning less than 30% of the area median income with multiple barriers to housing stability; is deeply affordable, with subsidized rent to accommodate tenants with extremely limited or no income; is lease-based, with no time limits to tenancy as long as lease conditions are

met; is supported by comprehensive services; and is managed through a working partnership including service providers, property owners/managers, and subsidy programs. This effort is being overseen by a collaboration of City, County, non-profit, and for profit representatives. As of June 2012, 114 of the 350 PSH units are operational and 122 units are in the pipeline, with a pending availability date. This accounts for 236 units towards the goal of 350 units.

The Community Consortium will sustain this housing pilot program through any savings realized by local justice reinvestment work, with an eventual goal of expanding into an ongoing and long-term initiative. The Community Consortium has garnered the support of Travis County and the City of Austin, as well as local service providers and non-profit agencies, and will seek financial assistance from these entities, pooling resources (both monetary and otherwise) to sustain this program. Members of the Community Consortium have all committed to support and assist with this initiative, expressing their assurances with signed member agreements, which were developed in lieu of formal memoranda of understanding. Travis County has committed to seeking continued funding of this program with a budget request to the Travis County Commissioners, if the program results in successful outcomes.

An implementation plan was developed in concert with members of the Community Consortium; it identifies the activities and tasks that need to be completed in order to implement the housing pilot program (Attachment C). A timeline that includes elements of the implementation plan has also been developed for the program (Attachment D).

Community Consortium members will continue to engage in the implementation process via regular Community Consortium meetings to achieve project goals, scheduled on an as-needed basis. Members have agreed to abide by ground rules and operating norms, as established in the charter. Members have also agreed to decision-making guidelines that include reaching consensus, whenever possible, and submitting votes via email or through a designated attendee, if a Community Consortium member is unable to attend a meeting involving a vote.

The amount being requested for the PSH pilot program is \$451,812. This amount includes \$82,800 for housing vouchers (\$300/voucher for 23 vouchers during year one of the pilot program). The remainder (\$369,012) will be used to pay for support services for 23 clients over a period of two years. These support services include case management; mental health/psychotropic medication (as needed); substance abuse treatment (as needed); counseling (as needed); primary care; food; transportation; and employment/financial stability training (as needed). Please refer to Attachment E for the program budget and budget narrative.

Performance Measures and Anticipated Savings

A list of eligible participants was compiled by determining all mentally ill inmates reporting chronic homelessness who had two or more arrests in a three-year period. Please reference Attachment F. The evaluation period and frequency of arrest were chosen in order to capture frequent low level felons, as well the frequently offending misdemeanants. The top 107 jail bed day consumers from this list were all given a "jail impact score", ranking their frequency of arrest and total jail bed days consumed, with frequency of arrest weighted higher. Program participants will be interviewed and

assessed for interest in this pilot program in ranking order, with those having the most significant impact on local jail resources interviewed first.

Performance indicators (Attachment G) have been developed to evaluate and measure meaningful reductions in arrests, jail bed days consumed, emergency room and hospital resource consumption, as well as emergency medical services transports.

Travis County Justice and Public Safety, along with the Planning and Budget Office and the Travis County Sheriff's Office, have conducted analysis to compile costs per day for specialty populations within the Travis County Jail. Further work has been conducted to accurately account for realistic cost savings or cost avoidances that may be realized through reductions in the average daily jail population. These methodologies were applied in the most recent Cost Benefit Analysis of the Travis County Mental Health Public Defender Office (MHPDO); Attachment H.

Because a primary focus of the MHPDO is intensive forensic case management and linkage to community resources while continuing case management supports, we feel strongly that similar methodologies can be employed to evaluate the return on investment for the PSH pilot program. Additionally, expected outcomes for the PSH pilot program are based, in part, on the outcomes achieved by the MHPDO. Travis County believes that, while outcomes exist for PSH initiatives in other jurisdictions, setting performance targets that more closely align this pilot program with experiences of a local program providing similar services to this specific population is more practical. This will account for our jurisdiction's capacity to serve the special needs of this population, as well as the fact that this PSH pilot program will serve homeless individuals who are not only criminally involved, but also seriously mentally ill.

The attached cost benefit analysis demonstrates that this population will require a long-term commitment. While initial analysis conducted in 2010 demonstrated reductions in jail bed day consumption and frequency of arrest of the MHPDO clients served, current analysis demonstrates that approximately one third of the clients served via the MHPDO since FY2007 have been arrest-free between six months and five and a half years. This translates to a 44-person reduction in the average daily jail population. Travis County is expected to break even on its \$1.375M investment in the MHPDO in FY2013. Through FY2011, the MHPDO has accounted for \$1.19M in cost savings/cost avoidances through reduced jail bed days, bookings, and other quantifiable costs.

The MHPDO analysis is provided to illustrate Travis County's long-term commitment to providing innovative initiatives to reduce recidivism. It is expected that the same commitment will be necessary for this pilot program's target population. With the current capacity to serve 23 in housing, year one and year two savings may appear minimal when compared to the considerable initial investment. However, when proven successful, the Community Consortium will have substantial outcome measures to take to our local funding sources, where this effort can be continued and, hopefully, taken to scale.

Estimated potential cost savings for the first two years of this initiative, related to reduced bookings and jail bed day consumption, range from \$164,242 to \$193,593. These costs consider some variation of the following scenarios:

1. Twenty-three participants are enrolled, from some combination of the top 50 ranked individuals in the target population list. Year one savings are \$50,535.90 by way of a 40% reduction in bookings and jail bed days

consumed from the average baseline. Year two jail related savings are \$113,705.78 by way of a 90% reduction in arrests and jail bed days consumed. (Totaling \$164,241 for the pilot).

2. The top ranked 23 individuals are enrolled. Year one savings are \$59,567.13 in jail related costs by way of a 40% reduction in bookings and jail bed days. Year two savings are \$134,026 by way of a 90% reduction in bookings and jail bed days consumed. (Totaling \$193,593 for the pilot).

It is important to note that the savings quantified above are strictly related to jail cost savings/avoidances and are based on the operational costs to serve persons with serious mental illness. The savings do not include costs of custody staff, facilities, and etcetera. Also, at this time, we are unable to quantify the other community cost savings, such as emergency room and hospital bed consumption or EMS transportation, though those costs are believed to be substantial with this particular population.

Conclusion

By implementing this PSH pilot program, Travis County estimates an initial savings of up to \$193,593 over the life of the two-year, 23-person pilot program. This pilot program targets a very small subset of the chronically homeless, mentally ill frequent offenders in Travis County, Texas, leaving ample room for expansion and greater cost savings. By demonstrating results with this sample population and taking the program to scale following the pilot, much greater results can be realized over time, as is evidenced in the success of our Mental Health Public Defender Office. The cost of adding clients to an existing program will be far less than the start-up costs for the pilot

program, while, over time and with a growing client base, the savings and cost avoidances realized by the program will increase.

Travis County deliberately scaled our JRI initiative to a pilot program in order to develop and nurture working relationships with housing and social service providers, thereby proving to them that we want and have the capability to work effectively with this challenging population. Once successful, our pilot program will become a permanent contribution towards the local focus on ending homelessness, while allowing Travis County's justice reinvestment efforts to come to fruition via less frequent arrests, fewer jail bed days consumed, and a decreased number of jail admissions.



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**Attachment A
Travis County Community Consortium Charter**

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CHARTER

Vision: Prevent and end chronic homelessness among criminal justice-involved people with mental illness and demonstrate a reduction of criminal justice costs.

Mission: The overall mission of the Travis County Community Consortium is to oversee the implementation of the JRI Phase II initiative.

Goals: The Travis County Community Consortium will accomplish all of the goals and tasks associated with Phase II of the JRI initiative:

- Establish a collaborative team to oversee the initiative and carry out Consortium's implementation plan.
- Establish a vision and charter to guide its work.
- Establish a feasible referral process for targeting the homeless population having the greatest impact on the criminal justice system.
- Develop a detailed implementation plan and budget for submission to BJA.
- Conduct data collection and analysis to inform planning, implementation and evaluation.
- Assure that all agencies involved in the effort are informed and knowledgeable about the vision and goals for the effort.
- Establish performance indicators to measure the effectiveness of the effort.
- Engage the community and other stakeholders as appropriate.
- Develop and implement a plan for sustaining the effort beyond the grant period.

Specifically, the Consortium will work to accomplish its goals by:

- Establishing permanent supportive housing for justice-involved people experiencing homelessness and mental illness that includes easily accessible, long term services, case management and supports.
- Reducing the need for jail resources for people experiencing chronic homelessness and mental illness through the provision of supportive housing, services, case management and community supports.
- Developing a range of noncriminal responses to people experiencing chronic homelessness and mental illness.
- Establishing an effective transition and reentry process for people experiencing chronic homelessness and mental illness.
- Improving housing stability of justice-involved homeless.
- Assuring a collaborative, holistic approach to working with justice-involved people experiencing homelessness and mental illness.
- Establishing an effective, proactive community outreach and recruitment arm to work with people experiencing chronic homelessness and mental illness wherever they may be.

Consortium Activities: See attached implementation plan defining the goals, objectives and action steps the Consortium will undertake.

Meeting Frequency and Duration: The Community Consortium will meet as regularly as is needed to achieve their goals. If accomplishment of the implementation plan requires more or less time, the Consortium will readjust its schedule as necessary.

Ground Rules and Operating Norms: Consortium members have agreed to hold each other accountable for adherence to the following ground rules:

- Attend meetings on time and stay for the entire meeting.
- Be fully engaged during meetings.
- Prepare in advance of each meeting by reviewing the materials, goals and agenda.
- An agenda and materials for each meeting will be electronically transmitted to all team members in prior to each meeting.
- Rely on data and evidence to inform decisions.
- Engage in frank, open and honest communications.

Decision Making Guidelines: The Consortium has agreed to the following decision making guidelines:

- Decisions will be reached by consensus whenever possible.
- Whenever there is no consensus, majority vote will rule.
- If a Consortium member is unable to attend a meeting involving a vote, that member may submit their vote via email or through a designated attendee.

Consortium Membership: Members will be selected based upon their leadership positions and key roles in the Travis County government, private and public sector communities. Members have demonstrated an individual and organizational interest in the JRI Phase II initiative and have the knowledge and expertise needed to accomplish the goals of the efforts. The following are members:

Bill Brice, Downtown Austin Alliance
Patricia Bouressa, Inside-Out Travis County
Ashton Cumberbatch, Seton Healthcare Family
Dr. Sandra Eames, Austin/Travis County Reentry Roundtable
Melanie Fletcher, Downtown Austin Community Court
Darla Gay, Community Justice Council
Irma Guerrero, Pretrial Services
Michelle Hallee, District Attorney's Office
Dawn Handley, Austin-Travis County Integral Care
Judge Nancy Hohengarten, Travis County Court-at-Law #5
Kasey Hoke, Travis County Criminal Courts Administration
Ann Howard, Ending Community Homelessness Coalition (ECHO)
Roger Jefferies, Travis County Justice and Public Safety
Jeanette Kinard, Mental Health Public Defender Office
Dianna Lewis-Grey, Corporation for Supportive Housing
Christy Moffett, Travis County Health and Human Services & Veterans' Services
Lila Oshatz, Travis County Adult Probation

Dawn Perkins, City of Austin Health and Human Services
Katie Petersen, Planning and Budget Office
Gerald Rodriguez, Pretrial Services
Danny Smith, Travis County Sheriff's Office
Pete Valdez, Downtown Austin Community Court
David Walch, Travis County Purchasing Office
Valerie Whiting, Mental Health Public Defender Office

Roles and Responsibilities: The following roles have been established to support the effective work of the Consortium.

- **Chair:** The Chair of the Community Consortium will be Roger Jefferies. His primary role as Chair is to work with Consortium staff to set the goals and agenda for each meeting; preside over Consortium meetings; work with the staff and Consortium leadership to prepare for and follow up on meetings; and make assignments as appropriate.
- **Staff:** Staff to the Consortium includes Cathy McClaugherty, Tonya Mills, and Kimberly Pierce. Other staff may be utilized from Criminal Justice Planning or other member agencies from time to time, as needed. Staff's role is to work closely with the JRI TA Providers, support all aspects of the work of the Consortium and its committees, including facilitation of timely and accurate communications between all parties, collection of data and information, preparation of meeting goals and agendas, reports and presentations, and documentation of the Consortiums work.
- **Community Consortium Members:** All Consortium members have the following responsibilities: serve as a liaison to the constituency/agency/interest area they represent, carrying key discussion points to these individuals and reporting feedback to the Consortium; commit the time, energy, and creativity needed to assist the Initiative in realizing its goals and objectives; respond to communications from staff and leadership, ensuring plans are carried out and being accountable to the goals of the initiative; and make staff available for data collection and other duties as needed.
- **JRI TA Providers:** Primary JRI Ta Providers for the initiative include Becki Ney, Principal, Center for Effective Public Policy, and Tammy Meredith, Co-Founder, Applied Research Services. Additional TA providers may be utilized depending on the needs of Travis County and availability of TA resources. TA providers will provide on and off site technical assistance, including: design and facilitation of Consortium meeting goals and agenda; data analysis; substantive presentations; drafting and reviewing written materials; providing guidance regarding the completion of the JRI Phase II implementation plan and budget to BJA; and working closely with the Consortium members, staff and leadership.

Signature

Print Name

Signature

Print Name

Signature

Print Name

RFQ DOCUMENT

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ATTACHMENT B

**Travis County Justice Reinvestment Initiative
Permanent Supportive Housing
Request for Qualifications (RFQ)**

*Please note that Attachment B is in draft form and is a suggested template, used for HUD (Housing and Urban Development) funding. The final version of this RFQ will be specific to this funding opportunity and will be released, contingent on receipt of grant funding.

RFQ Document

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INTRODUCTION

The Housing Authority of Travis County, Texas (hereinafter, "HATC") is a public entity that was formed in 1975 to provide federally subsidized housing and housing assistance to low-income families, within Travis County, Texas. The HA is headed by an Executive Director (ED) and is governed by a five-person board of commissioners and is subject to the requirements of Title 24 of the Code of Federal Regulations (hereinafter, "CFR") and the HA's procurement policy. Though brought into existence by a Resolution of the Travis County Commissioners Court, it is a separate entity from Travis County.

Currently, the HA or its affiliate, Strategic Housing Finance Corporation, owns and/or manages: (a) 1 multi-family apartment complex, totaling 192 units; (b) 3 senior complexes, totaling 311 units; (c) 69 single-family homes; located throughout Travis County; and (d) administers a total of 566 Section 8 Housing Choice Vouchers (for a total of 1,147 units). The HA currently has approximately 16 employees.

In keeping with its mandate to provide efficient and effective services, the HATC is now soliciting proposals from qualified, licensed, and insured entities to provide the following noted services to the HATC. All proposals submitted in response to this solicitation must conform to all of the requirements and specifications outlined within this document and any designated attachments in its entirety.

HATC seeks proposals from owners of multifamily rental housing developments interested in receiving Project-Based Vouchers for a chronically homeless tenant population that will have access to comprehensive services in addition to housing. Applicants are expected to demonstrate viable partnerships with a lead service provider that would provide service under a contract with Travis County Criminal Justice Planning (TCCJP). It is anticipated that each lead service provider partner of successful applicant or applicant team will enter into a contract with Travis County for the provision of comprehensive case management and services for assisted tenants. HATC and TCCJP will jointly select a single applicant or applicant team as the recipient of both project-based vouchers and service funding. A maximum of 23 vouchers will be awarded during FY2012.

RFQ INFORMATION AT A GLANCE

[Table No. 2]

| | |
|---|--|
| HATC CONTACT PERSON | Craig Alter, Telephone: 512/480-8245x15, E-mail: craig@hactx.com |
| HOW TO OBTAIN THE RFQ DOCUMENTS ON THE APPLICABLE INTERNET SITE | 1. Access nahro.economicengine.com (no "www"). 2. Click on the "Login" button in the upper left side. 3. Follow the listed directions. If you have any problems in accessing or registering on the system, please call customer support at 1/866/526-9266. |
| PRE-PROPOSAL CONFERENCE | HATC Central Office August 6 th , 2012, 10:00 a.m. 502 E. Highland Mall Blvd, Suite 106-B Austin, Texas 78752 |
| HOW TO FULLY RESPOND TO THIS RFQ BY SUBMITTING A PROPOSAL SUBMITTAL | As instructed within Section 3.0 of the RFQ document, submit 3 copies of your "hard copy" proposal to the HATC Contracts & Purchasing office. |
| PROPOSAL SUBMITAL RETURN & DEADLINE | *Wednesday, Monday, September 1, 2012 @ 5:00 p.m., HATC Central Office 502 E. Highland Mall Blvd, Suite 106-B Austin, Texas 78752 *(The "hard copy" proposal must be received in-hand and time-stamped by the HATC by no later than 4:00 p.m. on this date). |
| ANTICIPATED APPROVAL BY HATC BOARD OF COMMISSIONERS | Thursday, [DATE], [YEAR] HATC Central Office 502 E. Highland Mall Blvd, Suite 106-B Austin, Texas 78752 |

1.0 HATC'S RESERVATION OF RIGHTS:

- 1.1 The HATC reserves the right to reject any or all proposals, to waive any informality in the RFQ process, or to terminate the RFQ process at any time, if deemed by the HATC to be in its best interests.
- 1.2 The HATC reserves the right not to award a contract pursuant to this RFQ.
- 1.3 The HATC reserves the right to determine the days, hours and locations that the successful proposer(s) shall provide the services called for in this RFQ.
- 1.4 The HATC reserves the right to retain all proposals submitted and not permit withdrawal for a period of 60 days subsequent to the deadline for receiving proposals without the written consent of the HATC Contracting Officer (CO).
- 1.5 The HATC reserves the right to reject and not consider any proposal that does not meet the requirements of this RFQ, including but not necessarily limited to incomplete proposals and/or proposals offering alternate or non-requested services.
- 1.6 The HATC shall have no obligation to compensate any proposer for any costs incurred in responding to this RFQ.

- 1.7 The HATC shall reserve the right to at any time during the RFQ or contract process to prohibit any further participation by a proposer or reject any proposal submitted that does not conform to any of the requirements detailed herein. By accessing the nahro.economicengine.com Internet System (hereinafter, the "noted Internet System" or the "System") and by downloading this document, each prospective proposer is thereby agreeing to abide by all terms and conditions listed within this document and within the noted Internet System, and further agrees that he/she will inform the CO in writing within 5 days of the discovery of any item listed herein or of any item that is issued thereafter by the HATC that he/she feels needs to be addressed. Failure to abide by this time frame shall relieve the HATC, but not the prospective proposer, of any responsibility pertaining to such issue.

2.0 SPECIFICATIONS:

2.1 General Information:

- 2.1.1 **Desired Developments:** The HATC is requesting applications from owners of multifamily rental developments, located Travis County for which the HATC will provide up to 23 Project Based Rental Assistance Vouchers (PBVs) from its Housing Choice Vouchers (HCV) program. Owners are expected establish, for the purposes of this RFP, an ongoing partnership with a social service provider, governed by an MOU, that will deliver on-site supportive services for formerly homeless tenants receiving services through Travis County Criminal Justice Planning or its designee under (RFQ #). Though the HATC anticipates that it will award at least 23 PGV's as a result of this RFP, the HATC reserves the right to award any number of PBV's the HATC deems in its best interests to award).

2.1.1.1 Definition:

A permanent supportive housing unit is defined as:

A rental housing unit that is linked to a range of support services that enable tenants, especially the homeless, to live independently and participate in community life. Permanent supportive housing units are:

- Targeted to households earning under 30% of Area Median Income with multiple barriers to housing stability;
- Deeply affordable. Rents are subsidized so that the tenant ideally pays no more than 30% of household income towards rent, even where tenants have extremely limited or no income;
- Lease-based. Tenancy is based on a legally-enforceable lease or similar form of occupancy agreement, and there are not limits on a person's length of tenancy as long as they abide by the conditions of the lease or agreement;
- Supported by the availability of a flexible array of comprehensive services, but participation is typically voluntary. The tenant has access to a flexible array of comprehensive services, including, but not limited to, case management, medical, mental health, substance use treatment, employment, life skills, and tenant advocacy, but a lease will not be terminated solely because a tenant chooses not to participate; and

- Managed through a working partnership that includes ongoing communication between service providers, property owners/managers, and subsidy programs.

1. Eligible Tenant means an individual or head of household that is
2. Chronically homeless as established in the HEARTH Act¹,
3. Or that otherwise would meet the HUD definition of chronically homeless as above, but have been in an institution for over 90 days, including a jail, prison, substance abuse facility, mental health treatment facility, hospital or other similar facility

2.1.2 Housing Choice Voucher Program: The Housing Choice Voucher (HCV) Program is funded by the U.S. Department of Housing and Urban Development (HUD), and the HCV Program is administered by a local Housing Authority under a Consolidated Annual Contributions Contract (CACC) with HUD. Project Based Vouchers (PBVs) are a component of a Housing Authority's HCV Program. The HATC may select an owner proposal to provide the PBVs for up to 20% of the amount of budget authority allocated to the HATC by HUD in the HATC voucher program. Completed units are required to meet HUD's Housing Quality Standards (HQS). Regulations for PBVs with HCV are in Part 983 of Title 24 of the Code of Federal Regulations (24 CFR). HUD's HQS can be found in 24 CFR 982.401. Applicants are responsible for meeting all the requirements in these rules. The multifamily housing must be eligible housing under 24 CFR 982.53.

2.1.3 Unit Restrictions: The Housing Authority will not enter into an agreement or Housing Assistance Payment (HAP) contract to provide PBVs with HCV for more than 50% of the units in any one project

2.1.4 HUD's current regulations only permit a Housing Authority to provide PBVs within funding currently available under the CACC. Since HCV funding is provided in one year increments, Housing Authorities are permitted to enter into HAP contracts for one year at a time. A HAP contract between the Housing Authority and an owner for PBVs with HCV may have duration of up to 10 years **subject to future availability of sufficient appropriated funds under the HATC's ACC with HUD**, the HAP contract will have an initial duration of 10 years. Upon expiration of the HAP contract term and consistent with the law, the Housing Authority may agree with the project based housing owner to extend the HAP contract for such period as the Housing Authority determines appropriate to expand housing opportunities and assure long term affordability of the housing, up to a total of 15 years of HAP. **All HAP contract extensions must be contingent upon the future availability of appropriated funds.** The HATC or an affiliate may submit an application in response to this RFQ.

2.2 Target Population:

¹ Homeless Emergency Assistance and Rapid Transition to Housing Act, enacted on May 20, 2009.

REQUEST FOR QUALIFICATIONS (RFQ) NO. 2011-01, Project-based Voucher/Site-based Assistance

- 2.2.1 During its annual point-in-time count in 2011, ECHO (Ending Community Homelessness Coalition) reported a total of 2,342 homeless individuals counted on a single night. Of those persons, 793 were chronically homeless, meaning that they were single, disabled individuals that had been homeless for over a year, or had experienced homelessness at least four times over the previous three years. Austin's Homeless Management Information System (HMIS) shows evidence of over 5,800 persons accessing homeless services annually; most observers consider the HMIS total to be substantially lower than the number of people actually experiencing homelessness over the course of a year.
- 2.2.2 Community data indicates that homeless, mentally-ill populations are frequent utilizers of the Travis County Jail. A total of X individuals incarcerated at least twice over a three year period in the Travis County Jail have been identified as being both homeless and mentally-ill. Evidence indicates that these individuals face multiple barriers to housing, resulting in cyclical homelessness and criminal justice involvement.
- 2.2.4 Permanent supportive housing has been proven to be an effective intervention for disabled and criminal-justice involved populations experiencing long-term homelessness, providing long-term housing stability and markedly decreasing criminal justice involvement.
- 2.2.5 Therefore, the target population is defined as chronically homeless individuals who would benefit from mental health and/or substance abuse services that have been identified for intensive services by Travis County Criminal Justice Planning or its designee, and referred to HATC for housing assistance.

2.3 Development Size, Location, and Construction Completion:

- 2.3.1 **De-concentration:** In accordance with 24 CFR 983.57(b), the HATC will determine that the application sites are consistent with the goal of de-concentrating poverty and expanding housing and economic opportunities, as consistent with the HATC Plan, available for public view at the HATC Office, located at 502 E. Highland Mall Blvd., Suite 106-B, in Austin, Texas 78752, between the hours of 8:00 a.m. and 4:00 p.m. on Monday through Friday, excluding legal holidays.
- 2.3.2 **Units:** The HATC will not accept applications for project-based vouchers that are for fewer than 5 apartments. The HATC will not authorize PBVs with HCV for more than 50% of the total number of units within the property.
- 2.3.3 **Proximity to Amenities/Services:** The HATC will award points (please see Section 4.1) to applications and proposals based on proximity to the following amenities/services:
 - 2.3.3.1 Full service grocery store;
 - 2.3.3.2 Convenience store or mini-market;

- 2.3.3.3 Pharmacy;
- 2.3.3.4 Department or retail merchandise store;
- 2.3.3.5 Bank or Credit Union;
- 2.3.3.6 Restaurant or fast food establishment;
- 2.3.3.7 Public recreation facilities (civic center, community center, library);
- 2.3.3.8 Public parks;
- 2.3.3.9 Hospital or medical clinic;
- 2.3.3.10 Doctor's office (medical, dental);
- 2.2.3.11 Convenient and accessible public transportation;
- 2.2.3.12 educational opportunities; and
- 2.2.3.13 Emergency Medical Services substation.

2.3.4 Occupancy: Proposed developments must be completed and have received all certificates of occupancy by not later than October 1st, 2012.

2.4 Type of Development and Size of Apartments:

2.4.1 Multi-family Units: The HATC will accept applications and proposals only for multifamily developments.

2.4.2 Efficiency and 1-bedroom Units: . Only efficiency and 1 bedroom units will be eligible to receive PBV assistance, although the development where PBV are used may have other units of other bedroom counts

2.4.3 Unit Square Footage: The square feet of the units in the development must be at least the minimum shown below, and applications and proposals that do not meet these requirements will not be accepted:

[Table No 3]

| No. of Bedrooms | Minimum Sq Ft |
|-----------------|---------------|
| 0 | 300 |
| 1 | 500 |

Check with provides on efficiency

2.5 Quality of Apartment Units:

2.5.1 Texas Property Code: The development must adhere to the Texas Property Code relating to security devices and other applicable requirements for residential tenancies, local building codes and HUD's HQS (if there is no local building code, then to the most recent version of the International Building Code). All units must have central air conditioning and heating. Points will be awarded (please see Section 4.1) for the following architectural quality features: Thirty year architectural shingle roofing, covered patios, covered balconies, 100% masonry on exterior.

2.5.2 Unit Amenities: The HATC will award points (please see Section 4.1) to applications that propose specific amenities in each apartment at no extra charge to the renters. Such amenities may include, but are not limited to:

- 2.5.2.1 microwave ovens;
- 2.5.2.2 self cleaning or continuous cleaning ovens;
- 2.5.2.3 hood and fan over ranges;
- 2.5.2.4 ceiling fan in each bedroom and in living area;
- 2.5.2.5 refrigerator with icemaker;
- 2.5.2.6 dishwasher with disposal;
- 2.5.2.7 exhaust/vent fans in bathrooms;
- 2.5.2.8 covered entry;
- 2.5.2.9 laundry connections in each unit;
- 2.5.2.10 individual unit water heaters;
- 2.5.2.11 storage room (need not be in unit);
- 2.5.2.12 covered parking;
- 2.5.2.13 telephone connections in living area and in each bedroom;
- 2.5.2.14 cable television connection in each unit;
- 2.5.2.15 free high speed internet access in each unit;
- 2.5.2.16 refuse collection service from each apartment unit or trash chute to the property refuse collection center.
- 2.5.2.17 emergency call devices
- 2.5.2.18 roll-in showers
- 2.5.2.19 automatic off-switches on cooking devices

2.6 Development Amenities:

2.6.1 The HATC will award points (please see Section 4.1) for developments that include the following amenities, as certified by the owner (all amenities must meet accessibility standards as required under Section 504, Rehabilitation Act of 1973 (29 U.S.C. Section 794) and specified in 24 CFR Part 8, Subpart C):

- 2.6.1.1 Full perimeter fence with controlled gate access;
- 2.6.1.2 Full perimeter fence without controlled gate access;
- 2.6.1.3 Development laundry room;
- 2.6.1.4 Public telephone available to residents 24/7;
- 2.6.1.5 Public restrooms;
- 2.6.1.6 Picnic areas;
- 2.6.1.8 Furnished community room;
- 2.6.1.9 Furnished game/recreation or fitness room;
- 2.6.1.10 On-site leasing office;
- 2.6.1.11 Service coordinator office;
- 2.6.1.12 Full community kitchen with equipment;
- 2.6.1.13 Furnished common dining;
- 2.6.1.15 Furnished computer room/facilities;
- 2.6.1.16 Community garden/walk trail;
- 2.6.1.17 Horseshoe, putting green or shuffleboard court;
- 2.6.1.18 Covered pavilion including barbeque grills and tables; and
- 2.6.1.19 Enclosed sun porch or covered community porch/patio.

2.7 Accessibility Standards:

2.7.1 Accessibility Standards: Applications must include a certification by a licensed architect and the owner that the development complies with the accessibility standards required under Section 504, Rehabilitation Act of 1973 (29 U.S.C. Section 794) and specified in 24 CFR Part 8, Subpart C.

2.7.2 Accessibility Levels: A minimum of 5% of the total apartments shall be made accessible for individuals with mobility impairments. An additional 2% of the total apartments shall be accessible for individuals with hearing or vision impairments. A minimum of 20% of each unit type (i.e., one-bedroom, two-bedroom) must provide an accessible entry level in compliance with the Fair Housing Guidelines, and include a minimum of one bedroom and one bathroom at the entry level.

2.7.3 Accessibility Features: Points will be awarded (please see Section 4.1) for a greater number of apartment units above the minimum required equipped to be with accessibility features. Add points. 10 homes low

2.8 Supportive Services to Tenants: The HATC will award points (please see Section 4.1) for developments that include the following free of charge support services, as certified by the owner and service providers:

- 2.8.1 meals-on-wheels;
- 2.8.2 home health care services;
- 2.8.3 social activities;
- 2.8.4 counseling services;
- 2.8.5 health screening;
- 2.8.6 health and nutritional courses;
- 2.8.7 fitness courses/organized activities; and
- 2.8.8 adult education.

2.10 Income Levels of Renters and Rent Affordability: The HATC requires applications from developments that will house renters of mixed incomes, including apartments at market rate rents and apartments with rents affordable to renters with incomes below 80% of the area median gross income (AMGI) based on family size. Affordable rents shall be deemed to be gross rents that do not exceed 30% of the income limitations. Gross rents are established by the Texas Department of Housing and Community Affairs (TDHCA). Renters shall pay not more than the gross rent less an allowance for tenant paid utilities.

2.10.1 Utility Allowance Schedule: A copy of the HATC's utility allowance schedule for the HCV Program is available upon request.

2.11 Long-term Affordability: The HATC will award points to applications and proposals that agree to maintain affordability for a minimum of 15 years. Additional points will be awarded for affordability periods of 30 years and for more than 30 years. Owners that agree to long term affordability will be required to execute and record a Land Use Restriction Agreement (LURA) that specifies set aside units at AMGI levels and required corresponding rent levels during the affordability period. If the proposed development has been awarded assistance under a Federal, state, or local

government housing assistance, community development or supportive services program that requires a LURA, the HATC will accept that LURA if it provides for long term affordability as described herein. These programs include HOME, Community Development Block Grant, Low Income Housing Tax Credits (LIHTC), Housing Trust, and tax exempt financing such as with private activity bonds that utilize LIHTC.

2.12 Rent Limits for HCV:

2.12.1 Gross Rents: The HAP contract between the HATC and an owner for PBVs with HCV shall establish gross rents (rent to owner plus the allowance for tenant paid utilities). Preference will be given to applicants where utilities are paid by the owner on behalf of the tenant, or "all bills paid."

2.12.2 Low-income Tax Credits: In the case a contract unit receives low-income housing tax credit, there must be comparable tax credit units of the same unit and bedroom size as the contract unit, and the comparable tax credit units must not have any form of rental assistance other than the tax credit.

2.12.3 Rent Re-determination: A HAP contract for PBV assistance shall provide for, at the owner's request, rent re-determination in accordance with 24 CFR 983.301 and 983.302. The rent to owner is also re-determined if there is a 5% or greater decrease in the published Fair Market Rent (FMR) for the area.

2.12.4 Reasonable Rent: Established rents must not exceed the lowest of the tax credit rent minus any utility allowance, the reasonable rent as determined by the HATC or the rent requested by the owner. In the case of the HATC or its affiliate-owned units, the amount of reasonable rent must be determined by an independent agency approved by HUD.

2.13 Tenant Share of Rent and Housing Assistance Payment for HCV: The HAP is calculated in accordance with 24 CFR 983.260 as the gross rent minus the total tenant payment. The tenant share is calculated in accordance with 24 CFR 983.261 by subtracting the amount of the HAP from gross rent. The HATC is responsible for these determinations.

2.14 Texas Property Code: The development must adhere to the Texas Property Code relating to security devices and other applicable requirements for residential tenancies, local building codes and HUD's HQS (if there is no local building code, then to the most recent version of the International Building Code).

2.15 Long-term Affordability: Owners that agree to long term affordability will be required to execute and record a Land Use Restriction Agreement (LURA) that specifies set aside units at AMGI levels and required corresponding rent levels during the affordability period. If the proposed development has been awarded assistance under a Federal, state, or local government housing assistance, community development or supportive services program that requires a LURA, the Housing Authority will accept that LURA if it provides for long term affordability as described herein. These programs include HOME, Community Development Block Grant, Low

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Income Housing Tax Credits (LIHTC), Housing Trust, and tax exempt financing such as with private activity bonds that utilize LIHTC.

2.16 Tenant Selection for PBV's: The HATC shall be responsible for determining the eligibility of applicants referred by Travis County Criminal Justice Planning, and maintaining a separate waiting list for the PBVs. Applicants shall be selected from the HATC's PBV waiting list and referred to the PBVs property owner according to the HATC's applicant selection policy.

2.17 Current Contractor: The HATC does not have a current HAP agreement in place for these specific services.

3.0 PROPOSAL FORMAT:

3.1 Tabbed Proposal Submittal: So that the HATC can properly evaluate the offers received, all proposals submitted in response to this RFQ must be formatted in accordance with the sequence noted following. Each category must be separated by numbered index dividers (which number extends so that each tab can be located without opening the proposal) and labeled with the corresponding tab reference also noted below. None of the proposed services may conflict with any requirement the HATC has published herein or has issued by addendum.

[Table No. 6]

| RFQ Section | Tab No. | Description |
|-------------|---------|---|
| 3.1.1 | 1 | Form of Proposal: This Form is attached hereto as Attachment A to this RFQ document. This 6-page Form must be fully completed, executed where provided thereon and submitted under this tab as a part of the proposal submittal. |
| 3.1.2 | 2 | Form HUD-5369-C (8/93), <i>Certifications and Representations of Offerors, Non-Construction Contract:</i> This Form is attached hereto as Attachment B to this RFQ Document. This 2-page Form must be fully completed, executed where provided thereon and submitted under this tab as a part of the proposal submittal. |
| 3.1.3 | 3 | Profile of Firm Form: The Profile of Firm Form is attached hereto as Attachment C to this RFQ document. This 3-page Form must be fully completed executed and submitted under this tab as a part of the proposal submittal. Note that any lead partner service providers must also submit a Profile of Firm Form under this section. |
| 3.1.4 | 4 | Proposed Services: As more fully detailed within Section 2.0, <i>Scope of Proposal/Technical Specifications</i> , of this document, the proposer shall, at a minimum, clearly detail within the information submitted under this tab documentation fully describing the resident services program, including, but not limited to: |
| 3.1.4.1 | | As detailed within Section 4.1, Threshold Evaluation Factor No.'s 1-13 herein, the proposer's Demonstrated Compliance with the Threshold Factors detailed therein. |

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| | | |
|----------|---|---|
| 3.1.4.2 | | As detailed within Section 4.2, Subjective Evaluation Factor No. 1 herein, the DEMONSTRATED EXPERIENCE and QUALIFICATIONS of the proposer and team members as evidenced by the prior completion and/or management of affordable housing multifamily rental developments. |
| 3.1.4.3 | | As detailed within Section 4.2, Subjective Evaluation Factor No. 2 herein, the DEMONSTRATED COMMITMENT of ASSISTANCE under a Federal, state, or local government housing assistance, or supportive services program such as HOME, Community Development Block Grant, Housing Trust, LIHTC, and tax exempt financing with LIHTC. |
| 3.1.4.4 | | As detailed within Section 4.2, Subjective Evaluation Factor No. 3 herein, the DEMONSTRATED QUALITY of the SITE PLAN and UNIT FLOOR PLANS submitted. |
| 3.1.4.5 | | As detailed within Section 4.3, Objective Evaluation Factor No.'s 4-8 herein, the proposer's DEMONSTRATED COMPLIANCE with providing the items listed therein, including: |
| 3.1.4.6 | | Provide a listing of amenities for each apartment. |
| 3.1.4.7 | | Provide a listing of development amenities. |
| 3.1.4.8 | | Provide a description of ancillary supportive services to be provided to <i>all</i> residents by landlord or partner service organizations, or available within .5 miles |
| 3.1.4.9 | | Provide documentation demonstrating certification that the development is City of Austin S.M.A.R.T. Housing Certified and the development's Austin Energy Green Building Star Rating: 3 or 4 stars. |
| 3.1.4.10 | | Provide the site plan, elevations for each building type, and floor plans for each type unit(s) and for non-residential space (e.g., offices, community space), and number of square feet for each type unit. |
| 3.1.4.11 | | Identify available nearby amenities/services and proximity to the property, and provide a map identifying the property and the location of the amenities/services. |
| 3.1.4.12 | | Provide a rent schedule that shows units by income levels served, number of units, number of bedrooms, number of baths, unit size by net rentable square feet, gross rent, allowance for tenant paid utilities, and total tenant rent per unit type |
| 3.1.5 | 5 | Managerial Capacity/Financial Viability: The proposer entity and its lead service provider, if any, must submit under this tab a concise description of its managerial and financial capacity to deliver the proposed services, including brief professional resumes for the persons identified within areas (5) and (6) of Attachment C, <i>Profile of Firm Form</i> . Such information shall include the proposer's qualifications to provide the services; a description of the background and current organization of the firm, including an organizational chart detailing the ownership structure, principals, and other team members including other firms, and the role of each. |
| 3.1.5.1 | | Fully identify prior utilization of public funds by proposer or lead service provider for rental assistance, including the name and |

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| | | |
|----------------|-----------|---|
| | | address of the property(ies), property description, and information as to the type of public funds. |
| 3.1.6 | 6 | Client Information: The proposer and lead service provider, in any, shall submit a listing of former or current clients, including the Public Housing Authorities, for whom the proposer has performed similar or like services to those being proposed herein. The listing shall, at a minimum, include: |
| 3.1.6.1 | | The client's name; |
| 3.1.6.2 | | The client's contact name; |
| 3.1.6.3 | | The client's telephone number; |
| 3.1.6.4 | | A brief description and scope of the service(s) and the dates the services were provided; |
| 3.1.7 | 7 | Equal Employment Opportunity: The proposer must submit under this tab a copy of its Equal Opportunity Employment Policy. |
| 3.1.8 | 8 | Section 3 Business Preference Documentation (Optional Item): For any proposer claiming a Section 3 Business Preference, he/she shall under this tab include the fully completed and executed Section 3 Business Preference Certification Form attached hereto as Attachment D and any documentation required by that form. |
| | 9 | Service Provision Narrative and Budget (provide forms) |
| | 10 | Evidence of owner tenancy criteria, property management standards, and experience serving target population. (provide forms) |
| 3.1.8 | 11 | Other Information (Optional Item): The proposer may include hereunder any other general information that the proposer believes is appropriate to assist the HATC in its evaluation. |

3.1.11 If no information is to be placed under any of the above noted tabs (especially the "Optional" tabs), please place there under a statement such as "NO INFORMATION IS BEING PLACED UNDER THIS TAB" or "THIS TAB LEFT INTENTIONALLY BLANK." DO NOT eliminate any tabs.

3.1.12 Proposal Submittal Binding Method: It is preferable and recommended that the proposer bind the proposal submittals in such a manner that the HATC can, if needed, remove the binding (i.e. "comb-type; etc.) or remove the pages from the cover (i.e. 3-ring binder; etc.) to make copies then return the proposal submittal to its original condition.

3.2 Fees: There are not any fees or costs that will be proposed as a part of this RFQ process.

3.3 Proposal Submission: All proposals must be submitted and time-stamped received in the HATC Contract & Purchasing Office by no later than the submittal deadline stated herein (or within any ensuing addendum). A total of 1 original signature copy (marked "ORIGINAL") and 2 exact copies (each of the 3 proposal submittals shall have a cover and extending tabs) of the proposal submittal, shall be placed unfolded in a sealed package and addressed to:

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Housing Authority of Travis County
Attention: Craig Alter, Executive Director
502 E. Highland Mall Blvd, Suite 106-B
Austin, Texas 78752

The package exterior must clearly denote the above noted RFQ number and must have the proposer's name and return address. Proposals submitted after the published deadline will not be accepted.

3.3.1 Submission Conditions: DO NOT FOLD OR MAKE ANY ADDITIONAL MARKS, NOTATIONS OR REQUIREMENTS ON THE DOCUMENTS TO BE SUBMITTED! Proposers are not allowed to change any requirements or forms contained herein, either by making or entering onto these documents or the documents submitted any revisions or additions; and if any such additional marks, notations or requirements are entered on any of the documents that are submitted to the HATC by the proposer, such may invalidate that proposal. If, after accepting such a proposal, the HATC decides that any such entry has not changed the intent of the proposal that the HATC intended to receive, the HATC may accept the proposal and the proposal shall be considered by the HATC as if those additional marks, notations or requirements were not entered on such. By accessing the nahro.economicengine.com Internet site, registering and downloading these documents, each prospective proposer that does so is thereby agreeing to confirm all notices that the HATC delivers to him/her as instructed, and by submitting a proposal, the proposer is thereby agreeing to abide by all terms and conditions published herein and by addendum pertaining to this RFQ.

3.3.2 Submission Responsibilities: It shall be the responsibility of each proposer to be aware of and to abide by all dates, times, conditions, requirements and specifications set forth within all applicable documents issued by the HATC, including the RFQ document, the documents listed within the following Section 3.6, and any addenda and required attachments submitted by the proposer. By virtue of completing, signing and submitting the completed documents, the proposer is stating his/her agreement to comply with the all conditions and requirements set forth within those documents. Written notice from the proposer not authorized in writing by the CO to exclude any of the HATC requirements contained within the documents may cause that proposer to not be considered for award.

3.4 Proposer's Responsibilities--Contact With the HATC: It is the responsibility of the proposer to address all communication and correspondence pertaining to this RFQ process to the designated CO only. Proposers must not make inquiry or communicate with any other HATC staff member or official (including members of the Board of Commissioners) pertaining to this RFQ. Failure to abide by this requirement may be cause for the HATC to not consider a proposal submittal received from any proposer who may has not abided by this directive.

3.4.1 Addendums: All questions and requests for information must be addressed in writing to the CO. The CO will respond to all such inquiries

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in writing by addendum to all prospective proposers (i.e. firms or individuals that have obtained the RFQ Documents). During the RFQ solicitation process, the CO will NOT conduct any *ex parte* (a substantive conversation—"substantive" meaning, when decisions pertaining to the RFQ are made—between the HATC and a prospective proposer when other prospective proposers are not present) conversations that may give one prospective proposer an advantage over other prospective proposers. This does not mean that prospective proposers may not call the CO—it simply means that, other than making replies to direct the prospective proposer where his/her answer has already been issued within the solicitation documents, the CO may not respond to the prospective proposer's inquiries but will direct him/her to submit such inquiry in writing so that the CO may more fairly respond to all prospective proposers in writing by addendum.

3.5 Pre-proposal Conference: The scheduled pre-proposal conference identified on Page 2 of this document is, pursuant to HUD regulation, not mandatory. Many prospective proposers have previously responded to an RFQ with a multi-tabbed submittal and feel comfortable in doing so without attending the pre-conference. Typically, such conferences last 1 hour or less, though such is not guaranteed. The purpose of this conference is to assist prospective proposers in having a full understanding of the RFQ documents so that he/she feels confident in submitting an appropriate proposal; therefore, at this conference the HATC will conduct an overview of the RFQ documents, including the attachments. Prospective proposers may also ask questions, though the CO may require that some such questions are delivered in writing prior to a response. Whereas the purpose of this conference is to review the RFQ documents, attendees are encouraged to bring a copy of the RFQ documents to this conference since the HATC *will not* distribute at this conference any copies of the RFQ documents.

3.5.1 General Directions to the Pre-proposal Conference:

[Table No. 7]

| RFQ Section | Attachment Description |
|-------------|---|
| 3.5.1.1 | From Interstate Highway 35, Exit U.S. Highway 290/RR2222 West. |
| 3.5.1.2 | Turn right (north) onto Airport Blvd. |
| 3.5.1.3 | Turn right (east) on Highland Mall Blvd. |
| 3.5.1.4 | Turn left into the HATC/Habitat Suites shared driveway. |
| 3.5.1.5 | Turn right into the HATC parking lot. Suite 106-B is located on the right side of the building. |

3.6 Recap of Attachments: It is the responsibility of each proposer to verify that he/she has downloaded the following attachments pertaining to this RFQ, which are hereby by reference included as a part of this RFQ:

[Table No. 8]

| RFQ Section | Attachment | Attachment Description |
|-------------|------------|------------------------|
| 3.6.1 | A | Form of Proposal |

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| | | |
|---------|-----|--|
| 3.6.2 | B | Form HUD-5369-C (8/93), <i>Certifications and Representations of Offerors, Non-Construction Contract</i> |
| 3.6.3 | C | Profile of Firm Form |
| 3.6.4 | D | Section 3 Form Submittal Form |
| 3.6.4.1 | D-1 | Section 3 Explanation |
| 3.6.5 | E | Form HUD-5369-B (8/93), <i>Instructions to Offerors, Non-Construction</i> |
| 3.6.6 | F | HATC <i>Instructions To Proposers & Contractors</i> |
| 3.6.7 | G | Sample <i>Housing Assistance Payment (HAP) Contract form</i> |
| 3.6.8 | H | 24 CFR Part 983 |
| 3.6.9 | I | 24 CFR Part 982 |
| 3.6.10 | J | section 504 of the Rehabilitation Act of 1973 29 U.S.C. 794J |
| 3.6.11 | K | 24 CPR part 8 |
| 3.6.12 | L | Fair Housing Amendments Act of 1988 |
| 3.6.13 | M | 24 CFR 100.205 |
| 3.6.14 | N | Map delineating the target area defined within Section 2.1.1 herein. |
| | O | Service Narrative and Budget Form |
| | P | Tenant Screening and Property Management Form |

4.0 PROPOSAL EVALUATION:

4.1 **Threshold Evaluation Factors:** By submitting a proposal the proposer thereby certifies that the proposal meets the following detailed Threshold Evaluation Factors ("threshold," meaning, the proposal will not qualify as a responsive proposal unless the proposal and proposer meets and complies with each of the following "threshold" standards.

[Table No. 9]

| NO. | FACTOR TYPE | FACTOR DESCRIPTION |
|-----|-------------|--|
| 1 | Threshold | The development must be eligible housing under 24 CFR 982.53 and 983.54. |
| 2 | Threshold | The project meets the site selection standards set forth in 24 CFR 983.57. |
| 3 | Threshold | The development is not designated for the following types of housing: |
| 3a | | Shared housing; |
| 3b | | Units on the grounds of a penal, reformatory, medical, mental, or similar public or private institution; |
| 3c | | Nursing homes or facilities providing continuous psychiatric, medical, nursing services, board and care, or intermediate care; |
| 3d | | Units that are owned or controlled by an educational institution or its affiliate and are designated for occupancy by students or the institution; |
| 3e | | Manufactured homes; |
| 3f | | Cooperative housing; or |

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| | | |
|------------|------------------|---|
| 3g | | Transitional Housing. |
| 4 | Threshold | The proposed units are not a project for families with children. |
| 5 | Threshold | No units will be occupied by an owner of the housing. |
| 6 | Threshold | The project is not any of the following types of subsidized housing: |
| 6a | | A public housing dwelling unit; |
| 6b | | A unit subsidized with any other form of Section 8 assistance (tenant-based or project-based); |
| 6c | | A unit subsidized with any governmental rent subsidy; |
| 6d | | A unit subsidized with any governmental subsidy that covers all or any part of the operating costs of the housing |
| 6e | | A unit subsidized with Section 236 rental assistance payments; |
| 6f | | A unit subsidized with rental assistance payments under Section 521 of the Housing Act of 1949; |
| 6g | | A Section 202 project for nonelderly persons with disabilities; |
| 6h | | Section 811 project-based supportive housing for persons with disabilities; |
| 6i | | Section 202 supportive housing for the elderly; |
| 6j | | A Section 101 rent supplement project; |
| 6k | | A unit subsidized with any form of tenant-based rental assistance; |
| 6k | | A unit with any other duplicative federal, state, or local housing subsidy, as determined by HUD or by the HATC in accordance with HUD requirements. |
| 7 | Threshold | The project has not received and will not receive (before or during the term of the HAP contract) any public assistance for acquisition, development, or operation of the housing other than assistance disclosed in the subsidy layering review in accordance with HUD requirements. |
| 8 | Threshold | The project is specifically made available to disabled households, and is therefore exempt from the cap on the number of PBV units per building. |
| 9 | Threshold | The application site is consistent with the goal of de-concentrating poverty and expanding housing and economic opportunities, as consistent with the HATC Plan. |
| 10 | Threshold | The project meets the HATC neighborhood standards for a proposed site, including: |
| 10a | | The site promotes greater choice of housing opportunities and avoids undue concentration of assisted persons in areas containing a high proportion of low-income persons. |
| 10b | | The neighborhood is not one that is seriously detrimental to resident life or in which substandard dwellings or other undesirable conditions predominate. |

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| | | |
|-----|-----------|--|
| 10c | | The housing is accessible to social, recreational, educational, commercial, and health facilities and services and other municipal facilities and services |
| 11 | Threshold | The project owner has certified to comply with program accessibility requirements of section 504 of the Rehabilitation Act of 1973 29 U.S.C. 794J and implementing regulations at 24 CFR part 8. |
| 12 | Threshold | Design and construction complies with requirements of the Fair Housing Amendments Act of 1988 and implementing regulations at 24 CFR 100.205, as applicable. |
| | | |

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4.2 Subjective Evaluation Factors: The following subjective factors will be utilized by the evaluation committee appointed by the HATC to evaluate each proposal submittal received. As these factors are subjective in nature, the actual points awarded for each factor shall be based upon the opinion of the appointed evaluation committee after review of the proposal submitted.

[Table No. 10]

| NO. | MAX POINT VALUE | FACTOR TYPE | FACTOR DESCRIPTION |
|-----|---------------------|--|--|
| 1 | 6 points | Subjective | The DEMONSTRATED EXPERIENCE and QUALIFICATIONS of the proposer and team members as evidenced by the operation of affordable housing multifamily rental developments. |
| 2 | 6 points | Subjective | The DEMONSTRATED COMMITMENT of ASSISTANCE under a Federal, state, or local government housing assistance, or supportive services program such as HOME, Community Development Block Grant, Housing Trust, LIHTC, and tax exempt financing with LIHTC. |
| 3 | 6 points | Subjective | The DEMONSTRATED QUALITY of the PROPERTY submitted. |
| | 15 points | Subjective | The DEMONSTRATED EXPERIENCE AND COMMITMENT to effectively promoting housing access stability among the target population as evidenced by current or proposed admission criteria, property management policies, and service delivery partnerships. |
| 4 | 35 points (Maximum) | Subjective | The DEMONSTRATED QUALITY of the Services to be Available to PBV-assisted tenants, as follows: |
| | 7 points | | Effective Staff:Client Ratio |
| | 7 points | | Staffing Experience |
| | 7 points | | Implementation of Evidence Based Practices |
| | 7 points | | Breadth/Adequacy of Clinical and Social Services Offered |
| | 7 points | | Demonstrated Success in PSH Housing Stability |
| | 68 points | Total Points (Subjective Factors) | |

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4.3 Objective Evaluation Factors: The following objective factors will be utilized by the HATC to evaluate each proposal submittal received. As these factors are objective in nature, the actual points awarded for each factor shall be based upon the review of the specific information within the Form of Proposal completed and submitted.

[Table No. 11]

| NO. | MAX POINT VALUE | FACTOR TYPE | FACTOR DESCRIPTION |
|-----|-----------------------------------|-------------|---|
| 4 | 2 points (Maximum of 6 Points) | Objective | ACCESIBILITY UNITS: Each additional apartment beyond the minimum required that are equipped with accessibility features. |
| 5 | 4 points (Maximum) | Objective | INCOME LEVELS of renters. Percentage of the units: |
| 5a | 1 points | | 100% of the residents have no income restrictions; or |
| 5b | 2 points | | 100% of the residents have incomes at not more than 60% AMGI with restricted rents; or |
| 5c | 3 points | | Minimum of 10% of the residents with incomes at not more than 30% AMGI with restricted rents, and the balance of the residents with incomes at not more than 60% AMGI with restricted rents; or |
| 5d | 4 points | | A mixed-income property having a minimum of 10% of the residents with incomes at not more than 30% AMGI with restricted rents, and a maximum of 10% of the residents with no income restrictions, then the balance of the residents with no more than 60% AMGI with restricted rents. |
| 6 | 4 points (Maximum) | Objective | Maintain LONG-TERM AFFORDABILITY of renters for: |
| 6a | 2 points | | 15 years (minimum); |
| 6b | 4 points | | 16 years or more years; |
| 6c | 6 points | | More than 30 years. |
| 7 | 10 points (Maximum) | Objective | The AVAILABILITY and QUALITY of the PHYSICAL AMENITIES proposed that are within each unit or on-site. |
| 7a | 2 points | | Full perimeter fence or single entrance <u>with supervised access</u> ; or |
| 7b | .5 point | | Full perimeter fence or single entry point <u>with controlled gate access</u> . |
| 7c | .5 point | | Development laundry room; |
| 7d | .5 point | | Public telephone available to residents 24/7; |

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| | | | |
|----------------|---------------------------|------------------|---|
| 7e | .5 point | | Public restrooms; |
| 7f | .5 point | | Picnic areas; |
| 7g | 4 point | | Swimming pool; |
| 7h | .5 point | | Furnished community room; |
| 7i | .5 point | | Furnished game/recreation or fitness room; |
| 7j | .5 point | | On-site leasing office; |
| 7k | .5 point | | Service coordinator offices; |
| 7l | .5 point | | Full community kitchen with equipment; |
| 7m | .5 point | | Furnished common dining; |
| 7n | | | |
| 7o | .5 point | | Furnished computer room/facilities; |
| 7p | .5 point | | Community garden/walk trail; |
| 7q | .5 point | | Horseshoe, putting green or shuffleboard court; |
| 7r | .5 point | | Covered pavilion including barbeque grills and tables; |
| 7s | .5 point | | Enclosed sun porch or covered community porch/patio; |
| 7t | .5 point | | 30-year shingle roofing; |
| 7u | .5 point | | Covered patios; |
| 7v | .5 point | | Covered balconies; |
| 7w | | | In-unit amenities: |
| 7x | .5 point | | Microwave Ovens. |
| 7y | .5 point | | Self-cleaning or continuous cleaning ovens. |
| 7z | .5 point | | Hood and fan over ranges. |
| 7aa | .5 point | | Ceiling fan in each bedroom and living area. |
| 7bb | .5 point | | Refrigerator with ice-maker. |
| 7cc | .5 point | | Dishwasher with disposal. |
| 7dd | 4 point | | Individual unit water heater. |
| 7ee | .5 point | | Storage room (need not be in the unit). |
| 7ff | 4 point | | Covered parking. |
| 7gg | .5 point | | Telephone connection in each unit. |
| 7hh | .5 point | | High speed internet access in each unit. |
| | .5 point | | Emergency call features |
| | .5 point | | Roll-in showers |
| | .5 point | | Automatic time off switch on cooking device or faucets |
| 8 | 4 points (Maximum) | Objective | The AVAILABILITY and QUALITY of the SUPPORTIVE SERVICES proposed that are offered to all residents on-site or to the |

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| | | | |
|----------|---------------------------|---|---|
| | | | general public within .5 miles of the site. |
| 8a | 2 points | | Public transportation; |
| 8b | .25 point | | Meals-On-Wheels; |
| 8c | .25 point | | Home health care; |
| 8d | .25 point | | Social services; |
| 8e | .25 point | | Counseling; |
| 8f | .25 point | | Health screening; |
| 8g | .25 point | | Health and nutritional courses; |
| 8h | .25 point | | Fitness courses/organized activities; |
| 8i | .25 point | | Adult education. |
| 9 | 4 points (Maximum) | Objective | ADDITIONAL CERTIFICATIONS/RATINGS. |
| 9a | 2 points | | City of Austin S.M.A.R.T. Housing Certified |
| 9b | 1 points | | Austin Energy Green Building Star Rating: 3 stars |
| 9c | 2 points | | Austin Energy Green Building Star Rating: 4 stars |
| | 32 points | Total Points (Objective Factors) | |

| | | |
|--|-------------------|--|
| | 100 points | Total Possible Points (not including the following Section 3 Preference Points) |
|--|-------------------|--|

4.4 **Section 3 Business Preference Evaluation Factors:** The following factors will be utilized by the staff member assigned by the HATC to evaluate each proposal submittal received:

[Table No. 12]

| NO. | MAX POINT VALUE | FACTOR TYPE | FACTOR DESCRIPTION |
|-----|-----------------|-------------|--|
| 9 | | Objective | SECTION 3 BUSINESS PREFERENCE PARTICIPATION: A firm may qualify for Section 3 status as detailed within Attachments D and D-1 (NOTE: A max of 10 points awarded). |
| 9a | 70 points | | Priority I, Category 1a: Business concerns that are 51 percent or more owned by residents of the housing development or developments for which the Section 3-covered assistance is expended. |
| 9b | 6 points | | Priority II, Category 1b: Business concerns whose workforce includes 30 percent of residents of the housing development for which the Section 3-covered assistance is expended, or within three (3) years of the date of first employment with the business concern, were residents of the Section 3-covered housing development. |

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| | | | |
|----|-----------|--|--|
| 9c | 5 points | | Priority III, Category 2a: Business concerns that are 51 percent or more owned by residents of any other housing development or developments. |
| 9d | 4 points | | Priority IV, Category 2b: Business concerns whose workforce includes 30 percent of residents of any other public housing development or developments, or within three (3) years of the date of first employment with the business concern, were "Section 3" residents of any other public housing development. |
| 9e | 63 points | | Priority V, Category 3: Business concerns participating in HUD Youth-build programs being carried out in the metropolitan area in which the Section 3-covered assistance is expended. |
| 9f | 2 points | | Priority VI, Category 4a: Business concerns that are 51 percent or more owned by Section 3 residents in the metropolitan area, or whose permanent, full-time workforce includes no less than 30 percent of Section 3 residents in the metropolitan area, or within three (3) years of the date of employment with the business concern, were Section 3 residents in the metropolitan area. |
| 9g | 1points | | Priority VII, Category 4b: Business concerns that subcontract in excess of 25 percent of the total amount of subcontracts to Section 3 business concerns. |
| | 7 points | | Maximum Available Preference Points (Additional) |

| | |
|------------|-----------------------|
| 107 points | Total Possible Points |
|------------|-----------------------|

4.5 Evaluation Method:

4.5.1 Initial Evaluation for Responsiveness: Each proposal received will first be evaluated for responsiveness (e.g., meets the minimum of the published requirements). The HATC reserves the right to reject any proposals deemed by the HATC not minimally responsive (the HATC will notify such firms in writing of any such rejection).

4.5.2 Evaluation Packet for Proposals Deemed Responsive: Internally, an evaluation packet will be prepared for each evaluator, including the following documents:

4.5.2.1 Instructions to Evaluators;

- 4.5.2.2 Proposal Tabulation Form;
 - 4.5.2.3 Written Narrative Justification Form for each proposer;
 - 4.5.2.4 Recap of each proposer's responsiveness;
 - 4.5.2.5 Copy of all pertinent RFQ documents.
- 4.5.3 Evaluation Committee:** The HATC anticipates that it will select a minimum of a four-person committee to evaluate each of the responsive proposals submitted in response to this RFQ, which will include at least two designees of Travis County Criminal Justice Planning Department
PLEASE NOTE: No proposer shall be informed at any time during or after the RFQ process as to the identity of any evaluation committee member. If, by chance, a proposer does become aware of identity of such person(s), he/she **SHALL NOT** make any attempt to contact or discuss with such person anything related to this RFQ. As detailed within Section 3.4 of this document, the designated CO is the only person at the HATC that the proposers shall contact pertaining to this RFQ. Failure to abide by this requirement may (and most likely will) cause such proposer(s) to be eliminated from consideration for award.
- 4.5.4 Evaluation:** The CO will evaluate and award points objectively pertaining to Evaluation Factors No. 4-8. The appointed evaluation committee, independent of the CO or any other person at the HATC, shall evaluate the responsive proposals submitted and award points subjectively pertaining to Evaluation Factors No.'s 1-3 and 9. Upon final completion of the proposal evaluation process, the evaluation committee will forward the completed evaluations to the CO.
- 4.5.5 Potential "Best and Finals" Negotiations:** The HATC reserves the right to, as detailed within Section 7.2.N through Section 7.2.R of HUD Procurement Handbook 7460.8 REV 2, conduct a "Best and Finals" Negotiation, which may include oral interviews, with all firms deemed to be in the competitive range. Any firm deemed not to be in the competitive range shall be notified of such in writing by the HATC in a timely manner as possible, but in any case within no longer than 10 days after the beginning of such negotiations with the firms deemed to be in the competitive range.
- 4.5.6 Determination of Top-ranked Proposer:** Typically, the subjective points awarded by the evaluation committee will be combined with the objective points awarded by the CO to determine the final rankings, which is typically forwarded by the CO to the ED for approval. If the evaluation was performed to the satisfaction of the ED, the final rankings may be forwarded to the Housing Authority Board of Commissioners (BOC) at a scheduled meeting for approval. Contract negotiations may, at the HATC's option, be conducted prior to or after the BOC approval.

4.5.6.1 Ties: In the case of a tie in points awarded, the award shall be decided as detailed within Section 6.12.C of HUD Procurement Handbook 7460.8 REV 2, by “drawing lots or other random means of selection.”

4.5.6.2 Minimum Evaluation Results: To be considered to receive an award a proposer must receive a total calculated average of at least 70 points (of the 115 total possible points detailed within Section 4.1 herein).

4.5.8 Award Recommendation: It is anticipated that the final rankings will be forwarded to the HATC Board of Commissioners (BOC) at a regularly scheduled board meeting for approval. The BOC will then make its determination as to whether or not to follow the evaluation committee’s recommendation.

4.5.9 Notice of Results of Evaluation: If an award is completed, all proposers will receive by e-mail a Notice of Results of Evaluation. Such notice shall inform all proposers of:

4.5.9.1 Which proposer received the award;

4.5.9.2 Where each proposer placed in the process as a result of the evaluation of the proposals received;

4.5.9.4 Each proposer’s right to a debriefing and to protest.

4.5.10 Restrictions: All persons having familial (including in-laws) relationships (past or current) with principals and/or employees of a proposer entity will be excluded from participation on the HATC evaluation committee.

5.0 CONTRACT AWARD:

5.1 Contract Award Procedure: If a contract is awarded pursuant to this RFQ, the following detailed procedures will be followed:

5.1.1 It is anticipated that upon final completion of the proposal evaluation process, the evaluation committee will forward the completed evaluations to the CO. The CO will formulate and forward to the ED for approval a written award recommendation. The ED will review the recommendation and, if in agreement, take the award recommendation to the BOC at a scheduled board meeting for approval. If so, the BOC will then make its determination of whether or not to follow the committee’s recommendation. At some point (in a timely manner) after award all proposers will, as detailed within Section 4.2.8 herein, receive a Notice of Results of Evaluation. Contract price negotiations may, at the HATC’s option, be conducted prior to or after the BOC approval.

5.2 Contract Conditions: The following provisions are considered mandatory conditions of any contract award made by the HATC pursuant to this RFQ:

5.2.1 Contract Form: The HATC will not execute a contract on the successful proposer's form--contracts will only be executed on the HATC form (please see Sample Contract, Attachment G), and by submitting a proposal the successful proposer agrees to do so (please note that the HATC reserves the right to amend this sample contract form as the HATC deems necessary). However, the HATC will, during the RFQ competitive solicitation process, prior to the submittal deadline, consider any contract clauses that the proposer wishes to include therein, but the failure of the HATC to include such clauses does not give the successful proposer the right to refuse to execute the HATC's contract form. It is the responsibility of each prospective proposer to notify the HATC, in writing, prior to submitting a proposal, of any contract clause that he/she is not willing to include in the final executed contract and abide by. The HATC will consider and respond to such written correspondence, and if the prospective proposer is not willing to abide by the HATC's response (decision), then that prospective proposer shall be deemed ineligible to submit a proposal.

5.2.1.1 Please note that the HATC has no legal right or ability to (and will not) at any time negotiate any clauses contained within ANY of the HUD forms included as a part of this RFQ.

5.2.2 Assignment of Personnel: The HATC shall retain the right to demand and receive a change in personnel assigned to the work if the HATC believes that such change is in the best interest of the HATC and the completion of the contracted work.

5.2.3 Unauthorized Sub-Contracting Prohibited: The successful proposer shall not assign any right, nor delegate any duty for the work proposed pursuant to this RFQ (including, but not limited to, selling or transferring the contract) without the prior written consent of the CO. Any purported assignment of interest or delegation of duty, without the prior written consent of the CO shall be void and may result in the cancellation of the contract with the HATC, or may result in the full or partial forfeiture of funds paid to the successful proposer as a result of the proposed contract; either as determined by the CO.

5.3 Contract Period: The HATC anticipates that it will initially award a contract for 10 years, with the option, at the HATC's discretion, of 5 additional years.

5.4 Licensing and Insurance Requirements: Prior to award (but not as a part of the proposal submission) the *successful proposer* will be required to provide:

5.4.1 An original certificate evidencing the proposer's current industrial (workers compensation) insurance carrier and coverage amount;

5.4.2 An original certificate evidencing General Liability coverage, naming the HATC as an additional insured, together with the appropriate endorsement to said policy reflecting the addition of the HATC as an additional insured under said policy (minimum of \$1,000,000 each occurrence, general aggregate minimum limit of \$2,000,000, together

with damage to premises and fire damage of \$50,000 and medical expenses any one person of \$5,000), with a deductible of not greater than \$1,000;

5.4.3 An original certificate showing the proposer's professional liability and/or "errors and omissions" coverage (minimum of \$1,000,000 each occurrence, general aggregate minimum limit of \$2,000,000), with a deductible of not greater than \$1,000;

5.4.4 An original certificate showing the proposer's automobile insurance coverage in a combined single limit of \$1,000,000. For every vehicle utilized during the term of this program, when not owned by the entity, each vehicle must have evidence of automobile insurance coverage with limits of no less than \$50,000/\$100,000 and medical pay of \$5,000.

5.4.6 The immediate preceding requested related information shall also be entered where provided for on the Profile of Firm Form (DO NOT ATTACH OR SUBMIT COPIES OF THE PRECEDING ITEMS WITHIN THE PROPOSAL SUBMITTAL--we will garner the necessary certificates from the successful proposer prior to contract execution).

5.5 Contract Service Standards: It is the responsibility of the successful proposer to ensure that all work performed pursuant to this RFQ must conform and comply with all applicable local, state and federal codes, statutes, regulations and laws.

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Attachment C Implementation Plan

- Establish a collaborative team to oversee the initiative and carry out the Community Consortium's implementation plan.
- Establish a vision and charter to guide its work.
- Establish a feasible referral process for targeting the homeless population having the greatest impact on the criminal justice system.
- Develop a detailed implementation plan and budget for submission to BJA.
- Identify housing options for clients that meet the following criteria:
 - A limited number of housing sites (≤ 3) that are able to allot 8-10 units each;
 - Willing to work with a criminally-involved, mentally ill population;
 - Willing to adopt a screening policy with a minimum threshold of criminal justice involvement;
 - Impose limited rules on the target population;
 - Potentially provide on-site services, either through existing or newly-formed partnerships between PSH and social service providers;
 - Have office/meeting space available for on-site case management and service provision;
 - Ability to accept project-based housing vouchers.
- Involve all necessary agencies in the effort and keep representatives informed and knowledgeable about the vision and goals for the effort.
- Establish performance indicators to measure the effectiveness of the effort.
- Engage the community and other stakeholders as appropriate.
- Conduct data collection and analysis to inform planning, implementation and evaluation.
- Develop a plan for sustaining the effort beyond the grant period.

Attachment D Timeline

- September 2011 Travis County submits an application to be considered as a Phase II Justice Reinvestment Initiative (JRI) site.
- November 2011 Travis County partners with their technical assistance provider, the Center for Effective Public Policy (CEPP).
- November 18, 2011 The JRI Community Consortium is formed and holds its first meeting.
- January 12, 2012 CEPP conducts its first site visit to Travis County. A meeting of the Community Consortium is held.
- February 7, 2012 CEPP conducts a site visit to Travis County and facilitates a meeting of the Community Consortium. The Consortium begins work on an implementation plan for the permanent supportive housing (PSH) pilot program.
- February-May 2012 A workgroup (“JRI Small Housing Group”) is formed by the Community Consortium. This workgroup meets to determine the housing needs of the target population, as well as availability of housing units and community resources. During this time frame, the JRI Small Housing Group meets with the Travis County Housing Authority on the availability of housing vouchers for the target population and pursues a partnership to secure units of housing for the target population. The JRI Small Housing Group also releases an assessment of availability, targeting local housing and social service providers, in order to gauge available services for the target population, as well as a willingness to collaborate on JRI.
- May 2, 2012 CEPP conducts a site visit to Travis County and facilitates a meeting of the Community Consortium. The Consortium finalizes a Charter to guide its works and future planning and oversight activities. The JRI Small Housing Group reports back to the Consortium on its efforts. The Consortium votes to change the scope of from serving 50 clients during one year to creating a pilot PSH program serving 23 clients over a period of two years.

- May 2, 2012 CEPP facilitates a meeting of local housing and service providers to introduce them to JRI and answer any questions about the proposed PSH pilot program.
- May 23, 2012 The JRI Small Housing Group holds a follow-up meeting for local housing and service providers, focused on what PSH initiatives are working in our community and what challenges we are facing.
- June 26, 2012 The JRI Small Housing Group holds a status meeting.
- May-July 2012 Travis County Criminal Justice Planning completes the JRI Phase II application, under the supervision and with the approval of the Community Consortium.
- July 17, 2012 The JRI Phase II application is submitted to the Planning and Budget Office, the County Attorney's office, and Travis County Auditor's Office for review and approval.
- July 24, 2012 The JRI Phase II application is submitted to the Travis County Commissioner's Court for review.
- July 31, 2012 The JRI Phase II application is scheduled for approval in front of the Travis County Commissioners' Court.
- July 31, 2012 The JRI Phase II application is scheduled for submission to the Bureau of Justice Assistance, through CEPP.
- July-August 2012 The Travis County Housing Authority's housing RFS (request for services) is released, pending funding decision from BJA. This RFS will seek housing providers that are willing to work with the target population during the two-year pilot program.
- July-August 2012 Travis County will release an updated assessment of availability (RFI, or Request for Information) to gauge the availability of the support services needed to complement PSH for the target population during the two-year pilot program.

August-September 2012 Final JRI Phase II application decision is pending.

October 1, 2012 Anticipated receipt of funding; start date for PSH pilot program.

November 1, 2012 Contract with support service provider(s) begins.

December 1, 2012 Program implementation begins. Support service provider will identify first client for PSH pilot program and begin in/outreach.

December 1, 2013 & then annually

Goal A, Objective 1a due. Refer to Attachment G, Performance Measurement Plan.

Goal A, Objective 1b due (ongoing). Refer to Attachment G, Performance Measurement Plan.

Goal A, Objective 2 due. Refer to Attachment G, Performance Measurement Plan.

Goal A, Objective 4 due. Refer to Attachment G, Performance Measurement Plan.

Goal B, Objective 5 due. Refer to Attachment G, Performance Measurement Plan.

Goal B, Objective 6 due. Refer to Attachment G, Performance Measurement Plan.

Goal C, Objective 7b due (ongoing). Refer to Attachment G, Performance Measurement Plan.

Goal C, Objective 8 due. Refer to Attachment G, Performance Measurement Plan.

Goal C, Objective 9 due. Refer to Attachment G, Performance Measurement Plan.

Goal C, Objective 10 due. Refer to Attachment G, Performance Measurement Plan.

Goal C, Objective 11 due. Refer to Attachment G, Performance Measurement Plan.

March 1, 2013

Ongoing

Goal C, Objective 7a due. Refer to Attachment G, Performance Measurement Plan.

Goal A, Objective 3 (ongoing). Refer to Attachment G, Performance Measurement Plan.

Attachment E Budget Narrative Summary

Travis County, Texas, is requesting **\$451,812** for a Justice Reinvestment Initiative (JRI) permanent supportive housing pilot program. This amount will supplement housing vouchers for the pilot's target population and will pay for support services offered in tandem with housing.

The amount budgeted for housing vouchers is **\$82,800** (\$300/voucher for 23 vouchers during year one of the pilot program). This is seed money for year one of the project, as Housing and Urban Development (HUD) reimburses the full cost (in this instance, up to the market rate of \$700/month) for each housing voucher expended after the first year.

The bulk of the budget (**\$369,012**) will be used to pay for contracted support services for 23 clients over a period of two years. It is estimated that the weighted annual cost for support services for clients breaks down to **\$8,022**. These support services include intensive case management; mental health/psychotropic medication (as needed); substance abuse treatment (as needed); counseling (as needed); primary care; food; transportation; and employment/financial stability training (as needed). The goal is to have these support services provided through one (no more than two) contracted agency, which may be in partnership with a housing provider(s).

In order to develop a realistic budget for this pilot program, Travis County looked to current efforts in the community to house and provide services for chronically homeless individuals. This allowed us to estimate service costs for our target

population, based on a case management model, and to estimate what percentage of our target population will require particular services.

Almost half of the funding for support services (**\$176,640**) will pay for intensive case management for 100% of the clients involved in this pilot program. The goal of case managers is to transition clients from intensive case management to supportive services. Case management activities for clients will include (but are not limited to) the following:

- Conducting psycho-social assessments and developing service plans to identify and address clients' needs.
- Referrals to appropriate service providers, such as substance abuse treatment, clothing closets, food pantries, etc.
- Providing transportation to service provider appointments, as well as assistance in maneuvering the provider's intake process.
- Conducting groups with clients on topics such as life skills, conflict resolution, medication management, and other pertinent topics.
- Addressing income stability (benefits, supported subsidies, etc.) for clients who are unable to work. Most of the target population will be eligible for Medicaid and disability benefits. There would be a substantial focus on helping clients qualify for benefits, as they represent an important source of future program stability.
- Providing job-readiness assistance with clients who are employment ready (including assistance with applications, resumes, thank-you letters, as well as referrals to various employment service agencies in the community).

Case managers will refer clients in need of psychiatric services to the local mental health authority, Austin-Travis County Integral Care (ATCIC). During a crisis, clients can be referred to Psychiatric Emergency Services (PES), a walk-in psychiatric emergency service clinic open 24/7 and operated by ATCIC. PES is staffed by licensed clinicians, psychiatrists, nurses, and qualified mental health professionals and provides psychiatric assessment, crisis intervention, linkage with resources, and physician services to individuals experiencing psychiatric distress. It is estimated that 75% of the clients in this pilot program will need assistance paying for prescribed psychotropic medications, however, so the appropriate funding (**\$33,120**) will be set aside for this.

It is estimated that 65% of the clients involved in this pilot program will need intensive outpatient treatment (group or individual) substance abuse treatment and aftercare. The cost for substance abuse treatment over two years is **\$48,438**.

Twenty percent (20%) of the clients involved in this pilot program will be in need of one-on-one counseling that is beyond the training and expertise of a case manager. The cost for this service over two years is **\$17,664**.

The medical needs of the target population will be addressed by leveraging existing resources, such as community clinics, and ensuring all eligible clients have a MAP (Medical Assistance Program) card to access healthcare services. To supplement this need, **\$13,800** has been budgeted for primary care for 100% of the clients.

Food has been budgeted at **\$41,400** for two years for 100% of the clients. This amount will be used to offset the benefits received by eligible clients or the income of job-ready clients, as well as access to local food banks.

Many of the transportation needs of clients can be met by their case manager. Clients will have frequent medical, psychiatric, treatment, etc., appointments, however that a case manager cannot accommodate. There is also a need to foster independence in clients, especially as they move from intensive to supportive case management. Therefore, **\$13,800** has been budgeted for transportation, to include passes for local public transportation, for 100% of the clients.

Approximately 35% of clients will need assistance in managing their finances and/or benefits via a representative payee. Representative payee responsibilities include using benefits to pay for the current and foreseeable needs of the clients; appropriately saving any remaining money and/or benefits; and keeping good records of how money and/or benefits are spent. This portion of the support services budget (**\$24,150**) can also be accessed to pay for certifications or licenses for job-ready clients.

The following chart provides an overview of the annual service costs per client for this pilot program.

| Annual Client Service Costs | | | | |
|------------------------------------|---------------------|---|--------------------|-----------------------------|
| | Monthly Cost | Percent of Clients Needing Service | Annual Cost | Weighted Annual Cost |
| Case Management | \$320 | 100% | \$3,840 | \$3,840 |
| Mental Health Medication | \$80 | 75% | \$960 | \$720 |
| Substance Abuse Treatment | \$135 | 65% | \$1,620 | \$1,053 |
| Counseling | \$160 | 20% | \$1,920 | \$384 |
| Primary Care | \$25 | 100% | \$300 | \$300 |

| | | | | |
|---------------------------------------|-------|------|--------|---------|
| Food | \$75 | 100% | \$900 | \$900 |
| Transportation | \$25 | 100% | \$300 | \$300 |
| Employment/Financial Stability | \$125 | 35% | \$1500 | \$525 |
| Total | | | | \$8,022 |

The following chart provides an overview of the total two-year budget for the JRI pilot program.

| Justice Reinvestment Initiative (JRI) Pilot Program Budget | |
|---|----------------------|
| | Biannual Cost |
| Housing Vouchers | \$82,800 |
| Case Management | \$176,640 |
| Mental Health Medication | \$33,120 |
| Substance Abuse Treatment | \$48,438 |
| Counseling | \$17,664 |
| Primary Care | \$13,800 |
| Food | \$41,400 |
| Transportation | \$13,800 |
| Employment/Financial Stability | \$24,150 |
| Total | \$451,812 |

Attachment F

| LIST POSITION | NAME | TOTAL BKINGS | JBD's CONSUMED | Frequeny Score | LOS Score | JAIL IMPACT SCORE |
|---------------|------|--------------|----------------|----------------|-----------|-------------------|
| 1 | | 34 | 605 | 1.66 | 1.31 | 2.97 |
| 2 | | 38 | 486 | 1.66 | 1.29 | 2.95 |
| 3 | | 26 | 485 | 1.64 | 1.28 | 2.93 |
| 4 | | 24 | 465 | 1.64 | 1.26 | 2.90 |
| 5 | | 38 | 421 | 1.66 | 1.23 | 2.89 |
| 6 | | 20 | 460 | 1.63 | 1.26 | 2.89 |
| 7 | | 16 | 529 | 1.59 | 1.30 | 2.89 |
| 8 | | 28 | 416 | 1.65 | 1.23 | 2.88 |
| 9 | | 18 | 429 | 1.61 | 1.24 | 2.86 |
| 10 | | 17 | 446 | 1.60 | 1.25 | 2.85 |
| 11 | | 14 | 485 | 1.56 | 1.28 | 2.84 |
| 12 | | 12 | 840 | 1.51 | 1.33 | 2.84 |
| 13 | | 14 | 467 | 1.56 | 1.27 | 2.83 |
| 14 | | 13 | 524 | 1.53 | 1.30 | 2.82 |
| 15 | | 19 | 379 | 1.62 | 1.20 | 2.82 |
| 16 | | 11 | 581 | 1.48 | 1.31 | 2.80 |
| 17 | | 21 | 340 | 1.63 | 1.16 | 2.79 |
| 18 | | 17 | 366 | 1.60 | 1.18 | 2.78 |
| 19 | | 13 | 415 | 1.53 | 1.22 | 2.75 |
| 20 | | 13 | 374 | 1.53 | 1.19 | 2.72 |
| 21 | | 10 | 468 | 1.44 | 1.27 | 2.71 |
| 22 | | 15 | 305 | 1.58 | 1.13 | 2.71 |
| 23 | | 13 | 302 | 1.53 | 1.12 | 2.65 |
| 24 | | 11 | 346 | 1.48 | 1.17 | 2.65 |
| 25 | | 14 | 251 | 1.56 | 1.09 | 2.65 |
| 26 | | 9 | 424 | 1.41 | 1.24 | 2.64 |
| 27 | | 8 | 537 | 1.34 | 1.30 | 2.64 |
| 28 | | 11 | 332 | 1.48 | 1.15 | 2.64 |
| 29 | | 16 | 163 | 1.59 | 1.04 | 2.63 |
| 30 | | 8 | 468 | 1.34 | 1.27 | 2.61 |
| 31 | | 12 | 266 | 1.51 | 1.09 | 2.60 |
| 32 | | 7 | 565 | 1.28 | 1.31 | 2.59 |
| 33 | | 8 | 432 | 1.34 | 1.25 | 2.59 |
| 34 | | 7 | 469 | 1.28 | 1.28 | 2.56 |
| 35 | | 10 | 296 | 1.44 | 1.11 | 2.55 |

| | | | | | | |
|----|--|----|-----|------|------|------|
| 36 | | 8 | 395 | 1.34 | 1.21 | 2.55 |
| 37 | | 9 | 312 | 1.41 | 1.14 | 2.55 |
| 38 | | 11 | 201 | 1.48 | 1.06 | 2.54 |
| 39 | | 13 | 113 | 1.53 | 1.01 | 2.54 |
| 40 | | 10 | 278 | 1.44 | 1.10 | 2.54 |
| 41 | | 6 | 664 | 1.22 | 1.32 | 2.54 |
| 42 | | 12 | 125 | 1.51 | 1.02 | 2.53 |
| 43 | | 9 | 290 | 1.41 | 1.11 | 2.51 |
| 44 | | 6 | 504 | 1.22 | 1.29 | 2.51 |
| 45 | | 7 | 408 | 1.28 | 1.22 | 2.50 |
| 46 | | 9 | 240 | 1.41 | 1.08 | 2.49 |
| 47 | | 10 | 125 | 1.44 | 1.02 | 2.46 |
| 48 | | 10 | 119 | 1.44 | 1.02 | 2.46 |
| 49 | | 5 | 756 | 1.13 | 1.32 | 2.46 |
| 50 | | 6 | 425 | 1.22 | 1.24 | 2.46 |
| 51 | | 10 | 105 | 1.44 | 1.01 | 2.45 |
| 52 | | 8 | 281 | 1.34 | 1.10 | 2.44 |
| 53 | | 10 | 102 | 1.44 | 1.00 | 2.44 |
| 54 | | 6 | 410 | 1.22 | 1.22 | 2.44 |
| 55 | | 4 | 631 | 1.11 | 1.32 | 2.43 |
| 56 | | 8 | 247 | 1.34 | 1.08 | 2.42 |
| 57 | | 8 | 239 | 1.34 | 1.08 | 2.41 |
| 58 | | 8 | 230 | 1.34 | 1.07 | 2.41 |
| 59 | | 6 | 370 | 1.22 | 1.19 | 2.40 |
| 60 | | 5 | 465 | 1.13 | 1.26 | 2.40 |
| 61 | | 8 | 177 | 1.34 | 1.05 | 2.39 |
| 62 | | 8 | 176 | 1.34 | 1.05 | 2.38 |
| 63 | | 3 | 532 | 1.08 | 1.30 | 2.38 |
| 64 | | 8 | 154 | 1.34 | 1.04 | 2.38 |
| 65 | | 5 | 427 | 1.13 | 1.24 | 2.38 |
| 66 | | 7 | 266 | 1.28 | 1.09 | 2.37 |
| 67 | | 4 | 449 | 1.11 | 1.26 | 2.37 |
| 68 | | 7 | 240 | 1.28 | 1.08 | 2.36 |
| 69 | | 4 | 423 | 1.11 | 1.23 | 2.35 |
| 70 | | 7 | 214 | 1.28 | 1.07 | 2.35 |
| 71 | | 7 | 192 | 1.28 | 1.06 | 2.34 |
| 72 | | 6 | 300 | 1.22 | 1.12 | 2.34 |

| | | | | | | |
|-----|--|---|-----|------|------|------|
| 73 | | 3 | 434 | 1.08 | 1.25 | 2.33 |
| 74 | | 2 | 875 | 1.00 | 1.33 | 2.33 |
| 75 | | 5 | 376 | 1.13 | 1.19 | 2.33 |
| 76 | | 5 | 367 | 1.13 | 1.18 | 2.32 |
| 77 | | 7 | 143 | 1.28 | 1.03 | 2.31 |
| 78 | | 7 | 140 | 1.28 | 1.03 | 2.31 |
| 79 | | 5 | 347 | 1.13 | 1.17 | 2.30 |
| 80 | | 5 | 329 | 1.13 | 1.15 | 2.28 |
| 81 | | 5 | 317 | 1.13 | 1.15 | 2.28 |
| 82 | | 3 | 375 | 1.08 | 1.19 | 2.27 |
| 83 | | 6 | 187 | 1.22 | 1.05 | 2.27 |
| 84 | | 5 | 311 | 1.13 | 1.13 | 2.27 |
| 85 | | 3 | 363 | 1.08 | 1.18 | 2.26 |
| 86 | | 6 | 146 | 1.22 | 1.03 | 2.25 |
| 87 | | 3 | 316 | 1.08 | 1.14 | 2.23 |
| 88 | | 6 | 108 | 1.22 | 1.01 | 2.23 |
| 89 | | 5 | 260 | 1.13 | 1.09 | 2.23 |
| 90 | | 6 | 104 | 1.22 | 1.00 | 2.22 |
| 91 | | 2 | 390 | 1.00 | 1.21 | 2.21 |
| 92 | | 2 | 383 | 1.00 | 1.20 | 2.20 |
| 93 | | 2 | 383 | 1.00 | 1.20 | 2.20 |
| 94 | | 2 | 381 | 1.00 | 1.20 | 2.20 |
| 95 | | 5 | 205 | 1.13 | 1.06 | 2.20 |
| 96 | | 2 | 359 | 1.00 | 1.17 | 2.17 |
| 97 | | 5 | 149 | 1.13 | 1.04 | 2.17 |
| 98 | | 2 | 345 | 1.00 | 1.16 | 2.16 |
| 99 | | 2 | 344 | 1.00 | 1.16 | 2.16 |
| 100 | | 5 | 113 | 1.13 | 1.01 | 2.15 |
| 101 | | 2 | 311 | 1.00 | 1.13 | 2.13 |
| 102 | | 2 | 307 | 1.00 | 1.13 | 2.13 |
| 103 | | 2 | 306 | 1.00 | 1.13 | 2.13 |
| 104 | | 2 | 298 | 1.00 | 1.12 | 2.12 |
| 105 | | 2 | 292 | 1.00 | 1.11 | 2.11 |

Attachment G

[JUSTICE REINVESTMENT PERFORMANCE MEASURE PLAN – TRAVIS COUNTY, TEXAS]

June 20, 2012

The goals and objectives that follow are indicators by which the Travis County Justice Reinvestment Initiative will be measured. The primary objective of this initiative is to study the impact permanent supportive housing and wrap around services, including intensive case management, will have on the jail resources currently expended on the target population. For this initiative, the target population is a specific portion of the mentally ill population that is both, chronically criminally involved and chronically homeless.

The target population was identified through an analysis of county jail data. All people booked two or more times during a three year period (ending 12-31-2011) that were identified as both mentally ill and reporting chronic homelessness were identified. A list of 107 of the individuals with the highest jail bed day consumption was compiled. Individuals on the Target Population List were then ranked by a jail impact score, weighting frequency of arrest and jail bed days consumed.

Case managers and housing providers will identify, assess and make program placements for individuals based on their rank on the list. Once placed in housing the client will be removed from the list. The list will be updated annually and provided to consortium members.

Objective 1 (Program Access)

Within **three months** of program implementation, **100%** of eligible program participants identified from the Target Population List will be assessed by the program case managers. Those identified as eligible for permanent supportive housing will continue to receive case management and wrap around services while waiting for available housing to ensure the client has the support necessary to remain stable and secure while awaiting housing.

Objective 2 (Housing)

As housing slots become available, program case managers will fill the available slots with the next highest priority client from the Target Population List. Within **one month** of housing/program availability, the next eligible client will be assessed for program participation and the housing eligibility process started.

Within one year of program implementation, 60% of program participants will have a meaningful reduction in both frequency of arrest and jail bed day consumption. In the second year of implementation, 90% of program participants will have a meaningful reduction in frequency of arrest and jail bed days consumed.

To ensure continuous service and low vacancy rate within available housing units, program case managers will actively manage the Target Population List. Individuals higher on the list choosing not to participate at this time will be maintained on the list and provided an opportunity to participate at each available point based on individual ranking. Program Case Managers will contact the Justice and Public Safety program liaison when there are only 15 individuals remaining in the top 50 so that an updated list can be provided. Otherwise, an updated list will be generated annually by way of Travis County Jail data, ranked and provided to Consortium members.

Within one year of program implementation, the number of jail admissions for program participants demonstrating poor functioning and/or psychiatric crisis will be reduced by 40%. In year two the percentage of program participants entering the jail with poor functioning or psychiatric crisis will be reduced by 80% from the baseline.

Within one year of program implementation, the number of emergency room (ER) visits and ambulance transports will be reduced by 30% for the program participants. In the second year of program implementation a 60% reduction will be achieved. This objective will be measured by establishing a baseline of participant usage in the 365 and 720 days prior to program participation.

Within one year of program implementation, medical hospitalization costs will be reduced for program participants by 20%. Within the second year of program implementation a 40% reduction will be achieved. Because this target population tends to be less healthy and may have long-term medical issues, a lower target is set. Program administrators will evaluate successes at year one and may establish a higher target for year two.

Within six months, 100% of available housing units will be filled with the clients identified in Objective 1a.

As new housing units become available, program participants identified in Objective 1b will have completed the eligibility process and be placed in housing within 30 days.

The program case managers will track the number and duration of housing placements. All participants in housing for at least 30 days will demonstrate a 50% reduction in annual homeless days within the first year.

Within one year of program implementation, 100% of program participants will participate in at least one medical, social, family, educational or therapeutic service.

Case managers will report improved social and psychiatric functioning among 80% of the clients served between the beginning and the end of their program participation.

Objective 11

80 % of the Program participants will report improved social and psychiatric functioning between the beginning and the end of their program participation.

PLAN TO ACHIEVE PROGRAM GOALS AND OBJECTIVES

The following outlines a plan, including data sources, how each objective will be measured, person(s) responsible and the frequency in which outcomes will be reported.

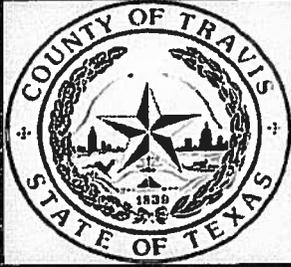
| Objective | How it will be measured | Frequency of Reporting | Responsible |
|---------------------|---|--|---|
| Objective 1a | Time between program initiation and client acceptance. | Program additions and drops will be reported monthly. | Program Case Managers |
| Objective 1b | Time between availability and filling of the slot. | Days available housing is vacant and/or filled should be reported with 1a/ | Program Case Managers |
| Objective 2 | Baseline and ongoing frequency of arrest and jail bed day consumption. | Annually | Program Case Managers are responsible for reporting participants regularly. Travis County Justice and Public Safety will measure baseline and post program participation. |
| Objective 3 | Master Target Population List with participating clients | Monthly | Program Case Managers and Justice & Public Safety |
| Objective 4 | Collected with Objective 2, via TRAG scores as assessed by jail psychiatric staff | Annually | Justice and Public Safety |

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[JUSTICE REINVESTMENT PERFORMANCE MEASURE PLAN – TRAVIS COUNTY, TEXAS]

| | | | |
|---------------------|---|----------------------------|---|
| Objective 5 | Participant lists and Indigent Community Care Data. (Releases may need to be obtained by program participants). | Annually | Justice and Public Safety, Program Case Managers, ICC and TCSO psychiatric staff. |
| Objective 6 | Same as Objective 5. | | |
| Objective 7a | Measured from Objective 1a | Monthly | Program Case Managers |
| Objective 7b | Measured from Objective 1b | Monthly | Program Case Managers |
| Objective 8 | Master list | Annually | Program Case Managers |
| Objective 9 | Master list | Annually | Program Case Managers |
| Objective 10 | Survey of each participant | Annually or upon discharge | Program Case Managers |
| Objective 11 | Participant Survey | Annually or upon discharge | Program Case Managers |

ATTACHMENT H



Mental Health Public Defender Office Cost-Benefit Analysis 2012



Justice and Public Safety

***Roger Jefferies,
County Executive***

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7/2/2012

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1. The first part of the paper discusses the importance of the study of the history of the United States. It is argued that the study of the history of the United States is essential to a full understanding of the country and its people. The author points out that the history of the United States is a complex and multifaceted one, and that it is essential to understand the various factors that have shaped the country over time.

2. The second part of the paper discusses the role of the federal government in the development of the United States. It is argued that the federal government has played a central role in the development of the country, and that its actions have shaped the course of American history. The author points out that the federal government has been responsible for the creation of the Constitution, the establishment of the federal courts, and the development of the federal bureaucracy.

3. The third part of the paper discusses the role of the states in the development of the United States. It is argued that the states have played a central role in the development of the country, and that their actions have shaped the course of American history. The author points out that the states have been responsible for the creation of the state constitutions, the establishment of the state courts, and the development of the state bureaucracies.

4. The fourth part of the paper discusses the role of the people in the development of the United States. It is argued that the people have played a central role in the development of the country, and that their actions have shaped the course of American history. The author points out that the people have been responsible for the creation of the federal government, the establishment of the state governments, and the development of the local governments.

5. The fifth part of the paper discusses the role of the economy in the development of the United States. It is argued that the economy has played a central role in the development of the country, and that its actions have shaped the course of American history. The author points out that the economy has been responsible for the creation of the federal government, the establishment of the state governments, and the development of the local governments.

6. The sixth part of the paper discusses the role of the culture in the development of the United States. It is argued that the culture has played a central role in the development of the country, and that its actions have shaped the course of American history. The author points out that the culture has been responsible for the creation of the federal government, the establishment of the state governments, and the development of the local governments.

7. The seventh part of the paper discusses the role of the environment in the development of the United States. It is argued that the environment has played a central role in the development of the country, and that its actions have shaped the course of American history. The author points out that the environment has been responsible for the creation of the federal government, the establishment of the state governments, and the development of the local governments.

8. The eighth part of the paper discusses the role of the military in the development of the United States. It is argued that the military has played a central role in the development of the country, and that its actions have shaped the course of American history. The author points out that the military has been responsible for the creation of the federal government, the establishment of the state governments, and the development of the local governments.

9. The ninth part of the paper discusses the role of the education system in the development of the United States. It is argued that the education system has played a central role in the development of the country, and that its actions have shaped the course of American history. The author points out that the education system has been responsible for the creation of the federal government, the establishment of the state governments, and the development of the local governments.

10. The tenth part of the paper discusses the role of the social system in the development of the United States. It is argued that the social system has played a central role in the development of the country, and that its actions have shaped the course of American history. The author points out that the social system has been responsible for the creation of the federal government, the establishment of the state governments, and the development of the local governments.

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EXECUTIVE SUMMARY

Travis County is doing something right. Our jail population, which, as recently as 2008 averaged in the 2,600 range in daily population, is now hovering consistently in the 2,200 to 2,300 hundred range in daily population. This is occurring as bookings have been flat over the same period. A number of innovative initiatives established over the last several years by the District Attorney, the County Attorney, the Criminal Courts, Criminal Justice Planning, and other justice partners can be credited for this sustained reduction. Perhaps the most creative of the initiatives which have impacted our jail population is the Mental Health Public Defender Office (MHPDO) established in 2007. The MHPDO is one of the first of its kind in the country. The MHPDO, consisting of 2 attorneys and 4 case management staff, along with 2 support staff, work with severely mentally ill misdemeanor defendants in Travis County's criminal justice system. Their overarching objectives as set out in the beginning of the office are to:

- Minimize the number of days a person with mental illness spends in jail.
- Reduce recidivism by providing intensive case management services.
- Increase the number of dismissals among defendants with mental illness
- Enhance legal representation by providing attorneys with specialized knowledge needed to defend persons with mental illness.

In June 2011, Justice and Public Safety presented the first part of an evaluation of the MHPDO that illustrated how the office was meeting these objectives. We then committed to complete a second part of the evaluation to examine the MHPDO's return on investment. The report which follows provides a brief summary of the first part of the evaluation and goes on to estimate the cost savings and avoidances for the County generated by the MHPDO, and makes recommendations for future investments in the office.

In summary, the analysis revealed that over the last five and a half years, 304 clients of the MHPDO, who would have likely been rearrested and returned to jail sometime in that period, remained arrest and jail free. This has resulted in annual jail bed day savings, aggregating to 16,233 jail bed days in FY2011, which translates into 44.5 people in the jail's ADP. The jail bed day savings coupled with other quantifiable costs have created a cost avoidance of \$1,199,123. During the same period the County has invested \$1,375,000 in the operations of the office resulting in a net cost of \$175,000 to provide an increased quality of legal representation, as well as critical case management services for this vulnerable population.

Based on the estimates of continued cost avoidances in the analysis, the MHPDO should break even, meaning the cost avoidances will have become greater than the county monetary investment, in FY 2013 and should continue positive returns on investment going forward. It also should be noted, while not included in the overall cost avoidance analysis in the report, had the ADP of this mentally ill population not been reduced by the 44.5 as a result of the success of the MHPDO, it is likely the jail would have had to open an additional unit for mentally ill inmates at a cost of \$600,000 annually.

One of the keys to success for the MHPDO, in addition to the collaborative legal strategies employed by the MHPDO attorneys and Travis County's mental health court, has been the presence of two social workers and two case workers. These dedicated county staff work with this very difficult population to navigate the County's complex systems to provide housing, medication, clinic visits, and other vital services which help keep their clients out of the criminal justice system. With the ongoing growth in their caseload over the last five and a half years, the MHPDO's case management staff has built up caseloads of 60 to 70 each. This high level of caseload has become unsustainable. Within a broader staffing plan for the next three years, we are recommending in the report that follows that the County consider funding an additional case manager for FY 2013. This will allow the existing staff to reduce their caseloads to a more manageable 40 to 50 cases and allow for the recognition that case management period for this population often exceeds the original estimate of 120 days following the disposition of the client's case.

THE MENTALLY ILL IN THE TRAVIS COUNTY CRIMINAL JUSTICE SYSTEM

Travis County, like many local jurisdictions throughout the nation, has grappled with mentally ill individuals in the criminal justice system for some time. It has been noted that as states began to cut funding for mental health and reduce state hospital beds, more and more individuals with mental illnesses became engaged in the criminal justice system and began filling beds in local jails.

The Treatment Advocacy Center reports that as a result of deinstitutionalization and funding cuts, **more persons with mental illness are in jails and prisons than are in hospitals. Nearly 300,000 individuals with schizophrenia or bipolar disorder are in jails and prisons nationally. This represents 16% of the total inmate population. Today, fewer than 70,000 individuals with schizophrenia or bipolar disorder are in state psychiatric hospitals receiving treatment for their disease.**¹ Additionally, the Treatment Advocacy center reports that nearly 1/3rd of the estimated 600,000 homeless are individuals with schizophrenia or bipolar disorder.¹

In Travis County, between December 31, 2008 and December 31, 2011, there have been 9,470 people booked in to the Travis County Jail with a mental health diagnosis. These individuals accounted for 14,709 bookings, or an average of 1.55 bookings per person. Of these persons evaluated over the last three years, 27%, or 2,570 people, had two or more bookings (an average of 3.04 bookings per person) and were defined as a “frequently incarcerated” population. The “frequently incarcerated” population stayed in custody for an average of 43.99 days, consuming a total of 343,554 jail bed days (JBDs), which accounts for roughly 314 people in the average daily jail population. This means that some combination of approximately 12% of the “frequently incarcerated” mentally ill sample has been in custody every day for the last three years.

AVAILABLE TOOLS TO ADDRESS THE MENTALLY ILL IN TRAVIS COUNTY

In Austin and Travis County, a number of programs and initiatives have been established to address the ongoing challenges of persons with mental illness in the criminal justice system. These programs include:

County Funded or Co-Funded Programs:

- **MCOT – Mobile Crisis Outreach Unit**
- **CIT (Crisis Intervention Team)**
- **Road to Recovery**
- **Mental Health Docket**
- **Mental Health Public Defender Office**
- **Travis County Sheriff’s Office (Psychiatric and Mental Health programming)**

Non-County Funded Programs:

- **DACC – Downtown Austin Community Court**

¹ <http://www.treatmentadvocacycenter.org/a-failed-history>

- o **Probation Programs**

Combined, these tools constitute the Travis County “toolbox” that can be used to address the needs of persons with mental illness and to address the growing concern/impact of these individuals within the criminal justice system.

The Travis County Probation Department is a multi-agency effort that provides supervision and support for individuals with mental illness who are on probation. The department works closely with the Travis County Jail, the Travis County Sheriff's Office, and the Travis County Health Department to ensure that individuals receive the services they need to succeed in the community. The department also provides support and resources to the families and friends of individuals on probation.

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MHPDO - PART I HIGHLIGHTS

This section is a brief summary of the findings from the initial Cost-Benefit Analysis presented in May 2011. The data presented in this section remains as it was in that document. Further analysis and additional data will be discussed later in the report.

Part one of the MHPDO Cost Benefit Analysis found that the Mental Health Public Defender Office was meeting the objectives that were set at the office's inception. The office has also added value through new objectives developed from lessons learned and best-practices adoption while pioneering the office.

As defined in the charter of the MHPDO in 2007, the objectives of the MHPDO are to:

- Minimize the number of days a person with mental illness spends in jail
- Reduce recidivism by providing intensive case management services
- Increase the number of dismissals among defendants with mental illness
- Enhance legal representation by providing attorneys with specialized knowledge needed to defend persons with mental illness

For the purposes of this cost-benefit analysis we examined the objectives set at the foundation of the MHPDO, the new objectives developed from lessons learned and best-practices adoption while pioneering the office, and other key performance indicators to more deeply study the execution of the MHPDO. Since inception through March 2011, the MHPDO has been appointed to **1,236 legal cases** (735 clients) and has had **1,762 case management** referrals (562 through social referrals).

The cost-benefit analysis looked at these cases and associated appointments and has concluded that the MHPDO has successfully achieved most of its original objectives including a reduction in jail bed days, an increase in dismissals, a reduction in recidivism and enhanced knowledge about persons with mental illness.

- Of the 735 MHPDO legal clients evaluated, the number of bookings post-MHPDO involvement has decreased by 38% and jail bed days consumed has decreased by 13% between 2001 and 2011
 - During the same time frame, the average number of days between bookings is 129 days, up from 122 prior to appointment to MHPDO
 - The average number of days since last released from jail for MHPDO clients is 517 days
 - Of the MHPDO clients evaluated since inception; 39% have not been rearrested in one to five years
 - A total jail bed day reduction was realized during the period evaluated, equating to a decrease of 7 inmates per day in the average daily jail population
- Through social referrals from private attorneys, case managers within MHPDO have served 562 clients; of the clients evaluated post-MHPDO involvement, bookings were reduced by 57% and jail bed days consumed decreased by 20%
 - During the same time frame, the average number of days between bookings for social referrals is 126 pre-MHPDO, and 103 post-MHPDO

- The average number of days since last released from jail for MHPDO clients for social referrals is 385 days
- Of the MHPDO social referral clients evaluated, 21% have not been rearrested in one to five years
- A total jail bed day reduction was realized during the period evaluated, equating to a decrease of 8 inmates per day in the average daily jail population
- Forty two percent (42%) of the legal cases closed were closed as dismissals
 - The average length of stay for MHPDO clients is 16.5 days for Class A misdemeanors compared to 19.4 days for non-MHPDO mentally ill inmates
 - The average length of stay for MHPDO clients is 9.8 days for Class B misdemeanors compared to 11.4 days for non-MHPDO mentally ill inmates
 - The average length of stay on misdemeanor charges for incompetent MHPDO clients was reduced by 28.6 days in FY11 over FY10

The MHPDO has also shown to have had a constructive impact on the culture and development of how the Courts and MH Wheel do business, namely in the MHPDO's execution of an unrestrained, "hands-on" forensic case management. Their distinctive case management methodology has resulted in increased quality of life and sustained connection to services for MHPDO clients, and accounts for the decrease in recidivism rates. These findings are further substantiated in Mental Health Stakeholder surveys and independent review from The Spangenburg Project (TSP), as well as a recent Texas Task Force on Indigent Defense study, both available from our office upon request. While noticeable inroads have been made in quality outcomes for the majority of MHPDO clients, 10.7% (79 of the 735 evaluated) have proven to be chronic offenders (clients with ten or more arrests post-MHPDO involvement) who are non-responsive to the Office's case management methodologies, and have historically been to be difficult to stabilize.

PART II ANALYSIS: Additional Legal Analysis and Comparison to the Wheel

Following phase one of the MHPDO cost benefit analysis, additional legal analysis was conducted to further compare the legal representation provided by the MHPDO to that provided by private attorneys through the Mental Health Wheel (Wheel).

Court data which highlights all mental health cases appointed between June 2005 through June 2011 demonstrated that the MHPDO is able to reach legal disposition in their cases approximately two times faster than Wheel attorneys. The table below outlines these findings by charge level.

Table 1: Average Days to Disposition, June 2005 through June 2011

| Charge Level | MHPDO | Wheel |
|--------------------------|-------|-------|
| Class A Misdemeanor | 30.25 | 69.75 |
| Class B Misdemeanor | 19.56 | 41.62 |
| Misdemeanor Undetermined | 29.58 | 66.09 |

Source: Travis County Criminal Courts

Also reviewed were the dismissal rates of both Wheel attorneys and the MHPDO. Since inception through January 31, 2012, the MHPDO has had 904 clients and been appointed to 1,546 legal cases. In part one analysis, MHPDO data revealed a 42% dismissal rate since inception. This is consistent with findings from the analysis of court data where the MHPDO dismissal rate was 39% and Wheel attorneys are 22%. A 3-5% error rate can be applied, because once there is a finding of incompetence, most cases are transferred to the MHPDO and the attorney of record is often not changed in the court system. This can skew the dismissal rates.

In Table 2 below, MHPDO data related to dismissal rates for each fiscal year are shown without the error rate adjustment:

Table 2: MHPDO Legal Case Outcomes FY10 through FY12 (to date)

| | FY10 | | FY11 | | FY12TD* | |
|----------------------|-------|--------|-------|------|---------|------|
| | Total | Pct. | Total | Pct. | Total | Pct. |
| Legal Cases Accepted | 358 | - | 346 | - | 152 | - |
| Legal Cases Closed | 368 | 103%** | 338 | 97% | 151 | 99% |
| Dismissed | 155 | 42% | 143 | 42% | 72 | 49% |
| Plea Agreement | 174 | 48% | 155 | 46% | 66 | 44% |
| Re-Appointed | 27 | 7% | 22 | 7% | 3 | 2% |
| Convicted at Trial | 0 | - | 0 | - | 0 | - |
| Acquitted | 0 | - | 0 | - | 0 | - |
| Other | 11 | 3% | 18 | 5% | 7 | 5% |

*As of February 29, 2012.

**Case closures can include legal cases that were initiated in a prior fiscal year.

These are measurable outcomes that speak to the increased quality of representation via the MHPDO. It is believed that there are also cost avoidances realized by the Courts which are generated by the MHPDO as a result of the decreased days to legal disposition. However, a sound methodology for doing this analysis should be developed by Justice and Public Safety, Criminal Courts Administration and the Planning and Budget Office. Historically, it has been difficult to distinguish between in jail and out of jail

cases within the court systems. Making this distinction clear would be necessary to conduct an accurate analysis, as not all of the cases are in jail at the time of legal disposition. Criminal Courts Administration is bringing a software and business intelligence package (Zone 4) online soon, which will make these kinds of analyses possible in the future.

The last piece of comparative analysis between the legal representation of the MHPDO and the private attorneys through the Mental Health Wheel was the cost of legal representation. Based on the same court data, Wheel attorney invoice amounts were reviewed to capture the average invoice submitted. The average invoice was \$186.95.

It is difficult to conduct an “apples to apples” comparison of the legal representation provided by the MHPDO and the Wheel attorneys. The MHPDO budget includes the office’s social workers and case management team who are often tasked with assisting Wheel attorneys in understanding a client’s diagnosis, developing plans and resources for clients upon release.

Additionally, case acceptance for the MHPDO attorneys can be limited when the case management team is at or near capacity, making it difficult to impossible for the office to effectively bring down the cost for legal representation through taking additional cases. Currently, it is estimated that the cost for legal representation in the MHPDO is \$635 per case, accounting for the two attorney’s salaries. Including the support staff in the office, but excluding the case management team (as they also provide some support to Wheel attorneys), the cost per case is \$941.

On the surface this cost comparison seems to present a wide variation from the cost of Wheel attorneys. It is important to note the cost savings generated by the office as a whole through both expedited legal work and ongoing community support from the case management team. Later sections in this report consider additional savings generated and offsets the overall cost of the office by these savings.

MHPDO Case Management

The data discussed in the next section suggests that intense, dedicated case management is one key to the success of the MHPDO. Since inception through January 31, 2012, the MHPDO case management team has had 2,149 referrals (603 through social referrals). The level of engagement and “hands on” support provided by the MHPDO case management staff are some of the factors that differentiate them from other resources in the community.

It is important to note that the original targets for caseloads, for both legal cases and social referrals, have shifted as the office has matured. The clients that the MHPDO serves are often severely and persistently mentally ill; often their clients are found incompetent. These cases have been found to require more intensive case management, both while clients are incarcerated and upon reentry, than originally anticipated.

When the MHPDO was designed, it estimated that the two attorneys in the office would serve 400 legal cases per year and that the team of four case management staff would work with clients for 120 days following the disposition of the legal case. The office took 346 legal cases in FY11, which was short of the 400-case target. As case management caseloads began to exceed reasonable levels, attorneys found that they had to slow the rate of new case acceptance in order to prevent overwork and degradation of service on the part of the case management team. The case load for the MHPDO case management staff has risen since the start of FY11, which ended with an average caseload per caseworker of 58. As of February 29, 2012, the average caseload per caseworker for FY12 was 68. The

high across the last two fiscal years was a staggering 73, occurring in December, 2011. The MHPDO typically serves high-needs clients at Levels of Care (LOC) III and IV. As a comparison, as of May 2011, caseloads within the Austin-Travis County Integral Care (ATCIC) program, which serves clients with similar diagnoses and characteristics, were lower, at 20.31 per caseworker for LOC III and 8.65 per caseworker for LOC IV.

The data we have suggests that caseloads in the MHPDO do not need to be as low as they are at ATCIC. Caseloads in the 40-50 per caseworker range seem reasonable and sustainable. *It is worth noting that the 73 cases per caseworker average caseload that occurred in December, 2011 was nearly double the high end of the suggested range. Furthermore, the MHPDO has not seen average monthly caseloads below 47 in the last two fiscal years on record.*

As of February 29, 2012, the MHPDO case management team had a total of 266 active cases, open for an average of 201 days. With an average of 25 days to legal disposition of cases, this means that on average, the case management team currently follows clients for 176 days, post-disposition.

Table 3 below demonstrates an effect of maintaining cases for an adequate time to stabilize clients. Even as referrals drop somewhat, the average active caseload nonetheless increases from year to year:

Table 3: MHPDO Case Management Caseloads

| Caseworker Data | FY10 | | FY11 | | FY12 (TD) | |
|---|-------|------|-------|------|-----------|------|
| | Total | Pct. | Total | Pct. | Total | Pct. |
| Total Client Referrals | 513 | - | 438 | - | 190 | - |
| MHPDO Legal | 358 | 70% | 346 | 79% | 152 | 80% |
| Social Referral | 155 | 30% | 92 | 21% | 38 | 20% |
| Avg. # of Cases Open to CM Svcs. | 216 | - | 232 | - | 273 | - |
| MHPDO Legal | 146 | 68% | 165 | 71% | 209 | 77% |
| Social Referral | 70 | 32% | 67 | 29% | 64 | 23% |
| Average Active Caseload | 54 | - | 58 | - | 68 | - |

*Through February 29, 2012

There are several points to note about the data in Table 3. First, the lengthy engagement of case management with clients is beginning to have a pronounced effect on caseloads in 2012. While incoming referrals are tracking only slightly above where they were in February of FY11 (190 in FY 12 vs. 180 in FY11) there are more substantial jumps in both the average number of cases open to case management, and, most significantly, in the average active caseload. The change from 57 (as of February 28, 2011) to 68 is a jump of over 17%.

This is happening for multiple reasons. First, the MHPDO case management team often keeps cases open longer than the 120 days imagined in the original grant application. The staff works closely with ATCIC and other entities to ensure rapid engagement in services, and then monitors to ensure the client is stable prior to closing the case. However, staff has discovered that in order to achieve success with many of their clients, they've had to adopt a more holistic approach. For example, in some instances, even clients who are connected with ATCIC and/or in transitional or semi-permanent housing still require some level of case management from the MHPDO case management team due to the complexity of their unique individual cases, symptoms, and/or needs.

Additionally, the MHPDO is the primary referral source for incompetent defendants from the Mental Health Docket. These clients typically take considerable time to situate and stabilize within the community and will often require more than 180 days of case management. It can often take close to 180 days just to get benefits started, which can often be a prerequisite for entry into many service providers within the community.

Third, as can be seen in Table 3 on page 10, anywhere from 20% to 30% of cases open to case management were classified as Social Referrals. These types of cases consist of Wheel Attorney cases, or old legal cases that are reopened as social referrals. A typical scenario for this second type of social referral could be when a client in crisis whose case has been closed for many months or years reaches out to their MHPDO caseworker. The caseworker then re-opens the client's case as a social referral in order to intervene and help the client to stabilize and/or navigate necessary systems, thereby preventing the client from decompensating and potentially becoming re-engaged in the criminal justice system.

Staff believes the unique flexibility to be able to re-open such cases is one of many contributing factors to the success of the MHPDO. The out of the box thinking and unique application of first the legal representation and the ongoing intensive case management have led to the successful stabilizing and re-entry of a number of MHPDO clients, who have remained arrest free since their last release at different intervals, up to five and a half years. These clients are discussed in the next section.

Days since last released

Analysis was done to determine how long MHPDO clients are staying out of jail as well as to highlight those who have not been re-arrested in the last six months to five years. Again while it is not possible to definitively assert what would have happened absent MHPDO legal and case management involvement, it is certainly reasonable to estimate a potential avoidance of jail bed days as a result of those clients who have not been back to jail.

This following analysis looks at 472 of the 904 MHPDO Clients to date through January 31, 2012. Excluded from the 904 initially are the clients whose last arrest included a felony. In order to avoid skewing the outcomes with individuals who may have been released to Texas Department of Corrections, we included only the 735 MHPDO Legal clients whose last charge was a misdemeanor, indicating release back in to the community. Further excluded from the 735 used for this analysis are the 271 individuals who only had one arrest during the period evaluated. This was done to avoid basing savings on individuals who do not have a history of arrests and therefore might not have returned to jail regardless of the MHPDO's legal and case management support.

The remaining 472 clients were captured in their respective "days since last released" categories. In order to evaluate the impact to jail bed day consumption and to identify savings or cost avoidances associated with their success, impact to the ADP was calculated using their prior jail bed day consumption. Table 4 on the following page outlines the data as described.

Table 4: Legal Cases – Days Since Last Released

| MHPDO Legal Cases (Days) | Number | JBD's Saved Based on Category | No. In ADP |
|-----------------------------|------------|-------------------------------------|---------------|
| 0-30 days | 11 | - | - |
| 31-60 days | 29 | 261.84 | .48 |
| 61-90 days | 56 | 851.83 | 1.87 |
| 90-120 days | 36 | 658.89 | 1.55 |
| 120-180 days | 36 | 851.02 | 1.86 |
| 6 Mo's to 1.5 years | 133 | 5,561.15 | 15.24 |
| 1.5 to 2.5 years | 75 | 4,967.07 | 13.61 |
| 2.5 to 3.5 years | 48 | 2,716.54 | 7.44 |
| 3.5 to 4.5 years | 36 | 2,655.67 | 7.28 |
| 4.5 to 5.5 years | 12 | 834.21 | 2.28 |
| Total | 472 | 19,358.23 | 53.04 |

Based on the prior jail bed day consumption, between FY2002 and FY2012 through January 2012, the 472 individuals represented in Table 4 spent 139,517 collective days in custody. Since the 472 individuals didn't spend every day in jail during the period evaluated, it would not be appropriate to say that those individuals represent a person for person reduction in the ADP going forward. In order to determine the impact to the ADP of the last five and a half years, it was assumed that similar frequency of arrest and jail bed day consumption would have continued in the future absent the MHPDO's support. Based on their prior consumption of jail bed days over the period evaluated, calculations were done to determine this group's impact to the average daily jail population. When aggregated across all categories, and with prior jail bed day consumption adjusted to only reflect the amount of time they have been out of jail, the 472 MHPDO clients represented in Table 4 have created an avoidance of 53.04 people in the average daily jail population.

Cost savings and cost avoidances can now be calculated based on the average number of people per day that have been reduced from the ADP. The savings related to the clients represented in Table 4 are discussed in the Return on Investment section later in this report. Only those who've been out of jail for at least six months were used to calculate savings/avoidances.

RETURN ON INVESTMENT USING OUR TOOLS

Many of these tools in the Travis County “toolbox” have been specifically designed to improve the quality of life for persons with mental illnesses in our community and to offer them much needed assistance in navigating complex legal and community support systems, as well as to reduce the number of persons with mental illness in the Travis County Jail. As a part of gauging program effectiveness and performance, cost benefit studies should be done regularly to assess cost effectiveness and jail/community impacts.

When evaluating programs designed to reduce the jail population, establishing the cost/benefit or return on investment can be daunting and sometimes misleading. Establishing overall cost is relatively straight forward, as budgets exist to drive that process. Relating the costs associated with particular populations within the jail to projected savings is more difficult and complicated. While the staffing ratio in the Travis County Jail seems simple at one corrections officer for every forty-eight inmates, an average daily jail population of 2,500 takes far more than 52 officers to manage ($2,500/48=52$). This is largely due to the diversity of inmate populations and associated security issues, since the jail is bound by a multifaceted security classification system. This classification system exists to deal with housing issues such as, but not limited to:

- male and female inmates cannot be housed together
- minimum security inmates cannot be housed with maximum security
- certain inmates require administrative segregation, and
- severely mentally ill inmates may need to be housed in specialty units

Estimating Costs/Savings Associated with Jail Bed Day Reductions

Historically, in order to establish costs associated with serving/incarcerating certain populations in the jail, a general “cost per day” was established. This cost has been demonstrated to vary from \$45 per day to secure inmates in the Travis County Jail to \$100+ estimated per day to secure inmates with mental illness. These costs include both fixed and marginal costs associated with managing the jail. The total costs were then shifted to an estimated savings, when projected jail bed day savings by a program or initiative were established. For example, take an initiative that is targeted to reduce mentally ill inmates in the average daily jail population by 25 inmates at a cost of \$100 per day. Based on those numbers, projections would seem to indicate that this reduction would create a cost savings of \$912,500 per year, as seen below:

- 25 inmates X 365 days = 9,125 jail bed days saved
- 9,125 jail bed days saved x \$100 per day = **\$912,500**

While on the surface this logic and math seems reasonable, it is an oversimplification to definitively conclude that such a savings could be realized by the jail at a dollar for dollar rate, with those savings shifted to either continue funding the current initiative or other similar initiatives. A given initiative or program may indeed create a cost savings, but unless it is such a large initiative that it creates a sustained reduction of sufficient jail bed days to close an entire unit, it is unlikely that a dollar for dollar cost versus savings can actually be realized. This is especially true when the total cost includes the custody cost to secure these individuals.

To help illustrate this, let's examine the previously estimated 9,125 jail bed days saved by the hypothetical sample initiative. These jail bed days would likely be spread among inmates with differing classification statuses and levels of care from various units within the jail. A reduction of even 10-15 inmates from one unit would not make it possible for a unit to be closed and the associated security resources eliminated or shifted, since there would be other inmates remaining in that unit who would need to be secured. Therefore, including the cost to incarcerate these individuals as an overall cost associated with serving this population, and translating that cost as a potential savings is both unrealistic and inaccurate.

Additionally, while looking at specialty populations such as the mentally ill, costing jail bed days as described above also assumes that absent their mental illness, these populations would not have been charged with a crime. While it is true that many of the persons in local jails who have a mental illness would likely not come into contact with the criminal justice system if they were stable and receiving services in the community, it does not follow that this would always be true for all such individuals. Some of the individuals with mental illnesses who have committed crimes would likely be incarcerated for the crimes that they have been charged with regardless of their mental illnesses. Stated another way: absent mental illnesses and the costs associated with treating mental illnesses in the jail, some of these individuals still might commit infractions, become incarcerated, and require a jail bed.

For these reasons, when estimating a return on investment in programs designed to reduce the average daily jail population, the focus should be on marginal costs associated with different specific jail populations. This ensures that when assumptions about *reductions* in the average daily population are applied, actual savings can be realized. When looking at the mentally ill population, realized and sustained reductions of inmates in the average daily population will have a cost savings impact on marginal costs such as pharmaceuticals, psychiatric services, treatment staff/counseling and medical costs, etc.

A small group of staff from Justice and Public Safety, the Travis County Sheriff's Office and the Planning and Budget Office worked to develop the average daily jail costs to apply to both costs savings and cost avoidances related to specialty populations. The total daily costs are outlined in Table 5; however the entire cost breakdown can be found in Appendix A.

Table 5: Costs and Cost Avoidances

| Cost Type | General Pop (Excludes MH, MHSN & MSN) | Mental Health (MH) | Mental Health Special Needs (MHSN) | Medical Special Needs (MSN) | Total Population (Includes all) |
|---|--|-----------------------|--|-----------------------------------|---------------------------------------|
| Total Correctional Costs (Cost Avoidances or actual daily custody costs) | \$87.90 | \$91.97 | \$142.00 | \$225.53 | \$96.71 |
| Total Operating Costs (Cost Savings) | \$9.27 | \$11.56 | \$35.38 | \$74.19 | \$13.54 |

**NOTE - Central booking costs are not included in any of the average daily costs.*

In FY2011, it is estimated that 25% (604) of the 2,416 people in the average daily jail population were treated for a mental illness. With an average of 211 people daily at \$35.38 per day and 393 people daily at \$11.56 per day, it is estimated that the marginal daily cost within the Travis County Jail related to

treating all inmates with mental illness was \$12,008.26 per day in FY2011. This annualizes to a total of \$4.51 million dollars to treat mental illness in the jail, excluding custody costs.

The "Total Operating Costs" are the values that have been identified as acceptable to use to identify savings that can be realized associated with specific population reductions. The "Total Correctional Costs" were identified as appropriate to use when identifying future cost avoidances and/or as savings when substantial sustained reductions in the Average Daily Jail Population are realized.

However, the related jail costs estimated in the next section refer to avoidances, rather than savings even though they are calculated as marginal costs. This was done because, although the overall jail population has decreased and stabilized since 2007 when the MHPDO began, the jail has realized an increase in the number of inmates with a mental illness. So while the MHPDO has successfully supported 304 people from returning to jail between six months and five and a half years, the jail has seen those people replaced with others as the community continues to struggle with adequate resources to treat behavioral health and mental illness in the community. As a result, any savings generated by the MHPDO efforts were back filled, and the jail would not have realized actual budgetary savings; rather they avoided an increase of inmates with a mental illness and the associated costs.

Over the last decade, the jail has experienced between 20-25% of their overall inmate population having a mental illness. Had the MHPDO clients evaluated for their savings actually continued their prior frequency of arrest and jail bed day consumption, the jail would have seen an average of 51 more inmates with a mental illness in the ADP. This would have pushed the percentage of mentally ill inmates to 27%, 2% over the high. The MHPDO clients are generally housed in the designated psychiatric housing in the jail, rather than in the general population with other inmates. The jail reports being at 85% of their 159 bed capacity in the psychiatric housing areas in FY2011. Depending on the stability of the clients in those housing areas and their jail classification, an additional unit may have been necessary in order to support an increased ADP of 51. The Planning and Budget Office reports a cost of \$600,000 to open a single post.

Targeted Reductions in Bookings & Arrests

Estimating costs and potential savings with regard to bookings/arrests is a somewhat more straight forward process. Regardless of inmate classification, special needs, or staffing ratios, a reduction in bookings can be directly tied to cost avoidances or cost savings. However, in order to reduce staffing resources within the Central Booking Facility, the reduction in people arrested/booked would need to be significant. Breaking points or specified levels should be established where, as bookings were reduced to a specified number, the savings achieved could be shifted to help fund other resources or enhance those resources which have contributed to the reduction.

The total direct (both City and County) Central Booking expense in FY11 was \$9,490,011 for 58,454 bookings, making the average cost per booking \$162.35. While a reduction in 200 bookings may not mean that resources could be shifted, a sustained reduction at 3,000-5,000 bookings may lead to that result. Currently, Travis County and the City of Austin are negotiating a new Central Booking Inter-local. The City of Austin shares in much of the cost of the operation of Central Booking.

Targeted Reductions in Arrests and Lengths of Stay

Singular programs that achieve reductions in jail bed days which equate to smaller numbers of inmates in the ADP may not achieve sustained reductions large enough to close units or shift jail security resources; however, a multi-pronged effort from multiple initiatives targeting arrests and lengths of stay might begin to make a significant impact.

Additionally, a number of initiatives have been instituted since FY2004 which were designed to reduce lengths of stay, thereby reducing the average daily jail population, at little or no cost to the County. Criminal Courts Administration (CCA), the District Attorney's Office (DA) and the County Attorney's Office (CA) have been instrumental in helping to achieve the remarkably stable jail population in Travis County over the last three years through the creation of specialized dockets, including the magistrates docket, the misdemeanor jail call dockets, and the mental health docket. Also, through refining processes in setting cases, the multi-agency strategy has reduced the number of days to first setting, impacting the average lengths of stay for high jail bed day consumers, thereby reducing the daily jail population. Currently, the average daily jail population is consistently tracking at around 300-350 inmates fewer than it was just four years ago when the annual ADP was 2,646. This has been achieved during a time when system inputs (bookings) have remained relatively constant at approximately 60,000 per year, until a roughly 1,600 booking reduction in FY2011.

System improvements like those established by various county departments can have a broad impact and substantial effects on jail population reduction at little cost to the County. These kinds of changes can pave the way for some resources to shift to other valuable programs and initiatives; initiatives that might not have as large or as easily quantifiable of an influence or return on investment, but do have real, considerable effects on quality of life for the people served, as well as meaningful impacts for the community at large.

Programs and initiatives that are designed to reduce the jail population or average length of stay should be evaluated regularly to determine their effectiveness. Often, initiatives designed to reduce or impact the jail population are effective at achieving those results to the levels at which they are funded, but at the point these programs reach their capacity to serve their impact shifts to a population management tool.

Estimating Costs, Savings or Cost Avoidances Generated by the MHPDO

In evaluating the differences in the days to legal case disposition between the MHPDO and Wheel Attorneys, it was determined that a cost savings or cost avoidance would be difficult to estimate as we are currently unable to ascertain the number of in jail versus out of jail cases at the time of legal disposition. However, the expedited case processing should uncover other quantifiable savings. It was assumed that if cases are disposed of more quickly that they must result in fewer case settings, with each case setting having a cost. With that assumption, analysis was done on the total number of settings between 2005 and 2011 for both Wheel and MHPDO cases. The outcomes were that the MHPDO had an average of 4.38 settings per case while the Wheel attorneys had an average of 5.62. The -1.24 settings per case difference indicated an avoidance of 1,132 settings since inception of the MHPDO. At the time of this report, it is not possible to quantify the costs related to a single setting.

As of February 2012, the MHPDO has represented a total of 1,546 cases. Had these cases been represented by Wheel attorneys, it is estimated that the cost of representation would have been \$289,025.

Demonstrated reductions in the number of bookings generated by MHPDO clients, post MHPDO involvement were -1,912 or -324 per year across the five years of MHPDO existence. While it is not possible to say that this reduction is directly reflected in a savings realized by the Central Booking Facility, it can be assumed that had these bookings occurred at the same rate, additional costs may have been incurred. Therefore the booking reduction is being estimated as a cost avoidance realized for Travis County, and at \$162.35 per booking, the MHPDO created a cost avoidance of \$240,200 since inception. This is further illustrated in the break even analysis summarizing all savings and avoidances later in this section.

As discussed earlier, post MHPDO involvement and support, 472 clients have been out of custody between 30 days and five and a half years. The clients who have been out of custody for six months or longer were used to calculate the annual cost avoidances realized. Table 6 demonstrates these savings for each category. Cost avoidances were generated based on the daily marginal cost to treat persons with a serious mental illness in the jail. The daily rate was applied to an adjusted "ADP equivalent". Jail bed days were adjusted to account for the specific recidivism rate of this population. The recidivism rate of the Mental Health Special Needs inmates in a 2006 cohort was 80%, and in a 2008 cohort was 76%. It could be assumed that between 20 and 24% of the MHPDO clients who've not been rearrested since their last release, would have not been rearrested regardless of MHPDOs services and support. Given that, and to fairly apply savings, the prior jail bed days consumed figures were adjusted at the blended rate of consumption of the 20 and 24% representing those not rearrested in the recidivism evaluation.

Table 6: MHPDO Clients - Released without Re-Arrest - ADP Equivalent and One Year Avoidances

| Time Since Release | Total Clients | Adjusted ADP's Saved | Equivalent No. In ADP | Cost Per day | FY2012 Cost Avoidance |
|-----------------------|---------------|----------------------|-----------------------|--------------|-----------------------|
| 6 Months to 1.5 years | 133 | 5,394.31 | 14.78 | \$35.38 | \$190,851 |
| 1.5 to 2.5 years | 75 | 4,818.06 | 13.20 | \$35.38 | \$170,463 |
| 2.5 to 3.5 years | 48 | 2,635.05 | 7.21 | \$35.38 | \$93,228 |
| 3.5 to 4.5 years | 36 | 2,576 | 7.06 | \$35.38 | \$91,139 |
| 4.5 to 5.5 years | 12 | 809.18 | 2.21 | \$35.38 | \$28,629 |
| Total | | | | | |

Break even analysis was conducted to evaluate each of the currently quantifiable results related to the MHPDO and to determine at what point Travis County has received a fiscal return on investment. Table 7 on the following page demonstrates annual cost avoidances related to eliminated and reduced jail bed day consumption of the 304 clients that have successfully been released from the Travis County Jail, without re-arrest between 6 months and five and a half years. Also included are the quantifiable savings/avoidances related to bookings and Criminal Indigent Defense (Wheel attorney costs). The cost to Travis County each year of the MHPDO's existence is demonstrated to show both annual cost savings, aggregated cost to the County and the projected breakeven point.

Table 7: MHPDO Break Even Analysis

| MHPDO - COST SAVINGS/AVOIDANCES | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 |
|---|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|------------------|------------------|
| Avoidances Related to Jail/Custody Costs | \$ - | \$28,629 | \$119,768 | \$212,996 | \$383,459 | \$574,309 | \$703,3877 | \$829,318 |
| Related to Reduced Bookings | \$ - | \$25,024 | \$55,754 | \$53,228 | \$53,489 | \$52,705 | \$53,794 | \$53,794 |
| Avoided Wheel Costs | \$17,386 | \$59,824 | \$58,142 | \$67,302 | \$64,124 | \$62,348 | \$62,348 | \$62,348 |
| Total Savings/Avoidances | \$17,386 | \$113,447 | \$233,663 | \$333,525 | \$501,071 | \$689,362 | \$819,529 | \$945,460 |
| Travis County Investment /MHPDO COST | \$125,000 | \$125,000 | \$250,000 | \$375,000 | \$500,000 | \$625,000 | \$657,110 | \$680,109 |
| Travis County Aggregated Breakeven | -\$107,614 | -\$119,137 | -\$135,473 | -\$176,948 | -\$175,877 | -\$111,515 | \$50,904 | \$316,256 |
| ANNUAL SAVINGS | -\$107,614 | -\$11,523 | -\$16,337 | -\$41,475 | \$1,071 | \$64,362 | \$162,419 | \$265,351 |

In all, the total cost avoidance since inception of the MHPDO through FY2011 has been \$1,199,123. During that time, Travis County has invested \$1,375,000 in the first stand-alone mental health public defender office in the nation. In a sense, it has cost Travis County \$175,877 in the first five years of operation, just over \$35,000 annually, to improve both the quality of legal representation and to provide a much needed bridge between jail and access to community resources and services. This unquantifiable continuity has improved the quality of life for the clients served through the MHPDO. And while to date Travis County has not seen a total fiscal return on its investment, the MHPDO has begun covering the annual cost of operation through generated cost avoidances, beginning in FY2011. In FY2013, it is expected that the office will break even, where Travis County will realize a fiscal return of \$50,904 on its total investment in the office.

Beyond the purely fiscal results, the MHPDO has clearly had an impact on quality of life of the persons they serve, and the office adds value to the community through stability and consistency of service, and through follow-up and connection to much-needed services.

How the MHPDO Achieves These Results and How These Results Can Be Expanded

The MHPDO has been able to achieve significant results for the relatively small number of clients that they have served since inception. They have been successful through a symbiotic relationship between the legal and social work staff, consistency in deploying their support, and through a unique model of “meeting the clients where they are”, both physically as well as emotionally. The MHPDO Staff understands that mentally ill clients may not always keep every appointment or always have the

resources to make appointments in office. Where many agencies may then close a case, MHPDO staff continues to try and work with clients. Both legal and case management staff meets with clients in the jail, in half-way or transitional housing, in homeless camps, at ATCIC, etc. This approach has created an atmosphere of trust where their clients consistently contact their MHPDO when needing assistance. Often, clients whose cases have long been closed will come to the office for help. When working with a population that often “goes off the radar” until re-arrested, this type of relationship is important for building on successes and helping these clients have long stays out of the jail and criminal justice system.

Because of the often lengthy process of getting individuals connected to services and stable in the community, it is recommended that the benchmark for case management services, post legal case disposition, be recognized at 180 days as opposed to 120. This would be consistent with the current averages that the office is experiencing as referenced on page 9.

There has been a 28% increase in case management caseloads since FY2010, from an average of 54 in FY2010 to an average of 69 FY2012 to date (through April). Research related to industry standards for forensic case management caseloads has not provided results to this point. Currently the closest comparison is the ATCIC caseloads. JPS and the MHPDO believe that the MHPDO case management team can achieve results with a higher caseload than that of the ATCIC, and MHPDO suggests a benchmark between 40 and 50 cases. JPS concurs with this as the addition of a single case manager would provide a higher level of case management at 400 cases per year providing for an average of 180 days open per case.

Considering the length of time that cases remain open in order to stabilize MHPDO clients, the size of the current case manager caseloads and the relational impact of legal caseloads on case management caseloads, JPS is recommending the addition of a case manager in FY2013. While the MHPDO case management team has been able to achieve results with caseloads in the 60-70 range, they report that working with this difficult population at that level is not sustainable from an individual workload perspective.

Additional break even analysis was done to see the impact adding a case manager would have. Adjusting both the cost of the office and the impact that additional resources would have to the associate jail cost avoidances, the addition of one case manager in FY2013 is cost neutral. Table 8 on the following page demonstrates this.

Table 8: MHPDO Break Even Analysis- Adding a Single Case Manager in FY2013

| MHPDO - COST SAVINGS/AVOIDANCES | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 |
|--|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|------------------|--------------------|
| Avoidances Related to Jail/Custody Costs | \$ - | \$28,629 | \$119,768 | \$212,996 | \$383,459 | \$574,309 | \$747,137 | \$912,443 |
| Related to Reduced Bookings | \$ - | \$25,024 | \$55,754 | \$53,228 | \$53,489 | \$52,705 | \$53,794 | \$53,794 |
| Avoided Wheel Costs | \$17,386 | \$59,824 | \$58,142 | \$67,302 | \$64,124 | \$62,348 | \$62,348 | \$62,348 |
| Total Savings/Avoidances | \$17,386 | \$113,447 | \$233,663 | \$333,525 | \$501,071 | \$689,362 | \$863,279 | \$1,028,585 |
| Travis County Investment /MHPDO COST | \$125,000 | \$125,000 | \$250,000 | \$375,000 | \$500,000 | \$625,000 | \$710,033 | \$734,884 |
| Aggregate TC Breakeven | -\$107,614 | -\$119,137 | -\$135,473 | -\$176,948 | -\$175,877 | -\$111,515 | \$41,731 | \$335,432 |
| Annual Savings/Avoid | -\$107,614 | -\$11,523 | -\$16,337 | -\$41,475 | \$1,071 | \$64,362 | \$153,246 | \$293,701 |

To build on the successes of the MHPDO and create an opportunity to have a large enough impact to the ADP that a Justice Re-Investment approach could be used (where the ADP could be lowered enough to reinvest dollars used to incarcerate individuals), the “reach” of the MHPDO needs to be extended. If Travis County is to start taking the office to scale and increase the number of legal cases taken each year, it would be necessary to incrementally add attorneys. Lessons learned during the first five years with respect to the relationship of the attorneys and case management staff as well as the duration of cases post legal disposition, it is also necessary to add case managers to support the additional clients/legal cases. The break even analysis in Table 9 below illustrates that the addition of one attorney and two case managers in FY2014 is also cost neutral.

Table 9: MHPDO Break Even Analysis- Adding 1 Attorney & Case Management Team in FY2014

| MHPDO - COST SAVINGS/AVOIDANCES | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 |
|--|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|------------------|--------------------|
| Avoidances Related to Jail/Custody Costs | \$ - | \$28,629 | \$119,768 | \$212,996 | \$383,459 | \$574,309 | \$703,387 | \$916,818 |
| Related to Reduced Bookings | \$ - | \$25,024 | \$55,754 | \$53,228 | \$53,489 | \$52,705 | \$53,794 | \$80,691 |
| Avoided Wheel Costs | \$17,386 | \$59,824 | \$58,142 | \$67,302 | \$64,124 | \$62,348 | \$62,348 | \$93,522 |
| Total Savings/Avoidances | \$17,386 | \$113,447 | \$233,663 | \$333,525 | \$501,071 | \$689,362 | \$819,529 | \$1,091,031 |
| Travis County Investment /MHPDO COST | \$125,000 | \$125,000 | \$250,000 | \$375,000 | \$500,000 | \$625,000 | \$657,110 | \$895,322 |
| Aggregate TC Breakeven | -\$107,614 | -\$119,137 | -\$135,473 | -\$176,948 | -\$175,877 | -\$111,515 | \$50,904 | \$246,614 |
| Annual Savings/Avoid | -\$107,614 | -\$11,523 | -\$16,337 | -\$41,475 | \$1,071 | \$64,362 | \$162,419 | \$195,710 |

129

The combination of the legal and case management pieces of the office is instrumental in realizing decreases in jail bed days, bookings and incremental court costs. Taking these successes to scale may begin chipping away at the 2,600 frequently incarcerated individuals that account for roughly 283 person equivalent present every day in the ADP over the last three years.

| Category | 2013 | 2014 | 2015 | 2016 | 2017 |
|---------------|--------|--------|--------|--------|--------|
| Bookings | 1,200 | 1,150 | 1,100 | 1,050 | 1,000 |
| Jail Bed Days | 15,000 | 14,500 | 14,000 | 13,500 | 13,000 |
| Court Costs | \$2.5M | \$2.4M | \$2.3M | \$2.2M | \$2.1M |

| Category | 2013 | 2014 | 2015 | 2016 | 2017 |
|-------------------|-------|-------|-------|-------|-------|
| Person Equivalent | 2,600 | 2,500 | 2,400 | 2,300 | 2,200 |

The combination of the legal and case management pieces of the office is instrumental in realizing decreases in jail bed days, bookings and incremental court costs. Taking these successes to scale may begin chipping away at the 2,600 frequently incarcerated individuals that account for roughly 283 person equivalent present every day in the ADP over the last three years.

| Category | 2013 | 2014 | 2015 | 2016 | 2017 |
|---------------|--------|--------|--------|--------|--------|
| Bookings | 1,200 | 1,150 | 1,100 | 1,050 | 1,000 |
| Jail Bed Days | 15,000 | 14,500 | 14,000 | 13,500 | 13,000 |
| Court Costs | \$2.5M | \$2.4M | \$2.3M | \$2.2M | \$2.1M |

| Category | 2013 | 2014 | 2015 | 2016 | 2017 |
|-------------------|-------|-------|-------|-------|-------|
| Person Equivalent | 2,600 | 2,500 | 2,400 | 2,300 | 2,200 |

CONCLUSIONS AND RECOMMENDATIONS

The MHPDO has proven itself to be a vital tool in the County's toolbox addressing the mentally ill who cycle through the criminal justice system. Over the history of the office, they have helped almost a thousand clients avoid unnecessary jail time, navigate and get connected to services, avoid re-arrests, as well to help clients to become stable and obtain housing. While it's important to note the impact all of this has on the ADP and for present and future cost avoidances for the County, there are broader societal cost avoidances and community impacts that need to be highlighted as well.

Consider the fact that the MHPDO consistently obtains dismissals or plea agreements on a vast majority of their cases. This means that people who already endure the hardships that come with surviving as a mentally ill individual in Travis County are frequently spared the stress, disruption, and mental anguish that can come with longer stays in jail. The data clearly shows a decrease in recidivism post-MHPDO involvement.

At the same time, we've seen that the number of incompetent clients within the MHPDO case loads has grown and that the needs of their chronic and persistently mentally ill client base have begun to strain the current staffing level of the MHPDO. The dedication and long-term forensic case management provided by the MHPDO, which is integral to their success, means that average caseloads for attorneys and caseworkers continue to creep upward and have been sitting well above "comfortable" levels for two and a half fiscal years. Despite having to carry such a heavy caseload, the office continues to make gains and have positive impacts. This speaks volumes, and leads to speculation about their potential impact if they were staffed well enough to maintain more reasonable and manageable caseloads.

If the County is to build on the success of the program and scale up to meet the needs of the community, staffing levels will need to increase to prevent burnout and to continue to allow client care and representation to operate at a high quality level.

At this time, JPS recommends a three year growth plan beginning in FY13, should funding permit:

- Add one case manager in FY2013 to level the current case manager's case load to meet the capacity of the current legal capacity.
- Add one attorney and two case managers in FY2014.
- Add one social worker/case manager in FY2015.

JPS further recommends that work with the PBO, Courts and TCSO continue in order to build a cost model that is updated regularly so that ongoing impact can be determined.

APPENDIX A

The following page is the full analysis conducted by the Planning and Budget Office, Travis County Sheriff's Office and Justice and Public Safety with respect to the cost per day for all inmates in the Travis County Jail and further details costs for special populations.

It is important to note that the costs do not always translate dollar for dollar to savings that can be generated by programs attempting to reduce the jail population. Additionally, programs using these figures should ensure that they are applying the marginal/operating costs outlined in the tables for savings unless substantial sustained reductions in the ADP can be attributed to their program or initiative. Pages 12 thru 14 provide examples of using these costs.

DRAFT Estimated Cost per Jail Bed Day Based on FY 11 Actual Expenditures, 5 Yr Avg of CAR, and Estimated Debt Service
Version as of 3/16/2012

| | | | | | | |
|---|---|----------------------------------|--|---|---|---|
| These comparisons are an attempt to assign a value to the estimated cost per day for an Inmate. Caution should be used when using these estimates to show program savings or cost avoidance. Estimates are based on actual and average expenditures and assumptions that assigned particular costs to particular segments of the population based on discussions between TCSO, CJP and PBO. | Rated Capacity - includes variance beds | FY 11 Avg Daily Population (ADP) | Estimated FY 11 General Avg Daily POP (Excludes MH, HMSN, & MSN) | Estimated FY 11 Mental Health Avg Daily Pop | Estimated FY 11 Mental Health Special Needs Avg Daily Pop | Estimated FY 11 Medical Special Needs Avg Daily Pop |
| | 3,519 | 2,416 | 1,752 | 393 | 211 | 60 |

Without Central Booking

| Division # | Division Name | Category | Exp | Estimated Cost Per Day | | | | |
|--|---|---------------|----------------------|------------------------|-----------------------------------|-----------------|-----------------------------|-----------------------|
| | | | | ADP (Total Pop) | Gen Pop (Excludes MH, HMSN & MSN) | Mental Health | Mental Health Special Needs | Medical Special Needs |
| 3706 | Support Bureau - Corr & Reh | Personnel | 8,418,390 | 9.55 | 9.55 | 9.55 | 9.55 | 9.55 |
| 3706 | Support Bureau - Corr & Reh | Operating | 909,486 | 1.03 | 1.03 | 1.03 | 1.03 | 1.03 |
| | Centrally Budgeted Fuel and Maintenance- Transportation | | | | | | | |
| TNR | Vehicles | Operating | 94,596 | 0.11 | 0.11 | 0.11 | 0.11 | 0.11 |
| | Replacement Vehicles for | | | | | | | |
| Estimated Debt Service | Transportation | Debt Service | 64,462 | 0.05 | 0.05 | 0.05 | 0.05 | 0.05 |
| 3735 | Corrections Bureau | Personnel | 51,596,469 | 58.51 | 58.51 | 58.51 | 58.51 | 58.51 |
| 3735 | Corrections Bureau | Operating | 6,933,260 | 7.86 | 7.86 | 7.86 | 7.86 | 7.86 |
| 3735 | Corrections Bureau | 5 Yr Avg. CAR | 1,650,910 | 1.29 | 1.29 | 1.29 | 1.29 | 1.29 |
| | Fuel and Maintenance- Corrections and Transportation | | | | | | | |
| TNR | Vehicles | Operating | 185,634 | 0.21 | 0.21 | 0.21 | 0.21 | 0.21 |
| | Replacement Vehicles for | | | | | | | |
| Estimated Debt Service | Corrections | Debt Service | 179,552 | 0.14 | 0.14 | 0.14 | 0.14 | 0.14 |
| Estimated Debt Service | Corrections Related Buildings | Debt Service | 7,077,462 | 5.51 | 5.51 | 5.51 | 5.51 | 5.51 |
| 3749 | Medical Services | Personnel | 4,004,506 | 4.54 | 1.25 | 2.23 | 16.64 | 73.14 |
| 3749 | Medical Services | Operating | 4,961,789 | 5.63 | 1.39 | 3.66 | 27.27 | 65.96 |
| 3790 | Inmate Services | Personnel | 1,974,556 | 2.24 | 0.99 | 1.79 | 13.59 | 1.80 |
| 3790 | Inmate Services | Operating | 42,819 | 0.05 | 0.02 | 0.04 | 0.25 | 0.37 |
| Personnel Total | | Personnel | 65,993,921 | 74.84 | 70.30 | 72.08 | 98.28 | 143.00 |
| Operating Total | | Operating | 12,847,353 | 14.57 | 10.30 | 12.59 | 36.42 | 75.22 |
| Central Fuel and Maint TTL | | Operating | 280,230 | 0.32 | 0.32 | 0.32 | 0.32 | 0.32 |
| Subtotal - Personnel and Operating | | | \$ 79,121,504 | \$ 89.72 | \$ 80.92 | \$ 84.99 | \$ 135.02 | \$ 218.54 |
| 5 Yr Avg. CAR Total | | CAR | 1,650,910 | 1.29 | 1.29 | 1.29 | 1.29 | 1.29 |
| Estimated Debt Service TTL | | Debt Service | 7,321,476 | 5.70 | 5.70 | 5.70 | 5.70 | 5.70 |
| Subtotal - 5 Yr Avg. CAR & Estimated Debt Service | | | \$ 8,972,386 | \$ 6.99 | \$ 6.99 | \$ 6.99 | \$ 6.99 | \$ 6.99 |
| Correction Related Total | | | \$ 88,093,889 | \$ 96.71 | \$ 87.90 | \$ 91.97 | \$ 142.00 | \$ 225.53 |

Estimate Based on only Operating Expenditures for Corrections Bureau, Medical Services and Inmate Services

| Division # | Division Name | Category | Exp | Estimated Cost Per Day | | | | |
|---------------------------------|--------------------|-----------|----------------------|------------------------|-----------------------------------|-----------------|-----------------------------|-----------------------|
| | | | | ADP (Total Pop) | Gen Pop (Excludes MH, HMSN & MSN) | Mental Health | Mental Health Special Needs | Medical Special Needs |
| 3735 | Corrections Bureau | Operating | 6,933,260 | 7.86 | 7.86 | 7.86 | 7.86 | 7.86 |
| 3749 | Medical Services | Operating | 4,961,789 | 5.63 | 1.39 | 3.66 | 27.27 | 65.96 |
| 3790 | Inmate Services | Operating | 42,819 | 0.05 | 0.02 | 0.04 | 0.25 | 0.37 |
| Operating Total | | | \$ 11,937,867 | \$ 13.54 | \$ 9.27 | \$ 11.56 | \$ 35.38 | \$ 74.19 |
| Correction Related Total | | | \$ 11,937,867 | \$ 13.54 | \$ 9.27 | \$ 11.56 | \$ 35.38 | \$ 74.19 |

GRANT SUMMARY SHEET

| | | |
|-----------------------|--|---|
| Check One: | Application Approval: <input checked="" type="checkbox"/> | Permission to Continue: <input type="checkbox"/> |
| | Contract Approval: <input type="checkbox"/> | Status Report: <input type="checkbox"/> |
| Check One: | Original: <input checked="" type="checkbox"/> | Amendment: <input type="checkbox"/> |
| Check One: | New Grant: <input type="checkbox"/> | Continuation Grant: <input checked="" type="checkbox"/> |
| Department/Division: | Travis County Health and Human Services and Veterans Service | |
| Contact Person/Title: | John C. Bradshaw, Contract Specialist | |
| Phone Number: | 854-4277 | |

| | | | |
|---|---|--|--|
| Grant Title: | Parenting in Recovery II | | |
| Grant Period: | From: | 9/28/12 | To: 9/27/13 |
| Fund Source: | Federal: <input checked="" type="checkbox"/> | State: <input type="checkbox"/> | Local: <input type="checkbox"/> |
| Grantor: | U.S. Dept. of Health and Human Services, Administration for Children and Families | | |
| Will County provide grants funds to a subrecipient? | | Yes: <input checked="" type="checkbox"/> | No: <input type="checkbox"/> |
| Are the grant funds pass-through another agency? If yes list originating agency below | | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> |
| Originating Grantor: | | | |

| Budget Categories | Grant Funds | County Cost Share | County Contribution | In-Kind | TOTAL |
|--------------------|----------------|-------------------|---------------------|---------|----------------|
| Personnel: | 75,206 | | 74,580 | | 149,786 |
| Operating: | 424,794 | | 139,706 | | 564,500 |
| Capital Equipment: | 0 | | 0 | | \$0 |
| Indirect Costs: | 0 | | 0 | | \$0 |
| Total: | 500,000 | | 214,286 | | 714,286 |
| FTEs: | 1 ¹ | | 1 ² | | 2 |

| Permission to Continue Information | | | | | |
|------------------------------------|----------------|--------------------|-----------------|------------|---------------------|
| Funding Source (Account number) | Personnel Cost | Operating Transfer | Estimated Total | Filled FTE | PTC Expiration Date |
| | 0 | 0 | \$0 | 0.00 | |

| Department | Review | Staff Initials | Comments |
|-----------------|-------------------------------------|----------------|----------|
| County Auditor | <input checked="" type="checkbox"/> | JC | |
| County Attorney | <input checked="" type="checkbox"/> | LW | |

¹The grant will pay for an FTE in the Travis County Office of Child Representation. Two part-time positions totaling .8 FTE will be funded through a vendor contract with Encompass Medical Management. One full-time and one part-time position totaling 1.33 FTE's will be funded through sub-contracts with ATCIC and Foundation Communities.

² Travis County Health and Human Services and Veterans Service is paying for the Project Director as well as providing a portion of the funding for services for PIR participants to meet the match requirement of the grant.

| | | | | | | |
|---|--|--|--|--|--|-----|
| Percentage of children identified as at risk of removal from the home who are able to remain in the custody of a parent or caregiver through case closure. | 50% | | | | | 50% |
| Outcome Impact Description | Reduces the number of children placed in the foster care system due to parental substance abuse. | | | | | |
| Percentage of parents or caregivers who were able to access timely and appropriate substance abuse treatment as calculated by number of days between program entry and treatment entry (10 days). | 80% | | | | | 80% |
| Outcome Impact Description | Parents and caregivers with early access to substance dependence treatment are projected to have improved outcomes as it relates to establishing and maintaining sobriety. | | | | | |
| Outcome Impact Description | | | | | | |
| Outcome Impact Description | | | | | | |
| Outcome Impact Description | | | | | | |

PBO Recommendation:

This grant application, if funded, will continue the provision of expanded services to children in families in the child welfare system due to the parent's substance abuse. The grant match that is required has been requested by HHS as part of its FY 13 budget process. PBO has recommended the placement of Earmarks on Allocated Reserve to cover the grant match should the grant be funded. HHS has indicated that it will request the funds from the Earmark if this grant is not funded to help the department close out the program in FY 13.

The department reports that this program has a 58% success rate over the national average of 50%.

PBO is working with the Auditor's Office and HHS&VS to determine whether there is some amount of indirect cost that could be charged to the grant but a final determination will likely not be made before this grant application is due. PBO recommends approval of this application without the inclusion of indirect costs in order to meet the appropriate deadlines.

The collaborative partners with FDTC/PIR have been working on sustainability issues for the last year. A charter has been completed and signed by principle persons and agencies that specifies the continuing commitment to the FDTC and maintaining the services and supports that are provided under the grant. The charter also outlines the governing and operational committees of the FDTC. A post PIR grant design has been proposed and approved by the advisory committee. All services/supports and the funding sources have been identified and outlined in a document to guide the sustainability efforts. The intent of the partnership regarding sustainability is to look at multiple sources of ongoing funding for the services and supports utilized by the FDTC participants that is currently funded by PIR. This includes federal grants, foundations, State and City/County funds. The Project Director will continue to develop agreements with program partners that will be sustained after the grant ends.

Current FDTC/PIR sustainability plan includes the following:

- Regional partnerships that will continue as a collaborative body that informs local practices and allocates resources for this population, per the charter
- CPS staff, community partners and the participants will continue with the practice of integrated, collaborative case planning
- Extended in-patient treatment for substance abuse including women and children's program
- Flexible funding supports for housing, mental health, employment and parenting
- Access to a housing specialist to support the families moving from treatment housing to community.

Partners will identify the funding for treatment and flexible services potentially through increased City/County funding to the existing ATCIC SAMSO contract to serve this population. CPS will enter into contracts with TCHHSVS or Austin Recovery and Foundation Communities to secure needed services for families. Partners will lobby Department of State Health Services to raise the funding rate of treatment beds closer to cost and comparable to City/County contract rates, among other things.

6. If this is a new program, please provide information why the County should expand into this area.

NA

7. Please explain how this program will affect your current operations. Please tie the performance measures for this program back to the critical performance measures for your department or office.

This program is in line with the services currently offered by the Office of Children Services within TCHHSVS. The relevant departmental performance measures are included in this summary.



**TRAVIS COUNTY HEALTH and HUMAN SERVICES
and VETERANS SERVICE
502 E. Highland Mall Blvd.
P. O. Box 1748
Austin, Texas 78767**

**Sherri E. Fleming
County Executive
for TCHHSVS
(512) 854-4100
Fax (512) 279-1608**

DATE: July 18, 2012

TO: Members of the Commissioners Court

FROM:

Sherri E. Fleming
Sherri E. Fleming
County Executive for Travis County Health and Human Services
and Veterans Service

SUBJECT: Application to the U.S. Department of Health and Human Services,
Administration on Children, Youth and Families for a two-year
extension of the Parenting in Recovery grant

Proposed Motion:

Consider and take appropriate action to approve an application to the U.S. Department of Health and Human Services, Administration on Children, Youth and Families for a two-year extension of the Parenting in Recovery grant.

Summary and Staff Recommendations:

Travis County Health and Human Services and Veterans Service (TCHHSVS) serves as the lead agency for a regional partnership (known as the Parenting in Recovery project) that includes Austin Recovery, Foundation Communities, the Texas Department of Family and Protective Services, Austin Travis County Integral Care, and the Travis County Family Drug Treatment Court.

The Parenting in Recovery (PIR) project provides a flexible, comprehensive continuum of services for families in the child welfare system as a result of methamphetamine or other substance dependence. The primary objective of the project is to keep families

together while the parents receive an individualized set of interventions and supports that promote sustained recovery and independent functioning.

The PIR project started in February 2008 and has enrolled 106 mothers as of July 15, 2012. Of these 106 mothers, 40 were discharged successfully, 29 were discharged unsuccessfully, 14 were neutral discharges (admitted but did not receive services beyond partial substance dependence treatment), and 23 are currently enrolled in the project. The PIR project has a 58% success rate which is above the national average of 50%.

PIR has received grant funds from the U.S. Department of Health and Human Services for the past five years. This funding will expire on 9/29/12. The application is for an extension of grant funds for two additional years.

TCHHSVS staff recommends approving this application.

Budgetary and Fiscal Impact:

The extension request is for \$500,000 a year for two years. There is a match requirement of \$214,286 in year one and of \$269,231 in year two.

TCHHSVS is providing the match for year one in the form of \$74,580 in salary and benefits for a full-time Project Director and \$139,706 in funding for services provided to PIR participants. TCHHSVS will provide the same \$74,580 for the Project Director in year two as well as \$194,651 for services to PIR participants.

Issues and Opportunities:

Parental substance dependence is a key factor underlying the abuse or neglect experienced by many of the children entering foster care. The PIR project is designed to keep families together by providing treatment and support services. PIR has made significant accomplishments during the almost five years it has been in existence. The project has developed a strong and effective community collaboration. It has designed and implemented a continuum of services that reduces the risk factors associated with maternal drug dependence, and has increased the ability of mothers to safely care for their children.

Background:

The Administration on Children, Youth and Families within the U.S. Department of Health and Human Services provides grants for regional partnerships designed to enhance the safety of children who are in an out-of-home placement or are at risk of being put in an out-of-home placement due to a parent's or caretaker's methamphetamine or other substance dependence.

Cc: Andrea Colunga, Director, Office of Children's Services, TCHHSVS
Susan A. Spataro, CPA, CMA, Travis County Auditor
Jose Palacios, Chief Assistant County Auditor
Janice Cohoon, Financial Analyst, Travis County Auditor's Office

Laura Ward, Assistant County Attorney
Leslie Browder, Executive Manager, Planning and Budget Office
Diana Ramirez, Analyst, Planning and Budget Office
Cyd Grimes, C.P.M., Travis County Purchasing Agent
Shannon Pleasant, Purchasing Agent Assistant, Travis County Purchasing Office

| | |
|--------------------------------|---|
| Opportunity Title: | Two Year Extension -- Regional Partnership Grants to In |
| Offering Agency: | Administration for Children and Families |
| CFDA Number: | 93.087 |
| CFDA Description: | Enhance the Safety of Children Affected by Parental Met |
| Opportunity Number: | HHS-2012-ACF-ACYF-CU-0550 |
| Competition ID: | HHS-2012-ACF-ACYF-CU-0550 |
| Opportunity Open Date: | 06/21/2012 |
| Opportunity Close Date: | 08/01/2012 |
| Agency Contact: | Elaine Stedt |



This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization.

* Application Filing Name:

Mandatory Documents

Move Form to Complete

Move Form to Delete

Mandatory Documents for Submission

Application for Federal Assistance (SF-424)
 Budget Information for Non-Construction Program
 Assurances for Non-Construction Programs (SF-42)
 Project/Performance Site Location(s)
Project Narrative Attachment Form
 Budget Narrative Attachment Form
 Grants.gov Lobbying Form

Optional Documents

Move Form to Submission List

Move Form to Delete

Optional Documents for Submission

Other Attachments Form
 Faith Based EEO Survey
 Disclosure of Lobbying Activities (SF-LLL)

Enter a name for the application in the Application Filing Name field.

- This application can be completed in its entirety offline; however, you will need to login to the Grants.gov website during the submission process.
- You can save your application at any time by clicking the "Save" button at the top of your screen.
- The "Save & Submit" button will not be functional until all required data fields in the application are completed and you clicked on the "Check Package for Errors" button and confirmed all data required data fields are completed.

Open and complete all of the documents listed in the "Mandatory Documents" box. Complete the SF-424 form first.

- It is recommended that the SF-424 form be the first form completed for the application package. Data entered on the SF-424 will populate data fields in other mandatory and optional forms and the user cannot enter data in these fields.
- The forms listed in the "Mandatory Documents" box and "Optional Documents" may be predefined forms, such as SF-424, forms where a document needs to be attached, such as the Project Narrative or a combination of both. "Mandatory Documents" are required for this application. "Optional Documents" can be used to provide additional support for this application or may be required for specific types of grant activity. Reference the application package instructions for more information regarding "Optional Documents".
- To open and complete a form, simply click on the form's name to select the item and then click on the => button. This will move the document to the appropriate "Documents for Submission" box and the form will be automatically added to your application package. To view the form, scroll down the screen or select the form name and click on the "Open Form" button to begin completing the required data fields. To remove a form/document from the "Documents for Submission" box, click the document name to select it, and then click the <=> button. This will return the form/document to the "Mandatory Documents" or "Optional Documents" box.
- All documents listed in the "Mandatory Documents" box must be moved to the "Mandatory Documents for Submission" box. When you open a required form, the fields which must be completed are highlighted in yellow with a red border. Optional fields and completed fields are displayed in white. If you enter invalid or incomplete information in a field, you will receive an error message.

Click the "Save & Submit" button to submit your application to Grants.gov.

- Once you have properly completed all required documents and attached any required or optional documentation, save the completed application by clicking on the "Save" button.
- Click on the "Check Package for Errors" button to ensure that you have completed all required data fields. Correct any errors or if none are found, save the application package.
- The "Save & Submit" button will become active; click on the "Save & Submit" button to begin the application submission process.
- You will be taken to the applicant login page to enter your Grants.gov username and password. Follow all onscreen instructions for submission.

Application for Federal Assistance SF-424

| | | |
|---|---|--|
| * 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application | * 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision | * If Revision, select appropriate letter(s): _____ * Other (Specify): _____ |
|---|---|--|

| | |
|--|--|
| * 3. Date Received: Completed by Grants.gov upon submission. | 4. Applicant Identifier: _____ |
|--|--|

| | |
|--|---|
| 5a. Federal Entity Identifier: _____ | 5b. Federal Award Identifier: _____ |
|--|---|

State Use Only:

| | |
|---|---|
| 6. Date Received by State: _____ | 7. State Application Identifier: _____ |
|---|---|

8. APPLICANT INFORMATION:

| |
|---------------------------------------|
| * a. Legal Name: Travis County |
|---------------------------------------|

| | |
|---|---|
| * b. Employer/Taxpayer Identification Number (EIN/TIN): 1-746000192A5 | * c. Organizational DUNS: 0309088420000 |
|---|---|

d. Address:

| |
|--|
| * Street1: 100 N IH 35 |
| Street2: _____ |
| * City: Austin |
| County/Parish: _____ |
| * State: TX: Texas |
| Province: _____ |
| * Country: USA: UNITED STATES |
| * Zip / Postal Code: 78701-4138 |

e. Organizational Unit:

| | |
|----------------------------------|--------------------------------|
| Department Name: _____ | Division Name: _____ |
|----------------------------------|--------------------------------|

f. Name and contact information of person to be contacted on matters involving this application:

| | |
|---|----------------------------|
| Prefix: Ms. | * First Name: Laura |
| Middle Name: _____ | |
| * Last Name: Peveto | |
| Suffix: _____ | |
| Title: Prevention and Intervention Manager | |
| Organizational Affiliation: _____ | |

| | |
|--|---------------------------------|
| * Telephone Number: 512-854-7874 | Fax Number: 512-854-5879 |
| * Email: laura.peveto@co.travis.tx.us | |

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

B: County Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

*** Other (specify):**

*** 10. Name of Federal Agency:**

Administration for Children and Families

11. Catalog of Federal Domestic Assistance Number:

93.087

CFDA Title:

Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse

*** 12. Funding Opportunity Number:**

HHS-2012-ACF-ACYF-CU-0550

*** Title:**

Two Year Extension -- Regional Partnership Grants to Increase the Well-Being of, and to Improve the Permanency Outcomes for, Children Affected by Substance Abuse

13. Competition Identification Number:

HHS-2012-ACF-ACYF-CU-0550

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

PIRII Maps.jpg

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

Parenting in Recovery II (PIRII) advances the child/youth service delivery system to increase the well-being of children & youth involved in court and welfare systems due to parental substance abuse.

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

| | |
|---------------------|---|
| * a. Federal | <input type="text" value="500,000.00"/> |
| * b. Applicant | <input type="text" value="214,286.00"/> |
| * c. State | <input type="text" value="0.00"/> |
| * d. Local | <input type="text" value="0.00"/> |
| * e. Other | <input type="text" value="0.00"/> |
| * f. Program Income | <input type="text" value="0.00"/> |
| * g. TOTAL | <input type="text" value="714,286.00"/> |

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

- Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed:

BUDGET INFORMATION - Non-Construction Programs

SECTION A - BUDGET SUMMARY

| Grant Program Function or Activity (a) | Catalog of Federal Domestic Assistance Number (b) | Estimated Unobligated Funds | | New or Revised Budget | | |
|--|---|-----------------------------|-----------------|-----------------------|-----------------|---------------|
| | | Federal (c) | Non-Federal (d) | Federal (e) | Non-Federal (f) | Total (g) |
| 1. Two Year Extension -- Regional Partnership Grants to Increase the Well-Being of, and to Improve the Permanency Outcomes | 93.087 | \$ | \$ | \$ 500,000.00 | \$ 214,286.00 | \$ 714,286.00 |
| 2. | | | | | | |
| 3. | | | | | | |
| 4. | | | | | | |
| 5. Totals | | \$ | \$ | \$ 500,000.00 | \$ 214,286.00 | \$ 714,286.00 |

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SECTION B - BUDGET CATEGORIES

| 6. Object Class Categories | GRANT PROGRAM, FUNCTION OR ACTIVITY | | | | Total (5) |
|--|---|-----|-----|-----|---------------|
| | (1) | (2) | (3) | (4) | |
| | Two Year Extension -- Regional Partnership Grants to Increase the Wali-Being of, and to Improve the Permanency Outcomes | | | | |
| a. Personnel | \$ 56,747.00 | \$ | \$ | \$ | \$ 56,747.00 |
| b. Fringe Benefits | 18,459.00 | | | | 18,459.00 |
| c. Travel | 11,200.00 | | | | 11,200.00 |
| d. Equipment | | | | | |
| e. Supplies | 8,765.00 | | | | 8,765.00 |
| f. Contractual | 393,091.00 | | | | 393,091.00 |
| g. Construction | | | | | |
| h. Other | 11,738.00 | | | | 11,738.00 |
| i. Total Direct Charges (sum of 8a-8h) | 500,000.00 | | | | \$ 500,000.00 |
| j. Indirect Charges | | | | | \$ |
| k. TOTALS (sum of 6i and 6j) | \$ 500,000.00 | \$ | \$ | \$ | \$ 500,000.00 |
| 7. Program Income | | | | | |
| | \$ | \$ | \$ | \$ | \$ |

SECTION C - NON-FEDERAL RESOURCES

| (a) Grant Program | (b) Applicant | (c) State | (d) Other Sources | (e) TOTALS |
|--|---------------|-----------|-------------------|---------------|
| 8. Two Year Extension -- Regional Partnership Grants to Increase the Well-Being of, and to Improve the Permanency Outcomes | \$ 214,286.00 | \$ | \$ | \$ 214,286.00 |
| 9. | | | | |
| 10. | | | | |
| 11. | | | | |
| 12. TOTAL (sum of lines 8-11) | \$ 214,286.00 | \$ | \$ | \$ 214,286.00 |

SECTION D - FORECASTED CASH NEEDS

| Total for 1st Year | 1st Quarter | 2nd Quarter | 3rd Quarter | 4th Quarter |
|--------------------|---------------|---------------|---------------|---------------|
| \$ 500,000.00 | \$ 156,050.00 | \$ 114,650.00 | \$ 114,650.00 | \$ 114,650.00 |
| \$ 214,286.00 | \$ 53,572.00 | \$ 53,572.00 | \$ 53,572.00 | \$ 53,570.00 |
| \$ 714,286.00 | \$ 209,622.00 | \$ 168,222.00 | \$ 168,222.00 | \$ 168,220.00 |

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

| (a) Grant Program | FUTURE FUNDING PERIODS (YEARS) | | | |
|---|--------------------------------|------------|-----------|------------|
| | (b) First | (c) Second | (d) Third | (e) Fourth |
| 16. Two Year Extension -- Regional Partnership Grants to Increase the Well-Being of, and to Improve the Permanency Outcomes | \$ 500,000.00 | \$ | \$ | \$ |
| 17. | | | | |
| 18. | | | | |
| 19. | | | | |
| 20. TOTAL (sum of lines 16 - 19) | \$ 500,000.00 | \$ | \$ | \$ |

SECTION F - OTHER BUDGET INFORMATION

21. Direct Charges: _____

22. Indirect Charges: _____

23. Remarks: _____

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ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

| | |
|---|--|
| <p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Completed on submission to Grants.gov</p> | <p>* TITLE</p> <p>Travis County Judge</p> |
| <p>* APPLICANT ORGANIZATION</p> <p>Travis County</p> | <p>* DATE SUBMITTED</p> <p>Completed on submission to Grants.gov</p> |

Standard Form 424B (Rev. 7-97) Back

Project/Performance Site Location(s)

Project/Performance Site Primary Location I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:

DUNS Number:

* Street1:

Street2:

* City: County:

* State:

Province:

* Country:

* ZIP / Postal Code: * Project/ Performance Site Congressional District:

Project/Performance Site Location 1 I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:

DUNS Number:

* Street1:

Street2:

* City: County:

* State:

Province:

* Country:

* ZIP / Postal Code: * Project/ Performance Site Congressional District:

Additional Location(s)

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned 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 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any 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 commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement 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 statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

| | |
|--|--|
| * APPLICANT'S ORGANIZATION Travis County | |
| * PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE | |
| Prefix: Mr. | * First Name: Samuel Middle Name: T. |
| * Last Name: Biscoe | Suffix: |
| * Title: Travis County Judge | |
| * SIGNATURE: Completed on submission to Grants.gov | * DATE: Completed on submission to Grants.gov |

Survey on Ensuring Equal Opportunity For Applicants

OMB No. 1890-0014 Exp. 2/28/2009

Purpose:

The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey

If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

| | |
|----------------------------------|---|
| Applicant's (Organization) Name: | Travis County |
| Applicant's DUNS Name: | 0309088420000 |
| Federal Program: | Two Year Extension -- Regional Partnership Grants to Increase the Well-Being of, ar |
| CFDA Number: | 93.087 |

1. Has the applicant ever received a grant or contract from the Federal government?

Yes No

2. Is the applicant a faith-based organization?

Yes No

3. Is the applicant a secular organization?

Yes No

4. Does the applicant have 501(c)(3) status?

Yes No

5. Is the applicant a local affiliate of a national organization?

Yes No

6. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer 15-50
 4-5 51-100
 6-14 over 100

7. What is the size of the applicant's annual budget? (Check only one box.)

Less Than \$150,000
 \$150,000 - \$299,999
 \$300,000 - \$499,999
 \$500,000 - \$999,999
 \$1,000,000 - \$4,999,999
 \$5,000,000 or more

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB
0348-0046

| | | |
|--|--|--|
| 1. * Type of Federal Action: <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance | 2. * Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award | 3. * Report Type: <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change |
| 4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> SubAwardee * Name: NOT APPLICABLE * Street 1: NOT APPLICABLE Street 2: _____ * City: NOT APPLICABLE State: _____ Zip: _____ Congressional District, if known: _____ | | |
| 5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime: | | |
| 6. * Federal Department/Agency: NOT APPLICABLE | 7. * Federal Program Name/Description: Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse CFDA Number, if applicable: 93.087 | |
| 8. Federal Action Number, if known: _____ | 9. Award Amount, if known: \$ _____ | |
| 10. a. Name and Address of Lobbying Registrant: Prefix: _____ * First Name: NOT APPLICABLE Middle Name: _____ * Last Name: NOT APPLICABLE Suffix: _____ * Street 1: _____ Street 2: _____ * City: _____ State: _____ Zip: _____ | | |
| b. Individual Performing Services (including address if different from No. 10a) Prefix: _____ * First Name: NOT APPLICABLE Middle Name: _____ * Last Name: NOT APPLICABLE Suffix: _____ * Street 1: _____ Street 2: _____ * City: _____ State: _____ Zip: _____ | | |
| 11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the fter above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. | | |
| * Signature: Completed on submission to Grants.gov * Name: Prefix: _____ * First Name: NOT APPLICABLE Middle Name: _____ * Last Name: NOT APPLICABLE Suffix: _____ Title: _____ Telephone No.: _____ Date: Completed on submission to Grants.gov | | |
| _____ | | Authorized for Local Reproduction Standard Form - ULL (Rev. 7-97) |

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Parenting in Recovery II Contact Information:

AOR: Samuel T. Biscoe

POC: Laura Peveto

Address: 100 N IH 35 Suite 3000 Austin Texas 78702 (P.O. Box 1748 Austin Texas, 78767)

Contact Phone Numbers: 512-854-7874(V); 854-4593(F)

E-Mail Address: laura.peveto@co.travis.tx.us

Web Site Address: www.traviscountytexas.gov

2. OBJECTIVES AND NEED FOR ASSISTANCE

2.a. Project contributes to achieving legislative goals and objectives

This grant application proposes an extension of the Travis County Regional Partnership Grant (RPG): Parenting in Recovery (PIR), referred to henceforth as PIR-II, as it reflects the goals and objectives of the relevant legislation as well as those of the current funding opportunity announcement. As proposed, PIR-II will promote the welfare of children through enhanced services and supports, help build strong and healthy families, and reduce reliance on out-of-home care. It will directly address the impact of parental substance abuse on children at risk of being placed outside of the home by child welfare agencies. PIR-II's goals are to increase the well-being of, improve permanency outcomes for, and enhance the safety of children who have experienced maltreatment and are at risk of out of home placement as a result of a parent's or caretaker's substance abuse/dependence. The PIR-II project incorporates a trauma-informed approach to meet the needs of children and assesses and intervenes around each of the domains that promote children's well-being and positive functioning, including understanding experiences, developmental tasks, coping strategies, and protective factors.

2.b. Positive outcomes, prior successes, and justification for continuation

PIR has consistently met and/or exceeded its stated goals and anticipated project outcomes and managed its grant funding effectively. Direct and support staff, including the Project Manager, Program Director, and Program Evaluator have remained intact since the project's inception. These individuals have participated and contributed in significant ways to all RPG grant related activities and conferences, submitted all reports as scheduled, and collected and uploaded required data to the RPG database in a timely fashion. PIR's objectives have also been successfully met. As stated in the original RPG grant application, objectives are to: 1) increase

collaboration's to better serve families with substance dependency and child welfare involvement and provide *cross-training* for child welfare and substance abuse counselors to promote more effective collaboration and treatment planning; 2) preclude/decrease the number of *out-of-home* placements for children of mothers with substance dependency; and 3) increase the safety and well-being of children of substance dependent mothers by reducing risk factors and increasing protective factors for child maltreatment.

Cross-training. PIR, with cooperation and participation from its partners, has provided 42 cross trainings to over 1600 individuals associated with substance abuse treatment, child welfare, family drug court, and social and behavioral service organizations. These trainings have greatly helped bridge the significant gap between the priorities and practices of substance abuse treatment providers, child welfare workers, individuals working within the legal system, and professions who deliver social services and provide assessments, counseling and guidance.

Training topics have ranged from relapse, diversity, mental health, co-occurring mental health and substance use disorders, codependence, and boundary issues for professionals and families; domestic violence, and adult and childhood trauma. Ongoing training on these topics and others needs to continue throughout the grant extension period and beyond. Staff turnover, particularly within the fields of child welfare, substance abuse treatment, and social services is substantial, accentuating the need to revisit relevant topics on a regular basis. Research in the fields of child social and emotional well-being, trauma, mental health, and substance abuse and recovery encourages a return to and expansion on these topics when warranted.

Out of Home Placements-With its specialized service population and high-intensity service provision, PIR has reached a relatively limited number of families across Travis County receiving child welfare services. This is based on the recognition that more intensive services to

fewer individuals may have a greater impact on society in the long run than larger numbers and briefer, less intense interventions. The structure of PIR serves to preclude out-of-home placement for at least one segment of the substance abusing child welfare population by accepting only cases in which CPS obtains court ordered services and does not request custody of the children. These are typically very difficult and complex cases that under normal circumstances would require child removal and placement outside of the home. Thus, PIR aims to preserve families and avoid out-of-home placements through early entry into extended stay residential treatment for women and children, and intensive oversight of families by collaborative agencies and organizations. During the course of PIR involvement, however, some parents struggle to succeed; they relapse repeatedly and/or fail to consistently follow court orders. At some point in these cases, children can be removed and placed temporarily with relatives, or possibly the cases revert to conservatorship status in which the State obtains custody.

Between initiation of PIR and July 6, 2012, PIR has enrolled 106 mothers and 178 children in the treatment group; of those, 83 mothers and 136 children have been discharged from PIR. When “neutral” discharges (defined as participants who dropped from PIR prior to receiving substantial services) are discounted [n=16]), 60% of participants were discharged as successful (defined as participants enrolled in PIR and family drug treatment court and retaining full or partial custody of their children at discharge from PIR). Successful discharges by program year indicate the following positive trend: Years 1&2 = 42%; Year 3 = 54%; Year 4 = 63%; Year 5 through 7/16/2012 = 75%. This trend accentuates PIR’s growing understanding of its participant population and its ability and willingness to adapt programming in response to lessons learned. Regarding child placement at the end of PIR involvement, 42% of discharged children have achieved permanency with the PIR-enrolled parent; another 30% have achieved permanent joint

placement with the PIR parent and relatives; 15% were adopted by relatives with termination of parental rights; only 13% were adopted by non-kin with termination of parental rights.

2.c. Prior successes in current RPG Project & Need for Proposed Extension Project

Successes: PIRs initial collaborative efforts focused primarily on the parents and were based on the hypothesis that if parents were provided with a meaningful array of services that addressed risk and protective factors (substance abuse treatment, counseling, medications, parenting training, staff support), the entire family (including children) would benefit and succeed.

Examples of positive results include an increase in: participants' parenting knowledge and skills, parental sobriety, educational achievements (high school diplomas and GEDs), completion of professional certifications (i.e. nurses' aides certification) and successful employment post-program (full and part-time).

Lessons Learned: In response to parental substance abuse, Travis County has worked diligently to coordinate systems and to build a continuum of supports and services for child welfare-involved children and families. These efforts came together in a substantial way in 2007 when Travis County was awarded the Federal RPG grant that funded PIR. Funding provides a flexible, comprehensive continuum of services for children and parents who are involved in the child welfare system as a result of parental substance abuse/dependence. At about the same time, Travis County also obtained a State grant from the Texas Office of the Governor (OOG, Criminal Justice Division) to create the Travis County Family Drug Treatment Court (FDTC), a civil court that serves the same population. These two entities initially worked side-by-side as independently functioning bodies serving the same high-need, high-risk population of substance dependent women with young children age 0-5 who could benefit from intensive services and oversight. Most PIR participants joined FDTC, and most FDTC participants were served by PIR.

This arrangement created problems in that FDTC participants who were not in PIR did not benefit from the resources and services available under that program and felt discriminated against and underserved; PIR participants who did not join FDTC did not receive the essential structure and accountability offered by that program. This situation became PIR's first major lesson learned and precipitated a merger of the two programs into a coalition that has served the same mothers and children for four years. FDTC does accept into its program about four fathers per year; these are men are not eligible to be served under PIR as the focus of the original grant was on parenting mothers.

PIR's next major challenge, and ultimately one of its principal successes, was addressed when it took the early leadership role in developing and supporting a robust community-wide collaborative team of public and private agencies and organizations that provide a comprehensive array of services to enrolled parents and children. The collaboration began with primary partners between PIR, FDTC, Travis County Health & Human Services/Veterans Services (administrative oversight and support), Texas Department of Family Protective Services—Child Protective Services (CPS) (child welfare partner), Austin Recovery (AR) Women's and Women and Children's Treatment Programs (substance abuse treatment partner), and Foundation Communities (housing partner and financial counseling). Over time, and in response to lessons learned regarding the necessary ingredients for a fully-functioning coalition that addresses all of the major needs of parents and their children affected by substance abuse, the collaboration added Communities for Recovery (community-based recovery support and peer recovery coaching), Mauney & Associates (individualized one-on-one parent training), SafePlace (domestic violence and trauma counseling), Lone Star Circle of Care (integrated medical and behavioral health care), Austin-Travis County Integral Care (mental health

services), Workforce Solutions, Goodwill Industries, Job Training Institute, and Benchmark Career Institute (education and employment support), Manos de Cristo (low-cost dental care), The Children's Continuum (grant-funded services specifically for children of PIR and FDTC participants), MedSavers Pharmacy (low-cost prescription medication provider), Oxford Houses, R House, and Sharon's Houses (a network of sober housing for women and children), EyeSite Family Vision and Eyemart Express (reduced cost vision care), and David Brown, MD (emergency psychiatric services). This large collection of agencies and organizations work collectively and cooperatively to serve PIR families' needs and support their recovery. Through the grant extension (PIR-II) will continue the interagency collaboration and integration of programs and services, the specific, well-defined, successful program services, and activities implemented in the first five years of the funding period. Extended services will be initiated for PIR-II that clearly relate to the current project goals and objectives and do not deviate substantially from the scope of the original project.

While parents of PIR have experience meaningful success, their children may continue to have their own set of developmental, education, and socio-emotional, and cognitive needs. In order to assure PIR participants' children were able to increase their own well-being, PIR needed to enhance services for children to the level afforded parents. This gap was partially bridged in 2011, when the Children's Continuum (CC), funded through a three-year grant awarded by the Department of Justice (DOJ), was developed to augment services to the children of PIR participants. With its focus on enhancing the functioning and well-being of children and improving the capacity of parents to safely care for their children through improved parent/child relationships, CC is establishing a continuum of screening, developmental, therapeutic and non-traditional services for children age 0-5. CC has engaged a full-time child therapist as a vital part

of the PIR team and a case aide to provide transportation and facilitate parent/child visits.

Additionally CC ensures participation on the team by a children's Court Appointed Special Advocate (CASA) meeting the project goal of enhancing services to children.

Prior to PIR, none of the grant or local resources in Travis County focused primarily on children impacted by parental substance abuse. The community, including PIR before the CC grant, relied on the existing efforts of CPS to meet the needs of children and parents. However, their intervention did not include comprehensive assessment and early intervention as a routine part of the current the service delivery structure. The addition of CC has improved service delivery to the children and strengthened the quality of services delivered by PIR; however, CC services are limited to children of a certain age and to children of parents who have no felony record of violent offenses. This grant application (PIR-II) proposes to fill that remaining gap in children's services by allowing PIR-II to add a second child therapist to the PIR team who will serve children who do not qualify for services under CC due to their age and/or their parents' criminal histories. This application also proposes to add to the team a full-time attorney ad litem who will represent the children's voices and interests in court hearings, case planning and management sessions throughout the course of the CPS case. Under PIR-II, the Travis County Office of Child Representation (OCR) is prepared to act as the child advocate for these children in collaboration with the appointed CASA.

Need: The current climate in Texas around substance abuse treatment raises significant challenges regarding PIR's ability to fully sustain treatment and recovery supports funding post-grant, especially for women who do not enter treatment accompanied by their children. PIR has been able to identify 70% of the needed funding through local resources and during the extension period will work with our substance abuse partner, the State and others to fully fund the project.

Housing of PIR participants and their children has undergone significant changes over the life of the program. Initially, participants transitioned directly from residential treatment into Foundation Communities (FC) housing. The results was unexpectedly challenging as over half of participants were not prepared for independent living and failed to comply with housing rules and were asked to move out within a few months. In response, PIR established working relationships with community-based sober houses that have delivered not only extensive oversight and monitoring, but also substantial recovery support for PIR families. Sober housing has proven to be an effective step-down transition between treatment and community that better prepares PIR participants to live independently. FC continues to provide housing expertise and assessments for all PIR participants and specialized case management for those who reside in FC housing. Housing is a critical piece of the continuum of services offered under PIR; therefore PIR-II will continue funding for a part-time Housing case manager through FC.

One other challenge that has arisen in the course of PIR's implementation has been PIR participants' need for extensive dental work, resulting from their continued substance abuse. PIR's current non-profit dental services partner, Manos de Cristo, has provided exceptional service at deeply discounted costs and has committed to work with the PIR team to explore grant opportunities to continue dental care for PIR participants. A grant extension will allow time to pursue this and other potential grant options, not only for dental care, but also for other vital components of a comprehensive program.

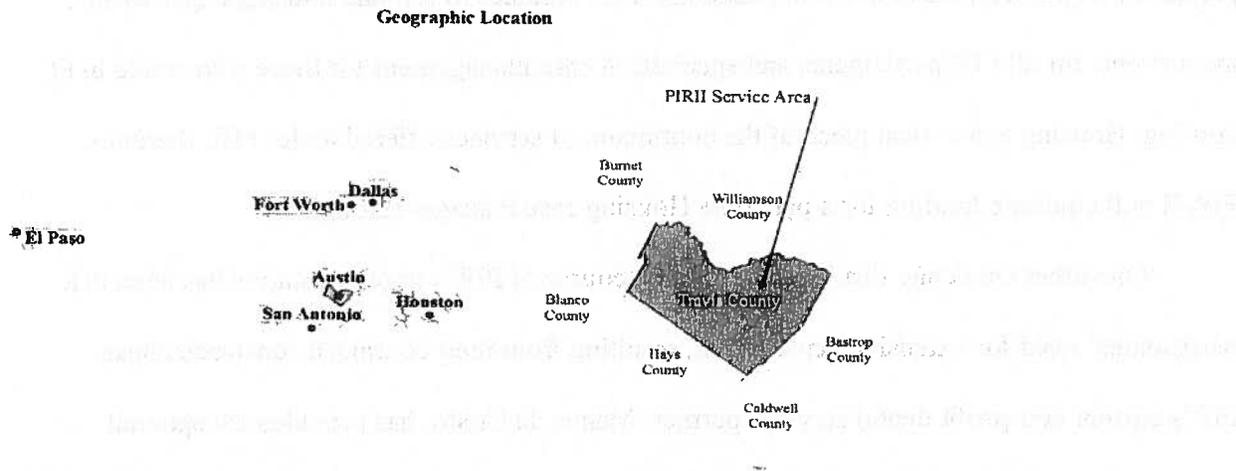
2.d. Substantial impact on substance abuse

In fiscal year 2011, there were 12,461 reports of child abuse and neglect in Travis County (DFPS). Child Protective Services (CPS) completed investigations on 6,348 of those reports; 2,820 (44.4%) of which alleged drug or alcohol abuse by a caretaker (7). In 225 cases of alleged

drug or alcohol abuse, child abuse/ neglect was confirmed and the risk was serious enough to remove at least one child from the home. In 277 cases, drug or alcohol related allegations were confirmed, but the child/children remained with the family and received services through Family Based Safety Services (FBSS), the CPS division that provides family preservation services.

2.e. Geographic area and demographics of service population

PIR’s target population includes women with young child(ren) who reside in Travis County, Texas, are identified as substance dependent, and have an open investigation with CPS. The figure below provides a geographic display of the service area.



Over the total project period of PIR, 106 mothers and 178 children participated in the treatment group; 153 mothers and 241 children were included in control group. Participants’ average age is 28 (range 18-43). Average IQ is 91.5 with a range of 59-119. Fifty-five percent have earned a high school diploma or GED. Racial mix is 33% white, 17% black, 36% Hispanic, and 14% mixed and other. Most (98%) have a DSM-IV Axis I or Axis II diagnosis in addition to their substance use disorder; 78% report a history of trauma; 89% have criminal histories. Seventy-four percent have prior CPS involvement as adults and 26% were involved as children. 23% have

prior termination of parental rights. Reported drugs of choice include: Cocaine/crack (31%), methamphetamine (22%), marijuana (22%), alcohol (8%), benzodiazepines (5%) and poly drug use (30%). Among participants who enrolled in PIR as a result of drug involvement at the birth of a child, 52% of mothers, their children, or both tested positive for drugs at the child's birth. Overall, the PIR target population is comprised of individuals facing significant personal and situational barriers to health, safety, and independence and to parenting their children in effective ways. They are individuals who have experienced trauma, victimization, cyclical poverty, poor educational outcomes, homelessness, and limited systems of support.

2.f. Community resources and funding impact

Travis County has a variety of programs and supports available to address the needs of the population to be served in this grant proposal. Travis County has one primary residential substance abuse treatment provider—Austin Recovery, which delivers a variety of treatment services to a 34-county catchment area. This limited capacity leads to restricted access to treatment for many residents and long waiting lists and wait-time for entry into treatment. This is especially true for parenting women, as Austin Recovery is one of few remaining centers in the region, and indeed in the State, that offers a family treatment option. AR has a total of 12 beds available for women with children. AR utilizes the Seeking Safety curriculum in their programming.

Other issues that impact this population's access to treatment include limited City, County, State, and Federal funding pools for substance abuse treatment, low and below cost reimbursement rates, limited subsidized or no cost treatment beds, and short allowable lengths of stay. Women with substance dependence and child welfare involvement face limited access to recovery supports post-treatment and a general lack of effective collaboration and treatment

planning between child welfare and treatment providers. They face extreme difficulties locating safe, affordable housing. Few have adequate financial resources or employment skills; many must return to the environments that contributed to the substance use and instability. Communities for Recovery (CR) is a non-profit group that provides recovery supports through a peer to peer recovery coaching model along with a variety of specialized support groups. Oak Springs Treatment Center provides intensive outpatient treatment for co-occurring psychiatric and substance disorders; three entities provide sober housing for women and children.

Although there are continuous efforts toward improvement, systemic issues create significant areas where the current child welfare system falls short of helping parents address their own substance abuse, alleviate its impact on their children, and create a consistent, nurturing home environment. While CPS has recognized the importance of family engagement and implements evidence-based practices like family group conferencing (DFPS, 2011), operational realities, including the size and growing intensity of caseloads, decrease families' engagement at optimal levels. Another area where gaps in the system occur is in linking families to community resources. While Travis County has a variety of programs and resources available, child welfare-involved children and families may not always be successfully referred to these services or may face barriers to accessing them. While the child welfare system's goal is to protect and ensure the safety and well-being of children, the main point of intervention is with the primary caretaker (most often the mother). The child welfare system is not structured or equipped to administer assessments to children. Under the current system, the mental health or other developmental needs of the child may be overlooked unless they manifest significantly enough for a medical professional and/or school system to identify gross deficits and delays and then report these concerns to child welfare professionals.

3. APPROACH

3.a. Rationale for any changes being proposed for the extension project

The program strategies and activities outlined in this section facilitate the final tasks necessary for the grant applicant to complete attainment of the long-term outcomes for the three original objectives of Parenting in Recovery (PIR) which are to: 1) Provide cross-systems training for child welfare and substance abuse counselors to promote more effective collaboration and treatment planning and increase ability to service families with substance dependency problems and child welfare involvement; 2) preclude or decrease the number of out-of-home placements for children of mothers with substance dependency and; 3) increase the safety and well-being of children of substance dependent mothers by reducing risks factors and increasing protective factors for child maltreatment. Although, PIR has made significant progress in meeting the project goals, there are several areas that require additional enhancements. These improvements (PIR-II) will: 1) **advance the child/youth service delivery system to increase the overall well-being of the children/youth; 2) sustain critical elements of the service delivery system for an additional two years while local funding is identified and secured; and 3) further develop the existing collaboration by establishing a more defined system of shared information with a focus on local data.** Each of these enhancements is necessary to garner system support for the long-term sustainability of the project. These enhancements were identified as necessary through various lessons learned over the last four and half years. This next section will illustrate these lessons and the critical need for the enhancements.

As indicated in the previous section, PIR merged the project with the Travis County Family Drug Treatment Court (FDTC) in order to maximize resources, eliminate duplication and

to create a means to “hold” grant participants accountable for their behavior. Over the last four and half years, PIR has focused primarily on creating and sustaining a service delivery system to mothers involved in child welfare due to substance abuse. This has been accomplished through systems collaboration, partner expansion and service implementation, including: 1) improved 90 day in-patient treatment program for women and their children 0-5 years through Austin Recovery, 2) utilization of sober housing as a step to independent living, 3) financial resources to promote independent housing, 4) parent education and skills training, 5) mental health supports, 6) medical and dental services, 7) specialized recovery supports with peer coaches, and 8) domestic violence education and intervention. Through this grant’s project period it has been established that this collection of various services and supports is critical to the success of the participant and increases the community’s ability to provide services to families with substance abuse and child welfare involvement.

Over the course of the original PIR project period, the grant has successfully managed to demonstrate sustainability by being able to get a larger portion of its direct services funded locally as opposed to needing grant funds. Additionally, a specific support that has proved most critical with the PIR participants was the funding of a housing case manager and funding for housing costs and utilities. Many of the women served by the project have significant difficulty locating housing due to their criminal records and poor credit and rental history. Many did not have the documents required to apply for housing or any concept of how to navigate the housing market. The housing case manager meets with each participant to assess their eligibility for housing, determine what documents must be obtained and identifies potential housing options in the local community. This plan along with the housing/utility allowance enables participants to locate and establish independent housing. The grant housing partner, Foundation Communities

(FC) remains committed to work with PIR-II participants on a long-term basis. **During PIR-II, the grant will continue to fund a portion of the FC housing case manager with FC covering the cost of any additional service hours beyond grant funding.** It is essential that this service continue while the community identifies funding to sustain the position.

During this same period, CPS was exclusively responsible for identifying and meeting the needs of the children whose parents were enrolled in PIR. This plan was inadequate, especially since PIR transitioned early on to serve exclusively court-ordered services cases which resulted in the CPS workers being assigned from Family Based Safety Services (FBSS) whose focus is not child centered. Additionally, it was found that improvement in the parent/child relationship was a factor in a mother establishing and maintaining her recovery. The project learned over time that improving parenting skills without improving the functioning of the child/youth was inadequate and could impact outcomes. Since this was such a critical issue, the PIR management team elected to apply for a DOJ grant to serve eligible participants' children who were between 0-5 years of age. The DOJ grant application the *Children's Continuum (CC)*, was awarded in October 2011. This grant established 1) a child therapist to provide screenings, assessments, and individualized services, 2) a case aide to provide transportation and facilitate parent/child visits, and 3) funded a portion of a CASA (child advocate) position dedicated to PIR. The benefits and limitations of the CC project became apparent as children were being assessed, receiving services and improving their functioning and well-being, but the funding did not encompass all children (it excluded siblings older than five and any child/youth whose parent has been convicted of a violent crime). Further, the child therapist did not have the capacity to expand their caseload to serve all children/youth under PIR. This created a tiered system within PIR where some children are receiving specialized services and supports and others are receiving

routine CPS driven services. Therefore, it is necessary for PIR-II to focus on the expansion of a child/youth service delivery system to enhance the functioning and well-being of all children/youth of PIR by funding a child therapist.

Additionally, in Travis County, there is an activist legal system which is very engaged and directive in systems development and service provision, especially with child welfare and juvenile justice. This has led PIR to have a bifurcated court system where there is a drug court docket and a CPS docket generally heard by the same presiding judge. This division creates court dockets focusing on separate legal issues: PIR docket focuses on drug court participation and phase advancement and the CPS docket focuses on child related issues such as placement, visitation and permanency. Despite the goal to have separate dockets, there is blend of issues between the dockets. This is compounded when it is the same presiding judge. The attorney ad litem (AAL) appointed to represent the children/youth of PIR are not part of PIR staffings or drug court hearings. This system has resulted in the appointed attorney ad litem (AAL) for the children of PIR participants to express concern regarding the status of the “child’s voice” in PIR hearings. This is especially true when service decisions are made that can impact the child during PIR pre-hearing staffings when the AAL is not present. A study in 2008 in Palm Beach County, Florida revealed that use of a specialized group of AALs who were knowledgeable in family law and carried a case load of approximately 35 children, provided better permanency outcomes for their clients. Children represented by this specialized group of attorneys were found to have a significantly higher rate of exit to permanency than children not served by this type of attorneyⁱ. A presentation at the 14th Annual Conference on Child Abuse and Neglect reported that an AAL’s job is to provide legal expertise and courtroom advocacy, and while the guardian ad litem (GAL) plays an important role, the AAL is the necessary expert in child welfare lawⁱⁱ The current

practice of a bifurcated court without AAL being part of PIR has led to significant negative perceptions by other attorneys, members of the legal system and child advocates. To improve our local practice and support long-term sustainability, PIR must transition to a model that includes a specially trained AAL. This position will fulfill the Texas Family Code (section 107.012)ⁱⁱⁱ mandate to appoint an AAL for the children in any child welfare lawsuit immediately after the filing of the petition if the governmental agency is requesting termination of the parent-child relationship. This appointment is necessary for all cases based on current Travis County filing practices. For PIR-II, the AAL will be a member of the PIR team, attend all staffings and be a member of operations and advisory committees. The Travis County Office of Child Representation (OCR) is prepared to act as the AAL for these children; it is important to note that OCR operates under a very similar model and office structure to that of the Palm Beach County Courts who, as noted above, have high success rates in achieving permanency outcomes for children. **To fully address this gap in services, PIR-II extension funds will pay for an AAL who will serve all the children/youth whose mothers are enrolled in PIR.**

Although, PIR and Family Drug Treatment Court (FDTC) collaboration is very strong and diverse, it has been unable to develop a shared database with agreed upon outputs and outcomes. To sustain the project long-term, PIR and FDTC must be able to produce relevant data to partners on a semi-annual basis. This means that the local community must agree upon what data to collect, how it will be collected, maintained and then reported. This will require the partners to address system barriers concerning access to data, outcome definitions, and resources for data reporting post grant. **During the extension period, PIR-II will address this issue aggressively with the goal of establishing agreed upon data elements, definitions and**

methodology to collect and report the data for semi-annual reporting to support long-term sustainability efforts.

Finally, PIR local partners are requesting two additional data elements: 1) recidivism as it relates to criminal arrests and incarcerations and child protective services referrals; and 2) analysis of the cost/ benefit ratio of the project. The following will be addressed during the PIR-II extension period: 1) adding a new data element regarding the criminal histories of participants, 2) in year one of the extension, a limited case study of closed treatment and control cases with a focus on specific areas of functioning: sobriety, housing, employment, child well-being, and criminal and child protective services recidivism, 3) in year two of the extension, a cost/benefit analysis study will be conducted, and 4) to improve the efficacy of the evaluation, a research assistant will focus on collecting the missing data for the control group. These activities should lead to more valid data reporting and analysis. **The additional evaluation tasks will be funded by for PIR-II extension, through the evaluator and by funding a part-time research assistant.**

3.b. Project Design

Entry and overall service design -The original design of PIR will remain intact with a few modifications to address current project limitations. This site elected to serve a population who presents with significant risk factors. PIR serves parenting women who have: criminal backgrounds including conviction of violent crimes, mental health challenges (not actively psychotic or diagnosed with schizophrenia), prior parental rights terminated, multiple failed substance abuse treatment attempts, and significant histories of domestic violence. Enrollment criteria for treatment and control groups eligibility includes:

| # | Eligibility Indicators for PIR |
|---|--|
| 1 | Participants will be identified during the course of a child protective services (CPS) investigation. They will meet one of these eligibility criteria: 1) the mother gives birth to a baby who is born drug positive; 2) the mother is pregnant and tests positive for drugs and has a least one child under age five in the home; 3) the mother is using drugs and has a least one child under age five in the home. |
| 2 | Screened for drug dependency using the UNCOPE |
| 3 | Family Team Meeting will be facilitated by CPS caseworker to establish safety plan for child and potential enrollment in PIR |
| 4 | Child(ren) can accompany mother into treatment and/or a relative or fictive kin is approved to care for the child who lives in Travis or a contiguous county |
| 5 | Included in treatment or control group based on project capacity |

Unique to the treatment group, all participants must enroll in the Travis County Family Drug Treatment Court which necessitates that CPS file a court-ordered services case. **Control group** participants receive routine CPS services which include monitoring, occasional drug testing, referrals to community services, and when indicated assessments and contract funded therapeutic services. The control group receives occasional family group conferences and is managed solely by FBSS caseworkers. **Treatment participants** become PIR enrollees and receive monitoring through the FDTC phases, weekly drug testing and hearings, 90 days of in-patient treatment with their children 0-5 years of age, supportive out-patient aftercare, housing case management, sober housing, limited financial support for housing and utilities, mental health supports, parenting education and skill building utilizing the Nurturing Parenting Program^{iv} with pre/post completion of the AAPI-2,^v medical and dental services, peer recovery coaching, and focused domestic violence services. They receive at least one family group conference facilitated by CPS, a discharge planning meeting from in-patient treatment, and routine home visits from the CASA, the FBSS caseworker, and the Drug Court Coordinator. The service provision is overseen by a case management team that meets monthly, while progress is reviewed and addressed at PIR and FDTC staffings and hearings. These services and supports promote the attainment of PIR

objective two and three: to reduce risk factors and increase protective factors while decreasing the need for out of home placement for children/youth.

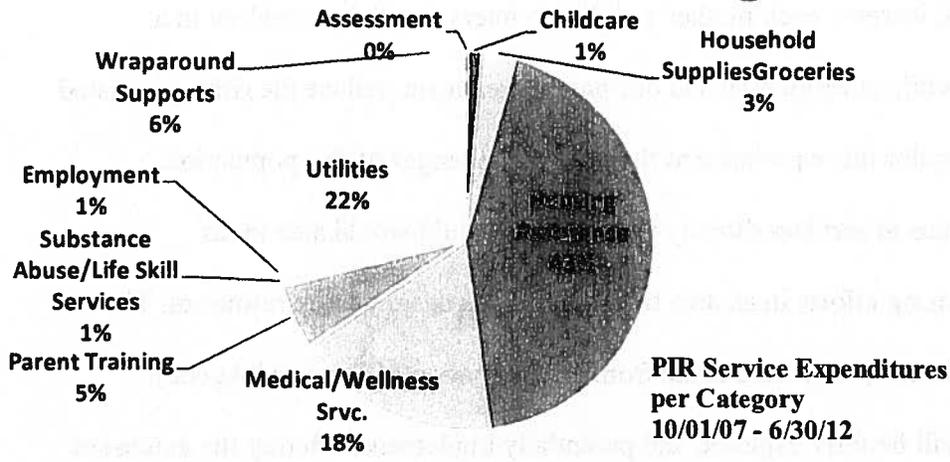
Targeted extension services under PIR-II - During the two year PIR-II extension period, we will build on lessons learned from the grant period and from the introduction of CC and FDTC partnerships to develop a **PIR-II service delivery track for the children/youth** of treatment group participants. This track will include the integration of a child therapist and a dedicated attorney ad litem. The eligibility for the child/youth service track is any child/youth of PIR between the ages of 0-17 years. Specific to the child therapist, the target population of eligible children/youth will be those not currently served by the CC grant. For those children/youth whose mother is discharged prematurely from PIR; the child service track providers (child therapist / AAL) will provide 30 days of additional services to implement an effective transition plan for the child/youth. The **child therapist** will be hired and supervised by the individual who currently manages the child therapist funded by the CC grant. This will ensure coordinated services between these therapists that serve the children of the PIR program. This position will be filled by a master's level therapist trained in trauma-focused cognitive behavioral therapy (TF-CBT)^{vi} with experience in substance abuse and child welfare. The therapist will conduct a Child and Adolescent Needs and Strengths - MH (CANS-MH)^{vii} assessment with each child/youth in the treatment group. Based on the results, s/he will provide individualized supports that address trauma through Trauma Focused-Cognitive Behavioral Therapy, parent-child relationship building, behavioral and/or developmental concerns, educational support/advocacy, and the promotion of enrichment activities. For those children who are 0-3 years, they will be assessed using the Ages and Stages Questionnaire Social/Emotional (ASQ-SE)^{viii} to develop appropriate intervention strategies and supports. These services will be

provided through different modalities including, filial therapy, developmental services, experiential therapies and Child-Parent Psychotherapy^{ix}. The goal of these specialized services is to reduce the effects of trauma, increase the social and development abilities of the child/youth leading to improved well-being. The child therapist will complete assessments at intake and discharge and maintain a caseload of approximately 10-15 children/youth. The service period will range from 4 to 12 months. The therapist will develop and maintain an individualized plan for each child/youth assessed. The plan will include: identified service needs, connection to relevant community services, maintain/establish a medical home, and referral to specialized services to enhance functioning and well-being, including mentoring, tutoring, art/music, recreational therapy, equine or aquatic therapy, and pro-social groups. These specialized services will be accessed through our community's existing provider network and funded by the PIR-II extension. Depending on the credentials of the provider, the cost of the services are \$25 to \$85.

The Office of Child Representation (OCR) will employ an **Attorney Ad Litem (AAL)** to represent the voice and needs of all the children whose parents are enrolled in PIR. This attorney will collaborate with the PIR team, attend drug court staffings, hearings and participate in the operations and advisory committees. This AAL will serve approximately 40 children a year and the legal services will continue until the dismissal of the lawsuit for all successful discharges from PIR. This service will facilitate the integration of the child issues into PIR staffings and Family Drug Treatment Court hearings. This will allow PIR to move to a family-centered program of practice that balances the needs of both the parent and the child. This support will further healthy, effective collaboration in the courtroom which will benefit the child/youth, promoting their well-being while monitoring their safety and permanency. The addition of these

two services will allow PIR to fully meet the long-term objective to **increase the well-being of children** of substance dependent mothers.

During the PIR-II extension period, the balance of the funds will be utilized to **extend existing grant services: the housing case manager, flexible funding for substance abuse treatment and recovery supports, and an expanded evaluation plan.** The housing case manager will be funded with Foundation Communities (FC) as a part-time position. This position will develop individualized housing plans for each PIR participant and provide ongoing case management services to those that reside in FC housing units. The goal of the plan is to identify housing options for each participant in the community despite their barriers due to criminal history and poor credit and rental history. It is expected that this case manager will serve 25 – 30 participants in a year and provide ongoing case management to 5-7 participants. This service is specialized and requires the skills and knowledge of a housing partner. To maintain the efficacy of the project, this service must remain intact through grant funding until local funds are identified and directed to fund this position. The flexible funding will be utilized to fund a portion of in-patient 90-day substance abuse treatment and individualized recovery supports such as housing/utility allowance, medical, dental and mental health care not covered by insurance, employment supports and parent training. The following chart illustrates the service expenditures per category for the last 4.5 years with the 3 highest categories being: Housing Assistance, Utilities, and Medical/Wellness Services.



The local community has sustained 70% of the required flexible funds to support the program. During the extension period, the Regional Partnership will explore other alternatives to fund these services. One area of potential funding that is not clear is Medicaid funding for substance use dependency (SUD) residential treatment. In Texas, Medicaid rates are still tied to the TMHP rates that are in turn arbitrarily tied to the “payor of last resort” DSHS block grant rates which cover less than 40% of costs. Currently providers of substance abuse treatment are attempting to negotiate network contracts with individual Medicaid providers like Amerigroup, with limited success. Over the next two years, it is expected that the Texas plan for implementing the Affordable Health Care Act, including Medicaid expansion and medical exchanges, will be clearer and hopefully allow for access to SUD funding, at reasonable rates, for project participants. Additionally, this site is exploring with the substance abuse partner, Austin Recovery, the feasibility of utilizing flexible funding previously directed towards substance abuse treatment to pay for on-site childcare at Austin Recovery. Currently Austin Recovery assumes the cost of each child attending a quality offsite special needs day care (Sammy’s House) along with transportation for parents who are admitted for substance abuse treatment. Fees range from \$775 to \$900 per month per child depending upon the age of the child. Having

an on-site day care would increase each mother's ability to interact with her children in a structured environment while in residential and out-patient treatment, reduce the risks associated with transportation, and tailor the experience to the unique challenges of this population. Changing the funding focus to services directly benefiting the child would also focus sustainability and fundraising efforts in an area that is likely to generate more resources. The funding for the residential services would come from a combination of State and Agency funding. This proposal will be fully explored and potentially implemented during the extension period.

The final area to utilize the extension funding is the expanded evaluation. During the extension phase, this site will fund a research assistant to support the evaluator in achieving these goals: 1) locating missing information on the control group for upload to improve the quality of our evaluation 2) add a data element to measure recidivism with criminal activities (arrests/incarcerations) and rework current data collection to obtain recidivism with child protective services (referrals, outcomes, removals), 3) in year one, complete a limited case study of closed treatment/control participants and in year two, complete a cost analysis of the program. These activities will strengthen the evaluation component of PIR and provide opportunities to develop briefs, papers and reports for dissemination.

3.c Evidence-Based Practices Utilized in Project Design

The PIR-II project design is based on current collaborative efforts, resources and expertise in the area of child welfare, substance abuse, trauma-informed care and parent education/training. PIR-II builds on these local strengths and incorporates additional evidence-based practices that are appropriate for the focus of the project design. These practices are

reflected in the assessment and screening tools utilized, the intervention and therapeutic services, the training and skills of the staff, and the overall goals of the project.

Evidence-Based Screening and Assessment Tools - The CPS caseworkers will administer the following to all participants: (1) the UNCOPE, (2) the Texas Guided Risk Assessment. See summary of standardized measures in the following table:

| Standardized Measures | Indicators/data elements or example items | Data source |
|--|--|--------------------|
| UNCOPE | Basic Demographics and Screening tool with 6 items (yes/no). Two or more positive responses indicate possible abuse or dependence; Responses of 4 or more strongly indicates dependence. | CPS caseworker |
| Texas Guided Risk Assessment | Qualitative assessment of: Caregiver capacity, protective capabilities, home & social environment, protective capabilities, quality care Child vulnerability, maltreatment pattern, response to intervention | FBSS caseworker |
| Child Adolescent Needs and strengths – MH (CANS-MH) | Standardized measure (41 items) is a comprehensive assessment of psychological and social factors for use in treatment planning. Domains assessed include general symptomology, risk behaviors, developmental functioning, persona/interpersonal functioning and family functioning. It is intended to support case planning . | CC child therapist |
| Ages and Stages Questionnaire – Social/emotional (ASQ-SE) | Standardized measure that focuses on self-regulation, compliance, communication, adaptive behaviors, autonomy, affects and interactions with people | CC child therapist |
| Adult/adolescent parenting Inventory-2 (AAPI-2) | Standardized measure (40 items) that assesses parenting attitudes and child rearing in areas of: inappropriate parental expectations, inability to demonstrate empathy towards children’s needs, strong belief in the use of corporal punishment, reversing parent-child family roles, and oppressing children’s independence. | Parenting Trainer |

The **UNCOPE** - a screening tool for identifying substance abuse/dependence (Hoffman, 1999) has been successfully utilized in child welfare practices in the State of Oklahoma (an RPG Grant site), the State of Kentucky, and Los Angeles County, CA. The **Texas Guided Risk Assessment** is a tool created for use by all CPS workers in Texas. These tools will be completed with all PRI-II participants – treatment and the modified control group. The results of these tools will be used to guide service interventions/support to children/youth and parents and will be evaluated for program outcomes. CC Child Therapist will administer assessments to children/youth to inform their service provision. The therapist will administer the **Child Adolescent Needs and Strengths – MH (CANS-MH)** to all PIR youth enrolled in the treatment group. The CANS-MH

will assess youth's emotional and behavioral health, using information from the child's caregiver in conjunction with an exam, completed by the child therapist. The CC Child Therapists will also administer the **Ages and Stages Questionnaire Social/Emotional (ASQ SE)** to children ages 0-3 years. The ASQ-SE is a screening questionnaire designed to identify developmental delays in infants and young children, including assessment of social emotional development. The **Adult-Adolescent Parenting Inventory (AAPI-2)** will be used to identify the parenting and child rearing attitudes of parents (Bavolek, n.d.) and administered as a pre and post-test by the PIR parent training partner, Mauny and Associates.

Evidence-Based Interventions -The child therapist will be trained to provide **Trauma Focused-Cognitive Behavioral Therapy (TF-CBT)** which is a psychosocial treatment model designed to treat posttraumatic stress and related emotional and behavioral problems in children and adolescents (National Registry of Evidence Based Programs and Practices, 2008). The therapist will engage the children/youth in experiential therapy services, such as: pet-assisted therapy, music, art and recreational therapy. Mauny and Associates parenting trainers will utilize modules of the **Nurturing Parenting Programs** to guide their interaction, coaching and teachable moments with parents (National Registry of Evidence-based Programs and Practices, 2010). The Attorney Ad Litem, representing children in court-ordered child protective services cases, will utilize *The Practice & Policy Brief: Advocating for Very Young Children in Dependency Proceedings: The Hallmarks of Effective, Ethical Representation* as a guide in representing children (Maze, 2010). PIR-II will host a 2-day workshop with the Child Trauma Academy focusing on understanding trauma, the impact and the recommended interventions.

3.d Provision of Culturally Responsive Services

PIR-II will continue to be culturally responsive to the children/youth and their families by acknowledging the unique strengths, abilities and challenges of each family in the context of their culture. In this way, culture is viewed not only as race/ethnicity but as the distinctive culture of the family, their neighborhood and community. Culture is seen as an asset that requires understanding and acceptance. PRI staff will be creative and flexible in their efforts to adapt interventions to mesh with a family's culture whenever possible. PIR staff will be reflective of the families served by the project. The services and supports provided to the families will be offered in their home and community. The family will be a part of the team and they will have a voice in service provision. CPS has been working to address issues of disproportionality over the last five years through trainings, community groups and specialized caseloads for target zip codes with high disproportionality rates. PIR-II will be able to partner with the CPS "disproportionality initiative" to improve understanding, knowledge and service delivery methods as it relates to disproportional representation of minority populations in child protective services. Additionally, PIR-II will collaborate with the Center for Elimination of Disproportionality and Disparities (CEDD) to receive training, program guidance and recommendations for delivering culturally relevant and competent services. In year one, CEDD will complete a project assessment, recommendations and provide technical assistance. In year two of the PIR-II extension grant, CEDD will provide two – one day trainings on *Undoing Racism* for PIR team members.

3.e Collaboration

Travis County Health and Human Services/Veteran Services (TCHHS/VS) primary role is to facilitate collaboration between various community entities in order to streamline service

provision and minimize duplication. TCHHS/VS accomplishes this by: applying for and managing collaborative grants, developing expertise in an issue area, research and reporting, facilitation of community meetings, chairing community coalitions, and acting as a broker between groups with competing interests. The Travis County community enjoys numerous collaborative efforts designed to maximize the available resources, skills and expertise of our community partners. TCHHS/VS plays a primary leadership role in these coalitions, among others: Community Partners for Children (CPC); Child and Youth Mental Health Planning Partnership (CYMHPP); the System of Care Initiatives; and the Regional Partnership Grant – Parenting in Recovery/Travis County Family Drug Treatment Court. Additionally, we are members of the Early Childhood Coalition (ECC), Success by 6, Disproportionality Coalition, Model Court Initiative, Child Protective Services/Travis County Juvenile Court cross-over docket, and the COPE Juvenile Justice Mental Health Court. TCHHS/VS has been continuously successful in developing and managing coalitions across issues areas with a focus on children's mental health, substance abuse, child welfare, juvenile justice and the school learning environment. In 1997, Travis County was awarded a SAMSHA grant and created The Children's Partnership (TCP) to address the mental health needs of children/youth and their families. TCP has been a vibrant part of our community since 2005. The primary partners are the mental health authority, Austin Travis County Integral Care; juvenile justice and child welfare agencies; area School Districts; and TCHHS/VS. TCP partners created a community management team that oversees TCP day-to-day operations. The partners use a shared database, report on shared outcomes, and utilize a blended funding pool. In 2007, TCHHS/VS was awarded a Regional Partnership Grant through the Administration of Children and Families. This grant is known as Parenting in Recovery (PIR) and supports the Travis County Family Drug

Treatment Court (FDTC). One of the key achievements of PIR was the development of a collaborative service delivery system between child welfare, the Court and the substance abuse community. This collaboration did not formally exist in 2007, but now Travis County has a charter supporting the FDTC which delineates the collaboration and commitment of the primary partners. Additionally, PIR was successfully integrated into the FDTC, which was launched in 2008. The program has become entrenched in the community through the dedication of its partners. CPS dedicated a unit of staff to the effort, the District Attorney's office designated an ADA to PIR, and the district court devoted a court room, staff, and a judge as well. The current collaboration for this RPG has expanded to include these members: Austin Recovery (substance abuse provider); CRADLES (grant-funded home visiting program focused on child welfare and substance abuse); Communities for Recovery (recovery supports group); Child Welfare; TCHHS/VS; Safeplace (domestic violence partner); ATCIC (behavioral health partner & contract management for flexible funding); CASA; local attorneys; Foundation Communities (housing partner) Lone Star Circle of Care and Manos de Cristos. Additionally, this grant was able to facilitate partnership with local vendors to prioritize our clients, charge reduced rates, and accept payment from various sources. This Regional Partnership has successfully collaborated to develop and sustain a Family Drug Treatment Court (FDTC). It has also established a continuum of services for child welfare families that includes substance abuse treatment, housing, and mental health and parenting supports. The collaboration has routine meetings (monthly and quarterly), an annual retreat, and quarterly cross-training events. This reflects that TCHHS/VS has the capacity, knowledge and relationships to establish, support and maintain collaborations. TCHHS/VS was able to build on the RPG collaboration to develop the Children's Continuum (CC), designed to support the children of the FDTC, which was funded by DOJ in 2011. This

expands the collaboration to a child development specialist, secures the role of a child legal advocate, and introduces specialized therapeutic services to children and families. Through these experiences, TCHHS/VS has learned these key components must be present for a collaboration to succeed: 1) a person/agency is designated to provide administrative support, routine communication and meeting facilitation, 2) the facilitator must know and communicate the strengths, capacity, and limitations of each partner and build on the strengths, acknowledge the limitations, and “push” the capacity, 3) each partner must understand the benefits to their agency, 4) communication and support must occur at three levels- direct line staff, supervisors, and administration, 5) partners must have a common, documented purpose or goal – preferably through an MOU or charter, 6) partners must have defined tasks and responsibilities, and 7) cross-training ensures that all partners have the same knowledge base and understanding. These key components allow the collaboration to develop respect, trust and a mutual understanding which facilitates system improvement and innovation. PIR-II will build upon these lessons learned to support the PIR collaboration through the extension phase to a sustained site.

3.f Factors that Speed or Hinder Project Implementation

The implementation of PRI-II will be managed through a coordinated effort between the lead agency, TCHHS/VS, grant partners and the grant-funded positions. The roles, scope, and responsibilities of these entities are designed to maximize skill sets and ensure on-time implementation and management of the grant. It has been the experience of TCHHS/VS, through the management of previous grants, which it is critical to have the implementation and management responsibilities divided and assigned to specific staff. This ensures that the resources and expertise are available to make sure grant requirements are successfully met. In this way, we believe we will be able to implement the grant successfully and within expected

timeframes. TCHHS/VS will be responsible for the financial, contractual, and grant compliance tasks and designate a Program Administrator to manage the grant in collaboration with designated County staff in finance, contract management, legal, and the auditor's office. The focus of this staff will be to integrate the grant award into the county financial system, ensure sub-recipient contracts are executed, complete yearly audits of sub-recipients, and comply with submission of grant required financial documents, including carry-over requests and the SF-425. The match funded Project Director will be responsible for implementation of the project design, in collaboration with the Project Administrator and grant partners. The Project Director will focus on compliance of grant required reports, the evaluation, systems and service development and the strengthening of the regional partnership. The Evaluator and part-time Research Assistant (both grant-funded) will focus on the implementation and management of the PIR-II expanded evaluation. They will be responsible for gathering the necessary data from the partners for bi-annual uploads to the grantor and analyze and interpret the data for both local and federal evaluation purposes. In collaboration with the Project Director, the research assistant and program evaluator will complete the additional evaluation components: case study and cost analysis, along with new data elements on criminal recidivism. The Evaluator will work closely with the federal grantor to ensure compliance with the federal reporting requirements for the evaluation and during the extension phase the evaluation team will focus on obtaining missing data for the control group to improve the efficacy of the evaluation. The evaluation team will develop products for dissemination during the extension period.

The primary community partners – Child Protective Services (CPS), Office of Child Representation (OCR), Austin Travis County Integral Care (ATCIC), and Foundation Communities (FC) - will be responsible for providing direct service to eligible families

according to the project design. These primary partners will become the grant management team led by the Project Director and supported by the Project Administrator. This team will meet monthly and quarterly for grant's management. Other community partners, PIR-II operations and advisory committees will meet to address partnership development, system change and sustainability. CPS will maintain their PIR dedicated unit; OCR will employ a grant-funded attorney to represent the legal rights of children in the court-ordered services lawsuits to ensure that the child's voice is heard in court while collaborating with a team to support the goals of PIR-II. Child's Continuum grant-funded Child Therapist will administer assessments and provide direct therapeutic services to the children, and engage them in experiential therapies. FC will have one grant-funded part-time housing Case Manager.

Hindrances- A challenge in county government is the time required to certify federal funding, execute contracts and obtain Court approval. TCHHS/VS is aware of these limitations and addresses this by designating a program administrator to oversee the grant project who can successfully navigate the County government system. CPS has significant staff turnover that can hinder implementation of a grant project. To address this concern, we have engaged direct line staff, supervisors and administrators to support this project. Additionally, several persons are designated from CPS to support the implementation of PIR-II, which will require a philosophical shift for all the partners to move to a family-centered approach. The partners express this value and indicate a willingness to embrace this shift and to adjust their practice to support the PIR-II extension project. This oversight, management and collaboration will allow PIR-II to meet its goals to: 1) provide cross-systems training for child welfare and substance abuse counselors to promote more effective collaboration and treatment planning and increase ability to service families with substance dependency problems and child welfare involvement; 2) preclude or

decrease the number of out-of-home placements for children of mothers with substance dependency and 3) increase the safety and well-being of children of substance dependent mothers by reducing risks factors and increasing protective factors for child maltreatment.

3.g Project Timeline

The project timeline, shown in Table 4, illustrates the steps necessary for implementing PIR-II with major milestones, target completion dates for tasks, and key personnel responsible for implementation and management of the grant. This chart demonstrates that TCHHS/VS, in conjunction with their community partners, will be able to facilitate the implementation of PIR-II within a reasonable and appropriate timeframe.

| Task | Start Date | End Date | Responsible Party |
|--------------------------------|------------|------------|-----------------------|
| Project Kick-off Meeting | 01/15/2024 | 01/15/2024 | Project Manager |
| Finalize Grant Agreement | 01/20/2024 | 02/01/2024 | Finance Director |
| Identify Key Personnel | 02/05/2024 | 02/15/2024 | Human Resources |
| Develop Project Charter | 02/20/2024 | 03/01/2024 | Project Manager |
| Conduct Needs Assessment | 03/05/2024 | 03/31/2024 | Community Partners |
| Develop Program Curriculum | 04/01/2024 | 04/30/2024 | Program Specialist |
| Recruit Participants | 05/01/2024 | 05/31/2024 | Case Managers |
| Implement Program | 06/01/2024 | 06/30/2024 | Program Specialist |
| Evaluate Program Effectiveness | 07/01/2024 | 07/31/2024 | Evaluation Specialist |
| Final Report | 08/01/2024 | 08/31/2024 | Project Manager |

Table 4. Project timeline

| Yr 1 Start Date | Project Function | Objective to be Accomplished | Activity Accomplished | Expected Completion Date | Person Responsible |
|-----------------|--------------------------------|---|---|------------------------------------|---|
| Sept 3 2012 | Pre-Grant Award Implementation | Review grant design & implementation plan with regional partners | Engaged partners prepared for grant award | Sept 3 2012 | Laura Peveto |
| Sept 10 2012 | Pre-Grant Award Implementation | Meet with Travis County grant team to prepare for grant award and implementation | Engaged staff prepared for grant award | Sept 10 2012 | Laura Peveto |
| Sept 10 2012 | Pre-Grant Award Implementation | Prepare for sub-award contracts per grant design | Contract formats will be identified from existing contracts for each sub-award recipient to facilitate expedited execution of contracts | Sept 17 2012 | Laura Peveto |
| Sept 28 | Grant Award Implementation | Grant Team and Partners mobilized to implement grant award | Partners and Travis County Staff are engaged to execute their responsibilities per the grant design. Will occur through a series of meetings. | Sept 28 – Oct 5 th 2012 | Laura Peveto Chuck Roper Partners & Cty Staff |
| Sept 28 2012 | Grant Award Implementation | Complete internal County processing of grant award | Grant Certification Budget Set-Up in SAP | Oct 30 2012 | Laura Peveto Auditor/Finance |
| Sept 28 2012 | Grant Award Implementation | County approval of future sub-recipient contracts | Ensure that contracts are effective to the date of the grant award. | Oct 30 2012 | Legal / Auditor |
| Sept 28 2012 | Grant Award Implementation | PIR-II Management Team will inform PIR mgmt. team of the grant design and how it will impact PIR | Current PIR partners will fully understand the implementation process and goals of PIR-II including their roles and responsibilities | Oct 30 2012 | Chuck Roper PIR-II Management Team |
| Sept 28 2012 | Grant Award Implementation | Integration of PIR-II design with the existing PIR with no disruption in existing services & supports | Begin implementation of integration of PIR-II with PIR | Oct 30 2012 | Chuck Roper Laura Peveto |
| Sept 28 2012 | Grant Award Implementation | Existing PIR partners will continue service provision without disruption | FC housing partner; and flexible funds will continue to serve PIR participants during the implementation phase of the grant | Sept 28 2012 | FC ATCIC Chuck Roper/Lp |
| Oct 1 2012 | Grant Award Implementation | Initiate process to hire grant funded staff with ATCIC, OCR | Provide technical assistance to ATCIC, OCR partners that will allow immediate posting and interviewing for grant funded positions | Oct 31 2012 | Laura Peveto TC Staff |
| Oct 1 2012 | Grant Award Implementation | Develop sub-recipient contracts with ATCIC, OCR, and FC | Completed contracts to hire project staff and facilitate access to flexible funding to implement grant design | Nov 30 2012 | Laura Peveto John Bradshaw Community Partners |

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|--------------------------------|-------------------------------------|--|---|--|--|
| Oct 2012/ Grant Comp. | Grant Award Implementation/Mgmt. | Management of the Program (PIR-II / FDTC) including compliance with grant requirements and budget management | Management meetings with Partners: PIR-II grant managements PIR-II / FDTC operations meetings PIR-II / FDTC case management meetings | Ongoing Weekly Monthly Monthly | Laura Peveto DCC / Chuck Roper DCC / Chuck Roper |
| Yr 1 Start Date | Project Goal | Objectives to be Accomplished | Activity Accomplished | Expected Completion Date | Person Responsible |
| Oct 22 2012 | Grant Award Implementation | PIR-II Management Team will refine and implement Evaluation plan | Continue the process of identifying and tracking control participants; Detailed plan for the completion of the Cost Analysis and Case Study; Target dates for dissemination of evaluation informed products; Goals and target dates to collect missing data from prior PIR control participants; identify updates required to the database to support the evaluation plan | Nov 30 2012 – Review Quarterly and update as necessary | Sanna Thompson Chuck Roper PIR-II Management Team |
| Oct 31 2012 | Grant Award Implementation | Hire Research Assistant to support evaluation | Encompass – Evaluator hire part-time research assistant to support implementation of Eval plan | Dec 28 2012 | Sanna Thompson |
| Nov 5 2012 | Grant Award Implementation | Convene Regional Partnership Meeting | Regional partners will be updated on the status of the PIR-II implementation, evaluation plan, program functioning, and the sustainability plan | Oct 31 2012 – Occur quarterly thereafter | Chuck Roper |
| Nov 12 2012 | Grant Award Implementation | PIR-II Management Team meets to review grant implementation progress | PIR-II Management Team will assign new and monitor implementation of current tasks to include service numbers for grant | Monthly | Laura Peveto/CR PIR-II Primary Partners |
| Nov 2012 | Grant Award Implementation/Mgmt. | Attend Early Kick-Off meetings for funded Grantees | Project Director, Evaluator and other Key partners will attend Grantee's Meeting | Annually Nov 2012 August 2013 | Chuck Roper Laura Peveto RPG Partners |
| Dec 2012 | Grant Award Implementation | Integration of PIR-II Child Therapist with existing Children's Continuum (CC) Grant – Child Therapist | Meeting with CC management staff, ATCIC staff and PIR-II mgmt. team to establish protocols and procedures to serve the children of the participants | January 14 2013 | PIR-II Mgmt. Team CC Mgmt. Team ATCIC |
| Dec 2012 | Grant Award Implementation | Integration of PIR-II AAL with existing PIR program | Meeting with and PIR-II mgmt. team, OCR, PIR /FDTC to establish protocols and procedures to serve the children of the participants | January 14 2013 | PIR-II Mgmt. Team CC Mgmt. Team ATCIC |

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|------------------------|----------------------------|--|---|---|---|
| Oct 2012/ Dec 2012 | Grant Award Implementation | PIR-II Child Therapist is a member of the PIR-II service continuum for children | ATCIC hires the PIR-II child therapist | Dec 28 2012 | ATCIC PIR-II Mgmt. Team |
| Oct 2012/ Dec 2012 | Grant Award Implementation | PIR-II AAL is a member of the PIR-II service continuum for children | OCR hires the PIR-II child therapist | Dec 28 2012 | OCR PIR-II Mgmt. Team |
| Jan 2013 | Grant Award Implementation | Identification of existing PIR participants' children who are eligible for PIR-II grant services | List of children/youth and their potential mental health needs will be developed for services by PIR-II | Jan 14 2013 | CC Child Therapist DCC PIR Dct. Tm |
| Oct 2012/ Jan 2013 | Grant Award Implementation | IRB completed and submitted for approval | Approved IRB for the evaluation component of the grant | Jan 18 2013 | Sanna Thompson |
| Yr 1 Start Date | Project Goal | Objectives to be Accomplished | Activity Accomplished | Expected Completion Date | Person Responsible |
| Jan 2013 | Grant Award Implementation | Review and update the Policy and Procedure manuals for both PIR to reflect PIR-II services | Updated policy and procedure manuals for both PIR-II and FDTC | Feb 28 2013 | Chuck Roper DCC |
| Jan 2013 | Grant Award Implementation | Review and update the brochures and participant handouts and manuals to reflect the integration of PIR-II services | Updated brochures, handouts, and manuals for PIR-II/FDTC participants | Jan 14 2013 | Chuck Roper DCC |
| Jan 2013 | Grant Award Implementation | PIR-II services are in place and being utilized | AAL and Child Therapist is serving PIR-II/FDTC participants' children (all existing services associated with PIR occurred without disruption since 9/28/12 including SA Treatment, Recovery Supports, FDTC) | Jan 21 2013 | OCR ATCIC PIR-II Mgmt. Team PIR Dct. Tm |
| Jan 2013 | Grant Award Implementation | PIR-II will meet grant service numbers for child therapist, AAL, and program participants both treatment and control | PIR-II Management Team will monitor enrollment monthly and resolve systematic barriers | Ongoing during monthly meetings | PIR-II Mgmt Team |
| Jan 2013 | Grant Management | Evaluation Team will ensure compliance with Evaluation plan | Evaluation team will review, revise and update plan; address systematic barriers; finalize products for dissemination; prepare and execute federal data uploads; locate missing data on control group from Yr 1-5 of PIR grant; prepare local reports for RPG | Quarterly Meetings: Oct, Jan, April, July | PIR-II / FDTC Evaluation Team |

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|------------------------|----------------------------------|---|--|-------------------------------------|---|
| Feb 2013 | Grant Management | Engaged and Informed Regional Partners | Quarterly Regional Partners Meetings: Focus on Data review and implications to the program design; Systematic changes including the integration of children; Sustainability of PIR-II/FDTC | Quarterly: Nov, Feb, May, Aug | Chuck Roper DCC Regional Partners |
| April 2013 | Grant Management | Completion of Semi-Annual Report | Project Director will complete and submit the semi-annual report on or before required date | April 2013 | Chuck Roper |
| June 2013 | Grant Management | Data Upload completed including missing data for control group PIR Yr 1-5 | Evaluator will upload required data elements from PIR I & PIR-II including previously missing data from PIR I Yrs 1-5 | June 2013 | Sana Thompson Chuck Roper Research Assistant |
| Aug 2013 | Grant Award Implementation/Mgmt. | Attend required grantee meeting | Project Director, Evaluator and other Key partners will attend grantee's meeting | Annually Nov 2012 August 2013 | Chuck Roper Laura Peveto RPG Partners |
| Sept 2013 | Grant Management | PIR-II / FDTC Sustained operations post grant | Review and update the sustainability plan for PIR-II / FDTC | Sept 2013 | PIR-II Mgmt. Team |
| Yr 1 Start Date | Project Goal | Objectives to be Accomplished | Activity Accomplished | Expected Completion Date | Person Responsible |
| Sept 2013 | Grant Management | End of Grant Year Review | Quality Review: PIR-II Implementation; Evaluation; Sustainability – Propose and begin Implementation of any design changes based on quality review | Sept 27 2013 | Project Director PIR-II Mgmt. Team |
| Sept 2013 | Grant Management | Carry – Over Request prepared | Review year one budget expenditures and prepare carry-over requests for services / supports that were started in year six but were not completed | Oct 31 2013 | Project Director Laura Peveto Finance/Auditor |
| Sept 2013 | Grant Management | Evaluation Product Disseminated | Evaluator will complete evaluation product for dissemination: Case Study of discharged PIR participant from Yr 1-5 | Oct 2013 – Dec 2013 | Evaluator Research Assistant Chuck Roper |
| Oct 2013 | Grant Management | Updated and signed Charter | Charter will be reviewed, updated and signed by partners | Nov 2013 | |
| Oct 2013 | Grant Management | Semi-Annual Grant Report | Comply with grant requirement of submitting a semi-annual report regarding grant status | Oct 31 2013 | Project Director Laura Peveto |

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|------------------------|---------------------|--|---|--|--|
| Dec 2013 | Grant Management | Submission of Grant required financial documents | Semi-Annual submission of the SF 425 | Oct 31 2013 | Finance/Auditor |
| Yr 2 Start Date | Project Goal | Objectives to be Accomplished | Activity Accomplished | Expected Completion Date | Person Responsible |
| Oct 2013 | Grant Management | Management of the Program (PIR-II / FDTC) including compliance with grant requirements, budget management and program operations | Management meetings with Partners: PIR-II grant managements PIR-II / FDTC operations meetings PIR-II / FDTC case management meetings | Ongoing Weekly Monthly Monthly | Laura Peveto DCC / Chuck Roper DCC / Chuck Roper |
| Oct 2013 | Grant Management | Evaluation Team will ensure compliance with Evaluation plan | Evaluation team will review, revise and update plan; address systematic barriers; finalize products for dissemination; prepare and execute federal data uploads; locate missing data on control group from Yr 1-5 of PIR grant; prepare local reports for RPG | Quarterly Meetings: Oct, Jan, April, July | PIR II / FDTC Evaluation Team |
| Nov 2013 | Grant Management | Convene Regional Partnership Meeting | Regional partners will be updated on the status of the PIR-II implementation, evaluation plan, program functioning, data review and the sustainability plan | Nov 2013 – Occur quarterly thereafter: Nov, Feb, May, Aug | Chuck Roper |
| Yr 2 Start Date | Project Goal | Objectives to be Accomplished | Activity Accomplished | Expected Completion Date | Person Responsible |
| Jan 2014 | Grant Management | PIR-II / FDTC Partners will submit required budget submissions for 2014-15 and beyond | ATCIC, FC, TCHHS/VS, OCR will advocate and prepare budget requests within their agency to sustain grant funded positions and flex funding | April – May 2014 | RPG members |
| April 2014 | Grant Management | Completion of Semi-Annual Report | Project Director will complete and submit the semi-annual report on or before required date | April 2014 | Chuck Roper |
| May 2014 | Grant Management | Regional Partnership Meeting | Solidify plan to implement the sustainability plan for the grant post funding in Aug 2014 | Aug | Project Director |
| June 2014 | Grant Management | Data Upload completed including missing data for control group PIR Yr 1-5 | Evaluator will upload required data elements from PIR I & PIR-II including previously missing data from PIR I Yrs 1-5 | June 2014 | Sana Thompson Chuck Roper Research Assistant |
| Aug 2014 | Grant Management | Regional Partnership Meeting | Begin to implement the sustainability plan for the grant post funding | Aug 2014 | Project Director PIR Mgmt. |
| Aug 2014 | Grant Management | Annual Grantees Meeting | Site attends the close out grantee meeting | Aug 2014 | Project Director Evaluator / Partners |

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|---|------------------|--|--|---------------------|--|
| Aug 2014 | Grant Management | No-Cost Extension | Site completes and submits the No-Cost Extension if funding remains and services in year 7 have not been completed | Aug | Laura Peveto Chuck Roper Finance/Auditor |
| Sept 2014 | Grant Management | Evaluation Product Disseminated | Evaluator will complete evaluation product for dissemination: Cost Analysis of program | Oct 2014 – Dec 2014 | Evaluator Research Assistant Chuck Roper |
| Oct 2014 | Grant Management | Semi-Annual Grant Report | Comply with grant requirement of submitting the last semi-annual report regarding grant status | Oct 31 | Project Director Laura Peveto |
| Dec 2014 | Grant Management | Submission of Grant required financial documents | Semi-Annual / Close- Out submission of the SF 425 | Dec 1 | Finance/Auditor |
| Dec 2014 | Grant Management | Final Report | Site provides thorough report on the 5 year grant: lessons learned; data analysis; service recommendations; replication of model | Dec 31 | Project Director Evaluator Laura Peveto |
| Dec 2014 | Grant Management | Final Data Upload | Final Data for the grant uploaded to Federal partner | Dec 15 | Evaluator/RA Project Director |
| If extension is granted then continue service delivery and documentation per grant guidelines and follow same close-out procedures listed above for the No-Cost Extension period. | | | | | |

Referenced Person/Roles:

| Name/Role | Agency/Affiliation | Title/Role | Responsibilities |
|----------------------------|-------------------------------------|----------------------------------|--|
| Laura Peveto (LP) | TCHHS/VS | Prevention/Intervention Mgr | Grant Management/Project Administration |
| Chuck Roper (CR) | TCHHS/VS – Grant Match | Project Director for PIR I & II | Grant Management, Program Mgmt., System Collaboration |
| Finance | TCHHS/VS | Contract Specialist – Finance | Grant Sub-recipient Contracts, Budget |
| Auditor | Travis County Auditor's Office | Auditor for Grants | Audits Sub-recipient contracts; and HHS expenditures; grant compliance; budget |
| Regional Partners | Travis County | Grant partners & Community | System Change; Collaboration; Sustainability |
| Evaluator – Sanna Thompson | Encompass | Evaluator for PIR I & II | Evaluation component of PIR I & II; Evaluation Plan/Dissemination |
| Research Assistant (RA) | Encompass | RA for PIR-II | Data collection and management – P/T position |
| OCR | Office of Children's Representation | Primary Partner for Children Svs | Oversee legal services to children |
| ATCIC – Child Therapist | Austin Travis County Integral Care | Primary Partner for Children Svs | Provides therapeutic services including screening/assessments; therapy; connection to specialized services to the children |
| ATCIC – MSO | Austin Travis County | Primary Partner for | MSO for management of flexible funding. |

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|-------------------------|---|---|--|
| | Integral Care (ATCIC) | Flexible Funds utilization | Children Services; Substance Abuse Treatment; Recovery supports |
| PIR I & II Mgmt. Team | Multiple Agency Affiliations: ATCIC, OCR, FC, TCHHS/VS, Encompass | Primary group responsible for grant management tasks | Ensure compliance with grant requirements |
| Evaluation Team | Multiple Agency Affiliations: ATCIC, OCR, FC, TCHHS/VS, Encompass, FDTC, CPS | Primary group responsible for evaluation components of the grant | Ensure compliance with grant required evaluation; disseminate grant generated information to RPG partners to improve practice and support sustainability |
| PIR Team | Multiple Agency Affiliation: agencies who are providing supports and services to PIR court participants | Oversight of FDTC | Develops, manages and enhances FDTC protocols and procedures; supports systematic change; quality assurance |
| CC Child Therapist | Austin Travis County Integral Care (ATCIC) | Provided services to eligible children under the Children's Continuum Grant | Provide screenings, assessments, services and connect to specialized services for children whose parents are eligible services as FDTC participants |
| PIR-II Primary Partners | Multiple Agency Affiliations: ATCIC, OCR, FC, PIR team | Role: Provide services per grant design and Oversee implementation and management | Meet routinely; comply with grant requirements |

3.h. Contribute to Increased Knowledge & Dissemination of Findings

The PIR-II dissemination objectives are to 1) produce documents for dissemination that illustrate the project design, participants, and the relevant outcomes, 2) produce presentations that inform on promising practices, lessons learned, and project replication, 3) distribute a case study that highlights the status of both treatment and control participants post completion, 4) distribute a cost analysis of the project that demonstrates the cost:benefit ratio, 5) produce reports that are tailored to the local community and reflect the areas of importance to project partners, and 6) presentations that inform the local workforce on intervention practices, system navigation, and increases their understanding of this population. This site has successfully collected data on both the treatment and control group, maintains a web accessed database, has a real-time data portal, and is able to successfully upload data to grantor. During the extension period, PIR-II will focus on improving the efficacy of the evaluation by improving the data collection on the control group, expanding data elements, and including new evaluation components in the case study and cost analysis. Additionally there will be a strong focus on translating the data to local reports that support the overall sustainability efforts of the site. The extension period provides the opportunity for this site to improve the quality and breadth of the evaluation which will enable it to produce richer, more relevant documents for dissemination.

PIR-II will focus the dissemination to three primary entities: 1) the local community including government, judicial system, agencies of PIR partners, and the local workforce, 2) the state level including congressional representatives, and state agencies, and 3) at the Federal level including the grantor, Congress (through the reported submitted by the grantor), and other grantee communities. The site intends to produce reports, briefs, and presentations that can be disseminated through conferences, professional journals, presentations, and required final report.

3.i. Project Design - Sustainability Plan

PIR has worked throughout the grant period to ensure sustainability of the project. These steps were taken to promote the project’s sustainability: 1) PIR merged with the FDTC as the local community supported the idea of sustaining a specialized court, 2) PIR monitored the project design and readily made changes that improved processes and outcomes, 3) PIR developed a strong, responsive collaboration with essential community partners that focused on meeting individual agency needs , 4) significant training and workshops were held to promote knowledge, shared understanding, common language, and goals, and 5) data was provided to illustrate the population being served, the outcomes, and the benefits of the project. These efforts have led to the community valuing PIR and supporting the project’s continuation as a sustained program post-grant. PIR is now perceived as a necessary resource in addressing substance abuse among child welfare involved families. Sustained elements include:

| Agency Sustaining Element | Sustained Element |
|----------------------------------|--|
| DFPS (Child Protective Services) | Dedicated CPS Unit: 1 Supervisor, 3 Investigators, 2 Caseworkers |
| District Attorney Office | Dedicated Assistant District Attorney |
| District Court | Dedicated Associate Judge, Courtroom space and Staff |
| District Court | Funding for Attorneys to represent the Parents of PIR |
| Austin Recovery | Dedicated staff member to support PIR participants |
| TC HHS/VS | Project Director transitioning to Clinical Manager post-grant |
| TC HHS/VS | Flexible funding for Substance abuse treatment and recovery supports -- \$285,000 dedicated to PIR |

In addition to these dedicated resources, PIR has developed working agreements with several community providers such as Lone Star Circle of Care, Manos de Cristo, and MedSavers. These agreements facilitate both the prioritization and a cost reduction to the participants of PIR-II. The collaboration that supports PIR-II defines their role and responsibilities through a signed charter and the establishment of operations and advisory committees. PIR is prepared to serve families post grant services beginning in 2012; however, the sustained project would be reduced

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in scope but would continue to function according to the design as the essential elements have been sustained by the local community. In August 2012, PIR in preparation of the potential discontinuation of grant funding will begin enrolling a limited number of participants utilizing local funding. This is an option because as of August 1st, 2012 PIR will have met the enrollment obligations for both the control and treatment groups. However, it must be noted that the reduced project would be vulnerable for several reasons: 1) a reduction in the number of people served could make the cost of the program unsupportable by the community, 2) the project will not have the opportunity to address data gaps in the federal upload which could impact the quality of the overall evaluation, 3) the site would not have the benefits of a case study and cost analysis to educate and promote long-term sustainability, 4) the site would not have the ability to address the service gap for children, 5) the project would not be able to sustain the housing case manager position which is a critical component of the service design, and 6) the project would only be able to sustain 70% of the flexible funding for substance abuse and recovery supports. For these reasons, even though this site could function independently it is requesting the PIR-II extension. This will aide in the long-term sustainability of the project. PIR-II requests funding for two additional positions to address the significant service gap for children in PIR. The child therapist will be funded with ATCIC, the local non-profit mental health authority. ATCIC is able to raise funds and support positions post grant. Additionally, Travis County funds ATCIC and some of those funds could be redirected for this position post grant. Finally, this community is exploring an 1115 waiver and this position could be designated for funding with the draw down dollars. It is highly likely that if this position proves valuable and impactful to the children/youth and their families that the community will utilize one of the above methods to sustain the position. The second position is an attorney ad litem (AAL) to represent the children of the PIR participants in

their lawsuit with child protective services. This position is funded with the Office of Child Representation (OCR), a division of Travis County. OCR is able to seek funding through the Travis County budget on an annual basis. During the grant period, OCR will evaluate this position and if it is found to promote permanency, aide in system navigation and heightened collaboration then it is prepared to do a budget request. The PIR partners will provide support for this request through reports and testimony. PIR-II requests funding to support the continuation of the housing case manager and the continuum of services for the parent track within PIR. The housing case manager will be funded with Foundation Communities (FC), a long-term partner with PIR. The housing case manager is a critical component of the PIR service continuum and must be sustained post grant. FC remains a committed partner to PIR and intends to support funding a portion of a position for PIR post grant. During the extension period, FC will work with the management team to see if the role can be expanded by serving more families through FC housing units. Regardless of the outcome, FC will continue to support the housing case management component post grant. The community has been successful in sustaining 70% of the flexible funding needed to serve the participants of PIR per grant design. A majority of our grant funding, 60% is dedicated to 90 day residential treatment for women and their children, as well as extended stays for single women whose children cannot accompany them into treatment. The community is planning to use local funding, State funding and Medicaid to cover the cost of treatment. However, currently in Texas the health care landscape is very uncertain as it relates to the Affordable Health Care Act and the status of Medicaid and Medical Exchanges. Additionally, the State rate for reimbursement only covers about 40% of the actual cost and currently Medicaid reimbursement is tied to that rate. This has left the options for funding treatment more complex to navigate and less dependable. During the extension period, the site

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will monitor the State's funding options for treatment, will maximize local resource dollars and explore other options to address the shortfall. One innovative idea currently being discussed by this site and Austin Recovery is using the flexible funding to cover the cost of an on-site child care center (based on an individual rate) which would free up other AR resources for funding treatment, improve the quality of services to both the children and parents, and is an area that is more readily supported for funding raising and long-term sustainability. Funding the PIR-II extension supports the long-term sustainability of the project and allows the site to develop innovative solutions to the issues that could not be addressed in the five year award period.

4. EVALUATION

4.a Summary of current PIR results and extension plan

To determine if treatment and control groups were similar, various demographics were tested, including admission category (test positive for drugs at childbirth, maltreatment allegation of children <5 year of age or both), age, ethnicity, employment and education status, and source of primary income. None of these were significantly different between the two groups, suggesting that the control and treatment groups were largely equivalent at admission. Outcomes variables measuring differences between intake and discharge, however, showed significant differences between groups. For example, Treatment group women had higher proportions who were working part or full time at discharge (40% vs 23%) ($t=-3.2$, $p=.001$), successfully completed all components of the program (62% versus 45%) ($t=-3.1$, $p=.003$), and fewer had parental right terminated (7% vs 30%) ($\text{chi-square}=49.4$, $p=.001$). Treatment group children who were youngest in the family were less likely to be removed from parents than those in the control group (39% vs 51%) ($\text{chi-square}=2.9$, $p=.05$) and treatment group children received services identified as needed more frequently than control group children, including: developmental services (92% vs

65), mental health (85% vs 60%), educational services (75% vs 60%) and medical care (92% vs 65%). The evaluation of the extended project will build on these results while maintaining similar methods performed during the previous 5 years, with some modifications. The following outlines the evaluation methods and notes where changes in these methods have occurred due to lessons learned during the past 5 years. Process (formative) and outcome (summative) evaluation methodology are specified below. Of particular note, a Research Assistant will be added to the evaluation team with primary responsibility to focus on collecting data from the Control Group. Engaging and retaining control group participants is particularly difficult; therefore, the addition of a research assistant to locate and collect data on these individuals will improve the level of data collected on these individuals. In addition, the research assistant will improve collection of post-test data and conduct qualitative interviews with participants to determine their perceptions and experiences in PIR. Further analyses of treatment versus control group data with pre and post measures will provide a more robust evaluation of program effectiveness. We will also be adding a cost/benefit analysis to determine whether the cost of PIR is beneficial in economic terms.

4.b. Design and Sampling Strategy

The evaluation design for this extended project will continue to be a treatment and comparison group methodology with modified random assignment. Pretests are conducted at admission into the program and posttests at exit. The evaluation will continue to track and examine specific program goals and specific federal and local designated indicators as a means of determining effectiveness of the program. Formative and summative strategies will continue to be used to understand specific program processes while monitoring child and parent outcomes. The sampling frame continues to include parenting women who have been referred to CPS due to an outcry of child maltreatment and who are identified as substance dependent by a CPS caseworker

during the investigation phase. Those mothers whose children are under five years of age and are approved to remain with her at Austin Recovery's Women and Children's Program in the residential treatment facility OR who have family members who can provide kinship care for child(ren) (up to 17 years of age) while the mother is in residential treatment are recruited for participation in the treatment group. Substance dependent mothers whose children are not permitted to remain with her in residential treatment or who have no family members willing to care for the children while she is in treatment, are recruited for participation in the comparison group. This methodology encourages similarity between the treatment and comparison groups as mothers are identified as needing residential treatment due to substance dependency and open investigations with CPS. They differ on the child(ren)'s placement options. This method of recruiting mothers and child(ren) does not allow for true random assignment to treatment and comparison groups due to the ethical issues associated with randomly assigning families to PIR-II or no treatment control is prohibitive. However, having a comparison group provides evidence of accomplishment of objectives that can be attributed to PIR program components.

PIR-II will continue to serve 20-25 treatment families each grant year. This is based on the treatment costs per family and the need for the full 90 days of residential treatment at Austin Recovery. At least 30 families will be recruited into the comparison group each year. The treatment group will receive all components of PIR and the comparison group will receive services as are typically provided to this population of women and children. A greater number of families will continue to be recruited into the comparison group as we have found it more difficult to keep these families engaged in the evaluation or continue to locate them. CPS service encounters, such as the "Permanency Planning Team" meeting required by CPS at 90 days following the initial home visit, have been utilized to gather information from participants. CPS

caseworkers of control group families, however, have less involvement in PIR and are less invested in data delivery; thus, greater numbers of control families have been useful in maintaining similarity across groups.

4.c. Recruitment Procedures

When CPS receives a notification of possible child abuse/neglect, a CPS investigative case worker is assigned to the case. For this project, one unit of CPS case workers with specific training in substance abuse initiates the home visit and focuses discussions concerning issues associated with substance dependency. During the visit, the caseworker completes the UNCOPE as a means of identifying her level of substance abuse or dependency. The *Texas Concept Guided Risk Assessment* is also conducted to assess the family's functioning, vulnerability, safety, quality of care, maltreatment, home environment, and parental protective capacities. For those mothers who screen positive for substance dependency and as the final step in assessing inclusion criteria for PIR-II, CPS caseworkers determine placement of the child(ren). Mothers whose younger child(ren) can accompany her to Austin Recovery's Women and Children's program for residential treatment or who have family members (kin) who can care for her older children, will be recruited into PIR-II. Women who have children between 5-18 years of age or who cannot be placed in kinship care while she is in residential treatment are recruited into the comparison group and receive services as usual. Data collected for the program evaluation is detailed below, with a summary of various data elements for analysis is found on Table 5 and 6.

4.d. Informed Consent procedures

Following the CPS caseworkers' interview with the mother and appropriateness for recruitment into the program is identified, the mother is presented with the option of participating in the treatment or comparison group, depending on whether she meets criteria for inclusion in the

treatment group or not. The specifics of the program for which she is eligible to participate are described, informed consent is explained, including who is conducting the study, that participation is voluntary, that information will be kept confidential, and that she can discontinue participation at any time without it impacting receipt of usual community services. Parenting women are informed that CPS will maintain records on them and their child which the evaluator will also access for aggregate analyses. Approval of this project by the University of Texas at Austin Institutional Review Board (IRB) has been in place during the previous years of the project and will continue throughout the extension period. The evaluator developed the proposal to the IRB and monitors all issues associated with the informed consent process.

4.e. Data Collection and Management

In order to manage all the sources of data, one of the major tasks for the evaluation in the original project was the development and on-going management of a specialized database where all data was collected. During the past 5-year PIR Program, a web-based database was developed based on local and federally-required indicators. CPS caseworkers assigned to each family collect and enter the information into the web-based database. The ease of access by various users was enhanced as all caseworkers have access to the internet and can enter their data in a password protected and secure site. This method creates greater ease and reliability of data collected than is possible with paper/pencil methods or sole reliance on data sources from various agencies. This method of data collection also permits connectivity between data collected especially for PIR and data collected by the Texas State Department of Family Protective Service (DFPS) partners. The web-based database is housed in a highly secure location that meets all the criteria set forth by Health Insurance Portability and Accountability Act (HIPAA) and other regulations related to access of health-related data. In addition, a 'web-

portal' was developed that provides a 'real time' view of all data collected on federal indicators.

As data is continuously added and updated, the portal provides 'real time' views of the data through a series of standard reports that represent all data entered to date. This allows for continuous monitoring of the data and ongoing access to reports of outcome and process indicators. As has occurred throughout the PIR project, the database and web portal will be further refined during the PIR-II extension period to include required federal and local data.

4.f. PROCESS Measures

This section provides detailed description of the procedures and methods used to address evaluation of the *three specific objectives* implemented for PIR and the extended PIR-II project.

As these data are collected in the PIR database on a continuous basis, they will be included in bi-annual reports to grantors. Specific measures to evaluate these processes are listed in Table 5.

Objective 1: Provide cross-systems training for child welfare and substance abuse counselors to promote more effective collaboration and treatment planning and increase ability to service families with substance dependency and child welfare involvement.

(1) Training CPS case workers in issues of substance abuse and dependency. The project director has provided various trainings for case workers related to substance abuse issues. After trying various standardized measures to identify substance use issues among mothers involved in CPS, the UNCOPE (see www.evinceassessment.com) was determined most feasible for use by CPS caseworkers. It provides a simple and quick means of identifying risk for abuse and dependence for alcohol and other drugs that does not require extensive clinical expertise. CPS case workers have been trained in its use and will continue to use it during PIR-II.

(2) Train CPS caseworkers concerning substance use issues. CPS caseworkers complete an on-line, interactive NCSACW course that includes modules, worksheets, pop-up questions, case

studies, and information boxes to support learning of issues related to substance abuse. The course concludes with a “Knowledge Assessment” that tests how well the individual understands the material. CPS caseworkers complete this assessment, after which they print out the ‘certification of completion’ and submit to Program Director and the evaluator.

(3) Train substance abuse counselors concerning child welfare issues. Substance abuse treatment staff complete an on-line, interactive NCSACW course that includes modules, worksheets, pop-up questions, case studies, and information boxes to support learning of issues related to child protective services. The “Knowledge Assessment” assesses understanding of the material and ‘certification of completion’ is sent to the evaluator by the Program Director.

(4) Family group conferencing will occur once before admission into residential substance abuse treatment, again before discharge from treatment, and other times as needed. The facilitator enters data concerning these conferences in the web-based database on specific indicators, such as the number of mothers with children who had family members willing to provide kinship care or the number of children who remained in parental care.

(5) Increase capacity to serve greater numbers of substance dependent mothers with children. The capacity for serving mothers with children is monitored by Austin Recovery concerning numbers admitted to their women’s residential treatment program; numbers of individuals served by CPS for the project, those reunified, those re-referred is also monitored.

(6) Expedite access to treatment. The length of time to access treatment is measured by monitoring the number of days from the first identification by the CPS caseworker of mothers in need of substance dependency treatment to the date of admission into treatment.

Objective 2: Preclude or decrease the number of out-of-home placements for children of mothers with substance dependency.

(1) Foster/kinship Care involvement. Children removed to foster care or kinship care due to parent's substance dependency, length of stay in out-of-home placement will be monitored over the course of the family's involvement in the project using DFPS data.

(2) Providing comprehensive wraparound support following residential treatment. The goal is to monitor and provide services to children by connecting to supportive services, such as educational/developmental services, medical/pediatric care, and child-focused mental health services. The various types of services used by the child are managed, monitored, and data collected by the PIR Program Director.

(3) Inclusion of Child Therapist to address children's needs and mental health. The project is being expanded to include a Child Therapist for treatment group children to more fully address and monitor their needs. This is response to changes in the focus of ACF concerning the suggestion of more predominate foci on child outcomes. The number of sessions, focus of sessions and response of the child will be collected to address this gap during PIR-II.

Objective 3: Increase the safety and wellbeing of children of substance dependent mothers by reducing risks factors and increasing protective factors for child maltreatment.

(1) Drug treatment court integrated with Parenting in Recovery. One presiding associate judge currently assigned to the dependency court provides a dedicated court docket for mothers in PIR treatment group. CPS caseworkers associated with each family attend and collect specific data that can be merged with PIR program data. The Family Treatment Drug Court has now been fully integrated with PIR; therefore, the data collected on this process is more inclusive.

(2) Providing comprehensive wraparound support following residential treatment. The goal is to monitor and provide services to women once they are discharged from residential care. Connection to supportive services will be monitored concerning services of stable housing,

employment/educational needs, child care, medical and mental health services, and transportation vouchers. For this extension project, dental care will also be provided and monitored. The various types of services used by the client are managed, monitored, and data collected by the PIR Program Director. Each of the supportive services will be monitored for whether each service type was assessed as being needed and whether it was received if needed. The number served, types of assistance, and level of assistance are reported by the Program Director to the evaluator.

(3) *Extend individual's retention in treatment.* As retention (length of stay in services) has been found to be the most significant predictor of improved client outcomes, retention is monitored by tracking the days between the individual's admission and discharge from residential treatment, intensive out-patient, and aftercare services.

(4) *Participant's perceptions of PIR-II effectiveness.* In addition to noting the number of families who are served by PIR and the number of services received, qualitative interviews will be conducted to query parent's perceptions of their experience with PIR, its effectiveness, and services that lead to their successful and unsuccessful outcomes.

TABLE 5. Process Measures, indicators and data sources

| OBJECTIVE 1 COMMUNITY PARTNER FOCUS | Provide cross-systems training for child welfare and substance abuse counselors to promote more effective collaboration and treatment planning and increase ability to service families with substance dependency and child welfare involvement. | |
|---|---|----------------------------------|
| PROCESS Measures | Indicators/data elements | Data source |
| Training protocols for UNCOPE and <i>Texas Guided Risk Assessment</i> | CPS investigators and case workers identify training completed through observational monitoring | Program Director/CPS caseworkers |
| CPS worker substance abuse knowledge | Number of staff completing on-line course for child welfare workers - Knowledge Assessment | CPS caseworkers |
| Substance abuse staff knowledge of CPS | Number of staff completing on-line course for substance abuse counselors - Knowledge Assessment | Austin Recovery |

| | | |
|--|---|---|
| Family conference | <ul style="list-style-type: none"> ▪ How many family members attended ▪ Relationship of family member with identified client ▪ Level of each family member's willingness to provide assistance and type of assistance including kinship care ▪ Child(ren)'s placement (with mother in treatment, kinship care, or foster care) | CPS caseworker initiating family conference |
| Increase county's service capacity | <ul style="list-style-type: none"> ▪ Number of Child Protective Service petitions filed ▪ Number of unduplicated adults served ▪ Number of new cases of children entering case during project period ▪ Number of adults successfully completing PIR ▪ Number of families reunified or remaining intact at PIR program discharge ▪ Number of families who have no re-referrals to Child Protective Services during their engagement in PIR ▪ Number of substance abuse residential treatment 'beds' expanded for substance-women with children under 5 years of age | DFPS data Management information system |
| Expedite access to treatment | <ul style="list-style-type: none"> ▪ Number of days from first identification of need for substance abuse treatment and admission | CPS caseworker |
| OBJECTIVE 2 CHILD FOCUS | Preclude or decrease the number of out-of-home placements for children of mothers with substance dependency | |
| PROCESS Measures | Indicators/data elements | Data source |
| Child/adolescent placement | <ul style="list-style-type: none"> ▪ Where placed (i.e. with mother in residential care, in kinship care, foster care) ▪ Number of out-of-home placements ▪ Length of time in each placement (in-home or out-of-home) | CPS caseworker |
| Comprehensive wraparound support | Each of these areas will be monitored and evaluated for whether the service was received, what was the level of intervention, number of clients eligible for service, number of clients receiving service, amount of monetary assistance to client, number of days using service, total number of services received: <ul style="list-style-type: none"> ○ educational needs ○ developmental services ○ on-going CPS involvement ○ medical/pediatric services | Program Director |
| Child Mental Health | <ul style="list-style-type: none"> ▪ Number of sessions completed, focus of sessions ▪ Number of assessment/screenings completed | Child Therapist |
| OBJECTIVE 3 PARENT/FAMILY FOCUS | Increase the safety and wellbeing of children of substance dependent mothers by reducing risks factors and increasing protective factors for child maltreatment. | |
| PROCESS Measures | Indicators/data elements | Data source |
| Drug Treatment Court Integration | Number of participant clients reviewed by judge in Drug Treatment Court <ul style="list-style-type: none"> ○ Number of encounters ○ Reason(s) for encounter ○ Number of rewards/sanctions | Program Director |
| Comprehensive wraparound supports | Each of these areas will be monitored and evaluated for whether the service was received, what was the level of intervention, number of clients eligible for service, number of clients receiving service, amount of monetary assistance to client, number of days using service: <ul style="list-style-type: none"> ○ employment/educational needs ○ child care ○ stable housing ○ transportation services ○ on-going CPS involvement | Program Director |

| | | |
|--|---|--------------------|
| | <ul style="list-style-type: none"> ○ medical care ○ mental health services ○ dental | |
| Increase substance abuse treatment retention | <ul style="list-style-type: none"> ▪ Number of days from admission to discharge from residential treatment. ▪ Number of days remain engaged with child welfare worker following discharge from residential treatment | CPS caseworker |
| Program participant processes | <ul style="list-style-type: none"> ▪ Number of families served in PIR ▪ Number of days each family required assistance ▪ Amount of funding each family required ▪ Number of other services to which family was referred | Program Director |
| Perceptions of PIR | Qualitative interviews of parent’s perception of effectiveness of the program, experiences while in PIR, successful outcomes, etc. | Research assistant |

4.g. OUTCOME Measures

This section describes the short and long-term outcomes associated with the broad objectives (see Table 6). Short-term outcomes of maltreatment, risk, and protective factors are measured: (1) during the investigative home visit with the mother following CPS referral of the case and (2) at the time the mother is discharged from PIR or when she meets with the “Permanency Planning Team” (typically 90 days following initial CPS encounter). These outcomes are reported bi-annually, but collected continuously in the web-based PIR database. Standardized outcome measures completed by the newly assigned child therapist will be collected at intake and discharge from that service. Long-term outcomes of safety, permanency, and well-being are measured for up to 2 years after the initial CPS home visit with data collected by caseworkers for the DFPS and PIR databases. Data collection is closely monitored for accuracy; with additional focus by the Research Assistant on the control group data collection for improved ability to conduct comparative analyses.

Objective 2: Preclude or decrease the number of out-of-home placements for children of mothers with substance dependency.

Child/Adolescent Short-term Outcomes: (1) *Child/adolescent placement.* Data collected by the DFPS data management system collects a broad array of indicators of child placement, length of stay in care, number of placements, etc. These data are merged with PIR database for analysis.

(2) Child/adolescent risk and protective factors. The *Texas Guided Risk Assessment* identifies a variety of risk and protective factors and is routinely collected by CPS caseworkers during home visits. This assessment is conducted at intake and discharge by CPS caseworkers. Various concepts associated with risk behaviors and responses have been developed especially for this population by the Texas Department of Family and Protective Services to meet the needs of this client population. This tool is currently being used by CPS caseworkers in Texas. This assessment provides outcome information used to evaluate children's changes in functioning, vulnerability, safety, quality of care, and maltreatment over the course of the project period.

(3) Child/adolescent maltreatment. Maltreatment of children is identified by CPS caseworkers on the investigative unit. Maltreatment is monitored during the mother and child's involvement in the PIR or as long as the CPS case remains active. Recurrence of maltreatment is continuously monitored by CPS caseworkers and entered into the DFPS database.

(4) Child/adolescent service needs. Assessments for various service needs are monitored by CPS caseworkers and reported as to whether the service was needed and/or received, including educational, mental health, developmental and pediatric medical services.

(5) Child/adolescent behavioral/mental health needs/strengths- Standardized measures are being added during this extended grant period to address the recognition to more fully assess child/youth needs and strengths. For example, children under five will be assessed by a professional child therapist using the Ages and Stages Questionnaire-SE; older children will be similarly assessed using the Child and Adolescent Needs and Strengths-MH (Table 6 describes these measures). These will be completed at intake and discharge for the treatment group only.

Objective 3: Increase the safety and wellbeing of children of substance dependent mothers by reducing risks factors and increasing protective factors for child maltreatment.

Mother/Family Short-term Outcomes: *(1) Substance dependency / abstinence.* As the focus of the *Parenting in Recovery* program is to assist women with children to more successfully overcome substance dependency, the level of substance use will be monitored over time. The UNCOPE will be used to assess the level of abuse or dependency on substances. CPS caseworkers utilize the UNCOPE to screen for alcohol and substance abuse or dependency during the investigation stage and at discharge. Frequency of various substances used before and after substance abuse treatment is also monitored.

(2) Mental Health. Mental health issues are often comorbid with substance dependency and increase the risk of poor parenting practices and insufficient care of children. Therefore, PIR assesses mother's mental health concerns through psychiatric evaluations completed by licensed psychiatrists and psychologists. CPS caseworkers identify the possible need for this assessment during the investigation and refer them to services.

(3) Mother/Family Service Needs. Assessments for various service needs are monitored by CPS caseworkers and reported as to whether the service was needed and/or received, including case management, child care, education, parenting, legal, health, financial, housing, mental health.

(4) Family Relationships and Functioning. Standardized measures are being added during this extended grant period to assess parent needs and strengths, including the Adult/adolescent Parenting Inventory-2 (AAPI-2) that assesses parenting expectations and attitudes. This will be conducted with treatment group members only as this measure is completed with the parent's coach conducting parenting services (see Table 6 for description).

Child/Family Long-term Outcomes: Each participant child's long-term outcomes are monitored by CPS during the time the case is open and again if the case is re-opened due to

another maltreatment outcry. These indicators are collected by CPS caseworkers and entered in the DFPS data information management system and merged with PIR data bi-annually.

(1) **Safety:** a) Number of re-referrals to CPS, b) Number of children required medical attend due to physical abuse, c) Number of children whose caregiver unwilling to meet child’s needs.

(2) **Permanency of living situation:** a) Remained in mother’s care, b) Length of time in home since discharge from PIR, c) Number of placements outside the home since PIR discharge.

(3) **Well-being:** decreased risk behaviors, vulnerability, maltreatment as assessed by caseworkers.

(4) **Recidivism:** Referrals back into CPS care monitored throughout PIR-II period to determine the numbers of parents admitted to PIR-II, discharged, referred back to CPS.

Table 6. Outcome Measures, indicators and data sources

| OBJECTIVE 2 CHILD FOCUS Short-term OUTCOMES | Preclude or decrease the number of out-of-home placements for children of mothers with substance dependency Indicators/data elements | Data source |
|--|---|---|
| Child/Adolescent Foster or Kinship care | <ul style="list-style-type: none"> ▪ Number of children in Child Protective Services conservatorship per month ▪ Length of stay from date of entry into care until date of reunification or another placement ▪ Number of children in kinship care per month ▪ Number of children remaining with mother in treatment per month ▪ Number of children who have a reduction in out-of-home placements during project period ▪ Number of events of children moving from one placement to another during project period ▪ Number of families who have no re-referrals to Child Protective Services during their engagement in the Parenting in Recovery program. ▪ Whether the family is an in-home case or if the child has been removed from the home ▪ Whether some children have been removed while others remain at home ▪ Whether it is a voluntary case or is court involved ▪ The court has requirements and deadlines for specific hearings and achieving necessary outcomes - met or not ▪ Permanency/reunification goal met for child | DFPS data management information system |
| Child/adolescent risk and protective factors | Texas Guided Risk Assessment <ul style="list-style-type: none"> ▪ Child vulnerability: fragility and behaviors ▪ Quality of care: emotional and physical care ▪ Maltreatment patterns: severity, chronicity, trends | CPS caseworker |
| Child/adolescent maltreatment | Substantiated/indicated maltreatment | CPS caseworker |
| Services assessed as | Number (%) of indirect and direct services delivered to child: | CPS |

| | | |
|---|---|--------------------|
| need and provided if needed | Case management, child care, education, parenting, legal, healthcare, financial, housing, mental health, etc. | caseworker |
| Child/Adolescent's behavioral/mental health Needs/Strengths | <p>Child and Adolescent Needs and Strengths (CANS-MH) http://www.nctsn.org/content/child-and-adolescent-needs-strengths-information-integration-tool-children-and-adolescents-m Standardized measure (41 items) that is a comprehensive assessment of psychological and social factors for use in treatment planning and assesses symptomology, risky behaviors, developmental functioning, interpersonal relationships and family functioning.</p> <p>Ages and Stages Questionnaire – Social/emotional (ASQ-SE) http://agesandstages.com/asq-products/asqse/ Standardized measure for children between 4-60 months that focuses on self-regulation, compliance, communication, adaptive behaviors, autonomy, affects and interactions with people</p> | Child Therapist |
| OBJECTIVE 3 PARENT/FAMILY FOCUS | Increase the safety and wellbeing of children of substance dependent mothers by reducing risks factors and increasing protective factors for child maltreatment. | |
| Short-term OUTCOMES | Indicators/data elements | Data source |
| Mothers' Substance dependency / abstinence/frequency of use | <p>UNCOPE Screening tool http://www.evinceassessment.com/UNCOPE_for_web.pdf Basic Demographics and Screening tool with 6 items (yes/no). Two or more positive responses indicate possible abuse or dependence; Responses of 4 or more strongly indicates dependence.</p> <p>Substance abuse indicators</p> <ul style="list-style-type: none"> ▪ Number of mothers who remained abstinent from all substances following discharge and throughout project period ▪ Of those mothers identified by child welfare workers as substance dependent, how many were connected to Austin Recovery women's residential treatment services? ▪ Primary substance of choice, age first used, days used in past 30 days, use in past 6 months, and route of administration ▪ Secondary substance of choice, age first used, days used in past 30 days, use in past 6 months, and route of administration ▪ Prior detox. admissions ▪ Prior substance abuse treatment? In-patient/out-patient? ▪ In past 30 days, how many days has the client attended substance dependency group meetings? ▪ What percentage was involved in criminal behaviors such as manufacturing or selling drugs in the past? Currently? ▪ Does the current living arrangement expose mother and child to alcohol/drugs in home? | CPS caseworker |
| Mother's Mental health | Psychological evaluation of mental health concerns by psychiatrist | CPS caseworker |
| Services assessed as need and provided if needed | Number (%) of indirect and direct services delivered to parent: Case management, child care, education, parenting, legal, healthcare, financial, housing, mental health, substance abuse services, etc. | CPS caseworker |
| Family Relationships/ parenting | <p>Adult/adolescent parenting Inventory-2 (AAPI-2) https://www.assessingparenting.com/assessment/aapi Standardized measure (40 items) that assesses parenting attitudes and child rearing in areas of: inappropriate parental expectations, inability to demonstrate empathy towards children's needs, strong belief in the use of corporal punishment, reversing parent-child family roles, and oppressing children's independence.</p> | Parenting Coach |
| Long-term | Indicators/data elements | Data source |

| OUTCOMES | | |
|--------------------------------|---|---|
| Safety | <ul style="list-style-type: none"> ▪ Number of re-referrals to CPS ▪ Number of children required medical attend due to physical abuse ▪ Number of children whose caregiver unwilling to meet child's needs | DFPS data management information system |
| Permanency of living situation | <ul style="list-style-type: none"> ▪ Remained in mother's care or not ▪ Length of time in home since discharge from PIR ▪ Number of placements outside the home since discharge from PIR | DFPS data MIS |
| Well-being | Texas Guided Risk Assessment <ul style="list-style-type: none"> ○ Caregiver capability ○ Quality of care ○ Home and social environment ○ Response to CPS intervention ○ Protective capacities | DFPS data MIS |
| Recidivism | Re-referrals to CPS after discharge from PIR, with substantiation of abuse data collected monitored. | DFPS data MIS |

4.h. Analytic procedures

The evaluator conducts analyses of all data using SPSS statistical software package, version 19. As there are process measures associated with implementing the program and outcome measures focused on changes in participant behaviors and characteristics, specific analyses are required to assess each objective. For example, Objective 1 focuses on the cross-systems training of CPS case workers and substance abuse counselors and expanding service capacity and collaboration; thus, data analyses are simple frequencies and percentages on various indicators. The previous RPG-developed Collaborative Capacity Inventory will be continued to monitor ongoing increases in collaborative partners. Objectives 2 and 3 focus on outcomes associated with child(ren) and mothers. Descriptive analyses predominately focus on frequencies and percentages of various indicators; however, all data will also be compared across treatment and comparison groups by conducting *T*-tests or chi square analyses. Between groups and within group changes will be monitored across various measures for these two objectives (see Table 6). As more data is collected and the sample size increases, more refined analyses are possible, such as regression models that identify characteristics of women and children that significantly predict specific outcomes, such as safety, permanency, and well-being.

4.i. Procedures for managing and monitoring the evaluation

1) Procedures for training staff to collect evaluation-related information: Data is collected from a variety of sources, including Austin Recovery women's residential program, DFPS data management information system, and caseworker's individual interactions with participants. The comparison group requires additional efforts and the evaluator works in conjunction with the Program Director to ensure data is collected consistently and accurately, regardless of the source.

2) Procedures for conducting quality control checks of the information collection process: Data is collected continuously in the web-based database and DFPS data are merged with these data every six month for bi-annual reporting. This continuous process provides the evaluator with a mechanism to ensure that missing data is minimal, program information is accurate, and reporting is available whenever needed for programmatic monitoring/modification.

3) Timelines for collecting, analyzing, and reporting information, including procedures for providing evaluation-related feedback to program managers and staff: As data will be gathered continuously in the database, options for frequency of data analysis are less complex. For example, analyses of outcomes of children and mothers is organized and reported bi-annually as required for by the funder. However, analysis can be conducted at any point in time.

5. ORGANIZATIONAL CAPACITY

5.a. Applicant Experience- The proposed *PIR-II* program, with oversight by Travis County Health and Human Services and Veterans Service (TCHHS/VS), will continue to enhance and expand on the efforts of the existing Travis County, community-wide and cross-disciplinary collaboration to address the impact of parental substance abuse on the social-emotional, behavioral and mental health of children. *PIR-II* will continue to demonstrate the community benefits of the original *PIR* program, which includes improving parenting skills, reducing substance abuse, and supporting enhanced collaboration among child welfare and other relevant

child-serving agencies. Primary community partners for the PIR-II program include the following existing partnerships that were developed and/or enhanced as part of the PIR program: Child Protective Services (CPS), Austin Recovery, Travis County Civil Courts (Family Drug Treatment Court, FDTC), Austin Travis County Integral Care (ATCIC), Foundation Communities (FC), and Encompass Medical Management, Inc. and Dr. Sanna Thompson, as the evaluator. The Travis County's Office of Child Representation (OCR) will be added for the purposes of PIR-II to enhance children's socio-emotional, mental health, behavioral well-being and improve permanency outcomes for children. This assembly of community partners and child-serving agencies is not a novel approach within Travis County; several of the agencies have collaborated on numerous grant-funded projects for years and each agency has significant experience developing, implementing, managing and evaluating projects similar in nature and scope to PIR. A description of each partner's experience and organizational capability follows.

TCHHS/VS Experience: TCHHS/VS, the lead applicant, has experience with both discretionary and entitlement grant funding, and is well-poised to assume responsibility for this extension project. TCHHS/VS has overseen grants ranging from \$10,000 to \$2.9 million for more than 20 years and currently oversees 15 grants. Nearly all of the funding received (95%) is from federal sources, while the remainder is local funding^x. The Office of Children Services (OCS) is the office within TCHHS/VS where PIR-II will operate. The office has 33 employees, 3 of which are grant funded or part of grant matching funds. In addition to managing the operations of the PIR grant, OCS has collaborated with the FDTC by applying for and managing a state grant from the Texas Office of the Governor. The OCS office of TCHHS/VS also oversees a grant from DOJ to augment services to and improve the well-being of PIR children, called The Children's Continuum. The CC has been in full operation since January of 2012 and already several

children have improved measures of well-being as a result. Finally, OCS oversees and administers the CPS Reintegration Project, a foundation grant for youth currently living in institutionalized care within the child welfare system. The project seeks to place these youth with parental or relative caregivers who can provide them with safety, permanency, and well-being and provides these caregivers with the tools and education necessary to do so.

Partners' Experience – Ability to fulfill assigned roles: Family Based Safety Services (FBSS) is the unit within CPS that serves the families of the PIR program. This unit specifically works with families for whom an investigation has been completed and there was a finding of abuse/neglect and/or significant risk factors that warranted further involvement by CPS through community-based services and FDTC intervention. The Texas Department of Family and Protective Services (DFPS) is the regulatory agency that oversees CPS and the agency is divided into geographical service regions. Region 7 contains 30 counties, of which Travis County (the proposed service area) is the largest. Ms. Stephanie Weiss, the Region 7 Program Director, has more than 8 years of experience with DFPS in various positions ranging from investigator for the FDTC, to FBSS Supervisor, to her current position. She also has community based experience having worked as a Child Advocate with children exposed to sexual and domestic violence. She continues to broaden her understanding of the effects of substance abuse on children through her ongoing attendance at related trainings and professional development. Under Ms. Weiss, a primary CPS staff in the PIR collaboration, the regional office has been able to successfully initiate and sustain the collaboration between child welfare, substance abuse prevention/treatment and other community based supportive systems serving PIR families. FBSS staff monitor and support children's involvement in therapies, ensure parental compliance with court orders and treatment, and participate actively in all community committee and case management staffing meetings.

Austin Recovery is another critical resource for PIR families because it serves as the primary substance abuse treatment provider for the parents of children affected by substance abuse in Travis County, including pregnant women and women with very young children, who are able to take their children with them to the residential facility. Since 1967, this community-based, nonprofit has provided affordable, effective, compassionate drug and alcohol treatment for individuals and families. The organization serves some 3,400 clients and their families each year and has an annual budget of approximately \$12 million^{xi}. CRADLES stands for Collaboration to Reduce Abandonment and Deliver Local Education and Support; this program, housed and facilitated by Austin Recovery, serves women in Travis County who are either pregnant or have a child under the age of six, are affected by substance abuse and have a high risk of abandoning or being separated from their young child(ren). CRADLES staff identifies and addresses the needs of eligible families with infants and young children by providing services that include family needs assessment, in-home support, parenting training, child development education, and parenting skills assessment. In this manner, they very effectively serve PIR children during the women's treatment at Austin Recovery. The Travis County Civil Courts and FDTC are integrated with PIR and will continue as such for PIR-II. The Honorable Darlene Byrne, JD, as the district and supervising Judge for the FDTC, has been a district Judge since 2001. She has served as the Vice-Chair for the Texas Permanent Judicial Commission for Children, Youth and Families of the Supreme Court of Texas since 2008 and as the Permanency Planning Department Advisory Committee Member for the National Council for Juvenile and Family Court Judges (NCJFCJ) since 2009. Since 2008, with the leadership of Judge Byrne, Travis County has run a Model Court program under the Child Victims Act Model Courts Project of the NCJFCJ^{xii}. The Model Court focuses on improving the governmental response to

children and families in the child welfare system to ensure safe, timely, and permanent homes for children. Program activities for the Model Court include but are not limited to efforts to improve on the timeliness of permanency for children, efforts to reduce the number of placements for children, efforts to prevent un-necessary removals, efforts to decrease disproportionality of African American children in the child welfare system, and efforts to provide quality legal representation for children^{xiii}. Judge Byrne is the direct supervisor for The Honorable Texanna Davis, JD, the presiding Judge for the FDTC. Judge Davis has a law degree from _____. She worked as Assistant District Attorney prosecuting juvenile offenses for ___ years and has served as an Associate Judge for the Travis County Civil Courts for ___ years under the supervision of the Honorable Darlene Byrne. During that time she has served as a truancy court Judge, on the Family Law docket, and the Juvenile Drug Court Judge in addition to her role with the FDTC and CPS docket^{xiv}. Austin Travis County Integral Care is a publicly funded, non-profit organization that provides community-based behavioral health and developmental disabilities services in Travis County, administering an annual budget of \$57 million of local, state and federal funding at 44 physical facilities.^{xv} Oversight of ATCIC operations is the responsibility of the nine member Board of Trustees appointed by the three sponsoring agencies: The City of Austin (four trustees); Travis County (four trustees); and the Austin Independent School District (one trustee). ATCIC publishes strategic plans every other year and annual budget and progress reports.^{xvi} Currently, ATCIC has a contractual relationship with TCHHS/VS to serve as a Managed Service Organization (MSO). Under this contractual agreement, providers are authorized to assess and treat project-eligible participants in the ATCIC provider network. In addition, ATCIC is responsible for provider credentialing, accessibility to services, utilization management, quality management, management information systems, financial management,

administration/contract management, and network development and management. ATCIC, as the MSO, also serves as third party administrator providing payments to subcontractors. This function is performed under closely monitored County controls and guidelines. ATCIC has agreed to a reduced MSO fee in support of PIR and PIR-II grants. Louise Lynch, LMSW-AP, Network Director, is currently responsible for the overall planning, implementation, and management of the external services provider network for the MSO. She has been with ATCIC since 1987, is a lecturer and field faculty for The University of Texas at Austin, and is the past president of the Texas Association on Intellectual and Developmental Disabilities. The Travis County Office of Child Representation (OCR) provides legal services to youth and children involved in civil CPS cases filed in Travis County and began as an initiative of the Model Court in 2009. OCR staff consists of a multidisciplinary team including attorneys, a social worker, a paralegal and two legal secretaries. OCR acts as the Attorney ad Litem (AAL) for children. The AAL collaborates closely with other child advocates such as CPS and the Guardian Ad Litem (for Travis County, Court Appointed Special Advocates or CASA) for the child to ensure that the child's needs for well-being, safety, and timely permanency are effectively presented to the Court and the child's voice is heard during each Court hearing. Foundation Communities is a nationally-recognized nonprofit organization that provides affordable housing and the tools low- and moderate-income families need to increase their educational and economic standing. Foundation Communities has been providing transitional housing, through the Children's HOME Initiative (CHI), for homeless and at-risk families since 2003. Foundation Communities has been recognized locally and nationally with awards such as the Premier Community Builder from the Workers Defense Project in 2012, as Business of the Year from the South Austin Civic Club in

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2011, the Going Green Award from the Austin Business Journal, 2008, and the National Practitioner of the Year Award from National NeighborWorks Association in 2006.^{xvii}

Evaluator Experience- Sanna J. Thompson, Ph.D. and Encompass Medical Management Inc. (EMM) will conduct PIR-II program evaluation. Dr. Thompson is an Associate Professor at The University of Texas at Austin, School of Social Work with almost 14 years of experience in academia and experience as an evaluator and principal investigator on federal grants and other funding sources. She has received federal awards from the National Institutes of Health to develop, conduct and evaluate interventions aimed at improving engagement, retention, and outcomes of youth and families in treatment. Through EMM, Dr. Thompson has supervised data management and technical expertise, such as the development of online reporting systems and databases for use by multiple partners, data management from multiple sources, and reporting to funders, including bi-annual data uploads for PIR. Her research has focused primarily on high-risk children/youth and their families, with special emphasis on the socio-emotional, behavioral, and mental health of children and reducing substance abuse. Dr. Thompson's publications and grant experience reflects her expertise and focus on issues of the well-being of children and their families, especially those involved with CPS. Dr. Thompson has been the evaluator for the PIR program since its inception, has complied with all grantor requirements, and will continue to work on PIR-II. She has and will continue to serve as the liaison to the University of Texas' Institutional Review Board regarding human subject consents. Dr. Thompson has published 79 peer-reviewed articles and has submitted an article entitled *Parenting in Recovery: Program Purpose and Outcomes* to Child Welfare Journal.^{xviii} This article is under review and additional articles and presentations on the PIR program are currently in development.

The Center for Elimination of Disproportionality and Disparities (CEDD), within the Texas Health and Human Services' Commission, is the state's designated office helping address disproportionality and disparities in Texas health and human services. CEDD will provide assessment, training, and technical assistance to staff and the community regarding diversity and cultural competency. The Child Trauma Academy, based in Houston, will be providing trauma-specific training to staff, PIR-II partners, and the community-at-large.

5.b. Project director and key staff – The proposed PIR-II program's essential and "core" staff will consist of a cross-disciplinary professional team comprised of the following 6 positions: a Project Director, a Child Therapist, an Attorney Ad Litem, a housing Case Manager, an Evaluator and a Research Assistant. Further explanation of each of the staff's responsibilities is explained in the Approach section. As part of the PIR-II program, Travis County plans to sustain as match, the PIR/ PIR-II **Project Director**. Dr. Chuck Roper, the current PIR Director will remain in this position as the PIR-II Director. Dr. Roper has 27 years of experience in substance abuse treatment, education, and prevention. He is a Licensed Chemical Dependency Counselor (LCDC), has founded and subsequently managed a substance abuse treatment center for 9 years, and has written a novel about addiction and recovery entitled, *High Bottom Drunk*^{xix}. Since 2008, Dr. Roper has successfully managed the PIR program, developed and nurtured relationships with more than eleven businesses, providers, and non-profit organizations who were not originally involved in the grant design, and complied with all grantor and grant design expectations. The Prevention and Intervention Manager of OCS, Ms. Laura Peveto, will continue to serve as **Project Administrator** by supervising the Project Director, assisting with programmatic oversight and serving as a liaison to other County departments. To date, Ms. Peveto has played a pivotal role not only within TCHHS/VS and the County, but the community at large. She has

served as a leader in identifying key needs of children and families, brokering resources, fostering relationships with key staff in different community, state, and federal agencies that have led to strategic partnerships which have made possible many cross-stream collaborative efforts, many of which are mentioned under applicant experience. Trained as a social worker and holding a B.A. in Social Work, Ms. Peveto possesses a multi-faceted background with 23 years of service in various positions within both community-based, state-level and clinical settings. Her experience, knowledge, and role within OCS will continue through overseeing and navigating the County and other community systems for the benefit of PIR-II children and families. ATCIC will expand their contracted services and contribution under the PIR-II program for children affected by substance abuse and their parents by supervising the *Child Therapist* (a new grant funded position, job description attached). The *Supervisor for the Child Therapist* has not yet been identified; however, he/she will be another ATCIC licensed and clinically qualified therapist (having worked in the field a minimum of 5 years with 2 years of experience working with children with serious emotional disturbances, including children who have experienced trauma). The Child Therapist's Supervisor will be directly supervised by Arturo Hernandez, the *Division of Child and Family Services Director*, who will continue as the representative from ATCIC in the PIR collaboration. He has over 36 years of experience working with children and families in Travis County in addressing their special needs, including 23 years of experience in managing multiple youth and family centered programs and initiatives. OCR will hire a full-time *Attorney Ad Litem (AAL)* who will possess a law degree, will have been an attorney licensed for at least three years with a valid Texas license, and will be familiar with family law and CPS cases (see attached job description). S/he will also demonstrate an interest in working with the target population, and will be sensitive to the needs and issues of clients. Leslie Hill, JD, the

managing attorney at OCR since the office opened in 2009, will supervise the proposed PIR-II grant-funded AAL. She has 18 years of experience as an attorney working in family law with primarily women and children and is certified as a Child Welfare Law Specialist with the National Association of Counsel for Children. Nicole Powell is the current housing **Foundation Communities Case Manager**, who works with PIR children affected by substance abuse and their parents. She has a Master of Science in Social Work degree from the University of Texas at Austin and over 5 years of experience in working with homeless and impoverished children and their mothers. Ms. Powell will continue in her current role through PIR-II and will continue to be supervised by Mario Cortez, Foundation Communities' Director of Supportive Housing. Mr. Cortez has 20 years of experience working in issue areas of homelessness, poverty, and affordable housing. He holds a Master of Science in Social Work degree from the University of Texas at Austin and has directly supervised the case manager position since the PIR program began. Dr. Thompson, the *Evaluator*, has extensive experience in participating and providing evaluation for federally funded projects, as previously described. Under PIR-II, Dr. Thompson will hire and supervise a part-time **Research Assistant (RA)**. The RA position will be filled by an individual who has familiarity developing databases, monitoring data collection and analysis.

5.c. Management plan for achieving PIR-II objectives & ensuring effective implementation

The project timeline (see Approach section) provides a more detailed workplan with key milestones, agencies' roles and responsibilities and key dates noted. The timeline clearly delineates each partner's role in the PIR-II program, to establish quality assurance in meeting the objectives. Project startup activities will commence in September 2012 upon notification of award and continue through the end of December 2012. The TCHHS/VS Project Administrator and Director will ensure that partnering agencies are working within timeframes established and

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meeting key responsibilities. Startup activities will include the hiring of key PIR-II personnel who are not already a part of PIR: the Child Therapist, Attorney ad Litem, and Research Assistant and the training of these personnel and their supervisors on grant requirements and attendance at grant-required and/or grant-sponsored conferences and trainings. Actual client participation will continue for families in a smooth transition from PIR to PIR-II and families will transition from PIR to PIR-II enrollment beginning the day of notification of the PIR-II grant award. Families will continue receiving substance abuse treatment, housing assessments, case management supports, support of the FDTC, children's specialized services (under TCC), and wraparound supports (provided via grant and matching funds) with no breaks in service. The Project Director, Evaluator and community partners will continue data collection and consent forms will be completed by program-eligible families prior to commencing participation without any enrollment interruptions or breaks in service. Expanded services such as assessment and therapy for the children by the Child Therapist, representation by the Attorney ad Litem, and support services for data collection and analysis by the Research Assistant are estimated to begin in late 2012, once programmatic, financial and administrative supports have been setup within TCHHS/VS, Travis County infrastructure and partner agencies. At the same time new and expanded data measures will be added and monitored. Collaborative meetings will continue to take place regularly with the addition of the newly hired key personnel so that appropriate communication and pertinent grant information is disseminated in a timely fashion. Additionally, budget expenditures (including match documentation and reports) will be monitored in order to be aptly prepared to closeout each grant year and develop the following year's continuation application.

5.d. Mutually beneficial relationship between PIR-II and other federally supported

initiatives- In Travis County there are several currently awarded grants and grants being sought by other community entities that this grant application, if awarded, will collaborate with directly or indirectly. As mentioned previously, the Child's Continuum, a DOJ grant, funds services and supports for PIR children whose parents meet eligibility requirements. PIR-II will collaborate with this program, as PIR has, for training on children's issues and the utilization of an array of children's services to promote well-being. The CRADLES program, as aforementioned, will continue to provide services to PIR-II children when their mothers are in inpatient treatment at Austin Recovery. PIR-II staff will continue as PIR staff did, to receive training and technical assistance from the CRADLES program as it relates to developmental needs of children, services to improve their well-being, and the delivery of services to parents through The Nurturing Parenting Program^{xx}. Austin Child Guidance Center (ACGC), a counseling center in the Travis County Community, has applied for the National Child Traumatic Stress Initiative – Category III Community Treatment and Service Centers through SAMHSA. As part of that grant, ACGC will provide training to the community on trauma informed care and be a provider of trauma informed care for children and youth. PIR-II staff, if awarded, will seek to receive the trauma informed care training and some of the children/youth of PIR-II will be referred for services by ACGC. The grant provided by the Office of the Governor, described previously, which provides services and supports to the FDTC will continue to be closely connected to PIR-II operations, management, philosophy, values, and service provision. All trainings offered, management team meetings, team building events, and cross-system collaborations involve both PIR-II and the FDTC. PIR-II will continue as a partner with the Court to gain legal and family law training, drug testing services for clients, and the political and community influence of the bench as a

resource for children affected by substance abuse and their parents. Additionally, PIR-II will collaborate with the 2012-2017 Regional Partnership Grant Program, entitled the Children's Success Initiative, if this is awarded to Travis County. Both programs will attend and host trainings, provide clinical and organization expertise to one another, and utilize similar navigation systems for obtaining necessary resources for children affected by substance abuse creating a continuum of services (less to more intensive) for children within the child welfare FBSS system.

5.e. Applicant demonstrates that efforts for collaborative service delivery have already been undertaken- PIR-II, if funded, will enhance the existing work that will inevitably continue with child welfare, children's service providers, civil Courts, and substance abuse treatment systems in Travis County during the next two years. For the last five years, the Travis County community has collaborated to provide the children affected by substance abuse and their parents with holistic supports, services, and opportunities. Many of these services and supports have been institutionalized as evidenced by the FDTC Charter (attached), existing grants, and braided funding sources. As previously mentioned in this narrative, PIR, (with a plan to become PIR-II), is the underlying foundation for much of the community work regarding children affected by substance abuse and their families. TCC is the most recent collaborative effort focusing on the children's functioning and well-being, and establishing a continuum of screening, developmental, therapeutic and non-traditional services for the children and PIR-II will only expand and improve on this effort. The active participation of partner agencies in PIR, TCC, and similar grants, attendance at regional partnership meetings, and the collaborative spirit and energy that has surrounded PIR's program development and expansion demonstrates that the

community is well-positioned to fully utilize and maximize resources brought together for the natural continuation of PIR, the PIR-II initiative.

ⁱ Zinn, A.E. & Slowriver, J. (2008). *Expediting Permanency: Legal Representation for Foster Children in Palm Beach County*. Chicago: Chapin Hall Center for Children at the University of Chicago. Retrieved from <http://www.improvechildadvocacy.org/Portals/0/PDF/Expediting%20Permanency%20-%20Legal%20Representation%20for%20Foster%20Children%20in%20Palm%20Beach%20County.pdf>

ⁱⁱ Taylor, M.Z. (April, 2003). *Taking Volunteer Guardian Representation to the Next Level (Workshop 156)*. Presentation at the 14th Annual Conference on Child Abuse and Neglect. Retrieved from <http://www.childwelfare.gov/calendar/cbconference/fourteenth/presentations/211.cfm>.

ⁱⁱⁱ 1 Texas Family Code, Section 107.012. (2012). Mandatory Appointment Of Attorney Ad Litem For Child. Retrieved from <http://law.onecle.com/texas/family/107.012.00.html>.

^{iv} Nurturing Parenting Program

^v AAPI-2

^{vi} Trauma Focused Cognitive Behavioral Therapy

^{vii} Child and Adolescent Needs and Strengths

^{viii} Ages and Stages Questionnaire

^{ix} Child-Parent Psychotherapy

^x Travis County Health and Human Services, 2012.

^{xi} Austin Recovery, 2012.

^{xii} National Council for Juvenile and Family Court Judges. (2011). *Activities by State: Texas*. Retrieved from <http://www.ncjfcj.org/sites/default/files/TEXAS%20STATE%20OUTREACH.pdf>

^{xiii} Travis County Civil Courts, 2012.

^{xiv} The Honorable Texanna Davis, 2012.

^{xv} Austin Travis County Integral Care. (2012). *Fiscal Year 2012 Budget*. Retrieved from <http://www.integralcare.org/ama/orig/2012BudgetBook.pdf>.

⁶ Austin Travis County Integral Care. (2012). *Strategic Plan FY 2011-13*. Retrieved from http://www.integralcare.org/ama/orig/publications/2011/atcic_fy2011_sp.pdf.

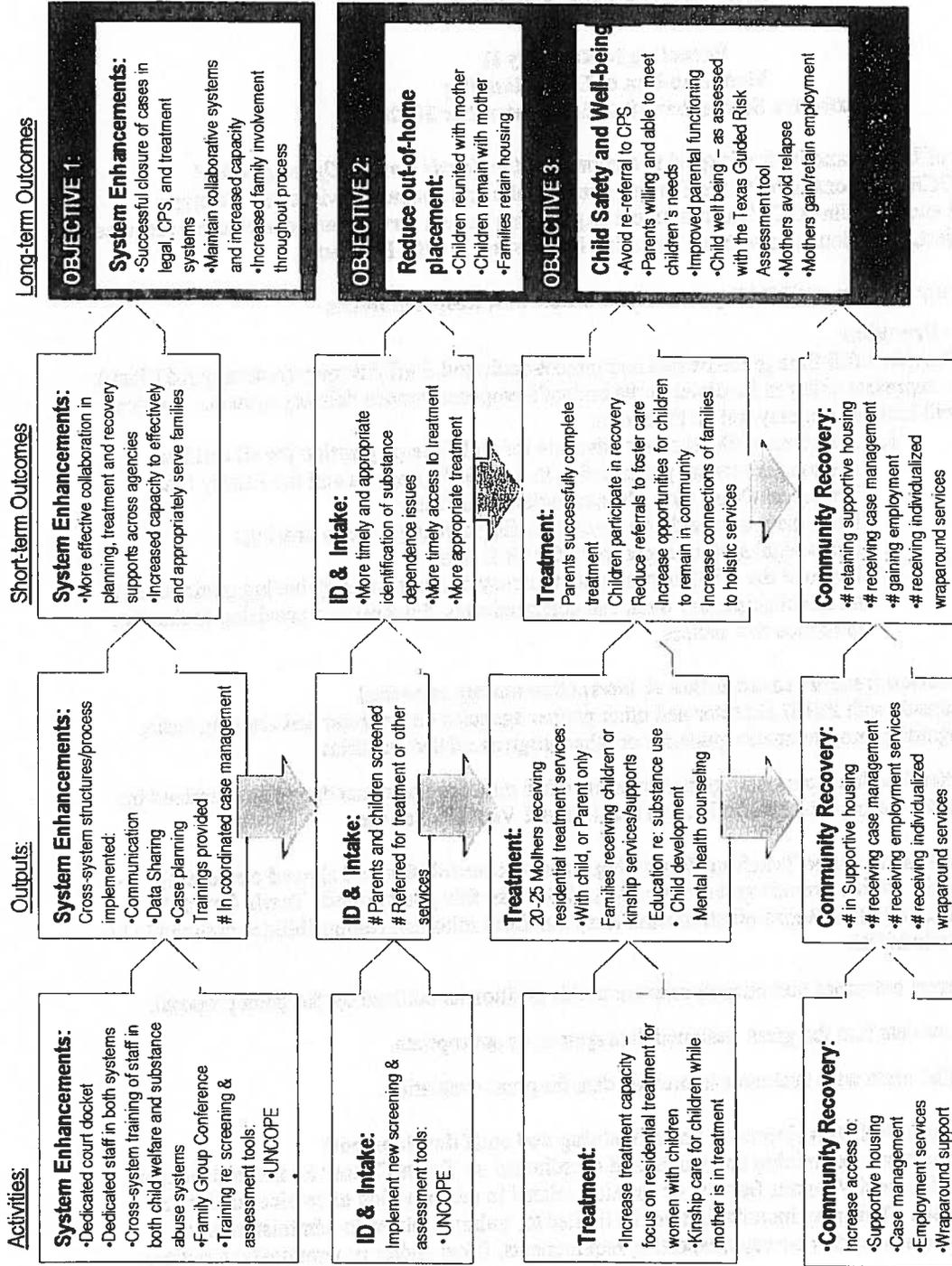
⁸ Foundation Communities (2012). *Awards*. Retrieved from <http://www.foundcom.org/about-us/awards/>.

⁹ Thompson, S. & Roper, C. N. (2012). *Parenting in Recovery: Program, Purpose and Outcomes*. Manuscript submitted for publication.

¹⁰ Roper, C. N. (1999). *High Bottom Drunk. A Novel... and the Truth about Addiction & Recovery*. Buda, Texas: Small Change Publishing Company.

^{xx} Nurturing Parenting Program.

LOGIC MODEL: Parenting in Recovery II- Extension





**TRAVIS COUNTY HEALTH and HUMAN SERVICES
and VETERANS SERVICE**

**Parenting in Recovery II
Memorandum of Understanding
Effective September 28, 2012 - September 30, 2013**

This Memorandum of Understanding is designed to demonstrate the *Travis County Office of Child Representation's (OCR)* relationship with the Travis County Health and Human Services and Veterans Service Department and to outline OCR's commitment to providing certain services and contributing resources to the proposed project, in conjunction with the Parenting in Recovery II (PIR II) Grant.

I. *Travis County - Office of Child Representation's* Role and Responsibilities

a. Service Provision

i. Provide 1 full-time grant-funded and project-dedicated Staff Attorney (Attorney Ad Litem) to represent children involved in the project's proposed service delivery system. Services will include, but may not be limited to:

1. Represent child at court; advocate for child's legal position for all children (whose parents are participating in the PIR II program and the Family Drug Treatment Court through court ordered services)
2. Participate in weekly drug court staffing meeting prior to hearings
3. Share legal system expertise with PIR II team
4. Improve the effectiveness and efficiency of court cases by having participated in an interdisciplinary team that communicates about service provision to families to reduce risk factors

b. Collaboration (routine consultation & interaction among agencies)

i. Consult with PIR II Director and other partner agencies on a regular and ongoing basis, regarding programmatic guidance or other program-related inquiries

ii. Attend regional partnership meetings and other project-related meetings as determined by Travis County Health and Human Services and Veterans Service

c. Program Performance Tracking/Reporting (joint accountability and shared outcomes)

i. As the partner providing the Attorney Ad Litem for this grant project, Travis County's Office of Child Representation shall carry out those roles and responsibilities outlined in I.a of this MOU.

ii. Report outcomes and outputs relevant to this position as outlined by the grant proposal.

iii. Enter data into the grant designed data system, as appropriate.

iv. Collaborate with evaluator to provide data for grant evaluation.

d. Training and Staff Development (cross training and staff development)

i. Agree to attend training sponsored and coordinated by Travis County Health and Human Services and Veterans Service or Grantor, related to the provision of services under the project. This may include, but not be limited to, training related to administration of assessment and/or surveys, reporting requirements, fiscal and/or programmatic functions.

- ii. Provide training to PIR II staff and their partners on the legal process and the role of the attorney (Attorney Ad Litem), with Child Protective Services.
- e. **Communication and Information Sharing**
 - i. Ensure appropriate communication with PIR II Director and Partners.
 - ii. Track and share project-related client information (as appropriate and within privacy and confidentiality guidance) with partners and appropriate staff for evaluative and other grant related purposes.
- f. **Financial Responsibilities/Agreements**
 - i. **Grant Funding**
 - 1. OCR will provide the services outlined above in Section I.a., contingent upon funding from the PIR II Grant, as negotiated through future agreement with Travis County Health and Human Services and Veterans Service Department.
 - ii. **Agency Resource Commitments**
 - 1. OCR will provide annual match funds towards the project budget, as negotiated through future agreement with Travis County Health and Human Services and Veterans Service Department and as approved and allocated in OCR's budget by the Travis County Commissioners Court.
 - 2. OCR will appropriately document and submit resource contributions of staff time and other eligible grant match expenditures in accordance with grant guidelines.
 - 3. OCR will participate in annual programmatic audits conducted by Travis County.

II. Amendments to this Memorandum of Understanding

This MOU may be changed or revised with the written consent of both parties.

III. Authorization

OCR acknowledges by their authorized representative's signature that they have read, understood, and agreed to the terms of this document.

TRAVIS COUNTY - OFFICE OF CHILD REPRESENTATION

BY: _____



Leslie Hill

Title: Managing Attorney

Date: 7-18-12



**TRAVIS COUNTY HEALTH and HUMAN SERVICES
and VETERANS SERVICE**

**Parenting in Recovery II
Memorandum of Understanding
Effective September 28, 2012 - September 30, 2013**

This Memorandum of Understanding is designed to demonstrate Austin Recovery's relationship with the Travis County Health and Human Services and Veterans Services Department and to outline Austin Recovery's commitment to providing certain services and contributing resources to the proposed project, in conjunction with the Parenting in Recovery II (PIR II) Grant.

I. Austin Recovery's Role and Responsibilities

a. Service Provision

- i. Provide quality substance abuse treatment to women referred by the PIR II director per the terms of the sub-recipient contract through Austin Travis County Integral Care
- ii. Provide CRADLES (Collaboration to Reduce Abandonment and Deliver Local Education and Support) services and supports to all children residing with their mothers in inpatient substance abuse treatment at Austin Recovery. These services may include but not be limited to:
 1. Assessing family needs
 2. Developing appropriate service delivery plans in conjunction with the Department of Family and Protective Services' service plan
 3. Providing parent skill building education (e.g. on site parenting coaching and child development education)
 4. Referring to other appropriate community agencies, as applicable to facilitate appropriate transition back to community
 5. Coordinating efforts with other child service providers such as child therapists, individually contracted parenting trainers, and child advocates
- iii. Appropriately assess recovery needs and develop recovery supports to continue post-discharge from treatment
- iv. Provide daycare and other therapeutic services to children while their mothers are receiving treatment

b. Collaboration (routine consultation & interaction among agencies)

- i. Consult with PIR II Director and other partner agencies on a regular and ongoing basis, regarding programmatic guidance or other program-related inquiries
- ii. Attend regional partnership meetings and other project-related meetings as determined by Travis County Health and Human Services and Veterans Service

c. Program Performance Tracking/Reporting (joint accountability and shared outcomes)

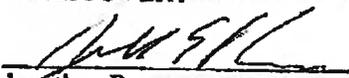
- i. As one of the key partner agencies responsible for this grant project, Austin Recovery shall carry out those roles and responsibilities outlined in I.A of this MOU.

- d. **Training and Staff Development (cross training and staff development)**
- i. Agree to attend training sponsored and coordinated by Travis County Health and Humans Services and Veterans Service or Grantor, related to the provision of services under the project. This may include, but not be limited to, training related to administration of assessment and/or surveys, reporting requirements, fiscal and/or programmatic functions.
- e. **Communication and Information Sharing**
- i. Ensure appropriate communication with PIR II Director and Partners.
 - ii. Track and share project-related client information (as appropriate and within privacy and confidentiality guidance) with partners and appropriate staff for evaluative and other grant related purposes.
- f. **Financial Responsibilities/Agreements**
- i. **Grant Funding**
 1. Austin Recovery will provide the services outlined above in Section I.a., contingent upon funding from Parenting in Recovery II Grant, as negotiated through future agreement with Travis County Health and Human Services and Veterans Service Department.
 - ii. **Agency Resource Commitments**
 1. Austin Recovery will provide annual match funds towards the project budget
 2. Austin Recovery will appropriately document resource contributions of staff time and other eligible grant match expenditures in accordance with grant guidelines.

II. **Amendments to this Memorandum of Understanding**
This MOU may be changed or revised with the written consent of both parties.

III. **Authorization**
Austin Recovery acknowledges by their authorized representative's signature that they have read, understood, and agreed to the terms of this document.

AUSTIN RECOVERY

BY: 

Jonathan Ross

Title: Chief Executive Officer

Date: July 17, 2012



**TRAVIS COUNTY HEALTH and HUMAN SERVICES
and VETERANS SERVICE**

**Parenting in Recovery II
Memorandum of Understanding
Effective September 28, 2012 - September 30, 2013**

This Memorandum of Understanding is designed to demonstrate *Foundation Communities'* relationship with the Travis County Health and Human Services and Veterans Service Department and to outline *Foundation Communities'* commitment to providing certain services and contributing resources to the proposed project, in conjunction with the Parenting in Recovery II Grant.

I. *Foundation Communities'* Role and Responsibilities

a. Service Provision

- i. Provide one part-time (25%-50%) grant-funded and project-dedicated Case Manager to:
 1. Assess family housing needs for all PIR II participants and children
 2. Develop a coordinated plan in conjunction with the Child Protective Services and other PIR II team members to meet the housing needs of these families
 3. Connect families to independent and sober housing resources within the community
 4. Provide intensive case management services to families that meet eligibility criteria for the *Foundation Communities Children's Home Initiative* housing program (the families that will be living in *Foundation Communities* housing). Case management services may include but are not limited to:
 - a. Assisting parents in improving life skills to achieve their potential, particularly in the areas of employment, financial planning, and education with the goal of achieving permanent and safe housing for the family
 - b. Brokering resources throughout the community and having parents set realistic goals to improve child safety, functioning, and well-being
- ii. Serve as a member of the PIR II/ Family Drug Treatment Court team and attend meetings regularly
- iii. Comply with all service provisions in compliance with the terms of the sub-recipient contract through Austin Travis County Integral Care

b. Collaboration (routine consultation & interaction among agencies)

- i. Consult with PIR II Director and other partner agencies on a regular and ongoing basis, regarding programmatic guidance or other program-related inquiries
- ii. Attend regional partnership meetings and other project-related meetings as determined by Travis County Health and Human Services and Veterans Service

c. Program Performance Tracking/Reporting (joint accountability and shared outcomes)

- i. As one of the key partner agencies responsible for this grant project, *Foundation Communities* shall carry out those roles and responsibilities outlined in I.a of this MOU.
- ii. Report on housing assessments to PIR II Director and other partners
- iii. Report on outcomes and outputs of families served as outlined in the grant proposal

- iv. Enter data into the grant designed data system, as appropriate
- v. Provide data as required by the Grant Evaluation, as it pertains to clients served by Foundation Communities under this grant.

d. Training and Staff Development (cross training and staff development)

- i. Agree to attend training sponsored and coordinated by Travis County Health and Humans Services and Veterans Service or Grantor, related to the provision of services under the project. This may include, but not be limited to, training related to administration of assessment and/or surveys, reporting requirements, fiscal and/or programmatic functions
- ii. Provide training to the community & PIR II staff and partners on housing interventions for children and families

e. Communication and Information Sharing

- i. Ensure appropriate communication with PIR II Director and Partners.
- ii. Track and share project-related client information (as appropriate and within privacy and confidentiality guidance) with partners and appropriate staff for evaluative and other grant related purposes

f. Financial Responsibilities/Agreements

i. Grant Funding

- 1. Foundation Communities will provide the services outlined above in Section I.a, contingent upon funding from the Parenting in Recovery II Grant, as negotiated through future agreement with Travis County Health and Human Services and Veterans Service Department

ii. Agency Resource Commitments

- 1. Foundation Communities will provide annual match funds towards the project budget, as negotiated through future agreement with Travis County Health and Human Services and Veterans Service Department
- 2. Foundation Communities will appropriately document resource contributions of staff time and other eligible grant match expenditures in accordance with grant guidelines
- 3. Foundation Communities will participate in annual programmatic audits conducted by Travis County

II. Amendments to this Memorandum of Understanding

This MOU may be changed or revised with the written consent of both parties.

III. Authorization

Foundation Communities acknowledges by their authorized representative's signature that they have read, understood, and agreed to the terms of this document.

FOUNDATION COMMUNITIES

BY: _____

Julian Huerta

Title: Deputy Executive Director

Date: 7-17-12



**TRAVIS COUNTY HEALTH and HUMAN SERVICES
and VETERANS SERVICE**

**Parenting in Recovery II
Memorandum of Understanding
Effective September 28, 2012 - September 30, 2013**

This Memorandum of Understanding is designed to demonstrate the *Austin Travis County Integral Care's (ATCIC)* relationship with the Travis County Health and Human Services and Veterans Service Department and to outline ATCIC's commitment to providing certain services and contributing resources to the proposed project, in conjunction with the Parenting in Recovery II Grant.

I. *Austin Travis County Integral Care's* Role and Responsibilities

a. Service Provision

- i. Provide one full-time grant-funded and project-dedicated Children's Therapist to:
 1. Assess referred children
 2. Develop a coordinated service delivery plan in conjunction with the Child Protective Services Division of the Texas Department of Family and Protective Services
 3. Provide specialized services which include, but may not be limited to:
 - a. Individual Therapy
 - b. Group Services
 - c. Child-Parent Psychotherapy or other Family Therapy
 - d. Other appropriate ATCIC services
- ii. Provide parental and caregiver education, as applicable
- iii. Serve as a member of the PIR II/ Family Drug Treatment Court team and attend meetings regularly
- iv. Provide appropriate referrals to other community agencies
- v. Expend flexible funding on eligible children per the grant design

b. Collaboration (routine consultation & interaction among agencies)

- i. Consult with PIR II Director and other partner agencies on a regular and ongoing basis, regarding programmatic guidance or other program-related inquiries
- ii. Attend regional partnership meetings and other project-related meetings as determined by Travis County Health and Human Services and Veterans Service

c. Program Performance Tracking/Reporting (joint accountability and shared outcomes)

- i. As one of the key partner agencies responsible for this grant project, Austin Travis County Integral Care shall carry out those roles and responsibilities outlined in I.a of this MOU.
- ii. Report on assessments pre- and post- on children
- iii. Report on outcomes and outputs of children served as outlined in the grant proposal
- iv. Enter data into the grant designed data system, as appropriate
- v. Provide data as required by the Grant Evaluation, as it pertains to clients served by ATCIC under this grant.

- d. **Training and Staff Development (cross training and staff development)**
 - i. Agree to attend training sponsored and coordinated by Travis County Health and Humans Services and Veterans Service or Grantor, related to the provision of services under the project. This may include, but not be limited to, training related to administration of assessment and/or surveys, reporting requirements, fiscal and/or programmatic functions
 - ii. Provide training to the community & PIR II staff and partners on trauma and therapeutic interventions for children and families
- e. **Communication and Information Sharing**
 - i. Ensure appropriate communication with PIR II Director and Partners.
 - ii. Track and share project-related client information (as appropriate and within privacy and confidentiality guidance) with partners and appropriate staff for evaluative and other grant related purposes
- f. **Financial Responsibilities/Agreements**
 - i. **Grant Funding**
 - 1. Austin Travis County Integral Care will provide the services outlined above in Section I.a, contingent upon funding from the Parenting in Recovery II Grant, as negotiated through future agreement with Travis County Health and Human Services and Veterans Service Department
 - ii. **Agency Resource Commitments**
 - 1. Austin Travis County Integral Care will provide annual match funds towards the project budget, as negotiated through future agreement with Travis County Health and Human Services and Veterans Service Department
 - 2. Austin Travis County Integral Care will appropriately document resource contributions of staff time and other eligible grant match expenditures in accordance with grant guidelines
 - 3. Austin Travis County Integral Care will participate in annual programmatic audits conducted by Travis County

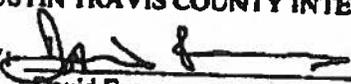
II. Amendments to this Memorandum of Understanding

This MOU may be changed or revised with the written consent of both parties.

III. Authorization

Austin Travis County Integral Care acknowledges by their authorized representative's signature that they have read, understood, and agreed to the terms of this document.

AUSTIN TRAVIS COUNTY INTEGRAL CARE

BY: 
David Evans

Title: Chief Executive Officer

Date: 7-17-12



**TRAVIS COUNTY HEALTH and HUMAN SERVICES
and VETERANS SERVICE**

**Parenting In Recovery II
Memorandum of Understanding
Effective September 28, 2012 - September 30, 2013**

This Memorandum of Understanding is designed to demonstrate *Encompass*' relationship with the Travis County Health and Human Services and Veterans Services Department and to outline *Encompass*'s commitment to providing certain services and contributing resources to the proposed project, in conjunction with the Parenting in Recovery II.

I. *Encompass*' Role and Responsibilities

- a. **Service Provision**
 - i. Provide evaluation services in accordance with the project's workplan and determine the project's impact based on its activities as well as address the project's effectiveness
 - ii. Serve as a Principal Evaluator overseeing the evaluation component of the RPG Grant
 - iii. Hire and oversee a research assistant, for part-time employment, that will assist in maintaining and updating client database, running reports, communicating with collaboration's partners, and supporting the evaluation process
 - iv. Oversee a web based data system that will provide for data collection and reports related to PIR II Grant
 - v. Securing informed consent and implement an Institutional Review Board (IRB) review
- b. **Collaboration (routine consultation & interaction among agencies)**
 - i. Consult with PIR II Director and other partner agencies on a regular and ongoing basis, regarding programmatic guidance or other program-related inquiries
 - ii. Attend regional partnership meetings and other project-related meetings as determined by Travis County Health and Human Services and Veterans Service
- c. **Program Performance Tracking/Reporting (joint accountability and shared outcomes)**
 - i. As the designated evaluator for this grant project, *Encompass* shall carry out those roles and responsibilities outlined in I.A of this MOU.
- d. **Training and Staff Development(cross training and staff development)**
 - i. Agree to attend training sponsored and coordinated by Travis County Health and Humans Services and Veterans Service or Grantor, related to the provision of services under the project. This may include, but not be limited to, training related to administration of assessment and/or surveys, reporting requirements, fiscal and/or programmatic functions.
 1. Within 3 months after award issuance, must attend a kick-off meeting in Washington DC.
 2. Must attend annual grantee meeting held typically in Spring in Washington DC.
- e. **Communication and Information Sharing**
 - i. Ensure appropriate communication with PIR II Director and Partners.

- ii. Track and share project-related client information (as appropriate and within privacy and confidentiality guidance) with partners and appropriate staff for evaluative and other grant related purposes.

f. Financial Responsibilities/Agreements

i. Grant Funding

- 1. Encompass will provide the services outlined above in Section I.a., contingent upon funding from the Parenting in Recovery II, as negotiated through future agreement with Travis County Health and Human Services and Veterans Services Department.

ii. Agency Resource Commitments

- 1. Encompass will provide annual match funds towards the project budget.
- 2. Encompass will appropriately document resource contributions of staff time and other eligible grant match expenditures in accordance with grant guidelines.

II. Amendments to this Memorandum of Understanding

This MOU may be changed or revised with the written consent of both parties.

III. Authorization

Encompass acknowledges by their signature that they have read, understood, and agreed to the terms of the document.

ENCOMPASS MEDICAL MANAGEMENT, INC.

BY:


Sama Thompson, PhD

Title: Encompass Medical Management, Inc.

Date: 7/13/12

School of Social Work
University of Texas at Austin
One University Station
Campus Box D3500
Austin, TX 78712

(512) 232-0604 (Office)
(512) 731-1679 (Mobile)
(512) 232-0638 (Fax)
email: SannaThompson@mail.utexas.edu
website: <http://www.utexas.edu/ssw/faculty/thompson/>

Education

- PhD** *Ph.D. in Social Work*
1998 Washington University, George Warren Brown School of Social Work
Dissertation: Behavioral and health outcomes of youths with Diabetes in one and two-parent families: Individual, family, and community contexts
- MSW** *Masters of Social Work*
1993 Washington University, George Warren Brown School of Social Work
Concentration: Mental Health
- BS** *Bachelors of Science*
1992 Weber State University
Dual Major: Social Work & Psychology
Honors: *summa cum laude*
National Dean's List, 1988-1992
College of Social Science Scholar of the Year, 1992
Social Work & Psychology Outstanding Graduate of the Year, 1992
Mary Uke's Scholarship in Social Work, 1991-1992

Academic/Teaching Positions

- Sept 2005- Present **Associate Professor**
School of Social Work
University of Texas at Austin
- June 2003- Aug 2005 **Research Associate Professor**
School of Social Work
University of Texas at Austin
- Sept 2001- May 2003 **Assistant Professor**
School of Social Work,
University of Texas at Arlington
- Sept 1998- June 2001 **Assistant Professor**
School of Social Work
State University of New York at Buffalo

Clinical Positions

- 1992-1994 **Substance Abuse and Family Counselor**
St. Anthony's Hyland Behavioral Health
St. Louis, Missouri
- 1992-1993 **Mental Health Counselor**
Grace Hill Neighborhood Services
St. Louis, MO
- 1991-1992 **Psychiatric Technician**
McKay-Dee Hospital Psychiatric Unit
McKay-Dee Behavioral Health Institute
Ogden, Utah

Selected Publications

Peer-reviewed Articles: More than 79 published articles, available upon request

Grants/External Funding

National Institute of Nursing Research

Co-Investigator

Grant Title: Enhancing Psychological Capital to Foster Health Outcomes in Homeless Young Women

Grant # R21-NR013538-01

Funded: \$525,000 / 2 years

U.S. Dept. of Health & Human Services, Administration for Children and Families

Program Evaluator

Grant Title: Parenting in Recovery

Grant # 90CY0039

Granted to Travis County – Office of Health and Human Services

Funded: 10/1/2007-9/30/2012 (\$2,500,000)

National Institute of Drug Abuse

Principal Investigator – Mentored Research Scientist Career Development Award (K01)

Grant title: Family-based substance use treatment for runaway youth

Grant # K01 DA15671-05

Funded: 6/2003–5/2008, plus 1 year no-cost extension (\$644,650)

Center for Social Work Research – Addictions Research Institute

Principal Investigator

Grant title: Substance use and abuse among homeless street youth

NIDA infrastructure grant

Grant # R24 DA013579

Funded: 8/2006-5/2007 (\$15,000)

Washington University

Co-Principal investigator with David Pollio, Ph.D.

Grant title: The role of transience in service use by street youth

Funded: 4/2005–8/2005 (\$24,000)

National Institute of Drug Abuse

Principal investigators: David Pollio, Ph.D. & Carol North, M.D.

Consultant – R21 NIDA Services Branch

Grant title: Family services for runaway/homeless youth

Grant # R21 DA15341-02

Funded: 9/2003 – 8/2005 (\$250,000)

U.S. Dept. of Health and Human Services, Administration for Children and Families

Co-Investigator

(David Pollio, Ph.D. Principal investigator)

Grant Title: Homeless and Runaway Youth Outcomes among Youths in the Missouri-Iowa-Nebraska-Kansas (MINK) Network

Funded: 10/1996-10/1998 (\$60,000)

Travis County Family Drug Treatment Court Charter

Purpose

This charter is adopted by the Travis County Family Drug Treatment Court (FDTC) partners as a record of their unified mission and vision. It is intended to support the sustainability of the FDTC, promote accountability, and ensure consistency, as well as clarify roles and responsibilities of FDTC partners.

Introduction

The FDTC is a specialty court created to serve families who are already involved in the Child Protective Services (CPS) Court system due to substance abuse or dependence. It is designed to effectively help parents recover from substance abuse or dependence, guide them along the journey of recovery, and teach them to safely parent their children, thus reducing the incidence of child maltreatment.

History

The idea of a Family Drug Treatment Court program first took root in Travis County in 2005, when several individuals came together to discuss the possibility of forming a drug court to serve families involved in the CPS system. These individuals were moved by the fact that a significant number of child abuse and neglect lawsuits in Travis County involved substance abuse or dependence by at least one parent. Family Drug Court models in other jurisdictions showed that children whose parents were involved with a FDTC program spent less time in out-of-home care than children of parents who were not in a similar program. Data also showed that children of parents involved with FDTC were more likely to be reunified with their parents, and parents had higher rates of treatment completion than their non-FDTC counterparts.¹

In 2006, the FDTC founding members gathered a multi-disciplinary group of community partners, including judges, lawyers, social workers, child advocates, drug treatment providers, and other community service providers. These agencies researched the efforts of existing drug courts and met to create framework for the formation of a FDTC program in Travis County.

In 2007, grant-funding allowed for the hiring of a Drug Court Coordinator, provided start-up costs for the program, substance abuse treatment services, and housing and wrap-around services. The program began serving clients in February 2008 and as of June 7, 2010; the program has assisted 63 parents and 98 children with achieving safe, healthy, and sober lifestyles.

¹ Family Treatment Drug Court Evaluation / NPC research, March 2007, http://www.npcresearch.com/Files/ETDC_Evaluation_Final_Report.pdf.

Mission, Vision, Values

The mission of the FDTC is to provide a spectrum of court and community-based supports for parents involved in the child welfare system that promotes recovery from alcohol and drug addiction and encourages healthy lifestyle choices.

The vision of FDTC is for parent participants to become sober, responsible caregivers so they can ensure the safety and well-being of their children.

FDTC values:

- The best place for a child is at home, free from abuse and neglect, with clean and sober parents.
- FDTC effectively addresses participants' drug and alcohol abuse.
- FDTC empowers parents to make responsible decisions, lead self-sufficient lifestyles, and engage as family advocates and mentors to other program participants.
- Participating families, partners, and systems are accountable to each other and the FDTC.
- FDTC provides a family-centered, strength-based, culturally competent, evidence-based service delivery system.
- FDTC provides families access to a continuum of professional and community-based supports that encourages them to reach their highest potential.
- FDTC partner entities practice mutual respect, understand their roles and responsibilities, share a goal of improving the lives of children and families, and willingly consider adapting policies and procedures to better serve participants.
- The FDTC provides interdisciplinary training to partners that helps them develop the knowledge and skills required to effectively address participants' needs while remaining sensitive to the cultural diversity of families and communities.
- Partners share appropriate and relevant information/data to ensure an effective system of service delivery.
- A continuous process of data collection, evaluation, and program improvement ensures sustainability of positive outcomes, effective methods of practice, and diversity of funding.
- FDTC contributes to a stronger community by collaborating with community providers to sustain healthy, contributing parents who are productive members of our community.

Membership

This Charter contemplates a variety of opportunities for individuals and organizations to participate in the continued sustainability of the Travis County Family Drug Treatment Court. Each level of participation is crucial to the success of the program.

The membership of FDTC will be comprised of two governing bodies: the Drug Court Team and the Advisory Committee.

Drug Court Team:

Members: The Drug Court Team (DCT) of the Family Drug Treatment Court will be made up of representatives who work directly with FDTC participants. The team will be comprised of representatives from the following entities: Travis County District Attorney's Office, Parent Attorney, Presiding Judge, Child Protective Services, Court Appointed Special Advocates (CASA), Substance Abuse Treatment, Housing, the Drug Court Coordinator, the Parenting In Recovery Project Director, and any other service provider as agreed upon by the DCT.

Purpose: The DCT of the FDTC will oversee the operations and procedures of FDTC through:

- **FDTC Staff Meeting**, held prior to each FDTC docket to review participant compliance with court orders and make recommendations for the hearing on sanctions, dismissals, phase advancement and graduation.
- **Family Drug Treatment Court Docket Review**, held weekly² to assess each participant's progress in FDTC.
- **Subcommittee of DCT - Case Management Team Meeting**, held bi-monthly to collaborate on FDTC participant service planning. The Case Management Team (CMT) is comprised of members designated by the DCT.
- **Operations Meeting**, held monthly to review, discuss, and adjust the implementation of FDTC procedures. Additional duties of this meeting are to: 1) create and dissolve subcommittees as deemed necessary; 2) submit policy recommendations to the FDTC Advisory Committee; 3) refer issues to the Advisory Committee for resolution when there is an absence of consensus on the DCT. The Drug Court Coordinator will facilitate Operations meetings.

Length of Participation: Members of the Drug Court Team will serve indefinitely except for the service providers (substance abuse, housing, etc.), whose representatives may be subject to rotation as determined by consensus of the Drug Court Team.

Advisory Committee:

Members: The Advisory Committee of the Family Drug Treatment Court will be made up of a management/supervisory representative from each of the following entities: Travis County District Court, Travis County District Attorney's Office, CASA, Travis County Health and Human Services, Department of Family and Protective Services, Attorney (experienced in representing parents in the CPS system and familiar with FDTC), Substance Abuse treatment provider (rotated on an annual basis between community drug treatment

² FDTC is held weekly except on holidays and settlement week

³ Members of the Advisory Committee cannot directly serve (eg. by providing case management services, court representation, therapeutic services) an active FDTC participant during their membership

providers), two Community Representatives⁴ (rotated on an annual basis between community providers), and Drug Court Graduate and/or Family Representative⁵. Additionally, the Drug Court Coordinator will attend the Advisory Committee meetings to represent the Drug Court Team. The committee chair will be selected by committee members and will serve as chair for no more than two consecutive years. The committee meetings will be facilitated by a TCHHS/VS staff member who is not a voting member. The membership of this committee may be expanded by the agreement of a majority of the members.

Purpose: The Advisory Committee of the Family Drug Treatment Court will be responsible for the oversight and sustainability of the program. The Committee will:

- Approve FDTC policies
- Oversee sustainability efforts
- Monitor achievement of long-term goals
- Ensure an evaluation component
- Create and dissolve subcommittees

Length of Participation: Members of the Advisory Committee will serve indefinitely, with the exception of the Substance Abuse treatment provider and the Community Representatives. These positions will be subject to an annual rotation as determined by consensus of the advisory committee. Each member of the Advisory Committee may identify one person who may serve as their designated representative if they are unable to attend a meeting. This representative has the right to participate and vote in the Committee Member's absence. Annually the members of the Advisory Committee shall renew their commitment to the FDTC by reviewing, approving and signing this charter indicating their continued participation.

Meetings: The Advisory Committee will meet quarterly. Additional meetings may be called as needed or at the recommendation of the DCT and may be facilitated by phone, e-mail or other electronic means as is available to the membership. The first meeting of each year the Advisory Committee will select the decision-making process that will govern the committee for that year. The committee will utilize the principals of consensus decision-making⁶ as a guide for the process. Additionally, the committee will solicit input from community members that will inform their decision-making on issue areas impacting the FDTC.

⁴ Community Representative refers to individuals/agencies who provide support to FDTC participants, such as housing, mental health, employment/education, child care, and parent education.

⁵ Family Representative refers to an individual whose family member has been a participant in FDTC, or a parent or relative (fictive and kin) who has concluded involvement with Child Welfare and exposure to addiction and recovery.

⁶ Consensus decision-making is a group decision making process that not only seeks the agreement of most participants, but also the resolution or mitigation of minority objections. Consensus is usually defined as meaning both general agreement and the process of getting to such agreement.

GOALS

The primary goals of the FDTC are equivalent to the 10 Key Components⁷ of drug courts within the context of a family drug court. Those Components are as follows:

- FDTC integrates alcohol and other drug treatment services with justice system case processing.⁸
- Using a non-adversarial approach, prosecution and defense counsel promote public safety while protecting participants' due process rights.
- FDTC identifies participants early and places them in the drug court program promptly.
- FDTC provides access to a continuum of alcohol, drug, and other related treatment and rehabilitation services.
- FDTC monitors abstinence through frequent testing for alcohol and drug use.
- A coordinated strategy governs drug court responses to participants' compliance.
- Drug court participants receive essential ongoing judicial interaction.
- Monitoring and evaluation measure the achievement of program goals and gauge effectiveness.
- Continuing interdisciplinary education promotes effective drug court planning, implementation, and operations.
- Forging partnerships among drug courts, public agencies, and community-based organizations generates local support and enhances drug court program effectiveness.

Evaluation

The FDTC is committed to collecting, maintaining, and utilizing data to improve the practice model. The FDTC will promote a sustained evaluation component as part of the program design.

The following criteria will be evaluated, assessed, and shared amongst the partners to be used as a tool to continually improve the FDTC:

- Self-sufficiency of participants
- Abstinence and law-abiding behavior
- Child safety
- Cost-benefit analysis

⁷ The 10 Key Components can be viewed in their entirety at <http://www.ojp.usdoj.gov/BJA/grant/DrugCourts/DefiningDC.pdf>.

⁸ The justice system referenced in this Charter is specific to the civil process through which child welfare suits are litigated.

STATEMENT OF AGREEMENT

This charter is made and entered into as of the 18 day of August, 20 10, by and between the undersigned Partnering Agencies/Organizations ("Partners").

WHEREAS, the Partners desire for the FDTC to be supported and sustained by maintaining a unified mission and vision of the Partners as set forth in this charter, and

WHEREAS, all the below named Partners are in agreement with the mission and vision set forth in this charter,

NOW, THEREFORE, the parties agree that we have read and agree with the terms of this charter.

PARTNERS

The undersigned is authorized to sign this Statement of Agreement as a representative on behalf of their respective partnering agency/organization and have agreed to be committed to this charter.

Arlene Be 8/18/10
Signature Date

Laura Wolf 8/18/10
Signature Date

Judge, 126th J.D. Court
Name & Title

LAURA WOLF, EXECUTIVE DIRECTOR
Name & Title

Partnering Agency/Organization

CASA of Travis County
Partnering Agency/Organization

[Signature] 8/18/10
Signature Date

Bill Wigmore 8/18/10
Signature Date

Tom Lenneman - Director
Name & Title

BILL WIGMORE, PRES./CEO
Name & Title

Travis Co Health & Human Services
Partnering Agency/Organization

AUSTIN RECOVERY
Partnering Agency/Organization

[Signature] 8/18/10
Signature Date

Larue Weady ASST. DIST. ATTY
Name & Title

TRAVIS Co. Dist. Atty. Off.
Partnering Agency/Organization

[Signature] 8/18/10
Signature Date
for Shelia Brown

Jolly E. Mebert
CPS Program Administrator
Name & Title

Dept. of Protective and Regulatory Services
Region 07
Partnering Agency/Organization

Signature Date

Name & Title

Partnering Agency/Organization

Signature Date

Name & Title

Partnering Agency/Organization

Signature Date

Name & Title

Partnering Agency/Organization

Signature Date

Name & Title

Partnering Agency/Organization

**Travis County - Parenting in Recovery II
Budget Overview
(Detailed yearly budgets and grant partner budgets on subsequent pages)**

| <u>Partner Expenses</u> | <u>Year 1</u> | <u>Year 2</u> | <u>Two-Year Total</u> |
|--|----------------------|----------------------|------------------------|
| Austin Travis County Integral Care | \$ 292,945.00 | \$ 284,168.00 | \$ 577,113.00 |
| Encompass Medical Mgmt. | \$ 85,000.00 | \$ 85,000.00 | \$ 170,000.00 |
| Foundation Communities | \$ 15,146.00 | \$ 15,146.00 | \$ 30,292.00 |
| Travis County Office of Child Representation | \$ 88,431.00 | \$ 97,086.00 | \$ 185,517.00 |
| <u>General Expenses</u> | | | |
| Grant Partner Travel | \$ 11,200.00 | \$ 7,000.00 | \$ 18,200.00 |
| Systems Development Training | \$ 7,278.00 | \$ 11,600.00 | \$ 18,878.00 |
| Grant Funds | \$ 500,000.00 | \$ 500,000.00 | \$ 1,000,000.00 |
| Match | 214,286 | 269,231 | 483,517.00 |
| Grant Percentage | 0.70 | 0.65 | |
| Total Funds | \$ 714,286.00 | \$ 769,231.00 | \$ 1,483,517.00 |

Travis County - Parenting in Recovery II

| Year 1 | Partner Expenses | Position | Months | Percentage of time | Personnel | Fringe Benefits | Travel | Equipment | Supplies | Contractual | Other | Federal | Non-Federal |
|--------|---|---|----------|--------------------|----------------|-----------------|---------------|------------------|---------------|---------------|----------------|------------------|-------------|
| | Austin Travis County Integral Care | Child Therapist | 10 | 100% | 40,753 | 10,454 | | | 3,310 | 238,428 | 292,945 | | |
| | (The salary and benefit figures for this position in year 1 are for 10 months to account for the time it will take to get the person hired.) | | | | | | | | | | | | |
| | Encompass Medical Mgmt. | Evaluator Research Asst. | 12 12 | 32% 48% | | | | 70,000 15,000 | | | | 70,000 15,000 | |
| | Foundation Communities | Case Manager | 12 | 33% | 12,333 | 2,813 | | | | | | 15,146 | |
| | Travis County Office of Child Representation | Attorney Ad Litem | 10 | 100% | 56,747 | 18,459 | | | 8,765 | 4,460 | 88,431 | | |
| | (The salary and benefit figures for this position in year 1 are for 10 months to account for the time it will take to get the person hired.) | | | | | | | | | | | | |
| | General Expenses | | | | | | | | | | | | |
| | Grant Partner Travel | | | | | 11,200 | | | | | | 11,200 | |
| | Systems Development Training | | | | | | | | | 7,278 | | 7,278 | |
| | Total | | | | 109,833 | 31,726 | 11,200 | | 12,076 | 86,000 | 260,166 | 600,000 | |
| | Match* | | | | | | | | | | | | |
| | Travis County Health and Human Services and Veterans Service | Parenting in Recovery Project Director | 12 | 100% | 62,008 | 12,572 | | | | 136,706 | | 74,580 | 139,706 |
| | Flex Funds | | | | | | | | | | | | 214,286 |
| | Total | | | | | | | | | | | | |

*The salary and benefits for the PIR Project Director are providing \$74,580 in match. A portion of the flex funds dollars provided to ATCIC by Travis County is making up the balance (\$139,706) of the year one match.

2.48

Travis County - Parenting in Recovery II

| Year 2 | Partner Expenses | Position | Months | Percentage of time | Personnel | Fringe Benefits | Travel | Equipment | Supplies | Contractual | Other | Federal | Non-Federal |
|--------|--|--|----------|--------------------|----------------|-----------------|--------------|--------------|---------------|------------------|-------|------------------|----------------|
| | Austin Travis County Integral Care | Child Therapist | 12 | 100% | 48,904 | 12,509 | | | 460 | 222,295 | | 284,168 | |
| | Encompass Medical Mgmt. | Evaluator Research Asst. | 12 12 | 32% 48% | | | | | | 70,000 15,000 | | 70,000 15,000 | |
| | Foundation Communities | Case Manager | 12 | 33% | 12,333 | 2,813 | | | | | | 15,146 | |
| | Travis County Office of Child Representation | Attorney Ad Litem | 12 | 100% | 68,096 | 22,149 | | 2,381 | | 4,460 | | 97,086 | |
| | General Expenses | | | | | | | | | | | | |
| | Grant Partner Travel | | | | | 7,000 | | | | | | 7,000 | |
| | Systems Development Training | | | | | | | | | 11,600 | | 11,600 | |
| | Total | | | | 129,333 | 37,471 | 7,000 | 2,841 | 86,000 | 238,365 | | 500,000 | |
| | Match* | | | | | | | | | | | | |
| | Travis County Health and Human Services and Veterans Service | Parenting in Recovery Project Director | 12 | 100% | 62,008 | 12,572 | | | | | | 74,580 | |
| | Flex Funds | | | | | | | | | 194,651 | | 194,651 | |
| | Total | | | | | | | | | | | | 269,231 |

*The salary and benefits for the PIR Project Director are providing \$74,580 in match. A portion of the flex funds dollars provided to ATCIC by Travis County is making up the balance (\$194,651) of the year two match.

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Travis County - Parenting In Recovery II

Year 1 Year 2

General Expenses

Grant Partner Travel

Year 1 - Funding for 4 attendees x 2 trips
 (Funding for key grant funded staff and key staff from partners to attend kick-off mtg. and annual grantee mtg. in Wash., D.C.)
 Hotel = 180 per night x 3 nights (540)
 Airfare = Roundtrip (555)
 Per Diem = 46 per day w/o receipts or 60 per day w/ receipts x 4 days (240)
 Misc. = taxi, baggage fee (65)
 Total = 1,400 per trip x 2 trip x 4 staff
 (Note: Travel for Evaluator will be included in the sub-contract for that partner.)

11,200

Year 2 - Funding for 5 attendees x 1 trip

7,000
7,000

Total

Systems Development Training

Year 1 & 2: Training grant staff and community partners = processing CEU's (250)
 speaker fee (200); training materials (150)

600

Center for Elimination of Disproportionality and Disparities (CEDD) will complete a program assessment and provide written recommendations to improve practice and technical assistance to implement the recommendations

5,000

Child Trauma Academy will provide a two-day workshop in Austin to improve local understanding of child trauma, the impact, and intervention methods (see budget justification for details)

1,678

Year 2 funding for CEDD to provide 2 one day trainings on undoing racism @ \$5,500 a day

11,000

Total

7,278 11,600

Travis County - Parenting in Recovery II

Encompass Medical Management

ACTIVITY

| | Contract Hours | Hourly Rate | Year 1 | Year 2 |
|--|----------------|-------------|---------------|---------------|
| Encompass Medical Management - Database Development Activities | | | | |
| Modify web-based database for entry of data required by grantor; include various drop-down menu items that conform to the federal indicator criteria and match the indicator criteria to the federal data dictionary requirements. Also determine best method of data entry for additional child indicators associated with standardized measures. | 130 | 100 | 13,000 | 13,000 |
| Develop connection with DPS to gather data on criminal history | 20 | 100 | 2,000 | 2,000 |
| Refine interfaces between PIR and DFPS databases to allow data to be uploaded to federal database that tracks grant evaluation component | 18 | 100 | 1,800 | 1,800 |
| Develop data structure for cost/benefit analysis and manage data | 50 | 100 | 5,000 | 5,000 |
| Total | | | 21,800 | 21,800 |

Encompass Medical Management - Ongoing Database Evaluation Activities

| | | | | |
|--|----|-----|---------------|---------------|
| Manage data connections and data feeds from CPS state databases in the PIR access database for all reports | 25 | 100 | 2,500 | 2,500 |
| Warehouse the data in secure data repository and HIPAA compliant site | 25 | 100 | 2,500 | 2,500 |
| Conduct on-going security checks of data and data sources | 25 | 100 | 2,500 | 2,500 |
| Administration of data privacy and validity for HIPAA and confidentiality | 25 | 100 | 2,500 | 2,500 |
| Ongoing consulting to evaluator on data management | 25 | 100 | 2,500 | 2,500 |
| Develop XML mapping process and validity checks to meet federal data requirements | 20 | 100 | 2,000 | 2,000 |
| Upload program data to federal data repositories for semi-annual reports | 25 | 100 | 2,500 | 2,500 |
| Total | | | 17,000 | 17,000 |

Encompass Medical Management - Ongoing Program Evaluation Activities

| | | | | |
|--|----|-----|---------------|---------------|
| Monitor/modify data collection plan with designated federal and local performance indicators | 20 | 100 | 2,000 | 2,000 |
| Meet with federal program officers and liaison at national meetings and on-site; provide information to these individuals concerning the evaluation status as requested | 20 | 100 | 2,000 | 2,000 |
| Continue Institutional Review Board Human Subjects Protection activities, including application to IRB, maintenance of IRB protocols, consent forms, strategies to recruit, monitoring of the informed consent process | 40 | 100 | 4,000 | 4,000 |
| Training activities, such as training in new assessment instruments, data entry into web-based database, and training research assistant in data needed for control group | 15 | 100 | 1,500 | 1,500 |
| Develop and conduct cost/benefit analysis & develop and conduct case study | 75 | 100 | 7,500 | 7,500 |
| Assist in developing semi-annual & annual reports on federal and local indicators | 30 | 100 | 3,000 | 3,000 |
| Interface with database developers as needed | 30 | 100 | 3,000 | 3,000 |
| Supervise research assistant and provide oversight of data collection | 50 | 100 | 5,000 | 5,000 |
| Travel to federal meetings in Washington, D.C. twice per year | | | 3,200 | 3,200 |
| Total | | | 31,200 | 31,200 |

Research Assistant - part-time - 15 hours / week

| | | | | |
|---|-----|----|---------------|---------------|
| Work with project director to collect all "missing data" from previous years in database | 300 | 15 | 4,500 | 4,500 |
| Conduct qualitative interviews with individual program participants | 100 | 15 | 1,500 | 1,500 |
| Ongoing monitoring of web-based database to ensure data gathered from project partners throughout the year in correct formats | 50 | 15 | 750 | 750 |
| Data collection and data entry from all partner databases | 100 | 15 | 1,500 | 1,500 |
| Develop tracking system for data, with special concentration on collecting control group data at pre- and post-testing | 50 | 15 | 750 | 750 |
| Modify current SPSS databases for use with Excel and Web-based database for data analysis | 100 | 15 | 1,500 | 1,500 |
| Assist in developing semi-annual & annual reports on federal and local indicators | 100 | 15 | 1,500 | 1,500 |
| Assist developing final reports to grantor | 100 | 15 | 1,500 | 1,500 |
| Assist in developing cost/benefit analysis | 100 | 15 | 1,500 | 1,500 |
| Total | | | 15,000 | 15,000 |

Grand Total 85,000 85,000

Travis County - Parenting in Recovery II

Office of Child Representation

| Personnel | Calculation | Year 1* | Year 2 |
|-------------------|------------------------|---------------|---------------|
| Attorney Ad Litem | | | |
| Salary | | 56,747 | 68,096 |
| Total | | 56,747 | 68,096 |
| <u>Fringe</u> | | | |
| FICA | (Salary x .0765) | 4,341 | 5,209 |
| Health Insurance | (696.08 x 12 mos.) | 6,961 | 8,353 |
| Life Insurance | (8.25 x 12 mos.) | 83 | 99 |
| Retirement | (Salary x .1227) | 6,963 | 8,355 |
| WCI | (Salary x .15 x .0026) | 111 | 133 |
| Total | | 18,459 | 22,149 |

*The salary and benefit figures for year 1 are for 10 months to account for the time it will take to get the person hired.

Supplies

| | | | |
|---|--|---------------|---------------|
| Office supplies | (Based on another attorney position same as grant funded position) | 300 | 300 |
| Family Code (includes shipping cost for all 3 code books) | (Based on another attorney position same as grant funded position) | 120 | 120 |
| Notebook workstation w/ network port | (Travis Co. ITS quote) | 2,550 | - |
| Desktop licenses and security software | (Travis Co. ITS quote) | 947 | - |
| Security software maintenance and port maintenance | (Travis Co. ITS quote) | 76 | 76 |
| Computer installation and voice and data cabling installation | (Travis Co. ITS quote) | 715 | - |
| Phone ISM license | (Travis Co. ITS quote) | 50 | - |
| Phone and port costs | (Travis Co. ITS quote) | 400 | - |
| Voice and data cabling installation for phone | (Travis Co. ITS quote) | 550 | - |
| Long distance phone calls (per year) | (Based on another attorney position same as grant funded position) | 25 | 25 |
| State bar license dues (per year) | (Based on another attorney position same as grant funded position) | 148 | 148 |
| National Association of Council for Children membership | (Based on another attorney position same as grant funded position) | 100 | 100 |
| Texas Rules - Civil Trials | (Based on another attorney position same as grant funded position) | 85 | 85 |
| Family Law Handbook | (Based on another attorney position same as grant funded position) | 135 | 135 |
| Broadband (per year) | (Based on another attorney position same as grant funded position) | 456 | 456 |
| Cell phone (per year) | (Based on another attorney position same as grant funded position) | 936 | 936 |
| Furniture - desk | (Based on another attorney position same as grant funded position) | 1,042 | - |
| Furniture - chair | (Based on another attorney position same as grant funded position) | 130 | - |
| Total | | 8,765 | 2,381 |
| <u>Other</u> | | | |
| Mileage | 600 miles per month x 12 months x .55 per mile | 3,960 | 3,960 |
| Continuing legal education | (Based on another attorney position same as grant funded position) | 500 | 500 |
| Total | | 4,460 | 4,460 |
| Grand Total | | 88,431 | 97,086 |

Travis County - Parenting in Recovery II

Foundation Communities

| <u>Personnel</u> | <u>Calculation</u> | Year 1 | Year 2 |
|---------------------|-----------------------------------|---------------|---------------|
| Case Manager | | | |
| Salary | | 37,003 | 37,003 |
| Total | | 37,003 | 37,003 |
| | | | |
| <u>Fringe</u> | | | |
| FICA | (Salary x .0765) | 2,831 | 2,831 |
| Workers Comp | 3.70 per payroll x 26 payrolls | 96 | 96 |
| Medical Insurance | 287.92 per month x 12 mos. | 3,455 | 3,455 |
| LTD Insurance | 10 per month x 12 mos. | 120 | 120 |
| ADD/Life Insurance | 7.25 per month x 12 mos. | 87 | 87 |
| Retirement (401K) | 71.16 per payroll x 26 payrolls | 1,850 | 1,850 |
| Total | | 8,439 | 8,439 |
| | | | |
| | (Total Salary and Fringe x | | |
| Grand Total | .3333) | 15,146 | 15,146 |

Travis County - Parenting in Recovery II

ATCIC

| <u>Personnel</u> | <u>Calculation</u> | Year 1* | Year 2 |
|------------------|--------------------|---------------|---------------|
| Child Therapist | | | |
| Salary | | 40,753 | 48,904 |
| Total | | 40,753 | 48,904 |

Fringe

| | | | |
|-----------------------------|------------------|---------------|---------------|
| FICA | Salary x .0765 | 3,118 | 3,741 |
| Health Insurance | 442.75 x 10 mos. | 4,428 | 5,313 |
| Dental Insurance | 10.66 x 10 mos. | 107 | 128 |
| Employee Assistance Program | 39 x 10 mos. | 390 | 468 |
| Other Insurance | Salary x .0026 | 106 | 127 |
| State Unemployment | Salary x .0074 | 302 | 362 |
| Worker's Comp. | Salary x .00414 | 169 | 169 |
| Retirement | Salary x .045 | 1,834 | 2,201 |
| Total | | 10,454 | 12,509 |

***The salary and benefit figures for year 1 are for 10 months to account for the time it will take to get the person hired.**

Supplies

| | | | |
|-----------------------------------|-------------|--------------|------------|
| Office supplies | Actual cost | 300 | 300 |
| Duplicating/Computer supplies | Actual cost | 160 | 160 |
| Notebook Computer/Docking Station | Actual cost | 2,600 | - |
| Printer | Actual cost | 250 | - |
| Total | | 3,310 | 460 |

Other

| | | | |
|--|--|-------|-------|
| Mileage Reimbursement | 400 miles X .525 per mile x 12 mos. | 2,520 | 2,520 |
| Mobile Phone Airtime (computer aircard) | 40 x 12 mos. | 480 | 480 |
| Cell Phone Allowance | 36.75 x 12 mos. | 441 | 441 |
| Personnel Advertising | Cost for one month | 550 | - |
| Staff Development | Amount allotted to each staff for trainings or conferences | 500 | 500 |
| IT Replacement Fund | Costs allocated per employee | 186 | 186 |
| Hardware/Software Maintenance | " | 469 | 469 |
| Telephone Line | " | 490 | 490 |
| Internet Connection | " | 47 | 47 |
| Liability Insurance | " | 68 | 68 |
| Building Occupancy: capital improvement fee | " | 74 | 74 |

Budget Justification

Parenting in Recovery (PIR II) seeks funding for:

Two positions allocated through a vendor contract:

- Part-time Evaluator – Contract with Encompass
- Part-time Research Assistant – Contract with Encompass

One position funded through Travis County OCR:

- Attorney ad Litem to represent children (AAL) – Funded position with Office of Child Representation (OCR)

Two positions funded through subcontracts:

- Child Therapist – Funded position with Austin Travis County Integral Care (ATCIC)
- Part-time Housing Case Manager – Funded position with Foundations Communities (FC)
- Office supplies, mileage, and cell phone allowance and other expenses to support the grant funded positions above excluding the Case Manager position with FC
- Laptop computers for two of the grant funded staff: Child Therapist and AAL. The cost of each individual laptop will not exceed \$3,000.
- Flexible funding to expend on specialized services for children and parents including substance abuse treatment, concrete services, recovery supports and therapeutic and specialized services for the children. These funds will be integrated into two existing contracts between ATCIC and TCHHS/VS referenced as the System of Care contract and the Substance Abuse Managed Service Organization contract.
- Travel expenses for key personnel (Project Director, Evaluator, and other key staff) to attend the grantee meetings in Washington.
- Training to support cross-training between partners on critical issues such as trauma-informed care, substance abuse, mental health, child development, child welfare, evidenced-based practices, protective factors and cultural competence and disproportionality.
- There will be no funding requested for Equipment or Construction.
- PIR II will provide match funding each year of the grant from this source:
 - TCHHS/VS – Funding for PIR II Project Director and Flexible Funding dedicated to PIR II/FDTC

Object Class Categories

A. Personnel / Fringe Benefits¹

Position: Attorney Ad Litem

Necessity: This position is required to fulfill the grant design. This position provides legal representation to children whose family has an open lawsuit with Child Protective Services (CPS). Duties include interviewing all clients who are 4 years old or older, interviewing people who have significant knowledge of the child's history and condition, investigating the facts of the case, obtaining and reviewing copies of relevant records, participating in litigation, taking action that is necessary to expedite the proceedings and encourage settlement.

¹ <http://www.salary.com/category/salary/> this website was used to compare salaries for reasonableness

Reasonableness: The salary for this position was derived from the Travis County Classified Salary Schedule. The salary is less than the median average salary for attorneys in Austin, Texas but is the average salary for a County funded attorney position and is commensurate to other attorneys in OCR.

Allocation of Proposed Cost: The funds for this position will be allocated to the budget of the Office of Child Representation which is a program managed under the Justice and Public Safety Division of Travis County. In year one of the grant award this position will be funded for 10 months due to start-up time.

B. Travel – See Budget Detail

C. Equipment - No equipment purchases as part of the grant budget proposal.

D. Supplies

PIR II has office supplies as part of the budget for the OCR and ATCIC sub-recipient contracts. FC is providing these resources for their part-time funded grant position.

Necessity: Basic office supplies to facilitate work with grant supported parents.

Reasonableness: The allocation for office supplies annually is less than 1% of each individual program budget within PIR II.

Allocation of Proposed Cost: Office supplies will be part of the allocated budget under the PIR II design.

E. Contractual

PIR II will execute 1 vendor contract and four sub-contracts as part of implementing the PIR II grant design.

1. **Encompass** – this will be a unit cost contract with the evaluator for the grant project. The contract will cover these costs: evaluator's project time and compliance with grant requirements; database development and management activities; employment of a part-time research assistant; and travel expenses to required grantee conferences. The cost will be the same in year one and year two but the services in year two will include close-out activities related to the grant.

Evaluator position

Necessity: Grant required position that is essential to ensure compliance with the evaluation component of the grant design. These duties will be executed: develop data collection plan with designated federal and local performance indicators; meet with federal program officers and liaison at national meetings and on-site; provide information to these individuals concerning the evaluation status as requested; monitor Institutional Review Board Protection of Human Subjects activities, including applications for continuing review of IRB protocols, maintenance of consent forms, strategies to recruit, monitoring of the informed consent process; training activities, such as training in new assessment instruments for child therapists and training research assistant in data collection needed specifically for control group data; assist in developing semi-annual & annual reports on federal and local indicators; interface with database developers as needed; supervise research assistant and provide oversight of data collection; complete a local evaluation for dissemination annually with a focus on program process and outcomes.

Encompass Medical Management - Ongoing program evaluation activities and duties related to the management of the web based data collection system: modify the web-based database for

entry of data required by grantor; include various drop-down menu items that conform to the federal indicator criteria and match the indicator criteria to the federal data dictionary requirements; create interfaces between CSI and CPS databases to allow data to be uploaded to federal database that tracks grant evaluation component; manage data connections and data feeds from CPS state databases in the PIR II access database for all reports; warehouse the data in secure data repository and HIPAA compliant site; conduct on-going security checks of data and data sources; administration of data privacy and validity for HIPAA and confidentiality; ongoing consulting on data management; develop XML mapping process and validity checks to meet federal data requirements; upload program data to federal data repositories for semi-annual report. Major efforts will be required to conduct the cost/benefit analysis as well the final reports to grantor.

Reasonableness: The hourly rate of \$100 includes the remuneration of the evaluator. There is no administrative or indirect cost.

Allocation of Proposed Cost: The funds for this position will be part of the vendor unit cost contract executed with Encompass Medical Management, Inc.

Part-Time Research Assistant position

Necessity: Position to support the collection of data and support the activities of the evaluator and focus on collection of control group data specifically. This position is essential to ensure full compliance with the evaluation component of the grant design. Duties will include ongoing monitoring of web-based database to ensure data gathered from project partners throughout the year is complete; data collection and data entry from all partner data bases and interviews with individual program participants; developing tracking system for data with special concentration on collecting control group data from pre- and post-testing; developing SPSS databases from Excel and web-based database and converting data for data analysis; assisting evaluator in developing analyses for semi-annual, annual, and final reports with cost/benefit analysis. Also, conduct qualitative interviews with participants completing the program.

Reasonableness: The hourly rate for this position is \$15 and the staff is expected to work approximately 1000 hours in Year 1 of PIR II and 1000 hours in Year 2 to provide additional support for the final report and cost/benefit analysis and control group data. The cost also includes required benefits of FICA, but no other benefits/indirect costs.

Allocation of Proposed Cost: The funds for this position will be part of the vendor unit cost contract executed with Encompass Medical Management, Inc.

2. Austin Travis County Integral Care (ATCIC) – Three sub-contracts will be executed between ATCIC and TCHHS/VS to support the implementation of the grant design. Two of them have been in place since the original grant award of PIR in 2007: System Of Care (SOC) and Substance Abuse Managed Service Organization (SAMSO). **First**, there will be a sub-recipient contract to facilitate the service delivery to the children served by this grant. The contract includes the cost of the Child Therapist position including salary, benefits, mileage, cell phone stipend, office supplies and other costs. In year one of the grant there will be associated start-up costs such as the purchase of a laptop computer.

Child Therapist Position:

Necessity: This position is required to fulfill the grant design and provide therapeutic services to the children served by the grant. Duties include assessments, providing direct therapeutic

services, providing or accessing experiential therapeutic services, advocacy in school setting and education on substance abuse.

Reasonableness: The salary of this position is slightly below the median salary for a licensed clinical social worker based on the national average. The salary is commensurate with others who have like degrees and experience in Austin, Texas.

Allocation of Proposed Cost: The funds for this position will be provided to ATCIC in a sub-recipient contract. In year one of the grant award this position will be funded for 10 months due to start-up time.

SOC subcontract

The **second** subcontract executed will be the SOC which allows TCHHS/VS to expend flexible funding on the behalf of the eligible children, youth and mothers of this grant. The contract funds specific services and supports for the participants such as recovery supports and specialized children services.

SAMSO subcontract

The **third** subcontract with ATCIC is the SAMSO which funds substance abuse treatment for community residents. ATCIC acts as the managed service organization in both the SOC and SAMSO contracts by fulfilling two functions: provider network development and payment allocation through a reimbursement contract. ATCIC recruits, credentials, contracts and oversees a provider network. The contract dollars allocated by TCHHS/VS under this contract reimburses ATCIC for payments rendered to network and non-network providers. ATCIC has the software to carefully manage funding allocations and the budget management to ensure that only authorized funding is expended on eligible clients. Under this contract, TCHHS/VS pays an MSO fee to offset the cost of the management of the network and the billing process. The MSO fee for this grant is 5% of the funds expended.

3. Part-Time Housing Case Manager position subcontract

Necessity: This position is required to fulfill the grant design. This position provides housing focused case management to grant participants in PIR II. Duties include conducting housing assessments and developing individualized plans, providing referrals to local housing resources, and, for those eligible, facilitating placement in Foundation Communities housing property and provide ongoing case management.

Reasonableness: This position is funded below the median salary in Austin, Texas but is commensurate to the salary of others employed by Foundation Communities. This funding covers a 1/3 of the position cost. The case manager will serve the necessary hours to support the grant eligible participants. If this exceeds the grant allocation, the additional cost will be covered by Foundation Communities' portion of the funding for this position.

Allocation of Proposed Cost: The funding for this position will be provided to Foundation Communities in a sub-recipient contract.

F. Construction - PIR II does not have any construction costs as part of the proposed budget.

G. Other

These are other PIR II costs that have not been accounted for in the other budget categories.

1. For year one and two of the grant: Cross-Training for regional partners, PIR II staff, primary partners' staff, and community members. The training will cover a variety of topics that support a common basis of knowledge and understanding. The training will occur quarterly

and will cover these topics among others: promoting protective factors, evidence-based practices specific to target population of the grant, substance abuse/child welfare, child development, parent/child visitation – family time, trauma-informed care, neuro-development of young children and trauma. The costs cover speaker fees, documents for distribution, and CEU’s.

2. In year one of the grant PIR II will host the Child Trauma Academy (CTA) for a two-day workshop focusing on understanding trauma, the impact and the recommended interventions. The CTA is a not-for-profit organization based in Houston, Texas working to improve the lives of high-risk children through direct service, research and education. The cost breakdown for the funding is:
 Mileage: \$176
 Hotel: \$160
 Per Diem: \$92
 Materials: \$250
 Daily Rate: \$500
 Total Cost: \$1,678
3. In year one of the grant, PIR II will invite the Center for Elimination of Disproportionality and Disparities (CEDD) to complete a program assessment, provide recommendations to improve practice, and provide technical assistance to implement those recommendations.
4. In the second year of the grant, PIR II will collaborate with the CEDD to provide 2 one-day training sessions on *Undoing Racism*.
5. Indirect Charges
 PIR II will not charge indirect costs to the grant.

H. Match Requirement

The match requirement for this grant is an escalating match with year one being 30% and year two 35%. The match will be provided by TCHHS/VS.

- TCHHS/VS match will be from the salary and benefits of the PIR II Project Director and the flexible funding allocated to the project through Travis County.

I. Flexible Funding for PIR II Grant

- Flexible funds have been budgeted each year for the children, youth and mothers enrolled in the grant.
- The funding will be allocated to ATCIC in the form of two contracts: SOC & SAMSO.

| Examples of Approved Expenditures: | | |
|--|------------------------------|-----------------------------|
| Parent/Caretaker Education | Psychosocial Skills Training | Medication Management |
| Psychological Assessment | Medical Purchases | Substance Abuse Treatment |
| Psychiatric Assessment | Case Conference | Neuropsychological |
| Specialized Therapy | Emergency Food | Equine Therapy |
| Respite Care | Clothing | Mentoring |
| Child Care/supervision | Utilities | Therapeutic/Behavioral Aide |
| Transportation | Housing Assistance | Behavioral Aide |
| Employment Support Services | Tutoring | Enrichment Activities |
| Individual, Group, Family, Crisis Counseling | Specialized Therapy | Experiential Therapy |

GRANT SUMMARY SHEET

| | | |
|------------|--|---|
| Check One: | Application Approval: <input type="checkbox"/> | Permission to Continue: <input type="checkbox"/> |
| | Contract Approval: <input checked="" type="checkbox"/> | Status Report: <input type="checkbox"/> |
| Check One: | Original: <input checked="" type="checkbox"/> | Amendment: <input type="checkbox"/> |
| Check One: | New Grant: <input type="checkbox"/> | Continuation Grant: <input checked="" type="checkbox"/> |

| | | | | |
|---|--|--|---------------------------------|---|
| Grant Title: | Texas Commission on Environmental Quality Intergovernmental Cooperative Reimbursement Agreement with Travis County | | | |
| Grant Period: | From: | 09/01/2012 | To: | 08/31/2015 |
| Grantor: | Texas Commission on Environmental Quality (TCEQ) | | | |
| Are the grant funds pass-through another agency? If yes list originating agency below | | | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> |
| Originating Grantor: | | | | |
| Originating Fund Source: | Federal: <input type="checkbox"/> | State: <input checked="" type="checkbox"/> | Local: <input type="checkbox"/> | |
| Will County provide grants funds to a subrecipient? | | | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> |

| Budget Categories | Grant Funds | County Cost Share | County Contribution | In-Kind | TOTAL |
|--------------------|----------------|-------------------|---------------------|------------|----------------|
| Personnel: | 612,372 | \$0 | \$0 | \$0 | 612,372 |
| Operating: | 0 | 0 | 0 | 0 | 0 |
| Capital Equipment: | 0 | 0 | 0 | 0 | 0 |
| Indirect Costs: | 0 | 0 | 0 | 0 | 0 |
| Total: | 612,372 | \$0 | \$0 | \$0 | 612,372 |
| FTEs: | 2.00 | 0.00 | 0.00 | 0.00 | 2.00 |

| Permission to Continue Information | | | | |
|------------------------------------|----------------|--|-----------------|------------|
| Funding Source (Account number) | Personnel Cost | Operating Transfer/Contribution to Grant | Estimated Total | Filled FTE |
| | \$ | \$ | \$ | |

| Department | Review | Staff Initials | Comments |
|-----------------|-------------------------------------|----------------|----------|
| County Auditor | <input checked="" type="checkbox"/> | RP | |
| County Attorney | <input checked="" type="checkbox"/> | JC | |

| Performance Measures Applicable Depart. Measures | Projected FY 12 Measure | Projected FY-13 – FY15 Measures | | | | Combined FY13-15 |
|---|-------------------------|---------------------------------|------|------|--|------------------|
| | | FY13 | FY14 | FY15 | | |
| Enviromental Crime Unit Case Dispositions | 11 | 9 | 10 | 11 | | 30 |

| | | | | | | |
|--|--|---------|---------|---------|--|-----------|
| Environmental Crime Unit Fines Ordered | 1,142,500 | 600,000 | 650,000 | 750,000 | | 2,000,000 |
| Environmental Crime Unit Restitution Ordered | 541,920 | 400,000 | 500,000 | 600,000 | | 1,500,000 |
| Measures For Grant | | | | | | |
| TCEQ did not include measures in the interlocal agreement. | | | | | | |
| Outcome Impact Description | Since inception of the first grant contract (Dec 2009 – Aug 2012), Travis County has received \$2,765,500 in fine revenue through June 2012. | | | | | |
| Outcome Impact Description | | | | | | |
| Outcome Impact Description | | | | | | |

PBO Recommendation:

This is a grant contract to continue the environmental crime enforcement program in the District Attorney's Office. There is neither a grant match nor any continuing obligations for the County. PBO recommends approval.

1. Brief Narrative - Summary of Grant: What is the goal of the program? How does the grant fit into the current activities of the department? Is the grant starting a new program, or is it enhancing an existing program?

GRANT SUMMARY

The interlocal contract between the Texas Commission on Environmental Quality (TCEQ) and Travis County provides funding for an Assistant District Attorney and support staff to work solely on matters referred by the TCEQ or the Texas Environmental Enforcement Task Force. Criminal activity involving environmental crimes, falsification of data submitted to the TCEQ and fraud committed against TCEQ programs negatively impacts the ability of TCEQ to protect the quality of the environment and endangers public health and safety. As a result of this collaborative agreement, the Travis County District Attorney's Office is able to dedicate resources funded by TCEQ for the specific purpose of prosecuting environmental crime cases.

2. Departmental Resource Commitment: What are the long term County funding requirements of the grant?

There are no long-term County funding requirements. However, the contract does not contain enough funding in FY15 to cover the Legal Secretary position for the entire fiscal year.

3. County Commitment to the Grant: Is a county match required? If so, how does the department propose to fund the grant match? Please explain.

No.

4. Does the grant program have an indirect cost allocation, in accordance with the grant rules? If not, please explain why not.

Although the interlocal contract allows for the inclusion of indirect costs, the maximum funding TCEQ authorized for the program budget is not enough to include reimbursement for indirect costs.

5. County Commitment to the Program Upon Discontinuation of Grant by Grantor: Will the program discontinue upon discontinuance of the grant funding? (Yes/No) If No: What is the proposed funding mechanism: (1) Request additional funding (2) Use departmental resources. If (2) is answered, provide details about what internal resources are to be provided and what other programs will be discontinued as a result.

If funding is discontinued, resources will not be available to dedicate solely to the prosecution of environmental crimes. These cases will be added back into the workload of the District Attorney's White Collar Crime Unit and will be reviewed along with all other white collar crimes for possible prosecution.

6. If this is a new program, please provide information why the County should expand into this area.

7. Please explain how this program will affect your current operations. Please tie the performance measures for this program back to the critical performance measures for your department or office.

This project is tied to the mission statement of the District Attorney's Office: To see that justice is done by providing the highest quality legal representation for the public and for individual victims of crime and by supporting the community's efforts to strengthen itself and solve problems. It also is a strategy under the following goals and objectives in the strategic plan of the Office:

Improve the administration of justice.

Foster collaboration with all justice-related agencies, volunteer organizations, service providers and organizations.

Employee innovative programs and alternatives to complement traditional prosecution.

Improve quality of case preparation.

Increase the interaction/communication with law enforcement agencies.

Texas Commission on Environmental Quality

**Intergovernmental Cooperative Reimbursement Agreement
with
Federal, State and Local Governments and Agencies**

CONTRACT SIGNATURE PAGE

| | | |
|---|--|--|
| Contract Name | | Travis County Environmental Crimes Prosecutor |
| Contract Number | | 582-13-30092 |
| Performing Party | | Travis County |
| Performing Party Identification Number | | 74-6000192 |
| Maximum TCEQ Obligation: \$612,372.00 | Effective Date: September 1, 2012 or the date of last signature, whichever is latest. | Expiration Date: August 31, 2015 |
| <p>The Texas Commission on Environmental Quality (TCEQ), an agency of the State of Texas, and the named Performing Party, a governmental body, agency, or political subdivision of: the United States, the State of Texas, or another State, enter this agreement (Contract) to cooperatively conduct authorized governmental functions and activities under the laws of the State of Texas, including, the Interagency Cooperation Act, the Interlocal Cooperation Act, and Texas Water Code Sections 5.124 and 5.229.</p> <p>The Parties agree: to be effective, the Contract must be signed by an authorized official of the TCEQ and the Performing Party; as authorized by TCEQ, Performing Party will conduct Contract Activities as part of its own authorized governmental functions and TCEQ will reimburse Allowable Costs subject to the Texas Uniform Grant Management Standards and this Contract; the Performing Party is not a vendor of goods and services under Texas Government Code Chapter 2251, therefore, no interest is applicable; and the Contract may be terminated by TCEQ for its own convenience with 10 days' written notice.</p> | | |
| Parties to the Contract: | Texas Commission on Environmental Quality (TCEQ) | Travis County (Performing Party) |
| By (Authorized Signature) | | |
| Printed Name: | | |
| Title: | | |
| Date of Signature: | | |
| By (Authorized Signature) | | |
| Printed Name: | | <i>Samuel Biscoe</i> |
| Title: | | <i>Travis County Judge</i> |

**Intergovernmental Cooperative Reimbursement Contract
CONTRACT DOCUMENTS**

The Contract between TCEQ and Performing Party is composed of the Contract Documents listed on this page and marked by an "X." Documents on this list include all amendments. The terms "Contract" and "Grant Agreement" include all the Contract Documents. In the event of a conflict of terms, the Contract Documents as amended control in the descending order of the list, subject to provisions in the Special Terms and Conditions, if any. All Contract provisions, however, are subject to control by the latest amendment and most specific provision and by the applicable state and federal laws, rules, and regulations.

| | |
|----------|--|
| X | Contract Signature Page |
| X | Special Terms and Conditions |
| | Federal Section (Including Federal Conditions and Completed Forms) |
| | Documents Created during the Contract: Work Orders/Proposal for Grant Activities. For umbrella contracts/grants, the following order takes precedence, with the most important first; all of which are subject to control by the latest amendment: |
| | Work Order / Proposal for Grant Activities |
| | Notice to Proceed / Notice to Commence |
| | TCEQ Approved Work Plan / Grant Activity Description |
| X | Contract Activities ("Scope of Work") |
| | TCEQ Approved Work Plan / Performing Party Proposal |
| | Work Order Section |
| X | General Terms and Conditions |
| X | Contract Budget / Schedule of Fixed Cost for Reimbursement |
| X | Project Representatives and Records Location |
| | Attachment A |
| | Attachment B |
| | Attachment C |
| | Attachment D |

Texas Commission on Environmental Quality

**Intergovernmental Cooperative Reimbursement Agreement
with
Federal, State and Local Governments and Agencies**

CONTRACT ACTIVITIES

1. This Agreement is between the Texas Commission on Environmental Quality ("TCEQ") and Travis County (the "County"), collectively referred to as the "Parties", pursuant to the Interlocal Cooperative Government Act, Texas Government Code, Chapter 791.
2. The parties agree and acknowledge criminal activity involving environmental crimes, falsification of data submitted to the TCEQ, and fraud committed against TCEQ programs negatively impacts the TCEQ ability to protect the quality of the environment and endangers public health and safety; and
3. The parties desire to address this problem by coordinating their efforts toward reducing environmental crimes, including the active prosecution of cases involving, environmental crimes, falsification of data submitted to TCEQ, and fraud committed against TCEQ programs. The goal of the Contract Activities, therefore, is to provide prosecutorial resources for the specific and designated purpose of prosecuting cases developed by TCEQ and Texas Environmental Enforcement Task Force investigators.
4. The TCEQ agrees to and will provide funding to the County, subject to the availability of funds, in the amount set forth in the budget for the duration of the Agreement, unless amended by the terms of the Agreement, for the purpose of funding one (1) Assistant District Attorney position as Environmental Crime Attorney ("the Attorney") which is to be devoted to handling environmental crime matters and the necessary administrative support staff during the Contract Term.
5. The County agrees to and shall employ an Assistant District Attorney to work on matters referred by the TCEQ or the Texas Environmental Enforcement Task Force, subject to the Special Terms and Conditions. The Assistant District Attorney designated shall be subject to TCEQ approval. The Attorney shall provide services designated to eliminate criminal violations of environmental statutes and eliminate fraud committed against agency programs in accordance with applicable laws. The Attorney's role shall include advising investigators of TCEQ and the Task Force on legal matters associated with defining and preparing a prosecutable case. The Attorney shall coordinate his/her docket with the TCEQ / Environmental Crimes Unit Staff Attorney or his designee.
6. The Attorney shall be a single full-time individual. Prior to making a change to the Attorney assigned, the County shall obtain the approval of TCEQ. Any replacement shall be equivalent in terms of experience and skill. The Parties agree to communicate with regard to issues of work performance and to resolve such issues by mutual agreement.
7. The Attorney shall have prior experience prosecuting white collar crimes. The minimum qualifications for the Attorney shall include 8-12 years of experience as a prosecutor with experience prosecuting white collar crimes.
8. For unexpended budgetary items, to the extent authorized by law, funds provided in one of the given budget categories will be available for use in succeeding fiscal years in the same budgetary category.
9. On prosecutor longevity pay paid to the Environmental Crimes Prosecutor, Travis County is authorized to request reimbursement from TCEQ for paying the fringe benefit costs associated with such pay.
10. Subject to availability of funds, Travis County is authorized to hire temporary support staff as needed.

11. Only activities related to environmental crime matters will be billed to this grant.

12. Travis County is authorized to incur costs for travel. Travis County is not required to request any additional permission to incur costs for reimbursement for travel.

SPECIAL TERMS AND CONDITIONS

1. These Special Terms and Conditions add to, or in the case of conflicts, supersede and take precedence over the General Terms and Conditions set forth in this Contract.
2. **Replacement Personnel.** This grant agreement is specifically made for personnel to be hired by the County with the experience and skill sets appropriate for the Work. The Attorney hired must be competent, suitably qualified to perform the tasks described in the Contract Activities. The County shall provide TCEQ timely information on proposed personnel substitutions for the Attorney. Proposed substitutions shall have comparable qualifications to those of the personnel being replaced. The County shall not use any person whether initially or as a substitute, against whom the TCEQ has a reasonable objection.
3. **Focus on Environmental Crimes.** The prosecution of environmental crimes investigated by TCEQ shall take precedence over any other work assigned to the Attorney by the County. The County shall request TCEQ approval prior to assigning the Attorney any case for prosecuting anything that is not an environmental related crime investigated by TCEQ or the Texas Environmental Enforcement Task Force.
4. **Contract Term and Renewal Period.** This Contract will have a term starting **September 1, 2012** or the date of the last signature, whichever is latest, and extending to **August 31, 2015**.
5. The County's receipt of the fully signed Contract will constitute notice to proceed.

GENERAL TERMS AND CONDITIONS

1. CONTRACT PERIOD

1.1 **Contract Period.** The Contract begins on the Effective Date and ends on the Expiration Date as provided on the Signature Page of this Contract (Contract Period). If no Effective Date is provided, the Effective Date of the Contract is the date of last signature. If no Expiration Date is provided, the Expiration Date is August 31 of the same Fiscal Year in which the Contract is signed.

1.2 **Renewal and Extension Period.** The Contract may be extended by notice of TCEQ beyond expiration of a Contract Period for up to 90 days (Extension Period) during which the parties may agree on a written amendment to extend the Contract for a longer period. Renewals and extensions do not extend any other deadlines or due dates other than the expiration of the Contract Period.

1.2.1 This Contract is not subject to competitive procurement or grant regulations, and may be amended for Renewal as needed.

2. DEFINITIONS

2.1 "Include." The word "include" and all forms such as "including" mean "including but not limited to" in the contract and in documents issued in accordance with the contract, such as Work Orders (or Proposals for Grant Activities).

3. AUTHORIZATION

The Performing Party must obtain a written Notice to Proceed from the TCEQ Contract Manager to start activities. Any performance of the activities prior to the Notice to Proceed is not reimbursable. At its option, TCEQ may issue a limited Notice to Proceed to authorize reimbursement for a portion of the activities.

4. FUNDS

4.1 **Availability of Funds.** This Contract and all claims, suits or obligations arising under or related to this Contract are subject to the receipt and availability of funds appropriated by the Texas Legislature for the purposes of this Contract or the respective claim, suit or obligation, as applicable.

4.1.1 Performing Party will ensure that Article 4.1 is included in any subcontract it awards.

4.2 **Amount Limits on Funds.** The maximum reimbursement is shown on the Contract Signature Page.

4.3 **Grants.** If this Contract was entered under the TCEQ authority to award grants, TCEQ is providing financial assistance to the recipient to undertake its own project.

5. ALLOWABLE COSTS

5.1 **Conforming Activities.** TCEQ will reimburse the Performing Party for Allowable Costs incurred and paid by the Performing Party in performance of conforming Contract Activities. Allowable Costs are those costs for conforming Contract Activities that are reasonable, necessary, actual, and authorized by this Contract and a Notice to Proceed. Contract Activities must be authorized in writing to be eligible for reimbursement.

5.2 **UGMS.** Allowable Costs are restricted to costs that comply with the Texas Uniform Grant Management Standards (UGMS) and additional state and federal rules and law. The text of UGMS is available online at the Governor's Website. (The link as of September 28, 2010 is <http://www.governor.state.tx.us/files/state-grants/UGMS062004.doc>.) The parties agree that all the requirements of the UGMS apply to this Contract, including the criteria for Allowable Costs. Additional federal requirements apply when federal funds are included in the reimbursement.

6. REIMBURSEMENT

- 6.1 Reimbursement Request Deadline.** Performing Party shall submit all requests for payment to TCEQ prior to July 15 of the second fiscal year following the fiscal year for which the appropriation is made.
- 6.2 Reimbursement Requests.** Performing Party shall invoice TCEQ to request reimbursement for its Allowable Costs for performing the Contract Activities. Performing Party's invoice shall conform to TCEQ's reimbursement requirements.
- 6.3 Travel, Other Costs.** Travel costs, including per diem, will be reimbursed only in the amount of actual costs, up to the maximum allowed by law for employees of the State of Texas at the time the cost is incurred.
- 6.4 Supporting Records.** Performing Party shall submit records and documentation to TCEQ as appropriate for the review and approval of reimbursing costs. At a minimum, Performing Party shall submit supporting records with its invoices. TCEQ may reject invoices without appropriate supporting documentation. TCEQ has the right to request additional documentation. Performing Party shall maintain records subject to the terms of this Contract.
- 6.5 Conditional Payments.** Reimbursements are conditioned on the Contract Activities being performed in compliance with the Contract. Performing Party shall return payment to TCEQ for either overpayment or activities undertaken that are not compliant with the Contract Activities. This does not limit or waive any other TCEQ remedy.

7. FINANCIAL RECORDS, ACCESS AND AUDITS

- 7.1 Audit of Funds.** The Performing Party understands that acceptance of funds under this Contract acts as acceptance of the authority of the State Auditor's Office, or any successor agency, to conduct an audit or investigation in connection with those funds. Performing Party further agrees to fully cooperate with the State Auditor's Office or its successor in the conduct of the audit or investigation, including providing all records requested. Performing Party shall ensure that this clause concerning the authority to audit funds received indirectly by subcontractors through Contractor and the requirement to cooperate is included in any subcontract it awards.
- 7.2 Financial Records.** Performing Party shall establish and maintain financial records including records of costs of the contract activities in accordance with state financial laws and state constitution and follows OMB A-87 and Uniform Grant Management Standards (UGMS). Upon request Performing Party shall submit records in support of reimbursement requests. Performing Party shall allow access during business hours to its financial records by TCEQ and other state agencies for the purpose of inspection and audit. Records shall be maintained for a minimum of three years beyond the expiration or earlier termination of this Contract, and three years after the end of any litigation or claims process, including appeals.

8. INDIRECT COST RATE

- 8.1 Authority for Indirect Cost Rates.** The Performing Party shall comply with OMB Circular A-87 and the Uniform Grant Management Standards (UGMS) relating to Indirect Cost Rates. In the event an audit changes the indirect cost rate, Performing Party agrees to waive additional indirect costs, or in the alternative, contribute the difference between the contract indirect rate and audited indirect rate.
- 8.2 Indirect Cost Rate of Contract Activities.** The cost of services provided to TCEQ by another agency may include allowable direct costs of the service plus a pro rata share of indirect costs, if authorized by the budget. A standard indirect cost allowance equal to 10% of the direct salary and wage cost of the activity may be used in lieu of determining the actual indirect costs of the activity.

9. AMENDMENTS

Changes to the Contract are only effective by a written amendment, signed and agreed to by the Parties.

10. CONTRACT INTERPRETATION

- 10.1 **Interpretation of Time.** All days are calendar days, unless stated otherwise. Days are counted to exclude the first and include the last day of a period. If the last day of the period is a Saturday or Sunday, or a state or federal holiday, it is omitted from the computation.
- 10.2 **State, Federal Law.** This Contract is governed by, and interpreted under the laws of the State of Texas, as well as applicable federal law.
- 10.3 **Severability.** If any provision of this Contract is found by any court, tribunal or administrative body of competent jurisdiction to be wholly or partly illegal, invalid, void or unenforceable, it shall be deemed severable (to the extent of such illegality, invalidity or unenforceability) and the remaining part of the provision and the rest of the provisions of this Contract shall continue in full force and effect. If possible, the severed provision shall be deemed to have been replaced by a valid provision having as near an effect to that intended by the severed provision as will be legal and enforceable.

11. PERFORMING PARTY'S RESPONSIBILITIES

- 11.1 **Performing Party's Responsibility** for the Contract Activities. Performing Party undertakes performance of the Contract Activities as its own project and does not act in any capacity on behalf of the TCEQ nor as a TCEQ agent, employee or vendor of goods or services. Performing Party agrees that the Contract Activities are furnished and performed at Performing Party's sole risk as to the means, methods, design, processes, procedures and performance of the Contract Activities.
- 11.2 **Independent Contractor.** Nothing in this Contract shall create an employee-employer relationship between Performing Party and TCEQ. Nothing in this Contract shall create a joint venture between TCEQ and the Performing Party. The parties agree that the Performing Party is an independent contractor.
- 11.3 **Performing Party's Responsibility** for Subcontractors. All acts and omissions of Subcontractors, Suppliers and other persons and organizations performing or furnishing any of the Contract Activities under a direct or indirect contract with Performing Party shall be considered to be the acts and omissions of Performing Party.
- 11.4 **No Third Party Beneficiary.** TCEQ does not assume any duty to exercise any of its rights and powers under the Contract for the benefit of third parties. Nothing in this Contract shall create a contractual relationship between TCEQ and any of Performing Party's subcontractors, suppliers or other persons or organizations with a contractual relationship with the Performing Party.

12. RESERVED

13. CONFLICT OF INTEREST

The Performing Party shall timely notify TCEQ in writing of any actual, apparent, or potential conflict of interest regarding the Performing Party or any related entity or individual. No entity or individual with any actual, apparent, or potential conflict of interest shall take part in the performance of any portion of the Contract Activities, nor have access to information regarding any portion of the Contract Activities. Performing Party agrees that TCEQ has sole discretion to determine whether a conflict exists, and that a conflict of interest is grounds for termination for cause.

14. INTELLECTUAL PROPERTY

- 14.1 **Third Party Intellectual Property.** Unless specifically waived, Performing Party must obtain all Intellectual Property licenses expressly required in the Scope of Work, or incident to the use or possession of the intellectual property. Performing Party shall obtain and furnish to TCEQ: documentation on the use of such Intellectual Property, and a perpetual, irrevocable, enterprise-wide license to reproduce, publish, otherwise use, or modify such Intellectual Property and associated user documentation, and to authorize others to reproduce, publish, otherwise use, or modify such Intellectual Property for TCEQ non-commercial purposes, and other purposes of the State of Texas.

14.2 **Grant of License.** Performing Party grants to TCEQ a nonexclusive, perpetual, irrevocable, enterprise-wide license to reproduce, publish, modify or otherwise use for any non-commercial TCEQ purpose any preexisting intellectual property belonging to the Performing Party that is incorporated into the Contract Activities, intellectual property created under this Contract, and associated user documentation.

15. TIME DELAYS

15.1 **Time is of the Essence.** Performing Party's timely performance is a material term of this Contract.

15.2 **Delays.** Where Performing Party's performance is delayed, except by Force Majeure or act of the TCEQ, TCEQ may withhold or suspend reimbursement, terminate the Contract, or enforce any of its other rights.

16. TERMINATION

16.1 **Termination for Cause.** TCEQ may, upon 10 days' written notice and the opportunity to cure, terminate this Contract for cause if Performing Party materially fails to comply with the Contract including any one or more of the following acts or omissions: nonconforming Contract Activities, existence of a conflict of interest, failure to provide evidence of required insurance coverage and failure to comply with HUB requirements in law or this Contract. Termination for cause does not prejudice TCEQ's other remedies authorized by this Contract or by law.

16.2 **Termination for Convenience.** TCEQ may, upon 10 days' written notice, terminate this Contract for convenience. Termination shall not prejudice any other right or remedy of TCEQ or the Performing Party. Performing Party may request reimbursement for: conforming Contract Activities and timely, reasonable costs directly attributable to termination. Performing Party shall not be paid for: work not performed, loss of anticipated profits or revenue, consequential damages or other economic loss arising out of or resulting from the termination.

16.3 If, after termination for cause by TCEQ, it is determined that the Performing Party had not materially failed to comply with the Contract, the termination shall be deemed to have been for the convenience of the TCEQ.

17. INSURANCE AND INDEMNIFICATION

17.1 **Insurance.** Unless prohibited by law, the Performing Party shall require its contractors to obtain and maintain during the Contract Period adequate insurance coverage sufficient to protect the Performing Party and the TCEQ from all claims and liability for injury to persons and for damage to property arising from the Contract. Unless specifically waived by the TCEQ, sufficient coverage shall include Workers Compensation and Employer's Liability Insurance, Commercial Automobile Liability Insurance, and Commercial General Liability Insurance.

17.2 **Indemnification.** TO THE EXTENT AUTHORIZED BY LAW, THE PERFORMING PARTY SHALL REQUIRE ALL CONTRACTORS PERFORMING CONTRACT ACTIVITIES ON BEHALF OF PERFORMING PARTY TO INDEMNIFY, DEFEND, AND HOLD HARMLESS THE TCEQ AND PERFORMING PARTY AND THEIR OFFICERS, EMPLOYEES AND REPRESENTATIVES FROM AND AGAINST ALL LOSSES, LIABILITIES, DAMAGES, AND OTHER CLAIMS OF ANY TYPE ARISING FROM THE PERFORMANCE OF CONTRACT ACTIVITIES BY THE CONTRACTOR OR ITS CONTRACTORS, SUPPLIERS AND AGENTS, INCLUDING THOSE ARISING FROM A DEFECT IN DESIGN, WORKMANSHIP, MATERIALS, OR FROM INFRINGEMENT OF ANY PATENT, TRADEMARK OR COPYRIGHT; OR FROM A BREACH OF APPLICABLE LAWS, REGULATIONS, SAFETY STANDARDS OR DIRECTIVES. THE DEFENSE OF THE TCEQ SHALL BE SUBJECT TO THE AUTHORITY OF THE OFFICE OF THE ATTORNEY GENERAL OF TEXAS TO REPRESENT THE TCEQ. THIS COVENANT SURVIVES THE TERMINATION OF THE CONTRACT.

18. DISPUTES, CLAIMS AND REMEDIES

18.1 **Payment not a Release.** Neither payment by TCEQ nor any other act or omission other than an explicit written release constitutes a release of Performing Party from liability under this Contract.

- 18.2 **Schedule of Remedies available to the TCEQ.** In accordance with Texas Government Code Chapter 2261 the following Schedule of Remedies applies to this contract. In the event of Performing Party's nonconformance, TCEQ may do one or more of the following:
- 18.2.1 Issue notice of nonconforming performance;
 - 18.2.2 Reject nonconforming performance and request corrections without charge to the TCEQ;
 - 18.2.3 Reject a reimbursement request or suspend further payments, or both, pending accepted revision of the nonconformity;
 - 18.2.4 Suspend all or part of the Contract Activities or payments, or both, pending accepted revision of the nonconformity;
 - 18.2.5 Demand restitution and recover previous payments where performance is subsequently determined nonconforming;
 - 18.2.6 Terminate the contract without further obligation for pending or further payment by the TCEQ and receive restitution of previous payments.
- 18.3 **Opportunity to Cure.** The Performing Party will have a reasonable opportunity to cure its nonconforming performance, if possible under the circumstances.
- 18.4 **Cumulative Remedies.** Rights and remedies in this Contract are in addition to, and are not in any way a limitation of, any rights and remedies available under state and federal rules, regulations, and laws and at common law.

19. Sovereign Immunity

The parties agree that this Contract does not waive sovereign immunity relating to suit, liability, or payment of damages.

20. MISCELLANEOUS

- 20.1 **Assignment.** No delegation of the obligations, rights, or interests in the Contract, and no assignment of payments by Performing Party will be binding on TCEQ without its written consent, except as restricted by law. No assignment will release or discharge the Performing Party from any duty or responsibility under the Contract.
- 20.2 **Venue.** Performing Party agrees that the Contract is being performed in Travis County, Texas, because this Contract has been performed or administered, or both, in Travis County, Texas. The Performing Party agrees that any cause of action involving this Contract arises solely in Travis County, Texas.
- 20.3 **Publication.** Performing Party agrees to notify TCEQ five days prior to the publication or advertisement of information related this Contract. Performing Party agrees not to use the TCEQ logo or a TCEQ graphic as an advertisement or endorsement without written permission signed by the appropriate TCEQ authority.
- 20.4 **Waiver.** With the exception of an express, written document signed with authority by TCEQ, no act or omission will constitute a waiver or release of Performing Party's obligation to perform conforming Contract Activities. No waiver on one occasion, whether expressed or implied, shall be construed as a waiver on any other occasion.
- 20.5 TCEQ relies on Performing Party to perform all Contract Activities in conformity with all applicable laws, regulations, and rules and obtain all necessary permits and licenses.
- 20.6 **Survival of Obligations.** Except where a different period is specified in this Contract or applicable law, all representations, indemnifications, and warranties made in, required by or given in accordance with the Contract, as well as all continuing obligations indicated in the Contract, survive for four years beyond the termination or completion of the Contract, or after the end of a proceeding which was brought under the Contract, or if TCEQ has notified Performing Party of an on-going proceeding. A proceeding includes any litigation, legal proceeding, permit application,

Contract Name: **Travis County Environmental Crimes Prosecutor** TCEQ Contract Number: **582-13-30092**

State Office of Administrative Hearings proceeding, or similar activity listed in a TCEQ notice to the Performing Party.

- 20.7 **Headings.** The headings of the sections contained in this Contract are for convenience only and do not control or affect the meaning or construction of any provision of this Contract.
- 20.8 **Release of Claims.** As a condition to final payment or settlement, or both, the Performing Party shall execute and deliver to the TCEQ a release of all claims against the TCEQ for payment under this Contract.
- 20.9 **Counterparts.** This Contract may be signed in any number of copies. Each copy when signed is deemed an original and each copy constitutes one and the same Contract.

21. PROJECT REPRESENTATIVES AND RECORDS LOCATION

21.1 TCEQ Project Representative. The individual named below is the TCEQ Project Representative, who is authorized to give and receive communications and directions on behalf of the TCEQ. All communications including all payment requests must be addressed to the TCEQ Project Representative or his or her designee.

Michael Blinn Telephone No.: (512) 239-4705

Staff Attorney (Title) (Mail Code) Facsimile No.: (512) 239-3434
Texas Commission on Environmental Quality
P.O. Box 13087
Austin, Texas 78711-3087

21.2 Performing Party Project Representative. The individual named below is the Performing Party Project Representative, who is authorized to give and receive communications and directions on behalf of the Performing Party. All communications to the Performing Party will be addressed to the Performing Party Project Representative or his or her designee.

PROJECT MANAGER:

John Neal Telephone No.: (512) 854-9401

First Assistant District Attorney (Title) Facsimile No.: (512) 854-9534
P. O. Box 1748 (Mailing Address)
Austin Texas 78767
(City) (State) (Zip Code)

CONTRACT REPRESENTATIVE:

Vicki Skinner Telephone No.: (512) 854-9522

Director of Administration (Title) Facsimile No.: (512) 854-9789
P. O. Box 1748 (Mailing Address)
Austin Texas 78767
(City) (State) (Zip Code)

21.3 Submittal of Payment Requests. Payment requests must be submitted to (whichever is checked):

- the TCEQ Project Representative.
- the TCEQ Disbursements Section.

(if neither box is checked, payment requests must be submitted to the TCEQ Project Representative).

21.4 Designated Location for Records Access and Review. The Performing Party designates the physical location indicated below for record access and review pursuant to any applicable provision of this contract:

Vicki Skinner Telephone No.: (512) 854-9522

Director of Administration (Title) Facsimile No.: (512) 854-9789
509 W. 11th (Mailing Address)
Austin Texas 78701
(City) (State) (Zip Code)

276
206

CONTRACT BUDGET FOR ACTUAL COST REIMBURSEMENT

22. CONTRACT BUDGET

22.1 Budget. Authorized budgeted expenditures for Work Performed are initially established as follows:

| Budget Item | Cost for Work in FY 13 | Cost for Work in FY 14 | Cost for Work in FY 15 | Total Cost for Work in FY 13-15 |
|---------------------------------------|-------------------------------|-------------------------------|-------------------------------|--|
| Personnel / Salary | \$155,884 | \$163,621 | \$145,669 | \$465,174 |
| Fringe Benefits | \$49,586 | \$53,175 | \$44,437 | \$147,198 |
| Travel | | | | |
| Supplies | | | | |
| Contractual | | | | |
| Other | | | | |
| Indirect Costs | | | | |
| TOTAL AMOUNT OF GRANT CONTRACT | | | | \$612,372.00 |

Budgeted funds not expended in fiscal year 2013 may be used for expenses in fiscal year 2014 in the same Budget Item category. Budgeted funds not expended in fiscal year 2014 may be used for expenses in fiscal year 2015 in the same Budget Item category.

22.2 Negotiated Predetermined Indirect Cost Rate.

TCEQ and Performing Party may negotiate a predetermined final indirect cost rate for the term of the contract based on the cost experience and other pertinent facts that are sufficient to enable the parties to reach an informed judgment (1) as to the probable level of indirect costs in the Performing Party's programs during the term of the Contract, covered by the negotiated rate, and (2) the amount allowable under that predetermined rate would not exceed the indirect costs.

22.3 Budget Control and Transfers. Cumulative transfers among the budgeted direct cost categories shown in Article 22.1 must not exceed ten percent (10%) of the original Total Amount of Grant Contract.

22.4 Submittal of Payment Requests. Unless otherwise stipulated in the Contract, payment requests must be submitted at monthly intervals. Note: Invoices shall be submitted no later than October 31 for each contract year (September 1 - August 31) unless a later time is otherwise approved in writing by TCEQ.

22.5 Equipment and Supplies. Travis County shall be the owner of all equipment and supplies purchased under this Contract. To the extent that the equipment and supplies have useful life at the end of the Contract, Travis County will endeavor to use the equipment and supplies for work relating to other TCEQ funded activities.

GRANT SUMMARY SHEET

| | | |
|-----------------------|--|---|
| Check One: | Application Approval: <input type="checkbox"/> | Permission to Continue: <input type="checkbox"/> |
| | Contract Approval: <input checked="" type="checkbox"/> | Status Report: <input type="checkbox"/> |
| Check One: | Original: <input checked="" type="checkbox"/> | Amendment: <input type="checkbox"/> |
| Check One: | New Grant: <input type="checkbox"/> | Continuation Grant: <input checked="" type="checkbox"/> |
| Department/Division: | Sheriff - Law Enforcement | |
| Contact Person/Title: | Tracy Miller, Planner | |
| Phone Number: | 512.854.6923 | |

| | | | |
|---|---|--|---|
| Grant Title: | SCATTF - Sheriff's Combined Auto Theft Task Force | | |
| Grant Period: | From: 09-01-2012 | To: 08-31-2013 | |
| Fund Source: | Federal: <input type="checkbox"/> | State: <input checked="" type="checkbox"/> | Local: <input type="checkbox"/> |
| Grantor: | ABTPA - Auto Burglary Theft Prevention Authority | | |
| Will County provide grants funds to a subrecipient? | | Yes: <input checked="" type="checkbox"/> | No: <input type="checkbox"/> |
| Are the grant funds pass-through another agency? If yes list originating agency below | | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> |
| Originating Grantor: | | | |

| Budget Categories | Grant Funds | County Cost Share | <i>County Contribution</i> | In-Kind | TOTAL |
|--------------------|-------------|-------------------|----------------------------|---------|-------------|
| Personnel: | 605,653 | 173,811 | 236,537 | 0 | \$1,016,001 |
| Operating: | 35,828 | 0 | 0 | 0 | \$35,828 |
| Capital Equipment: | 0 | 0 | 0 | 0 | \$0 |
| Indirect Costs: | 0 | 0 | 0 | 0 | \$0 |
| Total: | \$641,481 | \$173,811 | \$236,537 | \$0 | \$1,051,829 |
| FTEs: | 10.00 | 2.00 | 0.00 | 0.00 | 12.00 |

| Permission to Continue Information | | | | | |
|------------------------------------|----------------|--------------------|-----------------|------------|---------------------|
| Funding Source (Account number) | Personnel Cost | Operating Transfer | Estimated Total | Filled FTE | PTC Expiration Date |
| | 0 | 0 | \$0 | 0.00 | |

| Department | Review | Staff Initials | Comments |
|-----------------|-------------------------------------|----------------|----------|
| County Auditor | <input checked="" type="checkbox"/> | JC | |
| County Attorney | <input checked="" type="checkbox"/> | JC | |

| Performance Measures Applicable Depart. Measures | Projected FY 12 Measure | Progress To Date: | | | | Projected FY 13 Measure |
|---|---|-------------------|---------|---------|---------|-------------------------------|
| | | 12/31/11 | 3/31/12 | 6/30/12 | 9/30/12 | |
| Measures For Grant | | | | | | |
| Outcome Impact Description | | | | | | |
| Public Awareness | 125 | | | | | |
| Outcome Impact Description | Educate and provide tools to deter and prevent auto thefts and burglaries | | | | | |
| Interdiction Operations | 215 | | | | | |
| Outcome Impact Description | Conduct stings in areas of high incident. | | | | | |

PBO Recommendation:

The Travis County Sheriff's Office is requesting approval of the annual contract with the Automobile Burglary and Theft Prevention Authority for the Sheriff's Combined Auto Theft Task Force Grant. Also included is a request from the grantor to amend the original application so it will tie to the final award amount. The contract is submitted on behalf of Travis County and 16 other counties with the Sheriff of each county forming the Advisory Board of the program. Travis County has typically received roughly half of the award with the other counties receiving the remaining funds. The actual amount that Travis County will receive is approximately \$337,153 of the \$641,481 award and could vary slightly depending on the travel needs of the other agencies. Travis County's portion of the cost share is \$173,811 and portion of the county contribution is \$121,272. The remaining amounts Both are fully budgeted.

PBO recommends approval of the contract to continue the existing program with the grantor that has been in place for the last fifteen years.

1. Brief Narrative - Summary of Grant: What is the goal of the program? How does the grant fit into the current activities of the department? Is the grant starting a new program, or is it enhancing an existing program?

The goal of the program is to reduce auto theft rates in the task force areas.

2. Departmental Resource Commitment: What are the long term County funding requirements of the grant?

NA

3. County Commitment to the Grant: Is a county match required? If so, how does the department propose to fund the grant match? Please explain.

Matching funds are from Travis County field agent salary and County Agents salary fringe benefits.

4. Does the grant program have an indirect cost allocation, in accordance with the grant rules? If not, please explain why not.

No - not allowable.

5. County Commitment to the Program Upon Discontinuation of Grant by Grantor: Will the program discontinue upon discontinuance of the grant funding? (Yes/No) If No: What is the proposed funding mechanism: (1) Request additional funding (2) Use departmental resources. If (2) is answered, provide details about what internal resources are to be provided and what other programs will be discontinued as a result.

NA

6. If this is a new program, please provide information why the County should expand into this area.

The Task Force has been in existence since 1995.

7. Please explain how this program will affect your current operations. Please tie the performance measures for this program back to the critical performance measures for your department or office.

The program has been very successful in combining multi-county efforts to combat auto theft rings and individuals in our part of the State of Texas.



12 JUL 18 AM 10:25

GREG HAMILTON
TRAVIS COUNTY SHERIFF
PLANNING & BUDGET OFFICE
P.O. Box 1748
Austin, Texas 78767
(512) 854-9770
www.tcsheriff.org

JAMES N. SYLVESTER
Chief Deputy

PHYLLIS CLAIR
Major - Law Enforcement

DARREN LONG
Major - Corrections

MARK SAWA
Major - Administration & Support

July 18, 2012

MEMORANDUM

To: Honorable Sam Biscoe, County Judge
Honorable Ron Davis, Commissioner, Precinct 1
Honorable Sarah Eckhardt, Commissioner, Precinct 2
Honorable Karen Huber, Commissioner, Precinct 3
Honorable Margaret Gomez, Commissioner, Precinct 4

From: Tracy Miller, Planner 

Subject: Acceptance Letter
RE: Auto Burglary Theft Prevention Authority Grant

Attached are the acceptance documents for our ABTPA grant. The Commissioners Court passed this grant application on consent on May 1, 2012 (Item 19A).

The grant is in the amount of \$1,051,829. We will receive \$641,481 from ABTPA for task force personnel salaries, travel and some supplies. The county match will be \$410,348.

We appreciate the support the Travis County Commissioners Court has given us in our effort to reduce crimes against people and property, which are so costly to our citizens.

Attachments

xc: Travis Gatlin
Janice Cohoon
Jim Connolly



July 9, 2012

Honorable Samuel T. Biscoe
Travis County Judge
Travis County
P.O. Box 1748
Austin, Texas 78767

Re: GRANT NBR: SA-T01-10069-13 YEAR OF FUNDING: 20
APPLICATION: Travis County
TITLE: Sheriff's Combined Auto Theft Task Force
AMOUNT: \$ 641,481

Dear Judge Biscoe:

I am pleased to inform you that the above referenced grant is approved in the amount indicated. The grant award must be accepted within 30 days by completing and returning the enclosed grantee acceptance notice to the Texas Automobile Burglary & Theft Prevention Authority.

I look forward to working with you to ensure the success of your program. Any questions relating to the administration of this grant should be directed to our office by calling the Grant Administrator, Jan Gregg (512) 374-5107.

Sincerely,

Charles Caldwell
Director, ABTPA

**Texas Automobile Burglary and Theft
Prevention Authority
Statement of Grant Award**

Grant Number: SA-T01-10069-13
Grantee Name: Travis County
Project Title: Sheriff's Combined Auto Theft Task Force (SCATTF)
Grant Period: 09/01/2012 - 08/31/2013

ABTPA Award: \$641,481
Grantee Cash Match: \$410,348
Grantee In-Kind Match: \$0
Total Project Cost: \$1,051,829

The Texas Automobile Burglary and Theft Prevention Authority (ABTPA) has awarded the above-referenced grant. The approved budget is reflected in the attached Approved Budget Summary. This grant is subject to and conditioned upon acceptance of the ABTPA Grant Application and Administration Guidelines (Guide) promulgated for this specific program fund (referenced above) through the Automobile Burglary and Theft Prevention Authority. Applicable special conditions are contained in the Guide or cited below. Total project costs must be accounted for in accordance with the Uniform Grant and Contract Management Standards and the Guide.

GRANTEE REQUEST FOR FUNDS

All Grantee request for funds shall be submitted to ABTPA in accordance with the instructions provided by ABTPA and shall be in the form required by ABTPA. Requests for funds will not be honored until all special conditions outlined on the Statement of Grant Award and that required action on the part of the grantee have been satisfied.

GRANT ADJUSTMENTS

Grantee shall submit written requests for grant adjustments, as required by the applicable ABTPA Rule contained in the Grant Application and Administration Guidelines for this specific program fund.

JUL 09 2012

AWARD DATE



CHARLES CALDWELL

Automobile Burglary and Theft Prevention Authority
4000 Jackson Avenue, Austin, Texas 78731 512/374-5101

**Texas Burglary and Automobile Theft
Prevention Authority
Approved Budget Summary**

Grant Number: SA--T01-10069-13 **Region:** 1200
Grantee: Travis County **Date:** 07/16/12
Project Title: Sheriff's Combined Auto Theft Task Force (SCATTF)
Grant Period: 09/01/2012 to 08/31/2013
Funding Source: Auto Burglary & Theft Prevention Authority

| | ABTPA | Cash Match | In-Kind | TOTAL |
|------------------------|------------------|------------------|------------|--------------------|
| A. Personnel: | \$605,653 | \$410,348 | | \$1,016,001 |
| B. Contractual: | | | | \$0 |
| C. Travel: | \$10,000 | | | \$10,000 |
| D. Equipment: | | | | \$0 |
| E. Supplies: | \$25,828 | | | \$25,828 |
| F. Indirect: | | | | \$0 |
| Total: | \$641,481 | \$410,348 | \$0 | \$1,051,829 |

Budget Detail:

- A.** Sergeant \$92,326; Field Agent-Bastrop \$48,152; Field Agent-Colorado Co \$42,462; Field Agent-Comal Co.\$84,541; Field Agent-Guadalupe Co \$48,693; Field Agent-Hays Co. \$51,088; Field Agent-Travis Co.\$84,120; Field Agent-Travis Co. \$84,120; Field Agent-Wharton Co. \$49,392; Public Awareness Coordinator \$40,759
- C.** ABTPA Conference \$4,620; Border Solutions \$544; TAVTI Conference \$4,836
- E.** Fuel & Maintenance for PA \$9,623; Cellular Airtime \$6,205; Confidential Funds \$5,000; Public Awareness \$5,000

Law Enforcement, Detection and Apprehension

**TEXAS AUTOMOBILE BURGLARY AND THEFT PREVENTION AUTHORITY
GRANTEE ACCEPTANCE NOTICE**

AGREEMENT:

That whereas Travis County, hereinafter referred to as Grantee, has heretofore submitted a grant application to the Automobile Burglary and Theft Prevention Authority, State of Texas, entitled Sheriffs' Combined Auto Theft Task Force, and further identified by grant number SA-T01-10069-13; and

Whereas, the Automobile Burglary and Theft Prevention Authority has approved the grant application as evidenced by the Statement of Grant Award from the Automobile Burglary and Theft Prevention Authority dated 06/26/2012, certain special requirements; and

Whereas, the Grantee desires to accept the grant award, the Uniformed Grant and Contract Management Standards, and special requirements as evidenced by the Statement of Grant Award;

Now, therefore, the Grantee accepts the aforementioned Statement of Grant Award, the Uniformed Grant and Contract Management Standards and special requirements in the grant application and the Statement of Grant Award as evidenced by the agreement, executed by the project director, the financial officer, and the official authorized to sign the original grant application, or the official's successor, as presiding officer of and on behalf of the governing body of this grantee; and

Now, therefore, the Grantee shall designate either the project director or the financial officer to coordinate and be solely responsible for submission of adjustments pertaining to both program and financial elements of the application, and the POSITION authorized to submit adjustments is Project Director Chair.

NON-LOBBYING CERTIFICATION:

We, the undersigned, certify that none of the grant funds, regardless of their source or character, including local cash assumption of cost funds, shall be used in any manner to influence the outcome of any election or the passage or defeat of any legislative measure.

A finding that a grantee has violated the certification shall result in the immediate termination of funding of the project and the grantee shall not be eligible for future funding from the Automobile Burglary and Theft Prevention Authority.

Certified By: _____ Date: _____

Signature of Project Director

Signature of Project Manager

Name & Title(must print or type)

Name & Title(must print or type)

Official Agency Address(street or post office box)

Official Agency Address(street or post office box)

City/Zip Code/Telephone Number

City/Zip Code/Telephone Number

Signature of Authorized Official

Signature of Financial Officer

Name & Title (must print or type)

Name & Title (must print or type)

Official Agency Address (street or post office box)

Official Agency Address (street or post office box)

City/Zip Code/Telephone Number

City/Zip Code/Telephone Number

THE STATE OF TEXAS
COUNTY OF TRAVIS

RESOLUTION

WHEREAS, the Travis County Commissioners Court finds that it is in the best interest of the citizens of Travis County that the Sheriff's Combined Auto Theft Task Force be operated for a sixteenth year; and

WHEREAS, the Travis County Commissioners Court has considered the proposed application for financial assistance to be submitted to the Auto Theft Prevention Authority, a division of the Texas Department of Transportation, and,

NOW, THEREFORE, BE IT RESOLVED, that the Travis County Commissioners Court approves submission of the grant application for the Sheriff's Combined Auto Theft Task Force to the Auto Theft Prevention Authority.

RESOLVED this 18th day of July, 2012

TRAVIS COUNTY COMMISSIONERS COURT

Samuel T. Biscoe, Travis County Judge

Ron Davis
Commissioner, Precinct One

Sarah Eckhardt
Commissioner, Precinct Two

Karen Huber
Commissioner, Precinct Three

Margaret Gomez
Commissioner, Precinct Four

Resolved, Ordered and Executed as of the dates set forth below.

County of Bastrop

County Judge Date

County of Bell

County Judge Date

County of Blanco

County Judge Date

County of Caldwell

County Judge Date

County of Colorado

County Judge Date

County of Comal

County Judge Date

County of Fayette

County Judge Date

County of Gonzales

County Judge Date

County of Hays

County Judge Date

County of Lee

County Judge Date

County of Llano

County Judge Date

County of Milam

County Judge Date

County of Travis

County Judge Date

County of Wharton

County Judge Date

County of Williamson

County Judge Date

County of Wilson

County Judge Date



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY



APPLICATION FOR STATE ASSISTANCE AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY (ABTPA)

| | | |
|--|------------------------------|---------------------------------|
| 1. For ABTPA Use Only | 3. a. Date Submitted | b. Applicant Identifier |
| 2. State Program Classification (For ABTPA Use Only) | 4. a. Date Received by State | b. State Application Identifier |

5. Applicant Information

| | |
|---|--|
| a. Legal Name: Travis County | c. Organizational Unit: Travis County Sheriff's Office |
| b. Address (give street or P. O. Box, City, County, State, and Zip Code) PO Box 1748 Austin, TX 78767 | d. Name and telephone number of person to be contacted on matters involving this application (give area code) Major Phyllis Clair (512) 854.9759 |

| | | | | | | | | | | | | | | | |
|--|--|----------|--------------------------------|-----------|--|--------------|-----------------------|-------------|-----------------|---------------|---------------|-------------------|---------------------------|---------------------|---------------------------|
| 6. State Payee Identification Number: 74-6000192 | 7. Type of Applicant (enter the appropriate letter in box) B <table border="0"> <tr> <td>A. State</td> <td>H. Independent School District</td> </tr> <tr> <td>B. County</td> <td>I. State Controlled Institution of Higher Learning</td> </tr> <tr> <td>C. Municipal</td> <td>J. Private University</td> </tr> <tr> <td>D. Township</td> <td>K. Indian Tribe</td> </tr> <tr> <td>E. Interstate</td> <td>L. Individual</td> </tr> <tr> <td>F. Intermunicipal</td> <td>M. Nonprofit Organization</td> </tr> <tr> <td>G. Special District</td> <td>N. Other (specify): _____</td> </tr> </table> | A. State | H. Independent School District | B. County | I. State Controlled Institution of Higher Learning | C. Municipal | J. Private University | D. Township | K. Indian Tribe | E. Interstate | L. Individual | F. Intermunicipal | M. Nonprofit Organization | G. Special District | N. Other (specify): _____ |
| A. State | H. Independent School District | | | | | | | | | | | | | | |
| B. County | I. State Controlled Institution of Higher Learning | | | | | | | | | | | | | | |
| C. Municipal | J. Private University | | | | | | | | | | | | | | |
| D. Township | K. Indian Tribe | | | | | | | | | | | | | | |
| E. Interstate | L. Individual | | | | | | | | | | | | | | |
| F. Intermunicipal | M. Nonprofit Organization | | | | | | | | | | | | | | |
| G. Special District | N. Other (specify): _____ | | | | | | | | | | | | | | |

| | |
|--|---|
| 8. Type of Application: <input type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, check appropriate box(es). <input type="checkbox"/> Increase Award <input type="checkbox"/> Decrease Award <input type="checkbox"/> Other (specify) <input type="checkbox"/> Increase Duration <input type="checkbox"/> Decrease Duration | 9. Name of Grantor Agency: Texas Automobile Burglary & Theft Prevention Authority 4000 Jackson Avenue Austin, Texas 78731 Phone: (512) 374-5101 Fax: (512) 374-5110 Website: www.txwatchyourcar.com |
|--|---|

| | |
|---|---|
| 10. Title of Project: Sheriff's Combined Auto Theft Task Force (SCATTF) | 11. Areas of Project Activities (Cities, Counties, States, etc.) Bastrop, Bell, Blanco, Caldwell, Colorado, Comal, Fayette, Gonzales, Guadalupe, Hays, Lee, Llano, Milam, Travis, Wharton, Williamson & Wilson Counties |
|---|---|

12. Proposed Project

Start Date: **09-01-2012**

Ending Date: **08-31-2013**

14. Funding Summary:
Total of a, b, & c must agree with d.
Note: Please enter whole dollars for the amounts requested.

| | |
|--|--------------------|
| a. Total State Grant Funds Requested (ABTPA) | \$ 641,481 |
| b. Cash Match | \$410,348 |
| c. In-Kind Match | \$ |
| d. TOTAL(s) | \$1,051,829 |

13. Is application subject to review by state executive order 12372 process?

YES, this application was made available to the Texas Review and Comment System (TRACS) for review on _____ Date

Program is not covered by E. O. 12372

Program has not been selected by state for review

NO.

15. Is the applicant delinquent on any federal debt?

YES If "Yes" attach an explanation NO

16. To the best of my knowledge and belief, all data in this application is true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

| | | |
|---|---------------------------------|--|
| a. Typed name of Authorized Official Samuel T. Biscoe | b. Title County Judge | c. Telephone Number 512.854.9555 |
| d. Signature of Authorized Official | e. Date Signed | |



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

PROJECT APPROVAL INFORMATION

Item 1.

Does this assistance request require state, local, regional, or other priority rating?

Yes No

Name of Governing Body _____

Priority Rating _____

Item 2.

Does this assistance request require state, or local advisory, educational, or health clearance?

Yes No

Name of Agency or Board _____

(Attach Documentation)

Item 4.

Does this assistance request require state, local, regional, or other planning approval?

Yes No

Name of Approving Agency _____

Item 6.

Will the assistance requested serve a federal installation?

Yes No

Name of Federal Installation _____

Federal Population Benefiting from Project _____

Item 8.

Will the assistance requested have an impact or effect on the environment?

Yes No

See instructions for additional information to be provided.

Item 9.

Will the assistance requested cause the displacement of individuals, families, businesses or farms?

Yes No

Number of Individuals _____

Families _____

Businesses _____

Farms _____

Item 10.

Is there other related assistance on this project (previous, pending, or anticipated)?

Yes No

See instructions for additional information to be provided.

AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

BUDGET SUMMARY

Section A—Budget Summary

| | Schedule | Budget Categories | (1) ABTPA Funds | (2) Cash Match | (3) In-Kind Match | (4) Total |
|---|----------|--|-----------------------|-------------------|-------------------------|--------------------|
| 1 | A | Personnel (Direct Salaries) | 605,653 | 138,776 | | \$744,429 |
| 2 | A | Personnel (Fringe Benefits) | | 271,572 | | \$271,572 |
| 3 | B | Professional and Contractual Services | | | | |
| 4 | C | Travel | 10,000 | | | \$10,000 |
| 5 | D | Equipment | | | | |
| 6 | E | Supplies and Direct Operating Exp. | 25,828 | | | \$25,828 |
| 7 | | Total Direct Charges (Sum of 1-6) | 641,481 | 410,348 | | \$1,052,189 |
| 8 | F | Indirect Costs | | | | |
| 9 | | TOTALS (Sum of 7-8) | \$641,481 | \$410,348 | | \$1,051,829 |

Section B—Cash and/or In-Kind Match

Enter separately each source of matching funds and the amounts.

Total Match must agree with the total of Line 9, Column 2 and Column 3 above and the total of lines 14 (b) and (c) on ABTPA-1.

| CASH | | | | TOTAL |
|---|-----------|-----------|--------|------------------|
| Source | Amount | Source | Amount | |
| Task Force Counties General Fund Benefits | \$410,348 | | | \$410,348 |
| PROGRAM INCOME (To be utilized.) | | | | TOTAL |
| Total Program Income (available) | | \$ 70,062 | | |
| IN-KIND (Total must agree with ABTPA-1, Line 14c.) | | | | TOTAL |
| Schedule | Amount | Schedule | Amount | |
| A | | D | | |
| B | | E | | |
| C | | | | |
| TOTAL MATCH | | | | \$410,348 |

AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SCHEDULE A

PERSONNEL

1. Direct Salaries

| | | (1) | (2) | (3) | (4) |
|------------------------------------|-------------|------------------|------------------|---------|------------------|
| Title or Position | % of Salary | ABTPA Funds | Cash Match | In-Kind | TOTAL |
| A) Task Force Sergeant | 100 | 92,326 | | | 92,326 |
| B) Public Awareness Coordinator | 100 | 40,759 | | | 40,759 |
| C) Field Agent (Bastrop County) | 100 | 48,152 | | | 48,152 |
| D) Field Agent (Colorado County) | 100 | 42,462 | | | 42,462 |
| E) Field Agent (Comal County) | 100 | 64,541 | | | 64,541 |
| F) Field Agent (Guadalupe County) | 100 | 48,693 | | | 48,693 |
| G) Field Agent (Hays County) | 100 | 51,088 | | | 51,088 |
| H) Field Agent (Travis County) | 100 | 84,120 | | | 84,120 |
| I) Field Agent (Travis County) | 100 | 84,120 | | | 84,120 |
| J) Field Agent (Travis County) | 0 | -0- | 84,120 | | 84,120 |
| K) Field Agent (Wharton County) | 100 | 49,392 | | | 49,392 |
| L) Field Agent (Williamson County) | 0 | -0- | 54,656 | | 54,656 |
| M) | | | | | |
| N) | | | | | |
| Overtime | | | | | |
| TOTAL Direct Salaries | | \$605,653 | \$138,776 | | \$744,429 |

2. Fringe Benefits

| | % or \$ Rate | ABTPA | Cash Match | In-Kind | TOTAL |
|--|--------------|-------|------------------|---------|--------------------|
| 401K | @ | | 43,382 | | 43,382 |
| Retirement | @ | | 82,479 | | 82,479 |
| Insurance | @ | | 107,590 | | 107,590 |
| Other (medicare, workers compensation, unemployment, life insurance, longevity, certification) | @ | | 38,121 | | 38,121 |
| TOTAL Fringe Benefits | | | 271,572 | | 271,572 |
| TOTAL PERSONNEL BUDGET | | | \$410,348 | | \$1,016,001 |



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SCHEDULE A PERSONNEL NARRATIVE

Attach a description of the duties or responsibilities of each position. (Job posting cannot substitute for descriptive narrative for each position.)

Include only one position per line.

Percentage of salary to be funded by grant funds.

Should reflect employee's gross salary attributable to the project.

Include percent of time on auto theft for each position. (40 hours per week)

TASK FORCE SERGEANT (40 hours / week, 100%):

- Oversees daily operations and management of the task force. Direct liaison with all public entities.
- Overall field operations. Oversees all aspects of the seizure and forfeitures (sales, etc.) by the task for members.
- Confidential informant files; support operations; scheduling assignments; planning and schedule training.
- Strategic planning for resource deployment and organizational objectives.
- Make official visits to out of county agent offices.
- Help agents achieve their goals; maintain time sheets and evaluations for all task for members. Provide guidance.
- Review all search warrants. Assist in all covert and over operations. Intelligence and information sharing.
- Work closely with the other 29 Auto theft Task Forces within the State of Texas. Be actively involved with the ABTPA Board and TAVTI.

FIELD AGENTS (40 hours / week, 100%):

- Investigate criminal activity related to Auto Theft primarily, but not limited to their geographical area.
- Perform salvage inspections. Bait vehicle operations. Locate chop shops. Conduct training classes. Perform covert and overt interdiction assignments. Plan and conduct surveillance operations for burglary of vehicle (BOV's). Write search warrants.
- Investigate insurance fraud and arson cases related to auto theft. Aid in public awareness presentations and events.

PUBLIC AWARENESS COORDINATOR (40 hours / week, 100%):

- Gather and prepare monthly reports. File all paperwork related to but not limited to goals set forth through the grant. Serves as a notary.
- Conduct public awareness events throughout the 17-county area. Coordinate with local media for coverage of public awareness events.
- Prepares requisitions for all equipment, clothing and office supplies ordered for the Task Force. Receives all items. Monitors inventory.
- Webmaster for the website, www.scattf.org.

Fringe Benefits Narrative

(Describe fringe benefits and how expenses were calculated).

Fringe Benefits are various benefits received by an employee in addition to his or her regular pay. Fringe Benefits for the SCATTF are paid by the county in which the investigator / employee works. These benefits are calculated and placed in the 'cash match' section of the grant. These benefits are Medicare, workers compensation, unemployment, life insurance, longevity, certification and miscellaneous expenses requested by the requesting county such as a uniform stipend.



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SCHEDULE B

PROFESSIONAL AND CONTRACTUAL SERVICES

| Description of Service | (1) ABTPA Funds | (2) Cash Match | (3) In-Kind Match | (4) TOTAL |
|--|-----------------------|----------------------|-------------------------|--------------|
| A) | | | | |
| B) | | | | |
| C) | | | | |
| D) | | | | |
| E) | | | | |
| F) | | | | |
| G) | | | | |
| H) | | | | |
| I) | | | | |
| TOTAL PROFESSIONAL AND CONTRACTUAL SERVICES | | | | |



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SCHEDULE B PROFESSIONAL AND CONTRACTUAL SERVICES NARRATIVE

REQUIRED NARRATIVE: Briefly describe any anticipated contractual arrangement and work products expected. Describe basis for arriving at the cost of each line item. Professional services (such as consultants, trainers, counselors, evaluators, etc.) should be described by type of service, number of hours, rate per hour, and travel costs, if any.

N / A



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SCHEDULE C

TRAVEL

1. In-State Travel (Specify clearly and use continuation pages if necessary)

| | | (1) | (2) | (3) | (4) |
|------------------------------|-------------|-----------------|------------|---------------|-----------------|
| Purpose | Destination | ABTPA Funds | Cash Match | In-Kind Match | TOTAL |
| AVTI Conference | El Paso | 4,836 | | | \$4,836 |
| ABTPA Annual Summit | TBA | 4,620 | | | \$4,620 |
| Border Solutions Meeting | TBA | 544 | | | \$544 |
| | | | | | |
| | | | | | |
| | | | | | |
| TOTAL In-State Travel | | \$10,000 | | | \$10,000 |

2. Out-of-State Travel (Specify clearly and use continuation pages if necessary)

| | | (1) | (2) | (3) | (4) |
|----------------------------------|-------------|-----------------|------------|---------------|-----------------|
| Purpose | Destination | ABTPA Funds | Cash Match | In-Kind Match | TOTAL |
| None | | | | | |
| | | | | | |
| | | | | | |
| TOTAL Out-Of-State Travel | | | | | |
| TOTAL TRAVEL BUDGET | | \$10,000 | | | \$10,000 |

AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SCHEDULE C TRAVEL NARRATIVE

REQUIRED NARRATIVE: Briefly describe the applicant's travel policy (i.e., mileage rates and per diem rates). Specify purposes for each item of travel. Break out costs of each in-state and each out-of-state trip to separately show the specific costs of transportation and per diem. Describe travel purposes and expense calculations (example: purpose, number of participants, number of days/nights, costs for lodging/per diem, transportation, parking, etc).

Travis County policy allows the state contracted room rate plus taxes and parking expenses. If no government rate is quoted, the county will pay the quoted room rate. Meal expenses reimbursed only when the employee is required to be away from home overnight. Per diem and mileage will be reimbursed in accordance with the Travis County Travel Policy current at the time of travel for the purpose of this request. The rates effective October 1, 2012 (\$46 per day and 0.55 per mile) are used. All members of the Sheriff's Combined Auto Theft Task Force are considered employees of Travis County and should be allowed to travel as such.

| Purpose for Travel | # of Nights | Travel | Per Diem | Lodging | Misc Expense | TOTAL |
|---------------------------------|-------------|--------|----------|---------|--------------|---------|
| TAVTI Conference El Paso | 5 | -0- | \$1,656 | \$2,030 | \$1,150 | \$4,836 |
| Border Solutions Meeting TBD | 1 | -0- | \$184 | \$310 | \$50 | \$544 |
| ABTPA Annual Summit TBD | 4 | -0- | \$1,840 | \$2,480 | \$300 | \$4,620 |
| | | | | | | |
| | | | | | | |

IN-STATE Travel

TAVTI Conference – Six task force members to attend the conference in El Paso. Miscellaneous expenses include registration (\$1,050) and hotel parking (\$100) expenses.

Border Solutions Meeting – The task force sergeant and one other member will attend this meeting, location to be determined. Miscellaneous expenses include hotel parking expenses.

ABTPA Annual Summit – Eight task force members to attend the conference, location to be determined. Miscellaneous expenses include hotel parking expenses.

OUT-OF-STATE Travel

There will be no out of state travel this year.



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SCHEDULE D

EQUIPMENT PURCHASES

| | (1) | (2) | (3) | (4) |
|---|-------------|------------|---------------|-------|
| Equipment Name or Description and Quantity (Do Not List Brand Names) | ABTPA Funds | Cash Match | In-Kind Match | TOTAL |
| A) | | | | |
| B) | | | | |
| C) | | | | |
| D) | | | | |
| E) | | | | |
| F) | | | | |
| G) | | | | |
| H) | | | | |
| I) | | | | |
| J) | | | | |
| K) | | | | |
| L) | | | | |
| M) | | | | |
| N) | | | | |
| O) | | | | |
| P) | | | | |
| Q) | | | | |
| TOTAL EQUIPMENT PURCHASES | | | | |



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SCHEDULE E

SUPPLIES AND DIRECT OPERATING EXPENSES

| Directly Charged Supplies and Other Operating Expenses | (1) ABTPA Funds | (2) Cash Match | (3) In-Kind Match | (4) TOTAL |
|--|--------------------|-------------------|----------------------|-----------------|
| (A) Fuel and maintenance | 9,623 | | | \$9,623 |
| (B) Cellular airtime | 6,205 | | | \$6,205 |
| (C) Public Awareness Funds | 5,000 | | | \$5,000 |
| (D) Confidential Informant Funds | 5,000 | | | \$5,000 |
| (E) | | | | |
| (F) | | | | |
| (G) | | | | |
| (H) | | | | |
| (I) | | | | |
| (J) | | | | |
| (K) | | | | |
| (L) | | | | |
| (M) | | | | |
| (N) | | | | |
| (O) | | | | |
| (P) | | | | |
| (Q) | | | | |
| TOTAL SUPPLIES AND DIRECT OPERATING EXPENSES | \$25,828 | | | \$25,828 |



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SCHEDULE E SUPPLIES AND DIRECT OPERATING EXPENSES NARRATIVE

REQUIRED NARRATIVE: Briefly describe the basis for arriving at the cost of each line item AND THE USE OF EACH ITEM.

For **BOTH** the **Public Awareness Vehicle** and the **Bait Car** – funds for fuel and maintenance. The **PUBLIC AWARENESS VEHICLE** is used to tow the trailer to aid in the public awareness events. We estimate 140 gallons per month, x 12 month, at \$3.85 per gallon, equals \$6,468 plus \$1,000 for maintenance. The **BAIT CAR** is used for undercover operations and surveillance. We estimate 25 gallons per month, x 12 months, at \$3.85 per gallon, equals \$1,155 plus \$1,000 for maintenance.

Cellular Airtime – for phones, laptops, trackers and the bait car. Cell phones are supplied to members of the task force. The average fee is \$676.21 per month, x 12 months, equals \$8,114.52. The task force members are provide mobile computers to allow them internet access and the ability to access email from the field. Airtime for the bait car and for the trackers is also generated from a cellular account. The average fee is \$400.98 a month, x 12 months, equals \$4,811.76. There was an extra \$200 from the state given to us for cellular airtime for this next fiscal year.

Public Awareness Funds – Public Awareness Funds will be used to purchase items to be used to increase awareness regarding auto thefts and burglary within our 17-county area such as community gatherings, fairs, festivals, etc.

Confidential Funds – used in accordance with Travis County Sheriff's Office Policy. All funds will be tracked and reported. Will be used for things such as undercover operations, surveillance and informant payments. All uses must be approved by the Task Force Sergeant and receipts will be provided.



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SCHEDULE F NARRATIVE

Currently ABTPA does not fund indirect costs, except for the Council of Governments agencies. Applicants may not use option (A) without having an official cost allocation plan developed in accordance with OMB Circular No. A-87. The amount may be entered as ABTPA funds or cash match for those applicants having such an approved plan.

N / A

AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

PROGRAM NARRATIVE

The Program Narrative should present the information by which the eligibility and merit of the project can be assessed. Applications will be evaluated for funding consideration, according to the congruence of the project with the criteria stated above. The Program Narrative should include but is not limited to the following information:

1. PROBLEM STATEMENT & HISTORICAL INFORMATION:

(Please limit information to 300 words)

- a. Provide an assessment of the auto theft problem in the areas of coverage and existing activities that address the problem. Identify the target population and the geographic target area.

The SCATTF region is a hub of crossroads between Mexico and states north along the IH-35 corridor, US Hwy 59 to the East and West of IH-10 between San Antonio and Houston and US Hwy 290 East and West. In 1997 with the aid of the ABTPA Grant, Travis County initiated the first regional effort to combat auto-related criminal activity and has continued to focus on those efforts ever since. Total square mileage of the geographical area of the 17-Counties that are the Task Force equal 14,698 square miles. The target population, being made up of both urban (where more thefts occur) and rural (where theft rings and chop shops can go undetected more easily) is 2,487,129. Counties in the Task Force include: Bastrop, Bell, Blanco, Caldwell, Colorado, Comal, Fayette, Gonzales, Guadalupe, Hays, Lee, Llano, Milam, Travis, Wharton, Williamson and Wilson. The members of the Task Force continue to educate the citizens of the SCATTF jurisdictional areas and education is the most effective tool in the prevention of Auto Thefts and Vehicle Burglaries alike. See attached for additional information.

- b. Describe the extent to which this project will duplicate or overlap existing activities, and why that (if any) is necessary.

We often overlap with the Austin Police Department Interdiction Project. We both conduct VTC 68-A inspections, PR events, bait vehicle operations and on occasion some of our investigations overlap. APD works for the City of Austin only. We work the unincorporated areas.

- c. Describe and document trends of the problem and the need that makes this grant necessary.

Our area is mainly small rural Sheriff's Offices. Without our expertise, these agencies have no one to call upon. Since DPS – MVT is now obsolete, we are the ones called upon. Most agencies have very limited manpower or experience in the Auto Theft or Vehicle Burglary fields.

- d. Using the spreadsheet below, provide accurate statistical data for problem in project area. (e.g., cite 3 years of UCR data) Please provide all data that is available for your agency or agencies:

| Vehicle Theft Data | FY10 | FY11 | FY12 |
|---------------------------------------|------|------|------|
| Number of Stolen Vehicles | 536 | 458 | 217 |
| Number of Recovered Vehicles | 724 | 596 | 329 |
| Number of Arrests | 161 | 128 | 79 |
| Number of Auto Theft Training Classes | 12 | 15 | 8 |
| Number of (other) | 185 | 371 | 131 |

AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

| Theft from a Motor Vehicle Data | FY10 | FY11 | FY12 |
|-----------------------------------|-------------------------|-----------|-----------|
| Number of Burglaries of a Vehicle | 1,597 | 1,301 | 563 |
| Number of Recovered Items | Did not track this data | | |
| Number of Arrests | 15 | 9 | 7 |
| (other) Value of recovered parts | | 153,97 | \$31,240, |
| (other) Value of stolen parts | \$493,663 | \$762,577 | \$516,933 |

| Other Motor Vehicle Crimes | FY10 | FY11 | FY12 |
|------------------------------------|------------|------|------|
| 68A Inspections | 827 | 884 | 843 |
| Salvage Inspections | 45 | 41 | 15 |
| Number of Stolen Vehicle Inquiries | BATIC only | | |
| (other) Gateway Crimes | 59 | 63 | 32 |

PROGRAM NARRATIVE

2. PROPOSED OBJECTIVES:

- ◆ The applicant must provide specific objectives for the project that are consistent with the proposal. The objectives should reflect the overall impact that you intend the project to attain in reaching the standard goal for the authority.
- ◆ The objectives should explain how the goal will be accomplished. The activities described should support the goal and be Specific, Measurable, Action-oriented, Realistic, and Time-oriented.
- ◆ The applicant must include an objective that addresses **auto theft, auto burglary, and crime prevention** that you intend the project to attain.

a. State the standard goal and describe the specific objectives of the project. Include any quantifiable data by which activities measure.

See attached narrative.

b. Describe how the project will impact the stated problem.

The expertise of the Task Force is well known both inside and outside the 17-County region and is called upon routinely for assistance. We are quickly becoming experts in counterfeit or fraudulent dealer license plates and fraudulent titles as well. We will continue to accomplish all of this through training of Law Enforcement agencies and working to educate the public through public awareness campaigns.

c. Describe proposed plan for auto theft crime prevention, education and training.

VIN etchings, HEAT registrations, neighborhood meetings, Lions and Rotary Clubs, mock citations, stuff brochures in billings, etc. Hold Auto Theft, Salvage Inspections and Highway Interdiction classes for Law Enforcement throughout the state.

PROGRAM NARRATIVE

3. FUNCTIONS OF PROPOSED PROJECT:

The functions of the project should: (Please limit information to 300 words)

- ◆ Identify the service needs to be met by this project and the applicant's experience or qualifications.
- ◆ Describe how this project will cooperate / coordinate activities with other appropriate agencies/projects.
- ◆ Describe in what way (if any) is this project innovative and what methods taken to assure that the project demonstrates cross-cultural awareness in all project activities and in its staffing and training.

See attached narrative.

4. EVALUATION DESIGN:

- ◆ The program evaluation should indicate how the applicant will assess the success of the project and the extent to which the strategy achieved the project's goals and objectives.

a. Describe the design of a plan for local evaluation of this project.

An important aspect in evaluating a program of this magnitude is whether the participating agencies (other Sheriff's) perceive the program as one that is worthwhile in their county and whether all counties coordinating efforts with each other are for the good of all involved. We will continue to host bi-yearly Board of Governor's meetings to discuss agenda items relevant to this project and receive feedback. Minutes are recorded and all present are invited to speak on any item of interest.

b. Cite relevant data that will be used to measure the effectiveness of this project.

We keep month statistics to track the progress of the unit and to monitor the county, our region and the state as a whole; to ensure we are continuing to make a difference in the fight against Auto Thefts and Burglary of Vehicles.

c. Describe the mechanism to evaluate the program's progress.

We will continue to track our monthly, quarterly and yearly statistics. We will ensure our goals are reached each year (for example knowing how many public relations events or salvage inspections have been conducted). We will also use feedback from our bi-yearly Board of Governor's Meetings.

ATTACHMENT

Program Narrative

II. The Program Narrative should present the information by which the eligibility and merit of the project can be assessed. Applications will be evaluated for funding consideration, according to the congruence of the project with the criteria stated above. The Program Narrative should include but is not limited to the following information:

1. PROBLEM STATEMENT & HISTORICAL INFORMATION:
(Please limit information to 300 words):

- a. Provide an assessment of the auto theft problem in the areas of coverage and existing activities that address the problem. Identify the target population and the geographic target area.

This is the Task Forces' 16th year of participation in the grant process. Which we believe not only shows commitment to our local county and surrounding agencies; but the state as a whole. There are 17-Counties included within the SCATTF jurisdiction. Each agent is physically located within the county they are employed by and all (agents) assist with contiguous counties. The Task Force Sergeant manages all of the investigators, and the public awareness coordinator. Members of the task force are also TAVTI board members and directors.

Because the SCATTF has inter-local agreements with the included counties, the task force is able to operate smoothly and with joint effort; removing jurisdictional limitations which thieves attempt to use against law enforcement, by allowing officers to cross county lines. This continues to be a challenge as growth in the regions is continuing.

The most effective tool in the prevention of Auto Theft and Burglary of Vehicles is education and the SCATTF has worked, and will continue to work, diligently to educate the public and other law enforcement agencies in the auto theft prevention techniques.

Some highlight goals and objectives are:

- Continue to attend VIN etchings and HEAT registration programs. These continue to be great ways for us to make contact with citizens, as well as other media events.
- Conduct covert and overt surveillance with both the bait car and bait trailer.
- Continued use of the sign boards in high crime areas notifying the residents of an increased number of auto thefts or burglary of vehicles. We also alert them if there is a bait car in the area. They have proven to be extremely effective when deployed.
- Work additional day and night time surveillance in areas known to have a high number of incidents; as well as conduct sting operations.
- Continuation of salvage inspections and investigations of unlicensed operations.

ATTACHMENT

- Vigilance in title and license plate operations.
- Insurance fraud investigations; working closely with the NICB. Will also work closely with arson investigators as needed.

Program Narrative

2. PROPOSED OBJECTIVES:

- a. State the standard goal and describe the specific objectives of the project. Include any quantifiable data by which activities measure.

Goal 1: Reduce the incident of motor vehicle thefts

Objective 1: Locate and shut down chop shops (6)

Objective 2: Conduct salvage inspections (20)

Objective 3: Conduct interdiction activities (100)

Goal 2: Reduce the incident of theft from a motor vehicle

Objective 1: Conduct tire sting operations (6)

Objective 2: Conduct burglary of vehicle surveillance operations (10)

Objective 3: Conduct bait car sign operations using the sign boards (5)

Goal 3: Public Awareness methods used to educate the citizens of Travis County and training qualified personnel in the detection and prevention of auto theft and burglary of vehicle

Objective 1: Public awareness events (100)

Objective 2: Training for officers (10)

Objective 3: Reach (500,000) through media outreach, training and PR events

Goal 4: Help increase the recovery rate of stolen motor vehicles

Objective 1: Conduct VTR 68-A inspections (300)

Objective 2: Recover stolen vehicles (500)

Objective 3: Other routine vehicles inspected (1,500)

ATTACHMENT

Goal 5: Number of persons arrested for motor vehicle theft

Objective 1: Warrant arrests (10)

Objective 2: Bait vehicle operations (12)

Objective 3: Conduct field operations (15)

Goal 6: Clearance rate of motor vehicle thefts

Objective 1: Work auto theft related cases (650)

Objective 2: File auto theft cases (50)

Objective 3: Assist other Law Enforcement agencies (750)

Goal 7: Prevent the incident of fraudulent titles and registration of stolen vehicles

Objective 1: Fraudulent title inspections (5)

Objective 2: Fraudulent dealer license plate cases / citations (10)

Objective 3: Conduct fraudulent license plate classes for LE officers (4)

Goal 8: Reduce the incidents of automobile insurance fraud

Objective 1: Collaborate with NICB on a quarterly basis (4)

Objective 2: Investigate or assist with arson cases (4)

Objective 3: Investigate or assist with insurance fraud cases (2)

Program Narrative

3. FUNCTIONS of PROPOSED PROJECT:

The functions of the project should: **(please limit information to 300 words)**

- Identify the service needs to be met by this project and the applicant's experience or qualifications.
- Describe how this project will cooperate / coordinate activities with other appropriate agencies / projects.
- Describe in what way (if any) is this project innovative and what methods taken to assure that the project demonstrates cross-cultural awareness in all projects activities and in its staffing and training.

AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY
Application for State Assistance
Page 4

ATTACHMENT

- Crime prevention, education and training will be major focuses of the Task Force. We will attempt to reach as many citizens as possible with public awareness presentations and media releases; educating them in the causes of and solutions for Auto Theft and Burglary of Vehicle.
- Conducting salvage inspections, training classes and performing covert and overt surveillance. VTR-68A Inspections and locating chop shops will remain a function of the field agents. There is over 80 years of combined experience among our field agents, three of them are experts.
- SCATTF has an outstanding working relationship with the Austin Police Department's Auto Theft Interdiction Unit, the Texas Department of Transportation (Investigators); as well as other Auto Theft Task Forces. We also have an outstanding working relationship with the local and surrounding officers / deputies. We schedule highway interdictions and/or salvage inspections and routinely invite DPS and local agencies to participate.
- SCATTF is an innovative program with the 17-County Task Force working together to combat Auto Thefts and Burglary of Vehicles. The Task Force enables the counties to have a focused and cooperative effort on a specialized segment of crime, yet is tailored to meet the needs of each participant. Each Sheriff involved has commented on the cohesiveness and the work performance the task force provides.
- The task force continually works with other agencies within the state. These operations and cooperation allow the task force agents to learn from each other; fostering relationships that assists in the sharing of information not only in our area but the state as a whole.
- The Texas Commission on Law Enforcement Standards mandates all licensed peace officers participate in a cultural awareness class at a minimum of every other year. Federal law requires that a racial profiling form be completed on all traffic stops made.



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

DESIGNATION OF GRANT OFFICIALS

BTPA rules require that three persons be designated to the positions of Authorized Official, Project Director, and Financial Officer for the purposes of administering a grant. The Project Director and the Financial Officer may not be the same person, but under extenuating circumstances, one person may otherwise fill two positions. In accordance with the criteria and definition of responsibilities set forth in the Financial and Administrative Requirements section of the ABTPA Grant Application and Administration Guidelines governing submission of this application, the following designations are made:

APPLICANT: Travis County

PROJECT TITLE: Sheriff's Combined Auto Theft Task Force

Project Director

Phyllis Clair
First Name Last Name
 Major, Travis County Sheriff's Office
Title and Agency
 PO Box 1748 | 5555 Airport Blvd
Business Address (Street or P. O. Box)
 Austin TX 78767
City State Zip
 Office 512.854.9759 Fax 512.854.3289
Telephone and Fax Numbers
 Phyllis.Clair@co.travis.tx.us
E-Mail

Project Manager

Tommy Wooley
First Name Last Name
 Sergeant, Travis County Sheriff's Office
Title and Agency
 PO Box 1748 | Collier Bldg
Business Address (Street or P. O. Box)
 Austin TX 78767
City State Zip
 Office 512.854.7423 Fax 512.854.7410
Telephone and Fax Numbers
 Tommy.Wooley@co.travis.tx.us
E-Mail

Financial Officer

Susan Spataro
First Name Last Name
 County Auditor, Travis County
Title and Agency
 PO Box 1748
Business Address (Street or P. O. Box)
 Austin TX 78767
City State Zip
 Office 512.854.9125 Fax 512.854.9164
Telephone and Fax Numbers
 Susan.Spataro@co.travis.tx.us
E-Mail

Authorized Official

The Authorized Official is the Chief Executive Officer, or designee of the Agency.

Samuel T. Biscoe
First Name Last Name
 County Judge, Travis County
Title and Agency
 PO Box 1748
Business Address (Street or P. O. Box)
 Austin TX 78767
City State Zip
 Office 512.854.9555 Fax 512.854.9535
Telephone and Fax Numbers
 Sam.Biscoe@co.travis.tx.us
E-Mail



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SPECIAL CONDITION

AMERICANS WITH DISABILITIES ACT CERTIFICATION

The Grantee hereby assures and certifies compliance with Subchapter II, Part A of the Americans with Disabilities Act (ADA), 42 U.S.C., Sections 12131-12134, and Department of Justice ADA regulations, 28 CFR Part 35.

Authorized Official

Date

Travis County

Grantee

Sheriff's Combined Auto Theft Task Force

Project Title



Non Supplanting Certification

certify that the programs proposed in this application meet all the requirements of the Texas Civil Statutes, Article 4413(32a), §6(a)(7), (a) Texas Civil Statutes, Article 4413(32a), §6(a)(7), requires that state funds provided by this Act shall not be used to supplant state or local funds. Public Law 98-473 requires that federal funds provided by that Act shall not be used to supplant state or local funds.

further certify that ABTPA funds have not been used to replace state or local funds that would have been available in the absence of ABTPA funds. The certification shall be incorporated in each grantee's report of expenditure and status of funds referred to under §57.3(6) of this title relating to Adoption by Reference).

Authorized Official

Date

Travis County
Grantee



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SPECIAL CONDITION

COMPLIANCE REQUIREMENT

The attached digest of your grant application represents the Automobile Burglary & Theft Prevention Authority Board's approved amount. The digest represents budgeted amounts only and does not approve any items that conflict with the participating agency's personnel, procurement, travel, or local government code policies and procedures.

The grantee will be responsible in determining that the following requirements are being met prior to the release of funds:

- 1) Salaries are in accordance with local policy of the participating agencies.
- 2) Personnel are classified in accordance with the needed qualification for the position.
- 3) Fringe Benefits are in accordance with local policy of the participating agencies.
- 4) Travel Policy is in accordance with the travel policy of the participating agencies.

Authorized Official

Date

Davis County

Grantee



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SPECIAL CONDITION

EQUAL EMPLOYMENT OPPORTUNITY PROGRAM CERTIFICATION

I, _____, certify that:

This agency employs fewer than 50 people; therefore, the _____
(Agency)

is not required to file an equal opportunity program in accordance with 28 CFR 42.301 et seq., Subpart E.

or

This agency employs 50 or more people and has received or applied to the Automobile Burglary & Theft Prevention Authority for total funds in excess of \$25,000; therefore, the _____
County of Travis
(Agency)

has formulated an equal employment opportunity program in accordance with 28 CFR 42.301 et seq., Subpart E and that it is on file in the office of:

Diana Poirot _____ Director of Human Resources _____
(name) (title)

PO Box 1748 | Austin | TX | 78767

(address)

for review or audit by an official of the Automobile Burglary & Theft Prevention Authority as required by relevant laws and regulations.

PROJECT TITLE: Sheriff's Combined Auto Theft Task Force

Authorized Official (signature)

Project Director (signature)

Date

Date

ASSURANCES

Grantee and the Applicant hereby makes and certifies that as grantee, it and any subgrantee shall comply with the following conditions:

A grantee and subgrantee must comply with ABTPA grant rules and UGMS.

A grantee and subgrantee must comply with Texas Government Code, Chapter 573, by ensuring that no officer, employee, or member of the applicant's governing body or of the applicant's contractor shall vote or confirm the employment of any persons related within the second degree of affinity or the third degree of consanguinity to any member of the governing body or to any other officer or employee authorized to employ or supervise such person. This prohibition shall not prohibit the employment of a person who shall have been continuously employed for a period of two years, or such period stipulated by local law, prior to the election or appointment of the officer, employee, or governing body member related to such person in the prohibited degree.

A grantee and subgrantee must insure that all information collected, assembled or maintained by the applicant relative to a project will be available to the public during normal business hours in compliance with Texas Government Code, Chapter 552, unless otherwise expressly prohibited by law.

A grantee and subgrantee must comply with Texas Government Code, Chapter 551, which requires all regular, special or called meeting of governmental bodies to be open to the public, except as otherwise provided by law.

A grantee and subgrantee must comply with Section 231.006, Texas Family Code, which prohibits payments to a person who is in arrears on child payments.

No health and human services agency or public safety or law enforcement agency may contact with or issue a license, certificate or permit to the owner, operator or administrator of a facility if the license, permit or certificate has been revoked by another health and human services agency or public safety or law enforcement agency.

A grantee and subgrantee that is a law enforcement agency regulated by Texas Government Code, Chapter 415, must be in compliance with all rules adopted by the Texas Commission on Law Enforcement Officer Standards and Education pursuant to Chapter 415, Texas Government Code or must provide the grantor agency with a certification from the Texas Commission on Law Enforcement Officer Standards and Education that the agency is in process of achieving compliance with such rules.

SPECIAL CONDITION**ASSURANCES (continued)**

9. When incorporated into a grant award or contract, these standards assurances contained in the application package become terms or conditions for receipt of grant funds. Administering state agencies and local subrecipients shall maintain an appropriate contact administration system to insure that all terms, conditions, and specifications are met. (See Section _____.36 for additional guidance on contract provisions.)
10. A grantee and subgrantee must comply with the Texas Family Code, Section 261.101 which requires reporting of all suspected cases of child abuse to local law enforcement authorities and to the Texas Department of Child Protective and Regulatory Services. Grantees and subgrantees shall also ensure that all program personnel are properly trained and aware of this requirement.
10. Grantees and subgrantees will comply with all federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps and the Americans With Disabilities Act of 1990; (d) the Age Discrimination Act of 1974, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to the nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
11. Grantees and subgrantees will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. §§ 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
12. Grantees and subgrantees will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SPECIAL CONDITION

ASSURANCES (continued)

- 1. Grantees and subgrantees will comply with the provisions of the Hatch Political Activity Act (5 U.S.C. § 7321-29) which limit the political activity of employees whose principal employment activities are funded in whole or in part with Federal funds.
- 1. Grantees and subgrantees will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act and the Intergovernmental Personnel Act of 1970, as applicable.
- 5. Grantees and subgrantees will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protections Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA. (EO11738)
- 5. Grantees and subgrantees will comply with Article IX, Section 5 of the state appropriations act which prohibit the use of state funds to influence the outcome of any election or the passage or defeat of any legislative measure.

AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SPECIAL CONDITION



ASSURANCES CERTIFICATION

certify that the programs proposed in this application meet all the requirements of the Texas Automobile Burglary & Theft Prevention Authority Program, that all the information presented is correct, and that the applicant will comply with the provisions of the Automobile Burglary & Theft Prevention Authority and all other federal and state laws, regulations, and guidelines. By appropriate language incorporated in each grant, subgrant, or other document under which funds are to be disbursed, the undersigned shall assure that the applicable conditions above apply to all recipients of assistance.

Authorized Official

Date



AUTOMOBILE BURGLARY & THEFT PREVENTION AUTHORITY

SPECIAL CONDITION

INDEPENDENT ANNUAL AUDIT CERTIFICATION

The grantee hereby assures compliance by itself and its applicable sub-recipients (contractors) with the Single Audit Act Amendments of 1996, PL 104 - 156 and, particularly, with the requirements of OMB Circular A-133 as follows (check one):

1. Grant(s) expenditures of \$300,000 or more in federal funds - An annual single audit by an independent auditor made in accordance with the Single Audit Act Amendments of 1996 and OMB Circular A-133.
2. Grant(s) expenditures of \$300,000 or more in state funds - An annual single audit by an independent auditor made in accordance with the Uniform Grant and Contract Management Standards (UGCMS).
3. Grant(s) expenditures of less than \$300,000 in federal funds - Exempt from the Single Audit Act. However, ABTPA may require a limited scope audit as defined in OMB Circular A-133.
4. Grant(s) expenditures less than \$300,000 but \$50,000 or more in state funds - A program-specific audit.
5. Grant(s) expenditures less than a total of \$50,000 in state funds - Financial Statements audited in accordance with Generally Accepted Auditing Standards (GASS).

NOTE: Grantees exempt from the Single Audit Act requirements (i.e. those expending less than \$300,000 in total federal financial assistance) are prohibited from charging the cost of a Single Audit to a Federal Award.

Authorized Official (signature)

Financial Officer (signature)

Date

Date

Travis County

SA-T01-1069-13

_____ Grantee Organization

_____ Grant Number

Regardless of items checked above, the grantee should, within 60 days following the date of the grant award, furnish the following information:

- 1. The identity of the organization conducting the audit.
- 2. Approximate time audit will be conducted.
- 3. Audit coverage to be provided.

GRANT SUMMARY SHEET

| | | |
|-----------------------|--|---|
| Check One: | Application Approval: <input type="checkbox"/> | Permission to Continue: <input type="checkbox"/> |
| | Contract Approval: <input checked="" type="checkbox"/> | Status Report: <input type="checkbox"/> |
| Check One: | Original: <input type="checkbox"/> | Amendment: <input checked="" type="checkbox"/> |
| Check One: | New Grant: <input type="checkbox"/> | Continuation Grant: <input checked="" type="checkbox"/> |
| Department/Division: | Travis County Health and Human Services and Veterans Service | |
| Contact Person/Title: | John C. Bradshaw, Contract Specialist | |
| Phone Number: | 854-4277 | |

| | | | | |
|---|---|--|---|---------|
| Grant Title: | AmeriCorps | | | |
| Grant Period: | From: | 8/1/10 | To: | 7/31/11 |
| Fund Source: | Federal: <input checked="" type="checkbox"/> | State: <input type="checkbox"/> | Local: <input type="checkbox"/> | |
| Grantor: | OneStar Foundation | | | |
| Will County provide grants funds to a subrecipient? | | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> | |
| Are the grant funds pass-through another agency? If yes list originating agency below | | Yes: <input checked="" type="checkbox"/> | No: <input type="checkbox"/> | |
| Originating Grantor: | Corporation for National and Community Service (CNCS) | | | |

| Budget Categories | Grant Funds | County Cost Share | County Contribution | In-Kind | TOTAL |
|--------------------|------------------|-------------------|---------------------|------------------|------------------|
| Personnel: | 268,298 | | 158,735 | 110,495 | \$537,528 |
| Operating: | 1,984 | | 5,680 | 30,565 | \$38,229 |
| Capital Equipment: | 0 | 0 | 0 | 0 | \$0 |
| Indirect Costs: | 0 | 0 | 0 | 60,076 | \$60,076 |
| Total: | \$270,282 | | \$164,415 | \$201,136 | \$635,833 |
| FTEs: | 11.00 | 0 | 7.00 | 9.00 | 27.00 |

(Grant Funds: The \$270,282 is the amount of grant funds going to Travis County. The OneStar Foundation received an administrative fee of \$2,835. The total amount of grant funds is \$273,117.)

(County Contribution: The \$158,735 came from keeping four slots vacant in the AgriLife Extension General Fund budget. The \$5,680 in operating expenses also came from the AgriLife General Fund budget.)

(In-Kind: 4-H CAPITAL provided \$141,060 in funding for administrative support staff, program supplies, member mileage, member training, member health insurance and background checks. The grant instructions allowed Travis County to claim 10% of the total of the Grant Funds and County Contribution (\$60,076) as an indirect cost to use as an in-kind match.)

| Permission to Continue Information | | | | | |
|------------------------------------|-------------------|-----------------------|--------------------|---------------|---------------------------|
| Funding Source (Account number) | Personnel Cost | Operating Transfer | Estimated Total | Filled FTE | PTC Expiration Date |
| | | | | | |
| | | | | | |

| Department | Review | Staff Initials | Comments |
|-----------------|-------------------------------------|----------------|----------|
| County Auditor | <input checked="" type="checkbox"/> | PL | |
| County Attorney | <input checked="" type="checkbox"/> | LW | |

| Performance Measures Applicable Depart. Measures | Projected FY 11 Measure | Progress To Date: | | | | Projected FY 12 Measure |
|--|--|-------------------|---------|---------|---------|-------------------------------|
| | | 12/31/10 | 3/31/11 | 6/30/11 | 9/30/11 | |
| Educational Contacts | 125,000 | | | | 266,939 | 110,000 |
| | | | | | | |
| | | | | | | |
| Measures For Grant | | | | | | |
| AmeriCorps members successfully completing national service training | 32 | | 32 | | | 32 |
| Outcome Impact Description | The training gives AmeriCorps members knowledge about national service and their job duties that allows them to competently perform their service activities. The training develops an ethic of service among the members. All members must complete the training in order to serve in the program. (Members who complete the training and their term of service answer a written survey about their experience and the likelihood of them using the skills they have learned in the future. The outcome measure is at least 75% of survey respondents state that they will use the skills they have developed in future education, service, or employment opportunities.) | | | | | |
| AmeriCorps member service hours | 34,800 | | 17,896 | | 32,941 | 34,800 |
| Outcome Impact Description | This measure shows the number of service hours the AmeriCorps members are providing to the community. | | | | | |
| Students who start science enrichment classes | 1,400 | | 1,528 | | 1,830 | 1,400 |
| Outcome Impact Description | This measure shows the number of students served by the AmeriCorps members. | | | | | |
| Students who complete science enrichment classes (attend 60% of classes) | 850 | | 902 | | 1,187 | 850 |

| | | | | | | |
|---|--|--|--|--|-----|-----|
| Number of fifth grade students enrolled in the science enrichment classes who score as well or better than their peers in the science section of a standardized assessment tool | 210 | | | | 169 | 210 |
| Outcome Impact Description | The goal of the after-school programs is to increase students' knowledge of and interest in science. AISD provides the data on the standardized assessment tool for fifth grade students in August | | | | | |

PBO Recommendation:

HHS&VS is requesting the final grant closeout approvals from Commissioners Court for the 2010-2011 AmeriCorps grant. A related deobligation of unspent funds for this grant was approved by Commissioners Court on June 7, 2011. By approving this request, the County Judge may sign the contract release agreement with the OneStar Foundation. PBO recommends approval of the closeout of this grant.

1. Brief Narrative - Summary of Grant: What is the goal of the program? How does the grant fit into the current activities of the department? Is the grant starting a new program, or is it enhancing an existing program?

Travis County 4-H CAPITAL uses the AmeriCorps members to expand its after-school programs.

2. Departmental Resource Commitment: What are the long term County funding requirements of the grant?

There are no county funding requirements once the grant ends. There is a cash and in-kind match required while the grant is in progress.

3. County Commitment to the Grant: Is a county match required? If so, how does the department propose to fund the grant match? Please explain.

The grant required a cash and in-kind match totaling \$365,551. These matches came from 4-H CAPITAL, the Texas AgriLife Extension Service, and TCHHSVS. The grant is revenue neutral. It does not increase the General Fund budget.

4. Does the grant program have an indirect cost allocation, in accordance with the grant rules? If not, please explain why not.

The 10% indirect cost allowed by the grant was used as an in-kind match to help Travis County meet the required 42% match. The grant also allowed an additional 4% allocation of grant funds for indirect costs but this was not claimed because this would have raised the cost per AmeriCorps member FTE from \$14,829 to \$15,444 and made the program uncompetitive. The OneStar Foundation must maintain an average cost per FTE of \$12,600 across all AmeriCorps programs in the state.

5. County Commitment to the Program Upon Discontinuation of Grant by Grantor: Will the program discontinue upon discontinuance of the grant funding? (Yes/No) If No: What is the

proposed funding mechanism: (1) Request additional funding (2) Use departmental resources. If (2) is answered, provide details about what internal resources are to be provided and what other programs will be discontinued as a result.

Travis County 4-H CAPITAL will continue to offer after-school programs once the grant ends but not at as many locations.

6. If this is a new program, please provide information why the County should expand into this area.

NA

7. Please explain how this program will affect your current operations. Please tie the performance measures for this program back to the critical performance measures for your department or office.

The grant allows 4-H CAPITAL to increase the number of sites where it offers after-school programs without increasing General Fund expenditures. This increases the departmental performance measure for educational contacts.



RECEIVED

12 JUL 17 PM 2:15

TRAVIS COUNTY
PLANNING & BUDGET OFFICE

**TRAVIS COUNTY HEALTH and HUMAN SERVICES
and VETERANS SERVICE
502 E. Highland Mall Blvd.
P. O. Box 1748
Austin, Texas 78767**

**Sherri E. Fleming
County Executive
for TCHHSVS
(512) 854-4100
Fax (512) 279-1608**

DATE: July 12, 2012

TO: Members of the Commissioners Court

FROM: *Sherri E. Fleming*
Sherri E. Fleming, County Executive for
Travis County Health and Human Services and Veterans Service

SUBJECT: AmeriCorps closeout documents

Proposed Motion:

Consider and take appropriate action to approve the closeout documents for the 2010 - 2011 AmeriCorps grant.

Summary and Staff Recommendations:

Travis County 4-H CAPITAL uses an AmeriCorps grant to increase the number of sites for its after-school programs. AmeriCorps members provide after-school enrichment programs each week during the school year at local schools as well as help staff summer camps. The programs focus on science and technology, environmental education, outdoor education, and life skills. Four current Travis County staff provide program coordination and support for the day-to-day activities of the AmeriCorps members.

The grantor has sent the closeout documents for the 2010 - 2011 grant year. TCHHSVS staff recommends approving them.

324
304

Budgetary and Fiscal Impact:

The initial grant award was \$298,367. This was reduced by the grantor to \$273,117 due to staff vacancies and certain AmeriCorps members leaving before completing their terms of service. Travis County spent \$270,495 (99%) of the reduced amount.

Issues and Opportunities:

Studies show that students who participate in after-school programs have fewer behavior problems, handle conflict better, show improved social skills and enhanced academic performance. AmeriCorps members provide much needed staff to increase the number of after-school programs in Travis County as well as enhance existing programs. Travis County 4-H CAPITAL programs differ from more traditional programs by offering hands-on activities that reinforce key concepts in the curriculum.

Background:

Travis County 4-H CAPITAL is a non-profit organization affiliated with the Texas AgriLife Extension Service. The Extension Service provides a variety of educational programs for county youth and adults.

Cc: Dolores Sandmann, Director, Texas AgriLife Extension Service
 Susan A. Spataro, CPA, CMA, Travis County Auditor
 Jose Palacios, Chief Assistant County Auditor
 Patty Lennon, Financial Analyst, Travis County Auditor's Office
 Laura Ward, Assistant County Attorney
 Leslie Browder, Executive Manager, Planning and Budget Office
 Diana Ramirez, Analyst, Planning and Budget Office
 Cyd Grimes, C.P.M., Travis County Purchasing Agent
 Shannon Pleasant, Purchasing Agent Assistant, Travis County Purchasing Office

Sub-Grantee Information

Legal Applicant

Travis County through the Travis County Department of Health and Human Services and Veterans Service
 PO Box 1748
 Austin, TX 78767-1748

EIN: 74-6000192

Program Name

Travis County CAPITAL AmeriCorps Project

Primary Contact

Charlotte Benbenek-Price
 512-854-3192
 cebenbenek-price@ag.tamu.edu

Grant Award Information

| | | | |
|------------------------|----------------|---------------------------|----------------------|
| CFDA Number | 94.006 | Pre-Award Cost Start Date | None |
| eGrants Application ID | 10AC119057 | Project Period | 8/1/2009 – 7/31/2012 |
| eGrants Grant Number | 06AFHTX0010051 | Budget Period | 8/1/2010 – 7/31/2011 |

Contract Release

This Contract Release Agreement is based on the following:

| Total Awarded | Total After Deobligation | Total Amount Expended* | Cash Paid to Sub-Grantee | Total Unexpended and Recaptured by Grantee |
|---------------|--------------------------|------------------------|--------------------------|--|
| \$298,367 | \$273,117 | \$270,494.62 | \$267,789.67 | \$2,622.38 |

*Total Amount Expended includes the 1% Commission Fixed Amount

This Contract Release Agreement is made and entered into by and between OneStar Foundation National Service Commission, Inc. ("Grantee") and the above-designated Sub-Grantee.

The parties to this agreement expressly understand and agree that:

1. Grantee and Sub-Grantee entered into a grant award (see Award Number and Project Period listed above) by which Sub-Grantee agreed the terms of the grant award and Grantee agreed to reimburse Sub-Grantee, not to exceed the agreed upon Total Awarded (as listed above).
2. The costs incurred under the contract shall not exceed the Total Amount Expended. By execution of this agreement, Sub-grantee agrees that all allowable costs have been paid for this contract in full and Sub-grantee does hereby release and discharge Grantee, its officers, agents, and employees, of and from all liabilities, obligations, claims, and demands whatsoever arising from Sub-Grantee's unpaid bills.
3. In case of a conflict between the terms contained in this Contract Release Agreement and the cited grant award, the terms of this release agreement shall govern and the conflicting terms shall be void and of no effect.
4. No provision of this Contract Release Agreement shall be construed as relieving Sub-Grantee of liability for costs ultimately disallowed as a result of a previous or later financial and/or compliance audits or other reviews of Sub-Grantee's program.
5. Sub-Grantee shall maintain all documents related to said grant award for a period of three (3) years after acceptance of the close-out by the grantor of this grant award, the Corporation for National and Community Service. OneStar will notify all Sub-Grantees of this date.

Signature Authority

The person signing this Contract Release Agreement on behalf of the Sub-Grantee or representing himself/herself as signing this agreement on behalf of the Sub-Grantee, hereby agrees that he/she has been duly authorized by the Sub-Grantee to certify this agreement on behalf of the Sub-Grantee and to validly and legally bind Sub-Grantee to all the terms of this agreement.

Grantee

 Elizabeth Darling
 President/CEO
 OneStar Foundation

Date

Sub-Grantee

BY: _____

Samuel T. Biscoe
 Travis County Judge
 Travis County through the Travis County Department of Health and Human Services and Veterans Service

Date

foundat

Legal Applicant Organization Name: Travis County through the Travis County Department of Health and Human Services and Veterans Service

Program Name: Travis County CAPITAL AmeriCorps Project

Grant Number: 06AFHTX0010051

Grant Year: 2010-2011

Date of Submission: 8/7/12

**Please select the answer that is applicable to your program:
(check one option only)**

OPTION 1

Our organization awarded Program Sub-grants under the above-referenced grant award number. A Program Sub-Grant is any AmeriCorps grant funds awarded to an organization by your organization under this grant award number.

I certify that our organization has completed all closeout actions; accomplished all program and financial requirements; secured all reports; and reconciled all funding with respect to Program Sub-grants we have awarded under the above-referenced grant.

OR

OPTION 2

No Program Sub-grants were awarded under the above-referenced grant award number. A Program Sub-Grant is any AmeriCorps grant funds awarded to an organization by your organization under this grant award number.

Our organization did not award any Program Sub-grants under the above-referenced grant award number.

Name of Authorized Representative: Samuel T. Biscoe

Title of Authorized Representative: Travis County Judge

Signature: BY: _____

Date: _____

GRANT SUMMARY SHEET

| | | |
|-----------------------|--|---|
| Check One: | Application Approval: <input type="checkbox"/> | Permission to Continue: <input type="checkbox"/> |
| | Contract Approval: <input type="checkbox"/> | Status Report: <input checked="" type="checkbox"/> |
| Check One: | Original: <input checked="" type="checkbox"/> | Amendment: <input type="checkbox"/> |
| Check One: | New Grant: <input type="checkbox"/> | Continuation Grant: <input checked="" type="checkbox"/> |
| Department/Division: | Travis County Sheriff's Office | |
| Contact Person/Title: | Margaret Seville - Planner | |
| Phone Number: | 854-9804 | |

| | | | | | |
|---|---|---|---------------------------------|-----------|--|
| Grant Title: | State Criminal Alien Assistance Program - SCAAP 11 | | | | |
| Grant Period: | From: | 7/1/2009 | To: | 6/30/2010 | |
| Fund Source: | Federal: <input checked="" type="checkbox"/> | State: <input type="checkbox"/> | Local: <input type="checkbox"/> | | |
| Grantor: | US Department of Justice - Bureau of Justice Assistance | | | | |
| Will County provide grants funds to a subrecipient? | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> | | | |
| Are the grant funds pass-through another agency? If yes list originating agency below | Yes: <input type="checkbox"/> | No: <input checked="" type="checkbox"/> | | | |
| Originating Grantor: | | | | | |

| Budget Categories | Grant Funds | County Cost Share | County Contribution | In-Kind | TOTAL |
|--------------------|------------------|-------------------|---------------------|------------|------------------|
| Personnel: | 683,501 | 0 | 0 | 0 | \$683,501 |
| Operating: | 0 | 0 | 0 | 0 | \$0 |
| Capital Equipment: | 0 | 0 | 0 | 0 | \$0 |
| Indirect Costs: | 0 | 0 | 0 | 0 | \$0 |
| Total: | \$683,501 | \$0 | \$0 | \$0 | \$683,501 |
| FTEs: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

| Permission to Continue Information | | | | | |
|------------------------------------|----------------|--------------------|-----------------|------------|---------------------|
| Funding Source (Account number) | Personnel Cost | Operating Transfer | Estimated Total | Filled FTE | PTC Expiration Date |
| | 0 | 0 | \$0 | 0.00 | |

| Department | Review | Staff Initials | Comments |
|-----------------|-------------------------------------|----------------|----------|
| County Auditor | <input checked="" type="checkbox"/> | MN | |
| County Attorney | <input type="checkbox"/> | N/A | |

| Performance Measures Applicable Depart. Measures | Projected FY 12 Measure | Progress To Date: | | | | Projected FY 13 Measure |
|---|-------------------------------|-------------------|---------|---------|---------|-------------------------------|
| | | 12/31/11 | 3/31/12 | 6/30/12 | 9/30/12 | |
| | | | | | | |
| | | | | | | |
| Measures For Grant | | | | | | |
| Outcome Impact Description | | | | | | |
| | | | | | | |
| Outcome Impact Description | | | | | | |
| | | | | | | |
| Outcome Impact Description | | | | | | |

PBO Recommendation:

On November 22, 2011, the Commissioners Court approved the acceptance of the 2011 State Criminal Alien Assistance Program (SCAAP) Grant award in the amount of \$683,501 from the U.S. Department of Justice, Bureau of Justice Assistance (BJA). The FY 11 award is 232,070 less than the FY 10 award of \$915,571. There is no financial obligation required of the County other than expenditures must be correctional related costs. Tentative projects for the grant funds were indentified by the Travis County Sheriff's Office but were not approved as PBO requested that final approval be delayed until the summer in the event SCAAP funds were needed to assist with additional overtime for corrections related to moving to a seven day pay cycle. PBO's latest projections for TCSO overtime show a deficit of \$900,000 that can be covered by one-time vacancy savings within the office and will not require the use of the \$1.5 million Special Overtime Reserve or SCAAP funds.

Below are the requested projects from TCSO to be paid with 2011 SCAAP resources. All of these projects are correction's relation and are eligible to paid with SCAAP resources.

| | |
|---|-----------|
| TCCC Building 1 Control Panel Replacement | \$230,000 |
| Security Camera Up-grades | \$335,501 |
| Warehouse Shelving | \$ 35,000 |
| Live-Scan Digital Fingerprint Station at TCCC | \$ 42,000 |
| Inmate Mall Awning | \$ 11,000 |
| Bldg 2 & 3 Control Panel Cabinet Replacement | \$ 30,000 |
| Total | \$683,501 |

Many or all of these projects would have likely been submitted as budget requests should these grant funds had not been available.

PBO recommends approval of the requested projects.

1. Brief Narrative - Summary of Grant: What is the goal of the program? How does the grant fit into the current activities of the department? Is the grant starting a new program, or is it enhancing an existing program?

This is an existing program to reimburse Travis County for expenses related to the housing of inmates.

2. Departmental Resource Commitment: What are the long term County funding requirements of the grant?

None

3. County Commitment to the Grant: Is a county match required? If so, how does the department propose to fund the grant match? Please explain.

NA

4. Does the grant program have an indirect cost allocation, in accordance with the grant rules? If not, please explain why not.

Not Allowed

5. County Commitment to the Program Upon Discontinuation of Grant by Grantor: Will the program discontinue upon discontinuance of the grant funding? (Yes/No) If No: What is the proposed funding mechanism: (1) Request additional funding (2) Use departmental resources. If (2) is answered, provide details about what internal resources are to be provided and what other programs will be discontinued as a result.

No program is attached to this reimbursement - Impact would be a decrease in fund revenue which is currently tied to correctional costs.

6. If this is a new program, please provide information why the County should expand into this area.

Not a new program - Travis County has participated since 1998 in SCAAP

7. Please explain how this program will affect your current operations. Please tie the performance measures for this program back to the critical performance measures for your department or office.

This grant reimbursement program provides for a recovery of funds expended for the housing of persons deemed to be of non-legal status by the Immigration and Customs Enforcement Office. Since 2007 the expenditure of these funds must be tied to corrections related operations. While no formal measures are tied to the program, the funds income does offset general fund expenditures.



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July 2, 2012

MEMORANDUM

**TO: Honorable Sam Biscoe, County Judge
Honorable Ron Davis, Commissioner, Precinct 1
Honorable Sarah Eckhardt, Commissioner, Precinct 2
Honorable Karen Huber, Commissioner, Precinct 3
Honorable Margaret Gomez, Commissioner, Precinct 4**

FROM: Margaret H Seville 1777, Research and Planning

SUBJECT: 2011 State Criminal Alien Assistance Program – Status Update

On November 22nd, 2011 (item 5A) the Commissioners' Court accepted the award from the United States Department of Justice, Bureau of Justice Assistance for the 2011 State Criminal Alien Assistance Program (SCAAP) in the amount of **\$683,501**.

At that time we indicated that there were several projects within the corrections area that we were looking to use these funds for and that we would come back to the court once it was determined what the best use of the fund were in accordance with the federal guidelines. In the meantime we have worked with PBO and looked at our outstanding projects and determined that the following projects are our highest priority projects that meet the rules of the grant and needs of the Sheriff's Office. The projects are as follows:

| Project | Approximate Project Cost |
|---|--------------------------|
| TCCC Bldg 1 Control Panel Replacement | \$ 230,000.00 |
| Security Camera Up-grades | \$ 335,501.00 |
| Warehouse Shelving | \$ 35,000.00 |
| Live-Scan Digital Fingerprint Station at TCCC | \$ 42,000.00 |
| Inmate Mall Awning | \$ 11,000.00 |
| Bldg 2 & 3 Control Panel Cabinet Replacement | \$ 30,000.00 |

The costs listed above are currently estimates and the final costs may vary, but we feel that these six projects should be able to be completed with the funding provided in the FY 2011 SCAAP award.

TCSO is working in conjunction with PBO to ensure that these funds are used within the federal guidelines while best serving the needs of the TCSO Corrections Bureau and due to their being one-time use them for one-time expenditures.

If you have any questions please feel free to contact my office at 854-9804.

Your support and approval of these projects is appreciated.

- CC. Travis Gatlin, PBO
- Matt Naper, Auditor's Office
- Jim Connolly, County Attorney's Office
- File