



Item 15

Travis County Commissioners Court Agenda Request

Meeting Date: February 26, 2013

Prepared By/Phone Number: Shannon Pleasant, CTPM 854-1181 /
Marvin Brice, CPPB 854-9765

Elected/Appointed Official/Dept. Head: Cyd Grimes, C.P.M., CPPO

Commissioners Court Sponsor: Judge Biscoe

Agenda Language: Consider and Take Appropriate Action to Approve and Ratify Interlocal Agreement No. 4400001362, Austin Travis County Integral Care, Child Therapist Services.

➤ **Purchasing Recommendation and Comments**

Travis County HHS & VS is requesting approval and ratification of the Child Therapeutic Services Interlocal Agreement with Austin Travis County Integral Care (ATCIC). This agreement is a sub-contract to fund a Child Therapist position at ATCIC as part of the Parenting in Recovery (PIR) grant program.

The 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 not to exceed amount for this agreement is \$60,845.00 for the period February 1, 2013 through September 29, 2013.

Due to the program needs of the grant project; the expectations to comply with the grant submission requirements; and the availability of a qualified applicant for the position, services were initiated on February 1, 2013 with an expectation that the contract would be fully executed and approved by end of February 2013. Therefore the contract includes specific ratification language to allow for services to begin on February 1, 2013.

ID # 8114

AGENDA REQUEST DEADLINE: All agenda requests and supporting materials must be submitted as a pdf to agenda@co.travis.tx.us by **Tuesdays at 5:00 p.m.** for the next week's meeting.

Attached is a "Draft" copy of the agreement. The original agreement is currently with ATCIC awaiting signature. Once it is signed, it will be submitted to the Court for signature.

➤ **Contract Expenditures:** Within the last 12 months \$0.00 has been spent against this contract/requirement.

➤ **Contract-Related Information:**

Award Amount: \$ 60,845

Contract Type: Interlocal Agreement

Contract Period: February 1, 2013 through September 29, 2013

➤ **Contract Modification Information: N/A**

Modification Amount:

Modification Type:

Modification Period:

➤ **Solicitation-Related Information: N/A**

Solicitations Sent:

Responses Received:

HUB Information:

% HUB Subcontractor:

➤ **Special Contract Considerations: N/A**

Award has been protested; interested parties have been notified.

Award is not to the lowest bidder; interested parties have been notified.

Comments:

➤ **Funding Information:**

SAP Shopping Cart #:

Funding Account(s):

Comments: Funds Reservation #300000510

ID # 8114

AGENDA REQUEST DEADLINE: All agenda requests and supporting materials must be submitted as a pdf to agenda@co.travis.tx.us by Tuesdays at 5:00 p.m. for the next week's meeting.



**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: February 20, 2013

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: Approval and Ratification of Parenting in Recovery Grant Sub-contract to fund a Child Therapist position at Austin Travis County Integral Care

Proposed Motion:

Consider and take appropriate action to approve a \$60,845 sub-contract to fund a Child Therapist position at Austin Travis County Integral Care as part of the Parenting in Recovery grant program.

Summary and Staff Recommendations:

For the past five years, Travis County Health and Human Services and Veterans Service (TCHHSVS) has served 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 (ATCIC), 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 U.S. Dept. of Health and Human Services awarded an additional two years of funding for the PIR project in September 2012. This funding expands services to the children whose parents are enrolled in the PIR program. As part of the award, PIR will fund a sub-contract with ATCIC for a Child Therapist position which will complete assessments and develop individualized service plans that support the goals of increased emotional, developmental and social-emotional well-being of the children.

The Commissioners Court approved the PIR II extension grant that funds this contract on 11/6/12. In the grant award service description it was indicated that grant funded positions would be in place within 90 days of the award (December 2012). Due to the unique nature of a grant sub-recipient contract, the process to develop, review and execute the contract exceeded the 90 day period and was not available for Court agenda until 120 days (February 2013). Due to the program needs of the grant project; the expectations to comply with the grant submission requirements; and the availability of a qualified applicant for the position services were initiated on February 1st 2013 with an expectation that the contract would be fully executed and approved by end of February 2013. Therefore the contract includes specific ratification language to allow for services to begin on February 1st 2013.

TCHHSVS staff recommends approving the execution of this sub-contract.

Budgetary and Fiscal Impact:

The two-year extension of the PIR grant provides \$500,000 each year. There is a match requirement of \$214,286 in year one and of \$269,231 in year two.

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 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 reduce 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 Bussey, Director, Office of Children's Services, TCHHSVS
Nicki Riley, Travis County Auditor

Janice Cohoon, Financial Analyst, Travis County Auditor's Office
Mary Etta Gerhardt, 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

SOCIAL SERVICES CONTRACT

BETWEEN

TRAVIS COUNTY

AND

AUSTIN TRAVIS COUNTY INTEGRAL CARE

FOR

CHILD THERAPEUTIC SERVICES

CONTRACT NO. 4400001362

DRAFT



TRAVIS COUNTY PURCHASING OFFICE

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DRAFT

INTERLOCAL COOPERATION AGREEMENT FOR SOCIAL SERVICES
BETWEEN TRAVIS COUNTY AND
AUSTIN-TRAVIS COUNTY MENTAL HEALTH AND MENTAL RETARDATION CENTER FOR
SERVICES UNDER THE PARENTING IN RECOVERY GRANT

I. PARTIES

This Interlocal Cooperation Agreement ("Contract") is entered into by the following Parties: Travis County, a political subdivision of Texas ("County") and Austin-Travis County Mental Health and Mental Retardation Center, d.b.a. Austin Travis County Integral Care ("Contractor"), the Mental Health and Mental Retardation Authority designated by the State of Texas for Travis County and the incorporated municipalities therein pursuant to TEXAS HEALTH AND SAFETY CODE, Chapters 531 and 534, and other applicable statutes.

II. RECITALS

County has the authority to provide for the care of indigents and other qualified recipients (TEX. LOC. GOV'T. CODE, Section 81.027, and other statutes); and provision of that care constitutes a public purpose.

County has the authority to provide for public health education and information services (TEX. HEALTH AND SAFETY CODE, Chapters 121 and 122, and other statutes), and provision of those services constitutes a public purpose.

Travis County Health, Human Services and Veterans' Services has the authority to perform all public health functions that County can perform through TEX. HEALTH & SAFETY CODE ANN., Section 121.032.

Contractor has been designated as the Mental Health and Mental Retardation Authority by the State of Texas for Travis County and the incorporated municipalities therein.

Contractor is committed to coordinating an integrated array of quality community-based services addressing the needs and requests of people whose lives are affected by mental disabilities, substance abuse, and children's developmental delays and emotional behavioral or social disabilities problems; and building on the inherent strengths of consumers, families, staff and community.

Contractor is also a major provider of mental health and mental retardation services, and is legislatively mandated to provide community-based services as defined in TEXAS HEALTH AND SAFETY CODE, Chapter 534, Subchapter B, Community Based Services.

County and Contractor are authorized to enter into an Interlocal Cooperation Agreement through the TEXAS CONSTITUTION, Article 3, Section 64, and "The Interlocal Cooperation Act," TEXAS GOVERNMENT CODE, Chapter 791.

Commissioners Court of County may exempt personal and professional services from complying with the competitive procurement process under TEX. LOCAL GOVERNMENT CODE ANN., § 262 et seq. and has issued or hereby issues such an order of exemption for the services provided under the terms of this Contract.

Pursuant to the terms of this Contract, Contractor will provide personal and professional services for the care of indigents and other qualified recipients and for public health education and information, thus providing services which will further the achievement of a public purpose.

Funds provided under this Contract may be received pursuant to federal, state and/or local grant agreements and

services provided for those funds will be subject to the applicable terms of any such agreement.

NOW, THEREFORE, in consideration of the hereinafter set forth agreements, covenants, and payments, the amount and sufficiency of which are acknowledged, County and Contractor agree to the terms and conditions stated in this Contract.

III. DEFINITIONS

1.0 In this Contract.

- 1.1 "CAN" means the Community Action Network.
- 1.2 "Commissioners Court" means the Travis County Commissioners Court.
- 1.3 "Contract Funds" means all funds paid by County to Contractor pursuant to Section 13.0 and other applicable provisions of this Contract.
- 1.4 "Contract Term" means the Initial Term and/or any Renewal Term, or any other period of time designated in writing as a Contract Term by the Parties.
- 1.5 "County Auditor" means Nicki Riley, the Travis County Auditor, or her successor.
- 1.6 "County Department" means Travis County Health, Human Services and Veterans' Services.
- 1.7 "County Purchasing Agent" means Cyd Primes, the Travis County Purchasing Agent, or her successor.
- 1.8 "Current Revenue Funds" means County Funds in the County treasury that are available in the current Fiscal Year if appropriated by Commissioners Court for purpose of funding this Contract.
- 1.9 "Day(s)" means calendar day(s), unless otherwise specifically noted in any individual provision.
- 1.10 "Eligible Client" means a person who is:
 - (a) a person in a particular program as designated by County who meets any specific eligibility criteria described herein.

AND

- (b) a person who belongs to one or more of the following groups:
 - 1.10.1 GROUP I - INDIGENT PUBLIC HEALTH CARE RECIPIENT. This group includes any individual who:
 - (a) Receives public Health Care services under the Indigent Health Care Act (HEALTH AND SAFETY CODE, CHAPTER 61); and
 - (b) Is a bona fide resident of Travis County, which is determined by the person's stated intention to remain in Travis County for an indefinite period; and
 - (c) has a household income below two hundred percent (200%) of the Poverty Income

the Guidelines that are applicable to a household with the same number of persons as the household of potential client or who meets other specific income guidelines set forth as applicable to a specific program identified in this Contract.

OR

1.10.2 GROUP II - INDIGENT SERVICES RECIPIENT. This group includes any individual who receives (or is documented by County to be qualified to receive) support through assistance programs or services in Travis County in response to needs related to indigence.

OR

1.10.3 GROUP III - PUBLIC HEALTH SERVICES RECIPIENT. This group includes any individual who, under the terms of this Contract, will receive services from Contractor related to Public Health Services (as defined herein), in Travis County.

1.11 "County Executive" means Sherri Fleming, County Executive of Travis County Health, Human Services and Veterans' Services Department, or her successor or designated representative.

1.12 "Fiscal Year" means the County Fiscal Year, which is that twelve-month time period between any October 1 and the next following September 30.

1.13 "Grant Funds" means funds available which:

- (a) have their source grant from federal, state, or local government agency or non-profit organization; and
- (b) have a identified purpose, performance expectations, and financial standards that control expenditures; and
- (c) have specific requirements for their use depending on whether the parties to a grant funded agreement are contractors, sub-contractors, recipients as determined by the original grant and accounting practices.

1.14 "Is doing business" and "has done business" mean:

1.14.1 Paying or receiving any money or other valuable thing in exchange for personal services or for purchase or use of any property interest, either real or personal, either legal or equitable; or

1.14.2 Loaning or receiving a loan of money, services, or goods or otherwise creating or having in existence any legal obligation or debt;

but does not include:

1.14.3 Any payments, receipts, loans or receipts of a loan which are less than \$250.00 per calendar year in the aggregate; or

1.14.4 Any retail transaction for goods or services sold to a Key Contracting Person at a posted, published, or marked price available to the general public.

1.15 "Key Contracting Person" means any person or business listed in Exhibit A to the Ethics Affidavit

attached to this Contract and marked Attachment D.

1.16 "Parties" and "Party" means the County and/or Contractor, as applicable.

1.17 "Poverty Income Guidelines" means the guidelines established by the United States Office of Health and Human Services for the current Fiscal Year of the federal government.

1.18 "Public Health Services" means:

- 1.18.1 personal health promotion and maintenance services
- 1.18.2 infectious disease control and prevention services
- 1.18.3 environmental and consumer health programs
- 1.18.4 public health education and information services
- 1.18.5 laboratory services
- 1.18.6 related administrative services
and/or those other services as described by applicable statute.

1.19 "Subcontract" means any agreement between Contractor and another party to fulfill, either directly or indirectly, any of the requirements of this Contract, in whole or in part.

1.20 "Subcontractor" means any party providing services required under this Contract to an Eligible Client or to Contractor under an agreement between Contractor and that party, including contractor(s), subcontractor(s), and other subrecipient(s) of Contractor, and any party or parties providing services for Contractor which will be paid for using Contract Funds committed by County to be paid to Contractor under this Contract.

1.21 "Uncomplicated Client" means one person, client that is counted only once, despite how many different services the client is receiving.

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IV. GENERAL TERMS

2.0 CONTRACT TERM

2.1 **Initial Term.** The Parties acknowledge and agree that this Contract shall continue in full force for the Initial Term which begins February 1, 2013, and terminates September 29, 2013, unless earlier terminated by the Parties pursuant to the terms of this Contract.

2.2 **Renewal Term(s)**

2.2.1 **Written Renewal.** Unless sooner terminated in compliance with the provisions of this Contract, this Contract may only be renewed by action evidenced in writing and executed by County and Contractor.

2.2.2 **Renewal Terms.** Unless sooner terminated pursuant to the terms of this Contract, this Contract may be renewed under Section 2.2.1 by written agreement signed by County and Contractor for up to two (2) additional one-year periods, or for whatever time period agreed to in writing by County and Contractor. The exercise of any option to renew under this provision shall be with the understanding that all terms and conditions, including the negotiated rates, remain unchanged and in full force and effect, unless this Contract is specifically amended pursuant to Section 3.0 of this Contract to make any changes in those terms. Non-competitive renewal shall be based upon the Contractor's positive performance and County's continuing need for the services as determined by County.

3.0 AMENDMENTS

3.1 **Written.** Unless specifically provided otherwise in this Contract, any change to the terms of this Contract or any attachments to it shall be made in writing and signed by both Parties.

3.2 **Acknowledgments as to Amendments.**

3.2.1 **Authority to Change.** It is acknowledged by Contractor that no officer, agent, employee or representative of County has any authority to change the terms of this Contract or any attachments to it unless expressly granted that authority by the Commissioners Court under a specific provision of this Contract or by separate action by the Commissioners Court. Verbal discussion or other indications of changes to this Contract will NOT be effective.

3.2.2 **Non-Compliance.** It is acknowledged by Contractor that any action taken by Contractor which does not comply with the terms of this Contract and which has not been approved under the terms of the Contract or written amendment thereto (pursuant to this Section 3.0) subjects Contractor to disallowance of payments related to such actions and possible termination of this Contract.

3.3 **Submission.** Contractor shall submit all requests for all changes, alterations, additions or deletions of the terms of this Contract or any attachment to it to the Travis County Purchasing Agent with a copy to the County Executive. Upon agreement by the County Department, the request will be presented by the Purchasing Agent to the Commissioners Court for consideration.

4.0 ENTIRE AGREEMENT

4.1 **All Agreements.** All verbal and written agreements between the Parties to this Contract relating to the subject matter of this Contract that were made prior to the execution of this Contract, including the applicable terms of the Contract, have been reduced to writing and are contained in this Contract.

4.2 **Attachments.** The attachments enumerated and denominated below are hereby made a part of this Contract, and constitute promised performances by Contractor in accordance with all terms of this Contract.

- 4.2.1 Attachment A Work Statement and Budget
- 4.2.2 Attachment B Financial Forms
 - (i) Compliance Certification Form
 - (ii) Payment Request Form
 - (iii) Expenditure Report Form
 - (iv) Budget Revisions Request Form
 - (v) Out of Town Travel Form
- 4.2.3 Attachment C Insurance Requirements
- 4.2.4 Attachment D Ethics Affidavit
- 4.2.5 Attachment E PIR Grant Assurances and Acknowledgements
- 4.2.6 Attachment F PIR Grant Application and Grant Award

4.3 **Contractor Communication.**

4.3.1 **General Communication.** Contractor and County agree that, unless otherwise designated specifically in any provision, all communication, requests, questions, or other inquiries related to this Contract shall initially be presented by Contractor to the County Department through the County Executive.

4.3.2 **Contract Issues.** At any time that Contractor has an issue, problem, dispute, or other

question ("issue") concerning this Contract, Contractor may first contact County through County Department/County Executive. Contractor shall provide written notice of the issue to County Department/County Executive, with such written notice including a specific written description of the issue as well as the Contractor's desired resolution of the issue. Contractor and County will make a good faith effort to resolve the issue to their mutual satisfaction in a timely manner. It is understood and agreed that any resolution of the issue which necessitates a change in any term or condition of this Contract, including a waiver of any term or condition, shall be handled only as a written amendment pursuant to Section 3.0 of this Contract.

4.4 Miscellaneous Provisions.

4.4.1 Use of Terms. The Parties understand and agree that the terms "shall" and "will" are used interchangeably in this Contract.

4.4.2 Authority to Obligate County. It is acknowledged by Contractor that no officer, agent, employee or representative of County other than the Commissioners Court has any authority to sign any document or make any type of agreement obligating County unless expressly granted that authority by the Commissioners Court under a specific provision of this Contract or by separate action by the Commissioners Court. Verbal discussion or other indications of changes to this Contract will NOT be effective

V. RESPONSIBILITIES AND OBLIGATIONS OF CONTRACTOR

5.0 CONTRACTOR PERFORMANCE

5.1 Services Activities

5.1.1 Requirements. During the Contract Term, Contractor shall perform, in a satisfactory manner as determined by County through County Department Services and activities in accordance with the terms of Attachment A "Work Statement and Budget" and with all other terms and conditions stated in this Contract. Under this Contract, the Parties acknowledge and agree that Contractor will receive funds from federal, state and/or local grant(s) and, pursuant to the grantor's terms, will provide only those goods and services necessary to achieve the grant's purpose when expending or being paid by grant funds.

5.1.2 Failure to Perform. In the event of Contractor's non-compliance with any term of this Contract, including, but not limited to timely submission of any report, record or notification, County may impose such sanctions as determined to be necessary by County, including, but not limited to:

- (a) Withholding of payments to Contractor under the Contract until Contractor complies with the term of the Contract;
- (b) Suspension, termination or cancellation of the Contract, in whole or in part.

These actions by County may be taken in addition to any other specific action set forth in any provision of this Contract or allowed by law.

5.1.3 Right to Assurance. Whenever County in good faith has reason to question Contractor's intent to perform, County may demand that Contractor provide County with written assurance of Contractor's intent to perform. In the event a demand is made by County and Contractor gives no assurance within thirty (30) days of receipt of the written notice of such demand, County may treat this failure as an anticipatory repudiation of this Contract.

5.1.4 Grant Activities. The Parties understand and agree that the Contract Funds for this Contract are grant funds from the County's Parenting in Recovery Grant ("PIR Grant," or "Grant"), and Contractor agrees as follows:

(i) Performance Requirements. Contractor agrees to perform all grant activities pursuant to the requirements of the Grant document attached to this Contract as Attachment F .

(ii) State and Federal Grant Requirements. Contractor also agrees to comply with all applicable state and federal Grant requirements, including Office of Management and Budget (OMB) Circulars A-87, A-102, A-110, A-122, A-133, and Texas' Uniform Grant Management Standards.

(iii) Subcontractor Requirements. Contractor will ensure that all providers of services under this Contract receiving Grant funds for Grant services provided under this Contract and managed by Contractor are contractually required to meet all applicable state and federal Grant requirements, as well as applicable terms and performance requirements of the Grant. Contractor will be responsible for timely identification of any potential sub-recipients as defined by the Grant, specifically OMB A-133, and applicable state and federal requirements and will notify County of any such potential sub-recipients prior to contracting for Grant services in order to secure County approval of such sub-recipient and to establish an appropriate advance agreement on the terms and conditions of the sub-award.

(iv) Grant Term. Services and activities, including all reporting requirements, relating to Grant Activities provided under this Contract shall be provided in accordance with time and date specifications set forth in the Grant.

(v) Precedence. All services and activities provided by Contractor related to Grant requirements are paid for by County with Grant funds ("Grant Activities") shall be specifically subject to terms of this Contract as well as those of the Grant. Should there be a conflict between requirements which cannot be reconciled, as determined by County, then the terms shall be given precedence as follows:

1. Grant
2. Contract

(vi) Financial Requirements. Contractor agrees, and agrees to require all subrecipients/subcontractors to agree to perform all grant activities pursuant to reasonable procedures developed by the County Auditor; including financial reporting, record-keeping, and site visit protocols for Contractor as sub-recipient and for Contractor's sub-recipients. Should Contractor or sub-recipient(s)/subcontractor(s) disagree with such a procedure or protocol and such disagreement cannot be resolved by discussion with the County Auditor, the Contractor or subrecipient/subcontractor's sole remedy is to terminate this Contract pursuant to Section 19.4.

5.2 Policies.

5.2.1 General Policies. The Contractor is required to maintain written policies and procedures approved by its governing body and to make copies of all policies available to the County Department upon request. At a minimum, written policies shall exist in the following areas: Financial Management; Subcontracting and/or Procurement; Equal Employment Opportunity; Personnel and Personnel Grievance; Nepotism; Non-Discrimination of Clients; Client Grievance; Drug Free Workplace; the Americans With Disabilities Act; and any other policies or procedures as might be required by law.

5.2.2 Grievance Policies.

a. Procedure. Contractor and all Subcontractors shall have in place an appropriate written grievance review procedure to receive and resolve complaints against Contractor, and shall provide the County Department with a copy of such procedure immediately upon request by County. Included in the procedure will be the obligation of Contractor to make timely written communication to the County Department regarding potential quality or utilization issues evidenced in any grievance and thus identified and referred to Contractor for action and resolution; and Contractor hereby agrees to make such timely communications to County.

or b. Monitoring. Contractor agrees that specific grievances and complaints will be monitored and a mechanism utilized to track and promptly resolve any participant issues, problems, complaints. Records of the resolution of grievances shall be maintained by Contractor and made available for monitoring by County through the County Department.

5.2.3 Internal Control.

a. Internal Systems. Contractor shall establish, maintain, and utilize internal control systems and procedures sufficient to prevent, detect, and correct incidents of waste, fraud, and abuse and to provide for the proper and effective management of all program and fiscal activities funded by this Contract.

b. Documentation. Contractor's internal control systems and all transactions and other significant documents must be properly documented and documentation must be readily available for monitoring by County.

c. System Failure. County may withhold payment and immediately suspend Contractor's performance on this contract if County identifies possible instances of fraud, abuse, waste, fiscal mismanagement or other serious deficiencies in Contractor's performance. Suspension shall be a temporary measure pending either corrective action by Contractor or a decision by County to terminate this Contract. Contractor shall fully cooperate with County's efforts to detect, investigate and prevent waste, fraud and abuse with respect to this Contract, and shall immediately notify County of any identified instances of waste, fraud or abuse.

d. Non-retaliation. Contractor may not discriminate or retaliate in any way against any employee or other person who reports a violation of the terms of this Contract or of any law or regulation or any suspected illegal activity by Contractor to County or to any appropriate law enforcement authority, if the report is made in good faith.

e. Contractor Responsibility. Contractor shall bear full responsibility for the integrity of fiscal and programmatic management. Such responsibility shall include: accountability for all funds and materials received from County; compliance with County rules, policies, procedures, and applicable federal and state laws and regulations; and correction of fiscal and program deficiencies identified through self-evaluation and County's monitoring processes. Ignorance of any Contract provision(s) shall not constitute a defense or basis for waiving or appealing such provisions of requirements.

5.3 Directors' Meetings. Contractor shall keep on file copies of notices of Directors' Meetings, Board Meetings, or Subcommittee or Advisory Board meetings and copies of minutes from those meetings. Upon request by County, copies of any of the above shall be provided to County Department.

5.4 **Forms**

5.4.1 **W-9 Taxpayer Identification Form.** Contractor shall provide the County Purchasing Agent with an Internal Revenue Service Form W-9 Request for Taxpayer Identification Number and Certification that is completed in compliance with the Internal Revenue Code and its rules and regulations, and a statement of entity status in a form satisfactory to the County Auditor. Contractor understands that this W-9 Form must be provided to the County Purchasing Agent before any Contract Funds are payable. If there are any changes in the W-9 form during the Initial Term or any Renewal Term of the Contract, Contractor will immediately provide the County Purchasing Agent with a new and correct W-9 form. Failure to provide such form within the time required may result in delay of payment, suspension or termination of the Contract, or other action as deemed necessary by County.

5.4.2 **IRS 990 Form.** Contractor shall provide the Purchasing Agent with a copy of its completed Internal Revenue Service Form 990 (Return of Organization Exempt From Income Tax) for each calendar year within 180 days of the Contractor's fiscal year end, but no later than September 30 of each year in which County funds are received under this Contract. If Contractor has filed an extension request which prevents the timely provision of the form 990, Contractor shall provide the Purchasing Agent with a copy of that application for extension of time to file (IRS Form 2758) within thirty (30) days of filing said form(s), and a copy of any final document(s) immediately upon receipt of such document(s).

5.5 **Ownership of Property.**

5.5.1 **Capital Acquisition Property ("Property").** For purposes of this Contract, "Capital Acquisition Property" (or "Property") shall be considered to be any tangible non-expendable property purchased with Contract Funds.

5.5.2 **Title.**

(a) **Grant Funds Purchases.** To the extent that Grant Funds are used to purchase any Property, title to such Property shall vest in Contractor if permitted under Title 28 C.F.R., Sections 66.32 and 66.33 ("Title 28"). Otherwise, title to such Property shall vest as prescribed in this Section 5.5.

(b) **Non-Grant Funds Purchases.** If property is not covered by Title 28, and if Contract Funds are used to purchase such Property, title to such property shall vest in Contractor subject to the applicable requirements of this Subsection 5.5.

5.5.3 **Notice.** Written notification must be given to the County Purchasing Agent pursuant to the "Notice" provision of this Contract within five (5) calendar days of delivery of Capital Acquisition Property, and County will then effect identification and recording of such Property for inventory purposes; and, written notification must be given to the County Purchasing Agent within five (5) calendar days of any change in the status of such Property related to the terms of this Section 5.5. The Contractor shall maintain adequate accountability and control over such Property, shall maintain adequate Property records, and shall perform an annual inventory to be reported to the County Purchasing Agent no later than September 30 of each year in which Contract Funds are received, and for up to two years after the termination of this Contract as required under Section 5.5.6. Records and reports shall contain the necessary information and documentation to support compliance with this Section 5.5.

5.5.4 **Encumbrances.** Contractor shall not give any security interest or lien in, or otherwise encumber such Property purchased with Contract Funds.

5.5.5 **Budget.** Property purchased by Contractor must be included and identified in Contractor's budget.

5.5.6 **Contract Use.** Property may only be purchased utilizing Contract Funds if such Property will be utilized by Contractor to provide or further the provision of the services purchased by County under this Contract. Such Property may also be used outside the area of this Contract only if such use does not interfere with or diminish the work required under this Contract. Within the limits of this Section 5.5, or as prescribed in 28 C.F.R., Sections 66.32 or 66.33, as applicable, Contractor shall continue to use such Property in a manner which supports provision of the services provided under this Contract throughout the term of this Contract.

5.5.7 **Applicability.** The limitations of this Subsection 5.5 shall not apply to Property which is not covered by Title 28 and was purchased by Contractor at least twenty-four months prior. Title to Property covered by this Section 5.5.7 shall vest in Contractor free and clear of any obligations to County.

5.5.8 **Trade or Sale.** If Contractor uses Property subject to Section 28 C.F.R. and purchased with Contract Funds as a trade-in or sells such Property, the proceeds shall either be used to purchase replacement Property subject to 28 C.F.R., Section 66.32 or handled in accordance with applicable provisions of 28 C.F.R., Part 66. Contractor shall notify the Purchasing Agent of such disposition and, as applicable, the identity of the new Property. All requirements of this Subsection 5.5 shall attach to such replacement Property. For Property that is not covered by either Title 28 or Section 5.5.7 of this Contract, the proceeds shall be used either to purchase replacement Property for a similar use or returned to County through the Purchasing Agent.

5.5.9 **Certification.** Contractor (through its Executive Director or other authorized signatory) shall provide annual written certification notice to the Purchasing Agent regarding all Property and certifying the continued use of such Property in compliance with this Section 5.5. This Certification shall be included with the annual inventory provided under Section 5.5.3.

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5.5.10 **Failure to Continue Use.** If Contractor cannot continue to meet the requirements of this Section 5.5 regarding Property, then Contractor shall either provide cash compensation for such Property to County in an amount equal to the fair market value of the Property (as agreed to by County), or return such Property to County through the Purchasing Agent, or request in writing disposition instructions from the Purchasing Agent which instructions shall then be followed by Contractor.

5.5.11 **Responsibility.** Contractor shall assume responsibility for the protection of all physical property and equipment (Property) purchased under this Contract, and shall take appropriate measures to meet this obligation. Contractor shall furnish the County Purchasing Agent with a written, factual report of the theft of, or damage to, any Property purchased under this Contract. In the event of any theft, vandalism, or other offense against the Property, Contractor shall notify the appropriate local law enforcement authorities and the County Purchasing Agent immediately.

5.6 **Maintenance of Funds.** The Contractor shall deposit and maintain all monies received under this Contract in either a separate numbered bank account or in a general operating account, either of which shall be supported with the maintenance of a separate accounting fund or a general fund with a specific chart of accounts which reflect and identifies revenues and expenditures for the monies received under this Contract from County. Contractor agrees to provide County with copies of specific chart(s) of account(s) maintained under this Section 5.6 upon request of County.

5.7 **Long-Term Strategic Planning.** Contractor agrees to participate to the extent possible in any long-

term strategic planning process when requested by County.

5.8 Insurance.

5.8.1 Requirements. Contractor shall have, and shall require all Subcontractors providing services under this Contract to have, Standard Insurance sufficient to cover the needs of Contractor and/or Subcontractor pursuant to applicable generally accepted business standards as set forth in Attachment C, "Insurance Requirements." Depending on services provided by Contractor and/or Subcontractor, Supplemental Insurance Requirements or alternate insurance options as set forth in Attachment C, "Insurance Requirements," may be imposed.

5.8.2 No Liability Limitation. Contractor shall submit to the County Purchasing Agent Certificates of Insurance no later than ten (10) working days after execution of this Contract by the Parties. Contractor shall not begin providing services under this Contract until the required insurance is obtained and until such insurance certificate has been received by the County Purchasing Agent. Acceptance of insurance by County shall not relieve or decrease the liability of Contractor with regard to its responsibilities under this Contract and shall not be construed to be a limitation of liability. Contractor shall provide new Certificates of Insurance within ten (10) working days of any Renewal Term of this Contract under the terms of this Section 5.8.2.

5.8.3 Review and Adjustment. County reserves the right to review the insurance requirements set forth in this Contract during the effective period of this Contract and to make reasonable adjustments to insurance coverages, limits and exclusions when deemed necessary and prudent by County based on changes in statutory law, court decisions, the claims history of the industry or financial conditions of the insurance company or ~~Contractor~~. Contractor shall not cause or allow any insurance to be cancelled nor allow any insurance to lapse during the Contract term.

5.9 Indemnification and Claims.

5.9.1 INDEMNIFICATION. To the extent provided by the Constitution and the laws of the State of Texas, and without waiving any governmental immunity or other protection afforded to Contractor thereunder, Contractor agrees to and shall indemnify and hold harmless County, its officers, agents, and employees, from and against any and all claims, losses, damages, negligence, causes of action, suits, and liability of every kind, including all expenses of litigation, court costs, and attorney's fees, for injury to or death of any person, for any act or omission by Contractor, or for damage to any property, arising out of or in connection with the work done by Contractor under this Contract, whether such injuries, death or damages are caused by Contractor's sole negligence or the joint negligence of Contractor and any other third party.

5.9.2 Claims Notification. If Contractor receives notice or becomes aware of any claim, or other action, including proceedings before an administrative agency, which is made or brought by any person, firm, corporation, or other entity against Contractor or County, Contractor shall give written notice to County Department of: the claim, or other action within three (3) working days after being notified of it or the threat of it; the name and address of the person, firm, corporation or other entity that made or threatened to make a claim, or that instituted or threatened to institute any type of action or proceeding; the basis of the claim, action or proceeding; the court or administrative tribunal, if any, where the claim, action or proceeding was instituted; and the name or names of any person against whom this claim is being made or threatened. This written notice shall be given in the manner provided in Section 23.0 of this Contract. Except as otherwise directed, Contractor shall furnish to County copies of all pertinent papers received by Contractor with respect to these claims or actions.

5.10 **Materials and Publications.** All published material and written reports submitted under this Contract must be originally developed material unless otherwise specifically provided in this Contract. When material not originally developed is included in a report, it shall have the source identified. This identification may be placed in the body of the report or included by footnote. This provision is applicable when the material is in a verbatim or extensive paraphrase format. Contractor and any Subcontractor, as appropriate, must comply with the applicable standard patent rights clauses in 37 Code of Federal Regulations Section 401.14 or Federal Acquisition Regulations 52.227.1.

5.11 **Rights, Copyrights, Patents, and Licenses.**

5.11.1 **Property of County.** All reports, charts, schedules, or other appended documentation to any proposal, content of basic proposal, or contracts and any responses, inquiries, correspondence, and related material created and/or submitted by Contractor under the terms of this Contract shall become the property of County. Contractor may publish the results of the Contract performance at its expense with prior County review and approval. If County owns the copyright, any publication should include "© Travis County, P. O. Box 1748, Austin, Texas, 78767, (the year of publication), All Rights Reserved." If Contractor is the copyright holder, any publication shall include acknowledgment of the support received from County. At least six copies of any such publication must be provided to County through County Department. County reserves the right to require a reasonable number of additional copies before or after the initial review.

5.11.2 **Copyright.** If Contractor is not a college or university with the statutory authority to hold a copyright, all work performed pursuant to the terms of this Contract that results in the production of original books, manuals, films, or other original material is the exclusive property of County. All right, title, and interest in and to said property shall vest in County upon creation. All work performed shall be deemed to be a "work made for hire" and made in the course of the service provided under this Contract. To the extent that title to any such work may not, by operation of law, vest in County or such work may not be considered a work made for hire, all rights, title and interest therein are hereby irrevocably assigned to County. County shall have the right to obtain, and hold in its own name any and all patents, copyrights, trademarks, service marks, certification marks, collective mark registrations, or such other protection as may be appropriate to the subject matter, and any extensions and renewals thereof. Contractor agrees to give County and agrees to require its Subcontractors to give County, or any person designated by County, all assistance reasonably required to perfect the rights defined in this provision, without any charge or expense beyond those amounts payable to Contractor for the services rendered under this Contract.

5.11.3 **Adherence and Indemnification.** Contractor warrants and agrees that all applicable copyrights, patents, and licenses which may exist on materials used in this Contract have been adhered to by Contractor; and that County shall not be liable for any infringement of those rights; and any rights granted to County shall apply for the duration of this Contract.

5.11.4 **License to Use.** The Parties hereby grant to each other an irrevocable, non-exclusive, non-transferable and royalty-free license to use, reproduce, publish, revise, make disposition of, prepare derivative works, distribute to the public, to perform, and to display publicly, for or on behalf of either Party according to law, any material (including software) that may be developed as part of the work under this Contract.

5.11.5

(a) **Copyrights, Patents, Rights – Grant Funds.** The Grant awarding agency reserves a royalty-free nonexclusive, and irrevocable license to reproduce, publish or otherwise use and authorize others to use, for Federal Government purposes, the following:

- The copyright in any work developed under an award or subaward; and
- Any rights of copyright to which County or Contractor purchases ownership with Grant support.

(b) **Inventions and Discoveries – Grant Funds.**

(i) If Contractor produces patentable items, patent rights, processes, or inventions, in the course of work sponsored by the Grant Funds, such facts must be promptly and fully reported to the Grant awarding agency.

(ii) Unless there is a prior agreement between the County and the Grant awarding agency on the disposition of such items, the Grant awarding agency may determine whether protection on the invention or discovery will be sought.

(iii) The Grant awarding agency will also determine how rights in the invention or discovery (including rights under any patents issued) will be allocated and administered in order to protect the public interest consistent with "Government Patent Policy" (President's Memorandum for Heads of Executive Departments and Agencies," dated August 23, 1971, and statement of Government patent policy, as printed in 36 Federal Register 16839). Government regulations have been issued in Title 37 CFR Part 401 by the U.S. Department of Commerce.

5.12 Miscellaneous Responsibilities.

5.12.1 Change in Identity. Contractor shall notify the County Purchasing Agent and TCHHSVS immediately in writing, and in advance where possible, of any significant change affecting the Contractor, including change of Contractor's name or identity, ownership or control, payee identification number and other. Failure to provide such information in a timely manner may delay payment under this Contract or result in other action by County regarding Contractor's status under this Contract.

5.12.2 Employee Offenses.

(i) Client Contact. Contractor agrees that no Employee ("Employee" being defined under this Section 5.12.2 as including volunteers or consultants working under the direction of Contractor in the provision of services under this Contract in a manner which involves direct contact) shall provide services in a manner which involves direct Client contact if that Employee has been convicted of having committed an offense of abuse, neglect, or exploitation or an offense against the person, an offense against the family, or an offense involving public indecency under the TEXAS PENAL CODE.

(ii) Procedure. Contractor agrees to have in place a written policy and procedures for verifying the criminal history and any current criminal indictment involving the offenses listed in this Section 5.12.2 of any Employee having direct contact with County clients, and shall maintain evidence of having processed all Employees through such procedure. Such policy and procedure must also address the evaluation and monitoring of Employees convicted of an offense under the TEXAS CONTROLLED SUBSTANCES ACT, but does not have to prohibit direct Client contact where Contractor determines, and documents the grounds for such determination, that such contact would pose no risk to the Eligible Client. Contractor shall also have in place a procedure for addressing the work of any employee alleged to have committed an offense listed under this section in a manner which will afford reasonable protection to Eligible Clients until such allegation is resolved.

(iii) Waiver. In any circumstance under which Contractor believes that specific fact situations warrant a waiver of the requirements of this Subsection 5.12.2, in whole or in part, Contractor may present the details of such circumstance in writing to County, through the County Executive, for a determination as to such request for waiver.

5.12.3 Offense Report. Contractor shall promptly report any suspected case of abuse, neglect or

exploitation to the appropriate office(s) as required by the TEXAS FAMILY CODE, Chapter 261 or other applicable law. All reports must be made within 24 hours of the discovery of the abuse or neglect.

5.12.4 **Qualifications.** If specific qualifications are set forth in job descriptions required by County, or attached to any position related to providing of services under this Contract, only personnel with the required qualifications will be assigned to fill functions unless a written waiver is granted by the County.

6.0 ACKNOWLEDGMENTS, WARRANTS, AND ASSURANCES

6.1 **Eligible Client Warranty.** Contractor acknowledges and agrees that County is only authorized by law to provide certain services, and that the provision of those services must meet a public purpose as determined by County. Contractor warrants that it will spend Contract Funds solely for the provision of such authorized services in furtherance of such public purpose.

6.2 **Accurate Information.** Contractor warrants that all reports, data and information submitted to County will be accurate, reliable and verifiable. Approval by County of such shall not constitute nor be deemed a release of the responsibility and liability of Contractor, its employees, agents or associates for the accuracy and competency of their reports, information documents, or services, nor shall approval be deemed to be the assumption of such responsibility by County for any defect, error, omission, act or negligence or bad faith by Contractor, its employees, agents, or associates.

6.3 **No Duplication.** Contractor acknowledges and agrees that Contractor will report and receive payment for each service provided hereunder solely from Contract Funds pursuant to the terms of this Contract; and that there will be no duplicate payments from other sources for the same services paid for by Contract Funds. Contractor will also ensure that this provision, a prohibition of duplicate payment for services be included in any Subcontracts.

6.4 **Benefit.** Contractor acknowledges and agrees that all funds paid to Contractor under this Contract are paid in trust for the exclusive benefit of Eligible Clients and for the payment of allowable expenditures as set forth in this Contract.

6.5 **Maintenance of Effort.** Contractor acknowledges and agrees that Contract Funds may not be substituted for funds or resources from any other source nor in any way serve to reduce the funds or resources which would have been available to or provided through Contractor had this Contract never been executed.

6.7 **Payment of Taxes.** Contractor acknowledges and agrees that neither federal, state, nor local income tax, nor payroll tax of any kind will be withheld or paid by County on behalf of Contractor or the employees of Contractor. Contractor will not be treated as an employee with respect to the services performed under the terms and conditions of this Contract for federal and state tax purposes. Contractor accepts responsibility for the compensation of employees, withholding and payment of taxes, and for purchasing any liability, disability or health insurance coverage deemed necessary by Contractor. Contractor understands that Contractor is responsible to pay, according to the law, Contractor's income tax. If Contractor is not a corporation, Contractor further understands that the Contractor may be liable for self-employment (social security) tax, to be paid by Contractor according to law.

6.8 **Non-delinquency on Federal Debt.** Contractor, by signing this Contract, certifies that Contractor is not delinquent in repaying any Federal debt; has not been judged to be in default on a Federal Debt; and has not had a judgment lien filed against it as a result of a Federal debt. Failure to maintain this status will result in action by County up to and including termination of this Contract.

6.9 **Debarment, Suspension and Other Responsibility Matters.** Certification under this Section 6.9 provides for compliance with certification requirements under 15 CFR Part 26, "Government-wide Debarment and Suspension." Contractor, by signing this Contract, hereby certifies that, to the best of its knowledge and belief, it and its principles:

(a) are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by and Federal department or agency.

(b) have not within a three-year period preceding this Contract been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (b); and

(d) have not within a three year period preceding this Contract had one or more public transactions (Federal, State or local) terminated for cause or default.

Where Contractor is unable to certify to any of the statements in this Section 6.9, Contractor shall provide an explanation of such inability prior to the effective date of this Contract for County's consideration and evaluation with the understanding that such may result in termination of this Contract by County.

7.0 **COMPLIANCE**

7.1 **Federal, State and Local Laws.** Contractor shall provide all services and activities performed under the terms of this Contract in compliance with the constitutions of the United States and Texas and with all applicable federal, state, and local orders, laws, regulations, rules, policies, and certifications governing any activities undertaken during the performance of this Contract including, but not limited to: Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. Section 794); the Americans With Disabilities Act of 1990, Public Law 101-336 [S.933] ("ADA"), Chapter 73, TEXAS ADMINISTRATIVE CODE, HEALTH AND SAFETY CODE, Section 85.113 (relating to workplace and confidentiality guidelines regarding AIDS and HIV); Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Privacy Standards adopted to implement HIPAA at 45 CFR Parts 160 and 164, at Section 164.512, and Occupations Code, Chapter 159, at Sections 159.003 and 159.004; Contractor shall not discriminate against any employee, applicant for employment, or Eligible Client based on race, religion, color, gender, national origin, age or handicapped condition. In performance of all Contract services and activities, Contractor will comply with applicable state and federal licensing and certification requirements, health and safety standards, and regulations prescribed by the U.S. Department of Health and Human Services and the Texas Department of Health.

7.2 **Confidentiality.**

7.2.1 **Method.** Contractor shall establish a method to secure the confidentiality of records and other information relating to Eligible Clients in accordance with the applicable Federal laws, rules and regulations, the applicable State and local laws, rules, and regulations and applicable professional ethical standards. This provision shall not be construed as limiting the right of access to Eligible Client information.

7.2.2 **Limited Access.** Prior to a scheduled monitoring or audit, Contractor agrees to submit to County, through TCHHSVS, in writing, any relevant requirement precluding County's access to Eligible

Client information including the correct citation of the legal authority on which Contractor relies to support its claim that County is prohibited from access to the client information.

7.2.3 Masking. Upon authorization from County, through TCHHSVS, to render client files anonymous, Contractor agrees to mask information identifying clients in a way that will not obstruct County's monitoring and evaluative duties in any way.

7.2.4 Collaboration. If applicable, Contractor shall execute and have on file copies of memorandums of understanding or other agreements with other governmental entities within Travis County and/or the City of Austin with whom Contractor will be sharing or obtaining participant information related to enrollment. These agreements will indicate the intent to assist Contractor in obtaining accurate information; to ensure that other emergency assistance available has been provided; and to perform all such activities within the limits of confidentiality as prescribed by law and applicable policies.

7.2.5 Privacy. Contractor shall, and shall ensure that all Subcontractors, comply with state and federal laws relating to the privacy and confidentiality of patient and client records that contain protected health information, or other information made confidential by law, and shall maintain patient and client records in compliance with state laws relating to the security and retention of medical or patient records. Contractor shall, and shall ensure that its Subcontractors, maintain all medical records in accordance with all applicable statutes and regulations governing medical information.

7.3 Certification of Software, Hardware, Firmware and Micro code Products. Contractor certifies that any supplied or supported software, hardware, firmware and micro code products used individually or together as a system to comply with Contract requirements shall operate accurately in the manner in which they were intended when given a valid date containing century, year, month and day.

8.0 RETENTION AND ACCESSIBILITY OF CLIENT & HISCA RECORDS

8.1 Retention of Records

8.1.1 Time Requirement. Contractor shall create and maintain all records and reports required and/or created relevant to performance under this Contract, including but not limited to those specifically set out in this Section 8.0, until all evaluations, audits and other reviews have been completed and all questions or issues (including litigation) arising from those evaluations, audits and reviews are resolved satisfactorily to County, or three (3) years after the end of the final Contract period, whichever occurs later.

8.1.2 Document Destruction. Contractor agrees that it will not destroy or alter any document in order to prevent its use in any official proceeding (for example, federal, state or local investigation, bankruptcy, etc.)

8.2 Client Records

8.2.1 Maintenance. Contractor shall create and maintain all records regarding Eligible Clients that include the information on which Contractor relies to determine the Client's eligibility, all records and reports necessary, as determined by County, to evaluate the effectiveness of the services provided under this Contract (including, at a minimum, the services provided, the cost of providing services, and follow-up information about the effect of the services on the Eligible Client as shown by selected indicators), and all records related to performance under this Contract. Contractor shall maintain all medical records in accordance with all applicable statutes and regulations governing medical information.

8.2.2 Unduplicated Client Records. Contractor shall maintain records for those Eligible Clients

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participating in programs designated by County Department from which an Unduplicated Client count can be determined. Contractor shall maintain a separate record for each Unduplicated Client. This client record shall contain at least the following information:

- 8.2.2(a) Name
- 8.2.2(b) Application date
- 8.2.2(c) Residential address and phone number
- 8.2.2(d) Date of Birth
- 8.2.2(e) Household Income
- 8.2.2(f) Eligibility information
- 8.2.2(g) Service rendered
- 8.2.2(h) Any support documentation
- 8.2.2(i) Family status
- 8.2.2(j) Number in household
- 8.2.2(k) Enrollment Date
- 8.2.2(l) Exit Date

Each Unduplicated Client reported in the Performance Report for designated programs shall correspond to a separate client record and support the services rendered to that Unduplicated Client.

8.3 **One-Time Services.** In addition to those records required under Section 8.2, Contractor shall create and retain records indicating the number of recipients of one time services Contractor provides hereunder, such as information and referral services, group education services, outreach education, crisis/help lines, anonymous services, provision of food, clothing and one-time basic needs services. An individual Unduplicated Client record for these recipients is not required. Eligible client records will be maintained by Contractor at County's request.

8.4 **Fiscal Records.** Contractor shall create and maintain all financial necessary records and documentation for all expenditures pertaining to this Contract in accordance with Generally Accepted Accounting Principles (GAAP) or with Other Comprehensive Bases of Accounting (OCBOA) consistent with state law; and such records shall be kept in a readily available state and location until a financial audit in conformance with generally accepted auditing standards is completed and all questions arising from it are resolved satisfactorily or three (3) years after the end of the Contract period, whichever occurs later.

8.5 **Access.** Contractor shall give County, or any of its duly authorized representatives, access to and the right to examine all books, accounts, records, reports, files, and other papers, things, or property belonging to or in use by Contractor pertaining to this Contract at reasonable times and for reasonable periods. These rights to access shall continue as long as the records are required to be retained by Contractor, and for any additional time period that the records are retained by Contractor.

8.6 **Adjustment.** Contractor may, at any time, request in writing to the County Executive that County clarify or provide a waiver of all or a portion of the record requirements in this Section 8.0. Only waivers under this Section 8.6 granted by County in writing will be effective to change any requirement in this Section 8.0.

8.7 **Rights to Materials.** Subject to Sections 5.10 and 5.11, all reports, charts, schedules, records, or other appended documentation of Contractor which is related to this Contract, and any responses, inquiries, correspondence and related material submitted by Contractor to County or created by Contractor under this document are the property of County.

9.0 **REPORTING REQUIREMENTS**

9.1 **Performance Reports.** Contractor shall submit data in accordance with the terms of Attachment A,

"Work Statement and Budget," in Monthly Performance Reports to be delivered to TCHHSVS as required by County within fifteen (15) days after the end of the month to which the report relates. This monthly Performance Report will be submitted to Laura Peveto, TCHHSVS, P. O. Box 1748, Austin, Texas 78767, or by scanned document to Laura.Peveto@co.travis.tx.us.

9.2 **Reimbursement Reports.** Pursuant to Section 13.2.1, Contractor shall deliver to TCHHSVS reports that provide all of the information requested in the Request For Payment and Expenditure report, as required by County within twenty (20) days after the end of the month to which the report relates. If Contractor fails to provide this information to County in a complete and correct form and in a timely manner as set forth in this Contract, such failure may impact the timing of payment by County under Section 13.0.

9.3 **Match Data.** Pursuant to Section 13.2.1, Contractor shall deliver to TCHHSVS reports that provide all of the information requested for match data, as reasonably required by County, within twenty (20) days after the end of the month to which the report relates. If Contractor fails to provide this information to County in a complete and correct form and in a timely manner as set forth in this Contract, such failure may impact the timing of payment by County under Section 13.0.

9.4 **Final Close-Out Report.** Contractor shall deliver a close-out report as required by TCHHSVS no later than sixty (60) calendar days following the termination of any Contract Term (Initial and/or Renewal).

9.5 **Other Funding Sources.** Upon request by County, Contractor shall provide County, through TCHHSVS, copies of all evaluation and monitoring reports provided to Contractor from other funding sources listed under "Summary of Agency Revenue Sources" during the Contract Term. Contractor shall report to TCHHSVS any changes in total funding received from other funding sources of 10% or more of Contractor's entire budget as well as any changes in total program funding that will significantly impact Contractor's ability to meet performance measures specific to this Contract. Such report shall be made within twenty (20) working days after receipt of the notice of that change by submission of a revised "Agency Funding Summary" Form in the format as designated by County Department.

9.6 **Financial Reports.** Upon request by County, Contractor shall deliver to TCHHSVS copies of all of Contractor's financial reports that have been approved by Contractor's Board of Trustees, to include the Contractor's Year-to-Date Balance sheet and income statement.

9.7 **Additional Reports.** Contractor shall deliver to County Department within twenty (20) working days, any and all special reports, data, and information which the County reasonably requests that Contractor make as a routine or special request.

9.8 **Changes in Reports.** Contractor shall provide TCHHSVS with written reports of any changes in any of the information, reports, and/or records provided to County pursuant to this Contract promptly upon Contractor becoming aware of any such change.

9.9 **Corrections.** County may require Contractor to correct or revise any errors, omissions or other deficiencies in any reports or services provided by the Contractor to ensure that such reports and services fulfill the purposes of this Contract. Contractor shall make the required corrections or revisions without additional costs to County.

9.10 **Legal Prohibition.** If Contractor is legally prohibited from providing any required or requested reports, it shall immediately notify County, through TCHHSVS, in writing of this fact immediately upon Contractor becoming aware of it. Such notice shall include specific identification of the basis of the prohibition, including statutory citations as applicable, and shall be reviewed by County for final resolution.

10.0 **ASSIGNMENT FOR TAXES.** Notwithstanding anything to the contrary contained in this Contract, if Contractor is delinquent in the payment of property taxes, or of any taxes due to Travis County, at any time of invoicing for payment, Contractor hereby assigns any payment and/or advance to be made for services and activities provided to Eligible Clients under this Contract to the Travis County Tax Assessor-Collector for payment of delinquent taxes, and authorizes County to transfer those funds directly to the Travis County Tax Assessor-Collector.

VI. RESPONSIBILITIES AND OBLIGATIONS OF COUNTY

11.0 **LIMITATIONS**

11.1 **County Approval.**

11.1.1 **County's Satisfaction.** Section 13.2 notwithstanding, the Parties expressly acknowledge and agree that County shall not be responsible for the costs of any services provided under this Contract that are not fully performed according to the terms of this Contract to County's satisfaction and with County's approval, which shall not be unreasonably withheld.

11.1.2 **Responsibility and Liability.** Approval of County shall not constitute nor be deemed a release of the responsibility and liability of Contractor, its employees, agents or associates for the accuracy and competency of their reports, information, documents, or services, nor shall approval be deemed to be the assumption of such responsibility by County for any defect, error, omission, act or negligence or bad faith by Contractor, its employees, agents, or associates.

11.2 **Prior Debts.** County shall not be liable for costs incurred or performances rendered by Contractor before or after the Contract Term; for expenses not billed to County within the applicable time frames set forth in this Contract; or for any payment for services or activities not provided pursuant to the terms of this Contract.

12.0 **COUNTY OBLIGATIONS.**

12.1 **Current Revenue Funds.** County shall make payments of invoices for services to Contractor under this Contract from Grant Funds available to County, and from other Contract Funds if approved by the Commissioners Court (including current revenue funds available to County and set aside for this purpose), in accordance with the Grant agreement ("Attachment F") and the terms of this Contract, including the remaining exhibits and attachments hereto. County is paying for the performance of governmental functions and services from current revenues available to County. The payment is in an amount that fairly compensates Contractor for the services or functions performed under this Contract.

12.2 **Poverty Income Guidelines.** County, through County Department, shall notify Contractor of any changes in the Poverty Income Guidelines that occur during the Contract Term.

12.3 **County Confidentiality.** County agrees to keep confidential at all times all information that identifies clients and personnel and any other information received from Contractor if required to do so by law.

12.4 **Immunity or Defense.** It is expressly understood and agreed by all Parties that, neither the execution of this Contract, nor any conduct of any representative of either Party relating to this Contract, shall be considered to waive, nor shall it be deemed to have waived, any immunity or defense that would otherwise be available to such Party against claims arising in the exercise of its governmental powers and functions, nor shall it be considered a waiver of sovereign immunity to suit.

12.5 **County Training.** In exchange for and in the furtherance of certain services which may be provided by Contractor, County may, in certain instances, within applicable County guidelines and policies, and with

Contractor's agreement, offer specific training to Contractor and/or Contractor's employees, agents, or authorized representatives. Additional Contractor opportunities may be made contingent upon the successful completion of such training by County to the extent determined necessary by County.

VII. FINANCIAL PROVISIONS

13.0 CONTRACT FUNDS

13.1 Maximum Funds.

13.1.1 Maximum Amount.

(i) Subject to the requirements in Sections 13.1.2 and 13.2 and other applicable provisions of this Contract, in consideration of full and satisfactory performance of the services and activities provided by Contractor under the terms of this Contract, as determined by County, County shall provide Contract Funds not to exceed the following amount during the Initial Contract Term:

\$ 60,845.00

(ii) Contractor expressly acknowledges and agrees that the sum stated in this Section 13.1.1 is the maximum amount to be paid by County to Contractor during the Initial Contract Term period unless Section 13.1.1 is changed pursuant to Section 3.0, and that the total costs of this Contract shall not exceed the amount included in the County budget and designated for this purpose for this Contract for the Contract Term unless or until an increase in the County budget for this Contract is approved by the Commissioners Court.

(iii) Contract Funds are provided through the County's PIR Grant. Should Grant funds be withdrawn, decreased or otherwise not available to County, the County's not-to-exceed amount in Section 13.1.1 above shall be reduced accordingly. County shall advise Contractor of any decrease in Grant funds, and shall not be responsible for payment of any expenses incurred for Grant activities provided by Contractor after such notice.

13.1.2 Fiscal Year Limitations on Funding.

(a) Contractor expressly acknowledges and agrees that County funding obligations can **ONLY** be incurred for the portion of any Contract Term corresponding to a time period included in the approved budget for any one Fiscal Year.

(b) In no event shall any provision of this Contract or any agreement subject to this Contract be interpreted to obligate the County beyond the funds approved by the Commissioners Court for any Fiscal Year/budget period. Advances and payments by County during the Initial Term or any Contract Term shall be subject to the Fiscal Year limitations applicable to this Contract under Section 13.0.

(c) Funding provided through federal, state, or other grantor organization cannot exceed the term of such grant, whether or not the term of the grant corresponds to the County Fiscal Year.

13.1.3 County Payment. County agrees, and Contractor acknowledges, that determination of allowable expenses and payment of Contract Funds will be directed by County Department.

13.2 **Payments to Contractor.**

13.2.1 Payment(s)

(a) Request for Payment.

(i) Monthly Request. Each month during any Contract or Renewal Term, Contractor shall file, within the time limits set forth in this Section 13.2.1, the complete and correct (as reasonably determined by County Department) Request for Payment form(s) (Attachment B) pursuant to Section 13.2.1(b) below) and complete backup documentation as herein outlined. Contractor understands and agrees that additional documentation supporting Contract expenses, such as signed timesheets, invoice, receipts, purchase orders, or other information, may be reviewed by County during monitoring visit(s), and that additional reporting requirements may be implemented by County at any time that such monitoring or review reveals a need for such, as reasonably determined by County.

(ii) Timely Filing of Request. The Request for Payment form(s) and match data shall be filed with the TCHHSVS within twenty (20) days of the end of the month for which services are provided. Any delay by Contractor in the filing of the complete and correct Request for Payment Form may impact the ultimate receipt of payment by Contractor. County shall pay Contractor for authorized expenditures, as determined and approved by the County Department reported in that Request for Payment within thirty (30) days of receipt by TCHHSVS of that complete and correct (as explained in Section 13.2.1(b) below) Request for Payment.

(b) Complete and Correct Request. Contractor understands and agrees that the payment by County of the Request for Payment and any other payment shall only be made where a complete and correct Request for Payment is determined by County to have been filed.

(i) Contractor Corrections. If County determines that corrections and/or changes to the Request for Payment are necessary, the Request for Payment will be returned to Contractor and those corrections or changes must be made by Contractor prior to the Request for Payment being certified by County for payment. If the completion of those corrections and/or changes by Contractor and subsequent re-submission to TCHHSVS result in the delay of the certification of a Request for Payment (or "invoice") by County, Contractor understands and agrees that the time for payment under the Prompt Payment Act will not begin to run until that invoice has been corrected so that it is, as reasonably determined by County Department correct and complete as necessary for certification by County. The time for payment under the Prompt Payment Act will only begin at the receipt of the Request for Payment by TCHHSVS of what is reasonably determined to be a complete and correct Request for Payment.

(ii) County Correction. At any time that County discovers a discrepancy in an invoice that would result in Contractor receiving up to Five Dollars (\$5.00) less than the amount invoiced, County may contact Contractor for written permission (via email or fax) to adjust the invoice according to the County's determination. Upon receipt of such written permission, County may adjust the invoice as agreed to by Contractor and Contractor agrees to accept the resulting payment as payment in full; no further accounting will be made nor any future payments be adjusted related to the amount so waived by Contractor under this provision. This provision allowing for correction by County of a Request for Payment will

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ONLY apply where the County's determination of money to be paid to Contractor is less than the total amount shown on the Request for Payment; at any time that the discrepancy involves and increase in the amount to be paid, the Request for Payment will be returned to Contractor for correction.

(iii) Contractor acknowledges and agrees that the County Auditor will also have to approve the invoice as complete and correct before any payment will be made, and may require changes or corrections to that invoice prior to payment.

13.2.2 Request Limitation. County shall not be liable to Contractor for any costs incurred by Contractor in the performance of this Contract which are not billed to County under the applicable terms of this Contract within sixty (60) days following the provision of the service or sixty (60) days following the termination of this Initial Contract Term (or any Contract Term, as applicable to the term in which the services were provided), whichever occurs first. Costs billed by Contractor on or after the 61st day following the termination of any Contract Term shall be considered disallowed and may not be paid by County. Where costs are funded through a grant, the terms of the grant shall dictate the number of days to disallowance, less time needed for County review and approval under the terms of the grant.

14.0 ALLOWABLE COSTS

14.1 Direct Performance. References to reimbursable costs in this Contract refer only to those costs or expenses authorized to be paid by County to Contractor under the terms of this Contract by Contract Funds. Costs shall be considered allowable only if, as reasonably determined by County, those costs are:

- (a) incurred directly and specifically in the performance of this Contract;
- (b) incurred pursuant to all requirements of this Contract; and
- (c) incurred in conformance with budget documents included hereto and in accordance with State of Texas financial law and County policy; and
- (d) paid with grant funds, incurred in conformance with and as authorized under the terms of this grant.

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Indirect Costs, as defined by OMB A-87 or A-122, as applicable, are not considered to be allowable costs under this Contract.

14.2 Specific Prior Authorization. Contractor understands and agrees that, in order to be considered reimbursable under this Contract, any expense **MUST** be included and identifiable in Contractor's budget document attached to this Contract. That requirement notwithstanding, the following subsections contain additional requirements regarding certain Contract expenses:

14.2.1 Items NOT in Contractor's Budget. Section 14.1 notwithstanding, if the following are NOT in Contractor's specific budget documents (specific inclusion in the budget document will be considered approval), County's prior written authorization, through County Department, by the County Executive, is required in order for the following to be considered allowable costs, and therefore reimbursable under this Contract:

(i) Purchases of any non-expendable Capital Acquisition Property which meets the following criteria:

- (a) The following if with a value of \$500.00 or more: Fax machines, stereo systems, cameras, video recorder/players, microcomputers, software, printers, microscopes, oscilloscopes, centrifuges, balances and incubators.

(b) any other tangible non-expendable property with a value of more than \$5,000.00.

(ii) Alteration or relocation of facilities.

(iii) The acquisition of all consultant or professional services, as may be approved under the terms of this Contract.

All authorized consultant or professional services must be documented utilizing the appropriate County form.

14.2.2 Out Of Town Travel. Out of town travel shall be approved/reimbursed pursuant to Section 14.4.

14.2.3 Notification. Contractor shall provide County, through TCHHSVS, written notification of any change in vendor or subcontractor (including consultants) which has been identified in Contractor's budget prior to submission of a Request for Payment related to such vendor or subcontractor in order to ensure payment.

14.2.4 Failure to Obtain Approval. Any costs which are described by this Subsection 14.2 which are incurred by Contractor without the required approval shall be considered disallowed and may not be paid by County. Notwithstanding any provision to the contrary, the County Executive of the County Department cannot authorize as an allowable cost items which are not allowable under the terms of any grant funding agreement or which have not received an authorized budget appropriation.

14.3 Tax. County shall not be liable for state, local or federal excise taxes of Contractor. Contractor must be able to demonstrate on-site compliance with the Federal Tax Reform Act of 1996, section 1706, amending Section 530 of the Revenue Act of 1978, dealing with issuance of Form W-2's to common law employees. The Contractor is responsible for both Federal and State Unemployment Insurance coverage and standard Workers' Compensation Insurance coverage. Contractor must comply with all Federal and State tax laws and withholding requirements. County will not be liable to Contractor or its employees for any Unemployment or Workers' Compensation coverage, or Federal or State withholding requirements.

14.4 Out of Town Travel Expenses.

14.4.1 Allowable Travel. In order to be considered a reimbursable expense under this Contract, all travel must be for a purpose directly related to the provision of services under this Contract (with supporting documentation available for review by County). Individual(s) included in travel must either be employees or, if allowed by grant where grant funds are being utilized, volunteers who must participate in such travel in order to further the provision of services provided under this Contract. Final determination of such relationship shall be made by County in its sole reasonable judgment, and Contractor understands and agrees that, if Contractor has reasonable doubt about the relationship of the travel or participants to County services, it is the Contractor's obligation to secure County determination or risk such costs being disallowed by County.

14.4.2 Budget. Travel will be considered approved only if the expense of such travel is included in Contractor's budget and the details of the travel have been provided according to the Out Of Town Travel Form ("Travel Form") attached to this Contract as Attachment B (v). If that Travel Form has not been completed and included in this Contract, then the Travel Form must be completed and submitted to County through the County Department for written approval by the County Executive or her designated representative prior to the travel taking place. Contractor agrees to provide such information within a timeframe that will allow sufficient time for review and approval by County Department prior to departure. Expenses set out in

the Travel Form must meet the requirements in Section 14.4.4 below and must fall within the amount set forth in Contractor's budget for travel.

14.4.3 Failure to Obtain Approval. Any costs incurred related to travel without the approval required under this Section 14.4 shall be considered disallowed and may not be paid by County.

14.4.4 County Policies. Expenses for travel and attendance to destinations outside the City of Austin/Travis County are NOT considered an allowable expense and will not be reimbursable under this Contract unless those expenses meet the following criteria (and documentation provided/made available supporting compliance with these requirements):

- (a) Mileage -
 - Reimbursed at the annual standard rate set by the Internal Revenue Services.
 - Starts from the employee's regular work place on business workdays and from the employee's home on non-work days and holidays.
 - Travel out of county greater than 1000 miles round-trip - transportation expenses are reimbursed in an amount not to exceed the cost of round-trip coach airfare in effect at the time of the travel encumbrance.
 - Transportation expenses include lodging, meals and mileage incurred as a result of driving rather than flying.
- (b) Air Fare -
 - Not to exceed the rate of a non-refundable coach fare in effect at the time of the travel encumbrance
- (c) Accommodations -
 - Based on rates, plus taxes, quoted by the lodging place if government rates are not available.
 - Supporting documentation of lodging place and quoted rates must be provided
- (d) Meals and Gratuities -
 - \$40.00 per day including gratuities without receipts
 - OR
 - Up to \$60.00 per day for meals and gratuities if receipts are submitted
 - Only if required to be away from home overnight
 - No reimbursement for alcoholic beverages
- (e) Incidental Expenses -
 - Actual costs of car rentals, taxi fares, parking fees, and bus fares if receipts are attached
 - Mileage for two round trips to airport if choose to get a ride instead of parking
 - Cab fare to and from airport
 - No reimbursement for extracurricular activities such as golf, tennis, entertainment, movies, tours or sport events
 - No payment for fines for violation of the law such as parking tickets, speeding tickets, etc.
 - No payment for food and/or beverages provided at meetings or in-house training
- (f) Alternate Travel -
 - May be reimbursed for alternate travel arrangements (transportation mode, accommodations, or schedule) provided that the cost is not greater than the least expensive alternative if pre-approved

Out of town travel expenses under this Section 14.4 which do not meet the specified County criteria cannot be approved by the County Executive, but would have to be taken to the Commissioners Court for approval PRIOR to travel. All out-of-town travel expenses must be included in Contractor's budget.

14.5 Overtime Compensation. Contractor may use any Contract Funds to pay overtime and/or the associated fringe benefits on such overtime if the overtime meets the following requirements:

- (a) Amount is included in the Contractor's budget; and
- (b) Amount is actually incurred by a Contractor employee who holds a position which is included in

the budget for reimbursement by County Funds (as documented by a signed timesheet); and

(c) Amount is incurred as a necessity in the provision of direct services provided under this Contract; and

(d) Contractor maintains and implements a written policy concerning overtime compensation which manages and controls the use of overtime to minimize the need for overtime compensation.

14.6 **Non-Allowable Costs.** The following costs are not reimbursable, whether incurred directly or indirectly by Contractor:

(a) Other Post employment Benefits (OPEB) for employees whether or not those costs are for current year benefits, prior year benefits, or future year benefits.

(b) Employee recognition, rewards, or awards other than performance pay pursuant to compensation schedules.

(c) Entertainment and gifts, including meals or beverages, even if related to a business purpose. This subsection (c) notwithstanding, the Contract will pay for meal and beverage expenses for employees incurred during out-of-town trips or conferences related to services provided under this Contract if properly budgeted and if incurred according to the Contractor's travel policy as approved by County.

(d) Legislative consultant services.

(e) Donations to non-profit or private organizations.

(f) Legal services. The Parties agree that the agency cannot obligate or provide legal services to County under this Contract.

(g) General consulting services. This provision notwithstanding, the Contract budget may include consulting services specifically related to services provided within the terms of this Contract.

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15.0 **RETURN OF CONTRACT FUNDS**

15.1 **Contractor Liability.** Contractor shall be liable to County and refund money paid and/or advanced to Contractor upon a reasonable determination by County that the payment of such money:

15.1.1 has resulted in overpayment

15.1.2 has not been spent strictly in accordance with Contract terms;

15.1.3 exceeds the total expenditures actually reported by Contractor; or

15.1.4 to be disallowed pursuant to financial, performance and/or compliance audit(s).

15.2 **Return of Funds.** Return of funds under this Section 15.0 shall be made by Contractor to County within thirty (30) days of request by County and from funds other than Contract Funds. County may offset the amount of any funds owed under this Section against the next advance or payment to Contractor under this or any subsequent contract if the return of funds is not made within that thirty (30) day period.

16.0 **AUDIT**

16.1 **Annual Audit.** Unless otherwise authorized by County, through TCHHSVS, under the terms of this Contract, Contractor shall arrange for the performance of an annual (at least one time during each consecutive 365-day period) financial audit of Contract Funds to be performed within 180 days of the Contractor's fiscal year end, subject to the following conditions and limitations:

16.1.1 Single Audit.

a. Single Audit Act Application. For each fiscal year included within a contract period specified in Section 2.0 ("Contract Term") of this Contract, in which Contractor expends a total of \$500,000 or more in Federal awards from all sources, Contractor shall have an audit conducted in accordance with the Single Audit Act of 1984, 31 U.S.C., Section 7501 et seq., and OMB Circular No. 133, "Audits of States, Local Governments and other Non-profit Institutions."

b. No Single Audit Act Application. Contractors not subject to the Single Audit Act, and expending \$500,000 or more during the Contractor's fiscal year must have a full financial audit performed. If less than \$500,000 is expended, then a financial review is acceptable, pursuant to the requirements of this Contract.

c. Performance Requirements. The audit or review must be:

(i) performed by an independent Certified Public Accountant ("CPA"), recognized by the regulatory authority of the State of Texas and a member in good standing of the American Institute of Certified Public Accountants; and

(ii) made in accordance with generally accepted auditing standards and procedures for a non-profit organization and auditing standards (including a Statement of Functional Expenses) as stated in the "American Institute of Certified Public Accountants Industry Audit Guide - Audits of Voluntary Health and Welfare Organization;" and

(iii) provided for any year of Contractor's Fiscal Years in which County Funds are provided.

16.1 Entire Operations Option. At the option of Contractor, each audit or review required by this Section 16.0 may cover either Contractor's entire operations of each department, agency, or establishment of Contractor which received, expended, or otherwise administered Contract Funds.

16.1.3 Financial Records. Contractor must maintain records which adequately identify the source and application of funds provided for those services purchased with Contract Funds. These records must contain information pertaining to authorizations, obligations, un-obligated balances, assets, liabilities, outlays or expenditures and income related to Contract Funds.

16.1.4 Copies. Contractor shall provide two (2) copies of its most recent report of the review or audit to County through TCHHSVS upon completion within 180 days of the end of the Contractor's fiscal year end, but such copies shall be provided no later than September 30 of each year in which County funds are received under this Contract. County Department will complete final review of such reports within a reasonable time after September 30 of each year upon receipt of such reports. Copies of the report shall also include the auditor's opinion and letters to management. Reviews and audits performed under Section 16.1 are subject to consideration and resolution by County or its authorized representative. Failure to provide such copies in a timely manner may result in delay of payment, suspension or termination of the Contract by County, unless Contractor is receiving grant funds and notifies the County that a longer period is needed because of requirements directly related to grant requirements.

16.1.5 Continued Obligation. The expiration or termination of this Contract shall in no way relieve Contractor of the obligation to meet the requirements of this Section 16.0 in the manner or format prescribed by County.

16.1.6 Cost of Audit. Contractor understands and agrees that all or a portion of the cost of the annual audit as required under this Section 16.0 may be considered an allowable cost and reimbursable under this Contract if the following requirements are met:

(a) cost is included in Contractor's budget, with the subcontractor providing such services correctly identified; and

(b) the cost billed to County is no greater than the percentage relationship of Contract Funds to Contractor's total annual budget, with the cost of the audit being a reasonable cost for such services as agreed to by County. For example, if the total amount of Contract Funds provided under this Contract is ten percent (10%) of the total Contractor annual budget, then Contract Funds may be used to reimburse up to ten percent (10%) of the total cost of the annual audit; and

(c) the Contract Funds appropriated for this Contract are not Grant Funds.

16.2 County Audit. Notwithstanding Section 16.1, County reserves the right to conduct an annual financial, compliance, and/or performance audit of the Contract. Contractor agrees to permit County or its authorized representative, to audit Contractor's records and to obtain any documents, materials, or information necessary to facilitate such audit.

16.3 Facilitation. Contractor shall take whatever action is appropriate to facilitate the performance of any audits conducted pursuant to Section 16.0 that County may reasonably require of Contractor.

16.4 Grant Requirements

16.4.1 Contractor shall maintain an adequate financial record for all work related to Grant Activities, as prescribed by 2 C.F.R. Part 66 and 41 C.F.R. Part 101-11.6, "Financial Administration" and "Reports, Records, Retention, and Enforcement;" and shall make such records available for audit by County and others as set forth in this Section 16.0. The Contractor also shall maintain such records as are deemed necessary by the County to assure proper accounting for all costs, including expenditure of incentive monies, if applicable. All of the records specified in this Section shall be retained as subsequently specified herein.

16.4.2 All records, books, documents, accounting procedures, or practices relating to Grant Activities and utilizing Grant Funds shall be subject to examination and/or audit in accordance with all applicable state and federal laws, rules, regulations or directives, by the County, the State Auditor, the U.S. Department of Health and Human Services, the Comptroller General of the United States, or any of their duly authorized representatives as applicable. Contractor shall direct that any subcontractor/ subrecipient with whom it has established a contractual relationship to discharge the Contractor's Grant obligations under this Contract to likewise permit the County and, if applicable, the State Auditor, the U.S. Department of Health and Human Services, and the Comptroller General of the United States, to have rights of access to, inspection of, and reproduction of all books and records of the subcontractor(s)/ subrecipient(s) that pertain to Grant Activities provided under this Contract.

16.4.3 Contractor shall maintain and retain for a period of three (3) years after the termination of this Contract, or until full and final resolution of all audit or litigation matters which arise before the expiration of the three (3) year period, whichever time period is longer, such records as are necessary to fully disclose the extent of services provided under this Contract, including but not limited to, any daily activity reports and time distribution and attendance records, and other records which may show the basis of the allowable cost charges made.

16.4.4 In order to comply with the monitoring and auditing requirements governing this Contract, Contractor is considered a subrecipient of federal grant funds under the Promoting Safe and Stable Families Program, Administration on Children, Youth and Families, U. S. Department of Health and Human Services. All accounting records should identify the source of Grant Funds received by the Contractor under this Contract as federal grant funds passed through from the County.

16.4.5 In addition to other requirements of the Contract, funds received pursuant to this Contract shall be audited in accordance with OMB Circular A-133 by the Contractor's independent auditor. Contractor shall give the County a copy of the entire auditor's report and management letter within sixty (60) days of the completion of the audit.

17.0 TRANSFER OF FUNDS.

17.1 Grant Funds. Notwithstanding Section 3.0, and as specifically applicable, Contractor may transfer funds without a written amendment to this Contract **ONLY** if Contractor has followed the process set forth in Section 17.3 of this Contract.

17.2 Other Funds. Notwithstanding the requirements of Section 3.0 of this Contract and, as specifically applicable, Contractor may transfer other non-Grant Funds without a written amendment to this Contract **ONLY** if **ALL** of the following requirements are met:

17.2.1 the transfer moves funds **ONLY** between line items within the SAME program ("Program"). IF Contractor is uncertain as to the definition of "line item" and "program" as used in this provision, Contractor is responsible for contacting TCHHSVS to determine the applicability of this requirement to the Contractor's request for transfer; and

17.2.2 the cumulative amount of transfers between direct budget categories (Personnel, Operating Expenses, Direct Assistance and/or equipment, Capital Outlay) is not more than ten percent (10%) of the Contract total for that Program shown in Section 13.2; and

17.2.3 the transfer will not change the scope or objective of the programs funded under this Contract, solely as determined by County through TCHHSVS prior to transfer; and

17.2.4 the transfer follows the process set forth in Section 17.3.

17.3 Process. To complete transfer under this Section 17.0 (both Sections 17.1 and 17.2 funds), Contractor must submit a budget revision form to the County through TCHHSVS prior to, or simultaneously with, the submission of the Contractor's first monthly billing to the County following the transfer which shall reflect such changes. Contractor acknowledges and agrees that failure to meet the requirements of this Section 17.0 may result in any transfer of funds being disallowed; as such, the disallowed amount will not be paid by County. If County reasonably determines that payment has been made incorrectly for expenses in violation of this Section 17.0, Contractor agrees to refund such payment in full to County within twenty (20) days of written request by County for such refund.

VIII. SUSPENSION/TERMINATION

18.0 SUSPENSION. If Contractor fails to comply with any term of this Contract, including failure to deliver reports required by Section 9.0 and make corrections required by Section 22.0, or if the Commissioners Court requests a financial review or performance evaluation related to a reasonable cause to believe that Contractor is not using Contract Funds in compliance with the terms of this Contract, County may, upon written notification to Contractor,

suspend this Contract in whole or in part and withhold further payments to Contractor. Contractor agrees that Contractor shall not incur additional obligations of Contract Funds until Contractor is in compliance with the terms of this Contract or the reports of the financial review and/or program evaluation are completed and all exceptions noted in these reports are corrected to County's satisfaction, which County shall not unreasonably withhold.

19.0 TERMINATION

19.1 **Reasons for Termination.** County shall have the right to terminate this Contract, in whole or in part, at any time before the date of termination specified in Section 2.0 of this Contract for the following reasons:

19.1.1 **Failure to Comply.** Contractor has failed to comply with any term or condition of this Contract, including, but not limited to, the failure to deliver reports required by this Contract and make those corrections required by this Contract,

19.1.2 **County Funding Out.** During the budget planning and adoption process, Commissioners Court fails to provide funding for this Contract for any County Fiscal Year following the beginning of the Contract Term,

19.1.3 **Contractor's Ability to Perform.** County finds that Contractor is in a financial condition that endangers Contractor's ability to perform this Contract or Contractor is delinquent in the payment of taxes or cost of performance of this Contract in the ordinary course of business, or Contractor is in a technical state of bankruptcy as defined by the Federal Bankruptcy Act and is subject to the appointment of a trustee, receiver or liquidator for all, or a substantial part, of Contractor's property or to the institution of bankruptcy, reorganization, rearrangement or liquidation proceedings by or against Contractor,

19.1.4 **Contractor's Ability to Conform.** Contractor is unable to conform to changes required by federal, state and local laws or regulations, or

19.1.5 **Beneficial Results.** County finds that Contractor is not producing results that are sufficiently beneficial to warrant continued expenditure of Contract Funds.

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19.2 **Notification.** County Purchasing Agent shall notify Contractor pursuant to the "Notice" provision of this Contract in writing at least thirty (30) days before the date of termination of the decision to terminate; the reasons for the termination; the effective date of the termination; and in the case of partial termination, the portion of the Contract to be terminated.

19.3 **Contractor Termination.** Contractor may terminate this Contract in whole or in part at any time, by giving thirty (30) days written notice pursuant to Section 23.0 if there is termination of significant other funding upon which Contractor depends for performance under this Contract or if Contractor is dissolved, only if the dissolution is not caused by a breach of this Contract. Contractor's notice shall include a complete explanation of the reasons(s) for termination under this Section 19.3 and designation of the effective date of termination. The Purchasing Agent shall notify Contractor in writing of acceptance of termination pursuant to this Section 19.3 upon finding that Contractor's claim(s) under this Section 19.3 have been established to County's reasonable satisfaction.

19.4 **Mutual Termination.** Any Party has the right to terminate this Contract, in whole or in part, when the Parties agree that the continuation of the activities funded under this Contract would not produce beneficial results commensurate with the further expenditure of funds or that mutually satisfactory resolution to a disagreement related to County Financial Requirements under Section 5.1.4(vi) cannot be achieved; provided that both Parties agree, in writing, upon the termination conditions, including the effective date of the termination; the provisions under which termination shall be accepted; and, in the case of partial termination, the portion of the Contract to be terminated.

19.5 **Correction.** At least thirty (30) days before the effective date of termination by County pursuant to any provision of this Contract, County shall notify Contractor in compliance with Section 23.0 of the reasons for termination, the effective date of termination and the portion of this Contract to be terminated. Where applicable, as reasonably determined by County, Contractor may avoid the termination of this Contract if Contractor corrects the causes for the reasons for termination stated in the notice to the satisfaction of County, as reasonably determined by County, prior to the effective date of termination, or an extended date if agreed to in writing by the Parties.

19.6 **Results of Termination.**

19.6.1 **Cancellation of Outstanding Orders.** Upon termination or receipt of notice to terminate, whichever occurs first, Contractor shall cancel, withdraw, or otherwise terminate any outstanding orders or Subcontracts related to the performance of this Contract, or the part of this Contract to be terminated, and shall cease to incur costs under them. County shall not be liable to Contractor or to Contractor's creditors for costs incurred after termination of this Contract. County shall not under any circumstances be liable to Contractor's creditors or Subcontractors for any payments under this Contract.

19.6.2 **Continued Liability.** Notwithstanding any exercise by County of its right of suspension under Section 18.0 of this Contract or of early termination pursuant to this Section 19.0 or any provision of this Contract, Contractor shall not be relieved of any liability to County for damages due to County by virtue of any breach of this Contract by Contractor, or for any amounts paid to Contractor by County and reasonably determined by County to be overpayment(s), disallowed payment(s), or payment(s) subject to refund under the terms of this Contract. County may withhold payments to Contractor until the exact amount of damages or payments due to County from Contractor is agreed upon or is otherwise determined, and is paid in full.

19.6.3 **Transition.** Where applicable, at the end of this Contract or at the time of any other Contract termination or cancellation, the Contractor shall in good faith and in reasonable cooperation with County, aid in transition to any new management or provider of services which have been provided under this Contract as necessary to protect County's interests.

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19.7 **Immediate Termination.** Nothing in this Section 19.6, or any other provision of this Contract, shall be construed to limit County's authority to withhold payment and immediately suspend Contractor's performance under this Contract if County identifies possible instances of fraud, abuse, waste, fiscal mismanagement, or other serious deficiencies in Contractor's performance. Suspension shall be a temporary measure pending either corrective action by Contractor or a decision by County to terminate this Contract. County shall not be liable for any costs incurred by Contractor during suspension of this Contract under this Section 19.7.

VIII. MISCELLANEOUS PROVISIONS

20.0 **INDEPENDENT CONTRACTOR.**

20.1 The Parties expressly acknowledge and agree that Contractor is an independent contractor and assumes all of the rights, obligations and liabilities applicable to it as an independent contractor. No employee of Contractor shall be considered an employee of County or gain any rights against County pursuant to County's personnel policies. The relationship of County and Contractor under this Contract is not and shall not be construed or interpreted to be a partnership, joint venture or agency. The relationship of the Parties shall be an independent contractor relationship. Neither Party shall have the authority to make any statements, representations or commitments of any kind, or to take any action which shall be binding on the other Party or which shall hold itself out to be binding on the other Party.

21.0 SUBCONTRACTS

21.1 **Prior Approval.** Contractor shall not enter into any Subcontracts for any service or activity relating to the performance of this Contract without the prior written approval or the prior written waiver of this right of approval from County through the Purchasing Agent. Approval of this Contract will constitute approval as required by this Section 21.1 for those Subcontracts/Subcontractors specifically identified in the Contract terms, including the Attachments.

21.2 **Contractor Responsibility.**

21.2.1 **Subcontractor Compliance.** Contractor is wholly responsible to County for the performance under this Contract, whether such performance is provided directly by Contractor or indirectly by any Subcontractor. Contractor is responsible to County for the performance of any Subcontractor, and shall monitor both financial and programmatic performance and maintain pertinent records concerning Subcontractor(s) that shall be available for inspection by County. Contractor shall ensure that its Subcontractors comply with all applicable terms of this Contract (including terms related to records and reports) as if the performance rendered by the Subcontractor was being rendered by Contractor. Contractor shall inspect all Subcontractors' work and shall be responsible for ensuring that it is completed in a good and workmanlike manner pursuant to the terms of this Contract.

21.2.2 **Subcontract Terms.** Contractor agrees that all Subcontracts will include provisions which require compliance with all applicable federal, state, and local laws, rules, regulations and policies, with the applicable terms of this Contract, and with any provisions such as may be reasonably requested by County; and shall also include provisions ensuring the following:

(a) The disclosure of any other contracts with County at the time the Subcontract is signed or any time during the Contract Term. For each contract exists, Subcontractor shall warrant and guarantee that Subcontractor will report and receive payment for each service/participant only from County funds under this Contract, and that there will be no duplicate payments for those services/participants reported under this Contract from any other sources or from County under any other contract or agreement.

(b) Agreement:

(i) to reasonably cooperate with any County inquiry or investigation into Subcontractor and/or participant complaints; and

(ii) to maintain confidentiality of information and security of all records as required by law; and

(iii) that Contractor has the sole responsibility for payment for services rendered by Subcontractor; and, in the event of non-payment, insolvency or cessation of operations, sole recourse of Subcontractor against Contractor will be through Contractor or the bankruptcy estate of Contractor; and

(iv) that County is not liable for any payment to Subcontractor; and

(v) to warrant that Subcontractor has systems in place to identify and document services to participants according to different funding sources; and

(vi) to warrant that service/participant for which County pays will not also be paid for by any other funding source or by County under any other contract, pursuant to Section 6.3 of this Contract; and

(vii) to assure Contractor's ability to meet all Contract requirements, including but not limited to reporting requirements.

21.3 **Contract Limitation.** This Contract sets out the agreements and obligations between County and Contractor only, and does not obligate County in any way to any of Contractor's Subcontractors, nor to any other third party. This Contract creates no third party beneficiary rights as between County and any of Contractor's Subcontractors. Contractor has the sole responsibility for payment for services rendered by Subcontractors with Subcontractor's sole recourse in the event of Contractor non-payment, insolvency or cessation of operations against Contractor or Contractor's bankruptcy estate. County shall not under any circumstances be liable to Contractor's creditors or Subcontractors for any payments under this Contract. Contractor agrees to include notice of the requirements in this section in every Subcontract.

21.4 **HUB.** Contractor agrees to make a "good faith" effort to take all necessary and reasonable steps to insure HUBs the maximum opportunity to be Subcontractors under this Contract where HUB Subcontractors exist. Contractor must report all expenditures made to HUB Subcontractors to the County Purchasing Agent. Failure by Contractor to make such good faith effort to employ HUBs as Subcontractors constitutes a breach of this Contract and may result in termination. The Parties agree that HUB requirements and determinations will be made by the County Purchasing Agent, and that Contractor will contact the County Purchasing Agent with any questions regarding this provision.

21.5 **Level of Care.** Contractor shall ensure the provision of timely and quality professional services by individuals, agencies, and other Subcontractors who will meet or exceed applicable licensing and regulatory standards applicable to the services provided and will provide County relevant documentation of such licenses upon request.

21.6 **Payment to Subcontractors.** Contractor shall use commercially reasonable effort to pay Subcontractor(s) for undisputed claims for services rendered within five (5) business days of receipt of payments and/or advances from County corresponding to those services under the terms of this Contract. This Section 21.6 refers only to obligations under this Contract between County and Contractor, and does not operate to contradict or change the provisions in Section 21.3.

21.7 **System for Award Management (SAM) .** Contractor must be currently registered or register in the federal SAM database and maintain an active registration for the duration of this Contract.

22.0 **MONITORING**

22.1 **County Monitoring.** County, either directly or through TCHHSVS, reserves the right to perform periodic on-site monitoring of Contractor's (and Subcontractors') compliance/performance with the terms of this Contract, and of the adequacy, effectiveness and timeliness of Contractor's performance under this Contract. Such monitoring visit may include review of any and all performance activities as well as any and all records or other documentation maintained in relation to Contractor's performance under this Contract. Within ninety (90) days of each monitoring visit, County shall provide Contractor with a written report of the monitor's performance-related findings. If the report notes deficiencies in Contractor's performances under the terms of this Contract, it shall include requirements and deadlines for the correction of those deficiencies by Contractor. Contractor shall take action specified in the monitoring report prior to the deadlines specified. Failure to make required changes in a timely manner may result in termination of the Contract by County. County may provide technical assistance to Contractor and may request changes in Contractor's accounting, administrative and management procedures in order to correct any deficiencies noted.

23.0 NOTICES

23.1 **Requirements.** Except as otherwise specifically noted herein, any notice required or permitted to be given under this Contract by one Party to the other shall be in writing and shall be given and deemed to have been given immediately if delivered in person to the address set forth in this section for the Party to whom the notice is given, or on the third day following mailing if placed in the United States Mail, postage prepaid, by registered or certified mail with return receipt requested, addressed to the Party at the address hereinafter specified.

23.2 **County Address.** The address of County for all purposes under this Contract shall be:

Sherril Fleming, County Executive (or her successor)
Travis County Department of Health, Human Services,
and Veterans' Services
502 East Highland Mall Boulevard
Austin, Texas 78752-3722

and

Cyd Grimes, Purchasing Agent (or her successor)
Travis County Purchasing
P. O. Box 1748
Austin, Texas 78767

With copies to (registered or certified mail with return receipt is not required):

Honorable David Escamilla (or his successor) in office
Travis County Attorney
P. O. Box 1748
Austin, Texas 78767
ATTENTION: Civil Transactions

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23.4 **Contractor Address.** The address of the Contractor for all purposes under this Contract and for all notices hereunder shall be:

In Person: ATCIC
1430 Collier Street
Austin, Texas, 78704
Attn: David Evans, Chief Executive Officer

By Mail: ATCIC
P. O. Box 3548
Austin, Texas, 78764-3548
Attn: David Evans, Chief Executive Officer

With copies to (registered or certified mail with return receipt is not required):

ATCIC
P. O. Box 3548
Austin, Texas 78764-3548
Attn: General Counsel

23.5 **Change of Address.** Each Party may change the address for notice to it by giving notice of the

change in compliance with Section 23.0. Any change in the address, including a change in the Contractor's Executive Director or Chairperson of the Board of Directors, shall be reported to the County Executive and the Purchasing Agent within twenty (20) days of the change.

23.6 **Change of Name.** If a change of name is required by Contractor, the Purchasing Agent and County Executive shall be notified in writing immediately. No change in the obligation of or to Contractor will be recognized until it is approved by the Commissioners Court. Failure to timely provide notice under Section 23.5 and/or 23.6 may result in delay of payment.

24.0 **PROHIBITIONS**

24.1 **County Forfeiture of Contract.** If Contractor has done business with a Key Contracting Person as listed in Exhibit "A" to Attachment D during the 365 day period immediately prior to the date of execution of this Contract by Contractor or does business with any Key Contracting Person at any time after the date of execution of this Contract by Contractor (including business done during any Renewal Term of this Contract) and prior to full performance of this Contract, Contractor shall forfeit all County benefits of this Contract and County shall retain all performance by Contractor and recover all considerations, or the value of all consideration, paid to Contractor pursuant to this Contract. Contractor shall notify County of any change in the information submitted with this Contract as to the Ethics Affidavit within twenty (20) days of such change throughout the Initial Term and/or any Renewal Term.

24.2 **Conflict of Interest.**

24.2.1 Contractor shall ensure that no person who is an employee, agent, consultant, officer, or elected or appointed official of Contractor, or member of Contractor's governing body, who exercises or has exercised any power or responsibility with respect to activities performed pursuant to this Contract or who is in a position to participate in a decision-making process or gain inside information with regard to these activities has or may obtain a personal financial interest or benefit from the activity, or have an interest in any contract, subcontract or agreement with respect to the proceeds under it either for him or herself or those with whom he or she has family or business ties, during his or her tenure or for one year thereafter.

24.2.2 **Questionnaire.** If required by Chapter 176, Texas Local Government Code, the Contractor shall complete and file a Conflict of Interest Questionnaire with the County Clerk, Elections Division, 5501 Airport Blvd., Austin, 78751. The Contractor shall update this Questionnaire by September of each year for the duration of this Contract as required by Chapter 176 of the Local Government Code. In addition, if any statement on this submitted Questionnaire becomes incomplete or inaccurate, the Contractor shall submit an updated Questionnaire. The Contractor should note that the law requires the County to provide access to this Questionnaire on the official Travis County Internet website.

24.3 **Solicitation.** Contractor warrants that no persons or selling agency was or has been retained to solicit this Contract upon an understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial selling agencies maintained by Contractor to secure business. For breach or violation of this warranty, County shall have the right to terminate this Contract without liability, or, in its discretion to, as applicable, add to or deduct from the Contract price for consideration, or otherwise recover the full amount of such commission, percentage, brokerage or contingent fee.

24.4 **Gratuities.** County may cancel this Contract if it is found that gratuities in the form of entertainment, gifts, or otherwise were offered or given by Contractor or any agent or representative to any County official or employee with a view toward securing favorable treatment with respect to the performing of this Contract. In the event this Contract is cancelled by County pursuant to this provision, the County shall be entitled, in addition to any other rights and remedies, to recover from Contractor a sum equal in amount to the cost incurred by Contractor in providing such gratuities. Contractor's employees, officers and agents shall neither solicit nor accept gratuities, favors

or anything of monetary value from Subcontractors or potential Subcontractors. Contractor shall establish safeguards to prohibit its employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business or other ties.

24.5 **Nepotism.** Contractor agrees that it will comply with the guidelines set forth for public officials under TEX. GOVERNMENT CODE ANN, Ch. 573, by ensuring that no officer, employee or member of the governing body of Contractor shall vote or confirm the employment of any person related within the second degree by affinity or third degree by consanguinity to any member of the governing body or to any other officer or employee authorized to employ or supervise such person.

25.0 **ASSIGNABILITY**

25.1 **Written Approval.** No Party may assign any of the rights or duties created by this Contract without the prior written approval of the other Party. This provision includes assignment, sale, merger or any other action resulting in any change in the status of Contractor. It is acknowledged by Contractor that no officer, agent, employee or representative of County has any authority to assign any part of this Contract unless expressly granted that authority by the Commissioners Court. Submission of a request for approval under this Section 25.1, "Assignment," shall be made in writing to the Purchasing Agent. Failure to secure the approval required in this Section 25.1 may result in delay of payment or other sanctions.

25.2 **Binding Agreement.** Subject to Section 25.1, this Contract shall be binding upon the successors, assigns, administrators, and legal representatives of the Parties to this Contract.

26.0 **LEGAL AUTHORITY**

26.1 **Contractor Authority.** Contractor guarantees that Contractor possesses the legal authority to enter into this Contract, receive funds authorized by this Contract, and to perform the services Contractor has obligated itself to perform under this Contract.

26.2 **Signors.** The person or persons signing this Contract on behalf of Contractor, or representing themselves as signing this Contract on behalf of Contractor, do hereby warrant and guarantee that he, she or they have been duly authorized by Contractor to sign this Contract on behalf of Contractor and to bind Contractor validly and legally to all terms, performances, and provisions in this Contract.

26.3 **Suspension.** County shall have the right to suspend or terminate this Contract if there is a dispute as to the legal authority of either Contractor or the person signing this Contract to enter into this Contract or to render performances under it. Contractor and any person signing this Contract for Contractor are liable to County for any money disbursed by County for performance of the provisions of this Contract, if County has suspended or terminated this Contract for breach of Section 26.1 or Section 26.2.

27.0 **INTERPRETATIONAL GUIDELINES**

27.1 **Computation of Time.** When any period of time is stated in this Contract, the time shall be computed to exclude the first day and include the last day of the period. If the last day of any period falls on a Saturday, Sunday or a day that County has declared a holiday for its employees these days shall be omitted from the computation.

27.2 **Numbers and Gender.** Words of any gender in this Contract shall be construed to include any other gender and words in either number shall be construed to include the other unless the context in the Contract clearly requires otherwise.

27.3 **Headings.** The headings at the beginning of the various provisions of this Contract have been included only to make it easier to locate the subject matter covered by that section or subsection, and are not to be used in construing this Contract.

28.0 **OTHER PROVISIONS**

28.1 **Exemption From County Purchasing Act.** Pursuant to TEX. LOCAL GOVERNMENT CODE ANN. § 262 et seq., Commissioners Court hereby orders that this Contract is exempt from the requirements of the County Purchasing Act because it is a Contract for the purchase of personal or professional services or meets other requirement(s) for exemption pursuant to applicable law.

28.2 **Survival of Conditions.** Applicable provisions of this Contract shall survive beyond termination or expiration of this Contract until full and complete compliance with all aspects of these provisions has been achieved where the Parties have expressly agreed that those provisions should survive any such termination or expiration or where those provisions remain to be performed or by their nature would be intended to be applicable following any such termination or expiration.

28.3 **Non-Waiver of Default.** One or more acts of forbearance by any Party to enforce any provision of this Contract or any payment, act or omission by any Party shall not constitute or be construed as a waiver of any breach or default of any other Party which then exists or may subsequently exist.

28.4 **Reservation of Rights.** If any Party to this Contract breaches this Contract, the other Party(ies) shall be entitled to any and all rights and remedies provided for by the Texas law and any applicable Federal laws or regulations. All rights of each Party hereunder are specifically reserved and any payment, act or omission shall not impair or prejudice any right or remedy that either Party may have under this Contract. The failure to exercise any right or remedy in this Contract by either Party or the failure to act in accordance with law based upon the other Party's breach of the terms, covenants, and conditions of this Contract, shall not demand the prompt performance of any obligation under this Contract shall not preclude the exercise of such right or remedy of any other Party of any other right or remedy under this Contract or under any law, nor shall any action taken or not taken in the exercise of any right or remedy be deemed a waiver of any other rights or remedies.

28.5 **Law and Venue.** This Contract is governed by the laws of the State of Texas and all obligations under this Contract shall be performable in the City of Austin, Texas or in Travis County, Texas. It is expressly understood that any lawsuit, litigation, or dispute arising out of or relating to this Contract will take place in Travis County and the City of Austin.

28.6 **Severability.** If any portion of this Contract is ruled invalid by a court of competent jurisdiction, the remainder of it shall remain valid and binding. If federal, state or local laws or other requirements are amended or judicially interpreted so as to render continued fulfillment of this Contract, on the part of either Party, substantially unreasonable or impossible, and if the Parties should be unable to agree upon any amendment that would therefore be needed to enable the substantial continuation of the services contemplated herein, the Parties shall be discharged from any further obligations created under the terms of this Contract, except for the equitable settlement of the respective accrued interests or obligations incurred up to the date of termination.

28.7 **Political Activity.** Contractor shall not use any of the performance under this Contract or any portion of the Contract Funds for any activity related to influencing the outcome of any election for public office, or any election, or the passage or defeat of any legislative measure. This prohibition shall not be construed to prevent any official or employee of Contractor from furnishing to any member of its governing body upon request or to any other local or state official or employee, or to any citizen, information in the hands of the employee or official not considered under law to be confidential. No Contract Funds can be used directly or indirectly to hire employees or in any other way fund or support candidates for the legislative, executive or judicial branches of the government of Contractor, the

State of Texas or the government of the United States.

28.8 **Sectarian Activity.**

28.8.1 **Religious Influence.** Within the limits and understandings set forth in Section 28.8.2, Contractor shall ensure that provision of services under this Contract shall be carried on in a manner free from religious influence. Contractor shall not execute any agreement with any primarily religious organization to receive Contract Funds from Contractor unless the agreement includes provisions such as those set forth herein or as provided by County, to effectuate this assurance. Contractor shall submit such agreements to County prior to the release of Contract Funds to such Contractor.

28.8.2 **Civil Rights Act, Section 702 Application.** Contractor and County agree to be bound by the following as to Subcontractor(s) and Contractor respectively: A religious organization that enters into a contract with County (or Subcontractor who enters into a Subcontract with Contractor) does not by so contracting lose exemption provided under Section 702 of the Civil Rights Act (42 U.S.C., Section 2000E-1(a)) regarding employment practices. A religious or charitable organization is eligible to be a Contractor on the same basis as any other private organization. Contractor retains its independence from State and Local governments, including the Contractor's control over the definition, development, practice, and expression of its religious beliefs. Except as provided by federal law, County shall not interpret this Contract to require a religious organization to alter its form of internal governance or remove religious art, icons, scripture or other symbols.

Neither the County's selection of charitable or faith-based Contractor of social services nor the expenditure of funds under this Contract is an endorsement of the Contractor's charitable or religious character, practices or expressions. The purpose of this Contract is the provision of social services. No expenditures have as their objective the funding of sectarian worship, instruction or proselytization.

Contractor shall reasonably apprise all eligible Clients of the following and ensure the provision of services pursuant to the following:

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Neither the County's selection of charitable or faith-based Contractor of social services nor the expenditure of funds under this Contract is an endorsement of the Contractor's charitable or religious character, practices or expressions. No provider of social services for the County may discriminate against you on the basis of religion, a religious belief, or your refusal to actively participate in a religious practice. If a Client believes that their rights have been violated, that complaint should be discussed with a County representative immediately.

28.8.3 **Additional Rights.** Section 104 of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (8 U.S.C. Section 604a) sets forth certain additional rights and responsibilities for charitable and faith-based providers of social services, certain additional rights of assisted individuals, and certain additional responsibilities of County to providers and assisted individuals. This Contract is subject to those additional rights and responsibilities.

28.9 **Publicity.** In any publicity prepared or distributed by or for Contractor, the funding through County shall be mentioned as having made the project possible. Prior to publication or any disbursement of such publicity, Contractor must provide a copy of the final form of the publicity and secure the approval of the County Executive. When appropriate as determined by County Executive, Contractor shall publicize the services and activities of Contractor under this Contract.

28.10 **Dispute Resolution - Administration by Purchasing Agent.** When the Contractor and/or County

have been unable to successfully resolve any question or issue related to this Contract presented to the County under Section 4.3, the Contractor or County shall then present the matter to the Purchasing Agent by providing the Purchasing Agent with written notice of the dispute. Such notice shall contain a specific written description of the issues involved as well as the Contractor's requested resolution of the dispute and any other relevant information which Contractor desires to include. As of the receipt of such notice by the Purchasing Agent, the Purchasing Agent will act as the County representative in any further issuances and in the administration of this Contract in relation to the described dispute. Unless otherwise stated in this Contract, any document, notice or correspondence in relation to the disputes at this stage not issued by or to the Purchasing Agent is void. If the Contractor does not agree with any document, notice or correspondence relating to the dispute issued by the Purchasing Agent or other authorized County person, the Contractor must submit a written notice to the Purchasing Agent with a copy to the County Executive within ten (10) calendar days after receipt of the document, notice or correspondence, outlining the exact point of disagreement in detail. The Purchasing Agent will issue a written notice of the final resolution of the dispute to the Contractor within thirty (30) days of receipt of the initial written notice of dispute by the Purchasing Agent. If this final resolution does not resolve the dispute to the Contractor's satisfaction, Contractor may submit a written Notice of Appeal to the Commissioners Court through the Purchasing Agent. The Purchasing Agent will provide a copy of such response to the County Executive. This Notice of Appeal must be submitted within ten (10) calendar days after receipt of the unsatisfactory final resolution. Contractor then has the right to be heard by Commissioners Court and the Purchasing Agent will coordinate placing the matter on the Commissioners Court agenda.

28.11 **Mediation.** If the Contractor is not satisfied with the resolution of the dispute pursuant to Section 28.10, Contractor shall notify the County Executive, and, if mediation is acceptable to both Parties in resolving the dispute arising under this Contract, the Parties agree to use the Dispute Resolution Center of Austin, Texas, as the provider of mediators for mediation as described in the TEX. CIV. PRAC. AND REM. CODE, Section 154.023. Unless both Parties are satisfied with the result of the mediation, the mediation will not constitute a final and binding resolution of the dispute. Communications in the scope of the mediation shall be confidential as described in TEX. CIV. PRAC. AND REM. CODE, Section 154.071, unless both Parties agree in writing, to waive the confidentiality.

28.12 **Coordination.** Contractor shall coordinate and share information with other Travis County Health and Human Services programs and CAN in any way that is appropriate as determined by County to maximize the benefit to Eligible Clients in City of Austin/Travis County and to avoid duplication of services.

28.13 **County Public Purpose.** By execution of this Contract, the Commissioners Court hereby finds that the issues, problems and needs to be addressed by the services to be provided under the terms of this Contract, and specifically set forth in Attachment A hereto, constitute a significant public concern impacting members of the indigent population which the County serves. The Commissioners Court further finds that the provision of services to be provided by Contractor pursuant to this Contract will further the public purpose of addressing those health and human services issues, problems and needs identified in this Contract (including Attachment A) for qualified individuals.

28.14 **Force Majeure.** Neither Party shall be financially liable to the other Party for delays or failures to perform in Contract performance caused by force majeure (i.e. those causes generally recognized under Texas law as constituting impossible conditions). Such delays or failures to perform shall extend the period of performance until these exigencies have been removed. The party seeking to avail itself of this clause shall notify the other Party within five (5) business days or otherwise waive the right as a defense, unless notification is impractical under the circumstances, in which case notification shall be done in as timely a manner as possible. Each Party agrees that breach of the notice requirements of this Section 28.14 entitles the other Party to reduce or stop payments (as applicable) or immediately terminate this Contract.

BY THE SIGNATURES AFFIXED BELOW, the above Contract is hereby accepted as all the terms and conditions of this Contract, and the provision of services between the effective date of this Contract (February 1, 2013) and the execution of this Contract by the Parties are hereby ratified.

CONTRACTOR:
AUSTIN-TRAVIS COUNTY MENTAL HEALTH AND MENTAL RETARDATION CENTER

By: _____
Its Duly Authorized Agent
Printed Name: _____
Title: _____
Date: _____

TRAVIS COUNTY

By: _____
Samuel T. Biscoe
Travis County Judge
Date: _____

County Approvals:
As to Legal Form:

Assistant County Attorney Date: _____
Funds Certified By:

Nicki Riley, County Auditor Date: _____
Purchasing:

Cyd Grimes, Purchasing Agent Date: _____

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ATTACHMENT A **STATEMENT OF WORK**

CONTRACTOR DESCRIPTION:

Austin Travis County Integral Care provides community-based behavioral health and developmental disabilities services in Travis County, serving more than 22,000 individuals and families annually, by offering a comprehensive system of services and programs year-round.

Individuals receiving services at Integral Care are often in dire need of care and have a single or combined diagnosis of developmental disabilities, persistent mental illnesses, and chemical dependency issues. Integral Care's programs are administered through the following service areas:

- Adult Behavioral Health
- Child and Family
- Intellectual and Developmental Disabilities
- Psychiatric Crisis Services and Jail Diversion

Services include mental health assessments, psychiatric evaluations, 24-hour crisis interventions, medication management, outpatient treatment, supportive employment and vocational services, service coordination, case management, family support and respite care, housing, information and referral, supported living and residential services. Integral Care also provides community services in consumer's place of residence, schools, or within the community most appropriate for delivery of services.

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CONTRACTOR SERVICES:

Austin Travis County Integral Care will provide mental health therapeutic services to children 0 – 17 years of age whose parents are enrolled in the Travis County Family Drug Treatment Court (FDTC) Program by employing a Child Therapist.

CHILD THERAPEUTIC SERVICES:

The Child Therapist will work closely with participating caregiver (parent or legally authorized representative) and the Travis County Family Drug Treatment Court (FDTC) Team to establish and work toward goals that increase the emotional, developmental and social-emotional well-being of the child while the parent(s) are enrolled in the FDTC and Parenting in Recovery (PIR) .

Specific duties of the Child Therapist include:

- Screening children, ages 0 – 3, of parents enrolled in the Travis County Family Drug Court Program using the *Ages and Stages Questionnaire*

(ASQ), a developmental and social-emotional screening tool for children from birth to 5 years of age;

- ✚ Screen children ages 4-17 using the Child and Adolescent Needs and Strengths - MH (CANS-MH) assessment tool;
- ✚ Maintains a caseload of 10-15 FDTC families to provide psychotherapy to improve the parent/child attachment and functioning;
- ✚ Provides mental health therapeutic services to enrolled children/youth for 4 to 12 months with closure occurring when the goals have been met and/or the child/youth has been successfully transitioned to longer term services and or community-based services;
- ✚ When therapeutically indicated the therapist will provide direct services to the child/youth utilizing evidenced based practices including Trauma-Focused Cognitive Behavioral Therapy (TF-CBT); filial therapy; Child-Parent Psychotherapy.
- ✚ Engages both the child and their caregiver (parent or kin), in assessing the social-emotional needs of the child to plan for the developmental activities and the therapeutic interventions;
- ✚ Develops an individualized treatment plan of care for each child/youth enrolled that may include mental health assessment, advocacy, care coordination/case management, parent training, crisis intervention, counseling, therapy and skills training;
- ✚ Makes referrals and collateral contacts to community agencies to address the educational, social/recreational, any additional behavioral healthcare services and supports, including medical/dental care of the child;
- ✚ Appears in court to provide testimony to the court on progress made by the child and/or parent while participating in the FDTC/ Parenting in Recovery;
- ✚ Conducts an average of four (4) assessments a month and will monitor an average of 35 plans a year;
- ✚ Will coordinate with providers on the ATCIC Provider Network to provide non-traditional therapeutic services and supports, such as, art/music therapy, recreational therapy, behavioral aide, pro-social groups, individual/family mentoring, respite care, and equine therapy, on an as needed basis;

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- ✚ Be responsible for documenting the service encounters while providing the therapeutic services;
- ✚ Preparing and providing the reports necessary for adhering to the requirements of the Parenting in Recovery grant based on the child therapist's role on the grant; and
- ✚ Assist in the coordination of team meetings involving the child and/or family members in addressing the developmental and social-emotional well-being needs of the child.

Minimum Qualifications of the Child Therapist

- ❖ Master's Degree in Social Work or related field;
- ❖ Licensed Practitioner of the Healing Arts (LPHA), either as a Licensed Professional Counselor (LPC), or Licensed Clinical Social Worker (LCSW).
- ❖ Extensive knowledge of the stages of child development including social and emotional well-being; child welfare and child protective services systems;
- ❖ Minimum of three (3) years providing children's mental health services, infant mental health services, or other direct services addressing the developmental and social-emotional needs of children.
- ❖ Trained in evidenced based practices including Trauma-Focused Cognitive Behavioral Therapy (TF-CBT); and prefer filial therapy and/or Child-Parent Psychotherapy
- ❖ Demonstrate flexibility with work schedule and willingness to work evening hours and/or weekends; and
- ❖ Ability to demonstrate cultural and/or linguistic competency with children and their families with diverse backgrounds, with Bilingual capabilities (Spanish and English) strongly preferred.

WORKPLAN:

The services provided under this Contract shall be provided during the Contract Term which begins September 30, 2012 and terminates September 29, 2013.

BUDGET:

The budget for salary, fringe and operating expenses is up to \$60,845.

Compliance Certification form – Grant Contracts

IMPORTANT: this completed form must be submitted with each monthly invoice



Agency: ATCIC

Program: Parenting in Recovery - Child Therapist

Payment requested: month, 2013

Payment requested from: X TRAVIS COUNTY

The following items must be itemized in the current approved program budget, OR written prior approval by TCHHS&VS Executive Director regarding these items must be attached to the Payment Request. (Mark any that apply to this month)

- Purchase of any non-expendable property *
* (agency must also complete the Equipment Purchased table, below)
- Alteration or relocation of facilities
- Out of County Travel/ Conferences/ Seminars/ Training
- Consultant/professional services or subcontracts
- Budget transfers over the 10% rule per contract
- None of the above apply to this month
- Compliance with Special Conditions/ Corrective Action Plan.**
- Overtime expenditures if any followed contract requirements
- Audit expenditures if any were allocated per agency funding sources per contract
- Annual Audit submitted by Service Agency per contract.**
- Transfer of Funds/Budget adjustments less than 10% made by agency **
** (agency must attach Budget Revision request form)

Equipment Purchased:

Purchase Date	Item	Cost	Model Number	Serial Number	Location

Travis County Purchasing Office employee, _____ was notified of above purchases on _____.

I certify the information reported herein and attached hereto is true, correct, and complete. Please process the attached payment(s). (Certification required for processing of payment.)

Executive Director _____ Date _____

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For Travis County staff use only:

- County funds accurately to two decimal places
- County program budget not over-spent, per contract
- Fiscal year limitation not over-spent, per contract (75% Rule)
- Annual Audit submission by Service Agency per contract has been verified**
- Compliance with Special Conditions/ Corrective Action Plan is confirmed**

Attach copies of the following to this sheet and mark all that apply:

- Payment Request (verified and approved)
- Expenditure Report (verified and approved)
- Budget Revision form (if applicable)
- Revised/ Modified Payment Request (if applicable)
- Any required prior approval documents

I certify the information reported herein and attached hereto is true, correct, and complete. Please process the attached payment(s). (Certification required for processing of payment.)

Travis County contract manager _____ Date _____

Travis County director (or designee) _____ Date _____

For TC HHS&VS Admin./Finance use only:

- Service has been received in the HTE system
- Payment Request reviewed for: 1) reporting accuracy 2) expenditures verified and 3) contract compliance.
- Annual Audit submission by Service Agency per contract has been verified

I hereby certify that the information reported on this compliance certification form by all parties is true, correct, and complete. I understand that the legality of the payment is dependent on the accuracy of these statements. Please process the attached payment(s). (Please note, payment will not be processed without this signed certification attached to request for payment.)

(signature of Executive Manager or Director, HHS&VS Administrative Services Division) Date _____

Grant Approval (County Auditor) _____ Date _____

INSTRUCTIONS for TRAVIS COUNTY INVOICING:

Using the Payment Request/ Expenditure Report and related forms for Social Service Contracts

***** IMPORTANT: Please carefully read and follow the steps below in the order indicated to prepare and submit monthly invoices using the electronic invoicing spreadsheet forms located in the adjacent tabs of this file *****

GENERAL INFORMATION. This file contains the following spreadsheet tabs, listed from left to right:

Tab 1. This Instructions page - please print this and refer to it often as you prepare your invoices;

Tab 2. Budget Revision Request form, which must be completed and submitted any time such revision is needed;

Tab 3. Compliance Certification form - this completed form **must be submitted with every invoice**; and

Tabs 4 & above. The Expenditure Reports and Payment Requests (follow the detailed instructions below), comprised of 24 linked monthly spreadsheet tabs (12 "Exp Rpt" & 12 "Pay Req"), beginning with January. **NOTE: (Subject to any changes in County requirements) if you have any unexpended funds remaining after your last regular monthly invoice and for which you will request payment, there will be a Supplemental "13th payment request" form provided separately, along with your Contract Annual Summary (formerly Close-Out) forms.**

MAINTAINING the INTEGRITY of FORMS/ LINKS: The cell formulas and embedded links among the forms have been carefully constructed - do NOT change them without consulting us first. The forms may also be password-protected, allowing you to input required data into appropriate cell only. If your invoice forms need any changes, please contact your **Travis County** contract manager or City HHSD Research Analyst David Garza for assistance by email David.Garza@ci.austin.tx.us or by phone (512) 972-5008. Your assigned **Travis County** contract manager and the City Research Analyst are also available should you have any questions or need technical assistance.

MONTHLY EXPENDITURE REPORT (Complete this form FIRST)

1) In the "Jan07 Exp Rpt" spreadsheet tab, review and if needed add/correct the appropriate program and agency information near the top. Be sure to include your agency's contact person name/phone/extension.

2) For the Approved Budget column F, review and if needed, add/correct your TRAVIS COUNTY total 12-month (January 1 through December 31) program budget amount for each line item. Note that all subtotals and totals will calculate automatically. The resulting bottom line total in **lin21 (cell F42)** should equal the corresponding total COUNTY-only program budget amount for the current contract term.

3) Then in the Expenditures January 2007 column, input the actual amount for each eligible expenditure line item (total for the January 1st through January 31st period). Then check all amounts on this sheet for accuracy, and make sure that the correct amount and other information are carried forward into the remaining monthly "...Exp Rpt" spreadsheets. As each new month is completed in the contract term, you will repeat this step for the corresponding month's Expenditure Report. Be sure to verify the accuracy of all calculated cumulative amounts, every time you invoice.

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PAYMENT REQUEST (Check corrects forms only AFTER completing the expenditure Report)

These spreadsheets are designed so that the amounts in each of the 12 Payment Request forms automatically calculate directly from the corresponding Expenditure Report – this means that the two January forms are linked, as are the two February forms, etc. In addition, all of the "...Exp Rpt" and "...Pay Req" forms are linked so that the correct cumulative amounts should automatically be carried forward into the appropriate cells for subsequent months. **IMPORTANT: All amounts in the Payment Requests should be calculated automatically -- your main task for Payment Requests is to verify that all of the amounts are calculated and printed correctly.**

5) Verify that each "...Pay Req" spreadsheet includes a unique Invoice Number in the shaded block near the top - this number is also linked to the invoice number of the corresponding month's Exp Rpt form. This Number is a code representing your agency and program, the month invoiced, and ends in " 1 " to indicate it is the first or original invoice for that month. Important: if for any reason you later submit a different, revised or corrected etc. **invoice for that same month (which replaces or supplements the original invoice)** change the ending number to " 2 " on that second invoice, then to " 3 " on the third one as needed, etc.

***** Reminder for steps 6, 7 and 8 below: Most items on the Payment Request should be input or corrected by first adjusting the corresponding linked data in that month's Expenditure Report. *****

6) Next, review and (if needed) add/correct the appropriate agency and program information in section I, including the Payment Request Amount for the month being invoiced.

7) Check and correct (if needed) the amounts in Section II, ensuring that they are consistent with the corresponding amounts in the monthly "... Exp Rpt" spreadsheets.

8) Review the other "...Pay Req" spreadsheets to ensure that all of the information is accurately carried forward also.

9) **To invoice for each upcoming month, repeat steps 3 and 5-8 listed above** for the appropriate pair of monthly sheets, print both sheets, obtain the required signatures, and submit as usual with a completed Compliance Certification form.

Note - NOT included here: Supplemental "13th Payment" forms - If you have any unexpended funds remaining after your last monthly invoice and for which you will request payment, the appropriate Supplemental / 13th Payment forms should be provided after December for your action. Otherwise, you will release any remaining unexpended funds back to the County as part of these **separate "Contract Annual Summary"** (formerly known as "Close-Out") **process.**

Travis County Grant Contract PAYMENT REQUEST



Invoice Number:

IMPORTANT: Both an Expenditure Report and a Compliance Certification form must be provided with this invoice

SECTION I - CURRENT PAYMENT DATA		
Agency	Program	Month/Year
ATCIC	Parenting in Recovery - Child Therapist	Jan-13
1430 Collier Street Austin TX 78704	Contract Term	PAYMENT REQUEST AMOUNT
Phone (512) 447-4141	Feb. 1, 2013 - Sept. 30, 2013	\$0.00

SECTION II - PROGRAM BUDGET AND PAYMENT SUMMARY	
Item	Travis County Funds
1. Grant Funded Program Budget	\$60,845.00
2. Previous Payments Requested	\$0.00
3. AMOUNT OF THIS PAYMENT REQUEST	\$0.00
4. Total Payments Requested (Item 2 plus Item 3)	\$0.00
5. Balance (Item 1 minus Item 4)	\$60,845.00

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SECTION III - CERTIFICATION <i>(Must be completed by Contractor)</i>		
I certify that this Payment Request and the corresponding Expenditure Report have been made in accordance with the terms and conditions of the Contract. I also certify that all information provided is correct and that the amounts are not in excess of current needs.		
Preparer's Signature	Title	Date
Authorized Signature	Title	Date

SECTION IV - PAYMENT APPROVAL - (<i>TRAVIS CO. Staff</i>)		
Contract Manager's Signature	Name and Title	Date
	JOHN C. BRADSHAW Contract Specialist	

SECTION V - PAYMENT APPROVAL - (<i>Travis County FINANCE</i>)			
TC HHS & VS Financial Approval	Name and Title	Date	AMOUNT APPROVED
County Account Number	Issue Area	Vendor ID Number	Purchase Order Number

Staff Comments:

TRAVIS COUNTY CONTRACT EXPENDITURE REPORT

Inv. #:

Report Period: **Jan-13**

Agency: **ATCIC**
Agency contact: First and Last Names
E-mail: name@address.org

Program: **Parenting in Recovery - Child Therapist**
Phone: number, ext. Current contract term:
Fax: number, ext. Feb. 1, 2013 - Sept. 30, 2013

Line	Approved Budget		Actual Expenditures & Balance		
	Item	Approved Budget	Expenditures	Cumulative Expenditures	Budget Balance
PERSONNEL					
1	Salaries - REGULAR time	40,753.00	0.00	0.00	40,753.00
2	Salaries-OVERTIME (Trav.Co. only)	0.00	0.00	0.00	0.00
3	Benefits	10,454.00	0.00	0.00	10,454.00
4	Other (Specify)	0.00	0.00	0.00	0.00
A	SUBTOTAL - PERSONNEL	51,207.00	0.00	0.00	51,207.00
OPERATING EXPENSES					
5	General Operating Expenses	3,808.00	0.00	0.00	3,808.00
6	Insurance/Bonding	0.00	0.00	0.00	0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)	0.00	0.00	0.00	0.00
8	Consultants / Contractual	0.00	0.00	0.00	0.00
9	Staff Travel - within Travis County	2,520.00	0.00	0.00	2,520.00
10	Conference/Seminars/Trng. within Travis Co.	0.00	0.00	0.00	0.00
11	Staff Travel outside Travis Co.	0.00	0.00	0.00	0.00
12	Conference/Seminars/Trng. outside Travis County	0.00	0.00	0.00	0.00
13	Equipment	0.00	0.00	0.00	0.00
14	Supplies	3,310.00	0.00	0.00	3,310.00
B	SUBTOTAL - OPERATING EXPENSES	6,638.00	0.00	0.00	9,638.00
DIRECT ASSISTANCE					
15	Food / Beverage - for clients	0.00	0.00	0.00	0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)	0.00	0.00	0.00	0.00
17	Other (specify)	0.00	0.00	0.00	0.00
18		0.00	0.00	0.00	0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00	0.00	0.00	0.00
EQUIPMT./CAPITAL OUTLAY					
19	List items (specify equipmt/capit.)	0.00	0.00	0.00	0.00
20		0.00	0.00	0.00	0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00	0.00	0.00	0.00
RECOVERED ADVANCE PAYMENTS					
Note: any amounts on line E must be input as negative dollars (reimbursed)					
E	SUBTOTAL: RECOVERED ADVANCE PAYMENTS	0.00	0.00	0.00	0.00
21	TOTALS (A+B+C+D+E)	60,845.00	0.00	0.00	60,845.00
	Maximums Allowable	60,845.00			

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Preparer's Signature: _____ Date: _____

Authorized Signature: _____ Date: _____

Travis Co. USE ONLY:	
Reviewed & approved by: _____	Date: _____



Travis County Grant Contract PAYMENT REQUEST

Invoice Number: **TCC #1**

IMPORTANT: Both an Expenditure Report and a Compliance Certification form must be provided with this invoice

SECTION I - CURRENT PAYMENT DATA		
Agency	Program	Month/Year
ATCIC 1430 Collier Street Austin TX 78704 Phone (512) 447-4141	Parenting in Recovery - Child Therapist	February 2013
	Contract Term	PAYMENT REQUEST AMOUNT
	Feb. 1, 2013 - Sept. 30, 2013	\$0.00

SECTION II - PROGRAM BUDGET AND PAYMENT SUMMARY	
Item	Travis County Funds
1. Grant Funded Program Budget	\$60,845.00
2. Previous Payments Requested	\$0.00
3. AMOUNT OF THIS PAYMENT REQUEST	\$0.00
4. Total Payments Requested (Sum of Item 3)	\$0.00
5. Balance (Item 1 minus Item 4)	\$60,845.00

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SECTION III - CERTIFICATION (Must be completed by Contractor)		
I certify that this Payment Request and the corresponding Expenditure Report have been made in accordance with the terms and conditions of the Contract. I also certify that all information provided is correct and that the amounts are not in excess of current needs.		
Preparer's Signature	Title	Date
Authorized Signature	Title	Date

SECTION IV - PAYMENT APPROVAL - (<i>TRAVIS CO. Staff</i>)		
Contract Manager's Signature	Name and Title	Date
	John C. Bradshaw Contract Specialist	

SECTION V - PAYMENT APPROVAL - (<i>Travis County FINANCE</i>)			
TC HHS & VS Financial Approval	Name and Title	Date	AMOUNT APPROVED
County Account Number	Issue Area	Vendor ID Number	Purchase Order Number

Staff Comments:

TRAVIS COUNTY CONTRACT EXPENDITURE REPORT

Inv. #: **TCC #1**

Report Period: **February 2013**

Agency: **ATCIC**
Agency contact: First and Last Names
E-mail: name@address.org

Program: **Parenting in Recovery - Child Therapist**
Phone: number, ext. Current contract term:
Fax: number, ext. **Feb. 1, 2013 - Sept. 30, 2013**

Line	Approved Budget		Actual Expenditures & Balance		
	Item	Approved Budget	Expenditures February 2013	Cumulative Expenditures	Budget Balance
	PERSONNEL				
1	Salaries - REGULAR time	40,753.00	0.00	0.00	40,753.00
2	Salaries-OVERTIME (Trav.Co. only)	0.00	0.00	0.00	0.00
3	Benefits	10,454.00	0.00	0.00	10,454.00
4	Other (Specify)	0.00	0.00	0.00	0.00
A	SUBTOTAL - PERSONNEL	51,207.00	0.00	0.00	51,207.00
	OPERATING EXPENSES				
5	General Operating Expenses	3,808.00	0.00	0.00	3,808.00
6	Insurance/Bonding	0.00	0.00	0.00	0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)	0.00	0.00	0.00	0.00
8	Consultants / Contractual	0.00	0.00	0.00	0.00
9	Staff Travel - <u>within</u> Travis County	2,520.00	0.00	0.00	2,520.00
10	Conference/Seminars/Trng. <u>within</u> Travis Co.	0.00	0.00	0.00	0.00
11	Staff Travel - <u>out of</u> Travis Co.	0.00	0.00	0.00	0.00
12	Conferences/Seminars/Trng <u>out of</u> Travis County	0.00	0.00	0.00	0.00
13	Equipment	0.00	0.00	0.00	0.00
14	Supplies	3,310.00	0.00	0.00	3,310.00
B	SUBTOTAL - OP. EXPENSES	9,638.00	0.00	0.00	9,638.00
	DIRECT ASSISTANCE				
15	Food / Beverage - for clients	0.00	0.00	0.00	0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)	0.00	0.00	0.00	0.00
17	Other (specify)	0.00	0.00	0.00	0.00
18	0	0.00	0.00	0.00	0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00	0.00	0.00	0.00
	EQUIPMT./CAPITAL OUTLAY				
19	List items (specify equipmt/capit.)	0.00	0.00	0.00	0.00
20	0	0.00	0.00	0.00	0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00	0.00	0.00	0.00
	RECOVERED ADVANCE PAYMENTS				
	Note: any amounts on line E must be input as negative dollars (reimbursed)				
E	SUBTOTAL: RECOVERED ADVANCE PAYMENTS	0.00	0.00	0.00	0.00
21	TOTALS (A+B+C+D+E)	60,845.00	0.00	0.00	60,845.00
	Maximums Allowable	60,845.00			

Preparer's Signature: _____

Date: _____

Authorized Signature: _____

Date: _____

Travis Co. USE ONLY:

Reviewed & approved by: _____

Date: _____



Travis County Grant Contract PAYMENT REQUEST

Invoice Number: **TCC #2**

IMPORTANT: Both an Expenditure Report and a Compliance Certification form must be provided with this invoice

SECTION I - CURRENT PAYMENT DATA		
Agency	Program	Month/Year
ATCIC 1430 Collier Street Austin TX 78704 Phone (512) 447-4141	Parenting in Recovery - Child Therapist	March 2013
	Contract Term	PAYMENT REQUEST AMOUNT
	Feb. 1, 2013 - Sept. 30, 2013	\$0.00

SECTION II - PROGRAM BUDGET AND PAYMENT SUMMARY	
Item	Travis County Funds
1. Grant Funded Program Budget	\$60,845.00
2. Previous Payments Requested	\$0.00
3. AMOUNT OF THIS PAYMENT REQUEST	\$0.00
4. Total Payments Requested (Item 2 plus Item 3)	\$0.00
5. Balance (Item 1 minus Item 4)	\$60,845.00

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SECTION III - CERTIFICATION <i>(must be completed by Contractor)</i>		
I certify that this Payment Request and the corresponding Expenditure Report have been made in accordance with the terms and conditions of the Contract. I also certify that all information provided is correct and that the amounts are not in excess of current needs.		
Authorized Signature	Title	Date
Preparer's Signature	Title	Date

SECTION IV - PAYMENT APPROVAL - (<i>TRAVIS CO. Staff</i>)		
Contract Manager's Signature	Name and Title	Date
	John C. Bradshaw Contract Specialist	

SECTION V - PAYMENT APPROVAL - (<i>Travis County FINANCE</i>)			
TC HHS & VS Financial Approval	Name and Title	Date	AMOUNT APPROVED
County Account Number	Issue Area	Vendor ID Number	Purchase Order Number

Staff Comments:

TRAVIS COUNTY CONTRACT EXPENDITURE REPORT

Inv. #: **TCC #2**

Report Period: **March 2013**

Agency: **ATCIC**
 Agency contact: First and Last Names
 E-mail: name@address.org

Program: **Parenting in Recovery - Child Therapist**
 Phone: number, ext. Current contract term:
 Fax: number, ext. Feb. 1, 2013 - Sept. 30, 2013

Line	Approved Budget		Actual Expenditures & Balance		
	Item	Approved Budget	Expenditures March 2013	Cumulative Expenditures	Budget Balance
PERSONNEL					
1	Salaries - REGULAR time	40,753.00	0.00	0.00	40,753.00
2	Salaries-OVERTIME (Trav.Co. only)	0.00	0.00	0.00	0.00
3	Benefits	10,454.00	0.00	0.00	10,454.00
4	Other (Specify)	0.00	0.00	0.00	0.00
A	SUBTOTAL - PERSONNEL	51,207.00	0.00	0.00	51,207.00
OPERATING EXPENSES					
5	General Operating Expenses	3,808.00	0.00	0.00	3,808.00
6	Insurance/Bonding	0.00	0.00	0.00	0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)	0.00	0.00	0.00	0.00
8	Consultants / Contractual	0.00	0.00	0.00	0.00
9	Staff Travel - <u>within</u> Travis County	2,520.00	0.00	0.00	2,520.00
10	Conference/Seminars/Trng. <u>within</u> Travis Co.	0.00	0.00	0.00	0.00
11	Staff Travel - <u>out of</u> Travis Co.	0.00	0.00	0.00	0.00
12	Conferences/Seminars/Trng <u>out of</u> Travis County	0.00	0.00	0.00	0.00
13	Equipment	0.00	0.00	0.00	0.00
14	Supplies	3,310.00	0.00	0.00	3,310.00
B	SUBTOTAL - OPERATING EXPENSES	6,638.00	0.00	0.00	9,638.00
DIRECT ASSISTANCE					
15	Food / Beverage - for clients	0.00	0.00	0.00	0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)	0.00	0.00	0.00	0.00
17	Other (specify)	0.00	0.00	0.00	0.00
18	0	0.00	0.00	0.00	0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00	0.00	0.00	0.00
EQUIPMT./CAPITAL OUTLAY					
19	List items (specify equipmt/capit.)	0.00	0.00	0.00	0.00
20	0	0.00	0.00	0.00	0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00	0.00	0.00	0.00
RECOVERED ADVANCE PAYMENTS					
Note: any amounts on line E must be input as negative dollars (reimbursed)					
E	SUBTOTAL: RECOVERED ADVANCE PAYMENTS	0.00	0.00	0.00	0.00
21	TOTALS (A+B+C+D+E)	60,845.00	0.00	0.00	60,845.00
	Maximums Allowable	60,845.00			

DRAFT

Preparer's Signature: _____

Date: _____

Authorized Signature: _____

Date: _____

Travis Co. USE ONLY:

Reviewed & approved by: _____

Date: _____



Travis County Grant Contract PAYMENT REQUEST

Invoice Number: **TCC #3**

IMPORTANT: Both an Expenditure Report and a Compliance Certification form must be provided with this invoice

SECTION I - CURRENT PAYMENT DATA		
Agency	Program	Month/Year
ATCIC 1430 Collier Street Austin TX 78704 Phone (512) 447-4141	Parenting in Recovery - Child Therapist	April 2013
	Contract Term	PAYMENT REQUEST AMOUNT
	Feb. 1, 2013 - Sept. 30, 2013	\$0.00

SECTION II - PROGRAM BUDGET AND PAYMENT SUMMARY	
Item	Travis County Funds
1. Grant Funded Program Budget	\$60,845.00
2. Previous Payments Requested	\$0.00
3. AMOUNT OF THIS PAYMENT REQUEST	\$0.00
4. Total Payments Requested (Item 2 plus Item 3)	\$0.00
5. Balance (Item 1 minus Item 4)	\$60,845.00

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SECTION III - CERTIFICATION (to be completed by Contractor)		
I certify that this Payment Request and the corresponding Expenditure Report have been made in accordance with the terms and conditions of the Contract. I also certify that all information provided is correct and that the amounts are not in excess of current needs.		
Authorized Signature	Title	Date
Preparer's Signature	Title	Date

SECTION IV - PAYMENT APPROVAL - (TRAVIS CO. Staff)		
Contract Manager's Signature	Name and Title	Date
	John C. Braudshaw Contract Specialist	

SECTION V - PAYMENT APPROVAL - (Travis County FINANCE)			
TC HHS & VS Financial Approval	Name and Title	Date	AMOUNT APPROVED
County Account Number	Issue Area	Vendor ID Number	Purchase Order Number

Staff Comments:

TRAVIS COUNTY CONTRACT EXPENDITURE REPORT

Inv. #: **TCC #3**

Report Period: **April 2013**

Agency: **ATCIC**
Agency contact: First and Last Names
E-mail: name@address.org

Program: **Parenting in Recovery - Child Therapist**
Phone: number, ext. Current contract term:
Fax: number, ext. Feb. 1, 2013 - Sept. 30, 2013

Line	Approved Budget		Actual Expenditures & Balance		
	Item	Approved Budget	Expenditures April 2013	Cumulative Expenditures	Budget Balance
PERSONNEL					
1	Salaries - REGULAR time	40,753.00	0.00	0.00	40,753.00
2	Salaries-OVERTIME (Trav.Co. only)	0.00	0.00	0.00	0.00
3	Benefits	10,454.00	0.00	0.00	10,454.00
4	Other (Specify)	0.00	0.00	0.00	0.00
A	SUBTOTAL - PERSONNEL	51,207.00	0.00	0.00	51,207.00
OPERATING EXPENSES					
5	General Operating Expenses	3,808.00	0.00	0.00	3,808.00
6	Insurance/Bonding	0.00	0.00	0.00	0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)	0.00	0.00	0.00	0.00
8	Consultants / Contractual	0.00	0.00	0.00	0.00
9	Staff Travel - within Travis County	2,520.00	0.00	0.00	2,520.00
10	Conference/Seminars/Trng. within Travis Co.	0.00	0.00	0.00	0.00
11	Staff Travel - out of Travis Co.	0.00	0.00	0.00	0.00
12	Conferences/Seminars/Trng out of Travis County	0.00	0.00	0.00	0.00
13	Equipment	0.00	0.00	0.00	0.00
14	Supplies	3,310.00	0.00	0.00	3,310.00
B	SUBTOTAL - OPERATING EXPENSES	6,638.00	0.00	0.00	9,638.00
DIRECT ASSISTANCE					
15	Food / Beverage - for clients	0.00	0.00	0.00	0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)	0.00	0.00	0.00	0.00
17	Other (specify)	0.00	0.00	0.00	0.00
18	0	0.00	0.00	0.00	0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00	0.00	0.00	0.00
EQUIPMT./CAPITAL OUTLAY					
19	List items (specify equipmt/capit.)	0.00	0.00	0.00	0.00
20	0	0.00	0.00	0.00	0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00	0.00	0.00	0.00
RECOVERED ADVANCE PAYMENTS					
Note: any amounts on line E must be input as negative dollars (reimbursed)					
E	SUBTOTAL: RECOVERED ADVANCE PAYMENTS	0.00	0.00	0.00	0.00
21	TOTALS (A+B+C+D+E)	60,845.00	0.00	0.00	60,845.00
	Maximums Allowable	60,845.00			

Preparer's Signature: _____

Date: _____

Authorized Signature: _____

Date: _____

Travis Co. USE ONLY:

Reviewed & approved by: _____

Date: _____



Travis County Grant Contract PAYMENT REQUEST

Invoice Number: **TCC #4**

IMPORTANT: Both an Expenditure Report and a Compliance Certification form must be provided with this invoice

SECTION I - CURRENT PAYMENT DATA		
Agency	Program	Month/Year
ATCIC 1430 Collier Street Austin TX 78704 Phone (512) 447-4141	Parenting in Recovery - Child Therapist	May 2013
	Contract Term	PAYMENT REQUEST AMOUNT
	Feb. 1, 2013 - Sept. 30, 2013	\$0.00

SECTION II - PROGRAM BUDGET AND PAYMENT SUMMARY	
Item	Travis County Funds
1. Grant Funded Program Budget	\$60,845.00
2. Previous Payments Requested	\$0.00
3. AMOUNT OF THIS PAYMENT REQUEST	\$0.00
4. Total Payments Requested (Sum of Item 3)	\$0.00
5. Balance (Item 1 minus Item 4)	\$60,845.00

DRAFT

SECTION III - CERTIFICATION (to be completed by Contractor)		
I certify that this Payment Request and the corresponding Expenditure Report have been made in accordance with the terms and conditions of the Contract. I also certify that all information provided is correct and that the amounts are not in excess of current needs.		
Authorized Signature	Title	Date
Preparer's Signature	Title	Date

SECTION IV - PAYMENT APPROVAL - (TRAVIS CO. Staff)		
Contract Manager's Signature	Name and Title	Date
	JOHN C. BRADSHAW Contract Specialist	

SECTION V - PAYMENT APPROVAL - (Travis County FINANCE)			
TC HHS & VS Financial Approval	Name and Title	Date	AMOUNT APPROVED
County Account Number	Issue Area	Vendor ID Number	Purchase Order Number

Staff Comments:

TRAVIS COUNTY CONTRACT EXPENDITURE REPORT

Inv. #: **TCC #4**

Report Period: **May 2013**

Agency: **ATCIC**
Agency contact: First and Last Names
E-mail: name@address.org

Program: **Parenting in Recovery - Child Therapist**
Phone: number, ext. Current contract term:
Fax: number, ext. Feb. 1, 2013 - Sept. 30, 2013

Line	Approved Budget		Actual Expenditures & Balance		
	Item	Approved Budget	Expenditures May 2013	Cumulative Expenditures	Budget Balance
PERSONNEL					
1	Salaries - REGULAR time	40,753.00	0.00	0.00	40,753.00
2	Salaries-OVERTIME (Trav.Co. only)	0.00	0.00	0.00	0.00
3	Benefits	10,454.00	0.00	0.00	10,454.00
4	Other (Specify)	0.00	0.00	0.00	0.00
A	SUBTOTAL - PERSONNEL	51,207.00	0.00	0.00	51,207.00
OPERATING EXPENSES					
5	General Operating Expenses	3,808.00	0.00	0.00	3,808.00
6	Insurance/Bonding	0.00	0.00	0.00	0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)	0.00	0.00	0.00	0.00
8	Consultants / Contractual	0.00	0.00	0.00	0.00
9	Staff Travel - within Travis County	2,520.00	0.00	0.00	2,520.00
10	Conference/Seminars/Trng. within Travis Co.	0.00	0.00	0.00	0.00
11	Staff Travel - out of Travis Co.	0.00	0.00	0.00	0.00
12	Conferences/Seminars/Trng out of Travis County	0.00	0.00	0.00	0.00
13	Equipment	0.00	0.00	0.00	0.00
14	Supplies	3,310.00	0.00	0.00	3,310.00
B	SUBTOTAL - OP. EXPENSES	9,638.00	0.00	0.00	9,638.00
DIRECT ASSISTANCE					
15	Food / Beverage - for clients	0.00	0.00	0.00	0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)	0.00	0.00	0.00	0.00
17	Other (specify)	0.00	0.00	0.00	0.00
18	0	0.00	0.00	0.00	0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00	0.00	0.00	0.00
EQUIPMT./CAPITAL OUTLAY					
19	List items (specify equipmt/capit.)	0.00	0.00	0.00	0.00
20		0.00	0.00	0.00	0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00	0.00	0.00	0.00
RECOVERED ADVANCE PAYMENTS					
Note: any amounts on line E must be input as negative dollars (reimbursed)					
E	SUBTOTAL: RECOVERED ADVANCE PAYMENTS	0.00	0.00	0.00	0.00
21	TOTALS (A+B+C+D+E)	60,845.00	0.00	0.00	60,845.00
	Maximums Allowable	60,845.00			

DRAFT

Preparer's Signature: _____

Date: _____

Authorized Signature: _____

Date: _____

Travis Co. USE ONLY:

Reviewed & approved by: _____

Date: _____



Travis County Grant Contract PAYMENT REQUEST

Invoice Number: **TCC #5**

IMPORTANT: Both an Expenditure Report and a Compliance Certification form must be provided with this invoice

SECTION I - CURRENT PAYMENT DATA		
Agency	Program	Month/Year
ATCIC 1430 Collier Street Austin TX 78704 Phone (512) 447-4141	Parenting in Recovery - Child Therapist	June 2013
	Contract Term	PAYMENT REQUEST AMOUNT
	Feb. 1, 2013 - Sept. 30, 2013	\$0.00

SECTION II - PROGRAM BUDGET AND PAYMENT SUMMARY	
Item	Travis County Funds
1. Grant Funded Program Budget	\$60,845.00
2. Previous Payments Requested	\$0.00
3. AMOUNT OF THIS PAYMENT REQUEST	\$0.00
4. Total Payments Requested (Item 2 plus Item 3)	\$0.00
5. Balance (Item 1 minus Item 4)	\$60,845.00

DRAFT

SECTION III - CERTIFICATION (Completed by Contractor)		
I certify that this Payment Request and the corresponding Expenditure Report have been made in accordance with the terms and conditions of the Contract. I also certify that all information provided is correct and that the amounts are not in excess of current needs.		
Authorized Signature	Title	Date
Preparer's Signature	Title	Date

SECTION IV - PAYMENT APPROVAL - (TRAVIS CO. Staff)		
Contract Manager's Signature	Name and Title	Date
	JOHN C. BRAUSHAW Contract Specialist	

SECTION V - PAYMENT APPROVAL - (Travis County FINANCE)			
TC HHS & VS Financial Approval	Name and Title	Date	AMOUNT APPROVED
County Account Number	Issue Area	Vendor ID Number	Purchase Order Number

Staff Comments:

TRAVIS COUNTY CONTRACT EXPENDITURE REPORT

Inv. #: **TCC #5**

Report Period: **June 2013**

Agency: **ATCIC**
Agency contact: First and Last Names
E-mail: name@address.org

Program: **Parenting in Recovery - Child Therapist**
Phone: number, ext. Current contract term:
Fax: number, ext. Feb. 1, 2013 - Sept. 30, 2013

Line	Approved Budget		Actual Expenditures & Balance		
	Item	Approved Budget	Expenditures June 2013	Cumulative Expenditures	Budget Balance
PERSONNEL					
1	Salaries - REGULAR time	40,753.00	0.00	0.00	40,753.00
2	Salaries-OVERTIME (Trav.Co. only)	0.00	0.00	0.00	0.00
3	Benefits	10,454.00	0.00	0.00	10,454.00
4	Other (Specify)	0.00	0.00	0.00	0.00
A	SUBTOTAL - PERSONNEL	51,207.00	0.00	0.00	51,207.00
OPERATING EXPENSES					
5	General Operating Expenses	3,808.00	0.00	0.00	3,808.00
6	Insurance/Bonding	0.00	0.00	0.00	0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)	0.00	0.00	0.00	0.00
8	Consultants / Contractual	0.00	0.00	0.00	0.00
9	Staff Travel - <u>within</u> Travis County	2,520.00	0.00	0.00	2,520.00
10	Conference/Seminars/Trng. <u>within</u> Travis Co.	0.00	0.00	0.00	0.00
11	Staff Travel - <u>out of</u> Travis Co.	0.00	0.00	0.00	0.00
12	Conferences/Seminars/Trng <u>out of</u> Travis County	0.00	0.00	0.00	0.00
13	Equipment	0.00	0.00	0.00	0.00
14	Supplies	3,310.00	0.00	0.00	3,310.00
B	SUBTOTAL - OPERATING EXPENSES	6,638.00	0.00	0.00	9,638.00
DIRECT ASSISTANCE					
15	Food / Beverage - for clients	0.00	0.00	0.00	0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)	0.00	0.00	0.00	0.00
17	Other (specify)	0.00	0.00	0.00	0.00
18	0	0.00	0.00	0.00	0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00	0.00	0.00	0.00
EQUIPMT./CAPITAL OUTLAY					
19	List items (specify equipmt/capit.)	0.00	0.00	0.00	0.00
20	0	0.00	0.00	0.00	0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00	0.00	0.00	0.00
RECOVERED ADVANCE PAYMENTS					
Note: any amounts on line E must be input as negative dollars (reimbursed)					
E	SUBTOTAL: RECOVERED ADVANCE PAYMENTS	0.00	0.00	0.00	0.00
21	TOTALS (A+B+C+D+E)	60,845.00	0.00	0.00	60,845.00
	Maximums Allowable	60,845.00			

DRAFT

Preparer's Signature: _____

Date: _____

Authorized Signature: _____

Date: _____

Travis Co. USE ONLY:	
Reviewed & approved by: _____	Date: _____



Travis County Grant Contract PAYMENT REQUEST

Invoice Number: **TCC #6**

IMPORTANT: Both an Expenditure Report and a Compliance Certification form must be provided with this invoice

SECTION I - CURRENT PAYMENT DATA		
Agency	Program	Month/Year
ATCIC 1430 Collier Street Austin TX 78704 Phone (512) 447-4141	Parenting in Recovery - Child Therapist	July 2013
	Contract Term	PAYMENT REQUEST AMOUNT
	Feb. 1, 2013 - Sept. 30, 2013	\$0.00

SECTION II - PROGRAM BUDGET AND PAYMENT SUMMARY	
Item	Travis County Funds
1. Grant Funded Program Budget	\$60,845.00
2. Previous Payments Requested	\$0.00
3. AMOUNT OF THIS PAYMENT REQUEST	\$0.00
4. Total Payments Requested (Item 2 plus Item 3)	\$0.00
5. Balance (Item 1 minus Item 4)	\$60,845.00

DRAFT

SECTION III - CERTIFICATION (to be completed by Contractor)		
I certify that this Payment Request and the corresponding Expenditure Report have been made in accordance with the terms and conditions of the Contract. I also certify that all information provided is correct and that the amounts are not in excess of current needs.		
Authorized Signature	Title	Date
Preparer's Signature	Title	Date

SECTION IV - PAYMENT APPROVAL - (TRAVIS CO. Staff)		
Contract Manager's Signature	Name and Title	Date
	John C. Bradshaw Contract Specialist	

SECTION V - PAYMENT APPROVAL - (Travis County FINANCE)			
TC HHS & VS Financial Approval	Name and Title	Date	AMOUNT APPROVED
County Account Number	Issue Area	Vendor ID Number	Purchase Order Number

Staff Comments:

TRAVIS COUNTY CONTRACT EXPENDITURE REPORT

Inv. #: **TCC #6**

Report Period: **July 2013**

Agency: **ATCIC**
Agency contact: First and Last Names
E-mail: name@address.org

Program: **Parenting in Recovery - Child Therapist**
Phone: number, ext. Current contract term:
Fax: number, ext. Feb. 1, 2013 - Sept. 30, 2013

Line	Approved Budget		Actual Expenditures & Balance		
	Item	Approved Budget	Expenditures July 2013	Cumulative Expenditures	Budget Balance
PERSONNEL					
1	Salaries - REGULAR time	40,753.00	0.00	0.00	40,753.00
2	Salaries-OVERTIME (Trav.Co. only)	0.00	0.00	0.00	0.00
3	Benefits	10,454.00	0.00	0.00	10,454.00
4	Other (Specify)	0.00	0.00	0.00	0.00
A	SUBTOTAL - PERSONNEL	51,207.00	0.00	0.00	51,207.00
OPERATING EXPENSES					
5	General Operating Expenses	3,808.00	0.00	0.00	3,808.00
6	Insurance/Bonding	0.00	0.00	0.00	0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)	0.00	0.00	0.00	0.00
8	Consultants / Contractual	0.00	0.00	0.00	0.00
9	Staff Travel - <u>within</u> Travis County Conference/Seminars/Trng. <u>within</u> Travis Co.	2,520.00	0.00	0.00	2,520.00
10	Travis Co.	0.00	0.00	0.00	0.00
11	Staff Travel - <u>out of</u> Travis Co. Conferences/Seminars/Trng <u>out of</u> Travis County	0.00	0.00	0.00	0.00
12	Travis County	0.00	0.00	0.00	0.00
13	Equipment	0.00	0.00	0.00	0.00
14	Supplies	3,310.00	0.00	0.00	3,310.00
B	SUBTOTAL - OP. EXPENSES	9,638.00	0.00	0.00	9,638.00
DIRECT ASSISTANCE					
15	Food / Beverage - for clients	0.00	0.00	0.00	0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)	0.00	0.00	0.00	0.00
17	Other (specify)	0.00	0.00	0.00	0.00
18	0	0.00	0.00	0.00	0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00	0.00	0.00	0.00
EQUIPMT./CAPITAL OUTLAY					
19	List items (specify equipmt/capit.)	0.00	0.00	0.00	0.00
20	0	0.00	0.00	0.00	0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00	0.00	0.00	0.00
RECOVERED ADVANCE PAYMENTS					
Note: any amounts on line E must be input as negative dollars (reimbursed)					
E	SUBTOTAL: RECOVERED ADVANCE PAYMENTS	0.00	0.00	0.00	0.00
21	TOTALS (A+B+C+D+E)	60,845.00	0.00	0.00	60,845.00
Maximums Allowable		60,845.00			

Preparer's Signature: _____

Date: _____

Authorized Signature: _____

Date: _____

Travis Co. USE ONLY:

Reviewed & approved by: _____

Date: _____



Travis County Grant Contract PAYMENT REQUEST

Invoice Number: **TCC #7**

IMPORTANT: Both an Expenditure Report and a Compliance Certification form must be provided with this invoice

SECTION I - CURRENT PAYMENT DATA		
Agency	Program	Month/Year
ATCIC 1430 Collier Street Austin TX 78704 Phone (512) 447-4141	Parenting in Recovery - Child Therapist	August 2013
	Contract Term	PAYMENT REQUEST AMOUNT
	Feb. 1, 2013 - Sept. 30, 2013	\$0.00

SECTION II - PROGRAM BUDGET AND PAYMENT SUMMARY	
Item	Travis County Funds
1. Grant Funded Program Budget	\$60,845.00
2. Previous Payments Requested	\$0.00
3. AMOUNT OF THIS PAYMENT REQUEST	\$0.00
4. Total Payments Requested (Item 2 plus Item 3)	\$0.00
5. Balance (Item 1 minus Item 4)	\$60,845.00

DRAFT

SECTION III - CERTIFICATION (Must be completed by Contractor)		
I certify that this Payment Request and the corresponding Expenditure Report have been made in accordance with the terms and conditions of the contract. I also certify that all information provided is correct and that the amounts are not in excess of current needs.		
Authorized Signature	Title	Date
Preparer's Signature	Title	Date

SECTION IV - PAYMENT APPROVAL - (TRAVIS CO. Staff)		
Contract Manager's Signature	Name and Title	Date
	John C. Braudshaw Contract Specialist	

SECTION V - PAYMENT APPROVAL - (Travis County FINANCE)			
TC HHS & VS Financial Approval	Name and Title	Date	AMOUNT APPROVED
County Account Number	Issue Area	Vendor ID Number	Purchase Order Number

Staff Comments:

TRAVIS COUNTY CONTRACT EXPENDITURE REPORT

Inv. #: **TCC #7**

Report Period: **August 2013**

Agency: **ATCIC**
Agency contact: First and Last Names
E-mail: name@address.org

Program: **Parenting in Recovery - Child Therapist**
Phone: number, ext. Current contract term:
Fax: number, ext. Feb. 1, 2013 - Sept. 30, 2013

Line	Approved Budget		Actual Expenditures & Balance		
	Item	Approved Budget	Expenditures August 2013	Cumulative Expenditures	Budget Balance
PERSONNEL					
1	Salaries - REGULAR time	40,753.00	0.00	0.00	40,753.00
2	Salaries-OVERTIME (Travis Co. only)	0.00	0.00	0.00	0.00
3	Benefits	10,454.00	0.00	0.00	10,454.00
4	Other (Specify)	0.00	0.00	0.00	0.00
A	SUBTOTAL - PERSONNEL	51,207.00	0.00	0.00	51,207.00
OPERATING EXPENSES					
5	General Operating Expenses	3,808.00	0.00	0.00	3,808.00
6	Insurance/Bonding	0.00	0.00	0.00	0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)	0.00	0.00	0.00	0.00
8	Consultants / Contractual	0.00	0.00	0.00	0.00
9	Staff Travel - <u>within</u> Travis County	2,520.00	0.00	0.00	2,520.00
10	Conference/Seminars/Trng. <u>within</u> Travis Co.	0.00	0.00	0.00	0.00
11	Staff Travel - <u>out of</u> Travis Co.	0.00	0.00	0.00	0.00
12	Conferences/Seminars/Trng. <u>out of</u> Travis County	0.00	0.00	0.00	0.00
13	Equipment	0.00	0.00	0.00	0.00
14	Supplies	3,310.00	0.00	0.00	3,310.00
B	SUBTOTAL - OP. EXPENSES	9,638.00	0.00	0.00	9,638.00
DIRECT ASSISTANCE					
15	Food / Beverage - for clients	0.00	0.00	0.00	0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)	0.00	0.00	0.00	0.00
17	Other (specify)	0.00	0.00	0.00	0.00
18	0	0.00	0.00	0.00	0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00	0.00	0.00	0.00
EQUIPMT./CAPITAL OUTLAY					
19	List items (specify equipmt/capit.)	0.00	0.00	0.00	0.00
20	0	0.00	0.00	0.00	0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00	0.00	0.00	0.00
RECOVERED ADVANCE PAYMENTS					
Note: any amounts on line E must be input as negative dollars (reimbursed)					
E	SUBTOTAL: RECOVERED ADVANCE PAYMENTS	0.00	0.00	0.00	0.00
21	TOTALS (A+B+C+D+E)	60,845.00	0.00	0.00	60,845.00
	Maximums Allowable	60,845.00			

DRAFT

Preparer's Signature: _____

Date: _____

Authorized Signature: _____

Date: _____

Travis Co. USE ONLY:	
Reviewed & approved by: _____	Date: _____



Travis County Grant Contract PAYMENT REQUEST

Invoice Number: **TCC #8**

IMPORTANT: Both an Expenditure Report and a Compliance Certification form must be provided with this invoice

SECTION I - CURRENT PAYMENT DATA		
Agency	Program	Month/Year
ATCIC 1430 Collier Street Austin TX 78704 Phone (512) 447-4141	Parenting in Recovery - Child Therapist	September 2013
	Contract Term	PAYMENT REQUEST AMOUNT
	Feb. 1, 2013 - Sept. 30, 2013	\$0.00

SECTION II - PROGRAM BUDGET AND PAYMENT SUMMARY	
Item	Travis County Funds
1. Grant Funded Program Budget	\$60,845.00
2. Previous Payments Requested	\$0.00
3. AMOUNT OF THIS PAYMENT REQUEST	\$0.00
4. Total Payments Requested (Item 2 plus Item 3)	\$0.00
5. Balance (Item 1 minus Item 4)	\$60,845.00

DRAFT

SECTION III - CERTIFICATION (to be completed by Contractor)		
I certify that this Payment Request and the corresponding Expenditure Report have been made in accordance with the terms and conditions of the Contract. I also certify that all information provided is correct and that the amounts are not in excess of current needs.		
Authorized Signature	Title	Date
Preparer's Signature	Title	Date

SECTION IV - PAYMENT APPROVAL - (TRAVIS CO. Staff)		
Contract Manager's Signature	Name and Title	Date
	John C. Bradshaw Contract Specialist	

SECTION V - PAYMENT APPROVAL - (Travis County FINANCE)			
TC HHS & VS Financial Approval	Name and Title	Date	AMOUNT APPROVED
County Account Number	Issue Area	Vendor ID Number	Purchase Order Number

Staff Comments:

TRAVIS COUNTY CONTRACT EXPENDITURE REPORT

Inv. #: **TCC #8**

Report Period: **September 2013**

Agency: **ATCIC**
Agency contact: First and Last Names
E-mail: name@address.org

Program: **Parenting in Recovery - Child Therapist**
Phone: number, ext. Current contract term:
Fax: number, ext. Feb. 1, 2013 - Sept. 30, 2013

Line	Approved Budget		Actual Expenditures & Balance		
	Item	Approved Budget	Expenditures September 2013	Cumulative Expenditures	Budget Balance
PERSONNEL					
1	Salaries - REGULAR time	40,753.00	0.00	0.00	40,753.00
2	Salaries-OVERTIME (Trav.Co. only)	0.00	0.00	0.00	0.00
3	Benefits	10,454.00	0.00	0.00	10,454.00
4	Other (Specify)	0.00	0.00	0.00	0.00
A	SUBTOTAL - PERSONNEL	51,207.00	0.00	0.00	51,207.00
OPERATING EXPENSES					
5	General Operating Expenses	3,808.00	0.00	0.00	3,808.00
6	Insurance/Bonding	0.00	0.00	0.00	0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)	0.00	0.00	0.00	0.00
8	Consultants / Contractual	0.00	0.00	0.00	0.00
9	Staff Travel - <u>within</u> Travis County	2,520.00	0.00	0.00	2,520.00
10	Conference/Seminars/Trng. <u>within</u> Travis Co.	0.00	0.00	0.00	0.00
11	Staff Travel - <u>out of</u> Travis Co. Conferences/Seminars/Trng <u>out of</u> Travis County	0.00	0.00	0.00	0.00
12	Equipment	0.00	0.00	0.00	0.00
13	Supplies	3,310.00	0.00	0.00	3,310.00
B	SUBTOTAL - OPER. EXPENSES	9,638.00	0.00	0.00	9,638.00
DIRECT ASSISTANCE					
15	Food / Beverage - for clients	0.00	0.00	0.00	0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)	0.00	0.00	0.00	0.00
17	Other (specify)	0.00	0.00	0.00	0.00
18	0	0.00	0.00	0.00	0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00	0.00	0.00	0.00
EQUIPMT./CAPITAL OUTLAY					
19	List items (specify equipmt/capit.)	0.00	0.00	0.00	0.00
20	0	0.00	0.00	0.00	0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00	0.00	0.00	0.00
RECOVERED ADVANCE PAYMENTS					
Note: any amounts on line E must be input as negative dollars (reimbursed)					
E	SUBTOTAL: RECOVERED ADVANCE PAYMENTS	0.00	0.00	0.00	0.00
21	TOTALS (A+B+C+D+E)	60,845.00	0.00	0.00	60,845.00
	Maximums Allowable	60,845.00			

Preparer's Signature: _____

Date: _____

Authorized Signature: _____

Date: _____

Travis Co. USE ONLY:

Reviewed & approved by: _____

Date: _____



Travis County Grant Contract PAYMENT REQUEST

Invoice Number:

IMPORTANT: Both an Expenditure Report and a Compliance Certification form must be provided with this invoice

SECTION I - CURRENT PAYMENT DATA		
Agency	Program	Month/Year
ATCIC 1430 Collier Street Austin TX 78704 Phone (512) 447-4141	Parenting in Recovery - Child Therapist	October 2012
	Contract Term	PAYMENT REQUEST AMOUNT
		\$0.00

SECTION II - PROGRAM BUDGET AND PAYMENT SUMMARY	
Item	Travis County Funds
1. Grant Funded Program Budget	\$60,845.00
2. Previous Payments Requested	\$0.00
3. AMOUNT OF THIS PAYMENT REQUEST	\$0.00
4. Total Payments Requested (Item 2 plus Item 3)	\$0.00
5. Balance (Item 1 minus Item 4)	\$60,845.00

DRAFT

SECTION III - CERTIFICATION (to be completed by Contractor)		
I certify that this Payment Request and the corresponding Expenditure Report have been made in accordance with the terms and conditions of the Contract. I also certify that all information provided is correct and that the amounts are not in excess of current needs.		
Authorized Signature	Title	Date
Preparer's Signature	Title	Date

SECTION IV - PAYMENT APPROVAL - (TRAVIS CO. Staff)		
Contract Manager's Signature	Name and Title	Date
	John C. Bradshaw Contract Specialist	

SECTION V - PAYMENT APPROVAL - (Travis County FINANCE)			
TC HHS & VS Financial Approval	Name and Title	Date	AMOUNT APPROVED
County Account Number	Issue Area	Vendor ID Number	Purchase Order Number

Staff Comments:

TRAVIS COUNTY CONTRACT EXPENDITURE REPORT

Inv. #: 0

Report Period: **October 2012**

Agency: **ATCIC**
Agency contact: First and Last Names
E-mail: name@address.org

Program: **Parenting in Recovery - Child Therapist**
Phone: number, ext. Current contract term:
Fax: number, ext. Feb. 1, 2013 - Sept. 30, 2013

Line	Approved Budget		Actual Expenditures & Balance		
	Item	Approved Budget	Expenditures October 2012	Cumulative Expenditures	Budget Balance
PERSONNEL					
1	Salaries - REGULAR time	40,753.00	0.00	0.00	40,753.00
2	Salaries-OVERTIME (Travis Co. only)	0.00	0.00	0.00	0.00
3	Benefits	10,454.00	0.00	0.00	10,454.00
4	Other (Specify)	0.00	0.00	0.00	0.00
A	SUBTOTAL - PERSONNEL	51,207.00	0.00	0.00	51,207.00
OPERATING EXPENSES					
5	General Operating Expenses	3,808.00	0.00	0.00	3,808.00
6	Insurance/Bonding	0.00	0.00	0.00	0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)	0.00	0.00	0.00	0.00
8	Consultants / Contractual	0.00	0.00	0.00	0.00
9	Staff Travel - <u>within</u> Travis County	2,520.00	0.00	0.00	2,520.00
10	Conference/Seminars/Trng. <u>within</u> Travis Co.	0.00	0.00	0.00	0.00
11	Staff Travel - <u>out of</u> Travis Co. Conferences/Seminars/Trng. <u>out of</u> Travis County	0.00	0.00	0.00	0.00
12	Equipment	0.00	0.00	0.00	0.00
14	Supplies	3,310.00	0.00	0.00	3,310.00
B	SUBTOTAL - OP. EXPENSES	9,638.00	0.00	0.00	9,638.00
DIRECT ASSISTANCE					
15	Food / Beverage - for clients	0.00	0.00	0.00	0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)	0.00	0.00	0.00	0.00
17	Other (specify)	0.00	0.00	0.00	0.00
18	0	0.00	0.00	0.00	0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00	0.00	0.00	0.00
EQUIPMT./CAPITAL OUTLAY					
19	List items (specify equipmt/capit.)	0.00	0.00	0.00	0.00
20	0	0.00	0.00	0.00	0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00	0.00	0.00	0.00
RECOVERED ADVANCE PAYMENTS					
Note: any amounts on line E must be input as negative dollars (reimbursed)					
E	SUBTOTAL: RECOVERED ADVANCE PAYMENTS	0.00	0.00	0.00	0.00
21	TOTALS (A+B+C+D+E)	60,845.00	0.00	0.00	60,845.00
	Maximums Allowable	60,845.00	60,845.00	60,845.00	

DRAFT

Preparer's Signature: _____

Date: _____

Authorized Signature: _____

Date: _____

<p style="margin: 0;">Travis Co. USE ONLY:</p> <p style="margin: 0;">Reviewed & approved by: _____</p>	<p style="margin: 0;">Date: _____</p>
---	---------------------------------------



Travis County Grant Contract PAYMENT REQUEST

Invoice Number:

IMPORTANT: Both an Expenditure Report and a Compliance Certification form must be provided with this invoice

SECTION I - CURRENT PAYMENT DATA		
Agency	Program	Month/Year
ATCIC 1430 Collier Street Austin TX 78704 Phone (512) 447-4141	Parenting in Recovery - Child Therapist	November 2012
	Contract Term	PAYMENT REQUEST AMOUNT
		\$0.00

SECTION II - PROGRAM BUDGET AND PAYMENT SUMMARY	
Item	Travis County Funds
1. Grant Funded Program Budget	\$60,845.00
2. Previous Payments Requested	\$0.00
3. AMOUNT OF THIS PAYMENT REQUEST	\$0.00
4. Total Payment Requested (Items 1 plus Item 3)	\$0.00
5. Balance (Item 1 minus Item 4)	\$60,845.00

DRAFT

SECTION III - CERTIFICATION <i>(must be completed by Contractor)</i>		
I certify that this Payment Request and the corresponding Expenditure Report have been made in accordance with the terms and conditions of the Contract. I also certify that all information provided is correct and that the amounts are not in excess of current needs.		
Authorized Signature	Title	Date
Preparer's Signature	Title	Date

SECTION IV - PAYMENT APPROVAL - (<i>TRAVIS CO. Staff</i>)		
Contract Manager's Signature	Name and Title	Date
	John C. Braudshaw Contract Specialist	

SECTION V - PAYMENT APPROVAL - (<i>Travis County FINANCE</i>)			
TC HHS & VS Financial Approval	Name and Title	Date	AMOUNT APPROVED
County Account Number	Issue Area	Vendor ID Number	Purchase Order Number

Staff Comments:

TRAVIS COUNTY CONTRACT EXPENDITURE REPORT

Inv. #: 0

Report Period: **November 2012**

Agency: **ATCIC**
Agency contact: First and Last Names
E-mail: name@address.org

Program: **Parenting in Recovery - Child Therapist**
Phone: number, ext. Current contract term:
Fax: number, ext. Feb. 1, 2013 - Sept. 30, 2013

Line	Approved Budget		Actual Expenditures & Balance		
	Item	Approved Budget	Expenditures November 2012	Cumulative Expenditures	Budget Balance
PERSONNEL					
1	Salaries - REGULAR time	40,753.00	0.00	0.00	40,753.00
2	Salaries-OVERTIME (Trav.Co. only)	0.00	0.00	0.00	0.00
3	Benefits	10,454.00	0.00	0.00	10,454.00
4	Other (Specify)	0.00	0.00	0.00	0.00
A	SUBTOTAL - PERSONNEL	51,207.00	0.00	0.00	51,207.00
OPERATING EXPENSES					
5	General Operating Expenses	3,808.00	0.00	0.00	3,808.00
6	Insurance/Bonding	0.00	0.00	0.00	0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)	0.00	0.00	0.00	0.00
8	Consultants / Contractual	0.00	0.00	0.00	0.00
9	Staff Travel - <u>within</u> Travis County	2,520.00	0.00	0.00	2,520.00
10	Conference/Seminars/Trng. <u>within</u> Travis Co.	0.00	0.00	0.00	0.00
11	Staff Travel - <u>out of</u> Travis Co.	0.00	0.00	0.00	0.00
12	Conferences/Seminars/Trng. <u>out of</u> Travis County	0.00	0.00	0.00	0.00
13	Equipment	0.00	0.00	0.00	0.00
14	Supplies	3,310.00	0.00	0.00	3,310.00
B	SUBTOTAL - OP. EXPENSES	9,638.00	0.00	0.00	9,638.00
DIRECT ASSISTANCE					
15	Food / Beverage - for clients	0.00	0.00	0.00	0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)	0.00	0.00	0.00	0.00
17	Other (specify)	0.00	0.00	0.00	0.00
18	0	0.00	0.00	0.00	0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00	0.00	0.00	0.00
EQUIPMT./CAPITAL OUTLAY					
19	List items (specify equipmt/capit.)	0.00	0.00	0.00	0.00
20	0	0.00	0.00	0.00	0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00	0.00	0.00	0.00
RECOVERED ADVANCE PAYMENTS					
Note: any amounts on line E must be input as negative dollars (reimbursed)					
E	SUBTOTAL: RECOVERED ADVANCE PAYMENTS	0.00	0.00	0.00	0.00
21	TOTALS (A+B+C+D+E)	60,845.00	0.00	0.00	60,845.00
	Maximums Allowable	60,845.00	60,845.00	60,845.00	

DRAFT

Preparer's Signature: _____

Date: _____

Authorized Signature: _____

Date: _____

<p>Travis Co. USE ONLY: Reviewed & approved by: _____ Date: _____</p>
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Travis County Grant Contract PAYMENT REQUEST

Invoice Number:

IMPORTANT: Both an Expenditure Report and a Compliance Certification form must be provided with this invoice

SECTION I - CURRENT PAYMENT DATA		
Agency	Program	Month/Year
ATCIC 1430 Collier Street Austin TX 78704 Phone (512) 447-4141	Parenting in Recovery - Child Therapist	December 2012
	Contract Term	PAYMENT REQUEST AMOUNT
		\$0.00

SECTION II - PROGRAM BUDGET AND PAYMENT SUMMARY	
Item	Travis County Funds
1. Grant Funded Program Budget	\$60,845.00
2. Previous Payments Requested	\$0.00
3. AMOUNT OF THIS PAYMENT REQUEST	\$0.00
4. Total Payments Requested (Item 2 plus Item 3)	\$0.00
5. Balance (Item 1 minus Item 4)	\$60,845.00

DRAFT

SECTION III - CERTIFICATION <i>(must be completed by Contractor)</i>		
I certify that this Payment Request and the corresponding Expenditure Report have been made in accordance with the terms and conditions of the Contract. I also certify that all information provided is correct and that the amounts are not in excess of current needs.		
Authorized Signature	Title	Date
Preparer's Signature	Title	Date

SECTION IV - PAYMENT APPROVAL - (TRAVIS CO. Staff)		
Contract Manager's Signature	Name and Title	Date
	John C. Bradshaw Contract Specialist	

SECTION V - PAYMENT APPROVAL - (Travis County FINANCE)			
TC HHS & VS Financial Approval	Name and Title	Date	AMOUNT APPROVED
County Account Number	Issue Area	Vendor ID Number	Purchase Order Number

Staff Comments:

TRAVIS COUNTY CONTRACT EXPENDITURE REPORT

Inv. #: 0

Report Period: **December 2012**

Agency: **ATCIC**
Agency contact: First and Last Names
E-mail: name@address.org

Program: **Parenting in Recovery - Child Therapist**
Phone: number, ext. Current contract term:
Fax: number, ext. Feb. 1, 2013 - Sept. 30, 2013

Line	Approved Budget		Actual Expenditures & Balance		
	Item	Approved Budget	Expenditures December 2012	Cumulative Expenditures	Budget Balance
PERSONNEL					
1	Salaries - REGULAR time	40,753.00	0.00	0.00	40,753.00
2	Salaries-OVERTIME (Trav.Co. only)	0.00	0.00	0.00	0.00
3	Benefits	10,454.00	0.00	0.00	10,454.00
4	Other (Specify)	0.00	0.00	0.00	0.00
A	SUBTOTAL - PERSONNEL	51,207.00	0.00	0.00	51,207.00
OPERATING EXPENSES					
5	General Operating Expenses	3,808.00	0.00	0.00	3,808.00
6	Insurance/Bonding	0.00	0.00	0.00	0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)	0.00	0.00	0.00	0.00
8	Consultants / Contractual	0.00	0.00	0.00	0.00
9	Staff Travel - within Travis County	2,520.00	0.00	0.00	2,520.00
10	Conference/Seminars/Trng. within Travis Co.	0.00	0.00	0.00	0.00
11	Staff Travel - out of Travis Co.	0.00	0.00	0.00	0.00
12	Conferences/Seminars/Trng. out of Travis County	0.00	0.00	0.00	0.00
13	Equipment	0.00	0.00	0.00	0.00
14	Supplies	3,310.00	0.00	0.00	3,310.00
B	SUBTOTAL - OP. EXPENSES	9,638.00	0.00	0.00	9,638.00
DIRECT ASSISTANCE					
15	Food / Beverage - for clients	0.00	0.00	0.00	0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)	0.00	0.00	0.00	0.00
17	Other (specify)	0.00	0.00	0.00	0.00
18	0	0.00	0.00	0.00	0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00	0.00	0.00	0.00
EQUIPMT./CAPITAL OUTLAY					
19	List items (specify equipmt/capit.)	0.00	0.00	0.00	0.00
20	0	0.00	0.00	0.00	0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00	0.00	0.00	0.00
RECOVERED ADVANCE PAYMENTS					
Note: any amounts on line E must be input as negative dollars (reimbursed)					
E	SUBTOTAL: RECOVERED ADVANCE PAYMENTS	0.00	0.00	0.00	0.00
21	TOTALS (A+B+C+D+E)	60,845.00	0.00	0.00	60,845.00
	Maximums Allowable	60,845.00	60,845.00	60,845.00	

DRAFT

Preparer's Signature: _____

Date: _____

Authorized Signature: _____

Date: _____

<p>Travis Co. USE ONLY: Reviewed & approved by: _____ Date: _____</p>
--

BUDGET REVISION REQUEST - GRANT CONTRACTS

Travis County Health and Human Services and Veterans Service

Agency Name: ATCIC

Revision for: TRAVIS COUNTY Funding Only

Program Name: Parenting in Recovery - Child Therapist

AGENCY: Refer to any applicable contract section(s) and / or attachment(s) when using this form

Revision Number: (No.)

Contract Term: Feb. 1, 2013 to Sept. 30, 2013

Effective Date for Revision: (date to be effective)

Notice: the line items in this form are NOT directly linked to the monthly "...Exp Rpt" forms - you must still input your revised budget line items (when approved) into the next applicable monthly "...Exp Rpt" form as usual

Line	Item	Approved Budget	Prior Approval Required ?	Adjustment Amt. (indicate + or -)	Revised Budget
PERSONNEL					
1	Salaries - REGULAR time				0.00
2	Salaries-OVERTIME (Trav.Co. only)				0.00
3	Benefits				0.00
4	Other (Specify)		YES		0.00
A	SUBTOTAL - PERSONNEL	0.00		0.00	0.00
OPERATING EXPENSES					
5	General Operating Expenses				0.00
6	Insurance/Bonding				0.00
7	Audit Expenses (for Travis Co. funds, include pro-rata share only)				0.00
8	Consultants / Contractual				0.00
9	Staff Travel - <u>within</u> Travis County				0.00
10	Conference/Seminars/Trav. <u>within</u> Travis Co.				0.00
11	Staff Travel - <u>out of</u> Travis Co. _____		YES		0.00
12	County _____		YES		0.00
13	Other (specify)		YES		0.00
14	#REF!		YES		0.00
B	SUBTOTAL - OPER. EXPENSES	0.00		0.00	0.00
DIRECT ASSISTANCE					
15	Food / Beverage - for clients				0.00
16	Financial Assistance to Individuals (e.g., rent, mortgage, utilities)				0.00
17	Other (specify)		YES		0.00
18	#REF!		YES		0.00
C	SUBTOTAL: DIRECT ASSIST.	0.00		0.00	0.00
EQUIPMT./CAPITAL OUTLAY					
19	List items (specify equipmt/capit.)		YES		0.00
20	#REF!		YES		0.00
D	SUBTOTAL - EQPMT./ CAPITAL	0.00		0.00	0.00
21	TOTALS (A+B+C+D+E)	0.00		0.00	0.00

DRAFT

Preparer's Signature: _____

Date: _____

Authorized Signature: _____

Date: _____

Travis Co. USE ONLY:

Reviewed & approved by: _____ Date: _____

OUT OF TOWN TRAVEL FORM

NAME OF CONTRACTOR: _____

DATE OF SUBMISSION: _____

PURPOSE OF TRAVEL AND RELATIONSHIP TO COUNTY BUSINESS:

DESTINATION: _____

DATE: From _____ to _____

INDIVIDUALS PARTICIPATING:

RELATIONSHIP TO CONTRACT PURPOSE:

COSTS:

Lodging (Total): \$ _____

Details: _____

Meals (Total): \$ _____

Details: _____

Transportation (Total): \$ _____

Details: _____

DRAFT

SIGNATURE: _____

Printed Name: _____

Title: _____

Date: _____

ATTACHMENT C
INSURANCE REQUIREMENTS

Contractor shall have, and shall require all subcontractors providing services under this Contract to have, Standard Insurance meeting the General Requirements as set forth below and sufficient to cover the needs of Contractor and/or Subcontractor pursuant to applicable generally accepted business standards. Depending on services provided by Contractor and/or Subcontractor(s), Supplemental Insurance Requirements or alternate insurance options shall be imposed as follows:

I. General Requirements Applicable to All Contractors' Insurance.

The following requirements apply to the Contractor and to Subcontractor(s) performing services or activities pursuant to the terms of this Contract. Contractor acknowledges and agrees to the following concerning insurance requirements applicable to Contractor and subcontractor(s):

A. The minimum types and limits of insurance indicated below shall be maintained throughout the duration of the Contract.

B. NOTE: Texas Council Risk Management Fund (TCRMF) is the Center administrator of the Fund. Not AM Best rated

C. Prior to commencing work under this Contract, the required insurance shall be in force as evidenced by a Certificate of Insurance issued by the issuing agent or carrier. A copy of the Certificate of Insurance shall be forwarded to County immediately upon execution of this Contract.

NOTE: TCRMF does not issue "Certificates of Insurance". The method to provide proof of insurance is through a letter format called a "Verification of Insurance".

D. Certificates of Insurance shall include the endorsements outlined below and shall be submitted to the Travis County Purchasing Agent within ten (10) working days of execution of the contract by both parties or the effective date of the Contract, whichever comes first. The Certificate(s) shall show the Travis County contract number and all endorsements by number.

E. Insurance required under this Contract which names Travis County as Additional Insured shall be considered primary for all claims.

F. Insurance limits shown below may be written as Combined Single Limits or structured using primary and excess or umbrella coverage that follows the form of the primary policy.

G. County shall be entitled, upon its request and without expense, to receive certified copies of policies and endorsements.

H. County reserves the right to review insurance requirements during any term of the Contract and to require that Contractor make reasonable adjustments when the scope of services has been expanded.

I. Contractor shall not allow any insurance to be cancelled or lapse during any term of this Contract. Contractor shall not permit the minimum limits of coverage to erode or otherwise be reduced.

Contractor shall be responsible for all premiums, deductibles and self-insured retention. All deductibles and self-insured retention shall be shown on the Certificates of Insurance.

J. Insurance coverage specified in this Contract is not intended and will not be interpreted to limit the responsibility or liability of the Contractor or subcontractor(s).

II. Specific Requirements

The following requirements (II.A - II.E, inclusive) apply to the Contractor and Subcontractor(s) performing services or activities pursuant to the terms of this Contract. Contractor acknowledges and agrees to the following concerning insurance requirements applicable to Contractor and subcontractor(s):

A. Workers' Compensation and Employers' Liability Insurance

1. Coverage shall be consistent with statutory benefits outlined in the Texas Workers' Compensation Act.

ATCIC is a governmental entity and Employers' Liability is not required

3. Policies under this Section shall apply to State of Texas and include the following endorsements in favor of Travis County and City of Austin:

- a. Waiver of Subrogation (Form 420304)
- b. Thirty (30) day Notice of Cancellation (Form 420601)

B. Commercial General Liability Insurance

1. Minimum limit:
\$500,000* per occurrence for coverage A and B with a
\$1,000,000 policy aggregate

2. The Policy shall contain or be endorsed as follows:
 - a. Blanket liability is not included in ATCIC policy because of Tort

Limits/governmental entity.

- b. Independent Contractor Coverage

3. The Policy shall also include the following endorsements in favor of Travis County

4.
 - a. Waiver of Subrogation (Form CG 2404)
 - b. Thirty (30) day Notice of Cancellation (Form CG 0205)
 - c. Travis County named as additional insured (Form CG 2010)

* **Supplement Insurance Requirement** If child care, or housing arrangements for clients is provided, the required limits shall be:

\$ 1,000,000 per occurrence with a
\$ 2,000,000 policy aggregate

C. Business Automobile Liability Insurance†

1. If any form of transportation for clients is provided, coverage for all owned, non-owned, and hired vehicles shall be maintained with a combined single limit of \$300,000* per occurrence
2. Policy shall also include the following endorsements in favor of Travis County
 - a. Waiver of Subrogation (Form TE 2046A)
 - b. Thirty (30) day Notice of Cancellation (Form TE 0202A)
 - c. Travis County named as additional insured (Form TE 9901B)

† **Alternative Insurance Requirement**

If NO transportation services of any type is provided, and use of a motor vehicle is strictly limited to travel to and from work or work sites, evidence of Personal Auto Policy coverage with limits of

\$ 100,000/\$300,000/\$50,000

may be provided in lieu of Business Automobile Liability Insurance

D. Professional Liability/E & O Insurance

1. Coverage shall be provided with a minimum limit of \$1,000,000 per claim /\$3,000,000 aggregate to cover injury in the care of Contractor or Subcontractor and to cover negligent acts, sexual harassment, errors, or omissions arising out of Professional Services under this Contract. NOTE: The policy is not child/adult/specific-policy is all inclusive.

2. If coverage is written on a claims made policy, the retroactive date shall be prior to the date this Contract is signed and/or effective, whichever comes first. Coverage shall include a three (3) year extended reporting period from the date this Contract expires or is terminated. Certificate of Insurance shall clarify coverage is claims made and shall contain both the retroactive date of coverage and the extended reporting dates. NOTE: As long as Center is with TCRMF this requirement stays in effect and there is no extended dates included on the verification of insurance. Tail insurance is dated.

3. Subcontractor(s) who are not covered under Contractor's professional liability insurance shall provide Contractor with current certificates of insurance annually on the renewal date of their insurance policy.

E. Blanket Crime Policy Insurance

1. If an advance against Contract Funds is requested or received in an amount greater than \$5,000, a Blanket Crime Policy shall be required with limits of the Contract Funds allocated in the Contract or the amount of scheduled advances.

2. If coverage is written on a claims made policy, the retroactive date shall be prior to the date services begin under this Contract or the effective date of this Contract, whichever comes first. Coverage shall include a three- (3) year extended reporting period from the date this Contract expires or is terminated. Certificate of Insurance shall clarify coverage is claims made and shall contain both the retroactive date of coverage and the extended reporting period date.

ATTACHMENT D
ETHICS AFFIDAVIT

STATE OF TEXAS
COUNTY OF TRAVIS

ETHICS AFFIDAVIT

Date: _____
Name of Affiant: _____
Title of Affiant: _____
Business Name of Proponent: _____
County of Proponent: _____

Affiant on oath swears that the following statements are true:

1. Affiant is authorized by Proponent to make this affidavit for Proponent.
2. Affiant is fully aware of the facts stated in this affidavit.
3. Affiant can read the English language.
4. Proponent has received the list of key contracting persons associated with this solicitation which is attached to this affidavit as Exhibit "1".
5. Affiant has personally read Exhibit "1" to this Affidavit.
6. Affiant has no knowledge of any key contracting person on Exhibit "1" with whom Proponent is doing business or has done business during the 360 day period immediately before the date of this affidavit whose name is not disclosed in the solicitation.

DRAFT

Signature of Affiant

Address

SUBSCRIBED AND SWORN TO before me by _____ on _____, 20____.

Notary Public, State of _____

Typed or printed name of notary
My commission expires: _____

EXHIBIT 1
LIST OF KEY CONTRACTING PERSONS
January 16, 2013

CURRENT

Position Held	Name of Individual Holding Office/Position	Name of Business Individual is Associated
County Judge	Samuel T. Biscoe	
County Judge (Spouse)	Donalyn Thompson-Biscoe	
Executive Assistant	Cheryl Brown	
Executive Assistant	Melissa Velasquez	
Executive Assistant	Josie Z. Zavala	
Executive Assistant	Vacant	
Commissioner, Precinct 1	Ron Davis	
Commissioner, Precinct 1 (Spouse)	Annie Davis	Seton Hospital
Executive Assistant	Deone Wilhite	
Executive Assistant	Felicitas Chavez	
Commissioner, Precinct 2	Sarah Eckhardt	
Commissioner, Precinct 2 (Spouse)	Kurt Sauer	Daffer McDaniel, LLP
Executive Assistant	Loretta Farb	
Executive Assistant	Joe Hon	
Executive Assistant	Peter Einhorn	
Commissioner, Precinct 3	Gerald Daugherty*	
Commissioner, Precinct 3 (Spouse)	Charyl Daugherty	Consultant
Executive Assistant	Bob Moore*	
Executive Assistant	Martin Zamzow*	
Executive Assistant	Barbara Smith*	
Commissioner, Precinct 4	Margaret Gomez	
Executive Assistant	Edith Moreira	
Executive Assistant	Ma Guena	
County Treasurer	Dores Ortega	
County Auditor	Nick Rill*	
County Executive, Administrative	Vacant	
County Executive, Planning & Budget	Leslie Browder*	
County Executive, Emergency Services	Danny Hobby	
County Executive, Health/Human Services	Sherri E. Fleming	
County Executive, TNR	Steven M. Manilla, P.E.	
County Executive, Justice & Public Safety	Roger Jefferies	
Director, Facilities Management	Roger El Khoury, M.S., P.E.	
Interim Chief Information Officer	Tanya Acevedo	
Interim Chief Information Officer	Rod Brown	
Interim Chief Information Officer	Walter Lagrone	
Director, Records Mgmt & Communications	Steven Broberg	
Travis County Attorney	David Escamilla	
First Assistant County Attorney	Steve Capelle	
Executive Assistant, County Attorney	James Collins	
Director, Land Use Division	Tom Nuckols	
Attorney, Land Use Division	Julie Joe	
Attorney, Land Use Division	Christopher Gilmore	
Director, Transactions Division	John Hille	
Attorney, Transactions Division	Daniel Bradford	
Attorney, Transactions Division	Elizabeth Winn	
Attorney, Transactions Division	Mary Etta Gerhardt	
Attorney, Transactions Division	Barbara Wilson	
Attorney, Transactions Division	Jim Connolly	
Attorney, Transactions Division	Tenley Aldredge	
Director, Health Services Division	Beth Devery	
Attorney, Health Services Division	Prema Gregerson	
Purchasing Agent	Cyd Grimes, C.P.M., CPPO	
Assistant Purchasing Agent	Marvin Brice, CPPB	
Assistant Purchasing Agent	Bonnie Floyd, CPPO, CPPB, CTPM	

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Purchasing Agent Assistant IVCW Bruner, CTP
Purchasing Agent Assistant IVLee Perry
Purchasing Agent Assistant IVJason Walker
Purchasing Agent Assistant IVRichard Villareal
Purchasing Agent Assistant IVPatrick Strittmatter
Purchasing Agent Assistant IVLori Clyde, CPPO, CPPB
Purchasing Agent Assistant IVScott Wilson, CPPB
Purchasing Agent Assistant IVJorge Talavera, CPPO, CPPB
Purchasing Agent Assistant IVLoren Breland, CPPB
Purchasing Agent Assistant IVJohn E. Pena, CTPM
Purchasing Agent Assistant IVRosalinda Garcia
Purchasing Agent Assistant IVAngel Gomez*
Purchasing Agent Assistant IIIShannon Pleasant, CTPM
Purchasing Agent Assistant IIIDavid Walch
Purchasing Agent Assistant IIIMichael Long, CPPB
Purchasing Agent Assistant IIINancy Barchus, CPPB
Purchasing Agent Assistant IIIJesse Herrera, CTP, CTPM, CTCM*
Purchasing Agent Assistant IIISydney Ceder*
Purchasing Agent Assistant IIIVacant
Purchasing Agent Assistant II.....Vacant
Purchasing Agent Assistant II.....L. Wade Laursen*
Purchasing Agent Assistant II.....Sam Francis*
HUB Coordinator.....Sylvia Lopez
HUB SpecialistBetty Chapa
HUB SpecialistJerome Guerrero
Purchasing Business AnalystScott Worthington
Purchasing Business AnalystJennifer Francis

FORMER EMPLOYEES

DRAFT

Position Held	Name of Individual	Holding Office/Position	Date of Expiration
Purchasing Agent Assistant III	Elizabeth Corey, C.P.M.		03/14/13
Attorney, Transactions Division	Tamara Armstrong		03/30/13
Executive Assistant	Lori Duarte		06/15/13
Chief Information Officer	Joe Harlow		07/31/13
County Auditor	Susan Spataro, CPA		08/31/13
Purchasing Agent Assistant IV	George R. Monnat, C.P.M., A.P.P.		09/26/13
Executive Assistant	Cheryl Aker		10/05/13
Purchasing Agent Assistant II	Jayne Rybak, CTP		12/14/13
Commissioner, Precinct 3	Karen Huber		01/01/14
Executive Assistant	Garry Brown		01/01/14
Executive Assistant	Julie Wheeler		01/01/14
Executive Assistant	Jacob Cottingham		01/01/14

* - Identifies employees who have been in that position less than a year.

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 all records, books, papers, and documents related to the award and will establish a proper accounting system in accordance with generally accepted accounting standards of agency practice.
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 1971 (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 1944 (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.

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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. 93-52), 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 audit in accordance with the Single Audit Act Amendment of 1996 and OMB Circular No. A-133, "Audits of State, 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.

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SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED
	January 14, 2013

U.S. Department of Health & Human Services



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CERTIFICATION REGARDING LOBBYING

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Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

<input type="checkbox"/> YES	<input type="checkbox"/> NO
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(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 Form to Report Lobbying," 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.

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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 Form to Report Lobbying," 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.

Signature

Title

Organization

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

Approved by OMB
0348-0046

1. Type of Federal Action: <input type="checkbox"/> a. contract <input 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 type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known : Congressional District, if known : 4c	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known :	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known :	9. Award Amount, if known : \$ _____	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):	
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 tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information 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: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

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INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity 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 a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, contracts, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-D".
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 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 (0348-0046), Washington, DC 20503.

U.S. Department of Health & Human Services



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CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS (LOWER TIER)

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<input type="checkbox"/> YES	<input type="checkbox"/> NO
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Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-- Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transactions, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a

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person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility an Voluntary Exclusion--Lower Tier Covered Transactions

U.S. Department of Health and Human Services
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 Washington, D.C. 20447

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

YES

NO

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material condition of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through

1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

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Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about:

1. The dangers of drug abuse in the workplace;
2. The grantee's policy prohibiting a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

1. Abide by the terms of the statement; and
2. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --

1. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

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2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, Mar 25, 1990]

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CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

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The Pro-Children Act of 2001, 42 U.S.C. 7181 through 7184, imposes restrictions on smoking in facilities where Federally-funded children's services are provided. HHS grants are subject to these requirements only if they meet the Act's specified coverage. The Act specifies that smoking is prohibited in any indoor facility (owned, leased, or contracted for) used for the routine or regular provision of kindergarten, elementary, or secondary education or library services to children under the age of 18. In addition, smoking is prohibited in any indoor facility or portion of a facility (owned, leased, or contracted for) used for the routine or regular provision of federally funded health care, day care, or early childhood development, including Head Start services to children under the age of 18. The statutory prohibition also applies if such facilities are constructed, operated, or maintained with Federal funds. The statute does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, portions of facilities used for inpatient drug or alcohol treatment, or facilities where WIC coupons are used. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per violation, and/or the imposition of an administrative compliance order on the responsible entity.

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CERTIFICATION REGARDING MAINTENANCE OF EFFORT

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In accordance with the applicable program statute(s) and regulation(s), the undersigned certifies that financial assistance provided by the Administration for Children and Families, for the specified activities to be performed under the _____ Program by _____ (Applicant Organization), will be in addition to, and not in substitution for, comparable activities previously carried on without Federal assistance.

YES

NO

Signature of Authorized Certifying Official

Title

Date

DRAFT

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Acknowledgement of Federal Funding

As required by U.S. Department of Health and Human Services (HHS) appropriations acts, all HHS recipients must acknowledge Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds. Recipients are required to state (1) the percentage and dollar amounts of the total program or project costs financed with Federal funds and (2) the percentage and dollar amount of the total costs financed by nongovernmental sources.

Activities Abroad

HHS recipients must ensure that project activities carried on outside the United States are coordinated as necessary with appropriate government authorities and that appropriate licenses, permits, or approvals are obtained.

Age Discrimination Act of 1975

The Age Discrimination Act of 1975, 42 U.S.C. 6101 *et seq.*, prohibits discrimination on the basis of age in any program or activity receiving Federal financial assistance. The HHS implementing regulations are codified at 45 CFR part 91.

Civil Rights Act of 1964 (Title VI)

Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d *et seq.*, provides that no person in the United States will, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. The HHS implementing regulations are codified at 45 CFR part 80.

Confidentiality of Patient/Client Records

Section 543 of the PHS Act, 42 U.S.C. 290dd-2, requires that records of substance abuse patients be kept confidential except under specified circumstances and purposes. The covered records are those that include the identity, diagnosis, prognosis, or treatment of any patient maintained in connection with any program or activity relating to substance abuse education, prevention, training, treatment, rehabilitation, or research that is conducted, regulated, or directly or indirectly assisted by any department or agency of the United States. This requirement is implemented in 42 CFR part 2.

Controlled Substances

Grantees are prohibited from knowingly using appropriated funds to support activities that promote the legalization of any drug or other substance included in Schedule I of the schedule of controlled substances established by section 202 of the Controlled Substances

Act, 21 U.S.C. 812. This limitation does not apply if the recipient notifies the GMO that there is significant medical evidence of a therapeutic advantage to the use of such drug or other substance or that federally sponsored clinical trials are being conducted to determine therapeutic advantage.

If controlled substances are proposed to be administered as part of a research protocol or if research is to be conducted on the drugs themselves, applicants/recipients must ensure that the DEA requirements, including registration, inspection, and certification, as applicable, are met. Regional DEA offices can supply forms and information concerning the type of registration required for a particular substance for research use. The main registration office in Washington, DC, may be reached at 800-882-9539. Information also is available from the National Institute on Drug Abuse at 301-443-6300.

Education Amendments of 1972 (Title IX)

Title IX of the Education Amendments of 1972, 20 U.S.C. 1681, 1682, 1683, 1685, and 1686, provides that no person in the United States will, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any educational program or activity receiving Federal financial assistance. The HHS implementing regulations are codified at 45 CFR part 86.

Hatch Act

The Hatch Act restricts political activity of executive branch employees of the federal government and District of Columbia government employees (5 U.S.C. 7321–7328) and State or local officers or employees (5 U.S.C. 1501–1508). “State or local officer or employee” means an individual employed by a State or local agency whose principal employment is in connection with an activity that is financed in whole or in part by loans or grants made by the United States or a Federal agency. (Certain State educational or research institutions are excluded from this definition.)

Health Insurance Portability and Accountability Act (HIPAA)

The “Standards for Privacy of Individually Identifiable Health Information” (the Privacy Rule) implement the Health Insurance Portability and Accountability Act (HIPAA) of 1996, 42 U.S.C. 1320d *et seq.*, which governs the protection of individually identifiable health information. The Privacy Rule is administered and enforced by HHS’s OCR and is codified at 45 CFR parts 160 and 164. Not all HHS recipients are subject to the Privacy Rule. The Privacy Rule applies only to “covered entities,” as defined by the rule, which include health plans and most health-care providers.

The OCR Web site (<http://www.hhs.gov/ocr/hipaa>) provides information on the Privacy Rule, including the complete text of the regulation and a set of decision tools for determining whether a particular entity is subject to the rule. An educational booklet, *Protecting Health Information in Research: Understanding the HIPAA Privacy Rule*, is available through OCR’s Web site and at <http://privacyruleandresearch.nih.gov/>. That

Web site also includes other educational materials approved by OCR and the HHS Office of the General Counsel.

Limited English Proficiency

Recipients of Federal financial assistance must take reasonable steps to ensure that people with limited English proficiency have meaningful access to health and social services and that there is effective communication between the service provider and individuals with limited English proficiency. To clarify existing legal requirements, HHS published “Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons.” This guidance, which is available at <http://www.hhs.gov/ocr/lep/revisedlep.html>, provides a description of the factors that recipients should consider in determining and fulfilling their responsibilities to individuals with limited English proficiency under Title VI of the Civil Rights Act of 1964.

Pro-Children Act

The Pro-Children Act of 1994, 20 U.S.C. 7183, imposes restrictions on smoking in facilities where federally funded children’s services are provided. HHS grants are subject to these requirements only if they meet the Act’s specified coverage. The Act specifies that smoking is prohibited in any indoor facility (owned, leased, or contracted for) used for the routine or regular provision of kindergarten, elementary, or secondary education or library services to children under the age of 18. In addition, smoking is prohibited in any indoor facility or portion of a facility (owned, leased, or contracted for) used for the routine or regular provision of federally funded health care, day care, or early childhood development, including Head Start services to children under the age of 18. The statutory prohibition also applies if such facilities are constructed, operated, or maintained with Federal funds. The statute does not apply to children’s services provided in private residences, facilities funded solely by Medicare or Medicaid funds, portions of facilities used for inpatient drug or alcohol treatment, or facilities where WIC coupons are redeemed. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per violation and/or the imposition of an administrative compliance order on the responsible entity. Any questions concerning the applicability of these provisions to an HHS grant should be directed to the GMO.

Rehabilitation Act of 1973 (Section 504)

Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. 794, as amended, provides that no otherwise qualified handicapped individual in the United States will, solely by reason of the handicap, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. These requirements pertain to the provision of benefits or services as well as to employment. The HHS implementing regulations are codified at 45 CFR parts 84 and 85.

Resource Conservation and Recovery Act

Under RCRA (42 U.S.C. 6901 *et seq.*), any State agency or agency of a political subdivision of a State using appropriated Federal funds must comply with 42 U.S.C. 6962. This includes State and local institutions of higher education or hospitals that receive direct HHS awards. Section 6962 requires that preference be given in procurement programs to the purchase of specific products containing recycled materials identified in guidelines developed by EPA (40 CFR parts 247–254).

Restriction on Abortions

HHS funds may not be spent for an abortion.

Restriction on Distribution of Sterile Needles

Funds appropriated for HHS may not be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

Uniform Relocation Assistance and Real Property Acquisition Policies Act

The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (the Uniform Relocation Act) (42 U.S.C. 4601 *et seq.*), applies to all programs or projects undertaken by Federal agencies or with Federal financial assistance that cause the displacement of any person.

The HHS requirements for complying with the Uniform Relocation Act are set forth in 49 CFR part 24. Those regulations include uniform policies and procedures regarding treatment of displaced people. They encourage entities to negotiate promptly and amicably with property owners so property owners' interests are protected and litigation can be avoided.

U.S. Flag Air Carriers

Recipients must comply with the requirement that U.S. flag air carriers be used by domestic recipients to the maximum extent possible when commercial air transportation is the means of travel between the United States and a foreign country or between foreign countries. This requirement must not be influenced by factors of cost, convenience, or personal travel preference. The cost of travel under a ticket issued by a U.S. flag air carrier that leases space on a foreign air carrier under a code-sharing agreement is allowable if the purchase is in accordance with GSA regulations on U.S. flag air carriers and code shares (see http://www.gsa.gov/gsa/cm_attachments/GSA_DOCUMENT/110304_FTR_R2QA53_0Z5RDZ-i34K-pR.pdf). (A code-sharing agreement is an arrangement between a U.S. flag carrier and a foreign air carrier in which the U.S. flag carrier provides passenger service on the foreign air carrier's regularly scheduled commercial flights.)

USA Patriot Act

The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act (USA PATRIOT Act) amends 18 U.S.C. 175–175c. Among other things, it prescribes criminal penalties for possession of any biological agent, toxin, or delivery system of a type or in a quantity that is not reasonably justified by a prophylactic, protective, bona fide research, or other peaceful purpose. The act also establishes restrictions on access to specified materials. “Restricted persons,” as defined by the act, may not possess, ship, transport, or receive any biological agent or toxin that is listed as a select agent (see “Public Health Security and Bioterrorism Preparedness and Response Act”).

Public Health Security and Bioterrorism Preparedness and Response Act

The Public Health Security and Bioterrorism Preparedness and Response Act of 2002, 42 U.S.C. 201 Note, is designed to provide protection against misuse of select agents and toxins, whether inadvertent or the result of terrorist acts against the U.S. homeland, or other criminal acts (see 42 U.S.C. 262a). The act was implemented, in part, through regulations published by CDC at 42 CFR part 73, Select Agents and Toxins. Copies of these regulations are available from the Import Permit Program and the Select Agent Program, respectively, CDC, 1600 Clifton Road, MS E-79, Atlanta, GA 30333; telephone: 404-639-2255. These regulations are available at <http://www.cdc.gov/od/ohs/biosfty/shpregs.htm>

Retention and access requirements for records

Sub-recipient shall comply with retention and access requirements for records as codified in 45 CFR 92.42.

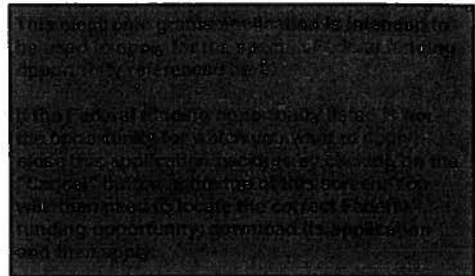
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Grant Application Package

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 Deletes

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
Lobbying Form

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Optional Documents

Move Form to Submits List

Move Form to Deletes

Optional Documents for Submission

Other Attachments Form
Fair 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.

OMB Number: 4040-0004
Expiration Date: 03/31/2012

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 35	DRAFT	
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:			
<input type="text" value="B: County Government"/>			
Type of Applicant 2: Select Applicant Type:			
<input type="text"/>			
Type of Applicant 3: Select Applicant Type:			
<input type="text"/>			
* Other (specify):			
<input type="text"/>			
* 10. Name of Federal Agency:			
<input type="text" value="Administration for Children and Families"/>			
11. Catalog of Federal Domestic Assistance Number:			
<input type="text" value="93.087"/>			
CFDA Title:			
<input type="text" value="Enhance the Safety of Children Affected by Parental Methamphetamine or Other Substance Abuse"/>			
* 12. Funding Opportunity Number:			
<input type="text" value="HHS-2012-ACF-ACYF-CU-0550"/>			
* Title:			
<input type="text" value="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:			
<input type="text" value="HHS-2012-ACF-ACYF-CU-0550"/>			
Title:			
<input type="text"/>			
14. Areas Affected by Project (Cities, Counties, States, etc.):			
<input type="text" value="PIRII Maps.jpg"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>	<input type="button" value="View Attachment"/>
* 15. Descriptive Title of Applicant's Project:			
<input type="text" value="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.			
<input type="button" value="Add Attachments"/>	<input type="button" value="Delete Attachments"/>	<input type="button" value="View Attachments"/>	

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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.

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	500,000.00
* b. Applicant	214,286.00
* c. State	0.00
* d. Local	0.00
* e. Other	0.00
* f. Program Income	0.00
* g. TOTAL	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

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

- Yes
- No

If "Yes", provide explanation and attach

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:

Samuel T. Biscoe

7/26/12

OMB Number: 4040-0006
Expiration Date: 06/30/2014

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. Regional Partnership Grants to Increase the Well-Being of, and to Improve the Permanency Outcomes for, Children Affected	93.087	\$	\$	500,000.00	\$	714,286.00
2.						
3.						
4.						
5. Totals		\$	\$	500,000.00	\$	714,286.00

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SECTION B - BUDGET CATEGORIES

6. Object Class Categories	(1)	(2)	(3)	(4)	Total (5)		
	Regional Partnership Grants to Increase the Well-Being of, and to Improve the Permanency Outcomes for, Children Affected	<h1>DRAFT</h1>					
a. Personnel	\$ 109,833.00				\$	\$	\$ 109,833.00
b. Fringe Benefits	31,726.00						31,726.00
c. Travel	11,200.00						11,200.00
d. Equipment							
e. Supplies	12,075.00						12,075.00
f. Contractual	85,000.00						85,000.00
g. Construction							
h. Other	250,166.00						250,166.00
i. Total Direct Charges (sum of 6a-6h)	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	\$				\$	\$	\$

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SECTION C - NON-FEDERAL RESOURCES

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

SECTION D - FUTURE FUNDING PERIODS (YEARS)

	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	500,000.00 \$	114,650.00 \$	114,650.00 \$	114,650.00 \$
14. Non-Federal	214,286.00 \$	53,572.00 \$	53,572.00 \$	53,570.00 \$
15. TOTAL (sum of lines 13 and 14)	714,286.00 \$	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	(b) First	(c) Second	(d) Third	(e) Fourth
16. Regional Partnership Grants to Increase the Well-Being of, and to Improve the Permanency Outcomes for, Children Affected	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 position for any 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 dependence; (g) Sections 405 and 527 of the Public Health Service Act of 1944 (42 U.S.C. §§290 dd-3 and 290 dd-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.

OMB Number: 4040-0006
Expiration Date: 06/30/2014

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		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
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 Well-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 6a-6h)	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					

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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 GAS NEEDS					
Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	
13. Federal	\$ 500,000.00	\$ 114,650.00	\$ 114,650.00	\$ 114,650.00	\$ 114,650.00
14. Non-Federal	\$ 214,286.00	\$ 53,572.00	\$ 53,572.00	\$ 53,572.00	\$ 53,570.00
15. TOTAL (sum of lines 13 and 14)	\$ 714,286.00	\$ 168,222.00	\$ 168,222.00	\$ 168,222.00	\$ 168,220.00
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDS FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)				
	1st	(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 records, books, accounts, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards of the awarding agency.
3. Will establish safeguards to prohibit employees from using their position 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 dd-4), 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 Clean Air Act Implementation Plans under Section 176(d) 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 (16 U.S.C. 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.

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<p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p style="font-size: 8pt;">Completed on submission to Grants.gov</p> <p><i>Samuel T. Biscoe</i></p>	<p>* TITLE</p> <p><i>Samuel T. Biscoe</i></p> <p>Travis County Judge</p>
<p>* APPLICANT ORGANIZATION</p> <p>Travis County</p>	<p>* DATE SUBMITTED</p> <p><i>7-31-12</i></p> <p>Completed on submission to Grants.gov</p>

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:

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

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 agreement provided 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.

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* 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 <i>Samuel T. Biscoe</i>	* DATE: Completed on submission to Grants.gov <i>7-31-12</i>

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 religious 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

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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 tier 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		

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Parenting in Recovery II Contact Information:

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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.

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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

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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.

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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.

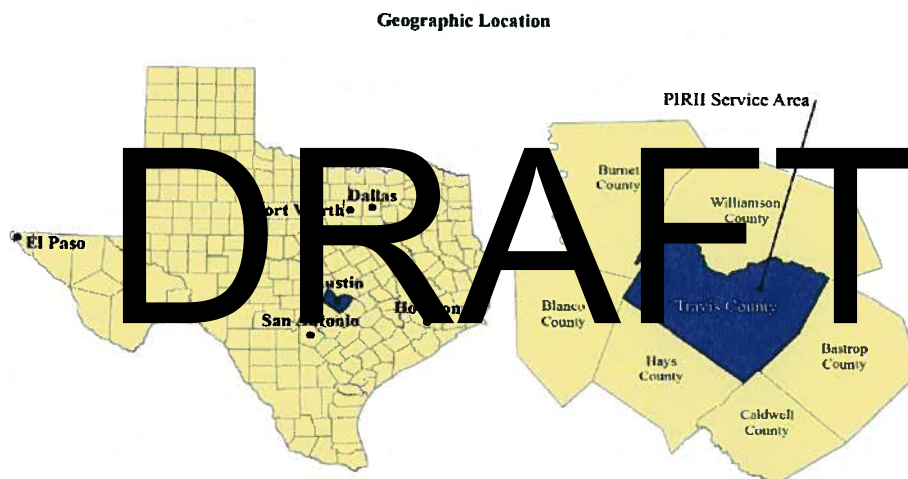
2.d. Substantial impact on substance abuse

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 (FGC, 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.

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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

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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

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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.**

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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

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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

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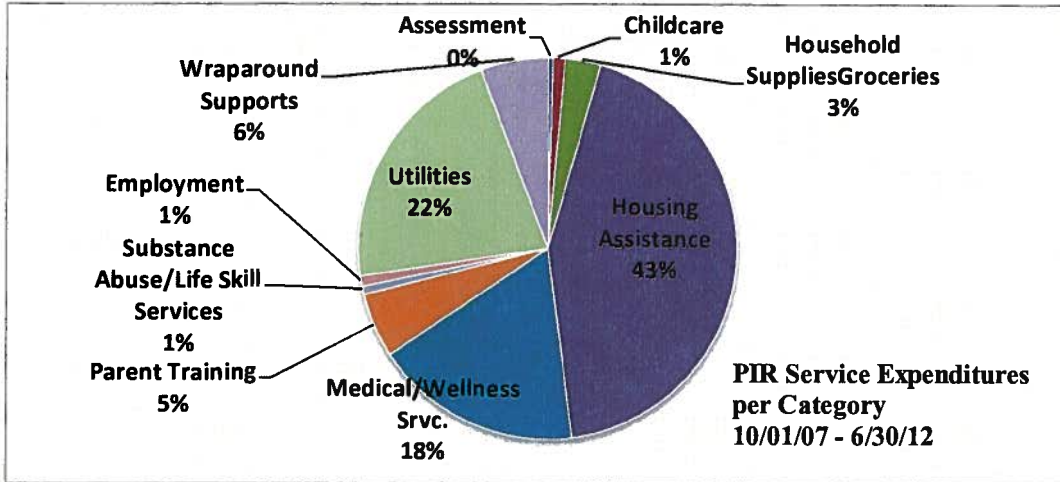
provided through different modalities including, filial therapy, developmental services, experiential therapies and Child-Parent Psychotherapy^{ix}. The goal of these specialized services is to reduce the effects of trauma, increase the social and development abilities of the child/youth leading to improved 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.

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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) treatment. In [redacted] are still tied to the TMHP rates that are in turn arbitrarily tied to the "payor of last resort" SHS 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

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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, and interpersonal 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: peer 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.

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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 issue areas with 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

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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; Safe Place (domestic violence partner); ATCI (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

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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. PRI-II will build upon these lessons learned to support the PIR collaboration through the extension phase to a sustained site.

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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

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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.

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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 award.	Oct 30 2012	Legal / Auditor
Sept 28 2012	Grant Award Implementation	PIR-II management team and 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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Yr 1 Start Date	Project Goal	Objectives to be Accomplished	Activity Accomplished	Expected Completion Date	Person Responsible
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
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 Evaluation plan	Dec 28 2012	Sanna Thompson
Nov 5 2012	Grant Award Implementation	Investment Partnership Meeting	Regional partner meeting 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	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	One 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 Accomplished	Activity Accomplished	Expected Completion Date	Person Responsible
Sept 2013	Grant Management	Quality Review	Quality Review 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	Nov 2013 – Occur quarterly	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.					

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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;

	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

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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.

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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:

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Agency Sustained 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 aid 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

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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 (most positive for drug at child birth, 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%) ($\chi^2=49.4$, $p=.001$). 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%) ($\chi^2=2.9$, $p=.05$) and treatment group children received services identified as needed more frequently than control group children, including: developmental services (92% vs

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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 with PIR. Further analysis 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

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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, 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

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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

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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 3 years, IR 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-

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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

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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.

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(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 ACE concerning the suggestion of more predominant 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.

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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,

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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.

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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

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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	<p>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:</p> <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	<p>Number of participant clients reviewed by judge in Drug Treatment Court</p> <ul style="list-style-type: none"> ○ Number of encounters ○ Reason(s) for encounter ○ Number of rewards/sanctions 	Program Director
Comprehensive wraparound supports	<p>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:</p> <ul style="list-style-type: none"> ○ employment/educational needs ○ child care ○ stable housing ○ transportation services ○ on-going CPS involvement 	Program Director

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	<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.

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(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.

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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

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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

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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)</p> <p>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/)</p> <p>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)</p> <p>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 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</p> <p>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

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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	<p>Texas Guided Risk Assessment</p> <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

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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: All 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

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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

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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 Regional 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.

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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

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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,

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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 collaborate 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.

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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-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

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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

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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 interruption 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.

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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

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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

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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 Circuit Court, 2012.

^{xiv} The Honorable Tereanna Davila, 2012.

^{xv} Austin Travis County Integral Care (2012). *Fiscal Year 2012 Budget*. Retrieved from <http://www.integralcare.org/ama/original/2012BudgetBook.pdf>

⁶ Austin Travis County Integral Care. (2012). *Strategic Plan FY 2011-2013*. Retrieved from http://www.integralcare.org/ama/original/publications/2011/atcic_fy2011_sp.pdf.

⁸ Foundation Communities (2012). *Awards*. Retrieved from <http://www.foundcom.org/about-us/awards/>.

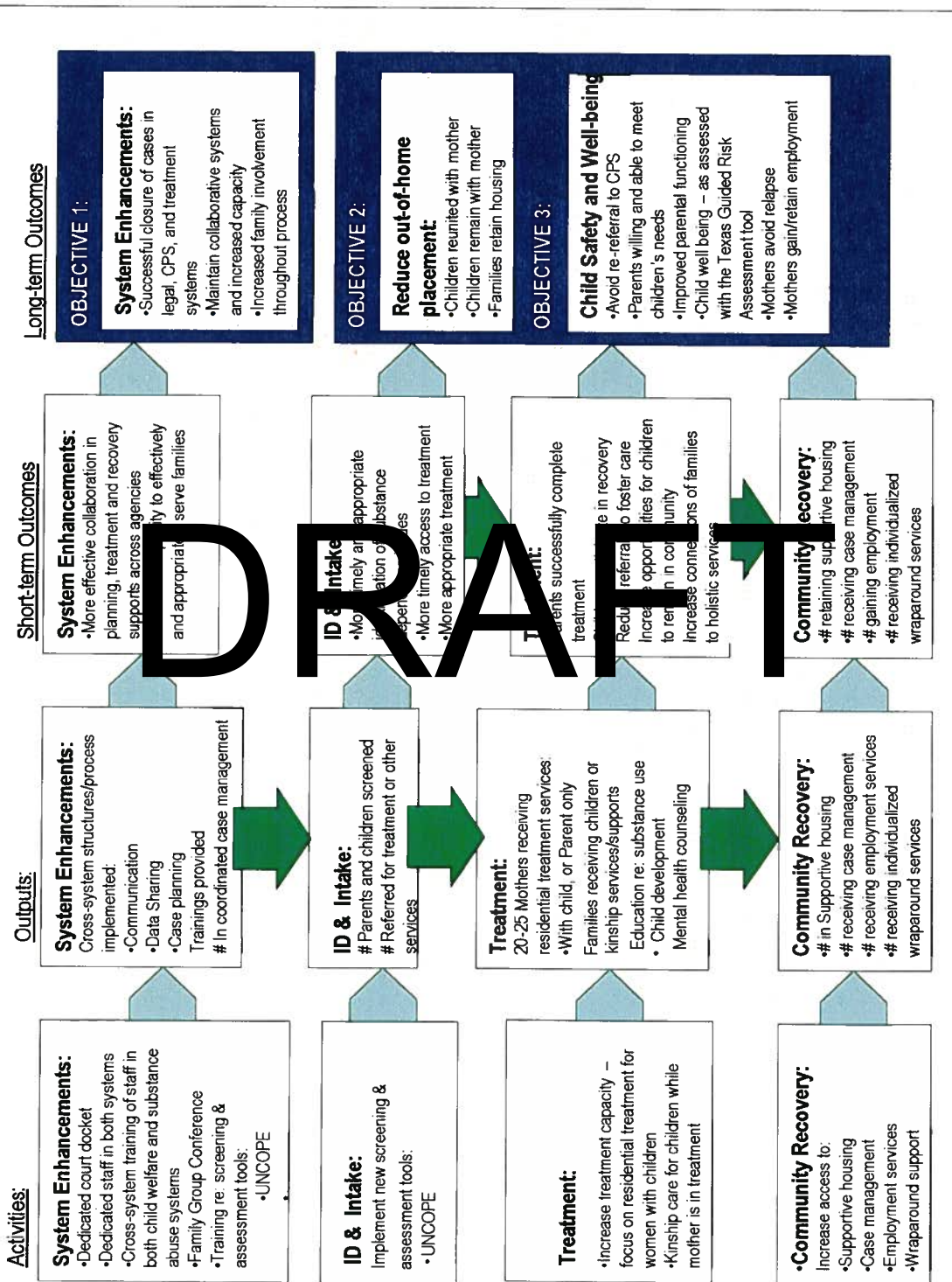
⁹ Thompson, S. & Roper, C. N. (2012). *Parenting in Recovery: Program, Purpose and Outcomes*. Manuscript submitted for publication.

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.

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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
 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

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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 program activities with Travis County

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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 Abuse) services to all children residing with their mothers 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.

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II. **Amendments to the 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
- 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 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 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

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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 Service
 - 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 1.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 the services outlined above 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

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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 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:


Sarma Thompson, PhD

Title: Encompass Medical Management, Inc.

Date: 7/13/12

DRAFT

Curriculum vitae
Sanna J. Thompson, Ph.D.

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

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Academic/Teaching Positions

- Sept 2005-Present** Assistant 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 # R01 DA008579

Funded: 8/2006-5/2007 (\$15,000)

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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/FTDC_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 partners with participants to practice mutual respect, understand their roles and responsibilities, share information, and improve 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:

Members³: 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.

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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.

Shirley Speer 8/18/10
Signature Date

Judge, 126th J.D. Court
Name & Title

Partnering Agency/Organization

Laura Wolf 8/18/10
Signature Date

LAURA WOLF, EXECUTIVE DIRECTOR
Name & Title

CASA of Travis County
Partnering Agency/Organization

[Signature] 8/18/10
Signature Date

Therese - Director
Name & Title

Travis Co Health & Human Services
Partnering Agency/Organization

Bill Wigmore 8/18/10
Signature Date

BILL WIGMORE, PRES./CEO
Name & Title

AUSTIN RECOVERY
Partnering Agency/Organization

[Handwritten Signature] 8/18/10
Signature Date

L. R. Woody Asst. Dist Atty
Name & Title

TRANS Co. Dist. Atty Off.
Partnering Agency/Organization

[Handwritten Signature] 8/18/10
Signature Date

Jilly E. Mebert
CPS Program Administrator
Name & Title

Dept. of Probation and Regulatory Services
Revised 07
Partnering Agency/Organization

Signature Date

Name & Title

Partnering Agency/Organization

Signature Date

Name & Title

Partnering Agency/Organization

DRAFT

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	214,292.00	269,231.00	483,517.00
Grant Percentage	0.70	0.65	
Total Funds	\$ 714,286.00	\$ 769,231.00	\$ 1,483,517.00

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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	12	32%						70,000		70,000	
		Research Asst.	12	48%						15,000		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%	56,700	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						11,200						
	Grant Partner Travel											11,200	
	Systems Development Training										7,278	7,278	
	Total Match*				109,833	31,725	11,200		12,075	85,000	250,166	500,000	
	Travis County Health and Human Services and Veterans Service	Parenting in Recovery Project Director	12	100%	62,008	12,572					139,706	74,580	139,706
	Flex Funds												214,286

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*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.

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	12	32%						70,000		70,000	
		Research Asst.	12	48%						15,000		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%	68,000	22,149			2,381		4,460	87,086	
	General Expenses												
	Grant Partner Travel						7,000					7,000	
	Systems Development Training										11,600	11,600	
	Total Match*				129,333	37,471	7,000		2,841	86,000	238,365	600,000	
	Travis County Health and Human Services and Veterans Service Flex Funds	Parenting in Recovery Project Director	12	100%	62,008	12,572							74,580
											194,651		194,651
	Total												269,231

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*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.

Travis County - Parenting in Recovery II

	Year 1	Year 2
General Expenses		
<u>Grant Partner Travel</u>		
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
Total	11,200	7,000
Systems Development Training		
Year 1 & 2: Training grant staff and community partners = processing CEU's (200) speaker fee (200); training materials (150)	600	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 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

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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 regarding the evaluation activities 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 and data entry into web-based database, and training research assistant in data needs 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 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
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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

Fringe	Calculation	Year 1*	Year 2
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 .1221)	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
Other			
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

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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

Grand Total	(Total Salary and Fringe x .3333)	15,146	15,146
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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
<u>Fringe</u>			
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.**

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Supplies

Office supplies	Actual cost	300	300
Duplicating/Computer supplies	Actual cost	160	160
Notebook Computer/Deskling 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

Travis County - Parenting in Recovery II

repairs/maintenance	"	16	16
electricity/water	"	188	188
elevators	"	23	23
landscaping	"	43	43
fire equipment	"	33	33
pest control	"	6	6
locksmith services	"	2	2
janitorial services	"	115	115
garbage disposal	"	40	40
property insurance	"	37	37

Flexible funding to spend
on specialized services for
children and parents (cost
based on estimate of
services needed and
includes 5% MSO Fee
totaling \$11,605 in year 1
and \$10,826 in year 2)

Flexible Funds		232,100	216,517
Total		238,428	222,295

Grand Total		292,945	284,168
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Project Title: Parenting in Recovery (PIR II)
Applicant Name: Travis County Health and Human Services and Veterans Service

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 expense 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

Project Title: Parenting in Recovery (PIR) II
Applicant Name: Travis County Health and Human Services and Veterans Service

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 vendor contract and four sub-contract 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

Project Title: Parenting in Recovery (PIR) II
Applicant Name: Travis County Health and Human Services and Veterans Service

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 for 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

Project Title: Parenting in Recovery (PIR) II
Applicant Name: Travis County Health and Human Services and Veterans Service

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 fundings are 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

Project Title: Parenting in Recovery (PIR) II
Applicant Name: Travis County Health and Human Services and Veterans Service

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 on the grant.

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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



DEPARTMENT OF HEALTH & HUMAN SERVICES

RECEIVED
COUNTY JUDGE'S OFFICE
12 OCT 16 AM 11:43

ADMINISTRATION FOR CHILDREN AND FAMILIES
Administration on Children, Youth and Families
1250 Maryland Avenue, S.W.
Washington, D.C. 20024

SEP 19 2012

Mr. Samuel T. Biscoe
Travis County Judge
Travis County
100 N IH 35
Austin, TX 78701-4138

Reference: Award No. 90CU0039

Dear Mr. Biscoe:

I am pleased to inform you that your competing continuation award application submitted in response to HHS-2012-ACF-A-YF-CU-0550 Two Year Extension -- Regional Partnership Grants to Increase the Well Being of and to Improve the Permanency Outcomes for Children Affected by Substance Abuse has been approved for funding. The grant award is made pursuant to the legislative authority of the Promoting Safe and Stable Families Program (Section 437(f), Subpart 2, Title IV-B, of the Social Security Act) (42 U.S.C. 629g(f)), as amended by the Child and Family Services Improvement and Innovation Act (Pub.L. 112-34).

The enclosed Notice of Award (NOA) specifies the amount and duration of the grant. Also enclosed is material that describes the administrative policies and procedures pertinent to your grant.

The Federal Project Officer responsible for monitoring the project and for providing programmatic assistance is:

Jean Blankenship
Child Welfare Program Specialist
Administration on Children, Youth and Families
Children's Bureau
1250 Maryland Avenue, SW
Suite 800
Washington, DC 20024
Telephone: 202-401-2887

Page 2 – Mr. Samuel T. Biscoe

The Grants Management Specialist assigned to your project and available to assist you with the business and administrative aspects of the project is:


Bernard Morgan
Grants Management Specialist
Administration for Children and Families
Office of Grants Management
370 L'Enfant Promenade, SW
6th Floor
Washington, DC 20447
Telephone: 202-401-4896

Please note that originals of all correspondence and reports related to your grant are to be transmitted to the Grants Management Specialist with copies to the Federal Project Officer. All grant-related correspondence and reports must reference the award number appearing in box 3 of the NOA.

Program and financial status reports are due 30 days after the end of the second and fourth quarters (six-month intervals) throughout the total approved project period. The enclosed material on reporting requirements details the reporting schedule and format.

If we can be of any assistance, please feel free to contact us. We look forward to working with you as you continue with this important project.

Sincerely,



Bryan Samuels
Commissioner

Enclosures

1. RECIPIENT
Department of Health and Human Services
Administration for Children and Families
Notice of Award (NOA)

SAI NUMBER:
PMS DOCUMENT NUMBER:
90CU003906

1. AWARDING OFFICE: Administration for Children and Families		2. ASSISTANCE TYPE: Discretionary Grant		3. AWARD NO.: 90CU0039/06		4. AMEND. NO.:	
5. TYPE OF AWARD: OTHER		6. TYPE OF ACTION: Competing Continuation		7. AWARD AUTHORITY: Prom S & S Fam. Sec. 437 (f) title IV-B42 U.S.C. 629(f)(b)			
8. BUDGET PERIOD: 09/30/2012 THRU 09/29/2013			9. PROJECT PERIOD: 09/30/2007 THRU 09/29/2014			10. CAT NO./CFDA: 93.087 ...	
11. RECIPIENT ORGANIZATION: Travis County <i>through Travis County</i> Health and Human Services 100 North I.H. 35 Austin TX 78701 4138 Samuel Biscoe, Travis County Judge					12. PROJECT / PROGRAM TITLE: Targeted Grants: Methamphetamine and other Substance Abuse		

13. COUNTY: TRAVIS		14. CONGR. DIST.: 25		15. PRINCIPAL INVESTIGATOR OR PROGRAM DIRECTOR: Laura Peveto, Prevention and Intervention Manager			
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16. APPROVED BUDGET:		17. AWARD COMPUTATION:			
Personnel.....	\$ 56,747	A. NON-FEDERAL SHARE.....	\$ 214,286	30.00 %	
Fringe Benefits.....	\$ 18,459	B. FEDERAL SHARE.....	\$ 500,000	70.00 %	
Travel.....	\$ 11,200	18. FEDERAL SHARE COMPUTATION:			
Equipment.....	\$ 0	A. TOTAL FEDERAL SHARE.....	\$ 500,000		
Supplies.....	\$ 4,022	B. UNOBLIGATED BALANCE.....	\$		
Contractual.....	\$ 3,091	FED. SHARE AWARDED THIS BUDGET PERIOD.....	\$ 500,000		
Facilities/Construction.....	\$	19. AMOUNT AWARDED THIS ACTION:			
Other.....	\$ 6,481	FEDERAL \$ AWARDED THIS PROJECT PERIOD:	\$ 500,000		
Direct Costs.....	\$ 500,000	21. AUTHORIZED TREATMENT OF PROGRAM INCOME:			
Indirect Costs.....	\$ 0	ADDITIONAL COSTS			
At % of \$					
In Kind Contributions.....	\$ 0				
Total Approved Budget(**)..	\$ 500,000	22. APPLICANT EIN:	23. PAYEE EIN:	24. OBJECT CLASS:	
		1-746000192-A5	1-746000192-A5	41.51	

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25. FINANCIAL INFORMATION:							DUNS: 030908842
ORGN	DOCUMENT NO.	APPROPRIATION	CAN NO.	NEW AMT.	UNOBLIG.	NONFED %	
ACF	90CU003906	75-2-1512	2012 G996440	\$500,000			

26. REMARKS: (Continued on separate sheets)

Paid by DHHS Payment Management System (PMS), see attached for payment information.
This award is subject to the requirements of the HHS Grants Policy Statement (HHS GPS) that are applicable to you based on your recipient type and the purpose of this award.
This includes requirements in Parts I and II (available at <http://www.hhs.gov/asfr/ogapa/grantinformation/hhsgps107.pdf>) of the HHS GPS.
Although consistent with the HHS GPS, any applicable statutory or regulatory requirements, including 45 CFR Part 74 or 92, directly apply to this award apart from any coverage in the HHS GPS.
This award is subject to requirements or limitations in any applicable Appropriations Act.
This award is subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104).

27. SIGNATURE - ACF GRANTS OFFICER <i>Robin Bunch</i> Robin Bunch		DATE: 9/15/2012	28. SIGNATURE(S) CERTIFYING FUND AVAILABILITY <i>for Catherine F. Wade Nicole Miles</i>		DATE: 9/18/12
29. SIGNATURE AND TITLE - PROGRAM OFFICIAL(S) Bryan Samuels, CO, Commissioner, ACYF			DATE: 9/19/12		

1. RECIPIENT
**Department of Health and Human Services
Administration for Children and Families
Notice of Award (NOA)**

SAI NUMBER:

PMS DOCUMENT NUMBER:
90CU003906

1. AWARDING OFFICE: Administration for Children and Families		2. ASSISTANCE TYPE: Discretionary Grant	3. AWARD NO.: 90CU0039/06	4. AMEND. NO.
5. TYPE OF AWARD: OTHER	6. TYPE OF ACTION: Competing Continuation		7. AWARD AUTHORITY: Prom S & S Fam. Sec. 437 (f) title IV-B42 U.S.C. 629(f)(b)	
8. BUDGET PERIOD: 09/30/2012 THRU 09/29/2013		9. PROJECT PERIOD: 09/30/2007 THRU 09/29/2014		10. CAT NO./CFDA: 93.087

11. RECIPIENT ORGANIZATION:
Travis County, Health and Human Services
v through Travis County

BY: *Samuel T. Biscoe* Date: *11-6-12*

*Samuel T. Biscoe
Travis County Judge*

26. REMARKS: (Continued from previous page)

For the full text of the award term, go to http://www.acf.hhs.gov/grants/award_term.html.
This award is subject to requirements as set forth in 2 CFR 25.110 Central Contractor Registration (CCR) and DATA Universal Number System (DUNS).
For full text go to http://www.acf.hhs.gov/grants/award_term_ccr_duns.html.
This award is subject to requirements as set forth in 2 CFR 25.110.
For full text go to http://www.acf.hhs.gov/grants/msg_sf425.html.
This grant is subject to the requirements as set forth in 45 CFR Part 87.
Attached are terms and conditions, reporting requirements, and payment instructions.
Initial expenditure of funds by the grantee constitutes acceptance of this award.
(**) Reflects only federal share of approved budget.

\$4,743 budgeted under "Supplies" moved to "Other" category.

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**DEPARTMENT OF HEALTH AND HUMAN SERVICES (HHS)
ADMINISTRATION FOR CHILDREN AND FAMILIES (ACF)**

~~STANDARD TERMS AND CONDITIONS~~
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Has been replaced with the

HHS GRANTS POLICY STATEMENT
(HHS GPS)

www.acf.hhs.gov/grants/grants_resources.html

ACF PERFORMANCE PROGRESS REPORT
ACF-OGM SF-PPR Cover Page

Administration for Children and Families
U.S. Department of Health and Human Services

		Page <input type="text"/>	of Pages <input type="text"/>
1. Federal Agency and Organization Element to Which Report is Submitted <input type="text"/>	2. Federal Grant or Other Identifying Number Assigned by Federal Agency <input type="text"/>	3a. DUNS <input type="text"/>	
		3b. EIN <input type="text"/>	
4. Recipient Organization (Name and complete address including zip code) <input type="text"/>		5. Recipient Identifying Number or Account Number <input type="text"/>	
		8. Final Report? <input type="checkbox"/> Yes <input type="checkbox"/> No	
6. Project/Grant Period Start Date: <input type="text"/> End: <input type="text"/>	9. Report Frequency <input type="checkbox"/> annual <input type="checkbox"/> semi-annual <input type="checkbox"/> quarterly <input type="checkbox"/> other If other, describe: <input type="text"/>		
10. Performance Narrative Leave this space blank and only add performance narrative that responds to questions in Form ACF-OGM SF-PPR Attachment B.			
11. Other Attachments (Attach other documents as needed or as instructed by the awarding Federal Agency)			
12. Certification: I certify to the best of my knowledge and belief that this report is correct and complete for performance of activities for the purposes set forth in the award documents.			
12a. Typed or Printed Name and Title of Authorized Certifying Official <hr/> 12b. Signature of Authorized Certifying Official <hr/>	12c. Telephone (area code-number-extension) <input type="text"/>	12d. Email Address <input type="text"/>	12e. Date Report Submitted <input type="text"/>
13. Agency use only			

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ACF PERFORMANCE PROGRESS REPORT
ACF-OGM SF-PPR Program Indicators – Attachment B
 Administration for Children and Families
 U.S. Department of Health and Human Services

1. Federal Agency and Organization Element to Which Report is Submitted <div style="border: 1px solid black; height: 80px; width: 100%;"></div>	2. Federal Grant or Other Identifying Number Assigned by Federal Agency <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	Page <input style="width: 40px;" type="text"/> of Page <input style="width: 40px;" type="text"/> 3a. DUNS <input style="width: 100%; height: 20px;" type="text"/> 3b. EIN <input style="width: 100%; height: 20px;" type="text"/>
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Program Indicators

(1) Item	(2) Activity Description	(3) Indicator	(4) Explanation
B-01	Major activities and accomplishments during this period	Blank	Attach a description of these activities
B-02	Problems	Blank	Attach a description of these activities
B-03	Significant findings and comments	Blank	Attach a description of these activities
B-04	Dissemination activities	Blank	Attach a description of these activities
B-05	Other Activities	Blank	Attach a description of these activities
B-06	Activities planned for next reporting period	Blank	Attach a description of these activities

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Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 0970-0334, which expires on 06/30/2009. The time required to complete this information collection is estimated to average three (3) hours per response, including the time to review the instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have suggestions about the accuracy of the estimate, we would be happy to hear from you. You can email us at infocollection@acf.hhs.gov.**



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Financial Reporting for Grants and Cooperative Agreements Federal Financial Report (FFR – SF-425) Term

The following award term is specific to this award. It overrides references in the HHS Grants Policy Statement and in 45 CFR Part 74.52, or 45 CFR Part 92.41, as applicable, to the SF-269 and SF-272 and the due date for quarterly cash reports. All other provisions concerning financial reporting remain in effect. Programs that currently use a financial reporting form other than Form SF-425 (previously the SF-269) would continue to use that form and submit it on whatever reporting schedule has been established.

Beginning with budget periods which end from January 1 – March 31, 2011, and for all budget periods thereafter, you will be required to submit an SF-425 report to ACF:

Annually ()

Semi-annually ().

Quarterly ()

The report must be submitted on the Standard Form (SF-425) by completing all applicable information other than lines 10.a through 10.c. The form and instructions are available at: <http://www.whitehouse.gov/omb/grants/forms/>

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This is the same form that HHS recipients currently are submitting to the HHS Payment Management to report the cash status of advance payments using lines 10.a through 10.c. However, even if this award is being paid on a reimbursement basis, the expenditure report must be submitted on the SF-425.

Any report submitted using a form other than SF-425 will be returned for resubmission using the SF-425 and may be considered late.

All final expenditure reports are due 90 days after the end date of the project period as shown on the face page of this Notice of Award or the end date of any authorized extension of the project period.

Under these new requirements, although a recipient still may request an extension of a due date for a financial report, approved exceptions will be rare.

FEDERAL FINANCIAL REPORT

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)		Page 1	of pages		
3. Recipient Organization (Name and complete address including Zip code)							
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)		6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual		
8. Project/Grant Period From: (Month, Day, Year)			To: (Month, Day, Year)		9. Reporting Period End Date (Month, Day, Year)		
10. Transactions					Cumulative		
<i>(Use lines a-c for single or multiple grant reporting)</i>							
Federal Cash (To report multiple grants, also use FFR Attachment):							
a. Cash Receipts							
b. Cash Disbursements							
c. Cash on Hand (line a minus b)							
<i>(Use lines d-o for single grant reporting)</i>							
Federal Expenditures and Unobligated Balance:							
d. Total Federal funds authorized							
e. Federal share of expenditures							
f. Federal share of unliquidated							
g. Total Federal share (sum of lines e and f)							
h. Unobligated balance of Federal funds (line d minus g)							
Recipient Share:							
i. Total recipient share required							
j. Recipient share of expenditures							
k. Remaining recipient share to be provided (line i minus j)							
Program Income:							
l. Total Federal program income earned							
m. Program income expended in accordance with the deduction alternative							
n. Program income expended in accordance with the addition alternative							
o. Unexpended program income (line l minus line m or line n)							
11. Indirect Expense							
	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
g. Totals:							
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:							
13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)							
a. Typed or Printed Name and Title of Authorized Certifying Official				c. Telephone (Area code, number and extension)			
b. Signature of Authorized Certifying Official				d. Email address			
				e. Date Report Submitted (Month, Day, Year)			

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Standard Form 425 - Revised 6/28/2010
OMB Approval Number: 0348-0061
Expiration Date: 10/31/2011

Paperwork Burden Statement
According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours 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 (0348-0061), Washington, DC 20503.



DEPARTMENT OF HEALTH AND HUMAN SERVICES

Opportunity to Comment- Simplification of Federal Grant Programs

Opportunity to Comment - Simplification of Federal Grant Programs

On November 20, 1999, the President signed into law the Federal Financial Assistance Management Improvement Act (Public Law 106-107) whose purposes are to improve the delivery of services to the public and the effectiveness and performance of Federal grant programs. Federal agencies are working with the Office of Management of Budget (OMB) to: develop uniform administrative rules and common application and reporting systems; replace paper with electronic processing in administration of grant programs; and identify statutory impediments to grant program simplification. Consultation with the recipient community is an important part of the grant program simplification effort. We welcome ideas to make it easier for State, local, and tribal governments and nonprofit organizations to apply for and report on Federal grants. Please send your comments via email to: PL106-107@ost.dot.gov. Be sure to include the name of the organization you represent. We want to know which processes in the grants life cycle need streamlining and improvement, and your suggestions for achieving improvements. We need to know what is most important to you, in terms of grant simplification. Finally, we want you to identify the specific grant program(s) that you find to be most burdensome, with some detail about why they are burdensome, individually or collectively, because we need to focus our efforts on those programs that are in the greatest need of review and streamlining. Your input is valued, and is part of the larger process of achieving the goals of Public Law 106-107, namely, simplification of Federal grant programs for the benefit of our recipients. Please note there will not be any individual response to the input. However, we intend to periodically provide summary information relating to implementation of the law on this web page. Thank you for your participation.

Background

Each year, the Federal Government provides over \$400 billion—one-sixth of the Federal budget—in grants to non-Federal entities (States, local and tribal governments, colleges and universities, and other non-profit organizations). Audits are a primary tool used by the Federal government to ensure that these funds are expended properly.

Basic Requirements

All non-Federal entities that expend \$500,000 or more of Federal awards in a year are required to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996, Office of Management and Budget (OMB) Circular A-133, "Audits of States, Local Governments and Non-Profit Organizations," the OMB Circular A-133 Compliance Supplement and *Government Auditing Standards*.

Entities expending less than \$500,000 in a year are exempt from Federal audit requirements, but must make records available for review or audit by Federal agencies or pass-through entities (non-Federal entities from whom they receive Federal funds), if requested.

What is a Single Audit?

Most non-Federal entities annually prepare financial statements and have them audited. A single audit combines the annual financial statement audit with additional audit coverage of Federal funds. The single audit is intended to meet the basic audit needs of both the non-Federal entity and Federal awarding agencies. Any additional auditing by the Federal government shall build upon work performed by other auditors.

Your Primary Responsibilities

In addition to your responsibility to administer Federal awards in compliance with Federal requirements, you have a key role to play in the single audit process:

- ◆ *Identifying Federal awards received and expended.* You are required to account for Federal funds received and expended by individual award. This information

is usually provided in grant award documents. Check with the awarding agency if you have any questions.

- ◆ *Preparing financial statements and a Schedule of Expenditures of Federal Awards (SEFA).*

Most non-Federal entities prepare annual financial statements for their own purposes and are familiar with the process. Your auditor can usually answer any questions on financial statement preparation.

OMB Circular A-133 requires minimum content requirements for the SEFA. Questions in the preparation of the SEFA can be addressed to your auditor, Federal awarding agency, or pass-through entity.

- ◆ *Obtaining the audit completed.*

OMB Circular A-133 requires that Federal administrative rules be followed in procuring audit services, which can be found on the website. Factors to consider in evaluating proposals for audit services include responsibility to the request for proposal, availability of staff with the professional qualifications and relevant experience, results of quality reviews and price.

The Mid-America Intergovernmental Audit Forum (www.auditforum.org) has a pamphlet, *Choosing an External Auditor*, to assist non-Federal entities in the procurement of audit services.

The Government Accountability Office's website (www.gao.gov) also contains a pamphlet, *How to Avoid a Substandard Audit: Suggestions for Procuring an Audit*. *Government Awarding Standards*, the standards auditors must follow in conducting the audit, are also available at this site.

- ◆ *Submitting the audit reporting package and Data Collection Form (form SF-SAC) to the Federal Audit Clearinghouse (FAC) and pass-through entities*

The reporting package includes your financial statements and SEFA, the auditor's reports, including a schedule of findings and questioned costs, and, if applicable, your corrective action plan and a summary

schedule of prior audit findings.

You and your auditor jointly prepare form SF-SAC. You are encouraged to prepare the SF-SAC using the online option at the FAC website (harvester.census.gov/fac). Blank forms can be downloaded from the FAC's website and hard copies are also available on request.

It is your responsibility to submit the SF-SAC together with the appropriate number (per the SF-SAC instructions) of reporting packages to the FAC within 30 days of the receipt of the auditor's reports, but no later than 9 months after the end of your fiscal year. The FAC distributes the reporting package to Federal agencies and maintains an archival copy. Information from the form SF-SAC is captured by the FAC in an electronic database, which is publicly accessible via its website.

For more information concerning submissions to the FAC, contact the FAC at govs.fac@census.gov or toll-free at 1-888-222-9907.

If you are a subrecipient receiving Federal funds from a pass-through entity, you are also required to submit either a copy of the reporting package, or a notification that the audit was completed, to each pass-through entity that provides you with Federal funding. Contact your pass-through entity (ies) for questions concerning submissions to them.

- ◆ *Taking corrective action on audit findings.*

You are required to prepare a corrective action plan that addresses each audit finding. The affected Federal awarding agency(ies) or pass-through entity(ies) should contact you on the acceptability of your plan or alternative actions it expects you to take. You are responsible for taking those actions.

A. Associated with performance under this award;
or

B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, "OMB Guidelines to Agencies on Government wide Debarment and Suspension (Nonprocurement)," as implemented by our agency at 2 CFR part 376.

b. Provision applicable to a recipient other than a private entity. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—

1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or

2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either—

i. Associated with performance under this award; or

ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, "OMB Guidelines to Agencies on Government wide Debarment and Suspension (Nonprocurement)," as implemented by our agency at 2 CFR part 376

c. Provisions applicable to any recipient.

1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.

2. Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:

ii. Includes:

- A. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
 - B. A for-profit organization.
4. "Severe forms of trafficking in persons," "commercial sex act," and "coercion" have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102)

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